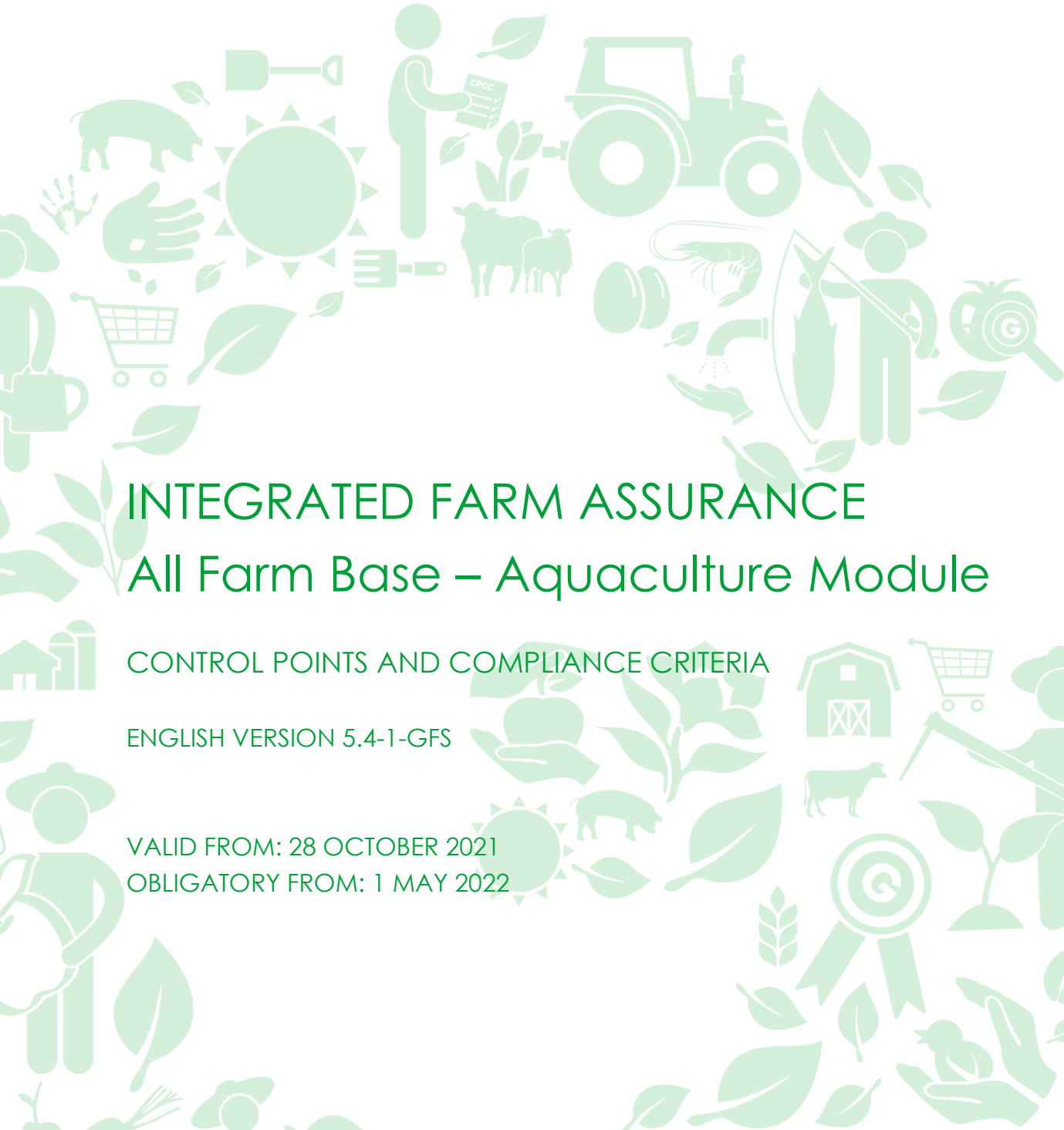

GLOBALG.A.P.

INTEGRATED FARM ASSURANCE

All Farm Base – Aquaculture Module

CONTROL POINTS AND COMPLIANCE CRITERIA

ENGLISH VERSION 5.4-1-GFS

VALID FROM: 28 OCTOBER 2021
OBLIGATORY FROM: 1 MAY 2022

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INTRODUCTION

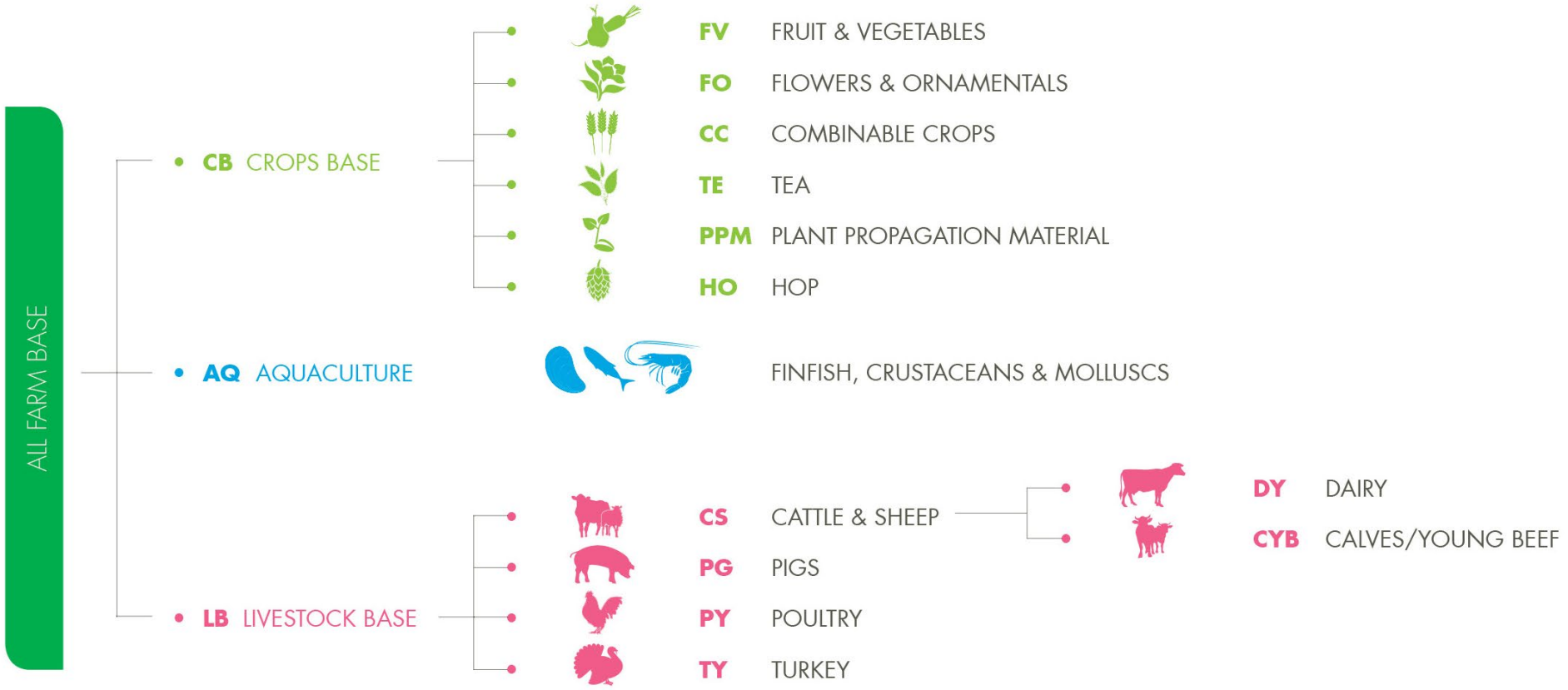
a) The GLOBALG.A.P. Integrated Farm Assurance (IFA) Standard covers the certification of the whole agricultural production process of the product from before the plant is in the ground (origin and propagation material control points) or from when the animal enters the production process to non-processed product (no processing, manufacturing, or slaughtering is covered, except for the first level in Aquaculture).

b) GLOBALG.A.P. provides the standard and framework for independent, recognized third party certification of primary production processes based on ISO/IEC 17065. Certification of the production process – cropping, growing, rearing, or producing – of products ensures that only those that reach a certain level of compliance with established Good Agricultural Practices (G.A.P.) set out in the GLOBALG.A.P. normative documents are certified.

c) The IFA Standard offers several benefits to producers:
   (i) Reducing food safety risks in primary production by encouraging the development and adoption of national and regional farm assurance schemes and with a clear risk assessed HACCP based reference standard serving the consumer and food chain. It also serves as technical communication platform for continuous improvement and transparency through consultation across the entire food chain.
   (ii) Reducing the cost of compliance by avoiding multiple product audits on mixed farming enterprises by a single “one-stop-shop”, avoiding excess regulators burden by pro-active adoption by industry and by achieving global harmonization, leading to a more level playing field.
   (iii) Increase in the integrity of farm assurance schemes worldwide, by defining and enforcing a common level of auditor competence, verification status, reporting and harmonizing interpretation of compliance criteria.

d) The IFA Control Points and Compliance Criteria (CPCC) documents are separated into different modules, each one covering different areas or levels of activity on a production site.
   These sections are grouped into:
   (i) “Scopes” – covering more generic production issues, classified more broadly. These are:
   All Farm Base (AF),
   Crops Base (CB),
   Livestock Base (LB) and
   Aquaculture (AQ).
   (ii) “Modules” (or “sub-scopes”) – covering more specific production details, classified per product type.

A MODULAR APPROACH TO INTEGRATED FARM ASSURANCE (IFA)



e) Legislation relevant to a control points and compliance criterion more demanding than GLOBALG.A.P. overrides the GLOBALG.A.P. requirement. Where there is no legislation (or legislation is not so strict), GLOBALG.A.P. provides a minimum acceptable level of compliance. Legal compliance of all applicable legislation per se is not a condition for certification. The audit carried out by the GLOBALG.A.P. approved certification body (CB) is not replacing the responsibilities of public compliance agencies to enforce legislation. Existence of legislation relevant to a specific CPCC does not change the level of that control point to Major Must. The CPCC levels have to be kept as defined in the CPCC documents and checklists approved and published on the GLOBALG.A.P. website.

f) Definitions of terminology used in the GLOBALG.A.P. General Regulations and Control Points and Compliance Criteria are available in the 'General Regulations Part I Annex I.4 - GLOBALG.A.P. Definitions'.

g) Annexes referenced in the CPCC are guidelines, unless a CPCC states that the annex or part of the annex is mandatory. In the title of those annexes it is stated that they are mandatory. Guidelines referenced in the CPCC document to guide producers to comply with the requirements are *not* normative documents.

h) Only products included in the GLOBALG.A.P. product list, published on the GLOBALG.A.P. website, can be registered for certification. The GLOBALG.A.P. product list is not limited and can be extended based on demand. Requests to add new products to the product list shall be sent to the e-mail address: standard_support@globalgap.org with the following information:

   (i) Product
   (ii) Scientific name
   (iii) Any additional information e.g. cultivation, use, alternative names, pictures, etc. This can be supplied via a website link as well.

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

j) FoodPLUS GmbH and GLOBALG.A.P. approved certification bodies are not legally liable for the safety of the product certified under this standard and not liable for the data accuracy and completeness in the GLOBALG.A.P. Database entered by the GLOBALG.A.P. approved certification body. Under no circumstances shall FoodPLUS GmbH, its employees, or agents be liable for any losses, damage, charges, costs, or expenses of whatever nature (including consequential loss) which any producer may suffer or incur by reason of, or arising directly or indirectly from the administration by FoodPLUS GmbH, its employees, or agents or the performance of their respective obligations in connection with the scheme save to the extent that such loss, damage, charges, costs, and/or expenses arise as a result of the finally and judicially determined gross negligence or willful default of such person.

Nº	Control Points	Compliance Criteria	Level
AF	**ALL FARM BASE**		
	Control points in this module are applicable to all producers seeking certification, as it covers issues relevant to all farming businesses.		
AF 1	**SITE HISTORY AND SITE MANAGEMENT**		
	One of the key features of sustainable farming is the continuous integration of site-specific knowledge and practical experience into future management planning and practices. This section is intended to ensure that the land, buildings, and other facilities which constitute the fabric of the farm, are properly managed to ensure the safe production of food and protection of the environment.		
AF 1.1	**Site History**		
AF 1.1.1	Is there a reference system for each field, orchard, greenhouse, yard, plot, livestock building/pen, and/or other area/location used in production?	Compliance shall include visual identification in the form of: • A physical sign at each field/orchard, greenhouse/yard/plot/livestock building/pen, or other farm area/location or • A farm map, which also identifies the location of water sources, storage/handling facilities, ponds, stables, etc., and that could be cross-referenced to the identification system No N/A.	Major Must
AF 1.1.2	Is a recording system established for each unit of production or other area/location to provide a record of the livestock/aquaculture production and/or agronomic activities undertaken at those locations?	Current records shall provide a history of GLOBALG.A.P. production of all production areas. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 1.2	**Site Management**		
AF 1.2.1	Is there a risk assessment available for all sites registered for certification (this includes rented land, structures, and equipment) and does this risk assessment show that the site in question is suitable for production, with regards to food safety, the environment, and health and welfare of animals in the scope of the livestock and aquaculture certification where applicable?	A written risk assessment to determine whether the sites are appropriate for production shall be available for all sites. It shall be ready for the initial inspection and maintained updated and reviewed when new sites enter in production and when risks for existing ones have changed, or at least annually, whichever is shorter. The risk assessment may be based on a generic one but shall be customized to the farm situation. Risk assessments shall take into account: • Potential physical, chemical (including allergens), and biological hazards • Site history (for sites that are new to agricultural production, history of 5 years is advised and a minimum of one year shall be known) • Impact of proposed enterprises on adjacent stock/crops/environment, and the health and safety of animals in the scope of the livestock and aquaculture certification (See Annex AF 1 and Annex AF 2 for guidance on risk assessments. Annex FV 1 includes guidance regarding flooding.)	Major Must
AF 1.2.2	Has a management plan that establishes strategies to minimize the risks identified in the risk assessment (AF 1.2.1) been developed and implemented, and is the plan reviewed regularly to ensure sustainability and effectiveness?	A management plan addresses the risks identified in AF 1.2.1 and describes the hazard control procedures that justify that the site in question is suitable for production. This plan shall be appropriate to the farm operations, and there shall be evidence of its implementation and effectiveness. The plan shall address maintenance of grounds and areas within the site to prevent contamination. The plan shall be reviewed annually, or whenever changes occur that may impact the safety of food production and impact the food safety plan. NOTE: Environmental risks do not need to be part of this plan and are covered under AF 7.1.1.	Major Must
AF 1.2.3	Are structures, including all adjoining rooms, equipment, facilities, and feeding systems located, designed, and constructed to facilitate proper cleaning and pest control?	Where appropriate, the design and layout shall permit compliance with good hygiene practices, including protection against cross contamination between and during operations.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 1.2.4	Is a program of site inspections or checks established?	In addition to the self-assessment, a program of site inspections shall be established, implemented, and maintained to ensure the site and equipment are routinely maintained in a suitable condition to ensure food safety, as applicable to the activity of the site. These site inspections can be at an interval determined by the producer in accordance with the assessed risk.	Major Must
AF 2	**RECORD KEEPING AND INTERNAL SELF-ASSESSMENT/INTERNAL INSPECTION**		
	Important details of farming practices shall be recorded and records kept.		
AF 2.1	Are all records, including those relating to food safety, accessible and kept for a minimum period of 2 years, unless a longer requirement is stated in specific control points?	Producers shall keep up-to-date records for a minimum of 2 years, or a longer period depending on customer or legal requirements. If the shelf life of the product exceeds 2 years, records shall be retained for a period that exceeds the shelf life. Electronic records are valid and when they are used, producers are responsible for maintaining back-ups of the information. Documents shall be stored securely, effectively controlled, and readily accessible. For the initial inspections, producers shall keep records from at least 3 months prior to the date of the external inspection or from the day of registration, whichever is longer. New applicants shall have full records that reference each area covered by the registration with all of the agronomic activities related to GLOBALG.A.P. documentation required for this area. For livestock, these records shall be available for the current livestock cycle before the initial inspection. This refers to the principle of record keeping. When an individual record is missing, the respective control point dealing with those records is not compliant. No N/A.	Major Must
AF 2.2	Is a procedure established, implemented, and maintained to manage and control documented information?	A procedure describing the management of documented information shall be implemented and maintained. A method of tracking document changes shall be established, to ensure employees are accessing the most recent versions.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 2.3	Does the producer take responsibility to conduct a minimum of one internal self-assessment per year against the GLOBALG.A.P. Standard?	There is documented evidence that in Option 1 an internal self-assessment has been completed under the responsibility of the producer (this may be carried out by a person different from the producer). Self-assessments shall include all applicable control points, even when a subcontracted company carries them out. The self-assessment checklist shall contain comments of the evidence observed for all non-applicable and non-compliant control points. This has to be done before the CB inspection (see GLOBALG.A.P. General Regulations Part I, section 5.). No N/A, except for multisite operations with QMS and producer groups, for which the QMS checklist covers internal inspections.	Major Must
AF 2.4	Have effective corrective actions been taken as a result of non-conformances detected during the internal self-assessment or internal producer group inspections?	Necessary corrective actions are documented and have been implemented. N/A only in the case no non-conformances are detected during internal self-assessments or internal producer group inspections.	Major Must
AF 2.5	Are continuous improvements documented?	Continuous improvements based on self-assessments and site inspections shall be implemented and documented. Continuous improvements can be shown as a reduction in overall corrective actions during self-assessment, resource management plans documenting improvements, or other applicable activities.	Major Must
AF 3	**HYGIENE**		
	People are key to the prevention of product contamination. Farm staff and contractors as well as producers themselves stand for the quality and safety of the product. Education and training will support progress toward safe production. This section is intended to ensure good practices to diminish hygiene risks to the product and that all workers understand the requirements and are competent to perform their duties. *Further hygiene requirements, specific to certain activities such as harvest and product handling, are defined in the applicable Standard module.*		
AF 3.1	Does the farm have a written risk assessment for hygiene?	The written risk assessment for hygiene issues covers the production environment. The risks depend on the products produced and/or supplied. The risk assessment can be a generic one, but it shall be appropriate for conditions on the farm and shall be reviewed annually and updated when changes (e.g. other activities) occur. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 3.2	Does the farm have a documented hygiene procedure and visibly displayed hygiene instructions for all workers and visitors to the site whose activities might pose a risk to food safety?	The farm shall have a hygiene procedure addressing the risks identified in the risk assessment in AF 3.1. The farm shall also have hygiene instructions visibly displayed for workers (including subcontractors) and visitors provided by way of clear signs (pictures) and/or in the predominant language(s) of the workforce. The instructions shall also be based on the results of the hygiene risk assessment in AF 3.1 and include at a minimum: • The need to wash hands • The need to cover skin cuts • Limitation on smoking, eating, and drinking to designated areas • Immediate notification to management or supervisor of any relevant infections or conditions. This includes any signs of illness (e.g. fever, vomiting, jaundice, diarrhea), whereby these workers shall be restricted from direct contact with the product and food-contact surfaces • Notification of product contamination with bodily fluids • The use of provided suitable protective clothing, where the individuals' activities might pose a risk of contamination to the product.	Major Must
AF 3.3	Have all persons working on the farm received annual hygiene training appropriate to their activities and according to the hygiene instructions in AF 3.2?	An introductory training course for hygiene shall be given in both written and verbal form. All new workers shall receive this training and confirm their participation. This training shall cover all instructions defined in AF 3.2. All workers, including the owners and managers, shall annually participate in the farm's basic hygiene training.	Major Must
AF 3.4	Are the farm's hygiene procedures implemented?	Workers with tasks identified in the hygiene procedures shall demonstrate competence during the inspection and there is visual evidence that the hygiene procedures are being implemented. The effectiveness of the hygiene procedures in eliminating food safety risks shall be measured. No N/A.	Major Must
AF 3.5	Are cleaning facilities, equipment, and chemical materials suitable for their intended use and stored and used appropriately?	Cleaning products shall be labeled for food contact surfaces, if intended for use in cleaning areas that come in contact with the product. Chemicals for cleaning and cleaning equipment shall be stored in a manner that does not risk contamination of product. Cleaning activities shall not present a food safety risk.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 4	**WORKERS' HEALTH, SAFETY, AND WELFARE**		
	People are key to the safe and efficient operation of any farm. Farm staff and contractors as well as producers themselves stand for the quality of the produce and for environmental protection. Education and training will help progress towards sustainability and build on social capital. This section is intended to ensure safe practices in the work place and that all workers both understand and are competent to perform their duties; are provided with proper equipment to allow them to work safely; and that, in the event of accidents, can obtain proper and timely assistance.		
AF 4.1	**Health and Safety**		
AF 4.1.1	Does the producer have a written risk assessment for hazards to workers' health and safety?	The written risk assessment can be a generic one but it shall be appropriate to conditions on the farm, including the entire production process in the scope of certification. The risk assessment shall be reviewed and updated annually and when changes that could impact workers' health and safety (e.g. new machinery, new buildings, new plant protection products, modified cultivation practices, etc.) occur. Examples of hazards include but are not limited to: Moving machine parts, power take-off (PTO), electricity, farm machinery and vehicle traffic, fires in farm buildings, applications of organic fertilizer, excessive noise, dust, vibrations, extreme temperatures, ladders, fuel storage, slurry tanks, etc. No N/A.	Minor Must
AF 4.1.2	Does the farm have written health and safety procedures addressing issues identified in the risk assessment of AF 4.1.1?	The health and safety procedures shall address the points identified in the risk assessment (AF 4.1.1) and shall be appropriate for the farming operations. They shall also include accident and emergency procedures as well as contingency plans that deal with any identified risks in the working situation, etc. The procedures shall be reviewed annually and updated when the risk assessment changes. The farm infrastructure, facilities, and equipment shall be constructed and maintained in such a way as to minimize health and safety hazards for the workers to the extent practical.	Minor Must
AF 4.1.3	Have all people working on the farm received health and safety training according to the risk assessment in AF 4.1.1?	All workers, including subcontractors, can demonstrate competency in responsibilities and tasks through visual observation (if possible, on the day of the inspection). There shall be evidence of instructions in the appropriate language and training records. Producers may conduct the health and safety training themselves if training instructions or other training materials are available (i.e. it need not be an outside individual who conducts the training). No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 4.2	**Training and Assigned Responsibilities**		
AF 4.2.1	Is there a record kept for training activities and attendees?	A record is kept for training activities, including the topic covered, the trainer, the date, and a list of the attendees. Evidence of attendance is required.	Major Must
AF 4.2.2	Do all workers handling and/or administering veterinary medicines, chemicals, disinfectants, plant protection products, biocides, and/or other hazardous substances and all workers operating dangerous or complex equipment as defined in the risk analysis in AF 4.1.1 have evidence of competence or details of other such qualifications?	Records shall identify workers who carry out such tasks and can demonstrate competence (e.g. certificate of training and/or records of training with proof of attendance). This shall include compliance with applicable legislation. No N/A. For aquaculture, cross-reference with Aquaculture module. In livestock, for workers administering medicines, proof of adequate experience is also required.	Major Must
AF 4.2.3	Are employees whose activities impact food safety identified?	A clear organizational structure identifying the job functions and responsibilities of at least those employees whose activities affect food safety shall be established, implemented, and maintained.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 4.3	**Hazards and First Aid**		
AF 4.3.1	Do accident and emergency procedures exist? Are they visually displayed, and are they communicated to all persons associated with the farm activities, including subcontractors and visitors?	Permanent accident procedures shall be clearly displayed in accessible and visible location(s) for workers, visitors, and subcontractors. These instructions are available in the predominant language(s) of the workforce and/or pictograms. The procedures shall identify the following: • The farm's map reference or farm address • The contact person(s) • An up-to-date list of relevant phone numbers (police, ambulance, hospital, fire-brigade, access to emergency health care on site or by means of transport, supplier of electricity, water, and gas) Examples of other procedures that can be included: • The location of the nearest means of communication (telephone, radio) • How and where to contact the local medical services, hospital, and other emergency services. (*Where* did it happen? *What* happened? *How* many injured people? *What* kind of injuries? *Who* is calling?) • The location of fire extinguisher(s) • The emergency exits • Emergency cut-offs for electricity, gas, and water supplies • How to report accidents and dangerous incidents For aquaculture, cross-reference with Aquaculture module.	Minor Must
AF 4.3.2	Are potential hazards clearly identified by warning signs?	Permanent and legible signs shall indicate potential hazards. This shall include, where applicable: Waste pits, fuel tanks, workshops, and access doors of the storage facilities for plant protection products/fertilizers/any other chemicals. Warning signs shall be present and in the predominant language(s) of the workforce and/or in pictograms. No N/A.	Minor Must
AF 4.3.3	Is safety advice for substances hazardous to workers' health available/accessible?	When required to ensure appropriate action, information (e.g. website, telephone number, material safety data sheets, etc.) is accessible. For aquaculture, cross-reference with Aquaculture module.	Minor Must

Nº	Control Points	Compliance Criteria	Level
AF 4.3.4	Are first aid kits available at all permanent sites and in the vicinity of fieldwork?	Complete and maintained first aid kits (i.e. according to local recommendations and appropriate to the activities being carried out on the farm) shall be available and accessible at all permanent sites and readily available for transport (tractor, car, etc.) where required by the risk assessment in AF 4.1.1.	Minor Must
AF 4.3.5	Are there always an appropriate number of persons (at least one person) trained in first aid present on each farm whenever on-farm activities are being carried out?	There is always at least one person trained in first aid (i.e. within the last 5 years) present on the farm whenever on-farm activities are being carried out. As a guideline: One trained person per 50 workers. On-farm activities include all activities mentioned in the relevant modules of this standard.	Minor Must
AF 4.4	**Protective Clothing/Equipment**		
AF 4.4.1	Are workers, visitors, and subcontractors equipped with suitable protective clothing in accordance with legal requirements and/or label instructions and/or as authorized by a competent authority?	Complete sets of protective clothing, which enable label instructions and/or legal requirements and/or requirements as authorized by a competent authority to be complied which are available on the farm, utilized, and in a good state of repair. To comply with label requirements and/or on-farm operations, this may include some of the following: Rubber boots or other appropriate footwear, waterproof clothing, protective overalls, rubber gloves, face masks, appropriate respiratory equipment (including replacement filters), ear and eye protection devices, life-jackets, etc. as required by label or on-farm operations.	Major Must
AF 4.4.2	Is protective clothing cleaned after use and stored in such a way as to prevent contamination of personal clothing?	Protective clothing is kept clean according to the type of use and degree of potential contamination and in a ventilated place. Cleaning protective clothing and equipment includes separate washing from private clothing. Wash re-usable gloves before removal. Dirty and damaged protective clothing and equipment and expired filter cartridges shall be disposed of appropriately. Single-use items (e.g. gloves, overalls) shall be disposed of after one use. All protective clothing and equipment including replacements filters, etc. shall be stored outside of the plant protection products/storage facility and physically separated from any other chemicals that might cause contamination of the clothing or equipment. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 4.5	**Worker Welfare**		
AF 4.5.1	Is a member of management clearly identifiable as responsible for the workers' health, safety, and welfare?	Documentation is available that clearly identifies and names the member of management who is responsible for ensuring compliance with and implementation of existing, current and relevant national and local regulations on workers' health, safety, and welfare.	Major Must
AF 4.5.2	Does regular two-way communication take place between management and workers on issues related to workers' health, safety, and welfare? Is there evidence of actions taken from such communication?	Records show that communication between management and workers about health, safety, and welfare concerns can take place openly (i.e. without fear of intimidation or retribution) and at least once a year. The auditor is not required to make judgments about the content, accuracy, or outcome of such communications. There is evidence that the concerns of the workers about health, safety, and welfare are being addressed.	Minor Must
AF 4.5.3	Do workers have access to clean food storage areas, designated rest areas, handwashing facilities, and drinking water?	A place to store food and a place to eat shall be provided to the workers if they eat on the farm. Handwashing equipment and drinking water shall always be provided.	Major Must
AF 4.5.4	Are on-site living quarters habitable and have the basic services and facilities?	The on-farm living quarters for the workers are habitable and have a sound roof, windows and doors, and the basic services of drinking water, toilets, and drains. In the case of no drains, septic pits can be accepted if compliant with local regulations.	Major Must
AF 4.5.5	Is transport for workers (on-farm, to and from fields/orchard) as provided by the producer safe and compliant with national regulations when used to transport workers on public roads?	Vehicles or vessels shall be safe for workers and, when used to transport workers on public roads, shall comply with national safety regulations.	Minor Must

Nº	Control Points	Compliance Criteria	Level
AF 5	**SUBCONTRACTORS**		
	A subcontractor is the entity furnishing labor, equipment and/or materials to perform specific farm operation(s) under contract with the producer (e.g. custom grain harvesting, fruit spraying and picking).		
AF 5.1	When the producer makes use of subcontractors, do they oversee their activities in order to ensure that those activities relevant to GLOBALG.A.P. CPCC comply with the corresponding requirements?	The producer is responsible for observing the control points applicable to the tasks performed by the subcontractors who carry out activities covered in the GLOBALG.A.P. Standard, by checking and signing the assessment of the subcontractor for each task and season contracted. Evidence of compliance with the applicable control points shall be available on the farm during the external inspection. i) The producer can perform the assessment and shall keep the evidence of compliance of the control points assessed. The subcontractor shall agree that GLOBALG.A.P. approved certifiers are allowed to verify the assessments through a physical inspection or ii) A third-party certification body, which is GLOBALG.A.P. approved, can inspect the subcontractor. The subcontractor shall receive a letter of conformance from the certification body with the following info: 1) Date of assessment 2) Name of the certification body 3) Inspector name 4) Details of the subcontractor 5) List of the inspected control points and compliance criteria. Certificates issued to subcontractors against standards that are not officially approved by GLOBALG.A.P. are not valid evidence of compliance with GLOBALG.A.P.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 6	**WASTE AND POLLUTION MANAGEMENT, RECYCLING, AND RE-USE**		
	Waste minimization shall include review of current practices, avoidance of waste, reduction of waste, re-use of waste, and recycling of waste.		
AF 6.1	**Identification of Waste and Pollutants**		
AF 6.1.1	Have possible waste products and sources of pollution been identified in all areas of the farm?	Possible waste products (e.g. paper, cardboard, plastic, oil) and sources of pollution (e.g. fertilizer excess, exhaust smoke, oil, fuel, noise, effluent, chemicals, sheep-dip, feed waste, algae produced during net cleaning) produced by the farm processes have been listed. For crops, producers shall also take into consideration surplus application mix and tank washings.	Minor Must
AF 6.2	**Waste and Pollution Action Plan**		
AF 6.2.1	Is there a documented farm waste management plan to avoid and/or minimize wastage and pollution to the extent possible, and does the waste management plan include adequate provisions for waste disposal?	A comprehensive, current, and documented plan that covers wastage reduction, pollution, and waste recycling is available. Air, soil, and water contamination shall be considered where relevant along with all products and sources identified in the plan. For aquaculture, cross-reference with Aquaculture module.	Minor Must
AF 6.2.2	Is the site kept in a tidy and orderly condition?	Visual assessment shall show that there is no evidence of waste/litter in the immediate vicinity of the production site(s) or storage buildings. Incidental and insignificant litter and waste on the designated areas are acceptable as well as the waste from the current day's work. All other litter and waste shall be cleared up, including fuel spills.	Major Must
AF 6.2.3	Are holding areas for diesel and other fuel oil tanks environmentally safe?	All fuel storage tanks shall conform to the local requirements. When there are no local requirements to contain spillage, the minimum is bunded areas, which shall be impervious and be able to contain at least 110 % of the largest tank stored within it, unless it is in an environmentally sensitive area where the capacity shall then be 165 % of the content of the largest tank. There shall be no-smoking signs displayed and appropriate fire emergency provisions made nearby.	Minor Must
AF 6.2.4	Provided there is no risk of pest, disease, and weed carry-over, are organic wastes composted on the farm and recycled?	Organic waste material is composted and used for soil conditioning. The composting method ensures that there is no risk of pest, disease, or weed carry-over. For aquaculture, cross-reference with Aquaculture module.	Recom.

Nº	Control Points	Compliance Criteria	Level
AF 6.2.5	Is the water used for washing and cleaning purposes disposed of in a manner that ensures the minimum health and safety risks and environmental impact?	Waste water resulting from washing of contaminated machinery, e.g. spray equipment, personal protective equipment, hydro-coolers, or buildings with animals, should be collected and disposed of in a way that ensures the minimum impact on the environment and the health and safety of farm staff, visitors and nearby communities as well as legal compliance. For tank washings see Crops Base module.	Recom.
AF 7	**CONSERVATION**		
	Farming and the environment are inseparably linked. Managing wildlife and landscape is of great importance. The abundance and diversity of flora and fauna benefits the enhancement of species and the structural diversity of land and landscape features.		
AF 7.1	**Impact of Farming on the Environment and Biodiversity** (Cross-Reference with AQ 9 of the Aquaculture Module)		
AF 7.1.1	Does each producer have a wildlife management and conservation plan for the farm business that acknowledges the impact of farming activities on the environment?	There shall be a written action plan that aims to enhance habitats and maintain biodiversity on the farm. This can be either an individual plan or a regional activity that the farm is participating in or is covered by. It shall pay special attention to areas of environmental interest being protected and make reference to legal requirements where applicable. The action plan shall include knowledge of integrated pest management practices, nutrient use of crops, conservation sites, water supplies, the impact on other users, etc.	Minor Must
AF 7.1.2	Has the producer considered how to enhance the environment for the benefit of the local community and flora and fauna? Is this policy compatible with sustainable commercial agricultural production and does it strive to minimize environmental impact of the agricultural activity?	There should be tangible actions and initiatives that can be demonstrated 1) by the producer either on the production site or at the local scale or at the regional scale 2) by participation in a group that is active in environmental support schemes concerned with habitat quality and habitat elements. There is a commitment within the conservation plan to undertake a baseline audit of the current levels, location, condition, etc. of the fauna and flora on the farm, so as to enable actions to be planned. Within the conservation plan, there is a clear list of priorities and actions to enhance habitats for fauna and flora, where viable, and to increase bio-diversity on the farm.	Recom.

Nº	Control Points	Compliance Criteria	Level
AF 7.2	**Ecological Upgrading of Unproductive Sites**		
AF 7.2.1	Has consideration been given to the conversion of unproductive sites (e.g. low-lying wet areas, woodlands, headland strips, or areas of impoverished soil, etc.) to ecological focus areas for the encouragement of natural flora and fauna?	There should be a plan to convert unproductive sites and identified areas that give priority to ecology into conservation areas, where viable.	Recom.
AF 7.3	**Energy Efficiency**		
	Farming equipment shall be selected and maintained for optimum energy efficiency. The use of renewable energy sources should be encouraged.		
AF 7.3.1	Can the producer show monitoring of on-farm energy use?	Energy use records exist (e.g. invoices where energy consumption is detailed). The producer/producer group is aware of where and how energy is consumed on the farm and through farming practices. Farming equipment shall be selected and maintained for optimum energy consumption.	Minor Must
AF 7.3.2	Based on the result of the monitoring, is there a plan to improve energy efficiency on the farm?	A written plan, identifying opportunities to improve energy efficiency is available.	Recom.
AF 7.3.3	Does the plan to improve energy efficiency consider minimizing the use of non-renewable energy?	Producers consider reducing the use of non-renewable energies to a minimum possible and use renewable ones.	Recom.
AF 7.4	**Water Collection/Recycling**		
AF 7.4.1	Where feasible, have measures been implemented to collect water and, where appropriate, to recycle taking into consideration all food safety aspects?	Water collection is recommended where it is commercially and practically feasible, e.g. from building roofs, glasshouses, etc. Collection from watercourses within the farm perimeters may need legal permits from the authorities.	Recom.

Nº	Control Points	Compliance Criteria	Level
AF 8	**COMPLAINTS**		
	Management of complaints will lead to an overall better production system.		
AF 8.1	Is there a complaint procedure available relating to both internal and external issues covered by the GLOBALG.A.P. Standard and does this procedure ensure that complaints are adequately recorded, studied, and followed up, including a record of actions taken?	A documented complaint procedure is available to facilitate the recording and follow-up of all received complaints relating to issues covered by GLOBALG.A.P. actions taken with respect to such complaints. In the case of producer groups, the members do not need the complete complaint procedure, but only the parts that are relevant to them. The complaint procedure shall include the notification of GLOBALG.A.P. Secretariat via the certification body in the case that the producer is informed by a competent or local authority that they are under investigation and/or has received a sanction in the scope of the certificate. No N/A.	Major Must
AF 9	**RECALL/WITHDRAWAL PROCEDURE**		
AF 9.1	Does the producer have documented procedures on how to manage/initiate the withdrawal/recall of certified products from the marketplace and are these procedures tested annually?	The producer shall have a documented procedure that identifies the type of event that may result in a withdrawal/recall, the persons responsible for making decisions on the possible product withdrawal/recall, the mechanism for notifying the next step in the supply chain and the GLOBALG.A.P. approved certification body, and the methods of reconciling stock. The procedures shall be tested annually to ensure that they are effective. This test shall be recorded (e.g. by picking a recently sold batch, identifying the quantity and whereabouts of the product, and verifying whether the next step involved with this batch and the CB can be contacted. Actual communications of the mock recall to the clients are not necessary. A list of phone numbers and e-mails is sufficient). No N/A.	Major Must
AF 10	**FOOD DEFENSE** (N/A FOR FLOWERS AND ORNAMENTALS AND PLANT PROPAGATION MATERIAL)		
AF 10.1	Is there a risk assessment for food defense and are procedures in place to address identified food defense risks?	Potential intentional threats to food safety in all phases of the operation shall be identified, assessed, and prioritized. Food defense risk identification shall assure that all input is from safe and secured sources. Information of all employees and subcontractors shall be available. Procedures for corrective action shall be in place in case of intentional threat.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 11	**GLOBALG.A.P. STATUS**		
AF 11.1	Does all transaction documentation include reference to the GLOBALG.A.P. status and the GGN?	Sales invoices and, where appropriate, other documentation related to sales of certified material/products shall include the GGN of the certificate holder *and* a reference to the GLOBALG.A.P. certified status. This is not obligatory in internal documentation. Where producers own a GLN, this shall replace the GGN issued by GLOBALG.A.P. during the registration process. Positive identification of the certified status is enough on transaction documentation (e.g. ‘‘GLOBALG.A.P. certified <product name>’’). Non-certified products do not need to be identified as “non-certified”. Indication of the certified status is obligatory regardless of whether the certified product was sold as certified or not. This cannot be checked during the initial (first ever) inspection, because the producer is not certified yet and the producer cannot reference to the GLOBALG.A.P. certified status before the first positive certification decision. N/A only when there is a written agreement available between the producer and the client not to identify the GLOBALG.A.P. status of the product and/or the GGN on the transaction documents.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 12	**LOGO USE**		
AF 12.1	Is the GLOBALG.A.P. word, trademark, GLOBALG.A.P. QR code or logo and the GGN (GLOBALG.A.P. Number) used according to the GLOBALG.A.P. General Regulations and according to the 'Sublicense and Certification Agreement'?	The producer/producer group shall use the GLOBALG.A.P. word, trademark, GLOBALG.A.P. QR code or logo and the GGN, GLN or sub-GLN according to the General Regulations Part I, Annex 1 and according to the 'Sublicense and Certification Agreement'. The GLOBALG.A.P. word, trademark, or logo shall never appear on the final product, on the consumer packaging, or at the point of sale. However, the certificate holder can use any and/or all in business-to-business communications. The GLOBALG.A.P. word, trademark, or logo cannot be in use during the initial (first ever) inspection because the producer is not certified yet and the producer cannot reference to the GLOBALG.A.P. certified status before the first positive certification decision. N/A for CFM, PPM, GLOBALG.A.P. Aquaculture ova or seedlings, and Livestock, when the certified products are input products, not intended for sale to final consumers and will definitely not appear at the point of sale to final consumers.	Major Must
AF 13	**TRACEABILITY AND SEGREGATION**		
	Section 13 is applicable to all producers who need to register for parallel production/ownership and to those who buy from other producers (certified or not), the same products they also certify. It is not applicable to producers who certify 100 % of the product in their GLOBALG.A.P. scope and do not buy of those products from other producers (certified or not).		
AF 13.1	Is there an effective system in place to identify and segregate all GLOBALG.A.P. certified and non-certified products?	A system shall be in place to avoid mixing of certified and non-certified products. This can be done via physical identification or product handling procedures, including the relevant records.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 13.2	In the case of producers registered for parallel production/ownership (where certified and non-certified products are produced and/or owned by one legal entity), is there a system to ensure that all final products originating from a certified production process are correctly identified?	In the case the producer is registered for parallel production/ownership (where certified and non-certified products are produced and/or owned by one legal entity), all product packed in final consumer packaging (either from farm level or after product handling) shall be identified with a GGN where the product originates from a certified process. It can be the GGN of the (Option 2) group, the GGN of the group member, both GGNs, or the GGN of the individual (Option 1) producer. The GGN shall not be used to label non-certified products. N/A only when the producer only owns GLOBALG.A.P. products (no PP/PO), or when there is a written agreement available between the producer and the client not to use the GGN, GLN, or sub-GLN on the ready to be sold product. This can also be the client's own label specifications where the GGN is not included.	Major Must
AF 13.3	Is there a final check to ensure the correct product dispatch of certified and non-certified products?	The check shall be documented to show that the certified and non-certified products are dispatched correctly.	Major Must
AF 13.4	Are appropriate identification procedures in place and records for identifying products purchased from different sources available for all registered products?	Procedures shall be established, documented and maintained, appropriately to the scale of the operation, for identifying certified and, when applicable, non-certified quantities purchased from different sources (i.e. other producers or traders) for all registered products. Records shall include: • Product description • GLOBALG.A.P. certified status • Quantities of product(s) purchased • Supplier details • Copy of the GLOBALG.A.P. certificates where applicable • Traceability data/codes related to the purchased products • Purchase orders/invoices received by the organization being assessed • List of approved suppliers	Major Must
AF 13.5	Is a documented test of the traceability system done annually?	A documented test of the traceability system shall be conducted annually. This exercise may be included with the test of recall and withdrawal procedures, or may be carried out separately, depending on the structure of the organization.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 14	**MASS BALANCE**		
	Section 14 is applicable to all GLOBALG.A.P. producers. In the case of producer group members, this information may sometimes be covered under the QMS of the group.		
AF 14.1	Are sales records available for all quantities sold and all registered products?	Sales details of certified and, when applicable, non-certified quantities shall be recorded for all registered products, with particular attention to quantities sold and descriptions provided. The documents shall demonstrate the consistent balance between the certified and non-certified input and the output. No N/A.	Major Must
AF 14.2	Are quantities (produced, stored, and/or purchased) recorded and summarized for all products?	Quantities (including information on volumes or weight) of certified, and when applicable non-certified, incoming (including purchased products), outgoing and stored products shall be recorded, and a summary maintained for all registered products, so as to facilitate the mass balance verification process. The frequency of the mass balance verification shall be defined and be appropriate to the scale of the operation, but It shall be done at least annually per product. Documents to demonstrate mass balance shall be clearly identified. This control point applies to all GLOBALG.A.P. producers. No N/A.	Major Must
AF 14.3	Are conversion ratios and/or loss (input-output calculations of a given production process) during handling calculated and controlled?	Conversion ratios shall be calculated and available for each relevant handling process. All generated product waste quantities shall be estimated and/or recorded. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 15	**FOOD SAFETY POLICY DECLARATION** (N/A FOR FLOWERS AND ORNAMENTALS)		
	The 'Food Safety Policy Declaration' reflects in an unambiguous manner the commitment of the producer to ensure that food safety is implemented and maintained throughout the production processes.		
AF 15.1	Has the producer completed and signed the 'Food Safety Policy Declaration' included in the IFA checklist?	Completion and signature of the 'Food Safety Policy Declaration' is a commitment to be renewed annually for each new certification cycle. For a producer under Option 1 without QMS, the self-assessment checklist will only be complete when the 'Food Safety Policy Declaration' is completed and signed. In the case of producer groups (Option 2) and producers under Option 1 Multisite with QMS, it is possible that the central management assumes this commitment for the organization and for all its members by completing and signing one declaration at QMS level. In that case, the members of the producer groups and the individual production sites are not required to complete and sign the declaration individually. No N/A, unless Flowers and Ornamentals or Plant Propagation Material certification.	Major Must
AF 16	**FOOD FRAUD MITIGATION** (N/A FOR FLOWERS AND ORNAMENTALS)		
	Food fraud may occur on primary production when suppliers provide input products/materials that do not match the specifications (e.g. counterfeit plant protection products (PPP) or propagation material, non-food grade packaging material). This may cause public health crises, and therefore producers should take measures to mitigate these risks.		
AF 16.1	Does the producer have a food fraud vulnerability risk assessment?	A documented risk assessment to identify potential vulnerability to food fraud (e.g. counterfeit PPP or propagation material, non-food grade packaging material) is available, current, and implemented. This procedure may be based on a generic one but shall be customized to the scope of the production.	Major Must
AF 16.2	Does the producer have a food fraud mitigation plan and has it been implemented?	A documented food fraud mitigation plan, specifying the measures the producer has implemented to address the food fraud threats identified, is available and implemented.	Major Must

Nº	Control Points	Compliance Criteria	Level
AF 17	**SPECIFICATIONS, NON-CONFORMING PRODUCTS, AND PRODUCT RELEASE**		
AF 17.1	Do externally purchased products, materials, and services which have an effect on food safety conform to specified requirements or specifications as well as food safety and regulatory requirements?	All outsourced processes, products, and materials impacting food safety should be identified, documented, and controlled. A procedure for the evaluation, approval, and continued monitoring of suppliers which have an effect on food safety shall be established, with a procedure established for securing product and services in emergency. The results of evaluations, rejections, and follow-up actions shall be recorded.	Major Must
AF 17.2	Are written specifications established, implemented, and maintained for all products and inputs into the production process?	Specified requirements or specifications shall be established, implemented, and maintained for all inputs to the process, including services that are purchased or provided and have an effect on food safety. A review process of the specified requirements or specifications shall be in place.	Major Must
AF 17.3	Does the producer have a documented procedure for non-conforming products and has it been implemented?	A documented procedure is in place specifying that all non-conforming products shall be clearly identified and quarantined as appropriate. These products shall be handled or disposed of according to the nature of the problem and/or specific customer requirements.	Major Must
AF 17.4	Does the producer have a documented procedure for product release?	The producer shall have a documented procedure with criteria for product release (MRL compliance, conforming criteria, staff responsible for releasing products, etc.) A product release procedure shall be documented.	Major Must

ANNEX AF 1 GLOBALG.A.P. GUIDELINE: RISK ASSESSMENT – GENERAL

Introduction to Risk Assessment

In the GLOBALG.A.P. IFA Standard, a number of risk assessments are required in order to facilitate food safety, workers' health and safety, and environmental protection. This guidance document provides assistance to producers.

Five Steps to Risk Assessment

A risk assessment is an important step in protecting the products, workers, and business, as well as complying with GLOBALG.A.P. requirements and the law. A risk assessment helps you to focus on those risks that really matter in the workplace–the ones with the potential to cause real and serious harm. In many instances, straightforward, simple, effective, and inexpensive measures can readily control risks (e.g. ensuring spillages are cleaned up promptly so that the product cannot be contaminated).

It is not expected that you eliminate all risks, but you are expected and required to protect your products and workers as far as it is reasonably practicable.

This is not the only way to perform a risk assessment. There are other methods that work well, particularly for more complex risks and/or circumstances. However, we believe this method provides a straightforward approach for most producers. Workers and others have a right to be protected from harm caused by a failure to take reasonable control measures. Accidents and ill health can ruin lives and affect the business as well, if output is lost or you have to go to court. Producers are legally required to assess the risks in their workplace so that a plan to control the risks can be put in place.

What is Risk Assessment?

A risk assessment is simply a careful examination of what in your work could cause harm to the product, environment, and/or workers, so that you can evaluate whether you have taken sufficient precautions or should do more to prevent harm.

Don't overcomplicate the process. In many enterprises, the risks are well-known and the necessary control measures are easy to apply. Check that you have taken reasonable precautions to avoid contamination and/or injury.

When thinking about your risk assessment, remember:

- A *hazard* is anything that may cause harm, such as chemicals, electricity, working from ladders, etc.
- The *risk* is the chance, high or low, that these and other hazards, together with an indication of how serious the harm could be, could harm somebody.

How to Assess the Risks in Your Enterprise

Step 1: Identify the hazards.
Step 2: Decide who/what might be harmed and how.
Step 3: Evaluate the risks and decide on precautions.
Step 4: Record the work plan/findings and implement them.
Step 5: Review the assessment and update if necessary.

Step 1: Identify the Hazards

First, you need to identify how the product, environment, and/or workers could be harmed. Here are some tips to help identify the ones that matter:

- Walk around the workplace and look at what could reasonably be expected to cause harm (e.g. situations, equipment, products, practices, etc.).
- Ask the workers (if applicable) or their representatives what they think. They may have noticed things that are not immediately obvious to you.
- Check manufacturers' instructions or data sheets for chemicals and equipment, as these can be very helpful in identifying the hazards and putting them in their true perspective.
- Review prior incidence and accident records, as these often help to identify less obvious hazards. Remember to think about long-term hazards to health (e.g. high levels of noise or exposure to harmful substances) as well as (food) safety hazards.

Step 2: Decide Who/What Might be Harmed and How

For each hazard, you need to be clear about who or what might be harmed. This will help you identify the best way of managing the risk.

Remember:

- Some activities have particular requirements, (e.g. harvesting).
- Some hazards will require extra thought, especially in situations where individuals (e.g. cleaners, visitors, contractors, maintenance workers, etc.) may not be in the workplace all the time.

Step 3: Evaluate the Risks and Decide on Precautions

Having spotted the hazards, you then have to decide what to do about them. The law requires you to do everything reasonably practicable to protect people from harm. You can work this out for yourself, but the easiest way is to compare what is being done against what are already defined as good practices.

So first, look at what you are already doing, and think about what controls you have in place and how the work is organized. Then compare that with the good practices and see if there's more you should be doing to bring yourself up to standard. During your evaluation process, consider the following:

- Can I get rid of the hazard altogether?
- If not, how can I manage the risks so that harm is unlikely?

When managing risks, if possible, apply the principles below and, if possible, in the following order:

- Try a less risky option (e.g. switch to using a less hazardous chemical).
- Prevent access to the hazard (e.g. by guarding).
- Organize the work/tasks to reduce exposure to the hazard.
- Issue personal protective equipment (e.g. clothing, footwear, goggles, etc.).
- Provide welfare facilities (e.g. first aid and washing facilities for removal of contamination).

Improving health and safety need not cost a lot. For instance, placing a mirror on a dangerous blind corner to help prevent vehicle accidents is a low-cost precaution considering the risks. Failure to take simple precautions can cost you a lot more if an accident does happen.

Involve staff (if applicable), so that you can be sure that what you propose to do will work in practice and won't introduce any new hazards.

Step 4: Record the Work Plan/Findings and Implement Them

Putting the results of the risk assessment into practice will make a difference when looking after food safety, workers' health and safety, and your business.
Writing down the results of the risk assessment and sharing them with your staff encourages you to complete the implementation.
When writing down the results, keep it simple (e.g. contamination at harvest: handwashing facilities at the field).

The risk assessment is not expected to be perfect, but it shall be suitable and sufficient. You need to be able to show that:

- A proper check was made.
- You asked who or what might be affected.
- You dealt with all the significant hazards.
- The precautions are reasonable and the remaining risk is low.
- You involved your staff or their representatives (where applicable) in the process.

A good plan of action often includes a mixture of different responses such as:

- Temporary solution until more reliable controls can be put in place
- Long-term solutions to those risks most likely to cause accidents or ill health
- Long-term solutions to those risks with the worst potential consequences
- Arrangements for training employees on the primary risks that remain and how these risks are to be controlled
- Regular checks to make sure that the control measures stay in place
- Clearly defined responsibilities. Who will lead on what action and by when?

Remember, prioritize and tackle the most important things first. As you complete each action, tick it off your work plan.

Step 5: Review the Risk Assessment and Update if Necessary

Few enterprises stay the same. Sooner or later, you will bring in new equipment, substances, and/or procedures that could lead to new hazards. It makes sense, therefore, to review what you are doing on an ongoing basis. Every year, formally review where you are with respect to recognized good practices to make sure you are still improving, or at least not sliding back.

Look at your risk assessment again:

- Have there been any changes?
- Are there improvements you still need to make?
- Have your workers spotted problems?
- Have you learned anything from incidences or near misses?
- *Make sure your risk assessment stays up-to-date.*

When you are running a business, it's all too easy to forget about reviewing your risk assessment–until something has gone wrong and it's too late. Why not set a review date for this risk assessment now? Write it down and note it in your diary as an annual event.

During the year, if there is a significant change, don't wait. Check the risk assessment and, where necessary, amend it. If possible, it is best to think about the risk assessment when you're planning a change–that way there is more flexibility.

Source: 'Five Steps to Risk Assessment, Health and Safety Executive' (www.hse.gov.uk/pubns/indg163.pdf)www.hse.gov.uk/pubns/indg163.pdf)

ANNEX AF 2 GLOBALG.A.P. GUIDELINE: RISK ASSESSMENT – SITE MANAGEMENT

Control points AF 1.2.1 (M) and AF 1.2.2 (M) require producers to carry out a risk assessment of their production site and to take appropriate action to mitigate any risks identified.

Control Point AF 1.2.1

Is there a risk assessment available for all sites registered for certification (this includes rented land, structures, and equipment) and does this risk assessment show that the site in question is suitable for production, with regards to food safety, the environment, and the health and welfare of animals in the scope of the livestock certification, where applicable?

Compliance Criterion AF 1.2.1

A written risk assessment to determine whether the sites are appropriate for production shall be available for all sites. It shall be ready for the initial inspection and maintained, updated, and reviewed when new sites enter in production, and when risks for existing ones have changed, or at least annually, whichever is shorter. The risk assessment may be based on a generic one but shall be customized to the farm situation.

Risk assessments shall take into account:

- Potential physical, chemical (including allergens), and biological hazards
- Site history (for sites that are new to agricultural production, history of 5 years is advised and a minimum of one year shall be known)
- Impact of proposed enterprises on adjacent stock/crops/environment, and the health and safety of animals in the scope of the livestock certification

(See Annex AF 1 and AF 2 for guidance on risk assessments. Annex FV 1 includes guidance regarding flooding)

Control Point AF 1.2.2

Has a management plan that establishes strategies to minimize the risks identified in the risk assessment (AF 1.2.1) been developed and implemented?

Compliance Criterion AF 1.2.2

A management plan addresses the risks identified in AF 1.2.1 and describes the hazard control procedures that justify that the site in question is suitable for production. This plan shall be appropriate to the products being produced, and there shall be evidence of its implementation and effectiveness.

NOTE: Environmental risks do not need to be part of this plan and are covered under AF 7.1.1.

The risk assessment should consider relevant physical, chemical, and microbiological hazards and take into account the type of farm operation and the way in which farm output will, eventually, be used. The next table helps to identify the most common factors and hazards to consider when carrying out a site risk assessment. This is *not an exhaustive list of factors*. Growers shall consider it as guidance designed to help trigger their analysis of farm conditions in order to prepare the risk assessment for the site. They shall not consider these examples as a comprehensive list.

1. Legislation:

Legislation (national or local) may restrict the farm operations. Local regulations should be checked first to verify legal compliance.

2. Prior Use of Land:

Example of Factors to Consider	Example of Risks that can be Involved
Previous crops	Some crops (e.g. cotton production) typically involve heavy use of residual herbicides that can have long-term effects on cereal and other vegetable crops.
Former use	Industrial or military use can cause contamination to land through residues, petroleum contamination, garbage storage, etc. Landfill or mining sites may have unacceptable waste in their subsoil that can contaminate subsequent crops or harm livestock. They may be subject to sudden subsidence endangering persons working on the land. Husbandry may create zones of high microbial content (manure deposit, etc.).

3. Soil:

Example of Factors to Consider	Example of Risks that can be Involved
Soil structure	Structural suitability for intended use (including susceptibility to erosion) and chemical/microbiological integrity
Erosion	Conditions that cause losses of topsoil by water/wind that may affect crop yields and/or affect land and water downstream
Susceptibility to flooding	Susceptibility to flooding and probable contamination of soil through the flood
Wind exposure	Excessive wind speeds can cause crop losses

4. Water:

Example of Factors to Consider	Example of Risks that can be Involved
Water availability	Adequacy throughout the year, or at least the proposed growing season. The amount of water supply shall at least match the consumption of the intended crops. Water shall be available in a sustainable condition.
Water quality	The risk assessment should establish whether water quality is 'fit for purpose'. In some instances, 'fit for purpose' may be defined by a local authority. Evaluate probabilities of upstream contamination (sewage, animal farms, etc.) that may need costly treatments. For certain applications, the grower shall be aware of a minimum microbiological water quality specified by the authority or GLOBALG.A.P. Where this is the case, the requirements are specified in the relevant GLOBALG.A.P. module (WHO Guidelines for Drinking-Water Quality, 2008: *E. coli* or thermo-tolerant coliform bacteria shall not be detectable in any 100 ml sample). See also FV 1.1.1 under FV 1.1 'Risk Assessment'.
Authorization to use water	Rights or license of use of water: local laws or customs may recognize other users whose needs may pre-empt agricultural use at times. Environmental impact: While legal, some extraction rates could adversely affect flora and fauna associated with or dependent on the water source.

5. Allergens:

Food allergies have received much attention over the past few years with an estimated 2 % of adults and 5 % of children now suffering from some type of food allergy.

All foods have the potential to cause a food allergy, however there are groups of foods that are responsible for causing the majority of food allergies. In the EU, for example, 14 main allergens which are subject to labeling legislation have been identified: Celery, cereals containing gluten, eggs, fish, lupin (a kind of legume of the Fabaceae family), milk, molluscs, mustard, peanuts, sesame seeds, shellfish, soya, sulfur dioxide (used as an antioxidant and preservative, e.g. in dried fruits), and tree nuts.

Whilst the control of allergens is crucial for food processors and caterers, it is also a relevant issue to be considered by primary producers.

Allergens in fruits and vegetables are not as complicated as other foods. Cooking destroys many of them, and thus cooked fruits are often safe for fruit allergic people to eat. Peanut allergy can be so severe that only very tiny amounts of peanut can cause a reaction. Tree nuts such as Brazil nut, hazelnut, walnut, and pecan can cause symptoms as severe.
Lists of food allergens and information on labeling can be found on national or EU websites.

Example of Factors to Consider	Example of Risks that can be Involved
Previous crops	Mechanical harvest of crops in rotation with peanuts (legume grown underground) might introduce rests of peanuts. Transportation of produce in vehicles that have transported products in the group of main allergens may introduce cross-contamination if vehicles are not adequately cleaned.
Product handling	Cross-contamination when packing and/or storing of products in the same facilities with those considered amongst main food allergens

6. Other impacts:

Example of Factors to Consider	Example of Risks that can be Involved
Impacts on the neighborhood	Dust, smoke, and noise problems caused by the operation of agricultural machinery. Contamination of downstream sites by silt-laden or chemical-laden runoff. Spray drift.
Impacts on the farm	Type of adjacent farming activities. Smoke, fumes, and/or dust from nearby industrial or transport installations, including roads with heavy traffic. Insects attracted by crops, waste products, and/or operations using manure. Depredations by pests from nearby natural or conservation areas.

VERSION/EDITION UPDATE REGISTER

New Document	Replaced Document	Date of Publication	Description of Modifications
160201_GG_IFA_CPCC_AF_V5_0-1_en	150630_GG_IFA_CPCC_AF_V5-0_en	1 February 2016	AF 4 – Chapter description deleted as it belongs to AF 3; AF 4.4.1 CC – typing error corrected; AF 16.1 CC – small change of wording; AF 16.2 CC – corrected wording of Compliance Criteria; Annex AF 1 – change of wording of second bullet point under “What is Risk Assessment”
160630_GG_IFA_CPCC_AF_V5_0-2_en	160201_GG_IFA_CPCC_AF_V5_0-1_en	1 July 2016	AF 10, AF 15 and AF 16 amendment in titles of chapters; AF 15.1 CC – text added to third paragraph.
170630_GG_IFA_CPCC_AF_V5_1_en	160630_GG_IFA_CPCC_AF_V5_0-2_en	1 July 2017	Update of IFA structure graphic to include Hops module AF 16.1 – change in level AF 16.2 – change in level
190201_GG_IFA_CPCC_AF_V5_2_en	170630_GG_IFA_CPCC_AF_V5_1_en	1 February 2019	Included new control point and compliance criterion AF 17.1 Annex AF 2, 5. – text added
200221_GG_IFA_CPCC_AF_V5_3-GFS_en	190201_GG_IFA_CPCC_AF_V5_2_en	21 February 2020	New version because of changes in the General Regulations due to GFSI
200715_GG_IFA_CPCC_AF_V5_4-GFS_en	200221_GG_IFA_CPCC_AF_V5_3-GFS_en	15 July 2020	AF 1.2.2 – clarifying language added AF 1.2.3 – new control point AF 1.2.4 – new control point AF 2.1 – clarifying language AF 2.2 – new control point AF 2.5 – new control point AF 3.1 – changed to Major Must AF 3.2 – changed to Major Must and clarification added AF 3.3 – changed to Major Must AF 3.4 – clarifying language AF 3.5 – new control point AF 4.1.3 – changed to Major Must AF 4.2 – section title modified AF 4.2.1 – changed to Major Must AF 4.2.3 – new control point AF 13.5 – new control point

New Document	Replaced Document	Date of Publication	Description of Modifications
			AF 16.1 – changed to Major Must AF 16.2 – changed to Major Must AF 17 – section title modified, section renumbered AF 17.1 – new control point AF 17.2 – new control point AF 17.4 – new control point
211028_GG_IFA_CPCC_AF_V5_4-1-GFS_en	200715_GG_IFA_CPCC_AF_V5_4-GFS_en	28 October 2021	New version because of change in the Aquaculture scope due to GFSI

If you want to receive more information on the modifications in this document, please 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.

GLOBALG.A.P.

INTEGRATED FARM ASSURANCE
Aquaculture Module

CONTROL POINTS AND COMPLIANCE CRITERIA

ENGLISH VERSION 5.4-1-GFS

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PRINCIPLES

SITE MANAGEMENT
This section is intended to ensure that the land, aquaculture sites, buildings, and other facilities which constitute the farm are properly managed to ensure the safe and sustainable production of food.

CHEMICAL COMPOUNDS
Chemical compounds are defined as, but not limited to: Fuel, detergents, pesticides, fungicides, chemical treatments, disinfectants, pro-biotics, immuno stimulants, medicines (except medicated feeds), and other chemical compounds (paints, preservatives, anti-foulants, lubricants, battery acids, etc.) used in and around the premises. Hazardous chemical compounds: One or a combination of chemical compounds that may be a health or physical hazard to humans or to the environment (e.g. combustible, unstable, irritant, explosive, water reactive, corrosive, flammable, toxic) as indicated in the product and safety data sheet.

FISH WELFARE, MANAGEMENT, AND HUSBANDRY
Animal welfare, management, and husbandry practices are all essential to a sound performance within aquaculture. Meeting the physical, nutritional, and environmental requirements of the fish will result in reduced mortality, improved growth, and good fish health. Protection of animal welfare is furthermore an important aspect of the social acceptability of aquaculture.

MEDICINES
Refers to any product or substance that is deliberately used to modify the physiology of the fish.
The key objectives are:
- Ensure legal and responsible use of medicines and vaccines
- Protect consumer health
- Prevent the development of resistant micro-organisms
- Comply with the ethical obligation and economic need to keep animals in good health

TREATMENTS
Refers to the use of medicines or any other substance to prevent or cure a disease or condition of the fish. Any substance which comes into contact with the fish should be considered as a potential treatment.

AQUACULTURE FEED
Feed, including encapsulated shall meet the nutritional requirements of the aquaculture species and maintain the recognized human health benefits from the aquaculture species. Captured fish, if used, should come from fisheries that adhere to the 'FAO Code of Conduct for Responsible Fisheries' - GLOBALG.A.P. now requires *the percentage of independently certified fishmeal and fish oil in the feed to be recorded.* The efficient use of fish meal/oil from sustainable and responsible sources should be maximized. Refer to the GLOBALG.A.P. Compound Feed Manufacturing Standard section 15 'Responsible Use of Natural Resources'.

ENVIRONMENTAL AND BIODIVERSITY MANAGEMENT

This section is intended to ensure good practice with regard to the management and protection of the direct environment and natural resources. Farms are to be built and managed in such a way that both environmental and ecological aspects are addressed in a responsible manner, and that conserves biodiversity and existing ecosystem functions and recognizes other land uses, people and species depending upon these same ecosystems.

Environmental aspects are those impacts on the environment measurable by assessment of non-biological indicators, either physical or chemical, e.g. discharge of chemicals, waste water and materials, and the emission of noise, gases, and heat; the use of energy and natural resources.

Biodiversity aspects are those impacts on the environment measurable by assessment of biological indicators; biomass and biodiversity. These may be the chance introduction of non-native species or the extinction of local species due to the introduction of pathogens or environmental impacts.

SAMPLING AND TESTING TECHNIQUES

Fish shall be sampled and tested to monitor food safety and legality for the species produced on the farm. This is a tool for the producer to demonstrate that Good Aquaculture Practices are well implemented and that they are producing a safe and legal aquaculture species.

HATCHERIES AND NURSERIES

GLOBALG.A.P. Aquaculture certified products cover finfish, crustaceans, and molluscs as well as all stages of the specific species registered by the producer as long as the seedlings are derived from a certified supplier. Hatcheries shall be able to demonstrate that all broodstock is obtained through a breeding program. If wild caught broodstock are used, they shall demonstrate origin from an ecologically managed wild fishery. Passively collecting seedlings from the planktonic phase is allowed.

MANGROVES, PROTECTED AREAS, AND OTHER HIGH CONSERVATION VALUE AREAS

New ponds, farms sites or related facilities are built according to national planning and legal frameworks in environmentally suitable locations, making efficient use of land and water resources and in ways that conserve biodiversity (including protected areas and Ramsar sites), ecologically sensitive habitats (high conservation value areas) and ecosystem functions, recognizing other land uses, people and species depend upon these same ecosystems.

Nº	Control Points	Compliance Criteria	Level
AQ	**AQUACULTURE MODULE**		
	Presently, the word "fish" within this module refers to all species mentioned in the 'GLOBALG.A.P. Product List' published on the GLOBALG.A.P. website. This product list is extended for species based on demand and having regard for broodstock origin.		
AQ 1	**SITE MANAGEMENT**		
AQ 1.1	**Legislative Framework**		
AQ 1.1.1	Are farms operated in accordance with applicable legislation in relation to the GLOBALG.A.P. Standard?	The farm shall be able to present a written overview of all its activities combined with the applicable regulations to the GLOBALG.A.P. Standard. "Activities" include but are not limited to: Land ownership and use, labor, environment, veterinary aspects, biosecurity, workers' health and safety aspects, feed formulation, fertilization. No N/A.	Major Must
AQ 1.1.2	Are farm management able to explain how they fulfill their legal obligations with respect to the food safety, animal welfare, environmental and workers' health and safety legislation applicable to their enterprise?	Farm management are able to demonstrate awareness at interview of compliance with legislation as listed in AQ 1.1.1. No N/A.	Major Must
AQ 1.1.3	Are all aquaculture farms registered as such with the relevant competent authority as required by national legislation?	Registration and license documents are available. Examples include: Seabed leases and consents for discharge of effluent and license/concession from authority to grow a set biomass of aquaculture products or allocation of feed quota. No N/A.	Major Must
AQ 1.2	**Documentation**		
AQ 1.2.1	In the initial phase (first audit) of application of this standard, do site records demonstrate compliance to the GLOBALG.A.P. Standard for the last 3 months?	Records shall be in place for the last 3 months demonstrating compliance sufficient to achieve GLOBALG.A.P. certification. No N/A.	Major Must
AQ 1.2.2	Does the farm have a documented system available that covers all processes critical to food safety, legality, and the requirements of this standard?	Documented procedures and work instructions are available on-site demonstrating compliance with food safety, legality, and the requirements of this standard. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 1.2.3	Do the farm and production sites have an organizational structure with defined responsibilities?	The organizational structure document is in place. No N/A.	Major Must
AQ 1.2.4	Do geographical coordinates identify the farm?	Geographical coordinates shall identify all sites where the actual aquatic operation takes place. The coordinates should refer to the center of the production site (smaller sites; <1 ha.) or the corners of the contours of the larger production sites (> 1 ha.). The coordinates (degrees and minutes of latitude and longitude) shall be within an accuracy of 2 decimals in the geographical minutes (e.g. 15º 22, 65' N; 22º 43, 78' E) using the WGS-84 coordinate system. No N/A.	Major Must
AQ 2	**REPRODUCTION**		
AQ 2.1	**Broodstock and Seedling (Species Specific: Ova, Smolt, Fry, Fingerling, Larvae, Alevin, Spat, Nauplii and Post-Larvae, Others)**		
AQ 2.1.1	Are all broodstock obtained from a breeding program, or if wild caught broodstock are used, are they from an ecologically managed wild fishery?	Hatcheries shall be able to demonstrate that all the broodstock are obtained through a breeding program. If wild caught broodstock are used, the following shall be considered: • The broodstock shall be legally caught • There shall be scientific evidence to demonstrate that supplementation is beneficial for farmed stock improvement • That planned reduction in wild broodstock use is part of the broodstock program; • There shall be credible evidence that the incidental allocation of animals to farming activities does not increase the impact to wild populations and the ecosystem. Passively collecting seedlings (e.g. natural spat settlement for shellfish, entrance of nauplii through inlet water) from the planktonic phase is allowed. Collection methods (e.g. using nets) are not allowed. No N/A.	Major Must
AQ 2.1.2	Is there a breeding program aimed at stock improvement?	Monitoring records shall be available.	Minor Must
AQ 2.1.3	Are animals that have been used for broodstock risk assessed before entering the human food chain?	Documented evidence of identification, risk assessment, and as necessary disposal of broodstock for purposes other than human food is in place.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 2.1.4	Is the farming of genetically modified (GM) (transgenic) fish prohibited?	Producers are able to show traceability to broodstock that are not from a GM (transgenic) origin.	Major Must
AQ 2.1.5	If an invasive method is used for marking the fish, are the fish anesthetized before conducting the procedure?	Records shall show the use of anesthetics (if applied). Anesthetics shall be used for procedures in which a part of the body is entered, as by puncture, incision, or branding.	Minor Must
AQ 2.2	**Hatchery Management**		
AQ 2.2.1	Are documented procedures in place to prevent cross-contamination through all production stages, including separate equipment?	Clear disinfection/bio-security documented procedures are available especially between the broodstock area and holding spaces of earlier life stages. Documents and infrastructure are in place.	Major Must
AQ 2.3	**Brood Fish Stripping (If Brood Fish are Stripped, This Shall be Done with Consideration for the Animals' Welfare)**		
AQ 2.3.1	Are fish anaesthetized during stripping and sperm collection to avoid stress for the fish?	Records of anesthetic use shall be available or inspection.	Major Must
AQ 2.3.2	Are anesthetics used, approved by the relevant competent authority for use in aquaculture and for the named species?	Documentation on applied anesthetics shall be available. When no legislation is available, reference to accepted industry practices shall be in place.	Minor Must
AQ 2.3.3	If egg release requires incision, is this only done when the fish is dead?	A documented procedure for egg release shall be available for inspection	Major Must
AQ 2.3.4	Is fingerling transportation density and water oxygenation controlled to a level that is suitable for the species to reduce mortality and stress?	The stocking density during transport will be set by legislation and/or determined by the nature of the transport. Transport density records are available. Water oxygenation is controlled during transport.	Minor Must

Nº	Control Points	Compliance Criteria	Level
AQ 3	**CHEMICAL COMPOUNDS**		
AQ 3.1	**Chemical Compounds Storage**		
AQ 3.1.1	Is a product inventory documented and readily available for all chemical compounds in store?	For all chemical compounds in store, there shall be a documented, up to date record of the inventory including records of movements (use and supply). No N/A.	Major Must
AQ 3.1.2	Are manufacturer product specification and material safety data sheets (MSDS) available for all chemical compounds?	For all chemical compounds, MSDS shall be available, which as a minimum describe application, chemical compound composition/active ingredients, toxicity information, dosing and application method, required protective clothing for handling and emergency information, and actions in case of operator contamination. No N/A.	Major Must
AQ 3.1.3	Are chemical compounds stored in accordance with the manufacturer instructions and legislation?	Chemical compounds shall be stored in a secure lockable store and in accordance with manufacturer instructions, legislation and, where appropriate, be physically separated. Compliance includes a visual assessment of the chemical store. No N/A.	Major Must
AQ 3.1.4	Is there emergency information with corresponding facilities for workers to deal with accidents during handling (e.g. eye wash, plenty of clean water) where required?	Emergency information and facilities to deal with accidents during handling shall be in place where required. Cross-reference with AF 4.3.1.	Major Must
AQ 3.1.5	Is the chemical compounds store kept locked and access limited to workers with training (according to AF 4.2.2 and AQ 4.1.1)?	The chemical compounds store is locked at all times when not in use. Workers with access rights shall show evidence of training. No N/A.	Major Must
AQ 3.1.6	Are all chemical compounds stored in their original packaging, which shall be kept in a suitable condition to allow label instructions to be clearly identified?	All chemical compounds shall be stored in well maintained original packaging with readable labels. Small quantities for daily use may be put in suitable containers, labeled with the chemical compound name.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 3.1.7	Is the chemical compound store able to retain spillage and are there emergency facilities to deal with accidental spillage?	The chemical compound storage facilities shall be visually assessed to prove that they have retaining tanks or bund of at least 110 % of the largest liquid container, to ensure that there cannot be any leakage or contamination to the exterior of the store. The chemical compound storage facilities and all mixing areas shall be equipped with a container of absorbent inert material i.e. sand, floor brush, dustpan, and plastic bags, in a fixed location with a sign giving instructions in case of accidental spillage of concentrated chemical compounds. No N/A.	Major Must
AQ 3.1.8	Are there facilities and equipment suitable for measuring and/or mixing of chemical compounds to assure safe and accurate dosage?	The chemical compounds measuring/mixing areas have suitable equipment for accurate measuring and dosing of all chemical compounds in store, including measuring cups, jars, scales. Dosing equipment, where relevant, shall be calibrated with documentary evidence at least within the last 6 months. The equipment shall not be used for other purposes. No N/A.	Major Must
AQ 3.1.9	Is there suitable equipment available to prevent and to deal with operator contamination?	The chemical compound storage facilities and mixing areas shall be assessed to prove they are sufficiently equipped to prevent and deal with operator contamination for all chemical compounds in store, including protective gloves, eye-protectors, face mask (where required), eye wash capability, running water, first aid kit, and a clear accident emergency procedure. No N/A.	Major Must
AQ 3.2	**Empty Containers and Non-Used Chemicals**		
AQ 3.2.1	Are empty chemical compound containers not re-used unless risk assessed by a technically competent person? Are chemical compound containers disposed of by a legally licensed chemical compounds waste subcontractor or returned to the supplying company for recycling?	There is evidence that empty chemical compounds containers are *not* re-used in any form unless risk assessed as safe. There are records that chemical compound containers have been disposed of by officially licensed operators or returned to the manufacturer where relevant. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 3.2.2	Does storage and disposal of empty containers and non-used chemical compounds take place in a manner that avoids spillage and exposure to products, humans, and animals?	The system used to store and dispose of empty chemical compound containers ensures that products, persons or animals cannot come in contact with the empty containers or chemical compounds and that there is no risk of spill. No N/A.	Major Must
AQ 3.2.3	Are unused chemical compounds disposed of by a legally approved chemical compounds waste subcontractor or returned to the supplying company?	There are records that document that chemical compounds have been disposed of by officially authorized channels.	Major Must
AQ 3.3	**Transport of Chemical Compounds** (Refer to 'Chemical Compounds' under 'Principles')		
AQ 3.3.1	Are chemical compounds transported according to documented procedures?	A documented procedure for chemical compounds transport is available and considers food safety, health, safety and environmental risks.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 4	**OCCUPATIONAL HEALTH AND SAFETY**		
AQ 4.1	**Training**		
AQ 4.1.1	Have all workers received health and safety training?	Workers can demonstrate competency in responsibilities and tasks through visual observation. There shall be evidence of instructions and training records. A suitably qualified person may conduct the health and safety training if training records, and/or training material are available (i.e. need not be an outside individual who conducts the training). Training may include but is not limited to: • Chemical handling • Machinery operation • Boat handling • First aid • Emergency procedures • Personal hygiene • Swimming and diving • Confined spaces, enclosed areas requiring worker entry where there is limited natural ventilation and/or where access and exit points are restricted Cross-reference with AF 4.1.3 and AF 4.2.2. No N/A.	Major Must
AQ 4.1.2	Does the training outline the hygiene standards (based on AF 3.1 on risk assessment for hygiene) to be adopted by workers and visitors and address the requirements listed in the GLOBALG.A.P. Aquaculture Standard?	All workers shall have read, reviewed and signed for the farm's hygiene standard (based on AF 3.1 on risk assessment for hygiene) which shall cover the requirements listed in the GLOBALG.A.P. Aquaculture Standard. Workers shall be able to demonstrate awareness at interview. The training shall include the following: The need for hand cleaning; the covering of skin cuts with waterproof band aid; confinement of smoking, eating, and drinking to the appropriate areas; notification of any relevant infections or conditions; the use of suitable protective clothing. Cross-reference with AF 3.1 and AF 3.3. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 4.2	**Health and Safety**		
AQ 4.2.1	Do workers have access to toilets, clean food storage areas, designated eating and rest areas, handwashing facilities, and drinking water?	Toilets, handwashing facilities, potable drinking water, a place to store food and a designated place to eat and rest shall be provided to the workers. No N/A.	Major Must
AQ 4.2.2	Is all human waste from toilets collected and disposed of through sanitary sewage disposal systems that prevent contamination of the operational area and prevent direct release into open water systems as raw untreated sewage?	The method of disposal shall be known and records of waste removal and collection shall be in place (refer to AF 6.1.1).	Major Must
AQ 4.2.3	Are diving operations carried out in accordance with relevant legislation or at minimum in accordance with a health and safety risk assessment?	The producer shall be able to demonstrate that diving operations comply with the law or at minimum are in accordance with a health and safety risk assessment. Records of all divers (by name) and dives shall be in place.	Major Must
AQ 5	**FISH WELFARE, MANAGEMENT, AND HUSBANDRY** (AT ALL POINTS OF THE PRODUCTION CHAIN)		
AQ 5.1	**Traceability and Stock Origin**		
AQ 5.1.1	Are fish traceable to the previous farm(s) and back to their origin, including identification of corresponding batch(es) of ova and parent broodstock?	Fish shall be traceable to the previous farm(s) and back to their origin including identification of corresponding batch(es) of ova and parents. Traceability records shall be on site. No N/A.	Major Must
AQ 5.1.2	Are all fish movements at any life stage within, to and from the farm recorded and traceable?	Traceability records shall be on site. Records of all movements of fish for all stages in the life cycle shall include where applicable: Seedlings/stock origin, species, numbers, biomass, and production unit ID.	Major Must
AQ 5.1.3	Are all fish identified (on a batch level) to a specific batch or input throughout the growing period?	At each stage of the growth cycle, it shall be possible to identify the composition of a batch from its inputs. No N/A.	Major Must
AQ 5.1.4	Are domesticated broodstock purchased from a GLOBALG.A.P. certified source?	The records and certificates shall be available for inspection. Management shall be able to demonstrate awareness at interview.	Recom.

Nº	Control Points	Compliance Criteria	Level
AQ 5.1.5	Are seedlings purchased from a GLOBALG.A.P. certified supplier hatchery?	The records and certificates shall be available for inspection. Management shall be able to demonstrate awareness at interview. • Certification Audit: For initial compliance purposes it is required that seedlings suppliers are registered with a GGN on the GLOBALG.A.P. Database (as GLOBALG.A.P. Aquaculture seedlings) at the time of the fish producer's first GLOBALG.A.P. audit. The supplier shall be able to show proof of a self-assessment and provide a letter of commitment to certification by next audit. • Subsequent Audit (second audit): Suppliers shall be GLOBALG.A.P. certified or certified after a GLOBALG.A.P. benchmarked scheme. Ongoing compliance at subsequent audits of the seedlings supplier (whether internal or external) is required. • After this first year, any additional seedlings suppliers that start supplying the already certified GLOBALG.A.P. fish farm, shall be registered on the GLOBALG.A.P. Database from the moment seedlings are purchased, and shall demonstrate full GLOBALG.A.P. certified status at their first external audit after they started supplying. No N/A.	Major Must
AQ 5.1.6	Following certification, have all stocked fish spent their entire life on GLOBALG.A.P. registered or approved farm(s)?	Movement traceability records shall be in place to prove that all fish stocked since certification, come only from GLOBALG.A.P. registered or approved farms.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.2	**Fish Health and Welfare**		
AQ 5.2.1	Is a veterinary health plan (VHP) available, updated during last 12 months or for last production cycle or when new medicines or treatments not previously used have been added? Does a veterinarian recognized by the competent authority sign it off?	A VHP shall be available on the site. A veterinarian recognized by the competent authority shall approve the VHP (name, affiliation, and dated signature shall be included). The VHP needs to be updated annually or per production cycle if fish are at the farm for a shorter period than one year or when there is a need for update of any of the content of the VHP (i.e. inclusion of new medicines or treatments). The plan shall include but is not restricted to the following: 1. Name and location of farm(s) 2. Potential diseases, including preventive measures, disease mitigation, and disease spread 3. Medicines and treatments that may be used at the farm, including medicine name, active substance, indication, supplier, administration method, dosage, and pre-harvest withdrawal period 4. Pre-harvest withdrawal period which only begins when medicated feed is flushed from the farm feeding system, flushed feeds (feed intended to clear residues from the feed system) have been used 5. Vaccination protocols (when applicable) 6. Parasite controls 7. Bio-security procedures 8. Screening program in place for relevant pathogens 9. Risk assessment of medicinal residues in relation to food safety issues and potential impact on natural fish stocks around the farm 10. Action plan for harvestable fish when the MRL in the country of production and/or destination has been exceeded or is likely to be exceeded 11. If applicable, records of routine assigned veterinarian visits 12. Frequency and methods of culling, removal of sick, and disposal of dead animals 13. Frequency and methods of mortality inspection 14. Other prevention plans where applicable (monitoring of sensitivity and rotation of medicines to avoid resistance) 15. Record mortalities. Where a disease outbreak is suspected or mortalities are higher than expected the vet and relevant government official shall be notified.	Major Must

Nº	Control Points	Compliance Criteria	Level
		16. Mechanism of informing disease breakouts and to whom 17. Where antibiotics of critical importance for human health are used (www.who.int) the veterinarian shall give justification in writing for each occasion of this use. Critically important antibiotics shall not be used as products of first choice. 18. Any trials or testing of non-licensed medical treatments **A veterinarian is the professional responsible for health management on the farm who has the legal authority to diagnose disease and prescribe medication. This definition applies to all references to a veterinarian throughout the standards document.** No N/A.	
AQ 5.2.2	Are all pumps, surfaces and equipment that come into contact with fish, included vaccination facilities, suitably designed and operated to avoid physical damage and to ensure minimal stress to the fish?	Equipment shall be designed and fit for purpose to avoid physical damage and to ensure minimal stress to the fish.	Minor Must
AQ 5.2.3	Where there is a legal requirement for health status certification, are fish or seedlings introduced to the farm certified free from known diseases?	Fish or seedlings introduced to the farm shall be certified free from known diseases. Records shall be on site.	Major Must
AQ 5.2.4	Are broodstock prior to breeding screened and verified free of diseases (pathogens) that may be vertically transmitted?	Records and certificates shall be in place.	Major Must
AQ 5.2.5	Do seedling suppliers provide analytical test certificates of routine surveillance disease monitoring, at least for known diseases for the specific species as defined within the VHP?	Records shall include information on sampling protocols, test methods and reagents, frequency and results. The competent authority shall recognize the laboratory used for notifiable disease monitoring.	Major Must
AQ 5.2.6	Do fish intended for movement have a good health status following established parameters?	All fish intended for movement shall show a good health status following established parameters. Risk analysis of the common diseases of the species/location before moving to grow-on areas shall be in place. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.2.7	Do all farms have a process to notify the relevant competent authority of any disease where required to do so by law and as a minimum stipulated by the World Organization for Animal Health (OIE)?	Farms shall possess a written instruction to notify relevant competent authority of disease problems where stipulated by law or by the OIE). Producers shall demonstrate a knowledge of which notifiable diseases or types of mortality events shall be reported to the statutory authority or OIE. As a minimum any diseases stipulated as notifiable by the OIE shall be notified (www.oie.int). No N/A.	Major Must
AQ 5.2.8	Does the hatchery/farm have a system to register all disease occurrences?	A system to register all disease occurrences is in place. No N/A.	Major Must
AQ 5.2.9	Can producers demonstrate both understanding of hygiene practices and implemented procedures suitable to the farm?	A written hygiene plan detailing the most important elements regarding fish health: • Water quality • Cleaning methods • Cleaning agents • Disinfectants • Application period • Application frequency The plan is implemented and recorded. Workers shall be able to demonstrate awareness at interview. Cross-reference with AF 3.4. No N/A.	Major Must
AQ 5.2.10	Are fish stocks numbers, average weight and total biomass monitored at production unit level?	Fish stock numbers, average weight, and total biomass shall be monitored at production unit level. Records for monitoring and documentation shall be available.	Major Must
AQ 5.2.11	Is size variation within stocks of fish controlled?	Size variation within one holding unit (tank, pond, net pen, rope) shall be monitored. Levels at which size grading is necessary shall be established and justified. Procedures shall be present to assess and minimize factors affecting size variation.	Minor Must
AQ 5.2.12	Are fish monitored for health indicators and welfare problems affecting individuals?	Appropriate mechanisms for in situ checking and records of identification for health indicators and welfare problems shall be in place, including visual monitoring (directly or by video) for clear water species. The checking shall demonstrably be used as an early warning system for animal welfare, whereby additional care is shown in case of abnormalities. No N/A.	Minor Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.2.13	Does the farm have a system in place to assure appropriate feeding levels and feed usage records?	The farm shall have a system in place to ensure that feeding levels are in accordance with needs based on e.g. feed manufacturer's guidelines or farming experience. The system shall have a mechanism for the adjustment of feeding levels depending on appetite and expected biomass and to minimize feed waste. Feeding records shall be present and shall demonstrate monitoring of feed efficiency.	Major Must
AQ 5.2.14	Does the farm/hatchery/transport operate according to set densities?	A density shall be established in relation to fish size, production stage, environment and production system. Where no legislative requirements exist, the farm shall show that limits are based on scientific evidence or industry best practice regarding health and welfare. Density limits shall not be set as an average for the system, or as a production cycle average. Set densities shall not be exceeded. Stocking densities shall be calculated, and records shall be in place.	Major Must
AQ 5.2.15	Is a risk assessment for animal welfare undertaken?	An up-to-date risk assessment on animal welfare shall be present, which includes, but is not necessarily limited to: • Predation • Extraneous species present in the farm unit • Intensity and changes in artificial/sun light; diurnal rhythm • Acoustic disturbance and vibrations due to e.g. engines, pumps, aerators, others • Visual disturbances; (e.g. moving objects, persons, shadows) • Design and method of fish grading and counting systems • Electricity leakage into the holding facilities • Biotic factors (e.g. algae blooms) • Contaminations (contingency plan mandatory) • Physical marking – invasive procedure • Water flow rate Cross-reference with AF 1.2.1. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.2.16	Does the farm/hatchery/transport and holding facilities have a routine water quality monitoring and control program based on a risk assessment and taking into account potential contamination, fish health and welfare, and the production system?	The farm shall have in place a risk-based monitoring and control system for water quality to ensure the health and welfare of the fish is not compromised. The risk assessment (refer to AQ 10.1.5) shall include relevant water quality parameters, fluctuations, and sampling points (at farm or production unit level), such as temperature, dissolved oxygen, carbon dioxide, dissolved nitrogen (over-saturation), pH, ammonia, nitrate, nitrite, and suspended solids and microbiological parameters (e.g. fecal coliforms), among others identified in the risk assessment as necessary. Records for each site shall be in place. Frequency is established by the risk assessment. No N/A.	Major Must
AQ 5.2.17	Does the hatchery keep records of spawning and hatching conditions, up to the time of transfer to grow-out farms?	Hatcheries shall be able to show records of conditions (e.g. temperature, water properties, light, and manipulation).	Minor Must
AQ 5.2.18	Are fish treated and handled in such a way as to protect them from avoidable pain, stress, injury and disease, at all times?	Fish shall, at all times, be treated and handled in such a way as to protect them from avoidable pain, stress, injury, and disease. Workers shall be able to demonstrate awareness at interview. No N/A.	Minor Must
AQ 5.2.19	Are periods of crowding, time out of the water, grading, transport, and fasting justified?	For the particular species, the number and length of periods of crowding, grading, time out of water, transport, and fasting shall be considered, with limits to duration and number of each period established. Records showing adherence shall be present. Crowding shall consider the equipment used and the water quality. Crowding may also occur when feeding or during other routine processes.	Major Must
AQ 5.2.20	Is there feedback relating to animal welfare from slaughter/primary processing to the farm?	Health indicators from the fish exterior such as damage (e.g. scale loss, fin erosion, predator bites, handling scars, lesions resulting from aggression, parasite lesions), and deformities shall be noted at slaughter or upon arrival at the processing plant. There shall be a feed-back system of such information in relation to animal health and welfare on farm.	Minor Must
AQ 5.2.21	Is culling of fish done according to prescribed methods respecting animal welfare and the VHP (AQ 5.2.1)?	Culling of fish (removal, killing and disposal, including extraneous species, sick or deformed specimens) shall be done according to prescribed methods, including safe disposal. Stunning prior to killing is mandatory. Culling procedures shall be in place. Reference to AQ 5.2.1 on VHP.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.2.22	Is there a management plan for cohabitant species not intended for human consumption that applies the same welfare and bio-security principles as the commercially grown species?	There is a management plan for cohabitant species not intended for human consumption (e.g. cleaner fish in salmon farming) that applies the same animal welfare and bio-security principles as those for the commercially grown species. Operational controls for the management of these species shall be demonstrated.	Major Must
AQ 5.2.23	Are elements of the risk assessment on animal welfare applied for transport of live fish, eggs and juveniles?	The addressed elements in the risk assessment on animal welfare shall apply to transport of live fish, eggs and juveniles. Recipient waters shall have similar properties with regard to parameters relevant to fish welfare such as (but not necessarily limited to) salinity and temperature. Records of measurements shall be in place.	Major Must
AQ 5.3	**Treatments**		
AQ 5.3.1	Do producers only use medicines and treatments that are permitted by the relevant competent authority for use in aquaculture and for the named species? Is a list of all medicines and treatments that may be used available?	Producers can only use medicines and treatments that are permitted by the relevant competent authority for use in aquaculture and for the named species. A list of all medicines and treatments that may be used at the farm shall be available as part of the VHP. Cross-reference with AQ 5.4.1 on legal medicine purchases.	Major Must
AQ 5.3.2	Do medicines and treatments applied exclude the banned compounds under the FAO/WHO Codex Alimentarius including the following compounds? Nitrofurans (or its derivates), triarylmethane dyes (including, but not limited to malachite green, crystal violet, and brilliant green), stilbenes (including, but not limited to stilbene, dienestrol, diethylstilbestrol, exoestrol), chloramphenicol, nitroimidazoles (including, but not limited to dimetridazole, ipronidazole, metronidazole), or ß- agonists (including, but not limited to clenbuterol).	Medicines and treatments applied shall exclude the following compounds: Nitrofurans (or its derivates), triarylmethane dyes (including, but not limited to malachite green, crystal violet, and brilliant green), stilbenes (including, but not limited to stilbene, dienestrol, diethylstilbestrol, hexoestrol), chloramphenicol, nitroimidazoles (including, but not limited to dimetridazole, ipronidazole, metronidazole), or ß- agonists (including, but not limited to clenbuterol). List of medicines used at the hatchery and/or the farm shall be in place. Website: www.codexalimentarius.org	Major Must
AQ 5.3.3	Are medicines and treatments used at the farm authorized and/or prescribed by a veterinarian? Is the application according to the instructions in the VHP?	Medicines and treatments used at the farm shall be authorized and/or prescribed by a veterinarian. Application has to be carried out according to label instructions and veterinary prescription, following the instructions included in the VHP. Where the prescription is under the cascade principle, this shall be clearly recorded with justification for each treatment.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.3.4	If top dressing is required to be carried out on the farm, are all treatments and procedures used listed in the VHP and records kept?	Top dressing activities at farm level shall be avoided. Only when justified, this practice follows medication and treatments listed under the VHP. Records for this practice shall include • Target with justification, as recommended on the VHP • Responsible person for prescription • Responsible person for top dressing process • Active ingredient and product name • Concentrations used and mixing procedures following label instructions • Feeding administration procedure • Validation of active ingredient concentration • Withdrawal times	Major Must
AQ 5.3.5	Is the producer able to demonstrate compliance regarding maximum residue limits (MRLs) in the market where the farmed products are intended to be traded (domestic or international)?	The producer shall have available a list of current applicable MRLs for the market(s) where farmed product is traded in (whether domestic or international). The MRLs will be identified by either demonstrating communication with clients confirming the intended market(s), or by selecting the specific country(ies) (or group of countries) where farmed products are intending to be traded in, and presenting evidence of compliance that meets the current applicable country(ies') MRLs. Where a group of countries is targeted for trading, the producer shall comply with the strictest current applicable MRLs.	Major Must
AQ 5.3.6	Are natural or synthetic hormones and antibiotic agents *not* used for the purpose of promoting growth?	The producer shall be able to demonstrate the proper use of both hormones and antibiotic agents. No N/A.	Major Must
AQ 5.3.7	Are stock vaccinated according to the VHP under AQ 5.2.1?	The vaccination records shall be available for inspection.	Major Must
AQ 5.3.8	Are antibiotic agents only applied following the diagnosis of an infectious bacterial disease?	Antibiotic agents shall not be used prophylactically and only applied as a therapeutic dose where an infectious bacterial disease is diagnosed. Reference to VHP.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.3.9	Are fish flesh residue analyses carried out based on food safety risk assessment to verify compliance with MRLs for approved medicines and to verify there are no residues of non-approved substances? Are the analyses performed by an independent, ISO 17025 accredited (or equivalent standard) laboratory? National surveillance and control programs undertaken by the relevant competent authority may be used for documentation.	Fish flesh residue analyses need to be carried out based on food safety risk assessment to verify compliance with MRLs for approved medicines and to verify that no residues of non-approved substances are present. Analyses shall be performed by ISO 17025 accredited (or equivalent) independent laboratories (refer to AQ 6.2 on sampling procedures). Where national surveillance and control programs operate but where corrective actions do not take place, evidence of independent regular accredited testing shall be provided or verified declarations of non-use made available. Records of independent regular accredited testing shall be in place to back up non-use declarations.	Major Must
AQ 5.3.10	Are unused medicines or medicated feed past their use-by date and empty medicine containers or empty medicated feed bags disposed of in a controlled manner that will not result in subsequent misuse?	There shall be a documented procedure in place detailing methods of disposal (according to the manufacturer's instructions and legal requirements, if applicable) and justification.	Major Must
AQ 5.4	**Treatment Records**		
AQ 5.4.1	Do all farms maintain dated records of medicines and treatment purchases or deliveries and are records of their administration to stock accurately recorded and up to date? This includes medicated feed.	Products in use/store shall be recorded in accordance with standard requirements and records shall be in place. For the Purchase Record: Date of purchase, name of product, quantity purchased, batch number; expiry date, name of supplier. For the Administration Record: Batch number, date administered, identity of fish/group treated, quantity or bio-mass of fish treated, dosage and total quantity of medicine used, date treatment finished, date withdrawal period completed, earliest date the fish are available for consumption, name of the person(s) who administered the medicine by date.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.4.2	Is the producer able to provide a complete history and current overview and trend analysis of fish treatments and application methods and that these are carried out according to the VHP?	All fish treatments shall be recorded and trended. Typical trend analysis may include: • Where antibiotics are used, a trend relating to the quantity of active ingredient versus harvest tonnage can be calculated for defined batches. • Where chemical compound treatments are used, a trend relating volumes used versus fish numbers produced can be calculated for defined batches. • Number of treatments and frequencies of specific disease treatments	Major Must
AQ 5.4.3	Is there a system in place to identify batches of fish having received treatment, for which there is a required pre-harvest withdrawal period?	System shall be in place at site to identify and prevent accidental harvesting of batches of fish that have received treatments and are in pre-harvest withdrawal period. Workers shall be able to demonstrate awareness at interview.	Major Must
AQ 5.4.4	Are pre-harvest withdrawal periods for relevant treatments, and for relevant production units, known and strictly adhered to?	There shall be a written confirmation of the nature and the date of treatment and the date that the pre-harvest withdrawal period will be completed. Any fish subsequently sold to another farm before the pre-harvest period has expired, shall be identifiable as such. Required withdrawal periods for production units that may be indirectly affected by treatment of another production unit (e.g. through feed spill, sharing the same waters) shall be based on risk assessment (refer to AQ 5.2.1 on VHP). Workers shall be able to demonstrate awareness at interview.	Major Must
AQ 5.5	**Mortality**		
AQ 5.5.1	Is mortality inspection and removal from the production units carried out according to the VHP?	Mortality records shall be available for inspection. Moribund fish shall be removed as they appear. No N/A.	Major Must
AQ 5.5.2	Are all mortalities and cause of death recorded at production unit level? Are results trended?	Records for daily mortality and cause of death, when known, shall be in place per production unit. Workers shall show awareness of fish health status/mortality causes at interview. Actions shall be taken when trends are identified. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.5.3	Does the farm have a system for dead fish removal, storage and disposal that ensures that environmental aspects and risk of pathogen and disease spread to own stock and wild fish species are not compromised?	Dead fish shall be removed, intermediately stored and disposed of in a way that ensures that environmental aspects and risk of pathogen and disease spread to own stock and wild fish species are not compromised. Farm records shall be in place to show protocols for dead fish removal, storage and disposal. No N/A.	Major Must
AQ 5.5.4	Does the farm have a contingency plan to deal with mass mortalities?	The farm shall have a contingency plan to be able to deal with mass mortalities. Workers shall be able to demonstrate awareness at interview. No N/A.	Major Must
AQ 5.6	**All Pens in Water Bodies**		
AQ 5.6.1	Do suspended pen nets never touch the bottom of the water body?	The records of depths measurements shall demonstrate that suspended pen nets never touch the bottom of the water body.	Major Must
AQ 5.6.2	Are all nets in use individually identifiable and maintained in good condition? Is the integrity of the nets visually inspected on a frequency based on risk assessment or manufacturer guidelines and immediately after any special event (e.g. storms) to ensure that any damage that may lead to risk of fish escapes is identified and corrected? Is net strength tested based according to manufacturer guidelines?	Maintenance records shall be kept for each net, documenting age, condition, repair, types and dates of treatments/cleaning, location, net inspection records, divers' observations (when applicable), and records of corrective actions that have been taken according to results of monitoring operations	Major Must
AQ 5.6.3	Is the recorded net mesh size appropriate for the size of fish (including cohabitant species) to prevent escapes and risk of injuries to the fish?	Records of net mesh measurement shall be in place. Net mesh size shall be appropriate for the fish size (including cohabitant species) to prevent escapes and risk of injuries to the fish.	Major Must
AQ 5.6.4	Are pens and mooring systems suitably designed for their location and weather conditions according to a risk assessment and are they correctly installed? Are pens and mooring systems maintained on a regular basis by persons with suitable training or experience and according to a written plan?	A risk assessment that considers the suitability of cage and mooring design shall be available for inspection. Specifications for cages and mooring systems shall be available, including names of persons or company carrying out the installations. Evidence of training or experience of persons responsible for installation and maintenance shall be available. A written maintenance plan for anchors, mooring equipment, and cages, including details of renewed parts shall be available.	Major Must
AQ 5.6.5	Are pens clearly marked with navigation aids?	The pens shall be appropriately marked where necessary.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.7	**Ponds**		
AQ 5.7.1	Are fallow periods defined? Where there is no fallowing has a fish health risk assessment been done?	The fallowing and restocking dates for sites/ponds (where these are independent units) shall be defined and records kept. Where ponds are not fully drained, checks shall have been done to ensure all fish are removed from the individual units and critically before treatment of any water remaining in the pond. Workers shall be able to demonstrate awareness at interview. Where there is no fallowing a fish health risk assessment shall be in place.	Minor Must
AQ 5.7.2	Are vegetative buffer zones and habitat corridors around pond systems and adjacent to farm boundaries, maintained in good order, and where practical, improved?	Vegetative buffer zones and habitat corridors are maintained to minimize the effect of site operations on the environment. Consideration shall be given to the creation of vegetative buffer zones and habitat corridors when they are not already in place.	Minor Must
AQ 5.7.3	Is sewage or manure not used as fertilizer?	The producer shall demonstrate that treated or untreated sewage waters and animal manure are not used on the farm. Workers shall be able to demonstrate awareness at interview.	Major Must
AQ 5.7.4	When pond rearing is based on, or complemented with inorganic fertilization, are there defined procedures available? Are records kept of fertilizers added to the pond, and quantities?	Written procedures and records of fertilizer added to pond and quantities shall be in place.	Major Must
AQ 5.7.5	Is dredged sediment disposed of according to the environmental management plan (EMP) (see AQ 9.1.4)?	Records of disposal shall be in place.	Major Must
AQ 5.8	**Biosecurity (In Addition to Food Defense Requirements of the All Farm Base Module)**		
AQ 5.8.1	Does the site have a documented biosecurity plan?	The biosecurity plan is in place and shall include as a minimum: • Risk assessment • Training • Site hygiene • Risk of introduction of pathogens and disease • Systems to prevent and disinfect • Fallowing policies • Area management plan No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.8.2	If there is an area management plan, is the farm actively participating and can they demonstrate compliance with the plan's requirements?	Area management plan relates to an agreement between producers, usually at the same water body that includes measures to prevent the introduction and spread of pathogens and disease. The producer shall show documented evidence of participation.	Major Must
AQ 5.8.3	Where used, are harvest containers disinfected before re-use and transfer to the growing sites?	Records of cleaning and disinfection shall be in place where applicable.	Major Must
AQ 5.8.4	Is there a written equipment cleaning and disinfection plan? Can producers demonstrate both understanding of biosecurity practices and cleaning and disinfection procedures suitable to the farm?	A written cleaning and disinfection plan, detailing the most important elements regarding fish health, in particular: • Cleaning water quality • Cleaning methods • Cleaning agents • Disinfectants • Application period • Application frequency • Disease control The plan exists and is implemented and recorded. Equipment in direct or indirect contact with the fish shall be constructed of materials that do not hinder proper cleaning and disinfection. Workers shall be able to demonstrate awareness at interview. No N/A.	Major Must
AQ 5.8.5	For all machinery and equipment (including filters), is a record kept of details of maintenance, cleaning and disinfecting?	Records of maintenance, daily cleaning and disinfecting shall be in place where applicable.	Major Must
AQ 5.8.6	Are vehicles and boats (including all transport systems and associated equipment) used for transporting fish or aquaculture feed, whether owned by the producer or subcontractors, inspected for cleanliness and disinfection according to risk assessed documented procedures and any necessary corrective action taken?	The risk assessment shall specify the required cleaning and disinfection and records of inspection and corrective actions shall be in place. No N/A.	Major Must
AQ 5.8.7	Is there a separation or disinfection of equipment, workers and vehicles between operating sites to reduce transfer of diseases?	Documented procedures and records of disinfection where required, shall be in place. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.8.8	Does the infrastructure support quarantine procedures for the site or farm in case of an infectious disease outbreak?	If an infectious disease breaks out, the infrastructure shall support the documented quarantine procedures.	Major Must
AQ 5.8.9	Unless the health status is verified in advance, are broodstock/seedlings held in quarantine until their disease status is verified prior to their transfer to other areas?	Health status or quarantine records shall be in place.	Major Must
AQ 5.8.10	Are farms maintained in a clean and hygienic condition?	Farms shall be kept in a clean and hygienic condition to reduce risk of disease and pathogen spread between operation areas and/or production units. No N/A.	Major Must
AQ 5.8.11	Where there is a fallow period, is disinfection carried out between harvest and restocking?	Documented procedures and records of disinfection shall be in place.	Minor Must
AQ 5.8.12	Is there a risk assessment in place that includes the need of incoming water disinfection in hatcheries and subsequent impact of discharge water?	A risk assessment is in place that includes consideration of the need of incoming water to be disinfected in hatcheries. If disinfection is required, it shall be carried out effectively. Reference shall be made to the environmental impact assessment (EIA)/EMP (AQ 9.1.3) with respect to release of pathogens and/or disinfectants.	Major Must
AQ 5.9	**Machinery and Equipment**		
AQ 5.9.1	Are all equipment and systems designed, installed and operated to minimize the risk of compromising fish health or risk of fish escapes?	All equipment and systems shall be designed, installed and operated to minimize risk of compromising fish health and welfare and to prevent risk of fish escapes.	Major Must
AQ 5.9.2	Are measures in place to prevent the escape of farmed stock into the local watercourse or ingress of indigenous species into the fish holding areas?	The contingency plans and records of all escaped fish for the previous twelve months and confirmation that escape incidents have been reported to the authorities shall be in place for all sites. The hatchery/farm shall have an effective and documented procedure to prevent accidental release of stock to the environment. Where applicable, pen structures and moorings shall be inspected according to a documented schedule based on risk assessment. Routine maintenance and repair or replacement shall be actioned and recorded.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 5.9.3	For all machinery and equipment (including filters) critical to ensure good fish health and welfare, is a record kept of the following: Details of maintenance and calibration, details of calibration testing and monitoring equipment (e.g. oxygen probes)?	For machinery and equipment critical to ensure good fish health and welfare shall be operating effectively. Records to demonstrate appropriate maintenance and calibration shall be in place.	Major Must
AQ 5.9.4	Where fish welfare is dependent upon automatic systems/equipment (e.g. oxygen level, pump pressure), are the systems equipped with alarms in case of failure and are these tested on a regular basis?	Where fish health and welfare may be compromised due to system/equipment failure, these equipment/systems shall be equipped with alarms. Records of alarm testing shall be in place.	Major Must
AQ 5.9.5	Where risk assessments show that oxygen levels could drop below the minimum for species welfare, are oxygen supplementation systems available and maintained in good repair?	Oxygenation shall be available for the peak stocking density at lowest predictable oxygen levels. A backup oxygen supplementation system is available in case of failure of the principal system. For closed recirculation systems, equipment to saturate water in O2 is necessary due to the high density of fish. Refer to AQ 5.2.15 on risk assessment on animal welfare.	Minor Must
AQ 5.9.6	Are all vessels licensed by the relevant authority where this is compulsory and are they fitted with safety equipment that meets legal requirements in the country of operation?	The valid licenses records and appropriate safety equipment shall be present.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 6	**SAMPLING AND TESTING**		
AQ 6.1	Is the sampling program including frequency of testing, based on likely contaminants, residues and substances for the type and location of the aquaculture operation and are feed ingredients considered?	List of substances to be analyzed are based on: • Local/national legislation • Requirements given by customer(s) • Substances listed in the veterinary health plan Frequency is determined based on the risks identified in the sampling program. Analysis results are available for inspection. Harvested aquaculture origin products, which are likely to be consumed without any antimicrobial treatment (e.g. heating) must be screened for relevant food pathogens. No N/A.	Major Must
AQ 6.2	Is the laboratory used for testing accredited to the ISO 17025 standard or successfully participating in a proficiency ring-testing program?	Testing as required according to point AQ 6.1 shall be carried out by a laboratory accredited to ISO 17025, or having proof of successful participation in proficiency ring testing program. Accreditation shall be demonstrated either on official letter headings or in accreditation schedules. Documentation that shows the laboratory is in the process of accreditation to the applicable scope by a competent national authority is acceptable. Non-accredited laboratories shall have documentary proof of successful participation in proficiency ring-testing for the applicable scope.	Major Must
AQ 6.3	Are laboratory test results traceable to the specific batch?	The laboratory test results shall be traceable to the specific batches. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 7	**FEED MANAGEMENT**		
AQ 7.1	**General**		
AQ 7.1.1	Do all fish stocks receive a compound feed diet, which is suitable for the species farmed?	Documentation and specification of the compound feed used shall demonstrate its application.	Major Must
AQ 7.1.2	Has all compound feed used at the farm been manufactured by and obtained from a recognized source?	The compound feed manufacturing (CFM) production locations where the feed is sourced from (whether internal or external), shall be certified against the: • GLOBALG.A.P. CFM Standard or • A standard that has been successfully benchmarked against the GLOBALG.A.P. CFM Standard or • An ISO/IEC 17065 or ISO/IEC 17021 accredited feed safety scheme For compound feed recognized through option iii), a letter from the feed supplier stating compliance against section 15 of the GLOBALG.A.P. Compound Feed Manufacturing (CFM) Standard, under section 'Responsible Use of Natural Resources' shall be in place. For option i), the CFM production locations shall be registered in the GLOBALG.A.P. Database (by the time of the producer's first audit) with a GLOBALG.A.P. Number that will link it to the aquaculture producer. For Options 2 and 3 registration of supplier name and accredited scheme used replaces the GGN in the GLOBALG.A.P. Database. **(*) ISO/IEC 17065 (same as EN 45011): General requirements for (certification) bodies operating PRODUCT certification system.** **ISO/IEC 17021 (former EN 45012): Conformity assessment – Requirements for bodies providing audit and certification of MANAGEMENT SYSTEMS.**	Major Must
AQ 7.1.3	If the hatchery uses raw unpasteurized or live feed, is this risk assessed and controlled?	A risk assessment is available to show that raw unpasteurized or live feed will not affect food safety and poses no risk to the farmed stock. Evidence of routine surveillance disease monitoring for pathogens shall be in place and make part of the risk assessment.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 7.1.4	Are protein elements NOT obtained from the same fish species?	Feed specifications and records shall be in place and they shall demonstrate source from different species.	Major Must
AQ 7.2	**Feed Records**		
AQ 7.2.1	Are batches of fish feed traceable from the feed manufacturer to the batch of fish?	Batches of feed from the feed manufacturer shall be traceable to batches of fish. System or documentation shall be in place.	Major Must
AQ 7.2.2	Are documentary records (for example invoices) of feed suppliers from whom compound feeds and other animal feed materials have been purchased kept for 2 years or one year longer than the life cycle of the species farmed, whichever is longer? Do these records include the type of feed, quantity, source, and date of delivery?	Records of feed purchases shall be in place and held for 2 years or one year longer than the life cycle of the species farmed, whichever is longer.	Major Must
AQ 7.2.3	Do fish farms obtain from their feed suppliers a declaration that the formulation of each diet conforms to the GLOBALG.A.P. specifications?	Statements specifying conformity shall be in place.	Major Must
AQ 7.2.4	Is all feed used, consumed before the shelf life expires?	Feed whose shelf life has expired shall not be used and be disposed of in an environmentally responsible manner according to written procedures. Feed in store shall be assessed for expiry dates on labels.	Major Must
AQ 7.2.5	Are means taken to avoid over-feeding?	Records for feed conversion rates and efficient use of feed monitor systems shall be in place.	Major Must
AQ 7.2.6	Is there a procedure in place to ensure that samples from batches of feed are taken by the farming company or by the feed manufacturer starting at least 4 months before harvest? Are samples labeled and kept for a minimum period of 6 weeks after the fish are sold?	The producer shall show evidence that there is a procedure in place to collect and store samples of feed used during the on-growing period, and that samples are retained for at least 6 weeks after sale of the fish. Workers shall be able to demonstrate awareness at interview.	Major Must
AQ 7.3	**Storage of Aquaculture Feeds**		
AQ 7.3.1	Is specific feed for different species clearly identified?	The site and records shall be assessed to prove identification of feedstuffs for different species.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 7.3.2	Are feeds, including all medicated feeds, stored and handled in accordance with good practice and manufacturer instructions to minimize any risk of contamination?	Proper training and instructions for storing, checking, and handling shall be in place and implemented for regular and medicated feeds (separated for different species and for parallel production, where applicable). The storage sites and feed components shall be checked at regular intervals for cleanliness, fungus, molds, temperature, and other potential contamination.	Major Must
AQ 7.3.3	Are there written instructions on how to deal with excess medicated feed and flush feed? Are these instructions followed?	There shall be written instructions in place including evidence that consideration has been given to pre-harvest withdrawal periods following the use of flush feed. Staff shall be aware at interview.	Major Must
AQ 7.3.4	Are medicated feeds kept in separate, clearly labeled and identified bulk storage or bags?	The site and records shall be assessed to prove that there is no cross-contamination between medicated and non-medicated feed. Clear labeling/identification shall be in place.	Major Must
AQ 8	**PEST CONTROL**		
AQ 8.1	Does the producer or subcontractor control the risk of pest infestation in buildings and other facilities to prevent infestation?	Monitoring records of identified risk locations and preventive measures shall be in place and available. The location of all pest control measures is identified on a plan/diagram of the site and includes all operations. No N/A.	Major Must
AQ 9	**ENVIRONMENTAL AND BIODIVERSITY MANAGEMENT**		
AQ 9.1	**Environmental Management**		
AQ 9.1.1	Is there a waste management system in place, according to the environmental risk assessment (ERA), to ensure collection and legal disposal of all waste, the prohibition of burning of plastic and paper wastes, the maximum use of recycling, and avoidance of landfill?	Waste disposal routes to be documented according to the ERA. Waste shall be gathered and stored in a dedicated location. Records of collection and recycling (or disposal by legal routes avoiding landfill, where possible) shall be in place. Cross-reference with AF 6.2.1. No N/A.	Major Must
AQ 9.1.2	Is the producer committed to a formal environmental and biodiversity policy, including the element of review and continuous improvement and where appropriate supported by codes of practice, management protocols and practices, record keeping, and regulatory compliance certificates?	The environmental and biodiversity policy documents and records shall be in place. Management shall be able to demonstrate awareness at interview and have identified those responsible for review (internal or external).	Minor Must

Nº	Control Points	Compliance Criteria	Level
AQ 9.1.3	Is a continuously updated biodiversity-inclusive EIA and ERA in place?	A biodiversity-inclusive EIA and ERA shall be done, which shall be updated following relevant changes in the farm operations with respect to veterinary or environmental threats. Legal compliance of all issues shall be demonstrated. Please refer to AQ Annex 1 for examples of EIA, ERA, and respective EMPs, and to 'AQ Annex 2: Biodiversity in Environmental Impact Assessment'. Qualified persons who can show documented evidence of their competence shall do the preparation of the ERA. Minimum requirements for an EIA may be, but are not restricted to, the following processes that are inherent to regular farming: Effluent BOD/COD load; • Effluent Kjeldahl nitrogen nitrate and nitrite load • Effluent phosphorus load • Effluent suspended solids load • Disposal of solid wastes and litter • Use and legal disposal of all chemical compounds (see definition) • Emission of light, sound, and vibrations • Emission of exhaust gases (e.g. generator sets) • Abstraction and discharge of ground water with respect to volume and analysis • Use of energy derived from fossil fuels (e.g. diesel) or indirectly from other sources (e.g. electricity from municipal supply); Visual disturbance from farming activities Minimum requirements for ERA may be, but are not restricted to, the following processes that do not normally occur, but may happen accidentally during the course of operations: • Accidental spill during storage and handling of chemical compounds and fuels • Emissions resulting from fire and fire extinguishing • Release of farmed animals, including seedlings (eggs, larvae, others) and their parasites • Salinization of ground water and fresh water bodies • Temporary exceeding of water discharge limits No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 9.1.4	Is a biodiversity-inclusive EMP (based on the EIA in AQ 9.1.3 and the risk assessment mentioned in AF 1.2.1) developed, setting out strategies to minimize all effects on environment?	An effective biodiversity-inclusive EMP shall be in place. This shall incorporate a regular environmental monitoring program. The records of disposal and emission shall demonstrate both legal compliance and compliance with the EMP. No N/A.	Major Must
AQ 9.1.5	Is there a sampling program to monitor the impact of the farming activity on the benthic fauna and recipient water body sediment?	For all farming systems, monitoring of benthic biodiversity, chemical indicators and possible accumulation of chemical residues in the recipient water body sediment shall take place. Type of analysis and monitoring frequency is determined based on the risks identified in the EIA (refer to AQ 9.1.3). Analysis results are available for inspection.	Major Must
AQ 9.1.6	Does the design and construction of site support the biodiversity plan?	The biodiversity plan or program shall be included in the biodiversity-inclusive ERA mentioned under AQ 9.1.3. No N/A.	Major Must
AQ 9.1.7	Have the competent authorities and local communities been informed if salinization of ground water takes place?	Documented evidence shall be available that the competent authorities and local communities have been informed if salinization takes place.	Minor Must
AQ 9.2	**Predator Exclusion Plan**		
AQ 9.2.1	Subject to risk assessment results, predator nets may be required. Are there nets of a size that restricts access to fish stocks and not of a size to allow entanglement?	Predator nets shall not allow entanglement. Refer to AQ 5.2.15 on risk assessment on animal welfare.	Minor Must
AQ 9.2.2	Subject to risk assessment results, is there in place a regular net and predator net checking system used to reduce negative interaction with wildlife?	The records and management system for nets shall be in place to prove that they exist and operate to reduce negative interactions with wildlife.	Minor Must
AQ 9.2.3	Are predator controls implemented so as to prevent wildlife destruction by the use of exclusion measures or scaring devices? Are lethal predator control techniques on endangered species prohibited?	An effective predator control plan shall be in place. Predator control records (mortalities, species and dates) shall be present. Documented anti-predator methods shall be in place in accordance to relevant legislation and codes of practice. Lethal predator control techniques shall not be used on endangered species. Exceptions may only be made (e.g. in case workers' safety is in danger or as an act of mercy) if all available non-lethal control options have been exhausted. List of endangered species in the region shall be present on site.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 9.2.4	Where destruction of predators is unavoidable, is this within the constraints of legislation?	Legal permit allowing destruction of predators (stating numbers and species) shall be present. Producers shall record all predator mortalities.	Major Must
AQ 9.3	**Escapes**		
AQ 9.3.1	Does the EMP (see AQ 9.1.4) include a contingency plan and a standard operating procedure to avoid escape of farmed stock into the sea or local fresh water course?	The EMP includes a contingency plan. Procedures to avoid escapes shall be in place. The contingency plans and records of all escaped fish for the previous 12 months and confirmation that they have all been reported to the authorities for all sites shall be in place. The hatchery/farm shall have an effective and documented procedure to prevent accidental release of stock to the environment. Where applicable, pen structures and moorings shall be inspected according to a documented schedule based on risk assessment. Routine maintenance, and as necessary repair procedures, shall be actioned and recorded. No N/A.	Major Must
AQ 9.3.2	Are precautions in place to prevent erosion of dams or channels that could lead to subsequent escapes?	Precautions are taken and an action plan is in place to prevent erosion and subsequent escapes.	Major Must
AQ 9.3.3	Are canals, embankments and sheeting constructed in such a way that the adverse effect of high flood levels is limited?	The infrastructure shall be calculated for high flood levels. Additional infrastructure to prevent escapes is part of the preventive measures. Evidence of high-flood levels shall be presented.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 9.4	**High Conservation Value Areas**		
AQ 9.4.1	Has the farm site or related facilities not been established within a designated national protected area (PA), PAs with IUCN categories Ia through to IV, or areas defined under international conventions (such as Ramsar or World Heritage)? If within PA IUCN category V or VI, consent of PA management required.	There is evidence that the farm site or related facilities are not within a PA. 'ANNEX III: The World Database on Protected Areas (WDPA)' is the most complete compilation of protected areas data available. The 'WDPA Consortium 2006 web-download', contains the 2006 version of the 'World Database on Protected Areas (WDPA)'. This web-download includes all the GIS and attribute data for designated national protected areas with IUCN categories Ia through to VI, designated national protected areas without an IUCN Category, and areas defined under international conventions and agreements. The datasets are available as free downloads at: http://www.protectedplanet.net . Evidence to include: Geographic location provided at registration. If present within PA category V or VI, auditor to contact PA authorities to establish if farm is in line with management objectives of PA. Information made public. See 'AQ Annex 3: 'The Ramsar Convention on Wetlands'.	Major Must
AQ 9.4.2	Has the new pond, farm site or related facilities *not* been established (before April 2008) in areas that were previously within a mangrove ecosystem, within the natural inter-tidal zone, or a high conservation value area.	If built after April 2008, there is evidence that the area was *not* previously part of a mangrove ecosystem, within the natural inter-tidal zone, or a high conservation value area (values 1-4) before April 2008. Evidence to be checked within biodiversity inclusive EIA and to include: Record of land use/status and habitat types prior to farm building, presence of IUCN red list species, remote sensing/satellite imagery. Information made public.	Major Must
AQ 9.4.3	Farms established between May 1999 and April 2008 within mangroves, the natural inter-tidal zone, or a high conservation value area shall show evidence that they are in the process of being retired, rehabilitating the area and, if necessary, compensating surrounding communities. From the date of first certification, a maximum of 3 years is allowed to complete the retirement and rehabilitation process, after which new locations (if any, outside these areas) may be considered for certification.	There is a written rehabilitation plan containing at least objective, time frame, means, activities, expected output, and financing and compensation provision in agreement with local communities. Evidence of recent funding of rehabilitation (plans) is available. Information made public. Background: Convention on Wetlands (Ramsar) - Resolution VII.21 entitled 'Enhancing the conservation and wise use of intertidal wetlands', adopted at 7th Meeting of the Conference of the Contracting Parties to the Convention on Wetlands, San José, Costa Rica, 10-18 May 1999. Article 15: "Contracting Parties to suspend the promotion, creation of new facilities, and expansion of unsustainable aquaculture activities harmful to coastal wetlands..."	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 9.4.4	Do farms within inter-tidal, mangrove, and high conservation value areas improve the environment through management and restoration, retiring non-compliant ponds and increasing productivity of remaining farm areas above the inter-tidal zone?	There is a written restoration plan containing at least objective, means, activities, expected output and financing and compensation provision in agreement with local communities. Evidence of recent funding of restoration (plans) is available when operations are in mangroves or inter-tidal areas.	Major Must
AQ 9.4.5	Were mangroves removed for allowable purposes?	The removal of mangrove vegetation is only allowed for channels or piping that service sites above the inter-tidal areas, and when official permits of the public sector have been granted and when a rehabilitation plan is part of the permit.	Major Must
AQ 9.4.6	Is there a rehabilitation plan for when a site operation within mangroves or other sensitive ecosystems retires?	There is a written rehabilitation plan for when operations in mangroves or other sensitive ecosystems retire, containing at least objectives, means, activities, expected output, and financing.	Major Must
AQ 10	**WATER USAGE AND DISPOSAL** (CROSS-REFERENCE WITH AQ 9.1.4 ON ENVIRONMENTAL MANAGEMENT PLANS)		
AQ 10.1	**General**		
AQ 10.1.1	Does water abstraction and discharge meet the requirements set by the competent authority?	The records of discharge licenses and abstraction rights for each site, plus abstraction amounts taken over 12 months shall be in place.	Major Must
AQ 10.1.2	Do the farming activities prevent the local community's access to drinking water?	The producer shall show evidence that the farming activities do not prevent access to drinking water for the local community. No N/A.	Major Must
AQ 10.1.3	Do coastal communities continue to have access to fishing areas?	The auditor shall verify on-site and by means of documental evidence (e.g. maps, official authorizations, regulations) that coastal communities are allowed to fish in a well-defined area around aquaculture infrastructures (net cages, rope cultures, inlet pumping stations, etc.), whereby the aquaculture site does not prevent fishing vessels to access fishing areas beyond the designated aquaculture area.	Major Must
AQ 10.1.4	Is inlet / outlet water quality in compliance with existing applicable local regulations and requirements of the EIA/EMP?	The sampling results, sampling plan and records of appropriate corrective actions following evaluation shall be available for inspection. On-site assessment of the facilities.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 10.1.5	Has a risk assessment been undertaken to demonstrate that water quality does not compromise food safety and animal health and welfare?	A documented risk assessment shall be in place covering all potential water pollution sources affecting food safety and animal health and welfare. Where risks have been identified, measures are taken such as water treatment, filtration, disinfection, etc. Water sources not suitable for the aquaculture process shall, where available, be clearly marked. No N/A.	Major Must
AQ 10.1.6	Does the infrastructure of the facility ensure no cross contamination of intake water?	Intake and discharge shall be controlled and independent from each other in order to avoid unwanted cross contamination of intake water. This aspect shall be included in the risk assessment mentioned in AF 1.2.1.	Major Must
AQ 10.1.7	Is fresh ground water or potable water not used to lower the salt concentrations?	Well water or potable water should not be used to lower salt concentration of pond water.	Recom.
AQ 10.1.8	Is water quality – at indoor primary production facilities – verified as adequate for its uses?	Indoor primary production facilities shall maintain a supply of water fit for its purpose and shall not compromise food safety, for handwashing, equipment and post-harvest washing, with appropriate facilities for its storage and distribution.	Major Must
AQ 10.2	**Effluent**		
AQ 10.2.1	Are measured impacts in accordance with legislation and following the results of the EIA/EMP?	It is the responsibility of producers or producer organizations to ensure any process that impacts the recipient water does not exceed targets in the EMP. Farm management shall be able to demonstrate compliance and knowledge of legislation at interview. The records and discharge consents, which are valid and operating within limits at each site, shall be in place.	Major Must
AQ 10.2.2	Subject to risk assessment, is organic waste stored in an appropriate manner to reduce the risk of contamination of the environment?	Documented procedures shall be in place to ensure that the storage of organic wastes is only in designated areas and does not impose a risk on the environment surface water. Refer to AQ 9.1.3.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 11	**HARVESTING AND POST-HARVESTING OPERATIONS**		
AQ 11.1	**Harvesting – Method of Harvest/Dispatch**		
AQ 11.1.1	Where this is the responsibility of the producer, is harvesting and transport undertaken in a way that does not compromise food safety?	Documented harvest and transport hygiene records (and temperature, where applicable) shall be in place.	Major Must
AQ 11.1.2	For transportation to the product handling unit (PHU)/processing station, are fish transported in clean conditions (containers or pipes), which prevent contamination during handling? Are lids secured to prevent loss of fish and leakage during handling?	All facilities shall be available for inspection. Cleaning records shall be available for inspection. Workers shall be able to demonstrate awareness at interview. No N/A.	Major Must
AQ 11.1.3	Is the temperature of product reduced as quickly as possible, post kill, towards the temperature of melting ice?	Working instructions shall ensure appropriate cooling. The temperature records shall be made available for inspection.	Major Must
AQ 11.1.4	If ice comes in contact with the product, is it initially manufactured from potable water according to applicable legislative requirements and transported in hygienic containers?	Records of ice supply, the verification of water quality used in ice manufactured and transport conditions of ice shall be in place.	Major Must
AQ 11.2	**Labelling/Traceability of Harvested Fish**		
AQ 11.2.1	Is traceability of the harvested fish maintained up to the packing/process line, including packaging when the producer is responsible for packing?	The farm records for all stocks shall be available for inspection. No N/A.	Major Must
AQ 11.2.2	Is traceability of a batch of fish possible from the packing case back to the broodstock?	Traceability records through life cycle shall demonstrate that all origins and movements are traceable and be available for inspection.	Major Must
AQ 12	**HOLDING AND CROWDING FACILITIES**		
AQ 12.1	**Fish Welfare in Holding and Crowding Facilities, Including Live Wellboat Transfer, and/or Prior to Slaughter**		
	Minimizing stress of the fish immediately prior to slaughter is necessary to prevent welfare problems and to maintain product quality.		
AQ 12.1.1	Do all staff responsible for harvest operations have appropriate training in fish welfare and handling techniques?	Staff shall be able to demonstrate competence at interview. Training records and certificates, for each member of staff with allocated functions or jobs shall be assessed.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 12.1.2	Is the condition of the fish monitored regularly prior to transfer to the point of harvest? Is unnecessary stress of the fish avoided?	Records of monitoring shall be assessed.	Major Must
AQ 12.1.3	Is the oxygen level of the holding areas controlled and recorded?	Documented records are on the site to demonstrate control of the oxygen level.	Minor Must
AQ 12.1.4	Are fish holding facilities, *including live fish wellboats*, *not* contaminated by blood water, factory effluent, and/or spillage or discharge from marine traffic?	Fish holding facilities, *including live fish wellboats*, shall *not* be contaminated. The records of bloodwater and effluent disposal shall be in place and collection facilities assessed. The environmental risk assessment (refer to AQ 9.1.3) shall also include fuel spillage risk at fish holding facilities.	Major Must
AQ 12.2	**Mortalities in Holding Facilities, Including Wellboats, and/or Prior to Slaughter**		
AQ 12.2.1	Does the organization have a plan to monitor and record trends in mortality?	Site plans and records shall be assessed.	Minor Must
AQ 12.2.2	For the legal disposal of large-scale mortalities, is there a contingency/action plan in place in the event of a severe disease episode or mass mortality?	The contingency/action plan shall be assessed and shall comply with legal requirements where these exist. Staff shall be able to demonstrate awareness at interview.	Minor Must
AQ 12.2.3	Are all mortalities recorded on removal from the fish holding area and reasons for death recorded, where known?	Records for cause of death shall be assessed.	Minor Must
AQ 12.3	**Escapes and Indigenous Species**		
AQ 12.3.1	Are measures in place to prevent escape of farmed stock into the local watercourse and discourage the ingress of indigenous species into the fish holding areas?	Producers shall be able to demonstrate measures to prevent escapes and ingress of indigenous species into the holding areas. The contingency plans and records of all escaped fish for the previous 12 months and confirmation that they have all been reported to the authorities for all sites shall be assessed.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 13	**SLAUGHTER ACTIVITIES**		
AQ 13.1	**Stunning and Bleeding**		
AQ 13.1.1	Is there feedback relating to animal welfare from slaughter/processing to the farm?	Health indicators from the exterior such as damage (e.g. scale loss, fin erosion, predator bites, handling scars, lesions resulting from aggression, parasite lesions), deformities and internal signs (e.g. blood pH, flesh color, appearance of viscera, blood spots) shall be noted upon slaughter. There shall be a feed-back system of such information in relation to animal health and welfare on farm.	Minor Must
AQ 13.1.2	Is the slaughter method used specified in the VHP and does it consider fish welfare?	The slaughter method used is specified in the VHP and considers fish welfare.	Major Must
AQ 13.1.3	Have all harvesting staff received fish welfare training in relation to the slaughter process, including specific training in the stunning and bleeding (when applicable) techniques?	Records of training in fish welfare in relation to the slaughter process including specific training in the stunning and bleeding (when applicable) techniques are in place.	Major Must
AQ 13.1.4	Are fish effectively stunned prior to bleeding?	Fish are stunned using an effective stunning method and immediately become unconscious. Monitoring procedures shall be in place. Where effective automation technology is available percussive stunning and/or electro stunning shall be employed.	Major Must
AQ 13.1.5	When fish are bled, is this done immediately after stunning? Is the bleeding effective with a monitoring procedure in place?	Fish are bled immediately after stunning and remain unconscious while they bleed to death. Monitoring procedures shall be in place to verify that no fish show signs of recovery.	Major Must
AQ 13.2	**Blood Waters**		
AQ 13.2.1	Are all waste blood waters collected and treated before disposal and do they cause no veterinary or environmental threat?	All blood water shall be contained for onward disposal. Treatment shall ensure no veterinary or environmental threat. Check collection and disposal records.	Major Must
AQ 14	**DEPURATION**		
AQ 14.1	Are bivalves molluscs supplied directly to the consumer depurated?	Farms producing bivalve molluscs to be supplied directly for human consumption shall carry out depuration according to legal requirements or industry standards and in accordance with the requirements of the Codex Alimentarius. Records of depuration time and the parameters for effective depuration shall be in place.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 15	**POST HARVEST – MASS BALANCE AND TRACEABILITY**		
AQ 15.1	**Validation of Inputs**		
	The company shall ensure that all products purchased as GLOBALG.A.P. certified are verified as coming from GLOBALG.A.P. certified sources.		
AQ 15.1.1	Is there a documented procedure and record to approve and manage suppliers of certified products?	The company shall maintain an up-to-date list of approved suppliers (approved suppliers of GLOBALG.A.P. certified products). No N/A.	Major Must
AQ 15.1.2	Are all suppliers of certified products GLOBALG.A.P. certified when the product is delivered?	The company shall validate the GGN and/or CoC Numbers of all its suppliers of GLOBALG.A.P. certified products using the GLOBALG.A.P. Database (www.globalgap.org/search). This may be a GGN of producer/producer group or a CoC Number of a CoC certified company. This validation shall confirm the supplier has GLOBALG.A.P. certified status for the corresponding products when they are sold on. No N/A.	Major Must
AQ 15.1.3	Is there a validation process in place for each batch of certified products received?	The company shall check that its supplier declares the GLOBALG.A.P. certified status for each batch and identifies the GLOBALG.A.P. certified product. Transaction documentation accompanying the product (e.g. sales invoices) and other relevant documentation shall include the GLOBALG.A.P. status of the product and where it is supplied by a Chain of Custody certificate holder, their CoC Number. Positive identification is enough on transaction documentation (e.g.: "GLOBALG.A.P. certified <product name>"). Non-certified products do not need to be identified as "non-certified". No N/A.	Major Must
AQ 15.1.4	Is the country of destination as declared on the producer's certificates checked and does it match with the country of destination where the product is actually marketed or sold?	Where the country of destination indicated on the producer's certificate is not the same as the country where the product is marketed or sold, the company shall inform the relevant customer and shall take additional measures. Additional measures shall include product sampling and laboratory analysis to verify that the product meets the legal limits of the country of destination. The country of destination on the producer's certificates can be checked at www.globalgap.org/search using the producer's GGN.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 15.2	**Segregation**		
	The organization shall identify and control all activities where there is a risk of mixing GLOBALG.A.P. certified with non-certified product.		
AQ 15.2.1	Are procedures and work instructions covering all locations and activities documented and maintained?	Procedures and work instructions shall be appropriate to the scale of the operation. The documentation shall identify, list and control all locations and activities. No N/A.	Major Must
AQ 15.2.2	Are the producers or the suppliers of the certified sources clearly identified and traceable during any stage of the operation?	The company shall be able to identify the producer (origin) or the CoC certified supplier of all certified product during any stage of the operation (e.g.: receipt, handling, packing, process, storage, or dispatch). No N/A.	Major Must
AQ 15.2.3	Are production runs and storage of certified and/or non-certified products segregated?	Production runs and storage of certified and/or non-certified products are segregated.	Major Must
AQ 15.3	**Records and Data/Documentation of Procedures**		
	The company shall have documentary evidence of compliance with all controls. This shall include written procedures. The company shall ensure that all relevant records are adequately prepared, used and maintained.		
AQ 15.3.1	Are there records available that show the effective implementation of all procedures related to mass balance and traceability?	The company shall have records sufficiently detailed, consistent, genuine and legible that prove the implementation of the mass balance and traceability procedures. No N/A.	Major Must
AQ 15.3.2	Are all records kept for a minimum of 2 years or for a period that is one year after the expiry of the product's shelf life, whichever is longer?	All records shall be kept for a minimum of 2 years or for a period that is one year after the expiry of the product's shelf life, whichever is longer. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 15.3.3	Do records allow validation of the traceability at batch level and provide accurate mass-balance calculation?	Records detailing quantities, dates, etc. shall at least include: • A list of approved suppliers and their GGNs or CoC Numbers • Intake records including purchase orders, contracts, invoices, delivery notes, purchased quantities and records of incoming goods inspections • Stock records of raw materials, stored and finished products and quantities • Conversion ratios and generated product waste quantities • Production and processing records • Sales orders, sales invoices issued by the company, dispatch information including dates, customers to which the batch or lot was dispatched or sold, quantities and delivery records • Transporter or shipper details No N/A.	Major Must
AQ 15.4	**Certified Outputs and Labeling/Claims**		
	The company shall ensure that all certified products sold are clearly identifiable as such. *For products intended to hold the "GGN Certified Aquaculture" label on the packaging for final consumer, see: www.ggn.org*		
AQ 15.4.1	Are procedures and work instructions in place to ensure that only certified products are dispatched to fill orders for certified products?	Procedures and work instructions are in place to ensure that only certified products are dispatched to fill orders for certified products. No N/A.	Major Must
AQ 15.4.2	Is there a system in place to check the validity of the source producer/s certificate when the producer's GGN is included on the product labeling/packaging?	The certification status of the producer can be checked through the GGNs in the GLOBALG.A.P. Database (www.globalgap.org/search). The producer/s certificate shall have current validity when the product is labeled with the GGN and sold as GLOBALG.A.P. certified. The GGNs might also be linked to lot or batch number. N/A when the company does not label the product with producers' (origin) GGN.	Major Must
AQ 15.4.3	Does the use of the GGN on the product packaging/labeling comply with this standard's requirements?	The labeling shall clearly identify the type of operations. The ''GGN'' prefix followed by the 13-digit number is used for producers and producer groups. No N/A unless, the company does not label the product with GGN i.e. when the finished goods are not sold as GLOBALG.A.P. certified and any further claim of the certified status of the finished good is discontinued.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 15.4.4	Are all finished goods sold as GLOBALG.A.P. certified, labeled with a traceability code and the company's GGN?	The company GGN and traceability codes (in addition to AQ 15.4.3) shall be printed on the smallest packed unit that is individually labeled. Exceptions may be granted case-by-case with prior written approval by GLOBALG.A.P. This includes by-products derived from certified products. The company shall be able to link the traceability code on the label to its certified source/s. N/A when the finished goods are not sold as GLOBALG.A.P. certified and any further claim of the certified status of the finished good is discontinued.	Major Must
AQ 15.4.5	Are all products of a multi ingredient product labeled with their correct GGN(s)?	Where all (100 %) certifiable ingredients are GLOBALG.A.P. certified, the multi ingredient product shall be labeled with a traceability code and with the GGN prefix followed by the GGN of the certified company that labels the multi ingredient product. From this traceability code it is possible to trace the products (ingredients) to a GLOBALG.A.P. certified source that may be a GLOBALG.A.P. certified supplier or a GLOBALG.A.P. certified producer/producer group. Where not all (<100 %) certifiable ingredients are GLOBALG.A.P. certified, the producer's or the supplier's GGN of the different products (ingredients) shall be clearly specified. The different sources of the different products (ingredients) shall be separately identified e.g. (pangasius producer #1 GGN; tilapia producer #2 GGN) and declared. Only products (ingredient) originating from GLOBALG.A.P. certified source(s) may be identified with GGN(s). Certifiable ingredients are those eligible products that are listed in the official 'GLOBALG.A.P. Product List'. N/A when no multi ingredient product is labeled as GLOBALG.A.P. certified.	Major Must
AQ 15.5	**Mass Balance**		
	The company shall be able to justify consistent mass-balance.		
AQ 15.5.1	Are all incoming product quantities accurately recorded and regularly summarized to facilitate a mass balance audit?	All input quantities of certified and non-certified products are recorded and an up-to-date summary is calculated. No N/A.	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 15.5.2	Are conversion ratios used to calculate the mass-balance calculated, validated and recorded?	Conversion ratios shall be calculated and available for each relevant process and product type. The generated product loss and or waste quantities shall be validated. N/A when there is no conversion loss.	Major Must
AQ 15.5.3	Are sales quantities of the certified products recorded and summarized to allow a mass balance calculation that shows consistency between input and output of certified product?	The sales quantities of GLOBALG.A.P. certified products are recorded and summarized to facilitate a comparison with inputs of certified product in the same period. A mass balance calculation shows consistency between purchases and sales of certified product. Quantities (including information on volumes or weight) of certified, non-certified, incoming, outgoing, and stored product shall be recorded and a summary maintained so as to facilitate the mass balance verification process. Influencing factors such as waste, shrinkage, rejected/returned items, etc. shall be taken into consideration. The frequency of the mass balance verification shall be defined and be appropriate to the scale of the operation, but It shall be done at least annually per product. Documents and/or records to demonstrate mass balance shall be clearly identified. Sold certified output ≤ certified input – conversion loss – balance in stock. No N/A.	Major Must
AQ 15.6	**Food Safety System**		
AQ 15.6.1	Does the organization have a food safety system in place at the time of inspection?	If the organization has been certified against one of the GFSI recognized post-farm gate standards (http://www.mygfsi.com) covering post-harvest handling activities, this point is compliant. If not certified, the organization should have a Codex Alimentarius HACCP based food safety system documented and implemented. No N/A. *NOTE: On the certificate, for transparency purposes, it will be reflected if a GFSI recognized (post-farm) certificate is valid at the time of the post-harvest handling inspection by indicating Yes/No.*	Major Must

Nº	Control Points	Compliance Criteria	Level
AQ 16	**SOCIAL CRITERIA**		
AQ 16.1	Has the GRASP module been assessed (externally by the same certification body assessing the Aquaculture Standard) and made accessible via the GLOBALG.A.P. Database?	The GRASP module has been assessed and is accessible to GRASP observers via the GLOBALG.A.P. Database. All control points of social criteria shall be audited and commented before uploading the checklist into the Database. The assessment covers all stages of production, including any post-harvest handling done by the same legal entity as the farm and subcontractors if applicable. These criteria are obligatory for all types of businesses. NOTE: From 31 January 2020, the overall compliance level of the GRASP module shall be as a minimum "YES, SOME IMPROVEMENTS NEEDED" in order to be in compliance with AQ 16.1 and to receive certification. See (*) 'Clarification for GRASP Assessments' below. No N/A.	Major Must

(*) CLARIFICATION FOR GRASP ASSESSMENTS

The official checklists provided by the GLOBALG.A.P. Secretariat for GRASP Option 1 or Option 2 shall be used for internal and external assessments. The following table is a summary of the GRASP requirements and is included here only for informational purposes to the users of this document

Nº	Control Points	Compliance Criteria
1	**EMPLOYEES' REPRESENTATIVE(S)**	
	Is there at least one employee or an employees' council to represent the interests of the staff to the management through regular meetings where labor issues are addressed?	Documentation demonstrates that an employees' representative(s) or an employees' council representing the interests of the employees to the management is elected or in exceptional cases nominated by all employees and recognized by the management. The election or nomination takes place in the ongoing year or production period and is communicated to all employees. The employees' representative(s) shall be aware of his/her/their role and rights and be able to discuss complaints and suggestions with the management. Meetings between employees' representative(s) and the management occur at accurate frequency. The dialogue taking place in such meetings is duly documented. *N/A if the company employs less than 5 employees.*
1.1		The election/nomination procedure has been defined and communicated to all employees.
1.2		Documentation shows that the election and the counting of votes were carried out fairly and openly. In case of representative(s) not elected but nominated, there is a document justifying why elections could not take place.
1.3		The results of the election (name of employees' representative(s) or in case of council composition of the council) were communicated to all employees.
1.4		The election/nomination has taken place in the ongoing year or production period. The representation is current (all elected/nominated person(s) according to the list still working for the company).
1.5		The employees' representative(s) is/are recognized by the management and a job description clearly defines his/her/their role and rights. The employees' representative(s) is/are aware of his/her/their role and rights (in case of an employees' council, all members are interviewed).

Nº	Control Points	Compliance Criteria
1.6		There is documentary evidence of regular meetings at accurate frequency between the employees' representative(s) and the management, where GRASP related issues are addressed.
2	**COMPLAINT PROCEDURE**	
	Is there a complaint and suggestion procedure available and implemented in the company through which employees can make a complaint or suggestion?	A complaint and suggestion procedure appropriate to the size of the company exists. The employees are regularly informed about its existence, complaints and suggestions can be made without being penalized and are discussed in meetings between the employees' representative(s) and the management. The procedure specifies a timeframe to answer complaints and suggestions and take corrective actions. Complaints, suggestions and their follow-up from the last 24 months are documented.
2.1		A documented complaint and suggestion procedure is available, appropriate to the size of the company.
2.2		Employees are regularly and actively informed about the complaint and suggestion procedure.
2.3		The procedure states clearly that employees will not be penalized for filing complaints or suggestions.
2.4		Complaints and suggestions are discussed in meetings between the employees' representative(s) and the management.
2.5		The procedure sets a timeframe to resolve complaints and suggestions (e.g. during the next month).
2.6		The complaints, suggestions and their follow-up are documented and available for the last 24 months.

Nº	Control Points	Compliance Criteria
3	**SELF-DECLARATION ON GOOD SOCIAL PRACTICES**	
	Has a self-declaration on good social practice regarding human rights been signed by the management and the employees' representative(s) and has this been communicated to the employees?	The management and the employees' representative(s) have signed, displayed and put in practice a self-declaration assuring good social practice and human rights of all employees. This declaration contains at least the commitment to the ILO core labor conventions (ILO Conventions: 111 on discrimination, 138 and 182 on minimum age and child labor, 29 and 105 on forced labor, 87 on freedom of association, 98 on the right to organize and collective bargaining, 100 on equal remuneration and 99 on minimum wage) and transparent and non-discriminative hiring procedures and the complaint procedure. The self-declaration states that the employees' representative(s) can file complaints without personal sanctions. The employees have been informed about the self-declaration and it is revised at least every 3 years or whenever necessary
3.1		The declaration is complete and contains at least all points referred to ILO core labor conventions.
3.2		The declaration has been signed by the management and by the employees' representative(s).
3.3		The declaration is actively communicated to the employees (e.g. displayed on the production site/in the handling unit/management office or attached to the working contract, information at meetings etc.).
3.4		The management, the responsible person for the implementation of GRASP and the employees' representative(s) know the content of the declaration and confirm that it is put into practice.
3.5		It is stated that the employees' representative(s) can file complaints without personal sanctions.
3.6		The declaration is checked and revised at least every 3 years or whenever necessary.

Nº	Control Points	Compliance Criteria
4	**ACCESS TO NATIONAL LABOUR REGULATIONS**	
	Do the person responsible for the implementation of GRASP (RGSP) and the employees' representative(s) have knowledge of or access to recent national labor regulations?	The person responsible for the implementation of GRASP (RGSP) and the employees' representative(s) have knowledge of or access to national regulations, such as gross and minimum wages, working hours, trade union membership, anti-discrimination, child labor, labor contracts, holiday and maternity leave. Both the RGSP and the employees' representative(s) know the essential points of working conditions in agriculture as formulated in the applicable GRASP National Interpretation Guidelines.
4.1		The RGSP provides the employees' representative(s) with the valid labor regulations (e.g. the GRASP National Interpretation Guidelines).
4.2		RGSP and the employees' representative(s) have knowledge about or access to the valid labor regulations on gross and minimum wages and deductions from wages.
4.3		RGSP and the employees' representative(s) have knowledge about or access to the valid labor regulations on working hours.
4.4		RGSP and the employees' representative(s) have knowledge about or access to the valid labor regulations on freedom of association and right to collective bargaining.
4.5		RGSP and the employees' representative(s) have knowledge about or access to the valid labor regulations on anti-discrimination.
4.6		RGSP and the employees' representative(s) have knowledge about or access to the valid labor regulations on child labor and minimum age of working.
4.7		RGSP and the employees' representative(s) have knowledge about or access to the valid labor regulations on holiday and maternity leave.

Nº	Control Points	Compliance Criteria
5	**WORKING CONTRACTS**	
	Can valid copies of working contracts be shown for the employees? Are the working contracts compliant with applicable legislation and/or collective bargaining agreements and do they indicate at least full names, nationality, a job description, date of birth, date of entry, the regular working time, wage and the period of employment? Have they been signed by both the employee and the employer?	For every employee, a contract can be shown to the assessor on request on a sample basis. The contracts correspond with the applicable legislation and/or collective bargaining agreements. Both the employees as well as the employer have signed them. Records contain at least full names, nationality, job description, date of birth, date of entry, the regular working time, wage and the period of employment (e.g. permanent, period or day laborer etc.) and for non-national employees their legal status and working permit. The contract does not show any contradiction to the self-declaration on good social practices. Records of the employees must be accessible for at least 24 months.
5.1		Random checks show availability of written contracts for all employees signed by both parties
5.2		There is evidence that the employees have the correct contract according to national legislation and/or collective bargaining agreements (as stipulated in the applicable GRASP National Interpretation Guideline).
5.3		The working contracts include at least basic information on the employee's name, date of birth and nationality according to the applicable GRASP National Interpretation Guideline.
5.4		The working contracts or attachments to the contracts include basic information on the contract period (e.g. permanent, period or day laborer etc.), the wage, working hours, breaks, and a basic job description.
5.5		In the contract, there is no contradiction to the self-declaration on good social practice.
5.6		If non-national employees are working for the company, records indicate their legal status for being employed by the company. A respective working permit is available.
5.7		Records of the employees must be accessible for at least 24 months.

Nº	Control Points	Compliance Criteria
6	**PAYSLIPS**	
	Is there documented evidence indicating regular payment of salaries corresponding to the contract clause?	The employer shows adequate documentation of the regular salary transfer (e.g. employee's signature on pay slip, bank transfer). Employees sign or receive copies of pay slips/pay register that make the payment transparent and comprehensible for them. Regular payment of the employees during the last 24 months is documented.
6.1		Documented evidence that the payment is made in defined intervals (e.g. pay slips or pay registers) is available for the employees (random checks).
6.2		Pay slips or pay registers indicate that payments are made in accordance with the working contracts (e.g. employee's signature on pay slips, bank transfer etc.).
6.3		The records of payments are kept for at least 24 months.
7	**WAGES**	
	Do pay slips/pay registers indicate the conformity of payment with at least legal regulations and/or collective bargaining agreements?	Wages and overtime payment documented on the pay slips/pay registers indicate compliance with legal regulations (minimum wages) and/or collective bargaining agreements as specified in the GRASP National Interpretation Guideline. If payment is calculated per unit, employees shall be able to gain at least the legal minimum wage (on average) within regular working hours.
7.1		Pay slips or pay registers give clear indication on the number of compensated working time or harvested amount including overtime (hours/days).
7.2		Wages and overtime payments as shown in the records are according to the contracts and indicate compliance with national labor regulations (minimum wages), and/or collective bargaining agreements as specified in the GRASP National Interpretation Guideline.

Nº	Control Points	Compliance Criteria
7.3		Independently from the calculation unit, pay slips/pay registers document that employees gain in average at least the legal minimum wage within regular working times (especially check when piece-rate is implemented). If there are deductions from salaries and employees are being paid below minimum wage, the deductions must be justified in writing.
8	**NON-EMPLOYMENT OF MINORS**	
	Do records indicate that no minors are employed at the company?	Records indicate compliance with national legislation regarding minimum age of employment. If not covered by national legislation, children below the age of 15 are not employed. If children – as core family members – are working at the company, they are not engaged in work that is dangerous to their health and safety, jeopardizes their development, or prevents them from finishing their compulsory school education.
8.1		Dates of birth on the records show that no employee is aged below the legal minimum age of employment or, if not specified in the GRASP National Interpretation Guideline, under the age of 15.
8.2		If children – as core family members – are working at the company, they are not engaged in work that is dangerous to their health and safety (according to the applicable IFA All Farm Base Module), that jeopardizes their development or prevents them from finishing their compulsory school education.
9	**ACCESS TO COMPULSORY SCHOOL EDUCATION**	
	Do the children of employees living on the company's production/handling sites have access to compulsory school education?	There is documented evidence that children of employees at compulsory schooling age (according to national legislation) living on the company's production/handling sites have access to compulsory school education, either through provided transport to a public school or through on-site schooling.
9.1		There is a list of all children in the age of compulsory schooling age living on the company's production/handling sites, with sufficient indications on name, name of parents, date of birth, school attendance, etc. Children of management may be excluded.

Nº	Control Points	Compliance Criteria
9.2		There is evidence of transport facilities if children cannot reach school within acceptable walking distance (half an hour walking or according to the GRASP National Interpretation Guideline).
9.3		There is evidence of an on-site schooling system when access to schools is not available.
10	**TIME RECORDING SYSTEM**	
	Is there a time recording system that shows daily working time and overtime on a daily basis for the employees?	There is a time recording system implemented appropriate to the size of the company that makes working hours and overtime transparent for both employees and employer on a daily basis. Working times of the employees during the last 24 months are documented. Records are regularly approved by the employees and accessible for the employees' representative(s).
10.1		A time recording system is implemented, appropriate to the size of the company (e.g. time record sheet, check clock, electronic cards, etc.).
10.2		The records indicate the regular working time for employees on a daily basis.
10.3		The records indicate the overtime hours as defined by contracts per legislation for all employees on a daily basis.
10.4		The records indicate the breaks/festive days for the employees (on a daily basis).
10.5		The working records are regularly approved by the employees (e.g. regularly signed record sheet, checking clock).
10.6		Access to these records is provided to the employees' representative(s).
10.7		The records are kept for at least 24 months.
11	**WORKING HOURS & BREAKS**	
	Do working hours and breaks documented in the time records comply with applicable legislation and/or collective bargaining agreements?	Documented working hours, breaks and rest days are in line with applicable legislation and/or collective bargaining agreements. If not regulated more strictly by legislation, records indicate that regular weekly working hours do not exceed a maximum of 48 hours. During peak season (harvest), weekly working time does not exceed a maximum of 60 hours. Rest breaks/days are also guaranteed during peak season.

Nº	Control Points	Compliance Criteria
11.1		Information on valid labor regulation and/or collective bargaining agreements regarding working hours and breaks is available (e.g. in the GRASP National Interpretation Guideline).
11.2		Working hours including overtime as shown in the records indicate compliance with legal regulations and/or collective bargaining agreements.
11.3		Rest breaks/days as shown in the records indicate compliance with national regulations and/or bargaining agreements.
11.4		If not regulated more strictly by applicable legislation, regular weekly working time does not exceed 48 hours. During peak season (harvest), weekly working time does not exceed 60 hours.
11.5		The records indicate that rest breaks/days are also guaranteed during peak season.

ANNEX AQ 1: EXAMPLES OF ENVIRONMENTAL IMPACT ASSESSMENT (EIA), ENVIRONMENTAL RISK ASSESSMENT (ERA), AND RESPECTIVE ENVIRONMENTAL MANAGEMENT PLANS (EMPS)

Table A Example of EIA combined with the EMP (impacts inherent to farming operations) (levels 4-7 in stages of impact assessment)

	Impact	Applicable Law	Working Instruction
1	Dispose of empty food bags	Municipal license	Dispose weekly on municipal dump
2	Discharge of sludge	Province regulation on coastal protection 2003.	Use settling pond. Clean every 2 months.
3	Dispose settled sludge	Municipal license; directive on fertilizers in agriculture	200 ton/year of sludge can be brought to the rubber tree farms. Excessive sludge shall be brought to municipal dump.
4	Use of electricity	No	Only use paddle wheels in accordance with working instruction on oxygen in ponds.
5	Exhaust gases generator	E.g. governmental regulation 23/568 on exhaust gases.	Yearly check on engine adjustment by dealer
6	Pesticides for weed control	Use only admitted products and follow working instructions.	E.g. Only use “Herbclean” according to working instructions once a month.
7	Use of diesel fuel	No	Generator only uses diesel. See 3 and 4.
8	Noise of the generator to surrounding neighbors	Municipal permit; agreement with neighbors.	Keep doors of generator housing closed. Use ventilator at high room temperatures.

Table B Example of ERA combined with the EMP (realistic risks associated with farming operations)

	Risk	Applicable Law	Preventive Actions
1	Empty food bags blow with the wind	Municipal license	Close the container every time.
2	Sludge floating instead of settling; discharge into nature.	Province regulation on coastal protection 2003.	Stop discharge and clean settling pond.
3	Excessive sludge production	No	Assess pond biomass, recalculate feeding regime.
4	Leakage of fluid chemicals from the storage room	Municipal license	All fluids to be stored on dedicated storage devices.
5	Diesel spilled into the ground	Municipal license	Diesel storage in approved tank on concrete floor; filling only under supervision

Table C Example of biodiversity impact assessment (impacts inherent to farming operations)

	Impact	Ecological Consequence	Mitigation
1	Conversion of natural habitats	Loss of fish breeding ground; endangered species habitat	Consider alternative sites
2	Nutrient/organic matter/sludge release to surrounding ecosystem	Additional growth of weed and algae, oxygen depletion of bottom (dependent on tidal flow to avoid concentrations build up)	Settlement ponds, limiting water exchange
3	Infiltration of seawater in the ground	Salinization of ground water, change in vegetation on site, and downstream towards the sea	No use of ground water for ponds, yearly monitoring of surrounding ground water
4	Release of pathogens	Endangering native species	Prevention of escapes, effluent handling

Table D Example of biodiversity risk assessment and management plan (realistic risks to biodiversity associated with farming operations)

	Impact	Ecological Consequence	Mitigation
1	Fish or shrimp may escape	Introduction of unwanted species or pathogens threatening native species	Prefer native species. Utmost precautions should be in place to prevent escapes.
2	The settling pond with sludge is flooded by e.g. storm or spring tide	Significant change in habitat in recipient water	Dikes should be of above average height.
3	Release of large quantities of chemicals	Damage to aquatic life in recipient water	Adequate storage. Avoid excessive chemical stocks.

ANNEX AQ 2: BIODIVERSITY IN ENVIRONMENTAL IMPACT ASSESSMENT [1]

Introduction

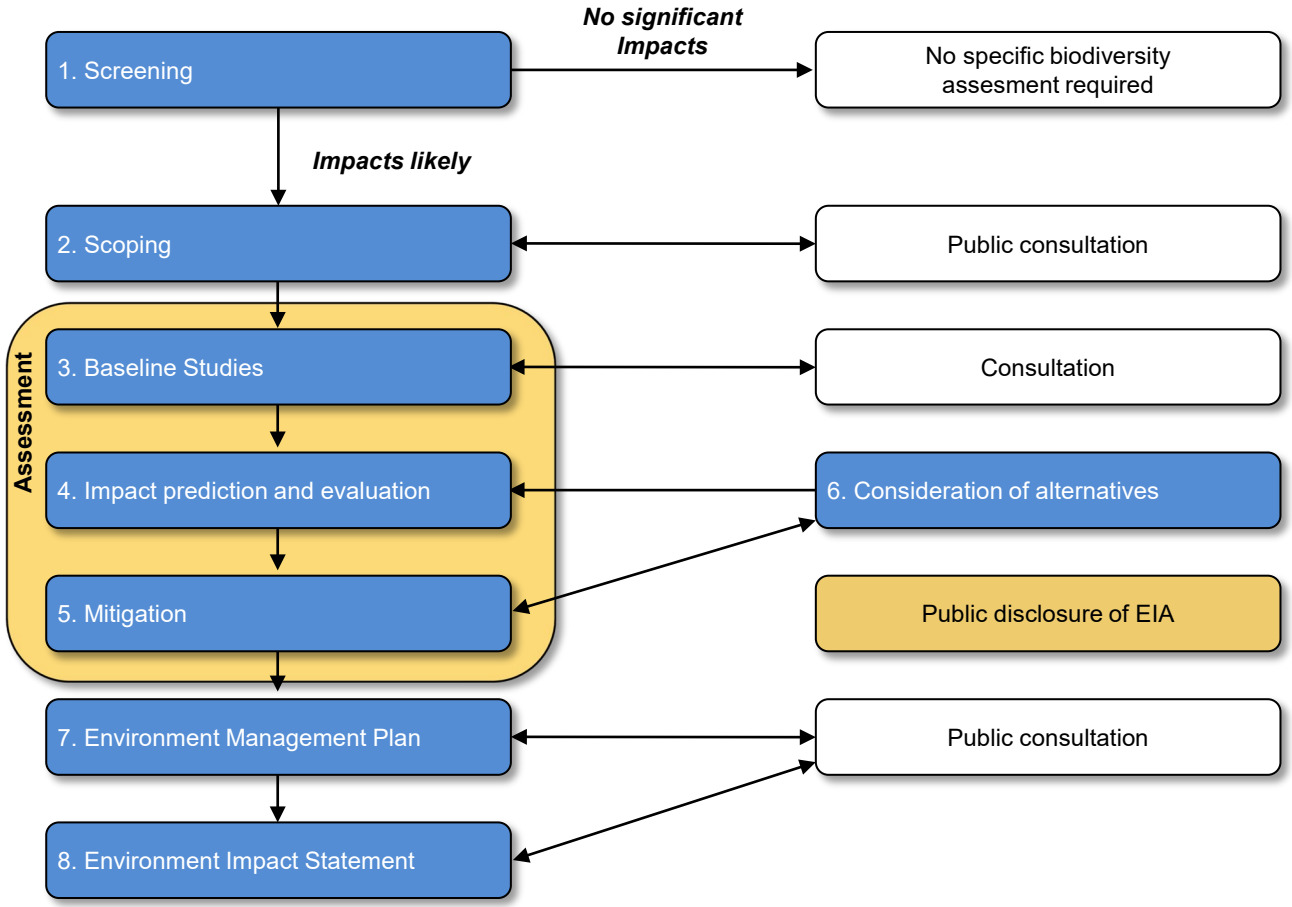
The Convention on Biological Diversity defines biodiversity as “the variability among living organisms from all sources including, amongst others, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems.”

Biodiversity in more simple terms is the variety of life on earth at all levels, from genes to worldwide populations of the same species; from communities of species sharing the same small area of habitat to worldwide ecosystems.

Environmental impact assessment provides opportunities to ensure that biodiversity values are recognized and taken into account in decision-making. Importantly, this involves a participatory approach with people who might be affected by a proposal (those living in or around the site), which is also a key indicator as to the quality and credibility of the assessment.

[1] For key reference documents see International Association of Impact Assessment (IAIA): http://www.iaia.org

Figure A: An overview of the principal stages of an EIA relevant to biodiversity



Operating Principles

1. Screening - to determine whether a proposal should be subject to EIA, and if so, at what level of detail. Use biodiversity inclusive screening criteria to determine whether important biodiversity resources may be affected. Biodiversity screening triggers for IA should include:

- Potential impacts on protected areas and areas supporting protected species
- Impacts on other areas that are not protected but are important for biodiversity (see 'Areas of High Conservation Value' below)
- Activities posing a particular threat to biodiversity (in terms of their type, magnitude, location, duration, timing, reversibility)
- Areas that provide important ecosystem services including indigenous people's territories, wetlands, fish breeding grounds, soils prone to erosion or acidification, relatively undisturbed or characteristic habitat, flood storage areas and groundwater recharge areas, etc.

Encourage development of a biodiversity screening map indicating important biodiversity values and ecosystem services. If possible, integrate this activity with the development of a national biodiversity strategy and action plan (NBSAP) and/or biodiversity planning at sub-national levels (e.g. coastal zone management plans in regions, local authorities, towns) to identify conservation priorities and targets.

Areas of High Conservation Value are those that:

- Support endemic, rare or declining habitats/species/genotypes
- Support genotypes and species whose presence is a prerequisite for the persistence of other species
- Act as a buffer, linking habitat or ecological corridor, or play an important part in maintaining environmental quality
- Have important seasonal uses or are critical for migration
- Support habitats, species populations, ecosystems that are vulnerable, threatened throughout their range and slow to recover
- Support particularly large or continuous areas of previously undisturbed habitat
- Act as refuge for biodiversity during climate change, enabling persistence and continuation of evolutionary processes
- Support biodiversity for which mitigation is difficult or its effectiveness unproven, including habitats that take a long time to develop characteristic biodiversity
- Are currently poor in biodiversity but have potential to develop high biodiversity with appropriate intervention

2. Scoping and 3. Baseline Study - to identify the issues and impacts that are likely to be important and to establish terms of reference for EIA. Use scoping as an opportunity to raise awareness of biodiversity concerns and discuss alternatives to avoid or minimize negative impacts on biodiversity.

It is good practice to produce a scoping report for consultation. This should address the following issues (on the basis of existing information and any preliminary surveys or discussions):

1. The type of project, program, plan or policy, possible alternatives and a summary of activities likely to affect biodiversity
2. An analysis of opportunities and constraints for biodiversity (include "no net biodiversity loss" or "biodiversity restoration" alternatives).
3. Expected biophysical changes (in soil, water, air, flora, fauna) resulting from proposed activities or induced by any socioeconomic changes
4. Available information on baseline conditions
5. Likely biodiversity impacts associated with the proposal in terms of composition, structure and function
6. Biodiversity services and values identified in consultation with stakeholders and anticipated changes in these (highlight any irreversible impacts)
7. Possible measures to avoid, minimize, or compensate for significant biodiversity damage or loss, making reference to any legal requirements
8. Proposed IA methodology and timescale

4. Impact Prediction and Evaluation. Address biodiversity at all appropriate levels and allow for enough survey time to take seasonal features into account. Focus on processes and services which are critical to human well-being and the integrity of ecosystems. Explain the main risks and opportunities for biodiversity.

Questions to ask:
At the gene level, to what extent will the proposal have significant effects on:

- Opportunities for species populations to interact, e.g., by increasing habitat fragmentation and isolation?
- Risk of extinction?

At the species level, to what extent will the proposal:

- Affect species identified as priorities in NBSAPs and/or subnational biodiversity plans (e.g. red list species)?
- Increase the risk of invasion by alien species?

At the ecosystem level, to what extent will the proposal:

- Change the amount, quality or spatial organization of habitat?
- Damage ecosystem processes and services, particularly those on which local communities rely?

Finally:

- If habitats will be lost or altered, is alternative habitat available to support associated species populations?
- Are there opportunities to consolidate or connect habitats?

Take an ecosystem approach and involve relevant stakeholders (including local communities). Consider the full range of factors affecting biodiversity. These include direct drivers of change associated with a proposal (e.g., land conversion and vegetation removal leading to loss of habitat - a key driver of biodiversity loss, emissions, disturbance, introduction of alien and genetically modified species, etc.) and indirect drivers of change which are harder to quantify, including demographic, economic, socio-political, cultural and technological processes or interventions. Evaluate impacts of alternatives with reference to the baseline situation. Compare against thresholds and objectives for biodiversity. Use NBSAPs, Subnational biodiversity plans and other conservation reports for information and objectives. Take into account cumulative threats and impacts resulting either from repeated impacts of projects of the same or different nature over space and time, and/or from proposed plans, programs or policies.

5. Mitigation
Remedial action can take several forms, i.e., avoidance (or prevention), mitigation (including restoration and rehabilitation of sites) and compensation.
Apply the positive planning approach, where avoidance has priority and compensation is used as a last resort.
Avoid excuse-type compensation. Look for opportunities to positively enhance biodiversity. Acknowledge that compensation will not always be possible; there will still be cases where it is appropriate to say “no” to development proposals on grounds of irreversible damage to biodiversity.

6. Review and Decision-Making
Where biodiversity impacts are significant, a specialist with appropriate expertise should undertake peer review of environmental reports.
Depending on the level of confidentiality of public decision-making, consideration should be given to the involvement of affected groups and civil societies. Avoid pitting conservation goals against development goals; balance conservation with sustainable use for economically viable and socially and ecologically sustainable solutions.
For important biodiversity issues, apply the precautionary principle where information is insufficient, and the no net loss principle in relation to irreversible losses associated with the proposal.

7. Environmental Management Plan (incl. monitoring, evaluation, and auditing plans)
It is important to recognize that prediction of biodiversity response to perturbation is uncertain, especially over the longer term. Management systems and programs, including clear management targets (or limits of acceptable change (LC)) and appropriate monitoring, should be set in place to ensure that mitigation is effectively implemented and that unforeseen negative effects are detected and addressed, and negative trends identified. Provision is made for regular auditing of impacts on biodiversity. Provision should be made for emergency response measures and/or contingency plans where upset or accident conditions could threaten biodiversity.

8. Environmental Impact Statement
One of the most effective ways to ensure that an EIA process is fair and credible is through full and public stakeholder engagement with all affected and interested parties and the public disclosure of environmental impact statements.

ANNEX AQ 3: THE RAMSAR CONVENTION ON WETLANDS

Contracting Parties in Order of their Accession:

The Convention on Wetlands of International Importance, called the Ramsar Convention, is the intergovernmental treaty that provides the framework for the conservation and wise use of wetlands and their resources. The convention was adopted in the Iranian city of Ramsar in 1971 and came into force in 1975. Since then, almost 90 % of UN member states, from all the world's geographic regions, have acceded to become contracting parties.

The Convention's mission is "the conservation and wise use of all wetlands through local and national actions and international cooperation, as a contribution towards achieving sustainable development throughout the world". Wetlands are among the most diverse and productive ecosystems. They provide essential services and supply all our fresh water. However, they continue to be degraded and converted to other uses.

The Convention uses a broad definition of wetlands. It includes all lakes and rivers, underground aquifers, swamps and marshes, wet grasslands, peatlands, oases, estuaries, deltas and tidal flats, mangroves and other coastal areas, coral reefs, and all human-made sites such as fish ponds, rice paddies, reservoirs and salt pans.

Here: www.ramsar.org/country-profiles it is possible to find key information about each Ramsar contracting party (member state).

Here: www.ramsar.org/sites/default/files/documents/library/contracting_parties_list_20150312_e.pdf it is possible to find a list of the contracting parties and the date of the entry into force of the Convention for each of them.

(Source: Ramsar official website, www.ramsar.org, June 2015)

VERSION/EDITION UPDATE REGISTER

New Document	Replaced Document	Date of Publication	Description of Modifications
160201_GG_IFA_CPCC_AB_V5_0-1_en	150630_GG_IFA_CPCC_AB_V5-0_en	1 February 2016	AB 5.2.1 CC – one sentence added in bullet point 4; FOS Add-on – FOS logo replaced
160630_GG_IFA_CPCC_AB_V5_0-2_en	160201_GG_IFA_CPCC_AB_V5_0-1_en	1 July 2016	AB 7.1.2 CC – correction and one word added under point iii) and change of wording in last paragraph; AB 15.4 – amendment to chapter description; FOS 4.1 CC – amendment in compliance criteria.
170630_GG_IFA_CPCC_AB_V5_1_en	160630_GG_IFA_CPCC_AB_V5_0-2_en	1 July 2017	AB 15.1 – reference to FoS Add-On deleted AB 15.4 – reference to FoS Add-On deleted AB 16.1 – reference to FoS Add-On deleted CPCC for FoS Add-On deleted
171110_GG_IFA_CPCC_AQ_V5_1-1_en	170630_GG_IFA_CPCC_AB_V5_1_en	10 November 2017	Abbreviation for this module changed from AB to AQ; AQ 7.1.1 CP and CC - change of wording in control point and compliance criteria; AQ 7.1.3 CP – change of wording in control point; AQ 9.2.3 CP and CC – amendment in control point and compliance criteria; Renaming of Annexes and inclusion in table of content
190201_GG_IFA_CPCC_AQ_V5_2_en	171110_GG_IFA_CPCC_AQ_V5_1-1_en	1 February 2019	AQ 5.2.16 CC – additional text AQ 6.1 CC – additional text AQ 7.3.2 CC – additional text AQ 10.1.5 CC – additional text AQ 11.2.1 CC – additional text AQ 15.6.1 CC – additional text, level change to Major Must AQ 16.1 – additional text, GRASP table introduced
200221_GG_IFA_CPCC_AQ_V5_3-GFS_en	190201_GG_IFA_CPCC_AQ_V5_2_en	21 February 2020	New version because of changes in the General Regulations due to GFSI

New Document	Replaced Document	Date of Publication	Description of Modifications
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211028_GG_IFA_CPCC_AQ_V5_4-1-GFS_en	200715_GG_IFA_CPCC_AQ_V5_4-GFS_en	28 October 2021	AQ 7.1.2 – text deleted
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If you want to receive more information on the modifications in this document, please 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.