Audit Online Hub Upload Rules

ENGLISH VERSION 6.0_SEP22

VALID FROM: 1 OCTOBER 2022
OBLIGATORY FROM: 1 JANUARY 2024*

*Date on which IFA v6 GFS requirements become obligatory depends on GFSI recognition and will be confirmed

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1 INTRODUCTION

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

2 TERMINOLOGY

For the sake of simplicity, in this document:

- Whenever the term "CB auditor" is used, it shall refer to a CB farm auditor, CB QMS auditor, or CB assessor depending on the relevant Option for certification, standard, or add-on.

- Whenever the term "CB audit" is used, it shall refer to a CB farm audit, CB QMS audit, or assessment depending on the relevant Option for certification, standard, or add-on.

- Whenever the term "certificate" is used, it shall refer to a certificate, proof of assessment, letter of conformance.

- Whenever the term "producer(s)" is used, it shall refer to persons (individuals) or businesses (companies, individual producers, or producer groups) that are legally responsible for the production processes and the products of the respective scope, sold by those persons or businesses, as well as to Chain of Custody or Compound Feed Manufacturing companies.

- Whenever the term "general regulations" is used, it shall refer to the GLOBALG.A.P. general regulations and/or the relevant add-on's general rules. Whenever specific rules are referred to, they are identified by including the name of the particular standard or add-on.

3 GENERAL RULES FOR UPLOAD OF CB AUDIT INFORMATION

3.1 Mandatory use deadline

Whenever a new standard, add-on, or an attribute is added to AOH, the upload of CB audit information for this standard or add-on shall become mandatory within three months of official notification to the CBs. The GLOBALG.A.P. Secretariat may decide to extend this deadline, which shall be communicated to all CBs and CB audit management software provider partners in a timely manner.

3.2 Required uploads

Documents that shall be uploaded (depending on the standard and producer type) are:

- QMS checklist for Option 2 producer groups or for Option 1 multisite producers with QMS and checklists of the sampled producer group members, sampled production sites or sampled PHUs

- Checklist for Option 1 single site producers or Option 1 multisite producers without QMS (including PHU if applicable).

This includes all types of CB audits (e.g., initial, surveillance, unannounced, and recertification audits).

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Depending on the standard or the add-on, additional CB audit information may be required for upload. The additional obligatory CB audit information shall be specified with the communication that announces the release of a new standard or add-on. The additional requirements may be later added as annex to this document and/or the specific standard or add-on general regulations.

3.3 Upload specifications

3.3.1 Upload deadline

The CB shall upload the required documents within 28 days of the closure of any outstanding non-conformances and before issuing the GLOBALG.A.P. certificate through the GLOBALG.A.P. IT systems. CBs may also upload the checklist right after the CB audit while the producer still has time to submit evidence of corrective action.

3.3.2 Upload version

The final version of the checklist shall be uploaded.

- In the case of a positive certification decision, this shall include the closing of the outstanding non-conformances (if any).

- In the case of a negative certification decision (suspension), the checklist shall include the non-conformances that remain open after the period to present corrective actions has expired.

- In the case of an CB initial audit did not result in a positive certification decision, the checklist shall include the non-conformances that remain open.

3.3.3 CIPRO assessor access

The GLOBALG.A.P. CIPRO assessors may access the uploaded CB audit documents. CIPRO assessors may use the uploaded CB audit documents to assess CB performance.

3.3.4 Upload language

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

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

3.4 Upload options

Regarding the use of AOH, various options are available:

a) Completing the CB audit checklist within AOH

b) Using the Excel upload opportunity within AOH

c) Connecting the individual CB software solution and sending the required data via an application programming interface (API)

d) Using third-party software compatible with AOH; see https://www.globalgap.org/uk_en/what-we-do/the-gg-system/GLOBALG.A.P.-Audit-Online-Hub/

3.5 Data safety and privacy

a) Access to the CB audit information in AOH is granted based on the applicable data access rules for each standard and add-on.

b) Producers agree that the full checklist is made available to the GLOBALG.A.P. Secretariat in accordance with the relevant data access rules.

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

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