



GLOBALG.A.P.

HARMONIZED PRODUCE SAFETY STANDARD (HPSS)

GENERAL REGULATIONS

ADDENDUM TO GLOBALG.A.P. GENERAL REGULATIONS

ENGLISH VERSION 1.2

VALID FROM: 26 AUGUST 2020

OBLIGATORY FROM: 20 NOVEMBER 2020

TABLE OF CONTENTS

GENERAL REGULATIONS PART I

GENERAL REQUIREMENTS4

1 INTRODUCTION4

2 NORMATIVE DOCUMENTS4

3 CERTIFICATION OPTIONS5

4 REGISTRATION PROCESS6

5 ASSESSMENT PROCESS10

6 CERTIFICATION PROCESS17

7 FARM ASSURERS22

8 ACRONYMS AND REFERENCES22

ANNEX I.1 RULES FOR USE OF GLOBALG.A.P. TRADEMARK AND LOGO23

ANNEX I.2 GLOBALG.A.P. REGISTRATION DATA REQUIREMENTS26

ANNEX I.3 GLOBALG.A.P. HPSS PAPER CERTIFICATE TEMPLATE27

ANNEX I.4 GLOBALG.A.P. DEFINITIONS35

GENERAL REGULATIONS PART II

RULES FOR OPTION 2 AND OPTION 1 MULTISITES WITH QMS36

1 LEGALITY, ADMINISTRATION, AND STRUCTURE36

2 MANAGEMENT AND ORGANIZATION37

3 DOCUMENT CONTROL39

4 COMPLAINT HANDLING39

5 INTERNAL QUALITY MANAGEMENT SYSTEM AUDIT40

6 INTERNAL PRODUCER AND PRODUCTION SITE INSPECTIONS40

7 NON-COMPLIANCES, CORRECTIVE ACTION, AND SANCTIONS41

8 PRODUCT TRACEABILITY AND SEGREGATION41

9 WITHDRAWAL OF PRODUCT42

10 SUBCONTRACTORS43

11 REGISTRATION OF ADDITIONAL PRODUCERS OR PRODUCTION SITES TO THE
CERTIFICATE43

12 LOGO USE43

**ANNEX II.1 INTERNAL AUDITOR AND INSPECTOR QUALIFICATIONS AND
RESPONSIBILITIES45**

**ANNEX II.2 FLEXIBLE DISTRIBUTION RULE TO ACCOMPANY THE QUALITY
MANAGEMENT SYSTEM IN THE INTEGRATED FARM ASSURANCE STANDARD
FRUIT AND VEGETABLES47**

ANNEX II.3 DECLARATION OF GROUP MEMBERSHIP49

GENERAL REGULATIONS PART III	
CERTIFICATION BODY AND ACCREDITATION RULES	50
1 LICENSE AND CERTIFICATION AGREEMENT	50
2 CERTIFICATION BODY APPROVAL PROCESS.....	50
3 OPERATIONAL REQUIREMENTS	53
4 PRODUCER REGISTRATION AND ACCEPTANCE.....	56
5 ASSESSMENT PROCESS.....	58
6 CERTIFICATION PROCESS.....	64
7 TRANSFER BETWEEN CERTIFICATION BODIES	67
8 CERTIFICATION BODY SANCTIONS.....	69
9 INTEGRITY PROGRAM (IPRO).....	70
ANNEX III.1 GLOBALG.A.P. CB INSPECTOR QUALIFICATIONS (OPTION 1).....	77
ANNEX III.2 GLOBALG.A.P. CB AUDITOR QUALIFICATIONS (OPTION 1 MULTISITE	
WITH QMS, OPTION 2)	81
VERSION/EDITION UPDATE REGISTER.....	85

GENERAL REGULATIONS PART I – GENERAL REQUIREMENTS

1 INTRODUCTION

This addendum applies to the Harmonized Produce Safety Standard (HPSS) V1.2. The following requirements have been taken from the GLOBALG.A.P. General Regulations (GR) V5.4-GFS and amended, where necessary. These amended requirements shall replace the specified requirements laid out in the GLOBALG.A.P. GR V5.4-GFS document. *All non-amended clauses of the GLOBALG.A.P. GR V5.4-GFS still apply and are included in this document in grey font.* Updates of GLOBALG.A.P. General Regulations may occur and latest editions of the Standard Documents are available on the GLOBALG.A.P. website.

The **scope** of the HPSS covers the production of all products listed as crops (fruit and vegetables, combinable crops) in the GLOBALG.A.P. Product List. The standard is based on and includes all control points of the Produce GAP Harmonization Initiative's [Combined Harmonized Food Safety Standard](#) V.2.0 consisting of the [Field Operations and Harvesting](#) Food Safety Standard and [Post-Harvest Operations](#) Harmonized Food Safety Standard V.2.0 (Produce GAPs Harmonized Standards), for which United Fresh Produce Association (United Fresh) serves as Secretariat.

“Harmonized Produce Safety Standard” certification, certified production process, products and certificate shall be read wherever the GLOBALG.A.P. General Regulations refer to GLOBALG.A.P. Certification, certified production process, products, and certificate.

As the HPSS requires producers to assess risks associated with various elements of their operation, the entire standard serves as an exercise in hazard analysis. For this reason, a separate requirement for structured stand-alone HACCP documentation and program implementation would be unduly redundant. The structure of this standard reflects the best practices and recognized measures described in the Codex Alimentarius Principles of HACCP, applicable content of which may be found in the online Food and Agriculture Organization document entitled [Hazard Analysis and Critical Control Point \(HACCP\) System AND Guidelines for Its Application](#).

The term “shall” is used throughout this document to indicate those requirements which are mandatory.

2 NORMATIVE DOCUMENTS

The following normative documents (and any other documents released as normative) are relevant to all applicants and HPSS certificate holders:

- a) GLOBALG.A.P. Sublicense and Certification Agreement: Contract between the CB and the producer. Sets legal framework in order to be granted the GLOBALG.A.P. Certification.
- b) GLOBALG.A.P. License and Certification Agreement: Contract between the CB and GLOBALG.A.P. c/o FoodPLUS GmbH.
- c) HPSS Control Points and Compliance Criteria (CPCC): Document that sets the compliance requirements for producers.
- d) GLOBALG.A.P. HPSS checklist:
 - For control points and compliance criteria
 - For quality management system (QMS) requirements (producer groups and multisites with QMS): Sets requirements for quality management systems. These documents or customized ones with verbatim content are used for all audits, inspections, and self-assessments.
- e) National Interpretation Guidelines (NIG) for HPSS is not applicable.
- f) GLOBALG.A.P. General Regulations and its addendum for the HPSS (this document): Define how the certification process works as well as the requirements for quality management systems and related issues.
- g) GLOBALG.A.P. specific rules (e.g. Crops Rules): Define how the certification process works for this specific scope.
- h) Technical news and normative update issued by the GLOBALG.A.P. Secretariat and published on the GLOBALG.A.P. website.

2.1 Document Control

- a) The latest versions of all normative documents can be downloaded free of charge from the GLOBALG.A.P. website.

- b) Language: Original documents are in English. GLOBALG.A.P. documents are translated into other languages and published on the GLOBALG.A.P. website. Once published, these official GLOBALG.A.P. documents are the only ones that shall be used for certification in that language. In case of discrepancy between translations, the English version shall prevail.
- c) Changes to documents:
 1. Normative documents are identified with a unique document code and a version number and date.
 2. The date in the version name indicates the date of publication of the document. The date in the 'Version/Edition Update Register' indicates the date when the document comes into effect.
 3. Version number: A change in the first or second digit (e.g. change from 4.1 to 5.0; or 5.0 to 5.1) indicates changes in the requirements and thus a version change. A change in other digits (e.g. change from 5.0 to 5.0-1) indicates updates that do not introduce changes to the requirements.
 4. Updates can be made independently in the GR and CPCC documents.
 5. The updates are sent to all GLOBALG.A.P. approved CBs as official communications. It is the responsibility of the CBs to inform their clients of such updates.
 6. A summary of changes is indicated in the 'Version/Edition Update Register' section. This section is published separately for a version update or at the end of a document for new editions.

3 CERTIFICATION OPTIONS

Any producer of primary agricultural products covered by the GLOBALG.A.P. standards may apply for GLOBALG.A.P. certification.

For GLOBALG.A.P. certification, the term “producer(s)” refers to persons (individuals) or businesses (company, individual producer or producer group) that are legally responsible for the production processes and the products of the respective scope, sold by those persons or businesses. The term “producer(s)” is also used in these General Regulations to describe livestock transport companies and feed manufacturers.

Producers can apply for certification using any of 2 options (individual or group certification). The options are based on the constitution of the legal entity applying for certification. The assessment process for each of these options is described under Section 5.

3.1 Option 1 – Individual Certification

- a) An individual producer applies for certification (GLOBALG.A.P.).
- b) The individual producer is the certificate holder once certified.

3.1.1 Option 1 – Multisite without QMS

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

3.1.2 Option 1 – Multisite with QMS (see Part II)

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

3.2 Option 2 (see Part II)

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

3.3 Benchmarked Schemes

Benchmarking against the GLOBALG.A.P. Harmonized Produce Safety Standard is not possible.

4 REGISTRATION PROCESS

4.1 Certification Bodies

- a) Applicants shall, as a first step, choose a GLOBALG.A.P. approved certification body (CB). Contact information on approved and provisionally approved CBs is available on the GLOBALG.A.P. website. It is the responsibility of the applicants to verify whether the chosen CB is approved for the relevant scopes.
- b) The chosen CB is responsible for the registration of the applying producer in the GLOBALG.A.P. Database, data updates, and collection of fees.

4.2 Registration

4.2.1 General

- a) The application shall cover at least the information detailed in 'Annex I.2 GLOBALG.A.P. Registration Data Requirements'. By registering, the applicant commits to comply with the certification requirements at all times, the communication of data updates to the CB, and the payment of the applicable fees established by GLOBALG.A.P. and by the CB.
- b) The information is used by GLOBALG.A.P. to supply the applicant with a unique GLOBALG.A.P. Number (HPSS-GGN), which is used as unique identifier for all GLOBALG.A.P. activities.
- c) Any objective evidence found that indicates that the applicant has been misusing the GLOBALG.A.P. claim shall lead to the exclusion of the applicant from certification for 12 months after evidence of misuse. In addition, the applicant will be listed, and the list shall be checked before registration in the Database. Any case of misuse shall be communicated to the GLOBALG.A.P. members.
- d) Confidentiality, data use, and data release:
 - (i) During registration, applicants give written permission to GLOBALG.A.P. and the certification bodies to use the registration data for internal processes and sanctioning procedures.
 - (ii) All data in the GLOBALG.A.P. Database is available to GLOBALG.A.P. and the certification body, which the producer or producer group is working with, and can be used for internal processes and sanctioning procedures.
 - (iii) The minimum and obligatory data release level, as well as additional information on confidentiality and data use, is defined by the 'GLOBALG.A.P. Data Access Rules' and available at www.globalgap.org/documents.
 - (iv) If an applicant (company, individual producer, or member of a group) does not agree to the minimum release, the applicant is not in agreement with the 'Sublicense and Certification Agreement' and cannot be certified, nor belong to a producer group seeking certification.
 - (v) No data other than that stated in point (iii) can be released by GLOBALG.A.P. or CBs to any other party without written consent of the applicant.
 - (vi) From the GLOBALG.A.P. IFA Standard Version 5 (V5) onwards, the certification history of producers (data showed previously to the public as certificate validation tool) will be displayed to the market participants.
- e) The service contract between the CB and producer may be valid for up to 4 years, with subsequent renewal for periods of up to 4 years.

- f) An applicant:
- (i) May not register the same product with different CBs.
 - (ii) May not register the same product with different certification options (e.g.: It is not possible to register apples under both Options 1 and 2).
 - (iii) May register different products with different CBs and/or different certification options (e.g.: It is possible to register apples under Option 1 and cherries under Option 2, apples with one CB and cherries with another CB or both crops with the same CB.)
 - (iv) May not register production sites or group members in different countries with any CB. The GLOBALG.A.P. Secretariat may grant exceptions on a case-by-case basis or within national interpretation guidelines.
 - (v) **May register for certification of the GLOBALG.A.P. IFA and HPSS for the same product, but only with the same CB.**
 - (vi) **May register for IFA for some of its products and for HPSS for others. An individual producer or a producer group member is not allowed to register a given product partially under HPSS and partially under another GLOBALG.A.P. standard (e.g. IFA). It is however possible that a given product is registered for both HPSS and IFA.**
- g) For the registration to be completed, the applicant shall satisfy all the following conditions:
- (i) Submit to the CB the relevant application that shall include all the necessary information.
 - (ii) Sign acceptance of the 'GLOBALG.A.P. Sublicense and Certification Agreement' in its latest version (available on the GLOBALG.A.P. website) with the CB, or the applicant shall explicitly acknowledge the receipt and the inclusion of the 'GLOBALG.A.P. Sublicense and Certification Agreement' with signature on the service contract/agreement with the CB and the CB shall hand over a copy of the 'GLOBALG.A.P. Sublicense and Certification Agreement' to the producer.
 - (iii) **Be assigned an HPSS-GGN, if they do not already have a GGN or a Global Location Number (GLN).**
 - (iv) **Agree in writing to pay the GLOBALG.A.P. registration fee, as explained in the current 'GLOBALG.A.P. Fee Table' (available on the GLOBALG.A.P. website).**
- h) The registration process, in case of initial certification and transfers, shall be finalized before inspection can take place.
- i) **In the case of first registration the CB shall confirm the application and provide the applicant with the HPSS-GGN within 28 calendar days of receiving the complete application.**
- j) A production site is defined as a production area (e.g. fields, plots, ponds, ranches) that is owned or rented and ultimately managed by one legal entity, and where the same input factors (e.g. water supply, workers, equipment, stores, etc.) are used.
 One site may contain several non-touching areas (areas that do not share a common border, are non-contiguous) and production of more than one product on the same site is possible.
 All production sites where the product(s) that are included in the GLOBALG.A.P. certification scope are produced, shall be identified and registered.
 Requirements for production sites:
- (i) All production sites shall be owned or rented and under the direct control of the legal entity.
 - (ii) For production sites that are not owned by the legal entity, there shall be a signed document, which includes a clear indication that the site owner does not have any responsibility or input or decision capacity regarding the production operations over the rented-out site. There shall also be written contracts in force between each production site owner and the legal entity that include the following elements:
 - Certificate holder/producer member name and legal identification.
 - Name and/or legal identification of the site owner.
 - Site owner contact address.
 - Details of the individual production sites.
 - Signature of both parties' representatives.
 - (iii) The certificate holder is legally responsible for all the registered production, including placing the product on the market.

- k) A *product handling unit* (PHU) is defined as facilities where products are handled. If a producer handles products included in the GLOBALG.A.P. certification scope in more than one PHU, all these shall be identified and registered.

4.2.2 Registration with a new CB

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

4.3 Application and Certification Scope

4.3.1 Standards covered by GLOBALG.A.P. General Regulations:

The scope of GLOBALG.A.P. certification covers the following:

- a) The controlled production process of primary products. It does not cover crops harvested in the wild.
- b) Only crops (fruits and vegetables, combinable crops) included in the 'GLOBALG.A.P. Product List', published on the GLOBALG.A.P. website, can be registered for certification. The 'GLOBALG.A.P. Product List' is not limited and can be extended based on demand.
- c) Only products that are produced by producers themselves. Producers cannot receive certification for the production of products that are not produced by themselves.

The Harmonized Produce Safety Control Points and Compliance Criteria (CPCC) document is separated into different sections covering different activities in a production site.

- a) General: covering more generic production issues. Other activities include field production, harvesting, transportation, and post-harvest
- b) Sub-scope modules are not applicable to HPSS.

The Harmonized Produce Safety Standard covers the relevant food safety elements of the controlled production process of crops.

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

4.3.2.1 Definitions

Parallel Production (PP):

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

Example: A producer grows apples. Only a part of the apple production will be certified.

A situation in which a producer produces one product as certified and another product as non-certified is not parallel production (e.g.: apples certified and pears non-certified).

It is not possible for an individual producer or producer group member to certify a given product partially under HPSS and partially under another GLOBALG.A.P. standard (e.g. IFA).

It is however possible that a given product is certified against both HPSS and IFA.

Furthermore, it is also considered as PP if some members of a producer group produce a product under HPSS and some other members produce the same product under IFA (or another GLOBALG.A.P. standard).

Example: A producer group grows apples. Some members have certified apples under HPSS and some other members have certified apples under IFA.

It is not PP where a producer produces one product as HPSS certified, another product as IFA certified and another product as non-certified (e.g. apples HPSS certified, cherries IFA certified, and pears non-certified).

Parallel Ownership (PO):

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

Example 1: A producer grows HPSS certified apples and buys non-certified apples from other producer(s).

Example 2: A producer grows HPSS certified apples and buys IFA-certified apples from other producer(s).

It is not considered PO if:

- A producer/producer group buys additional HPSS certified products from another HPSS certified producer(s)
- An HPSS certified producer handles products for non-certified producers as a subcontractor, i.e. the HPSS certified producer does not buy the non-certified products.

4.3.2.2 Registration

Any applicant/certificate holder (individual producer, multisite producer, or producer group) who owns GLOBALG.A.P. and non-GLOBALG.A.P. products (of the same product) at any time needs to register for parallel production (PP) or parallel ownership (PO).

4.3.2.2.1 Registration steps

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

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

Example 1. During an inspection of a producer who has not registered for PP/PO, the CB detects the sale of non-GLOBALG.A.P. products of the same type the producer has certified. In this case, the CB shall immediately suspend the producer. Suspension can only be lifted after registration under PP/PO and compliance with all traceability and segregation requirements is verified.

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

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

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

4.3.2.3 Identification of producers registered for PP/PO

The HPSS-GGN is used to validate the certificate. It is made available via the identification of the final products with the producer's HPSS-GGN, where the product originates from a certified process (see HPSS 12.2 'Identification of GLOBALG.A.P. Products'), which is an obligation for all producers registered for PP/PO. PP/PO shall be specified on the paper certificate and is also visible via the online certificate validation in the GLOBALG.A.P. Database.

4.3.2.4 Additional Requirements for producers with PP/PO

All products shall be traceable to the respective production site/PHU, and certified and non-certified products shall be fully segregated at all times. Producers shall be able to demonstrate that their traceability and recording system guarantees full traceability and segregation.

The handling of certified and non-certified products is possible within the same product handling facility. Parallel production in one production site is not allowed. Exceptions, when possible, are explained in the respective scope-specific rules.

4.3.3 Burden of Proof

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

5 ASSESSMENT PROCESS

In order to achieve certification, a registered party shall perform either a self-assessment (Option 1 and Option 1 Multisite without QMS) or internal inspections/audits (Option 1 Multisite with QMS and Option 2) and receive inspections/audits by the chosen Certification Body.

During any of these assessments, except the self-assessments, comments shall be supplied for all control points.

5.1 Option 1 – Single Sites and Multisites without QMS

- a) This section is applicable to applicants that are single legal entities (individual producer or company) with single production sites or multiple production sites that are not separate legal entities and operated without the implementation of a QMS.

- b) *Summary of assessments* to be undertaken before the certificate is issued (initial evaluation) and annually thereafter (subsequent evaluations)

	Evaluations (Initial and Subsequent)
Self-assessments by producer	1. Entire scope (all registered sites)
Externally by the CB	2. Announced inspection of entire scope (all registered sites) 3. After initial certification: Unannounced inspection (minimum 10 % of certificate holders)

5.1.1 Self-Assessments

- a) The self-assessments shall:
- (i) Cover all registered production sites, products, and processes under the certification scope to verify compliance with the requirements defined in the applicable control points.
 - (ii) Be carried out by or under the responsibility of the producer.
 - (iii) **Be carried out before the initial inspection and thereafter at least annually before announced subsequent inspections against the complete checklist for all registered areas. The completed checklist shall be available on site for a review at all times.**
 - (iv) The self-assessment checklist shall contain comments of the evidences observed for all non-applicable and non-compliant control points.

5.1.2 Certification Body Inspections

- a) These inspections (announced and unannounced) shall be carried out by a CB inspector or auditor (see CB inspector and auditor requirements in Part III)
- (i) The CB shall inspect the complete checklist.
 - (ii) The inspection shall cover:
 - All accepted products and production processes
 - All registered production sites
 - Each registered product handling unit
 - Where relevant, the administrative sites

5.1.2.1 Announced inspections

Each producer shall undergo one announced CB inspection at the initial assessment and thereafter once per annum.

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

- (i) **Off-site module:** This consists of a desk review of documentation sent by the producer to the CB before the inspection, including the self-assessment, risk assessments, procedures required in several CPCCs, analysis program (frequency, parameters, locations), analysis reports, licenses, list of plant protection products used, proof of lab accreditation, certificates or inspection reports of subcontracted activities, plant protection products/fertilizers application records, etc. The off-site module review has to be conducted no more than 4 weeks before the on-site module inspection.
- (ii) **On-site module:** This consists of an on-site inspection of the remaining content of the checklist, the production process on-site, and verification of the information assessed off-site.

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

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

The producer has the right not to send certain requested documents to the CB if they are considered to be confidential. In this case the information will have to be present during the on-site inspection. (See also off-site module description in General Regulations Part III).

5.1.2.2 Unannounced inspections

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

5.2 Option 2 and Option 1 Multisite with QMS

- a) This section is applicable to groups and individuals with multiple sites who have implemented a QMS that complies with the requirements set in General Regulations Part II.
- b) The applicant is responsible for ensuring that all producers and production sites under the certification scope comply with the certification requirements at all times.
- c) The CB does not inspect all producers or production sites, but just a sample. Thus, it is not the responsibility of the CB to determine the compliance of each producer or production site (this responsibility rests with the applicant). The CB shall assess whether the applicant's internal controls are appropriate.
- d) *Summary of assessments* to be undertaken before a certificate is issued (initial evaluation) and annually thereafter (subsequent evaluation):

	Initial Evaluations	Subsequent Evaluations
Internally by the producer group and Option 1 multisite with QMS	1. Internal QMS audit 2. Internal inspection of each registered producer/production site and all product handling units	1. Internal QMS audit 2. Internal inspection of each registered producer/production site and all product handling units

Producers with multisites and groups <u>without</u> high-risk products*		
Externally by the CB	<p>First visit</p> <p>1. QMS audit + square root of the total number of registered central product handling units while in operation</p> <p>2. Unannounced inspection of (minimum) square root of registered producer/production sites</p>	<p>First visit</p> <p>1. QMS audit</p> <p>2.a) If sanction from previous surveillance: unannounced inspection of (minimum) square root of actual number of registered producers/production sites; or</p> <p>2.b) If no sanction from previous surveillance: unannounced inspection of (minimum) square root of actual number of registered producers/production sites <i>minus</i> the number of producers/production sites inspected during the previous surveillance inspection</p>
	<p>Second visit (surveillance)</p> <p>3. Surveillance unannounced inspection of (minimum) 50 % square root of certified producers/production sites</p>	<p>Second visit (surveillance)</p> <p>3. Surveillance unannounced inspection of (minimum) 50 % square root of the actual number of certified producers/production sites</p>
Producers with multisites and groups <u>with</u> high-risk products*		
Externally by the CB	<p>1. QMS audit + total number of registered central product handling units while in operation</p> <p>2. At least 20% unannounced inspection of all registered producer members/production sites</p> <p>Visits may be split into 1st and 2nd visits annually, but no sampling of the producer members/sites may take place and at least 20% of the inspections on an annual basis needs to unannounced.</p>	<p>1. QMS audit + total number of registered central product handling units while in operation</p> <p>2. At least 20% unannounced inspection of all registered producer members/production sites</p> <p>Visits may be split into 1st and 2nd visits annually, but no sampling of the producer members/sites may take place and at least 20% of the inspections on an annual basis needs to unannounced.</p>

Applicable to all risk categories:	
Product handling inspections externally by the CB	<p>During first or second visit: If there is only one central product handling facility, it shall be inspected every year while in operation. When there are more than one central product handling facility, the square root of the total number of central product handling units registered shall be inspected while in operation.</p> <p>Where the product handling does not take place centrally, but on the farms of the producer members, this factor shall be taken into account when determining the sample of producers to be inspected.</p> <p>Sampling is not applicable for product handling units handling high-risk products.</p> <p>For aquaculture, every product handling unit shall always be inspected annually while in operation.</p>
Unannounced QMS audits externally by the CB	<p>Minimum of 10% of certificate holders with QMS shall be audited unannounced.</p>

*High-risk products as defined in the 'GLOBALG.A.P. Product List'.

5.2.1 Internal Assessments

- a) The applicant shall undertake internal assessments of all producers and/or production sites, covering all products and processes under the certification scope to verify and ensure compliance with the certification requirements.
- b) The internal assessments shall comply with requirements determined in Part II of the General Regulations under sections 5 and 6 and include the following:
 - (i) A minimum of one internal audit of the QMS to be carried out by the internal auditor before the first CB audit and thereafter once per annum.
 - (ii) A minimum of one internal inspection of each registered producer, production site and product handling facility (PHU) to be carried out by the internal inspector before the first CB inspection and thereafter once per annum.

5.2.2 Certification Body Quality Management System (QMS) Audit

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

5.2.2.1 QMS Announced Audits

The CB shall carry out one announced audit of the QMS at the initial assessment and thereafter once per annum.

The CB may divide the announced audits into 2 modules, which shall be verified by the same auditor:

- (i) Off-site module: This consists of a desk review of documentation sent by the QMS to the CB before the audit, including internal audit, internal register of approved producer members/production sites, 'Food Safety Policy Declaration', risk assessments, procedures required in General Regulations Part II, Residue Monitoring System (frequency, parameters, sampling program), residue analysis reports, licenses, list of plant

- protection products used, proof of lab accreditation and certificates or inspection reports of subcontracted activities, etc.
- (ii) On-site module: This consists of an on-site audit of the remaining content of the QMS checklist, plus the verification of the information assessed off-site and the way the management system works on-site (e.g. internal inspections, traceability, segregation and mass balance, central product handling units, etc.).

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

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

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

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

5.2.2.2 QMS Unannounced Audits

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

5.2.3 Certification Body Producer/Production Site Inspections

- a) A CB inspector or auditor shall carry out the inspections.
- b) **The CB shall inspect the complete checklist during ALL inspections.**
- c) The inspection per selected producer member or production site shall cover all accepted products, production processes, and where relevant, the product handling units and administrative sites.
- d) For producers with high-risk products, at least 20% of the inspections of the selected producer members or production sites shall be unannounced.
- e) The 25% of the selected producer members or sites shall be selected randomly.
- f) Initial inspection or first inspection by a new CB: Unless the certification scope includes high-risk products (see the 'GLOBALG.A.P. Product List'); as a minimum the square root (or next whole number rounded upwards if there are any decimals) of the total number of the producers/production sites in the certification scope shall be inspected before a certificate can be issued. During the validity period of the certificate, the surveillance inspection of (minimum) 50 % square root of certified producers/production sites shall be carried out. High-risk products, however, shall be considered in the annual inspection plan and no sampling is applicable (in other words, those products considered as high-risk with regards to food safety shall be inspected annually, not only the square root).
Where high-risk products are to be included in the scope of certification, all the members of the group or sites with these products shall be inspected (no square root sampling),
- g) Subsequent inspections:
 - (i) The CB shall carry out unannounced external inspections of each producer group and multisite annually.
 - (ii) For unannounced visits, the notification will normally not exceed 48 hours (2 working days) in advance of the intended visit. In the exceptional case where it is impossible for the producer member or producer (multisite) to accept the proposed date (due to medical or



other justifiable reasons), the producer member or producer (multisite) will receive one more chance to be informed of an unannounced inspection. The certificate holder shall receive a written warning if the first date has not been accepted. Another 48-hour notification will be given. If the visit cannot take place because of non-justifiable reasons, a complete suspension will be issued to the certificate holder.

- (iii) The inspections shall be split into 2 separate visits during the certification cycle, with the aim of increasing the reliability of the system:

- Re-certification audit
- Surveillance producer inspections

This does not reduce the minimum number of inspections necessary during the certification cycle.

- (iv) Points (v) to (viii) are only applicable to groups or sites where no high-risk products are included in the scope of certification (because sampling is not allowed where high-risk products are included).

- (v) The number of producers/sites to be inspected during a certification cycle shall be equivalent to the square root of the current number of producers/production sites (grouped by the same production type). Half (50 %) of the square root of the producers/production sites shall be inspected during the surveillance inspections. Products that are considered as high-risk with regards to food safety, however, shall be considered in the annual inspection plan and no sampling is applicable.

- (vi) The sample size of the following regular announced audit by the CB may be reduced to the square root of the current number of the producers/production sites minus the number of producers/production sites inspected during the previous surveillance inspections as long as the following prerequisites are met:

- There are no non-conformances detected on the day of the producer/production site surveillance inspections.
- The result of the QMS audit does not raise doubts about the robustness of the system.

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

Example 2: In a producer group with 5 members during the initial audit, 3 members (square root of 5) and during the following surveillance inspections 2 (0.5 x 3) members shall be inspected. If in the next year the total number of group members' decreases to 4, and no non-conformances were detected during the surveillance producer inspection, 1 producer shall still be inspected.

Example 3: In a group of 62 members, the number of members increased (by less than 10 %) to a total of 65 after the initial audit. During the initial audit 8 members (square root of 62) were inspected. The sample size for the following surveillance inspection needs to take the increase into consideration and half of the square root of the actual number of members (65) need to be inspected; i.e. (0.5 x 9), which is 5 producers.

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

5.3 Inspection timing

5.3.1 Initial (First) Inspections

This section is applicable to producers seeking GLOBALG.A.P. certification for the first time, and to producers who want to add a new product to an already existing GLOBALG.A.P. certificate. When a producer changes from one CB to another, or from GLOBALG.A.P. IFA Standard to HPSS, it is not considered a first inspection, but subsequent inspection.

- a) No inspection can take place until the CB has accepted the applicant's registration.
- b) *Each* production process for products registered and accepted for certification for the first time *shall be completely assessed* (all applicable control points shall be verified), *prior to issuing the certificate*.
- c) A product that has not yet been harvested shall not be included in the certificate (i.e. it is not possible to certify a product in the future).
- d) It is possible to add a new product to an already existing certificate during an unannounced inspection (Option 1 without QMS) or during a surveillance inspection (Option 2/Option 1 with QMS and sampling; see General Regulations Part II, 11), provided all applicable control points for this product are verified.
- e) The applicant shall have records from the registration date onwards or for at least 3 months before the first inspection takes place, whichever is longer, and the CB shall inspect them
- f) **Products that are harvested before registration with GLOBALG.A.P. cannot be certified.**
- g) Records that relate to harvest or product handling before the producer has registered with GLOBALG.A.P. are not valid.

5.3.2 Subsequent Inspections

- a) Each production process for products registered and accepted for certification shall be completely assessed (all applicable control points shall be verified) annually prior to issuing the certificate. This also applies if the producers change CBs.
- b) The subsequent inspection can be carried out at any time during an "inspection window" that extends over a period of 8 months: from 4 months before the original expiry date of the certificate, and (only if the CB extends the certificate validity in the GLOBALG.A.P. Database) up to 4 months after the original expiry date of the certificate.

Example: 1st certification date: 14 February 2015 (expiry date: 13 February 2016). 2nd inspection can be at any time from 14 October 2015 to 13 June 2016, if the certificate validity is extended.

- c) There shall be a minimum period of 6 months between 2 inspections for re-certification.

6 CERTIFICATION PROCESS

6.1 Non-compliance and non-conformance

- a) **Non-compliance (of a control point):** An HPSS control point in the checklist is not fulfilled according to the compliance criterion.
- b) **Non-conformance (with the GLOBALG.A.P. certification rules):** A GLOBALG.A.P. rule that is necessary for obtaining the certificate (see 6.2) is infringed (e.g. non-compliance with one or more Major Musts)
- c) **Contractual Non-Conformances:** Breach of any of the agreements signed in the contract between the CB and the producer related to GLOBALG.A.P. issues.
Case examples: Trading with a product that does not comply with legal requirements, false communication by the producer regarding GLOBALG.A.P. certification, GLOBALG.A.P. trademark misuse, payments not made in accordance with contractual conditions, etc.

6.2 Requirements to achieve and maintain GLOBALG.A.P. Certification

Control Points and Compliance Criteria are all Major Musts. To obtain GLOBALG.A.P. HPSS Certification the producer must comply with 100% of the control points and where applicable with 100% of the QMS control points.

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

6.2.1 Minor Must Compliance Calculation

Minor musts are not included in HPSS, this section is not applicable.

6.2.2 Applicable Control Points

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

6.3 Certification Decision

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

6.4 Sanctions

- a) If non-conformance is detected, the CB shall apply a sanction (warning, suspension, or cancellation) as indicated in this section.
- b) If a clear link has been established between a producer and public health outbreak by a reputable governmental regulatory authority, suspension of the certification shall be imposed, while a review of the producer's certification is performed.
- c) Producers cannot change CB until the non-conformance that led to the respective sanction is satisfactorily closed.
- d) *Only* the CB or the producer group that has issued the sanction is entitled to lift it, provided there is sufficient and timely evidence of corrective action (either through a follow-up visit or other written or visual evidence).
- e) In the event that a producer has registered for an IFA and HPSS certification, sanctions will apply simultaneously to both IFA and HPSS if the reason for the sanction is a non-conformity included in both of the IFA and in HPSS standards.

6.4.1 Warning

- a) A warning is issued for all types of non-conformance detected (i.e. non-conformance with CPCC, GR, or contractual requirements).

- b) If a non-conformance is detected during the inspection, the producer shall be served a warning when the inspection is finalized. This is a provisional report that could be overridden by the CB certification authority
- c) **Initial inspection:**
 - (i) If an individual producer or producer group does not comply with 100% of the HPSS control points within 28 days after an *initial* inspection, the status “open non-conformance” is set in the GLOBALG.A.P. Database.
 - (ii) If the cause of the warning is not resolved within three (3) months, a complete inspection shall be performed before a certificate can be issued.
- d) **Subsequent inspection:**
 - (i) Non-conformances shall be closed within 28 calendar days.
 - (ii) In the event of non-conformances with contracts, the General Requirements, or a Major Must, the CB shall decide what period is given to the producer for closing the non-conformance before suspending the certificate. This period shall never exceed 28 days and may be shortened according to the criticality of the non-conformance in terms of safety of workers, environment and consumers. An immediate suspension shall be issued where a serious threat to food safety, the safety of workers, the environment, consumers, and/or product integrity (i.e. sale of non-certified products as certified) is present. This will be communicated via an official warning letter.

6.4.2 Product Suspension

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

6.4.2.1 Self-declared Product Suspension

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

- conformance is set by the declaring producer, which shall be agreed upon with the respective producer group QMS.
- (v) In the GLOBALG.A.P. Database the product status “self-declared suspension” shall be set for the respective products.

6.4.3 Cancellation

- a) A cancellation of the contract shall be issued where:
 - (i) The CB finds evidence of fraud and/or lack of trust to comply with GLOBALG.A.P. requirements
or
 - (ii) A producer/producer group cannot show evidence of implementation of effective corrective action before the suspension period set by the CB/producer group has elapsed
- b) A cancellation of the contract results in the total prohibition (all products, all sites) of the use of the GLOBALG.A.P. logo/trademark, license/certificate, or any device or document that may be linked to GLOBALG.A.P.
- c) Producers that have received a cancellation shall not be accepted for GLOBALG.A.P. certification within 12 months of the date of cancellation.

6.5 Notification and Appeals

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

6.6 Sanctioning of Certification Bodies

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

6.7 GLOBALG.A.P. Certificate and Certification Cycle

- a) The GLOBALG.A.P. certificate can only be issued to the applicant legal entity.
- b) The name of the trader could optionally be mentioned on the certificate only with the following disclaimer: “Can be exclusively traded through XYZ”.
- c) A certificate is not transferable from one legal entity to another when production sites change legal entity. In this case, a complete inspection following the rules for subsequent inspections is required. The new legal entity shall receive a new GGN (or HPSS-GGN).
- d) The certification cycle is 12 months subject to any sanctions and extensions in accordance with the scope described.
- e) Issuance of Food Safety Standard certificates are not applicable to HPSS.

6.7.1 Certificate Information

- a) The paper certificate issued by a CB shall conform to the available templates included in Annex I.3. The format may be different, but it shall include the same information.
- b) The paper certificate shall match the information available in the GLOBALG.A.P. Database for that unique HPSS-GGN at the time of issuing.
- c) The scope of certification shall be clearly defined in the certificate.
- d) Date of certification decision: Date when the CB makes the certification decision after all non-conformances are closed (e.g. 8 February 2015).
- e) Valid from:
 - (i) Initial certification: The initial date of validity is the date on which the CB makes the certification decision (e.g. 8 February 2016).
 - (ii) Subsequent certifications: The “valid from” date for subsequent certificates issued shall always revert to the “valid from” date in the original certificate (e.g. 8 February 2016, 8



February 2017, etc.), except when the certification decision is made after the expiration of the previous certificate. In this case the “valid from” date shall coincide with the date of certification decision. (e.g. previous certificate “valid to” date: 7 February 2016; Date of certification decision: 25 February 2016; “Valid from” date 25 February 2016; “Valid to” date: 7 February 2017).

- (iii) If a new product is added during the validity of a certificate, the certification cycle (valid from-valid to) is kept as it was. If the CB wants to indicate that the newly added products are certified and added later than the original “valid from”, there is a possibility to add the individual “valid from” of each product on the paper certificate. This is voluntary and additional information, e.g.: The certificate is valid from 1 January 2016 including oranges. Tomato added on 1 March 2016. The original “valid from 1 January 2016” remains. Tomatoes may be marked with “valid from 1 March 2016” on the paper certificate.
- f) Valid to:
 - (i) Initial certification: Date valid from plus 1 year minus 1 day. The CB may shorten the certification cycle and the validity but cannot prolong it.
 - (ii) Subsequent certifications: The validity date for subsequent certificates issued shall always revert to the “valid to” date on the original certificate (e.g. 7 February 2016, 7 February 2017, etc.).
- g) If a producer is certified for different products by different CBs, certificates may have different certification cycles (valid from – valid to).
- h) **Issuance of Food Safety Standard certificates are not applicable.**

6.7.2 Extension of Certificate Validity

- a) The validity may be extended beyond the 12 months (for a maximum period of 4 months) only if there is a valid reason, which has to be recorded. Here are the only reasons that are considered to be valid:
 - (i) The CB wants to schedule the on-site inspection/audit after the certificate has expired in order to observe a certain part of the production process, because it has not been seen in the previous inspection/audit, because it is considered to be a high-risk process in terms of product safety or to be able to see a newly added product, process or a new or particular member of a producer group.
 - (ii) The CB needs to be able to extend some certificates because of resource restraints.
 - (iii) The CB was not able to conduct the on-site inspection/audit and/or the producer was not able to receive the CB inspection audit due to circumstances beyond its control (force majeure) e.g. natural disaster, political instability in the region, epidemic, or unavailability of the producer due to medical reasons.
- b) Upon the producer’s request, the CB (which issued the extended certificate) re-accepts the product in the GLOBALG.A.P. Database for a full next cycle within the original validity period of the certificate.
- c) The full registration fee shall be paid for the next cycle.
- d) The producer shall be re-inspected during that extension period.
- e) The producer cannot change the CB in the cycle subsequent to the one for which the extension was granted.
- f) If a certificate that was not extended and not “re-accepted” expires and the subsequent inspection (to be performed by the same CB) is going to take place in less than 12 months after the expiration date, a new certification cycle should start. The old cycle can be reinstated by setting the same “valid to” date as before. The cycle remains the same if the certificate was extended. However, the CB shall apply the rules for initial (first) inspection if the certificate expired for more than 12 months.

6.7.3 Maintenance of GLOBALG.A.P. Certification

- a) The registration of the producer and the proposed products for the relevant scopes shall be confirmed with the CB annually before the expiry date, following all conditions already explained in sections 4.2 and 4.3.

- b) The inspector shall complete the entire checklist and the verification process annually.

7 **FARM ASSURERS**

- a) The producers/producer groups may use the services of consultants during implementation and maintenance of certification. These consultants may be GLOBALG.A.P. licensed Farm Assurers. The list of the individual trained consultants included in this network is available here: <http://www.farmassurer.org/>.
- b) Farm Assurers have first-hand knowledge about the GLOBALG.A.P. system and the latest developments.

8 **ACRONYMS AND REFERENCES**

8.1 **Acronyms**

AB	Accreditation body	HACCP	Hazard Analysis Critical Control Points
CB	Certification body	HPSS	Harmonized Produce Safety Standard
CC	Compliance criterion	IPRO	Integrity Program
CBC	Certification Body Committee	IAF	International Accreditation Forum
CL	Checklist	MLA	Multilateral Agreement
CP	Control point	NTWG	National Technical Working Group
CPCC	Control points and compliance criteria	NIG	National Interpretation Guideline
CIPRO	Certification Integrity Program	PHU	Product handling unit
EA	European co-operation for Accreditation	QMS	Quality management system
GFSI	Global Food Safety Initiative	TC	Technical Committee
IFA	Integrated Farm Assurance		

8.2 **Reference Documents**

- a) ISO/IEC 17065:2012 Conformity assessment — requirements for bodies certifying products, processes and services
- b) ISO/IEC 17020:2004 General criteria for the operation of various types of bodies performing inspections.
- c) ISO/IEC 17025:2005 General Requirements for the competence of testing and calibration laboratories.
- d) ISO/IEC 17011:2004 General Requirements for accreditation bodies accrediting conformity assessment bodies.
- e) ISO 19011:2011 Guidelines for quality and/or environmental management systems auditing.

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

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

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

Products originating from certified operations *shall not* be labelled, marked, or described in a manner, which implies that they/it meets specific food safety criteria.

1 GLOBALG.A.P. TRADEMARK

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

2 SPECIFICATIONS

- (i) The producer shall only use the trademark in the manner provided by GLOBALG.A.P. and shall not alter, modify, or distort it in any way.
- (ii) The GLOBALG.A.P. logo shall always be obtained from the GLOBALG.A.P. Secretariat. This will ensure that it contains the exact corporate color and format, as below:



GLOBALG.A.P.

3 HPSS GLOBALG.A.P. NUMBER (HPSS-GGN)

- (i) The HPSS-GLOBALG.A.P. Number (GGN) is the combination of the prefix “HPSS-GGN” plus a 13-digit numerical number, *not* including the GLOBALG.A.P. trademark, and is unique to each and every producer and any other legal entity in the GLOBALG.A.P. system. For this number GLOBALG.A.P. requires existing Global Location Numbers (GLN) issued by, and to be purchased from, the local GS1 organization (www.gs1.org) or alternatively – in its absence – GLOBALG.A.P. assigns its own interim GLN. Please note the limitations of the HPSS-GGN, as it is not equivalent to owning a GLN, because the HPSS-GGN technically is a sub-GLN of one single GLN owned by GLOBALG.A.P.
- (ii) The HPSS-GGN identifies a registered or certified producer and may only be used as indicated in the CPCCs. It cannot be used to label a product that is not certified. The HPSS-GGN (e.g.: HPSS-GGN_1234567890123) may appear on the product, consumer packaging of the product or at the point of sale where in direct connection with individual certified products. The HPSS-GGN shall only be used on transaction/sales documents including certified products. When the transaction/sales documents include certified and non-certified products, the certified items shall be clearly identified as required by the relevant All Farm Base Control Points and Compliance Criteria.
- (iii) The legal entity that labels HPSS-GGN shall be a holder of a valid certificate of a GLOBALG.A.P. HPSS standard/scheme certificate.
- (iv) The HPSS-GGN may be used in (converted into) digital codes, e.g. barcode, EAN number, etc. However, where it is required by a CPCC to include the HPSS-GGN in the product label and/or in the transaction documents, the HPSS-GGN needs to appear in human readable format.
- (v) On termination of the Sub-License and Certification Agreement the right of the producer to use the GLOBALG.A.P. claim, including the trademark, HPSS-GGN terminates with immediate effect.
- (vi) The HPSS-GGN shall only be used in connection with the GLOBALG.A.P. System.
- (vii) Whenever a need arises to identify the organization in other contexts or additional applications, an organization may apply for its own GLN and report this number to GLOBALG.A.P., which shall register the organization under its own number and withdraw the HPSS-GGN accordingly. The GLN replaces the GGN and the HPSS-GGN in the GLOBALG.A.P. System.

4 THE GGN CERTIFIED PRODUCT LABEL

The GGN consumer label is not applicable for HPSS.

5 PRODUCE GAPs HARMONIZATION INITIATIVE LOGO

- (i) The Produce GAPs Harmonization Initiative logo may be used as needed by CBs in any way that is reasonable and in compliance with the Licensing Agreement.
- (ii) The producer shall only use the Produce GAPs Harmonization Initiative logo in connection with products complying with the requirements of the GLOBALG.A.P. System.
- (iii) The Produce GAPs Harmonization Initiative logo shall never appear on the product, consumer packaging of products intended for human consumption or at the point of sale where it is in direct connection with single products.
- (iv) GLOBALG.A.P. HPSS certified producers may use the Produce GAPs Harmonization Initiative logo in business-to-business communication, and for traceability, segregation, or identification purposes on site at the production site.
- (v) GLOBALG.A.P. approved Certification Bodies may use the Produce GAPs Harmonization Initiative logo in promotional material directly linked to their certification activities in business-to-business communication and on GLOBALG.A.P. HPSS certificates they issue.
- (vi) Produce GAPs Harmonization Initiative logo shall be used in exact corporate color and format, as below:



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

1 TYPES OF MASTER DATA REQUIRED

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

- 1.1 Company and location information
- 1.2 Production sites/product handling units information
- 1.3 Product information

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

1.1 Company Information of Legal Entity

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

1.1.1 Company

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

1.1.2 Contact person (responsible for legal entity)

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

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

1.2 Information regarding Production Site/Product Handling Units

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

1.2.1 Production Sites and/or PHU

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

1.3 Product Information

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

- a) Product(s)
- b) Parallel production/ownership per product
- c) Subcontracted activities
- d) Quantity information (based on requirements as explained in fee table)
 - (i) Crops: Annual area under production (ha), voluntary: estimated yield (tons) per product.
The producer registration fee is based on the production area registered in the GLOBALG.A.P. Database, separated into two categories: covered and non-covered crops. For perennial crops, the area covered by the registration fee is the area in production, i.e. juvenile, non-producing fruit trees are not subject to any fee. Likewise, in case of ornamentals like Christmas trees, the registration fee only applies to the area to be harvested during the year of validity of the certificate. In order to maintain information about the whole area under cultivation, the area in production and to be harvested shall be registered as “First Harvest”, and the non-harvestable area as “Further Harvest”.
 - (ii) Livestock is not applicable.
 - (iii) Aquaculture is not applicable.
 - (iv) Compound Feed Manufacturing is not applicable.
 - (v) Plant Propagation Material is not applicable.
- e) Option (1 or 2)
- f) Benchmarked scheme is not applicable.
- g) Certification body/bodies to be used per product.
- h) Country of destination (it is possible to declare a group of countries, e.g. European Union)
- i) **Specific requirements applicable for HPSS:**
 - (i) Crops: Covered or non-covered crop
 - (ii) Crops: First harvest (first crop) on an area during a certification cycle or further harvest (subsequent crop) of the same or different crop on the same area during the certification cycle
 - (iii) For Fruit and Vegetables and Combinable Crops: Exclusion of harvest when not applicable per product.
 - (iv) For Fruit and Vegetables and Combinable Crops: Exclusion of produce handling when not applicable per product.
 - (v) For Fruit and Vegetables and Combinable Crops: The GGN(s) of certified producer(s)

- subcontracted for produce handling (if applicable)
- (vi) For Fruit and Vegetables: If produce handling is included, the producer shall declare whether the same product is also packed for other certified or non-certified producers.
 - (vii) Tea is not applicable.
 - (viii) Livestock and aquaculture are not applicable.
 - (ix) Livestock is not applicable.
 - (x) Aquaculture is not applicable.
 - (xi) Aquaculture is not applicable.
 - (xii) Aquaculture is not applicable.

CB Logo¹

AB symbol accreditation mark²
 No. of certification body: xxx³

HPSS-GGN: xxxxxxxxxxxxxx⁴
 Registration number of producer/producer group (from CB): xxxxxxxxx⁵

Announced⁶
 Unannounced⁶



Harmonized Produce Safety Standard CERTIFICATE

According to GLOBALG.A.P. General Regulations Version 5.x
with HPSS Addendum Version 1.x⁸

Option X⁹
Issued to

Producer group/Producer
Company name, address ¹⁰

Country of production ¹¹

The annex contains details of the producers and production sites / product handling units included in the scope of this certificate.¹²

The certification body [company name] declares that the production of the products mentioned on this certificate has been found to be compliant in accordance with the standard:

Produce GAPs Harmonized Initiative logo ¹³	Harmonized Produce Safety Standard Control Points and Compliance Criteria Version¹⁴
---	---

Product ¹⁵	GLOBALG.A.P. product certificate number ¹⁶	Harvest included ¹⁷	Product Handling included ¹⁸	Number of producers/production sites ¹⁹	Parallel production ²⁰	Parallel ownership ²⁰

Date of issue (printing date of certificate): xx/xx/xxxx²¹
 Valid from: xx/xx/xxxx²²
 Valid to: xx/xx/xxxx²³

Authorized by²⁴

 Date of certification decision:
 xx/xx/xxxx²⁵

The current status of this certificate is always displayed at: <http://www.globalgap.org/search>²⁶

CB contact data²⁷
 Company name, Address (incl. Email)

ANNEX for HPSS GGN xxxxxxxxxxxxxx²⁹

Date of issue: xx/xx/xxxx²¹

Producer Group Members (Option 2)³⁰

HPSS GGN or GLN ³¹	Producer name and address ³²	Product(s) ³³	Product handling ³⁴	Parallel production ³⁵	Parallel ownership ³⁵

Production Sites (Option 1)³⁶

Site name and address ³⁷	Product(s) ³³	Parallel production ³⁵

Product Handling Units (PHUs)³⁸

HPSS GGN or GLN ³⁹	PHU name and address ⁴⁰	Product(s) ³³	Parallel ownership ³⁵

Notes

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

- 1 The Certification Body (CB) logo shall always appear on all certificates.
- 2 The Accreditation Body (AB) symbol/accreditation mark is placed on all accredited certificates in compliance with AB's rules.
Exception: If the CB is approved, but not yet accredited, the following text shall appear instead of the AB symbol: "Certificate issued by a GLOBALG.A.P. approved certification body [company name], but not accredited pursuant to the GLOBALG.A.P. Scope according to ISO 17065 rules" or only "Non-accredited certificate". The AB logo can only be used if the scope of the accreditation of the CB corresponds to the certified GLOBALG.A.P. sub-scope.
- 3 The number given by the Accreditation Body to the Certification Body shall be on all accredited certificates.
- 4 The Harmonized Produce Safety Standard GLOBALG.A.P. Number (HPSS-GGN) shall appear on all certificates. In case a certificate holder owns a Global Location Number (GLN), this number shall replace the HPSS-GGN. The "GLN" may be used instead of the "HPSS-GGN" e.g. HPSS-GLN.
- 5 Optional: The registration number of a producer or producer group, which is assigned by the CB *may* appear on all certificates. It consists of the term "CB-Short" and a number (with exactly one space character in between, CB-Short xxxxxxxxxxxx).
- 6 Announced or Unannounced audit. Check the correct box to indicate if the inspection/audit was conducted announced or unannounced.
- 7 The logo of the scheme
On accredited GLOBALG.A.P. certificates: The GLOBALG.A.P. logo shall be added.
Note: Not-accredited provisionally approved CBs are not allowed to add the GLOBALG.A.P. logo.
- 8 Certification scheme and version
For GLOBALG.A.P. Harmonized Produce Safety Standard Certificates: Please enter, e.g. "GLOBALG.A.P. General Regulations Version 5.x_date with HPSS Addendum Version x.x". Always indicate the exact Version (e.g.: 1.2_Aug2020)
- 9 Options shall always appear on the certificate as follows:
"Option 1 - individual producer",
"Option 1 - individual multisite producer",
"Option 1 - individual multisite producer with QMS",
"Option 2 - producer group"
- 10 Name of the certificate holder (legal entity) and the address shall be printed on the paper certificate. The address includes that of the legal entity and of the production site. If these are different, and there is only one site, the site address can be included on the certificate or in the annex. In case of multisite producers, the addresses of the registered production sites shall be listed in the certificate annex.
- 11 The country of production shall appear on all certificates.
- 12 **Applicable only if any of the following is true:**
a) The certificate holder is a producer group (Option 2). All producer group members shall be listed in the annex.

b) Product handling* or packing is included in the scope of the certificate. If the address is different, all product packing and handling unit(s) shall be listed in the annex.

c) The certificate refers to a multisite (Option 1) certificate. All sites of the multisite operation shall be listed in the annex (see ³⁵).

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

* Product Handling definition:

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

¹³ The Produce GAPs Harmonization Initiative logo shall appear.

¹⁴ Standard Control Points and Compliance Criteria (CPCC) Version, (e.g. “Harmonized Produce Safety Standard Control Points and Compliance Criteria Version 1.2_Aug2020”)

Note: Equivalent schemes and AMC are not applicable and will not appear on the HPSS certificate.

¹⁵ Certified product(s) shall always be listed according to the ‘GLOBALG.A.P. Product List’. More detailed information *may* be included in brackets, e.g. variety specific information or in case of parallel production, variety (banana - cavendish).

¹⁶ The GLOBALG.A.P. product certificate number shall be printed on the paper certificate. It is a reference code for the certificate in the GLOBALG.A.P. Database per product and certificate cycle. The GLOBALG.A.P. product certificate number is generated automatically in the system and consists of 5 digits, 5 letters and a suffix (#####-ABCDE-#####). All changes to the certificate in a given certificate cycle are reflected in the suffix.

The columns and corresponding attributes linked to the products in the table are scope, sub-scope, or product specific.

For crops:

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

Note: Livestock and Aquaculture are not applicable to HPSS.

Notes:

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

- 17 Harvest included: If produce handling is included, this data field (column) can be omitted. Note: If harvest is excluded, product handling is not applicable for the given product.
- 18 Product handling: Enter “no” in case no product handling is included. If product handling is included, indicate whether it takes place in-field (“in-field”) or in a facility (“facility”) or both (“in-field + facility”).
- 19 In the case of producer groups (Option 2), enter the number of approved producers, which are listed in the annex. In case of multisite producers (Option 1), enter the number of registered production sites, which are listed in the annex.
- 20 Applicable in case of parallel production / ownership of non-certified *and* certified products (enter “Yes”/“No”). All PHUs and sites handling or producing certified products shall be listed in the annex.
- 21 Date of issue is the printing date of the paper certificate. It shall be added to the first page of the certificate and to the annex to connect each other. This date may instead be included in the footer of each page of the certificate and annex.
- 22 The certificate “valid from” date defines the beginning of a certification cycle.
- If a new product is added during the validity period of a certificate, the certification cycle (valid from – valid to) will be kept as it was. If the CB wants to indicate that the newly added products are certified and were added later than the original “valid from”, there is a possibility to add the individual “valid from” of each product on the paper certificate. This is voluntary and additional information, e.g.: The certificate is valid from 1st Oct 2018 including oranges. Tomato added on 1st March 2019. The original “valid from 1st Oct 2018” remains. Tomatoes may be marked with “valid from 1st March 2019” on the paper certificate.
- 23 The certificate “valid to” date is the expiry date of the certificate.
- 24 The first and the last name of the person who has authorized the certificate, written in block letters. This person shall sign the certificate.
- 25 “Date of Certification Decision” shall appear on all certificates. It is the date when the Certification Committee makes the certification decision.
- 26 This note shall be added to all paper certificates to point out that only a validation in the GLOBALG.A.P. Database proves the current status of the certificate.
- 27 CB contact data (company name, address, email) shall appear on all certificates.
- 28 Page numbering shall be included (Page x of y) to show total number of pages.
- 29 The annex (incl. the HPSS-GGN of the certificate holder) shall be added, if applicable.
- 30 In case of Option 2, all approved members of the producer group shall be listed in a table per product.
- 31 All approved members of the producer groups (Option 2) are different legal entities and receive a HPSS-GGN, which shall appear in the table. They may have an own GLN instead of the HPSS-GGN.
- 32 Name and address of the approved producer group members shall be printed on the certificate.
- 33 Products approved per producer member, production site or PHU.
- 34 Indicate the product for which the producer member carries out product handling (“Yes”) and does not carry out product handling (“No”).



GLOBALG.A.P.

- 35 In case of parallel production or parallel ownership of non-certified *and* certified products, this shall be indicated per product in all 3 tables (i.e. per approved member for Option 2, sites for Option 1 multisite operation, and per product handling unit). Enter yes/no.
In case no parallel production or parallel ownership has been registered for any product, these columns may be omitted.
- 36 In case of multisite Option 1, all registered sites shall be listed.
- 37 Name and address of the production sites shall be listed.
- 38 In case of product handling, all registered PHUs shall be listed.
- 39 In case the PHU has an own GGN/GLN/HPSS-GGN, it shall be listed.
- 40 Name and address of the PHUs shall be listed unless the address is the same as that of the production site.

ANNEX I.4 GLOBALG.A.P. DEFINITIONS

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

GENERAL REGULATIONS PART II – RULES FOR OPTION 2 AND OPTION 1 MULTISITES WITH QMS

This addendum applies to the Harmonized Produce Safety Standard (HPSS) V1.2. The following requirements have been taken from the GLOBALG.A.P. General Regulations (GR) V5.4-GFS and amended, where necessary. These amended requirements shall replace the specified requirements laid out in the GLOBALG.A.P. GR V5.4-GFS document. All non-amended clauses of the GLOBALG.A.P. GR V5.4-GFS still apply and are included in this document in grey font. Updates of GLOBALG.A.P. General Regulations may occur and latest editions of the Standard Documents are available on the GLOBALG.A.P. website.

This part establishes the requirements producer groups and multi-sites (where a QMS has been implemented) must comply with to achieve certification. These requirements need to be internally and externally assessed via the GLOBALG.A.P. QMS checklist to ensure completeness and effectiveness.

“Harmonized Produce Safety Standard” certification, certified production process, products and certificate shall be read wherever the GLOBALG.A.P. General Regulations refer to GLOBALG.A.P. or IFA Certification, certified production process, products, and certificate.

Requirements for multisites *with* QMS and producer groups

1 LEGALITY, ADMINISTRATION, AND STRUCTURE

1.1 Legality

- a) There shall be documentation, which clearly demonstrates that the applicant is or belongs to a legal entity.
- b) The legal entity shall have been granted the legal right to carry out agricultural production and/or trading and be able to legally contract with and represent the group members and production sites.
- c) The legal entity shall enter into a contractual relationship with GLOBALG.A.P. through the signature of the ‘GLOBALG.A.P. Sublicense and Certification Agreement’ in its latest version (available on the GLOBALG.A.P. website) with a GLOBALG.A.P. approved CB, *or* it shall explicitly acknowledge the receipt and the inclusion of the ‘GLOBALG.A.P. Sublicense and Certification Agreement’ with the signature of the service contract/agreement with the CB, and the CB shall hand over a copy of the ‘GLOBALG.A.P. Sublicense and Certification Agreement’ to the QMS management. The legal entity becomes the sole holder of the GLOBALG.A.P. certificate.
- d) A single legal entity can only operate one QMS per crop per country. Only a legal entity that can be certified under Option 1 can join a group for Option 2 certification. If a group or multisite joins another group or multisite, the 2 quality management systems shall merge into one to be managed by one single legal entity that will be the certificate holder.

1.2 Producers and Production Sites

1.2.1 Requirements for Producer Members of Producer Groups

- (i) There shall be written contracts in force between each producer member and the legal entity. The contracts shall include the following elements:
 - Producer group name and legal identification
 - Name and/or legal identification of the producer
 - Producer contact address
 - Details of the individual production sites, including certified and non-certified products (the contract may refer to the producer group’s internal register for this information)
 - Details of area (crops) (the contract may refer to the producer group’s internal register for this information)
 - Producer commitment to comply with the requirements of the GLOBALG.A.P. Standard
 - Producer agreement to comply with the group’s documented procedures, policies and, where provided, technical advice
 - Sanctions that may be applied in case of GLOBALG.A.P. and any other internal requirements not being met
 - Signature(s) of producer and group representatives



- (ii) The producer group registered members shall be legally responsible for their respective production sites, although this takes place under the common QMS of the group.
- (iii) Members of a producer group are not legal certificate holders. Thus, they shall not market any products under their name with reference to the group certificate. All products that are sold without reference to the certificate shall be recorded in the group mass balance system.

1.2.2 Requirements for Production Sites in Option 1 Multisites

See General Regulations Part I, 4.2.1 j).

1.3 Producer and Site Internal Register

- (i) A register shall be maintained of all contracted group member producers and of all the applicable sites used for production in accordance with the GLOBALG.A.P. Standard.
- (ii) A declaration may be issued to the members of the group to indicate that they are indeed members of the group only if they are listed on the certificate annex. This declaration may not be used to replace a certificate or to trade with. See Annex II.3 for minimum requirements of such a declaration.

1.3.1 Requirements for Producer Groups

- (i) The register shall at least contain the following information for each producer:
 - Name of producer
 - Name of contact person
 - Full address (physical and postal)
 - Contact data (telephone number, e-mail, and fax number, if available)
 - Other legal entity ID (VAT number, ILN, UAID, etc.), where required for the country of production as published in annex I.2.
 - Products registered
 - Details of the individual production sites and their location, including certified and non-certified products
 - Growing/production area and/or quantity for each registered product
 - Certification body(ies) if a producer makes use of more than one CB
 - Producer status (internal status as a result of the last internal inspection: approved, suspended, etc.)
 - Date of last internal inspection
- (ii) Those producers of the legal entity who do not apply to be included in the GLOBALG.A.P. group certification shall be listed separately and are not required to be registered in the GLOBALG.A.P. Database (unless they have applied for a benchmarked option or any other GLOBALG.A.P. standard). This list is for management purposes within the producer group, and the disclosure of its contents externally is not required, unless it is needed for clarification of any issues raised, for example on the effectiveness of the producer group's quality management system.

1.3.2 Requirements for Option 1 Multisites with Implemented QMS

In addition to 1.3.1, the register shall at least contain the information regarding the relation of the legal entity with the production site (ownership, rented, etc.) for each site.

In Option 1 multisite, instead of producer status, the production site status shall be included in the internal register.

2 MANAGEMENT AND ORGANIZATION

The QMS shall be robust and ensure that the group's registered members or production sites comply in a uniform manner with the GLOBALG.A.P. Standard requirements.

2.1 Structure

- a) The structure shall enable the appropriate implementation of a QMS across all registered producer members or production sites.
- b) The applicant shall have a management structure and sufficient suitably trained resources (management and technical capacity) to effectively ensure that the requirements of GLOBALG.A.P. are met by all producers and at all production sites.
- c) Members of management shall annually conduct a documented management review and make necessary changes. The management review may be in the form of an annual staff meeting, where food safety resources, the status of actions from previous management reviews, external and internal changes that are relevant to the quality management system, and effectiveness of the quality management system are reviewed. Evidence of this management review shall be available and verified by the external CB auditor.
- d) The organizational structure shall be documented and shall include individuals responsible for:
 - Managing the QMS; which is independent from the sites and producers.
 - The internal inspections of each producer member and/or production site annually (i.e. internal inspector(s))
 - The internal audit of the quality management system and verifying the internal inspections (i.e. internal auditor). There shall be at least one person in the QMS structure (e.g. internal auditor) who is responsible and able to train the internal inspectors and producers
 - Technical advice to the group (depending on the scope of the group)
- e) The management shall give internal auditors and inspectors sufficient authority to make independent and technically justified decisions during the internal controls.

2.2 Competency and Training of Staff

- a) The competency requirements, training and qualifications for key personnel (those mentioned in 1.2.1, but also any other identified personnel) shall be defined and documented. These qualification requirements also apply to external consultants.
- b) The management shall ensure that all personnel with responsibility for compliance with the GLOBALG.A.P. Standard are adequately trained and meet the defined competency requirements:
 - Internal auditor competence (as set out in Annex II.1) shall be checked by management and reviewed by the CB.
 - Internal inspector competence (as set out by Annex II.1) shall be checked by the management and reviewed by the CB.
 - Where the internal auditor does not have the necessary food safety and G.A.P. training, but only QMS training/experience, another person with these qualifications (and identified in the QMS) shall form part of the “audit team” to perform the approval of the farm inspections.
 - **Technical advisors to the producer group members/company shall meet the requirements described in the applicable CPCC, depending on the scope of certification (e.g. HPSS N° 1.5.3).**
- c) Records of qualifications and training shall be maintained for all key personnel (managers, auditors, inspectors, etc.) involved in compliance with GLOBALG.A.P. requirements to demonstrate competence.
- d) If there are more than one internal auditor or inspector, they shall undergo training and evaluation to ensure consistency (calibration) in their approach and interpretation of the standard (e.g. by documented shadow audits/inspections).
- e) Systems shall be in place to demonstrate that key staff are informed and aware of development, issues, and legislative changes relevant to the compliance to the GLOBALG.A.P. Standard. Evidence of induction and annual refreshment trainings for key staff as defined above shall be available.

3 DOCUMENT CONTROL

- a) All documentation relevant to the operation of the QMS for GLOBALG.A.P. compliance shall be adequately controlled. This documentation shall include, but is not limited to:
 - The quality manual
 - GLOBALG.A.P. operating procedures
 - Work instructions
 - Recording forms
 - Relevant external standards, e.g. the current GLOBALG.A.P. normative documents
- b) Policies and procedures shall be sufficiently detailed to demonstrate compliance checks of the requirements of the GLOBALG.A.P. Standard.
- c) Policies and procedures shall be available to relevant staff and producer group registered members.
- d) The contents of the quality manual shall be reviewed periodically to ensure that it continues to meet the requirements of the GLOBALG.A.P. Standard and those of the applicant. Any relevant modifications of the GLOBALG.A.P. Standard or published guidelines that come into force shall be incorporated into the quality manual within the period given by GLOBALG.A.P.

3.1 Document Control Requirements

- a) There shall be a written procedure defining the control of documents.
- b) All documentation shall be reviewed and approved by authorized personnel before issue and distribution.
- c) All controlled documents shall be identified with an issue number, issue date/review date, and be appropriately paged.
- d) Any changes in these documents shall be reviewed and approved by authorized personnel prior to their distribution. Wherever possible, an explanation of the reason and nature of the changes shall be given.
- e) A copy of all relevant documentation shall be available at any location where the QMS is being controlled.
- f) There shall be a system in place to ensure that documentation is reviewed and that following the issue of new documents, obsolete documents are effectively rescinded.

3.2 Records

- a) There shall be records to demonstrate effective control and implementation of the QMS, quality manual, and compliance with the requirements of the GLOBALG.A.P. Standard.
- b) Records shall be kept for a minimum of 2 years.
- c) Records shall be genuine, legible, stored and maintained in suitable conditions, and shall be accessible for inspection as required.
- d) Records that are kept online or electronically are valid. If a signature is required, this can be a password or electronic signature that ensures the unique reference and authorization of the person signing. If a written signature of the responsible person is needed then this shall be present. The electronic records shall be available during the CB inspections. Back-ups shall be available at all times.

4 COMPLAINT HANDLING

- a) The applicant shall have a system for effectively managing customer complaints and the relevant part of the complaint system shall be available to the producer members.
- b) There shall be a documented procedure that describes how complaints are received, registered, identified, investigated, followed up, and reviewed.
- c) The procedure shall be available to customers as required.
- d) The procedure shall cover both complaints against the applicant as well as individual producers or sites.

5 INTERNAL QUALITY MANAGEMENT SYSTEM AUDIT

- a) The QMS for the GLOBALG.A.P. scheme shall be audited at least annually.
- b) Internal auditors shall comply with the requirements set in Annex II.1.
- c) Internal auditors shall be independent of the area being audited.
 - It is permitted for the same person to initially develop the QMS and then undertake the required internal annual QMS audit, however the person responsible for the day-to-day ongoing management of the QMS is not allowed to undertake the internal QMS audits.
- d) Records of the internal audit, audit findings, and follow up of corrective actions resulting from an audit shall be maintained and available.
- e) The completed QMS checklist with comments for every QMS control point shall be available on site for review by the CB auditor during the external audit.
- f) The organization (producer group or multisite company) shall have completed and signed the 'Food Safety Policy Declaration'. Completion and signature of the 'Food Safety Policy Declaration' is a commitment to be renewed annually for each new certification cycle. The central management may assume this commitment for the organization and for all its members by completing and signing one declaration at QMS level, which shall be attached to the QMS checklist used for the internal audit. In case the 'Food Safety Policy Declaration' has not been completed and signed at QMS level, each group member/individual production site shall complete and sign the declaration individually and keep it attached to the internal inspection checklist.
- g) Where the internal audit is not performed in one day but continuously over a 12-month period, a pre-defined schedule shall be in place.

6 INTERNAL PRODUCER AND PRODUCTION SITE INSPECTIONS

- a) Inspections shall be carried out at each registered producer (and corresponding production sites) or production site at least once per year against all the relevant GLOBALG.A.P. Control Points and Compliance Criteria.
- b) Internal inspections timing shall follow the rules defined in the General Requirements and scope specific rules.
- c) Internal inspectors shall comply with the requirements set in Annex II.1.
- d) Internal inspectors shall be independent of the area being inspected. Internal inspectors cannot inspect their own daily work.
- e) New members of the group and new production sites of the Option 1 multisite shall always be internally inspected and approved prior to entering into the internal GLOBALG.A.P. register.
- f) The original inspection reports and notes shall be maintained and available for the CB inspection.
- g) The inspection report shall contain the following information:
 - Identification of registered producer and/or production site(s)
 - Signature of the registered producer or production site responsible
 - Date
 - Inspector name
 - Registered products
 - Evaluation result against each GLOBALG.A.P. control point
 - The checklist shall include details in the comments section for the Major Musts control points that are found to be compliant, Major Musts and Minor Musts control points that are found to be non-compliant, and Major Musts and Minor Musts control points that are found to be non-applicable; unless a checklist is issued by GLOBALG.A.P. that pre-determines which control points and compliance criteria shall be commented on. This is needed to enable the audit trail to be reviewed after the event.
 - Details of any non-compliances identified and period for corrective action
 - Inspection result with calculation of compliance

- Duration of the inspection
 - Name of internal auditor who approved the checklist
- h) The internal auditor (or audit team; see point 2.2 b)) shall review and make the decision on whether the producer or site is compliant with the GLOBALG.A.P. requirements, based on the inspection reports presented by the internal inspector.
- i) In case there is only one internal auditor who also performs the internal inspections, another person, e.g. management representative identified in the QMS, shall approve the internal inspections.
- j) Where the internal inspections take place continuously over a 12-month period, a pre-defined schedule shall be in place.

7 NON-COMPLIANCES, CORRECTIVE ACTION, AND SANCTIONS

- a) There shall be a procedure to handle non-compliances and corrective actions, which may result from internal or external audits and/or inspections, customer complaints or failures of the QMS.
- b) There shall be documented procedures for the identification and evaluation of non-conformances and non-compliances to the QMS by the group or by its members, respectively.
- c) Corrective actions following non-compliances shall be evaluated and a timescale defined for action.
- d) Responsibility for implementing and resolving corrective actions shall be defined.
- e) A system of sanctions and non-conformances that meets the requirements defined in the GLOBALG.A.P. General Regulations Part I shall be operated with producers or production sites. In case of contractual non-conformances (e.g. not complying with one of the QMS internal policies), sanctions are to be decided by the QMS.
- f) Mechanisms shall be in place to notify the GLOBALG.A.P. approved certification body immediately of suspensions or cancellations of registered producers or production sites.
- g) Records shall be maintained of all sanctions including evidence of subsequent corrective actions and decision-making processes.

8 PRODUCT TRACEABILITY AND SEGREGATION

- a) There shall be a documented procedure for the identification of registered products and to enable traceability of all products, both conforming and non-conforming, to the applicable production sites. A mass balance exercise shall be carried out, at least annually, per product to demonstrate compliance within the legal entity (see points e) to k)).
- b) Products meeting the requirements of the GLOBALG.A.P. Standard and marketed as such shall be handled in a manner that prevents mixing them with non-GLOBALG.A.P. approved products. An effective system shall be in place to ensure segregation of certified and non-certified products. This can be done via physical identification or product handling procedures, including the relevant records.
- c) Effective systems and procedures shall be in place to negate any risk of mislabeling of GLOBALG.A.P. certified and non-GLOBALG.A.P. certified products. GLOBALG.A.P. products entering the process (either from producer members/production sites or from external sources) shall be immediately identified with the GGN (or HPSS-GGN) or any other reference that is clearly explained in the company policy and provides a unique reference to the certification status. This reference shall be used on the smallest individually identified unit.
- d) In case of parallel production/parallel ownership, the QMS shall ensure that all final ready-to-be-sold products (either from farm level or after product handling), originating from a certified production process are correctly identified with a GGN (or HPSS-GGN). In case of Option 2, it can be the GGN (or HPSS-GGN) of the group, the group member who produced the product, or both GGNs (or HPSS-GGNs). In case group members pack and label the product, the producer group may require from those members to include the GGN (or HPSS-GGN) of the group, with or without the GGN (or HPSS-GGN) of the member producer. In case of Option 1 multisite, it shall be the



GGN (or HPSS-GGN) of the individual producer. The GGN (or HPSS-GGN) shall be used on the smallest individually packed unit, regardless if it is a final consumer packaging or not.

The GGN (or HPSS-GGN) shall not be used to label non-certified products, except when there is a written agreement available between the producer and the client not to use the GGN (or HPSS-GGN) on the ready to be sold product or when a client's own label specification does not include the GGN (or HPSS-GGN).

- e) There shall be a final document check to ensure correct product dispatch of certified and non-certified products.
- f) All transaction documentation (sales invoices, other sales related, dispatch documentation, etc.) related to sales of certified product shall include the GGN (or HPSS-GGN) of the certificate holder and shall contain a reference to the GLOBALG.A.P. certified status.
This is not obligatory in internal documentation. Positive identification is enough (e.g. "HPSS-GGN_GLOBALG.A.P. certified <product name>"). Indication of the certified status is obligatory regardless if the certified product is sold as certified or not. (This, however, cannot be checked during the initial (first ever) audit because the producer group/company is not certified yet and cannot make a reference to the GLOBALG.A.P. certified status before the first positive certification decision.)
This is not applicable only when there is a written agreement available between the producer group/company and the client not to identify the GLOBALG.A.P. status of the product and/or the GGN (or HPSS-GGN) on the transaction documents.
- g) Procedures shall be established, documented and maintained, appropriately to the scale of the operation, for identifying incoming certified and non-certified products from members of the group or sites of the Option 1 multisite producer or purchased from different sources (i.e. other producers or traders). Records shall include:
 - Product description
 - GLOBALG.A.P. certification status
 - Quantities of product(s) incoming/purchased
 - Supplier details
 - Copy of the GLOBALG.A.P. certificates, where applicable
 - Traceability data/codes related to the incoming/purchased products
 - Purchase orders/invoices received by the organization being assessed
 - List of approved suppliers
- h) Sales details of certified and non-certified products shall be recorded, with particular attention to quantities delivered/sold as certified and descriptions provided.
- i) Quantities (including information on volumes or weight) of certified and non-certified incoming, outgoing and stored products shall be recorded and a summary maintained so as to facilitate the mass balance verification process. The documents shall demonstrate the consistent balance between certified and non-certified input and the output. The frequency of the mass balance verification shall be defined and 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.
- j) The PHUs included in the QMS certification scope shall operate procedures, which enable registered products to be identifiable and traceable from receipt, through handling, storage, and dispatch.
- k) Conversion ratios shall be calculated and available for each relevant handling process. All generated product waste quantities shall be recorded.
- l) This section shall be audited both internally and externally also at PHU level, while PHUs are in operation.

9 WITHDRAWAL OF PRODUCT

- a) Documented procedures shall be in place to effectively manage the withdrawal of registered products.



- b) Procedures shall identify the types of event that may result in a withdrawal, persons responsible for taking decisions on the possible withdrawal of products, the mechanism for notifying customers and the GLOBALG.A.P. approved certification body, and methods of reconciling stock.
- c) The procedure shall be capable of being operated at any time.
- d) The procedure shall be tested in an appropriate manner at least annually to ensure that it is effective, and records of the test retained.

10 SUBCONTRACTORS

- a) Where any services are subcontracted to third parties, procedures shall exist to ensure that these activities are carried out in accordance with the requirements of the GLOBALG.A.P. Standard (see HPSS N° 1.5.3).
- b) Records shall be maintained to demonstrate that the competency of any subcontractor is assessed and meets the requirements of the standard.
- c) Subcontractors shall work in accordance with the applicant's QMS and relevant procedures and this shall be specified in service level agreements or contracts.

11 REGISTRATION OF ADDITIONAL PRODUCERS OR PRODUCTION SITES TO THE CERTIFICATE

New producers and sites may be added (subject to internal approval procedures being met) to a certificate in effect. It is the responsibility of the certificate holder (group or multisite) to immediately update the certification body on any addition or withdrawal of producers and/or sites to/from the list of registered producers.

- a) Up to 10 % of new producers (in groups) or sites (in multisites) in one year can be added to the approved list by registering the producers or sites with the GLOBALG.A.P. approved certification body without necessarily resorting to further verification by the certification body.
- b) When the number of approved registered producers (in groups) or sites (in multisites) increases by more than 10 % in one year, further external sample inspections (minimum is the square root of new producers/sites) of the newly added producers/sites and optionally an audit of the QMS will be required during that year *before* additional producers/sites can be added to the approved list.
- c) Regardless of the percentage by which the number of approved registered producers/sites increases in one year, should the newly registered farms increase the area or number of livestock of previously approved registered products by more than 10 % in one year, or there is a 10 % change of producers (in groups) or sites (in multisites), further external sample inspections (minimum is the square root of new producers/sites) of the newly added farms or producers/sites and optionally an audit of the quality management system will be required during that year *before* additional producers/sites can be added to the approved list.
- d) Regardless of the number of producers/farm area/number of livestock, if a new product is to be added to the certificate between surveillance and certification audits, inspection shall be carried out to the square root of the producers growing the new product. If the product added is a high-risk product (according to the 'GLOBALG.A.P. Product List'), every producer growing the new product shall be subjected to a producer audit by the CB.

12 LOGO USE

- a) The producer/producer group shall use the GLOBALG.A.P. word, trademark, or logo and the GGN according to the General Regulations and according to the 'GLOBALG.A.P. 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, but the certificate holder can use any and/or all in business-to-business communication.
- b) **Compound Feed Manufacturing (CFM), plant propagation material, aquaculture, and livestock are not applicable.**



GLOBALG.A.P.

- c) The GLOBALG.A.P. word, trademark, or logo shall not be in use during the initial (first ever) inspection, as the producer is not yet certified and, therefore, cannot yet make a reference to the certified status.

ANNEX II.1 INTERNAL AUDITOR AND INSPECTOR QUALIFICATIONS AND RESPONSIBILITIES

1 KEY TASKS

1.1 Inspectors:

- a) May undertake inspections of farms (production sites within a multisite or those of members of a producer group) to assess compliance with the certification requirements
- b) May not perform auditors' tasks
- c) Shall produce timely and accurate reports on such inspections

1.2 Auditors:

- a) Auditing the QMS of the producer group or multisite to assess compliance with the certification requirements
- b) The approval of the members of the group or approval of the production sites of a multisite, based on inspection reports of the internal inspector. If internal auditors conduct the inspections, they shall not approve those inspection reports.
- c) To produce timely and accurate reports on such audits

2 QUALIFICATION REQUIREMENTS

2.1 Formal Qualifications

2.1.1 Inspectors:

- (i) A post high school diploma in a discipline related to the scope of certification (Crops); or an agricultural high school qualification with 2 years of experience in the relevant sub-scope after qualification; or any other high school qualification with 3 years of sector-specific experience (e.g. farm management, including owner operators, in the relevant products, commercial consultant in the relevant product, field experience relevant to specific products) and participation in educational opportunities relevant to their scope of certification.

2.1.2 Auditors:

- (ii) A post high school diploma in a discipline related to the scope of certification (Crops); or an agricultural high school qualification with 2 years of experience in the relevant sub-scope after qualification; or any other high school qualification with 2 years of experience in quality management systems and 3 years of experience in the relevant sub-scope after qualification.

2.2 Technical Skills and Qualifications

2.2.1 Inspector Training

Sign-off of internal inspectors shall only occur as a result of:

- (i) One-day practical inspection course setting out basic principles of inspection; and
- (ii) Observing 2 CB or internal inspections by an already qualified inspector, either GLOBALG.A.P. or other, *and* 1 successful shadow inspection by the internal auditor, by a qualified internal inspector or by the CB.

2.2.2 Auditor Training

- (i) Practical knowledge of quality management systems.
- (ii) Completion of an internal auditor-training course related to QMS (min. 16 hours).

2.2.3 Food Safety and G.A.P. Training for Inspectors and Auditors

- (i) Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of the Codex Alimentarius or training in ISO 22000
- (ii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course
- (iii) For *Crops scope*: Plant protection, fertilizer, and IPM training either as part of formal qualifications, or by the successful completion of a formal course. These trainings should be given by third parties specialized in trainings on these topics. Trainings on product characteristics and handling operations can be internal.
- (iv) **Aquaculture is not applicable.**
- (v) In all cases, internal inspectors shall have practical knowledge about the products they are inspecting.

2.3 Communication Skills

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

2.4 Independence and Confidentiality

- a) Auditors and inspectors are not allowed to audit their own job. Their independence shall be controlled and ensured by the QMS (i.e. an internal inspector/auditor cannot evaluate his own operations or a producer he has also consulted in the last 2 years).
- b) Auditors and inspectors shall strictly observe the producer group’s/producer’s procedures to maintain the confidentiality of information and records.

NOTE: *The qualification of internal inspectors and auditors shall be evaluated by the CBs during the external inspections.*



ANNEX II.2 FLEXIBLE DISTRIBUTION RULE TO ACCOMPANY THE QUALITY MANAGEMENT SYSTEM IN THE INTEGRATED FARM ASSURANCE STANDARD FRUIT AND VEGETABLES

1 APPLICATION FOR THE OPTION 2 FLEXIBLE DISTRIBUTION RULE

- a) Any producer group may apply for this with their certification body and shall do so *prior* to the annual audit during the registration or re-registration process.
- b) CBs willing to offer the Option 2 Flexible Distribution Rule shall register with GLOBALG.A.P.
- c) Permission to use the Option 2 Flexible Distribution Rule is determined on a case-by-case basis by the GLOBALG.A.P. Secretariat based on the documentation submitted by the CB.
- d) The documentation the CB submits to GLOBALG.A.P. for the Option 2 Flexible Distribution Rule shall include:
 - (i) **Name and GGN (or HPSS-GGN) of the group**
 - (ii) Description of the group: Group structure, who is responsible for the sales, the number of producer group members, number of producers that distribute outside of the group, products distributed outside of the group, and the location of those producers.
 - (iii) How the producer group will fulfill the 'Rules and Conditions for Option 2 Flexible Distribution'.
 - (iv) What the justification, purpose, or nature of the outside distribution is; e.g. a producer may distribute outside of a group because they grow club or specialty varieties, require market flexibility, or export to different markets.
 - (v) Information shall be emailed to GLOBALG.A.P. at standard_support@globalgap.org.
 - (vi) Producers must update CBs whenever changes are made to the producer registry, including when producer group members choose to distribute outside of the group.
- e) A producer group can be denied the participation in the Option 2 Flexible Distribution program if they have incurred recent food safety outbreaks, have prior record of lapses in integrity, or have unresolved corrective actions, the submitted information is incomplete, the latter CB audit shows that the additional rules were not implemented, etc.

2 RULES AND CONDITIONS FOR OPTION 2 FLEXIBLE DISTRIBUTION RULE

1. Producer groups willing to allow outside distribution must apply to the CB and the CB must apply to the GLOBALG.A.P. Secretariat. Exceptions are granted on a case-by-case basis by the GLOBALG.A.P. Secretariat. The application for exception shall include how the group will fulfill the additional rules and conditions listed below and the justification for selling outside of the group.

2. GLOBALG.A.P. reserves the right to publicly identify those producer groups (in the GLOBALG.A.P. Database) that allow their members to distribute outside of the group.

3. Any producer group member that distributes at least part of its production outside of the producer group shall be authorized for such activity in writing by the producer group as part of the contract between the producer group and the specific producer group member. The certified producer group or the producer group member shall have an agreement with the outside packhouse or packing/selling organization where the member is distributing directly.

4. All quantities of registered products distributed outside of the producer group by any producer group member shall be recorded in the producer group's mass-balance calculation system. The producer group members need to maintain full traceability (batch level) of the delivered produce and to whom it was delivered. These quantities may be registered on the QMS or on farm level. The producer group is responsible for the development and effectiveness of a written procedure for mass-balance of producer group members that distribute outside of the group. Where mass-balance of outside distribution is maintained at the farm level,

this must be verified by the external auditor (CB auditor) whenever these producer group members are selected for external inspections.

5. Any distribution of registered products outside of the producer group shall contain a reference to the applicable producer group certificate and shall indicate that such products originate from a certified production process, which is under the control and responsibility of the producer group's internal QMS.

6. The written contract between the producer group and its members shall include language addressing cases of distribution outside of the group. The contract shall indicate that the liability for product certificated under a producer group, which is not distributed through the group, shall remain with the individual producer, where stipulated by local law. Examples of incidents that concern liability may include, but are not limited to recalls, residue exceedances, and food safety issues. Where GLOBALG.A.P. certification status of the individual group member is concerned, the certified producer group is still responsible for the producer's certification status.

7. Only in cases where it is required (i.e. parallel production or parallel ownership occurs), products shipped in consumer-level packaging (either at the farm level or after product handling/packing) shall be identified with the GGN (GLOBALG.A.P. Number, or HPSS-GGN) of the producer group, with the GGN of the individual producer group member, or both GGNs.

8. All transaction and shipping documentation (e.g. invoices, bills of lading, etc.) related to the distribution of products from a certified process by individual producer group members outside of producer groups shall indicate: The GGN (or HPSS-GGN) of the producer group, the GGN (or HPSS-GGN) of the individual producer group member, and the GLOBALG.A.P. certification status of the product(s).

9. Producer group members who distribute (sell) products outside of the producer group shall be identified as engaging in such activity in the producer group's membership registry/records. This shall be considered as a risk factor to be taken into consideration by CBs regarding the selection of the producer group members for sampling in external inspections/audits.

10. The producer group member is required to know the destination market and MRL restrictions if their product is sold outside of the producer group. Records of communication from the outside seller must demonstrate this. At minimum, at the time of audit, the producer must show an attempt to learn the country of destination (COD) before the growing season starts. If unknown, then the product sold outside of the group can be sold only with recognized compliance in the country of production as described in the producer group's application for certification and as prescribed in the QMS program of the producer group.

11. The certificate holder must be the entity responsible for placing the fruit onto the market (e.g. in the USA, the certificate holder is typically a marketing organization or a packer) and/or be able to legally contract with and represent the producer group members/production sites.

12. The Flexible Distribution Rule may be applicable only to crops harvested annually (one harvest season per year) and only to crops with short harvest season (less than 4 months).

13. The applicant group has a limited range and similar crops, whereas the crops have similar production, harvesting, and produce handling activities.

14. The producer group is able to control full mass-balance of the products (sold/distributed through the group and/or directly by the member as certified or as non-certified) of all their members. The mass-balance related information shall be maintained on grower level or on group level.

15. The producer group applying for exception shall provide substantial justification for allowing direct distribution of members' products. Example: using club varieties or when the actual quantities of products sold outside the group certificate are extremely limited.

ANNEX II.3 DECLARATION OF GROUP MEMBERSHIP

Members of a certified group may receive a declaration from the producer group demonstrating that they belong to the group, provided that they are listed on the certificate annex.

The CB or GLOBALG.A.P. logo shall not be used.

The template shall not resemble a certificate issued by the CB

It is voluntary for the producer group to issue this declaration.

The declaration shall contain as a minimum the following information:

1. **Producer group name, producer group GGN (or HPSS-GGN) (address optionally)**
2. **Member name, GGN (or HPSS-GGN), member's product, (address optionally)**
3. Expiry date of the group certificate
4. Disclaimer: "The GLOBALG.A.P. certificate of the group is defining the certified scope. The most actual list of the certified members may be found in the annex of the group certificate. The current status of this certificate is always displayed at: <http://www.globalgap.org/search>. The member may commercialize the products as certified only through the Group."*
5. Date of issue of this declaration
6. Authorization by the group's representative

* The group that applied and were approved for the "Option 2 Flexible Distribution Rule" may omit this sentence. See Annex II.2.

GENERAL REGULATIONS PART III – CERTIFICATION BODY AND ACCREDITATION RULES

This addendum applies to the Harmonized Produce Safety Standard (HPSS) V1.2. The following requirements have been taken from the GLOBALG.A.P. General Regulations (GR) V5.4-GFS and amended, where necessary. These amended requirements shall replace the specified requirements laid out in the GLOBALG.A.P. GR V5.4-GFS document. All non-amended clauses of the GLOBALG.A.P. GR V5.4-GFS still apply and are included in this document in grey font. Updates of GLOBALG.A.P. General Regulations may occur and latest editions of the Standard Documents are available on the GLOBALG.A.P. website.

1 LICENSE AND CERTIFICATION AGREEMENT

- a) The 'GLOBALG.A.P. License and Certification Agreement' establishes the rights and obligations of the GLOBALG.A.P. Secretariat as the GLOBALG.A.P. system co-coordinator and of the certification body (CB) as the neutral organization for auditing, inspection, certification and licensing activities within the framework of the GLOBALG.A.P. system.
- b) The 'GLOBALG.A.P. License and Certification Agreement', including its updates, shall be accepted and signed by the CB as part of the application procedure to become and to remain a GLOBALG.A.P. approved CB and to be listed as such on the GLOBALG.A.P. website.
- c) The 'GLOBALG.A.P. License and Certification Agreement', the 'GLOBALG.A.P. Sublicense and Certification Agreement', and the General Regulations complement each other and GLOBALG.A.P. approved CBs shall continuously comply with all.
- d) Certification bodies shall comply with GLOBALG.A.P. requirements in keeping with relevant clauses of IAF MD1.

2 CERTIFICATION BODY APPROVAL PROCESS

2.1 CB Approval by GLOBALG.A.P.

2.1.1 Provisional Approval

- a) The CB must complete the steps listed below before carrying out any GLOBALG.A.P. HPSS inspections/audits, issuing any GLOBALG.A.P. HPSS (Option 1, Option 2) certificates (accredited or non-accredited) and before provisional approval can be granted.
 - (i) The applicant CB shall register in the GLOBALG.A.P. CB Extranet (<http://cb.globalgap.org>), send a completed application form in English and pay an evaluation fee (according to the latest version of the 'GLOBALG.A.P. Fee Table') to the GLOBALG.A.P. Secretariat for initiating the approval process.
 - (ii) After the positive evaluation of the application and before provisional approval, the applicant CB shall complete the following steps:
 1. Sign the 'GLOBALG.A.P. License and Certification Agreement'
 2. Pay the annual CB license fee (according to the latest version of the 'GLOBALG.A.P. Fee Table')
 - (iii) After provisional approval, but before conducting any GLOBALG.A.P. inspection or audit, the applicant CB shall complete the following steps:
 1. Receive Database access from the GLOBALG.A.P. Secretariat
 2. Register all auditors and inspectors in the GLOBALG.A.P. Database
 3. Have all the auditors and inspectors complete the necessary GLOBALG.A.P. online exams for the General Regulations and for the Control Points and Compliance Criteria in the relevant sub-scope(s)
 4. Pay the relevant training fees per registered auditor/inspector according to the latest version of the 'GLOBALG.A.P. Fee Table'.
- b) As a condition for provisional approval, the applicant CB intending to certify Option 1 producers shall have at least one inspector (for producer inspections) *and* one auditor (for the Certification Committee) who have passed the necessary online exam for the applied sub-scope and scope respectively as well as the General Regulations.



Applicant CBs wanting to certify Option 2 producer groups or Option 1 multisite producers with QMS shall have at least one auditor (for QMS audits) *and* at least a second auditor (for the Certification Committee) who have passed the necessary online exam for the applied sub-scope and scope respectively and the QMS auditor (face-to-face) training.

- c) The CB shall nominate a GLOBALG.A.P. Scheme Manager (according to point 3.2 a)).
- d) The CB shall nominate an in-house trainer (according to point 3.2 c)) and complete or at least register for the in-house trainer training of the relevant scope(s).
- e) The CB intending to certify a benchmarked standard shall show proof of approval by the scheme or standard owner.
- f) CBs shall apply to an accreditation body (AB) for accreditation to ISO/IEC 17065 in the relevant GLOBALG.A.P. sub-scope(s) and approved modified checklists or in the relevant full benchmarked scheme (see 'GLOBALG.A.P. Benchmarking Regulations'). A copy of the confirmation of this application to the AB shall be forwarded to the GLOBALG.A.P. Secretariat.
- g) The GLOBALG.A.P. Secretariat will allow provisionally approved CBs with a previous ISO/IEC 17065 accreditation to issue a limited number of non-accredited certificates before final approval. The maximum number of producers that may receive non-accredited certificates (Option 1, Option 2) is 20.
 - Example 1: If a CB has one producer group (Option 2) of 33 producers, it can only issue a non-accredited certificate for 20 of the 33 producers. The CB cannot issue further certificates for any Option 1 or Option 2 producers until it has received accreditation. Alternatively, the CB can issue 20 Option 1 certificates for 20 individual producers.
 - Example 2: A CB can issue a non-accredited certificate for an Option 2 producer group covering 12 producers and 8 non-accredited Option 1 certificates for 8 individual farmers (i.e. not connected to the Option 2 group for a total of 20 producers).
- h) There is a provision by the GLOBALG.A.P. Secretariat to allow provisionally approved CBs with no previous ISO/IEC 17065 accreditation, and that are not yet GLOBALG.A.P. accredited, to issue a limited number of non-accredited certificates during the application phase for accreditation. These CBs shall apply for accreditation to only issue certificates under Option 1 rules and for only one scope in the beginning. As soon as accreditation for Option 1 is obtained, other scopes can be applied for, and/or the CB can apply for accreditation for Option 2 certification. The maximum number of producers that may receive non-accredited Option 1 (benchmarking Option 3) certificates for the first scope approval is 5.
- i) The non-accredited certificates shall comply with the applicable certificate template requirements, but shall indicate neither the GLOBALG.A.P. nor the AB logos.

2.1.2 Final Approval

The CB must complete the steps below before issuing any accredited Produce Safety certificates and before final approval can be granted.

- a) CBs shall obtain ISO/IEC 17065 accreditation within 6 months after the date of provisional approval. This period can be extended for an additional time span of 6 months if the AB provides justified reasons explaining the delay. The CB shall submit the justified reasons to GLOBALG.A.P.
- b) Once accreditation has been obtained, the CB shall send a copy of the accreditation evidence to the GLOBALG.A.P. Secretariat.
- c) If accreditation has not been achieved within a maximum period of one year, the provisional approval may be withdrawn, and the CB shall not appear as provisionally approved on the GLOBALG.A.P. website and cannot issue any GLOBALG.A.P. certificates, unless the CB submits justification for the delay. The CB may re-apply for provisional approval again.
- d) **As a condition for final approval, the provisionally approved CB shall have at least one in-house trainer (according to point 3.2) who completed the Harmonized GAPs Produce Safety Standard training offered by United Fresh.**
- e) CBs shall continually register all auditors and inspectors in the GLOBALG.A.P. Database.
- f) **An exam for HPSS is not required.**
- g) CBs planning to certify Option 2 or Option 1 multisite with QMS shall have at least 2 auditors complying with the auditor qualification requirements as defined in Annex III.2 including the face-to-face QMS auditor training.



- h) CBs shall pay the relevant training fees per registered auditor/inspector according to the latest version of the 'GLOBALG.A.P. Fee Table'.
- i) Only after the CB has been accredited to ISO/IEC 17065 with the applicable GLOBALG.A.P. (or benchmarked) sub-scope can the CB place the GLOBALG.A.P. trademark/logo on the certificate according to the applicable GLOBALG.A.P. certificate template, which shall be followed at all times.

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

Note: Benchmarking is not allowed

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

2.3 Accreditation Body Requirements

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

Example: The CB applies for CC and for FV accreditation at the same time. The AB may witness only a FV inspection but grant accreditation for both sub-scopes. An CC inspection shall be sampled for witness later in the 4-year period.
- d) The AB shall only grant the accreditation for Option 2 (including Option 1 multisite operation with QMS) if the AB has completed at least one QMS audit witness assessment regardless of the sub-scope.
- e) The extension of accreditation to the Harmonized Produce Safety Standard within an already accredited CB with the FV scope accreditation shall include at least the assessment of the personnel competency, but a new witness assessment is not necessary.
- f) The AB shall, during its surveillance program, witness all sub-scopes in at least a 4-year period, but not every scope/sub-scope combination every year by default. Selection shall take into consideration and preference shall be given to the Option 2 and the Option 1 multisite with QMS certificates of the CB. The AB shall justify the increase of witness assessment frequency. The AB may consider HPSS as a F&V sub-scope in the 4-year surveillance program.

Example: If the CB has only one single sub-scope accredited (e.g. IFA FV), the AB – after initial accreditation – may witness IFA FV only once in a 4-year period.

If the CB is accredited for IFA FV and HPSS (two standards in the same sub-scope), the AB – after initial accreditation – may witness one sub-scope (IFA FV or HPSS) only once in a 4-year period.

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

2.4 Termination of Approval

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

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

3 OPERATIONAL REQUIREMENTS

3.1 General Requirements

- a) All the points described in the General Regulations and this addendum MUST be accepted and included in the relevant operational document of the CB for GLOBALG.A.P. Harmonized Produce Safety Standard certification and be available for accreditation body evaluation.
- b) The CB shall pay the annual certification license and certificate fee.
- c) The CB is responsible for communicating to its GLOBALG.A.P. registered clients all relevant updates, as well as the date of first application and grace period of any new GLOBALG.A.P. versions of normative documents.
- d) GLOBALG.A.P. shall be entitled to participate, upon prior notice and at its own cost, in inspections or audits carried out by CBs.
- e) The information collected by GLOBALG.A.P. regarding the CBs and their activities, including records of the Integrity Program and the complaint management system, is made available on the CB Extranet to ABs for facilitating accreditation evaluation.
- f) Certification bodies shall immediately inform GLOBALG.A.P. of changes in personnel relevant for the management of the GLOBALG.A.P. scheme (e.g. change of the Scheme Manager, in-



- house trainer, etc.) and of all changes that may affect their function as an independent CB, in particular withdrawal of accreditation or corporate changes.
- g) Certification bodies shall actively cooperate with GLOBALG.A.P. during management of complaints related to the CB or to the producers contracted by the CB.

3.2 Training and Qualification of Staff

- a) Every CB approved by the GLOBALG.A.P. Secretariat shall nominate one contact person, called the GLOBALG.A.P. Scheme Manager, who will be the representative of the CB before the GLOBALG.A.P. Secretariat. This person:
- (i) Shall be fluent in English
 - (ii) Shall at least qualify as a GLOBALG.A.P. inspector (see requirements for GLOBALG.A.P. inspectors in Annex III.1) for one of the approved sub-scopes
 - (iii) Shall be committed to assist in any harmonization activities performed by the GLOBALG.A.P. Secretariat
 - (iv) Shall be available in-house; i.e. not hired occasionally by the CB, and be part of the operational and/or management decision-making process of the CB
 - (v) The Scheme Manager has the responsibility to report on the performance of the quality system of the CB for the purposes of management review and subsequent system improvement of the CB.
 - (vi) Shall be responsible for returning to the GLOBALG.A.P. Secretariat the requested signed reception of any communication requiring written receipt
 - (vii) Shall be responsible for communication and administration of users within the GLOBALG.A.P. system
 - (viii) Shall respond to GLOBALG.A.P. operational enquiries as required in the communication. If the GLOBALG.A.P. Scheme Manager is not available, a substitute shall assume these responsibilities.
 - (ix) Shall distribute all communication received from the GLOBALG.A.P. Secretariat to all CB staff involved in GLOBALG.A.P. activities in all countries
 - (x) Shall attend the annual Scheme Manager (update) meeting. This is a yearly task of the CB. If the Scheme Manager changes in the middle of the year, attendance of the SMU meeting is not required again for that same year. If the Scheme Manager is on medical leave (e.g. maternity), the CB may send another competent GLOBALG.A.P. representative.
 - (xi) The Scheme Manager may be the same person as the in-house trainer.
- b) In order to carry out GLOBALG.A.P. inspections and audits, the CB shall employ/contract only inspectors and auditors that fulfill the GLOBALG.A.P. requirements (see Annex III.1 and III.2 respectively). Every inspector/auditor has to fulfill all sub-scope specific requirements (i.e. it is not permitted to send 2 people to an audit/inspection to complete among them the competence of one auditor or one inspector).
- c) All finally approved CBs shall have a version (i.e. HPSS V1.2) specifically trained CB in-house trainer, who shall be responsible for ensuring that all their registered GLOBALG.A.P. auditors and inspectors comply with the requirements set in Annex III.1 and Annex III.2. This person:
- (i) Needs to have passed the CB in-house trainer training exam for IFA of the relevant sub-scope (FV, CC) and version. Failing any part of the exam twice will require re-attending a GLOBALG.A.P. CB in-house training course and successfully passing the exam. There is no exam for HPSS.
 - (ii) Shall be available in-house; i.e. not hired occasionally by the CB. The person may be the same person as the Scheme Manager and the CB may have more than one in-house trainer covering different standards or sub-scopes.
 - (iii) Shall comply with at least inspector qualification requirements for the respective scope.
 - (iv) Shall be responsible for training all the respective GLOBALG.A.P. auditors and inspectors (based on GLOBALG.A.P.).
 - (v) Shall complete the required training within 3 months in case of a change in personnel. If this is not feasible, the new person shall register within 3 months for an upcoming course.



- (vi) This person needs to have, in addition to GLOBALG.A.P. training, passed the United Fresh training for the Produce GAPs Harmonized Standards. The In-house Trainer shall be available in-house; i.e. not hired occasionally by the CB.
- d) Only auditors complying with the auditor qualification requirements as defined in Annex III.2, including the face-to-face QMS auditor training may carry out QMS audits (Option 2 or Option 1 multisite with QMS).

All IFA Version 4 approved auditors are automatically re-approved for carrying out QMS audits in Version 5, after passing a QMS online exam, when available in their working language.
In case the Certification Integrity Program (CIPRO) results show a low auditing level, the respective auditor shall repeat the QMS training.
- e) Every inspector and auditor shall complete the GLOBALG.A.P. IFA FV online tests (including exams of the updates) within 3 months after their release, provided they are available in the inspector's/auditor's working language. The in-house trainer(s) shall monitor the genuineness and the completeness of the process. New inspectors shall complete the online trainings for the relevant sub-scopes before being signed-off. If inspectors/auditors are working for more than one CB, the online training and exam for the respective sub-scope needs to be completed only once, but the inspectors/auditor need to be registered with each CB they are working with. In-house trainers do not need to pass the online exam for the sub-scopes for which they have already passed the in-house training (IHT) exam. There is no exam for HPSS.
- f) GLOBALG.A.P. reserves the right to randomly ask for the proof of qualification of the inspectors and auditors approved by the CB. In the case that the CB is not able to submit such proof, and/or the inspectors and auditors do not comply with the qualification requirements, GLOBALG.A.P. reserves the right to block those persons in the GLOBALG.A.P. Database and inform the relevant accreditation body.
- g) The CB shall carry out a GLOBALG.A.P. witness assessment and/or re-inspection for each of its GLOBALG.A.P. inspectors/auditors at least once every 4 years to verify competence.
- h) The CB shall verify, record, and monitor the requirements set for inspector/auditor qualification including requirements for initial training and for maintenance of competency.
- i) The CB shall have in place a system for the on-going calibration and training of its inspectors and auditors. The CB shall carry out annual internal refreshing/update training to inspectors/auditors. Records of those trainings shall be maintained.
- j) After successful examination of GLOBALG.A.P. IFA FV (There is no exam for HPSS), the in-house trainers of the GLOBALG.A.P. associate member CBs have the possibility to become GLOBALG.A.P. approved public trainers. This requires a separate application. These in-house trainers do not need to pass an extra training/examination for this purpose. A list of train the public trainers is listed on the GLOBALG.A.P. website.

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

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



- (iv) Ensure availability of immediately accessible information on all audit and inspection details (including those of the unannounced inspections and audits) as well as details for each certificate

3.4 Independence, Impartiality, Confidentiality and Integrity of CB

- a) In accordance with ISO/IEC 17065, the GLOBALG.A.P. approved CB shall be structured to ensure separation of activities that may cause a conflict of interest. All CB personnel shall operate at high levels of professional integrity, be free from commercial, financial or other pressures that might affect their judgment, and are expressly forbidden from promoting any goods or services during evaluation activities.
- b) The CB shall have procedures in place to ensure that the same inspector does not inspect a producer (Option 1) for 4 consecutive years (regardless of whether it is an announced or unannounced inspection/audit). Under Option 2, the auditor in the audit team shall rotate (no more than 4 consecutive years to audit the same group QMS). However, the inspectors in the audit team may remain the same.
- c) *Confidentiality*: Information relating to the applicant producer, including details of products and processes, evaluation reports, and associated documentation, shall be treated as confidential (unless otherwise required by law). No information shall be released to third parties without the prior consent of the applicant producer unless stated otherwise in the General Regulations or the 'GLOBALG.A.P. Sublicense and Certification Agreement'.
- d) The CB shall establish measures and procedures to prevent bribery and corruption at all levels of its organization.

4 PRODUCER REGISTRATION AND ACCEPTANCE

Harmonized Produce Safety Standard Certification granting procedure must be clearly identified in the CB operational documentation and must follow the GLOBALG.A.P. General Regulations and this addendum, which must commence with the registration of the applicant producer as a first step. Wherever GGN is written read as HPSS-GGN.

4.1 General

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

4.2 Producer Registration

- a) The CB and producer shall agree to 'Service of Notice' terms, which shall include a commitment by the CB to confirm the receipt of formal application for (first) registration within 28 calendar days after the CB has received the unique GLOBALG.A.P. Number (GGN or HPSS-GGN) from the GLOBALG.A.P. Database.
- b) Each CB sets up and explains to its prospective clients its own detailed fee structure, which should specify the relevant GLOBALG.A.P. fees. Each CB invoice to producers/producer groups, or an accompanying document to each invoice, shall clearly identify the GLOBALG.A.P. registration fee.



- c) The CB shall explain to its prospective clients that the payment of the relevant GLOBALG.A.P. inspection and certification fee does not guarantee the issuing of the certificate.
- d) If a producer or producer group that has previously had a GGN (or HPSS-GGN) applies for registration, the CB shall act according to the GLOBALG.A.P. procedure for transfer between certification bodies as set out in section 7 below.
- e) If a producer or producer group wishes to change to a new CB, the accepting CB shall as a first step for all applicants carry out a search in the GLOBALG.A.P. Database to verify the status before any further actions are taken.
- f) If a producer or producer group uses the services of more than one CB, each CB shall conduct the respective inspections (Option 1) and QMS audit (Option 1 multisite with QMS or Option 2) independently.
 - (i) If one of the CBs issues a sanction, all CBs operating with that producer or producer group have the obligation to communicate with each other, regarding the scope and, if appropriate, details of actions to be taken across all CBs.
 - (ii) The communication of a sanction to all CBs operating with that legal entity is an obligation which the producer or producer group shall undertake but can also be made by GLOBALG.A.P. directly to the CBs involved.
 - (iii) The communication between CBs shall include all relevant details, but the sanction issued shall be valid and all relevant CBs shall observe this.
- g) The CB shall establish and implement procedures for collecting data updates of the accepted producers, such as production site or product area changes and inclusion/de-listing of members within a producer group.

4.2.1 Registration Data Requirements

The CB shall:

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

4.2.2 Data Access Rules

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



- e) GLOBALG.A.P. will keep the applicant's/producer's certification history in its Database for a minimum of 5 years.

5 ASSESSMENT PROCESS

5.1 Option 1 Producers

5.1.1 See Section 5.1 in General Regulations Part I.

5.2 Announced Inspections

- (i) The CB may divide the announced inspections into 2 modules: An off-site module and an on-site module. Both modules have to be performed by the same auditor/inspector.
- (ii) The off-site evaluation methodology shall be validated by the CB before putting it into practice and shall be part of the yearly management review. See 5.7 for guidance on using information and communication technology (ICT).
- (iii) The inspection of the off-site module shall be conducted no more than 4 weeks before the on-site module. It consists of a desk review of documentation sent by the producer to the CB before the on-site inspection. The CB shall schedule a date as deadline for the producer to submit the documents to be evaluated off-site. That date will also trigger the period of 28 days to conduct the on-site assessment. In specific cases where the on-site assessment cannot be conducted within 4 weeks, the CB shall have a clear dispensation process based on a risk assessment and without compromising the integrity of the inspection. However, the period between the off and on-site assessments shall not be extended beyond 90 days.
- (iv) Documentation that can be assessed off-site by the CB includes the following: Self-assessment, Food Safety Policy and Plan, risk assessments, procedures required in several CPCCs, analysis programs (frequency, parameters, locations), analysis reports, list of plant protection products used, proof of lab accreditation, certificates or inspection reports of subcontracted activities and plant protection product/fertilizer application records.
- (v) Evaluation of control points off-site shall be recorded in the inspection checklist through sufficient comments for the specific control points. Comments shall be supplied for all, whether compliant, non-compliant, or non-applicable.
- (vi) Date, time, and duration of the off-site and on-site modules of each inspection shall be recorded by the inspector and signed by the auditee.
- (vii) The on-site module is conducted after this technical review of the producer's documentation, to verify the information and the way the production process works on-site and to inspect the remaining content of the checklist that was not evaluated off-site. On-site inspection activities shall include, as a minimum, the inspection of Good Agricultural Practices and food safety related control points to determine compliance.
- (viii) In case non-conformances are found during the whole assessment process (off-site and on-site modules together), the countdown to the deadline for closing them begins with the on-site closing meeting.
- (ix) This system does not reduce the overall inspection duration (see requirements regarding inspection duration in scope-specific rules), but it will allow more efficient use of time on-site. The duration of the on-site module shall never be shorter than 2 hours.

5.3 Option 2 Producer Groups and Option 1 Multisites with QMS

5.3.1 External QMS Audits of Option 2 Producers Groups and Option 1 Multisites (with implemented QMS)

- a) The evaluation process shall involve a sampling of the components to assess compliance with the standard and enable certification. All documentation, sites, personnel, and operations that are declared by the group or multisite organization to be relevant and pertinent to the setting up and administration of the QMS as described in General Regulations Part II shall be evaluated.
- b) The evaluation process is designed to establish that the QMS and administrative structure meet the criteria and that the internal audits and inspections of producers/production sites meet the requirements of the GLOBALG.A.P. scheme.
- c) The evaluation process is divided into 2 elements:
 - (i) Audit of the QMS
 - (ii) Inspection of a sample of registered producers/production/handling sites (see General Regulations Part I 5.2)
- d) The CB shall send the audit plan to the management of the applicant prior to the audit.
- e) The QMS audit shall be undertaken at the central office/administrative center of the producer group or multisite company and at the central product handling facility/facilities.
- f) The evaluation process of the requirements included in General Regulations Part II shall take at least 6 to 8 hours, depending on the size of the producer group/multisite company and shall include:
 - (i) Opening meeting with management
 - (ii) Review of all relevant documentation
 - (iii) Evaluation of records
 - (iv) Review of internal audits and inspections conducted
 - (v) Review of mass balance exercise
 - (vi) Discussion/interviews with key staff
 - (vii) Closing meeting including review of non-conformances and non-compliances identified
- g) Evaluation of all internal inspector and auditor qualifications shall be carried out before first certification. In subsequent audits the CB shall re-evaluate annual requirements and qualification of new inspectors and auditors and may also re-evaluate files checked in previous seasons.
- h) As part of the QMS audit, the results of the external and internal audits and inspections shall be compared to assess whether the applicant's internal controls are appropriate.
- i) The final report and result can only be concluded after both the QMS and the minimum sample of producer members/production sites are evaluated.

5.3.1.1 Off-Site Module

- (i) The CB may divide the announced audits into 2 modules: The off-site module and the on-site module. Both modules have to be performed by the same auditor. See 5.7 for guidance on using information and communication technology (ICT).
- (ii) The off-site evaluation methodology shall be validated by the CB before putting it into practice and shall be part of the yearly management review.
- (iii) The inspection of the off-site module shall be conducted not more than 4 weeks before the on-site module. It consists of a desk review of documentation sent by the QMS to the CB before the audit. The CB shall schedule a date as deadline for the QMS to submit the documents to be evaluated off-site. That date shall trigger the period of 28 days to conduct the on-site assessment. In specific cases where the on-site assessment cannot be conducted within 4 weeks, the CB shall have a clear dispensation process based on a risk assessment and without compromising the integrity of the inspection. However, the period between the off and on-site assessments shall not be extended beyond 90 days.



- (iv) Documentation that can be assessed off-site by the CB includes the following: Internal audit, internal register of approved producer members/production sites, Food Safety Policy and Plan, risk assessments, procedures required in General Regulations Part II, Residue Monitoring System (frequency, parameters, sampling program), residue analysis reports, licenses, list of plant protection products used, proof of lab accreditation and certificates or inspection reports of subcontracted activities.
- (v) Evaluation of QMS requirements off-site shall be recorded in the QMS checklist through sufficient comments regarding the evidences reviewed.
- (vi) Date, time, and inspection duration of the off-site and on-site modules of each audit shall be recorded by the auditor.
- (vii) Inspection of the on-site module is conducted after the technical review of the QMS documentation, to verify the information and the way the management system works on-site (e.g. internal inspections, traceability, segregation, and mass balance, central product handling units, etc.) and to audit the remaining content of the QMS checklist that was not evaluated off-site.
- (viii) In case non-conformances are found during the whole assessment process (off-site and on-site modules together) the countdown to the deadline for closing them begins with the on-site closing meeting.
- (ix) This system does not reduce the overall audit duration, but it does allow more efficient use of time on-site. The duration of the on-site module shall never be shorter than 3 hours.

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

5.3.2.1 Annual inspection

- a) The final selection and communication to the QMS of which producers/sites to inspect shall normally be carried out by the CB after the QMS audit (both off-site and on-site modules), using criteria based on the group/company structure; defined in a sampling procedure, which is risk-based and follows the product-risk classification.
- b) Producers/Sites with high-risk products: all producers/sites shall be included in the yearly audit plan and not sampled. High-risk products include fresh herbs, leafy greens, berries, cantaloupe melons, and any other product associated with known foodborne disease outbreaks (see the 'GLOBALG.A.P. Product List'). Minimum of 20 % of the producer members/sites during the certification cycle shall be inspected unannounced; i.e., the notification shall normally not exceed 48 hours (2 working days) per producer.
- c) Producer/sites without high-risk products: Producers/Sites follow a sampling procedure as described in (d) to (i). The member inspections are unannounced; i.e., the notification shall normally not exceed 48 hours (2 working days) per producer.
- d) Certification bodies may, based on justifiable criteria, increase the verification rate of the total numbers of registered producers/production sites. The producer group/company has the right to appeal such a decision. Reasons for an increase could arise from any of the following:
 - (i) Failure to comply with significant QMS and/or product handling requirements affecting the producer members' compliance
 - (ii) Customer complaints; e.g. illegal pesticide residue detection
 - (iii) Significant inconsistencies between the internal audit/inspection reports and the CB inspection/audit findings
 - (iv) The possible need to determine if the NC is structural or not
 - (v) Number of products
- e) Producers shall be classified by production type. These may include, but are not limited to the following examples:
 - (i) Livestock is not applicable.
 - (ii) Open-field crops
 - (iii) Covered/protected crops
 - (iv) Perennial crops
 - (v) Aquaculture is not applicable.
 - (vi) Aquaculture is not applicable.



Example: A group has a total of 96 producers registered for GLOBALG.A.P. Certification. From the 96 producers:

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

That is:

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

Sample is:

$\sqrt{58} = 8$ producers producing apples.

$\sqrt{15} = 4$ producers producing tomatoes in greenhouse.

$\sqrt{43} = 7$ producers producing crops in open field.

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

- f) The minimum sample size is the square root of registered producers per production type. The square root shall be rounded upwards to the next whole number if there are any decimals. During the inspection of each of these selected producers/sites, all the products shall be inspected.
- g) At least 25% of the square root sample of the actual number of sites or producers shall be randomly selected.

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

- h) The scope of the inspection of the producers selected in the sample shall be complete. This shall cover:
- All products registered for certification that they grow
 - All types of production (see “d”)

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

Example 1: Multiple production type:

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

The minimum size of sample would be:

- Open air: $17+8=25 \Rightarrow \sqrt{25}=5$ (minimum number of producers)
- Covered: $28+8=36 \Rightarrow \sqrt{36}=6$ (minimum number of producers)
- However, the minimum total number of producers: $8 (\sqrt{53})$

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

- i) The producer selection shall aim to cover all producer members/sites of the producer group/company throughout a period of 10 years. In addition, the selection shall take into consideration risk factors, new producers, and random selection. Unless there is a particular reason, the subsequent assessment shall normally not include producers/sites already sampled during previous assessments. Factors for inclusion in the initial or subsequent sampling may include higher risk of the operation, special status of the member, number of products, previous inspection results, multisite member, record of complaints, variations in site size, variation in shift patterns, modifications since last certification audit, differences in language or cultural practices at sites and geographic distribution. Producers that move from one group to another shall have a higher possibility of being included in the sample of producers chosen by the CB.
- j) In case a producer member operates a multisite with a QMS, it shall be merged with the central QMS of the group, as there can be only one QMS for the group. In cases of multisites in a group situation, the producer member with the sites shall be taken into account for calculating the sample size and not the number of sites. The CB shall inspect the square root of the sites of that member during the external audit if that member is chosen as part of the sample. However, during internal inspections all the sites of a producer member must be inspected.



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

5.3.2.2 Surveillance Inspections for Producers in Option 2 and(or) Production Sites in Option 1 Multisites

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

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

- a) A minimum of 10 % of all certificate holders of the CB shall be inspected/audited unannounced.
- b) The selection of the 10 % shall not only take into account total numbers, but shall also be calculated and carried out based on risk assessment and considering factors such as geography, legislation (where several jurisdictions are covered by the CB), crop type, compliance history, etc.
- c) The 10 % shall be calculated for a 12-month period. The number of unannounced inspections and audits per 12-month period shall reflect 10 % of the certificates issued without QMS included and with QMS included, respectively.
- d) The 10 % shall be distributed among the countries where the CB has certificate holders and it shall be representative of the countries.
- e) The calculation of the 10 % shall be carried out per scope.
- f) There shall be a minimum of one inspection or audit per year and scope; i.e. if the CB has ≤ 10 Option 1 certified producers, at least one producer shall be inspected, and/or if the CB has ≤ 10 Option 2 certificate holders, at least one shall be audited annually.
- g) CBs with only one Option 2 certified producer group shall perform an unannounced QMS audit at least every 2 years.
- h) Certification Integrity Program assessments may count towards the number of unannounced inspections or audits per year. The CB shall carry out the follow-up of the non-conformances found during that Certification Integrity Program assessment.

5.5 Inspection of Produce Handling Units (Option 2 and Option 1 Multisites with QMS)

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

5.6 External Inspections and Audits of Approved Modified Checklists (AMC) /Equivalent Schemes Benchmarking against the GLOBALG.A.P. Harmonized Produce Safety Standard is not applicable.

5.7 Using Information and Communication Technology for the Off-Site Module (Option 1 or Option 2) (Based on IAF MD4:2018)

Information and communication technology (ICT) refers to the use of technology for gathering, storing, retrieving, processing, analysing, and transmitting information. It includes software and hardware such as smartphones, handheld devices, laptop computers, desktop computers, drones, video cameras, wearable technology, artificial intelligence, e-mails, and others.



5.7.1 Security and Confidentiality

- a) The use of ICT for inspection /auditing purposes shall be mutually agreed upon by the producer or group and the CB performing the inspection/audit in accordance with information security and data protection measures and regulations beforehand. Video and/or audio recording, screenshots, and storage of evidence shall also be mutually agreed. The CB shall keep records of the agreement.
- b) In case of no agreement or non-fulfilment of this information, security and data protection measures, ICT cannot be used for the off-site module.

5.7.2 Planning and Scheduling

5.7.2.1 The feasibility of the inspection shall be determined to provide confidence that the inspection objectives can be achieved. This shall take into consideration factors such as:

- a) Sufficient and appropriate information for planning and conducting the inspection
- b) Adequate cooperation from the producer
- c) Adequate time and resources for conducting the inspection

5.7.2.2 The CB shall define eligibility criteria for determining when it is appropriate to perform an inspection/audit using ICT, such as:

- a) The acceptable period for performing the off-site inspection/audit
- b) The producer's or group's ability to designate one or more representatives or contact persons who are capable of communicating in the same language as the inspector/auditor and using the agreed platform
- c) The CB's capability and aptitude to conduct the off-site inspection/audit in the chosen medium/forum
- d) The availability of a list of activities, areas, information, and personnel to be involved in the off-site inspection/audit.

5.7.2.3 Planning of Technology and Equipment

- a) Before the off-site inspection/audit takes place, the CB shall:
- b) Determine the platform (e.g., virtual meeting app, wearable technology, telephone/video call, messaging app, drones, or other platforms, etc.) for hosting the inspection/audit. This platform needs to be agreed upon between the CB and the producer or group.
- c) Explain to the producer or group which documents, activities, facilities are expected to be inspected via video streaming (real time) and which will be evaluated based on records/recorded information, and additionally, if applicable, which people need to be interviewed.
- d) Test the ICT platform compatibility between the CB and the producer or group prior to inspection/audit. A trial meeting using the same media platforms agreed upon shall be conducted to ensure the scheduled inspection/audit can be performed as planned.
- e) Encourage and consider the use of webcams, cameras, etc. when physical evaluation of an event is desired or necessary.
- f) If the use of ICT is impossible due to technical restraints, (e.g., no phone or internet connection on the farm, etc.), the off-site module is limited to document or record review.

5.7.3 Performing the Off-Site Inspection/Audit with ICT

- a) The off-site inspection/audit shall be facilitated in quiet environments whenever possible to avoid interference and background noise (e.g., through speakerphones).
- b) Both parties shall make their best effort to confirm what was heard, stated, and read throughout the inspection/audit.
- c) All off-site inspections/audits shall be concluded in the same way as the on-site inspections/audits according to the general regulations (e.g., opening meeting, clarification of findings, non-conformances, etc.).
- d) The start time, the end time, and the participants of the off-site inspection/audit shall be recorded. Evidence of opening and closing meetings shall be kept even if there were multiple sessions.



- Electronic acknowledgement of receipt is equivalent to “signature”, as indicated in the general regulations Part III, 6.1 e).
- e) The fact that the inspection/audit was conducted off-site, as well as the software and any technical problems during the inspection/audit, shall be noted in the inspection/audit report.
 - f) If it is not possible to maintain satisfactory connections or conditions during the scheduled time of the off-site inspection/audit, the CB inspector/auditor may terminate the inspection/audit before the scheduled time. This shall be recorded in the inspection/audit report.
 - g) The inspection/audit may continue later only if the CB and the producer both agree on this. The continuation of the off-site inspection/audit shall follow the planning as described above. This shall be confirmed during the opening meeting.
 - h) The inspector/auditor shall be aware of the ICT’s risks and opportunities and the impacts that they may have on the credibility and objectivity of the information gathered. It is the responsibility of the CB to train the inspector/auditor accordingly, but no additional sign-off is necessary.
 - i) The means (tools) of verifications that may be used:
 - (i) Interview with the producer or group. Worker interviews may be conducted by phone or video call interviews.
 - (ii) Video call in which the producer or group shows records.
 - (iii) Video call in which the producer or group streams video of the site/facility to the inspector/auditor. However, all the observed evidence shall be recorded in the checklist. Video streaming of the site/facility may be done by the producer or group or by an assigned person the CB chooses, who need not necessarily be an inspector/auditor.
 - (iv) Sending pictures/videos instantly during the interviews. The files shall include information on the time and geo-reference for the location, or this information shall be available by other means.
 - j) The inspection/audit report shall contain details about the different means (tools) used during the inspection/audit in order to demonstrate the proper implementation of this procedure.
 - k) The CB shall inform the producer or group when, how, why, and of what to make recordings, pictures, or video footage and which will be saved as evidence, why, and for how long will they be stored. The producer or group shall agree and, if applicable, give consent and send/submit/transmit the evidence to the CB within the agreed timeframe.

6 CERTIFICATION PROCESS

6.1 General

- a) The person who makes the certification decision or at least one member of the certification committee of the CB shall comply with auditor qualifications as set out in Annex III.2 for the scope the certificate is being issued for. In case the certification decision is related to Option 1 and does not include a QMS, the CB still needs to have one person of the certification decision committee complying with auditor qualification. This person, however, does not need to attend and pass the face-to-face QMS auditor training or to have 10 days experience in management systems audits.
- b) Each CB shall be responsible for the information filed: documentation related to GLOBALG.A.P. procedures or GLOBALG.A.P. clients shall be made available to the AB and to GLOBALG.A.P. on request.
- c) In case of an Option 1 multisite with no QMS, all production sites where a registered product is produced shall be inspected before the certificate can be issued (if not, it is parallel production). In case of an Option 1 multisite with QMS implemented, rules for adding new sites are explained in General Regulations Part II 11. ‘Registration of Additional Producers or Production Sites to the Certificate’.
- d) On completion of the full evaluation process, a full written report will be produced which summarizes the evaluation activity undertaken (date of the inspection, sites, producer members and facilities inspected, and duration of inspection/audit), provides objective evidence and information on how the producer or the producer group complies with the requirements of the standard, and where applicable, lists any non-compliances and/or non-conformances identified.



- e) The producer/producer group representative shall sign or confirm the inspection and audit outcome (including at least the scope of the inspection/audit, the result in % of compliance for the different levels of control points, list of findings, and duration) during the closing meeting. A documented or electronic confirmation by the producer is equal to the 'signature' of the producer.
- f) Compliance is indicated with a "Yes" (for compliant), "No" (for not compliant), and "N/A" (for not applicable). Control points that are indicated as "No N/A" cannot be answered as "not applicable". In exceptions in which the control point is not applicable, the answer shall be given as "Yes" with a clear justification.
- g) Unless indicated otherwise in the checklist, comments shall be recorded to enable the audit trail to be reviewed after the event and shall include details of evidences checked during the inspection. It is *obligatory to provide comments* for *all* the complied, non-compliant and not applicable control points and the QMS control points during all external inspections/audits (by CB) and internal inspections/audits. For the self-assessments (Option 1), it is *obligatory to provide comments* for *all* the non-compliant and not applicable Control Points and Compliance Criteria. Comments and evidences, such as which document(s) were sampled, workers interviewed, etc., shall be site- and product-specific and included in the checklist to ensure that all the control points have been properly assessed for all applicable sites and products.
- h) For producer groups and multisite producers with QMS the evaluation report format shall be based on the QMS checklist (available on www.globalgap.org). The evaluation report shall form the basis by which a decision can be made on the award of a certificate to the group.
- i) The CB report shall contain the following:
 - (i) All points listed in the "inspection notes" section of the official GLOBALG.A.P. checklist.
 - (ii) Scope of the inspection/audit: company, site, PHU and product information according to the Annex 1.2. Products, production area/quantity, sites/members, country of destination, handling and harvest included or excluded, product handling takes place in-field or in a facility or in both, product attributes (PP/PO, covered/non-covered, first or further harvest), etc. shall be included.
 - (iii) Calculation of the total applicable control points and % of the non-conformances.
 - (iv) List of non-compliances, non-conformances, and follow up actions. This includes the relevant control point, the observation of what has been non-complied/conformed, evidence of non-fulfillment of the requirement, deadline for corrective action, description of the corrective action by the producer, reference to objective evidence of implementation of the corrective action, evaluation result of the corrective action (open/closed), and the relevant dates of these actions.
 - (v) Conclusion of compliance or not
 - (vi) Certifier/reviewer(s) name
- j) Stage of the report, e.g. preliminary or final. The CB may further define different report stages.
- k) The fully completed audit checklist including all applicable control points, comments/justification per control point (where required) and the objective evidence of implementation of the corrective action shall be provided to the certificate holder and available.
- l) Date of certification decision may be recorded in other places/system of the CB, not necessary in the report.
- m) Copies of the report, the objective evidences of implementation of the corrective actions or the fully completed audit checklist shall only be provided to other parties if the applicant provides access by written authorization except to the regulatory authorities when requested according to the applicable national legislation, and the AB and CB.
- n) The CB report (e.g. audit report, corrective action report, etc.) must be protected or otherwise controlled to prevent unauthorized modification or tampering prior to distribution.
- o) When the producer requests it, the CB shall provide the full CB report and the fully completed inspection/audit checklist, when final, within 5 business days. However, when the report and/or checklist has not been finalized at the time of request, the report and/or checklist shall be delivered to the producer or producer group within 28 days.

- When the automatically generated report (including the checklist) is available from the GLOBALG.A.P. system, this report shall be used.
- p) When GLOBALG.A.P. requires it, the CB report and the completed inspection/audit checklist shall be uploaded/transferred into the GLOBALG.A.P. database.
 - q) The CB shall have processes in place to address situations when translations of the reports are requested.

6.2 Inspection Duration

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

6.3 Producer Non-compliance and Sanctions

See also GR Part I. 6.4 ‘Sanctions’

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

6.3.1 Open Non-conformance

The status “open non-conformance” cannot be given to producer group members’ products.

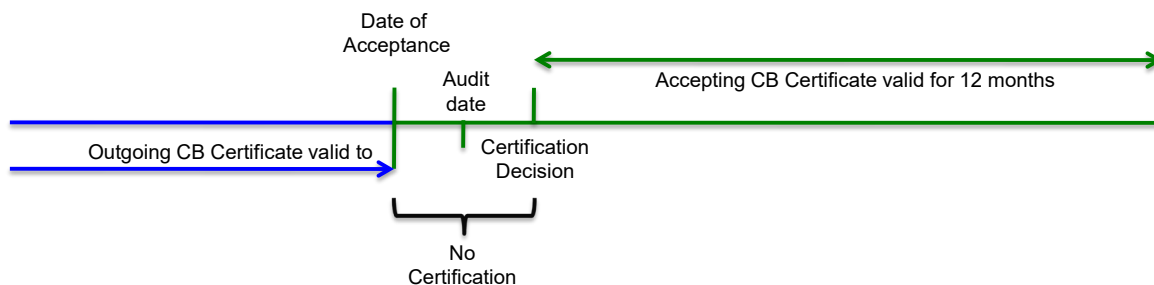
6.4 Paper Certificate Requirements

All certificates issued against the Harmonized Produce Safety Standard shall use the paper certificate template for the Harmonized Produce Safety Standard. See Annex I.3.

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

7 TRANSFER BETWEEN CERTIFICATION BODIES

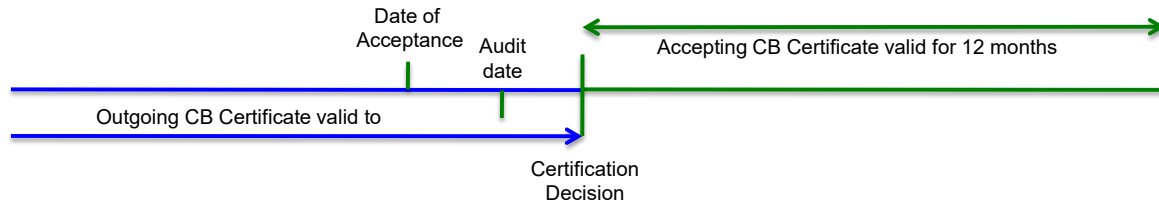
- a) This explains how to proceed when producers that are found in the GLOBALG.A.P. Database change from the original GLOBALG.A.P. approved CB [hereinafter referred to as the “outgoing CB”] to another GLOBALG.A.P. approved CB [hereinafter referred to as the “accepting CB”]. The objective is to assure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



- i) If, however, the “Date of Acceptance” (signing of the ‘GLOBALG.A.P. Sublicense and Certification Agreement’) and perhaps also the “Date of Audit” are *before* the outgoing CB’s certificate expiry date, the certification decision can only take effect as soon as the certificate expires. In this case, the certification cycle of the producer will remain the same as before.
- j) The outgoing CB remains responsible until its certificate expires. The producer may sign a ‘GLOBALG.A.P. Sublicense and Certification Agreement’ with the accepting CB while under contract with the outgoing CB. The ‘GLOBALG.A.P. Sublicense and Certification Agreement’ is binding for the accepting CB only once the outgoing CB has released the producer’s GGN in the GLOBALG.A.P. Database.



- k) If, during the validity of the certificate issued by the outgoing CB, the accepting CB detects non-conformities that are not closed after 28 days, the accepting CB shall inform the outgoing CB about the non-conformities detected so that it can take appropriate follow-up actions.



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

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

8 CERTIFICATION BODY SANCTIONS

8.1 General Rules

- a) The GLOBALG.A.P. Board defines the types and levels of sanctions described here.
- b) Appeals against a sanction proposed by the GLOBALG.A.P. Secretariat or by the Integrity Surveillance Committee (ISC; see below) shall be received within 5 working days after the receipt of sanction notification. The ISC or the GLOBALG.A.P. Secretariat evaluates the appeals. The second appeal against a re-confirmed sanction by the ISC follows the arbitration procedure as described in the 'GLOBALG.A.P. License and Certification Agreement' and in the 'Equivalent Certification System Owner Agreement'.
- c) GLOBALG.A.P. has established an Integrity Surveillance Committee (ISC), which decides on the sanctions as outlined in this document, based on a case-by-case approach.
- d) The ISC consists of:
 - (i) 3 permanent and 2 substitute members
 - (ii) A representative of the GLOBALG.A.P. Secretariat who may participate in the ISC meetings
 - (iii) A representative of the accreditation bodies who may participate as an independent observer
 - (iv) A public sector observer who may participate, but without voting rights
 - (v) A representative of the concerned equivalent scheme owner invited by the ISC
- e) The ISC may take any of the following actions:
 - (i) Issue sanctions as defined in section 9.3 of this document
 - (ii) Request additional/extra integrity assessments of CBs
 - (iii) Decide that the sanctioned CB has to pay the cost of the assessment or re-assessment visit(s). The rate of any assessment visit and the necessary travel time is EUR 1000 per day including travel costs. If an assessment visit is planned to exceed 3 days, the ISC shall approve.
 - (iv) Pronounce fines
 - (v) Require the CB to reimburse the costs directly linked to the investigation and sanctioning process of a particular case. The burden of proof of the amount of costs lies with the GLOBALG.A.P. Secretariat.
 - (vi) Advise the GLOBALG.A.P. Secretariat to cancel the contract with the CB concerned
 - (vii) Request that particular inspectors/auditors who have not performed according to the GLOBALG.A.P. General Regulations repeat the online exam in the presence of a GLOBALG.A.P. Secretariat representative. The CB shall cover the additional exam fee and other expenses.
 - (viii) Request that particular inspectors/auditors attend a GLOBALG.A.P. approved training course. The CB shall cover participation, exam fees, and other expenses.
 - (ix) The ISC may directly suspend a CB inspector/auditor based on the outcome of one or more integrity assessments and forbid the person to carry out any inspection/audit in the GLOBALG.A.P. system.
- f) By default, sanctions are applicable to the CB as a whole. The ISC may limit the sanctions to scope, sub-scope level or to a geographical area only.
- g) Sanctioning steps 1 to 5 (see section 9.3 below) are not necessarily consecutive (e.g. it is possible for a CB after receiving a first warning due to incomplete database entries, to receive a Red Card and jump to step 4 immediately due to the Certification Integrity Program result).
- h) Sanctions will be communicated to the concerned accreditation body and where applicable to the equivalent certification system owner (ECSO) or to the owner of the approved modified checklist (AMC).
- i) In case of a CB suspension by the AB or a CB having lost its accreditation due to other circumstances, the CB is not allowed to issue new certificates. The ISC's decision shall take into consideration the reason of the suspension to determine whether existing certificates issued by the CB are still valid and shall consider issuing a Red Card.
- j) The ECSO can ask GLOBALG.A.P. to carry out additional integrity assessments beyond the ones already initiated by GLOBALG.A.P.

GLOBALG.A.P. may charge a separate fee for those additional assessments.

8.2 Types of Non-conformances

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

8.2.1 Contractual Non-conformances

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

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

8.2.2 Standard or General Regulations Non-conformances

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

9 INTEGRITY PROGRAM (IPRO)

The Integrity Program consists of 2 pillars:

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

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

The activities of the Integrity Program shall cover also those CBs and organization in relation with the certification of the Harmonized Produce Safety Standard.

9.1 Brand Integrity Program

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

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

9.2 Certification Integrity Program

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

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

9.2.1 Evaluation and Classification of Assessment Results

- a) Each assessment is documented in a Certification Integrity Program assessment report. A representative of each assessed site (producer, producer group, or CB office) shall sign the assessment report.
- b) Each Certification Integrity Program assessment report is sent to the CB, to the accreditation body and, where applicable, to the ECSO/AMCO. Accreditation bodies are encouraged to use it as an input for their next assessment. CBs and ECSO/AMCO shall use these reports as a management feedback for their continuous improvement processes.
- c) Evidence from one or more classified Certification Integrity Program assessment report and the failure of the CB to demonstrate improvement from previous assessments are the basis for GLOBALG.A.P. to propose an overall performance classification of the CB to the ISC. The CB will be informed about their proposed performance classification and shall be given the opportunity to respond in a written statement within 14 (fourteen) days after notification. The relevant AB and where applicable the ECSO/AMCO shall be notified by GLOBALG.A.P.
- d) ISC decision-making is based on *all* the following:
 - (i) The individual assessment reports presented by the GLOBALG.A.P. Secretariat taking into consideration all previous assessments
 - (ii) The proposed performance classification by GLOBALG.A.P.
 - (iii) The CB's written statement (feedback)
- e) The assessment reports submitted to the ISC are anonymous and shall not disclose the name of the CB(s) involved.
- f) The GLOBALG.A.P. Secretariat may request a summary of follow-up measures, but not necessarily require a corrective action plan on each case.
- g) In case the CB representative is present and accepts the assessment findings, the integrity assessor can decide that the CB can book this integrity assessment as an unannounced inspection/audit under the 10 % rule.
- h) The CB is expected to follow-up the findings of the integrity assessment and ensure that the producer complies with the certification requirements.

9.2.1.1 Classification

Classification #1

(i) Definition:

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

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

(ii) Procedure

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

Classification #2

(i) Definition

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

(ii) Procedure

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

Classification #3

(i) Definition

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

(ii) Procedure

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

Classification #4

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

Classification #5

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

9.3 Sanction Steps for Certification Bodies

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

Table 9.3 Sanction Steps for Certification Body Non-Conformances

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

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

9.3.1 Step 1 – 1st Warning

- a) Decided by the ISC or by the GLOBALG.A.P. Secretariat. A 1st Warning that is due to Brand Integrity Program non-conformances can be followed by a 2nd Warning without the approval of the ISC.
- b) The 1st Warning can be issued:
 - (i) Where non-conformances with the standard rules as defined in the General Regulations are detected
 - (ii) Where the CB does not react to or does not report on written requests by the GLOBALG.A.P. Secretariat
 - (iii) Where the number of incomplete or wrong database entries and/or issued certificates reached 5 GLOBALG.A.P. Numbers (GGN) or 1 % of the total number of GGNs registered under a CB, whichever is higher
- c) The CB shall pay partially or fully for the number of re-assessment days proposed by the ISC.

9.3.2 Step 2 – 2nd Warning

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

9.3.3 Step 3 – Yellow Card

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

9.3.4 Step 4 – Red Card

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

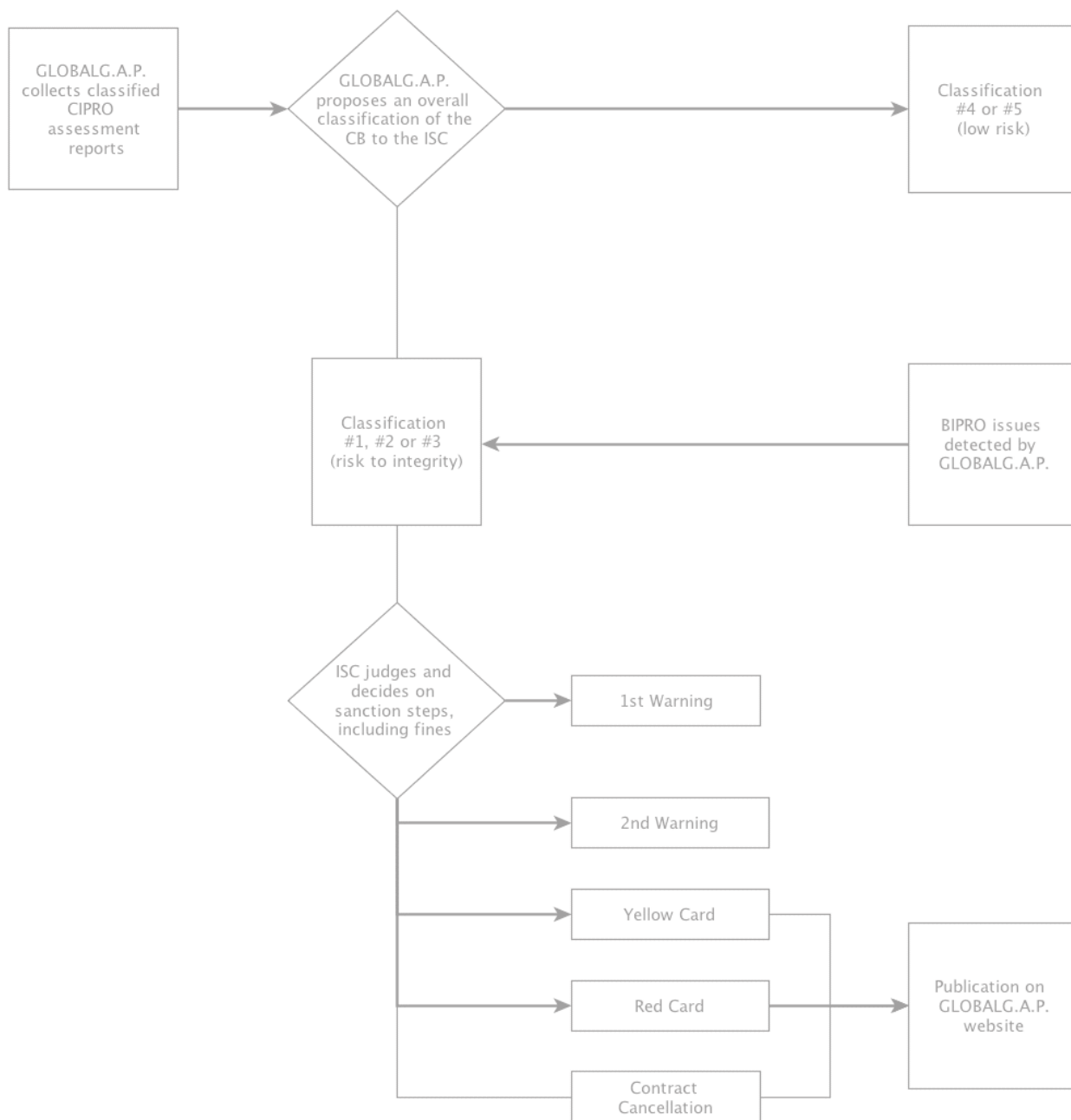


9.3.5 Step 5 – Contract Cancellation

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

Flow chart illustrating the Certification Integrity Program Sanctioning Procedure

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



ANNEX III.1 GLOBALG.A.P. CB INSPECTOR QUALIFICATIONS (OPTION 1)

1 GLOBALG.A.P. INSPECTOR

- a) Inspectors will be able to inspect the Harmonized Produce Safety Standard on farm level once the CB has verified factual evidence (as described below) of their qualifications and experience.
- b) CB inspectors qualified for IFA FV or CC V5 according to the requirements described in the GLOBALG.A.P. General Regulations, automatically qualify for the Harmonized Produce Safety Standard after additional training on the Produce GAPs Harmonized Standards as described in 3.2h).

2 FORMAL QUALIFICATIONS AND WORK EXPERIENCE

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

3 TECHNICAL SKILLS AND QUALIFICATIONS

3.1 Inspector Training

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

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

- a) Training in HACCP principles either as part of formal qualifications or through the successful completion of a formal course based on the principles of the Codex Alimentarius (the formal course may be an internal training by the CB). The minimum training duration shall be 8 hours. Duration and content shall be indicated on the evidence available for this requirement (course certificate, evidence of training included in formal qualifications, etc.).
- b) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course (the formal course may be an internal training by the CB). The formal course duration shall be a minimum of 8 hours. Duration and content shall be indicated on the evidence available for this requirement (course certificate, evidence of training included in formal qualifications, etc.). The food hygiene training course shall cover: site management, water, fertilizer, equipment, facilities and personal hygiene, and it shall also include practical case studies. Already approved inspectors have a one-year transition period after the publication of GLOBALG.A.P. Harmonized Produce Safety Standard Version 1.2 to complete this training.
- c) GLOBALG.A.P. online training, with the successful completion of all online tests (GLOBALG.A.P. IFA FV) and the respective updates within 3 months after release in the inspector's language. There are no exams required for HPSS.
- d) **For Crops scope:** Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- e) Aquaculture is not applicable.
- f) Aquaculture is not applicable.
- g) The experience required shall involve work in the respective scope and may have been gained simultaneously for more than one scope and/or sub-scope/group according to the table below:

If an inspector has 3 or more years' working experience in:	It is possible to inspect the following sub-scopes/groups:
FV	FV, CC

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

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

- h) Auditors and inspectors must undergo training to the Produce GAPs Harmonized Standards for Field Operations and Harvesting and Post-Harvest Operations using the official training materials available from United Fresh. The Certification Body may assign, after completing and passing the training offered by United Fresh, an internal trainer to train the auditors and inspectors conducting audits against the Harmonized Produce Safety Standard on the specific standard requirements.

The CB must inform the GLOBALG.A.P. Secretariat of the name and contact details of the Produce GAPs Harmonized Standards in-house trainer as well as the date that the United Fresh training was completed and provide the course certificate.

The in-house trainer shall train each CB inspector and auditor about the standard before conducting inspections/audits.

3.3 Communication Skills

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

3.4 Initial Training Before Sign-off by the CB

- a) The CB shall put a training program in place customized to the candidate/trainee.
- b) The applicant inspector shall take part as an observer in a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope (FV, CC, HO). In case the CB takes over (hires) an approved (for the currently valid version) inspector, the rule "to observe a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope" does not apply. Where the inspector is already approved for the relevant IFA sub-scope, an HPSS observation inspection is not required. However, to add sub-scope qualifications, an observation inspection is applicable (e.g. to add HPSS combinable crops).
- c) The CB shall witness a minimum of one inspection of an Option 1 producer or an Option 2 producer group member by an already qualified inspector or auditor respectively per sub-scope. Where the inspector is already approved for the relevant IFA sub-scope, an HPSS witness inspection is not required. However, to add sub-scope qualifications, a new witness assessment is applicable (e.g. to add HPSS combinable crops).
- d) The CB shall have a program for the assessment of auditing skills. This should include as a minimum that inspectors are assessed on their performance in 3 inspections in accordance with the CB's written program and as a prerequisite to meeting applicable requirements of the GLOBALG.A.P. standard. The auditing-skills assessment includes at least one witness inspection (as listed under 3.4. c), and the rest may be done by further witness inspections on-site or by document review. The sign-off process may only be concluded after a successful auditing-skills assessment consisting of the minimum of 3 inspections. After the initial successful witness inspection, but before the final sign-off, the conducted inspections may be registered for the inspector-in-training and the producer may be certified.

- e) For the CB's first inspector the CB's internal procedures apply.
- f) As a minimum requirement, the CB shall verify competence in the following topics:
 - Technical knowledge of crop production
 - Ability to identify food safety risks/food hazards
 - Ability to evaluate the HACCP system and identify/challenge critical control points
 - Up-to-date knowledge of plant protection products, fertilizer applications and IPM principles
 - **Livestock and Aquaculture are not applicable**
 - Ability to carry out traceability checks and mass balance analyses
 - Wherever the control point refers to local legislation, knowledge of the relevant requirements
 - Having the sufficient communication and behavioral skills as to be able to conduct an inspection/audit
 - "Working language" skills in the corresponding native/working language

3.5 Maintenance of Competency

- a) The CB shall have in place a procedure to ensure that annually every inspector/auditor conducts at least 5 inspections/audits, at a number of different producers, against a GLOBALG.A.P. standard or fully benchmarked scheme of the same sub-scope, to maintain scheme knowledge and to stay registered in the GLOBALG.A.P. Database.
- b) Witness inspections/audits of HPSS or IFA FV or CC shall also be acceptable to maintain competency.
- c) Exceptions to this rule, e.g., if the CB does not have a total of 5 clients, shall be discussed with and confirmed in writing beforehand by the GLOBALG.A.P. Secretariat.
- d) The CB shall carry out a GLOBALG.A.P. witness inspection and/or re-inspection for each of its GLOBALG.A.P. inspectors at least once every 4 years to verify competence.
- e) Where the witness inspection is done remotely using ICT, the relevant clauses of IAF MD4 shall apply.
- f) These requirements do not apply for those Scheme Managers who do not carry out inspections.
- g) If it is not possible to maintain competency from one year to the other, 3.4 shall apply.

3.6 Rotation of the inspector

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

4 KEY TASKS

4.1 GLOBALG.A.P. Farm Inspections

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

4.2 General

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

4.3 Independence and Confidentiality

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

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

1 GLOBALG.A.P. AUDITOR

- a) Auditors will be able to audit quality management systems once the CB has verified factual evidence (as described below) of their qualifications and experience. Producer and production site inspections however need sub-scope-specific qualifications.
- b) CB auditors qualified for IFA FV or CC V5 according to the requirements described in the GLOBALG.A.P. General Regulations, automatically qualify for Harmonized Produce Safety Standard after additional training on the Produce GAPs Harmonized Standards as described in 3.2 j).

2 FORMAL QUALIFICATIONS AND WORK EXPERIENCE

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

3 TECHNICAL SKILLS AND QUALIFICATIONS

3.1 Lead Assessor Training

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

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

- a) Training in HACCP principles either as part of formal qualifications or through the successful completion of a formal course based on the principles of the Codex Alimentarius (the formal course may be an internal training by the CB). The minimum training duration shall be 8 hours. Duration and content shall be indicated on the evidence available for this requirement (course certificate, evidence of training included in formal qualifications, etc.).
- b) Food hygiene training, either as part of formal qualifications or through the successful completion of a formal course (the formal course may be an internal training by the CB). Successful completion of a food hygiene training course with a minimum duration of 8 hours. Duration and content shall be indicated on the evidence provided for this requirement (course certificate, evidence of training included in formal qualifications, etc.).

The food hygiene training course shall cover site management, water, fertilizer, equipment, facilities, and personal hygiene, and it shall also include practical case studies. Already approved auditors have one-year transition period after the publication of the Harmonized Produce Safety Standard V1.2 to complete this training.

Both trainings in points a) and b) can have been completed together in the same formal course (minimum duration 16 hours).

- c) GLOBALG.A.P. online training, with the successful completion of all online tests (GLOBALG.A.P. IFA FV) and the respective updates within 3 months after release in the inspector's language. There are no exams required for HPSS.
- d) **For Crop Standards:** Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- e) Aquaculture is not applicable.
- f) Aquaculture is not applicable.
- g) The experience required shall involve work in the respective scope and may have been gained simultaneously for more than one scope and/or sub-scope/group according to the table below:

If an inspector has 3 or more years' working experience in:	It is possible to inspect the following sub-scopes/groups:
FV	FV, CC

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

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

- h) In addition to the requirements as set out above, auditors and inspectors must undergo the training to the Produce GAPs Field Operations and Harvesting and Post-Harvest Operations Harmonized Standards using the official training materials available from United Fresh. The Certification Body may assign, after completing and passing the training offered by United Fresh, an internal trainer to train the auditors and inspectors conducting audits against the Harmonized Produce Safety Standard on the specific standard requirements. The CB must inform the GLOBALG.A.P. Secretariat of the name and contact details of the Produce GAPs Harmonized Standards in-house trainer as well as the date that the United Fresh training was completed and provide the course certificate. The in-house trainer shall train each CB inspector and auditor about the standard before conducting inspections/audits.

3.3 Communication Skills

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

3.4 Initial Training before Sign-off by the CB

- a) The CB shall put a training program in place that is customized to the candidate/trainee.
- b) The applicant auditor shall take part as an observer in a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope (FV, CC, HO) and one audit by an already qualified inspector or auditor, respectively. In case the CB takes over (hires) an approved (for the currently valid version) auditor, the rule "to observe a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope" does not apply.



Where the auditor is already approved for the relevant IFA sub-scope, an HPSS observation inspection is not required. However, to add sub-scope qualifications, an observation inspection is applicable (e.g. to add HPSS combinable crops).

- c) The CB shall witness a minimum of one inspection of an Option 1 producer or an Option 2 producer group member per sub-scope and one QMS audit by the applicant auditor. An inspector or auditor can witness the inspection, but only an auditor can witness the audit. Where the inspector is already approved for the relevant IFA sub-scope, an HPSS witness inspection is not required. However, to add sub-scope qualifications, a new witness assessment is applicable (e.g. to add HPSS combinable crops).
- d) The CB shall have a program for the assessment of auditing skills. This should include as a minimum that auditors are assessed on their performance in 3 audits in accordance with the CB's written program and as a prerequisite to meeting applicable requirements of the GLOBALG.A.P. standard. The auditing-skills assessment includes at least one witness audit (as listed under 3.4. c), and the rest may be done by further witness audits on-site or by document review. The sign-off process may only be concluded after a successful auditing-skills assessment consisting of a minimum of 3 audits. After the initial successful witness audit, but before the final sign-off, the conducted audits may be registered for the auditor-in-training and the producer/producer group may be certified.
- e) For the CB's first auditor the CB's internal procedure shall apply.
- f) The QMS auditor shall attend a GLOBALG.A.P. QMS auditor training and pass the exam for each new standard version.
- g) As a minimum requirement, the CB shall verify competence in the following topics:
 - Technical knowledge in the scope
 - Ability to identify food safety risks/food hazards
 - Ability to evaluate the HACCP system and identify/challenge critical control points
 - Up-to-date knowledge of plant protection products, fertilizer applications and IPM principles
 - Livestock and Aquaculture are not applicable
 - Ability to carry out traceability checks and mass balance analyses
 - Wherever the control point refers to local legislation, knowledge of the relevant requirements
 - Having the sufficient communication and behavioral skills as to be able to conduct an inspection/audit
 - "Working language" skills in the corresponding native/working language

3.5 Maintenance of Competency

- a) The CB shall have in place a procedure to ensure that annually every inspector/auditor conducts at least 5 inspections/audits at a number of different producers, against a GLOBALG.A.P. standard, AMC, or fully benchmarked scheme, to maintain scheme knowledge and to stay registered in the GLOBALG.A.P. Database.
- b) Witness inspections/audits shall also be acceptable to maintain competency.
- c) Exceptions to this rule, e.g., if the CB does not have a total of 5 clients, shall be discussed with and confirmed in writing beforehand by the GLOBALG.A.P. Secretariat.
- d) These requirements are not valid for those auditors whose main task it is to be part of the certification body decision-making committee.
- e) The CB shall carry out a GLOBALG.A.P. witness audit and/or re-audit for each of its GLOBALG.A.P. auditors at least once every 4 years to verify competence.
- f) Where the witness audit is done remotely using ICT, the relevant clauses of IAF MD4 shall apply.
- g) If it is not possible to maintain competency from one year to the other, 3.4 shall apply.

3.6 Rotation of the auditor

- a) The CB shall have procedures in place to ensure that the same auditor does not inspect a producer (Option 1) for 4 consecutive years (regardless of whether it is an announced or an unannounced audit).



- b) Under Option 2 and Option 1 multisite with QMS, the auditor in the audit team shall rotate (no more than 4 consecutive years to audit the same QMS). However, the inspector(s) in the audit team may remain the same. For example, auditor #1 audits a group QMS in years 1, 2, 3, and 4; in year 5 another auditor (auditor #2) has to do the annual audit. In years 6, 7, 8, and 9 the auditor #1 *may* do 4 consecutive audits again. This also applies for group member inspections.
- c) When the CB has only one auditor in a given country/region, exceptions may be given case-by-case. The exemption period shall last for 12 months.

4 KEY TASKS

4.1 GLOBALG.A.P. QMS Audits

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

NOTE: An auditor qualified in the scope of Fruit and Vegetables can audit the QMS of a group seeking certification for Combinable Crops, however this auditor cannot conduct any farm inspections of the Combinable Crops producers unless qualified for that sub-scope.

4.2 GLOBALG.A.P. Farm Inspections

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

4.3 General

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

4.4 Independence and Confidentiality

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

VERSION/EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of Modifications
180329_GG_GR_HPSS_V1_1_en	140623_hpss_gr_v1_0-en	29 March 2018	<p>Changes to IFA GR V5 from Refer to Edition Update Register of 170630_GG_GR_Part-I_V5_1_en:</p> <p>Modification in 6, Certification Process Addition of Section 7, Farm Assurers Updated Annex I.1 to V5 Updated Annex I.2 1.3 h to delete "it is only possible to country of Destination as North, Central, and South America Addition of Annex GR I.3 Paper Certificate Addition of Annex GR I.4 Definitions Added 5.1.2.3 Unannounced Reward Program Addition of Annex III.1 3.6 Rotation of the Auditor</p>
181218_GG_GR_HPSS_V1_1-1_en	180329_GG_GR_HPSS_V1_1_en	18 December 2018	<p>Annex I.2, 1.3.i – Added Unannounced Reward Program Annex I.2, 1.3.j.xi – Added N/A Annex I.3 – Added Announced and Unannounced checkboxes and corresponding footnote to the certificate template QMS Rules, GR 2 – Updated reference to Flexible Distribution Rule by adding Annex II.2 5.4.2.1 – changed example</p>
190918_GG_GR_HPSS_V1_1-2_en	181218_GG_GR_HPSS_V1_1-1_en	18 September 2019	<p>Clarification of use of HACCP within the standard</p>
200826_GG_GR_HPSS_V1_2_en	190918_GG_GR_HPSS_V1_1-2_en	26 August 2020	<p>Insertion of all General Regulations V5.4-GFS Parts I, II, and III and edited to grey font where not amended. Updated Table of Contents Part I Introduction – clarifications, update to HGAP 2.0, updated link 2 b, d, e – clarifications 2 g – reference to Crops Rules 2.1 – included from GR v5.4-GFS 3 – clarifications, wording changes 3.1, 3.2 – included from GR v5.4-GFS 4.1 – included from GR v5.4-GFS 4.2 – included from GR v5.4-GFS inclusion of HPSS-GGN 4.3.1 – clarifications, update scope to include CC 4.3.2 ,4.3.3 – included from GR v5.4-GFS 5.1, 5.2, 5.3 – included from GR v5.4-GFS Section 6, 7 – included from GR v5.4-GFS, punctuation updates Section 8 – updated acronyms specific to HPSS</p>

200826_HPSS_GR_V1_2_en

New document	Replaced document	Date of publication	Description of Modifications
			<p>Annex I.1, I.2 – included from GR v5.4-GFS, removed QR logo, referenced HPSS-GGN</p> <p>Annex I.3 – updated certificate and notes</p> <p>Part II</p> <p>Sections 1-12</p> <p>2.2 b, 10 a – specific to HPSS</p> <p>Annex II.1-3 – included from GR v5.4-GFS</p> <p>Annex II.2, II.3 – specific to HPSS-GGN</p> <p>Part III</p> <p>Section 1 – included from IFA</p> <p>2.1 – clarification, b included from GR v5.4-GFS, b-d specific to HPSS, g-l included from GR v5.4-GFS</p> <p>2.4 – included from GR v5.4-GFS</p> <p>3.1 – included from GR v5.4-GFS</p> <p>3.2 – included from GR v5.4-GFS, clarification for HPSS exam</p> <p>3.3, 3.4 – included from GR v5.4-GFS</p> <p>Section 4, 5.1, 5.3 – included from GR v5.4-GFS</p> <p>5.3 – included from GR v5.4-GFS, excluded non-applicable requirements, updating numbering from GR v5.4-GFS</p> <p>5.4, 5.5, 5.6 – included from GR v5.4-GFS</p> <p>6.1 – included from GR v5.4-GFS, updated numbering</p> <p>6.2, 6.3, 6.4 – included from GR v5.4-GFS</p> <p>Section 7, 8, 9 – included from GR v5.4-GFS</p> <p>Annex III.1 & III.2 – clarified training (3.2), exam (3.2 c), removed non-appliable requirements (3.2 e, f, g), 3.3 – included from GR v5.4-GFS</p> <p>3.4, 3.5 – included from IFA, updated approval requirements, specific to HPSS</p> <p>3.6 and section 4 – included from GR v5.4-GFS</p>

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

Secretariat: translation_support@globalgap.org.

When the changes do not introduce new requirements to the standard, the version will remain “1.0” and an edition update shall be indicated with “1.0-x”. When the changes do affect compliance with the standard, the version name will change to “1.x”. A new version e.g.: V2.0, V3., etc., will always affect the accreditation of the standard.

Copyright

© Copyright: GLOBALG.A.P. c/o FoodPLUS GmbH: Spichernstr. 55, 50672 Cologne; Germany. Copying and distribution permitted only in unaltered form.