GLOBALG.A.P.
The Global Partnership for Good Agricultural Practice

Certification Program Manual

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d.b.a.
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ABSTRACT
This Certification Program Manual demonstrates and documents Organic Certifiers, Inc. d.b.a. Food Safety Certifiers (FSC)’s procedures for carrying out certification to the current versions of the GLOBALG.A.P. Fruits & Vegetable IFA, PSS & PFA program.
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1. **GLOBALG.A.P. – STAFF AND TRAINING**

1.1. **SCHEME MANAGER.**

The Scheme Manager is the representative before the GLOBALG.A.P. Secretariat and:

(i) Must be fluent in English.

(ii) Must at least qualify as a GLOBALG.A.P Inspector.

(iii) Must be committed to assist in any harmonization activities performed by the GLOBALG.A.P Secretariat.

(iv) Must be part of the operational and/or management decision-making process of the CB.

(v) Shall be responsible for returning to GLOBALG.A.P Secretariat the requested signed reception of any communication requiring written receipt.

(vi) Shall be responsible for communication and administration of users within the GLOBALG.A.P System.

(vii) Shall respond to GLOBALG.A.P operational enquiries as required in the communication. If the GLOBALG.A.P Scheme Manager is not available, a substitute shall assume these responsibilities.

(viii) Shall distribute all communication received from the GLOBALG.A.P Secretariat to all CB staff involved in GLOBALG.A.P Activities in all countries.

(ix) Shall attend the annual Scheme Manager (update) meeting.

1.2. **INSPECTORS AND AUDITORS.**

For carrying out GLOBALG.A.P. inspections and audits, inspectors and auditors must fulfill the GLOBALG.A.P. requirements.

1.2.1 Only those Option 2 auditors who have completed the ‘CB Option 2 Auditor Training’ and passed the exam shall be allowed to carry out Option 2 audits for V4. The training and the exam shall be repeated for each new standard version. Option 2 auditor already registered on 1st January 2011 shall complete the CB Option 2 Auditor Training and pass the exam prior to 1st of January 2012.

1.2.2 Every inspector and auditor shall complete the GLOBALG.A.P Online Training and pass the online tests (including exams of the updates) within 3 months after its release provided that it is available in the inspector's/auditor’s 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.

1.2.3 OC 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.

1.2.4 OC shall verify, record and monitor the requirements set for inspector/auditor qualification including requirements for initial training and for maintenance of competency.

1.2.5 OC shall have in place a system for the on-going calibration and training of its inspectors and auditors.

1.3. **INSPECTOR QUALIFICATIONS**

1.3.1 **Formal Qualifications**

- At least a post-high school diploma or equivalent (minimum course duration of 2 years) must have been obtained in a discipline related to the scope of certification (Crops).
• A post high school diploma with a minimum duration of 2 years in a food related discipline
  AND
• A minimum of 4 years industry experience either in a practical capacity on farm/site or in a technical
  production management role in the relevant scope of certification (Crops and/or Livestock and/or
  Aquaculture). The 4 years shall involve work in the respective scope of Primary production and may have
  been gained simultaneously for more than one scope and/or sub-scope/group according the said table.

1.3.2 Technical Skills and Qualifications

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

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

a) • Training in HACCP principles either as part of formal qualification
  OR
  • By the successful completion of a formal course based on the principles of Codex Alimentarius.

b) • Food hygiene training either as part of formal qualifications
  OR
  • By the successful completion of a formal course for the Integrated Farm Assurance Standard.

c) • GLOBALG.A.P. Online Training, with the successful completion of all online tests and its updates
  within 3 months after its release on the inspector’s language.

 d) • Plant protection, fertilizer and IPM training either as part of formal qualifications
  OR
  • By the successful completion of a formal course.

e) • A minimum of 2 years experience gained after finishing post high school diploma studies mentioned
  in point 2.a., and 3 years overall experience in the agricultural industry except when cl. 2.b. applies
  (where the post high school diploma is not in a discipline related to the scope of certification, in this
  case being 4 years experience). The 2 years shall involve work in the respective scope and may have
  been gained simultaneously for more than one scope and/or subscope/group according the said
  table.

1.3.4 Communication Skills

“Working language” skills in the corresponding native/working language. This must include the locally
used specialist terminology in this working language.

1.3.5 Initial Training Before Sign-Off By OC

• The applicant auditor shall observe minimum one Option 1 producer or one Option 2 producer group
  member inspection.
• OC shall witness (as the minimum) one inspection on an Option 1 producer or one Option 2 producer
  group member by and already qualified inspector or auditor.
• For OC’s first auditor the CB’s internal procedure apply.

1.4. Auditor Qualifications

1.4.1 Formal Qualifications

• At least a post-high school diploma or equivalent (minimum course duration of 2 years) must have been
  obtained in a discipline related to the scope of certification (Crops).
  OR
• A post high school diploma with a minimum duration of 2 years in a food related discipline
  AND
• A minimum of 4 years industry experience either in a practical capacity on farm/site or in a technical
  production management role in the relevant scope of certification (Crops and/or Livestock and/or
Aquaculture). The 4 years shall involve work in the respective scope of Primary production and may have been gained simultaneously for more than one scope and/or sub-scope/group according the said table.

1.4.2 Technical Skills and Qualifications

Lead Assessor Training

• Practical auditing experience of minimum 10 days in management systems (e.g.: ISO 9000, ISO 14000, ISO 22000, OSHAS 18000), BRC Food, IFS Food, previous GLOBALG.A.P. Option 2 or Option 4, producer group audits of organic growers or others). This does not include witnessing or observing of audits, but includes being witnessed or observed as auditor-in-training.

• Successful completion of a Lead Assessor training course based on ISO 19011 principles that must have a minimum duration of 37 hours, and must be externally recognized by the industry. The certificate must specify the course content and duration. Successful completion must be indicated on the certificate.

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

a) • Training in HACCP principles either as part of formal qualification
   OR
   • By the successful completion of a formal course based on the principles of Codex Alimentarius.

b) • Food hygiene training either as part of formal qualifications
   OR
   • By the successful completion of a formal course for the Integrated Farm Assurance Standard.

c) • GLOBALG.A.P. Online Training, with the successful completion of all online tests and its updates within 3 months after its release on the inspector’s language.

d) • Plant protection, fertilizer and IPM training either as part of formal qualifications
   OR
   • By the successful completion of a formal course.

e) • A minimum of 2 years experience gained after finishing post high school diploma studies mentioned in point 2.a., and 3 years overall experience in the agricultural industry except when cl. 2.b. applies (where the post high school diploma is not in a discipline related to the scope of certification, in this case being 4 years experience). The 2 years shall involve work in the respective scope and may have been gained simultaneously for more than one scope and/or subscope/group according the said table.

1.4.4 Communication Skills

• “Working language” skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.

1.4.5 Initial Training Before Sign-Off By OC

a) • The applicant auditor shall observe minimum one Option 1 producer or one Option 2 producer group member inspection AND
   • One Option 2 QMS audit (only OC auditors).

b) • An OC already qualified inspector or auditor shall witness (as the minimum) one inspection on an Option 1 producer or one Option 2 producer group member
   AND
   • 1 QMS audit by an (only OC auditors).

c) • For OC’s first auditor OC’s internal procedure apply.

d) • The Option 2 auditor shall attend a GLOBALG.A.P. ‘OC Option 2 Auditor Training’ and pass the exam for each new standard version.
1.5. **SUBCONTRACTED INSPECTIONS.**

Subcontracted inspection shall only be subcontracted to inspection bodies that are ISO/IEC 17020:2004 accredited or audits to certification bodies that are ISO/IEC Guide 65 or ISO 17065 accredited to a relevant sub-scopes. The sub-contractors shall implement the relevant requirements of the GLOBALG.A.P General Regulations.

Consultancy shall be maintained separate from certification. Consultancy is not provided to overcome barriers of certification. Consultancy is only provided in the form of pre-assessments as specified by food safety scheme requirements, generic training classes and documents that are provided to all clients on how to set up food safety systems and referrals to third party independent consultants for one-on-one client specifics.

1.6. **IN-HOUSE TRAINER.**

1.6.1 OC shall have a sub-scope and version (i.e. version 4) specific CB *In-House Trainer* for each certification decision taken. This person is required to have passed the Train-the-Trainer or ‘CB In-house Trainer Training’ exam for the relevant sub-scope and version. Failing the General Regulations or base modules of the exam requires re-attending a GLOBALG.A.P ‘CB In-house Trainer course and successfully passing the exam within 6 months. The In-house Trainer shall be available in-house; i.e. not hired occasionally by OC.

1.6.2 The In-House Trainer must attend the GLOBALG.A.P ‘CB In-House Trainer Training’ for each scope and pass the exam for each sub-scope that OC issues or plans to issue certificate(s). The person who attends must comply with at least inspector qualification requirements for the respective sub-scope. The training and exam must be repeated for each new standard (CPCC) version.

1.6.3 The In-House Trainer shall be responsible for training all GLOBALG.A.P Auditors and Inspectors (based on GLOBALG.A.P Online Training materials and other normative documents), according to the requirements of the current License and Certification Agreement. The In-House trainer shall also ensure that all of OC’s registered GLOBALG.A.P Auditors and Inspectors complete and pass all the required GLOBALG.A.P Training and tests.

1.6.4 In case of change in personnel, the new In-House Trainer shall complete the required training within 3 months. If this is not feasible the new person shall register at least within 3 months for an upcoming course.

2. **NORMATIVE GLOBALG.A.P. DOCUMENTS**

2.1. **GENERAL REQUIREMENTS**

a) All the points described in the General Regulations are hereby accepted and included as part of OC’s relevant operational document for GLOBALG.A.P Certification of all scopes, sub-scopes and Approved Modified Checklists, and shall be available for accreditation body evaluation. This requirement for Approved Modified Checklists is fulfilled by the compliance of the relevant sub-scope requirements.

b) OC shall meet the following:

(i) Continuously register all employed and/or subcontracted auditors and inspectors in the GLOBALG.A.P Database.

(ii) All qualified GLOBALG.A.P Auditors and/or Inspectors complete the compulsory online and/or face-to-face training requirements set by GLOBALG.A.P in the relevant sub-scope.

(iii) Pay the relevant training fee per registered auditor/inspector according to the latest version of the GLOBALG.A.P Fee Table.

(iv) Pay the annual Certification License and Certificate Fee.
c) OC shall be responsible for communicating to their GLOBALG.A.P registered clients all updates, as well as date of first application and grace period of any new GLOBALG.A.P Versions of normative documents and any edition updates issued by GLOBALG.A.P.

d) GLOBALG.A.P shall be permitted to participate, upon prior notice and at its own cost, in inspections or audits carried out by certification bodies.

e) The information collected by GLOBALG.A.P regarding OC and their activities including records of the Integrity Program and the complaint management system is made available on OC’s Extranet to ABs for facilitating accreditation evaluation.

f) OC 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 Certification Body, in particular withdrawal of accreditation or corporate changes.

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

2.2. Certification Data Communication with GLOBALG.A.P

Data communication with GLOBALG.A.P. shall:

a) Ensure that as soon as OC has made the certification decision, no certificate is issued before the product status is updated to “Certified” in the GLOBALG.A.P Database.

b) Ensure that as soon as a sanction has been issued, the producer’s status must be changed in the GLOBALG.A.P Database to the relevant status (time between issuing the sanction and updating the database must not exceed more than 1 working day)

c) For the status of all other producers, these must be sufficiently updated so as to ensure that the status (see General Regulations Part I, Annex I.3 Producer Statuses in GLOBALG.A.P Database) of a producer on the GLOBALG.A.P Database is up-to-date.

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

3. GLOBALG.A.P. Producer Registration and Acceptance

OC shall follow the GLOBALG.A.P. General Regulations, which shall commence with the registration of the applicant producer as a first step.

3.1. General

a) All production management units (PMU) to be certified shall be registered in the GLOBALG.A.P Database. In the case of Parallel Production, all PMUs for non-certified product(s) shall also be registered in the GLOBALG.A.P Database.

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. Applicants shall demonstrate that they have responsibility for ensuring that products conform to the certification requirements.

d) Certificate and Sublicense is issued to the registered producer, for PMUs 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 a group mass balance system.
3.2. PRODUCER REGISTRATION

a) Producers must register and re-register annually with OC (or Farm Assurer) as the first step towards obtaining a GLOBALG.A.P Certificate.
b) OC and producer shall agree on Service of Notice terms, which must include a commitment by OC to confirm the receipt of formal application for (first) registration within 14 calendar days after OC received the unique GLOBALG.A.P Number (GGN) from the GLOBALG.A.P Database.
c) OC shall set up and explain to its prospective clients its own detailed fee structure, which should specify the relevant GLOBALG.A.P Fees.
d) OC 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.
e) When a producer or producer group that has previously had a GGN applies for registration, OC shall act according to the GLOBALG.A.P Procedure for Transfer between Certification Bodies as set out in section 7 of GLOBALG.A.P. General Regulations Part III Certification Body and Accreditation Rules.
f) When a producer or producer group wants to change to OC, OC 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.
g) When 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) When 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 on that farm is an obligation which the producer or producer group must 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 must observe this.
h) OC shall establish and implement procedures for collecting data updates of the accepted producers, such as PMU or product area changes and inclusion/de-listing of members within a producers group.

4.2.1 Registration Data Requirements

OC shall:
a) Record during registration all the information requested in the General Regulations Part I, Annex I.2 Registration Information.
b) Keep the GLOBALG.A.P Database updated accordingly (as required in the current database manual). This information shall be updated regularly whenever there is a change. It must 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 Release Levels

a) OC must provide the producer or producer group with the different data release levels as described in the GLOBALG.A.P Data Use document available on the website.
b) The level of data privacy must be defined and signed by the Producer/Producer Group during registration with OC. The data owner is responsible to grant and determine the level of the rights for data access. The data owner, however, can transfer the responsibility to other users (e.g. certification body or farm assurer).

3.3. APPLICATION AND CERTIFICATION SCOPE

3.3.1 Integrated Farm Assurance: Fruit and Vegetables

3.3.1.1 Harvest Exclusion

(i) If produce is sold in the field before harvest and the buyer is responsible for harvesting, the Harvesting section (FV.4) in the Control Points and Compliance Criteria can be excluded from the producer’s certificate.
(ii) As long as the harvesting process (whether done by the producer or subcontracted) takes place while the produce belongs to the producer, all points relating to harvest must be included in the inspection and the certificate.

(iii) “Harvest exclusion” applies where the produce does not belong to the producer anymore at some point in time prior to harvest commencing and the producer has no control over the harvesting process. It is also not an activity that is subcontracted by the producer.

(iv) The producer must apply for exclusion per product during registration with detailed justification.

(v) OC shall make the decision as to whether harvesting may be excluded or not based on the following requirements. The producer must have a contract with the buyer that states that the harvester/buyer will:
   a) Take ownership of the produce before harvesting.
   b) Be responsible for ensuring that harvest takes place only after the Pre-Harvest Interval (PHI) has been observed, and
   c) Handle the produce after harvest (not just harvest).
   d) Buy all the produce (Harvest Exclusion is not possible if the producer harvests some part of the crop and sells another part before harvest).

(vi) If the producer does not know the buyer at the time of registration with GLOBALG.A.P:
   a) A declaration from the producer to inform the buyer (new owner which is harvester AND postharvest handler) about the Pre-Harvest Interval (PHI).
   b) A contract with the buyer as soon as he/she has been identified that includes all issues under point (v).

If harvesting is excluded for the producer or producer group, produce handling shall also be excluded for that producer or producer group.

3.3.2 Integrated Farm Assurance: Aquaculture certification cannot be achieved for “wild fish/catch” that are not farmed. GLOBALG.A.P certified aquaculture products cover finfish, crustaceans and molluscs, as well as all stages of the specific species present on the farm, as long as the seedlings are derived from domesticated broodstock under controlled systems (except for the passive collection from the planktonic phase), and the seedlings supply is under commercial status (and not only research status). Post harvest handling under same legal entity shall demonstrate compliance as well for the mass balance and traceability section under the Aquaculture Module in order to achieve certification.

4. GLOBALG.A.P. ASSESSMENT PROCESS

4.1. EXTERNAL INSPECTIONS

a) The inspections shall be carried out by a GLOBALG.A.P Auditor or Inspector who complies with the requirements as set out in Annex III.1

b) OC shall inspect the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s).

c) The inspection shall cover:
   i) All accepted products.
   ii) All registered production locations.
   iii) Each registered product handling site (included in IFA).
   iv) Where relevant, the administrative sites.

4.2. OPTION 1 PRODUCERS

a) One announced external inspection shall be carried out at each applicant during the initial assessment and thereafter once per annum.

4.3. OPTION 2 PRODUCER GROUPS AND OPTION 1 MULTISITES WITH QSM

4.3.1 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 to be relevant and pertinent to the setting up and administration of the QMS as described in Part II must be evaluated.
b) The evaluation process is designed to establish that the group’s QMS and administrative structure meet the criteria and that the internal audits and inspection of producers meet the requirements for competency, independence and accuracy.
c) The evaluation process is divided into two elements:
(i) Audit of the group’s QMS and
(ii) Inspection of a sample of registered producers (see 5.3.2)
d) OC shall send the audit plan to the management of the applicant prior to the audit.
e) OC auditor shall carry out the audits (announced and unannounced) (see CB auditor requirements in Annex III.2).
f) The audit (announced and un-announced) shall be based on the QMS Checklist that is available on the GLOBALG.A.P website.
g) The audit of the QMS or “System Check” will be undertaken at the central office of the group or administrative center for the group scheme.
h) The evaluation process will take one or more days and will 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) Discussion / interviews with key staff
(vi) Closing meeting including review of non-compliances identified
i) As part of the QMS audit, the results of the external and internal audits and inspections will be compared, to identify structural and non-structural non-compliances.
j) The final report and result can only be concluded after both the QMS and the minimum sample of the members are evaluated.

4.3.2 External Inspection of Option 2 Producer Group Member and Option 1 Multisites with QMS

4.3.2.1 Initial Inspection:

a) Before a new certificate can be issued (i.e. initial certification, inspection by a new CB, as a minimum the square root (or next whole number rounded upwards if there are any decimals) of the total number of the producers and production sites/PMUs in the certification scope must be inspected.
b) The final selection and communication to the producer group of which and how many producers/PMUs to inspect shall normally be done by the CB after the QMS audit, using criteria based on the group structure and defined in a sampling procedure, which is risk based. The notification shall normally not exceed 48 hours (2 working days) per producer.
c) Certification bodies shall, based on justifiable criteria increase the verification rate of total numbers of registered producers/PMUs. The producer group has the right to appeal such a decision. Reasons for increase could arise from:
(i) Failure of compliance with 100% Major Must and 95% Minor Must control point on producer member level
(ii) Failure to comply with all QMS and if applicable, all the product handling requirements
(iii) Customer complaints; e.g.: illegal pesticide residue detection
(iv) Inconsistencies between the internal audit/inspection reports and the CB inspection/audit findings
d) 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.
e) A minimum inspection sample size is made by taking a random and shall be based on the square root of the number of registered producers that have been registered for each combination of sub-scope. This will mean that during the inspection of each of these selected producers/PMUs, all the products in that sub-scope combination must be inspected. The square root must be rounded upwards to the next whole number if there are any decimals.
Example 1: An applicant has 4 registered PMUs, and the CB, after the QMS audit, sets the square root as the sample. Therefore, 2 sites (√4) must be inspected at this initial inspection.

Example 2: A group has a total of 64 producers of which 48 seek certification for the sub-scope combination of cattle and sheep, dairy and poultry, and 16 seek certification for the sub-scope combination of cattle and sheep, dairy, poultry and fruit and vegetables. The minimum sample size for each combination of sub-scopes will be √48 + √16 = 7 + 4 = 11 producers to be inspected externally by the CB.

f) Additionally sample size calculation shall be based on the numbers of registered producers separated into subgroup combinations taking into account production type as set out in the following point.

g) Producers will also be classified by production type, within the respective sub-scope and sub-scope combination. These may include, but are not limited to the following examples:

(i) Housed livestock
(ii) Open-field livestock or crops
(iii) Covered/protected crops
(iv) Perennial crops
(v) Fresh water activities (aquaculture)
(vi) Sea sites (aquaculture)

Example 1: If a group of producers (64 in total) is being inspected for GLOBALG.A.P for dairy, cattle and sheep and poultry, and these are all produced in the open field: then the square root of the total number of producers within the group would be the sample size (8).

Example 1.1: If, however, within that group of 64 producers, 16 of them were to produce poultry indoors as well, then the square root of that small group of producers (4) would also be inspected, as they have a different combination of production types. The square root of the 48 (64-16) and the square root of the 16 (4) means that a total of 7 + 4 = 11 producers will be inspected.

Example 1.2: If within that group of 64 producers, there are 16 that additionally have indoor pig production (under GLOBALG.A.P, then the square root of that small group of producers (4) would also be inspected, as they have a different combination of sub-scopes that are GLOBALG.A.P certified, (a total of 7 + 4 + 4 = 15 producers will be inspected).

Example 2: In a producer group with 14 producers where all 14 produce strawberries under protection as well as in open field (i.e. two types of production systems and one product), only 4 producer members need to be inspected.

h) In the case where an Option 2 group has a member with multiple sites, that member shall be taken into account for calculating the sample size and not the amount of sites/PMUs. This member shall have a higher chance to be sampled based on the associated risk. This, however, does not imply that the CB must choose this member for external inspections every year. Provided that the internal inspections covered all the sites/PMUs of this member, the CB shall inspect only the square root of the sites/PMUs of that member. In case that member operated a QMS, it shall be merged with the central QMS of the group, as there can be only one QMS for the group.

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.

4.3.2.2 Surveillance Producer (Option 2) / PMU (Option 1 Multisite) Inspections:

a) OC shall carry out announced external inspections to each producer group and multi-site annually. The minimum number of producers to be inspected per certificate holder depends on the outcome of the previous unannounced inspections and QMS audit.

b) The minimum number of producers/PMUs to be inspected during a cycle shall be equivalent to the square root of the current number of producers/PMUs.

c) The inspections shall be split into two: 50% shall be inspected unannounced during the validity period of a certificate (12 months), and the other 50% during the announced surveillance inspection.

d) These inspections shall be done during 2 separate visits that shall be minimum 30 days apart from each other.

e) Before a certification decision can be made, the square root of the total number of current producer members /PMUs must have been inspected during the last 12 months.
f) Only if the producers inspected externally have no sanctions raised in that surveillance inspection, the following regular announced inspection by the CB will be reduced to the square root of the current number of the producers/PMUs minus the number of producers/PMUs inspected in the surveillance or equivalent 50% of the square root (providing the findings from the quality management system audit carried out at the following regular announced inspection are also favorable to this reduction).

Example 1: Six months after the certificate was issued to Producer Group X (full compliance with QMS audit and 5 farm inspections), the CB inspects 3 (50% of 5 = 3) producers unannounced. If the 3 producers have no non-conformities during this unannounced inspection on the day of the inspection, then the CB will only check 2 (5 minus the 3 already inspected) producers during the following regular announced inspection if the QMS audit during the regular announced inspection does not show any non-conformances. If any non-conformance is raised during the “unannounced” inspection, Group X will be sanctioned accordingly, and no reduction of sample size will result in the next regular announced inspection.

Example 2: In Producer Group Y with 50 members during the initial audit 8 members (square root of 50) and during the following surveillance inspections 4 (0.5 x 8) members need to be inspected. The total number of inspections in the first year is 12. In the next year, where no non-conformances are detected during the unannounced producer inspection the CB need to inspect 4 producers (i.e. 50% square root of 50) and later another 4 (i.e. square root of 50 minus the 4 inspected during the announced) during the unannounced producer inspections.

Example 3: In Producer Group Z 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 need to be inspected. In the next year the total number members decreased to 4, and no non-conformances were detected during the surveillance producer inspection. In this case the CB still needs to inspect 1 producer.

4.4. **Unannounced Surveillance Inspections (Option 1 only) and Audits (QMS only).**

a) OC shall carry out unannounced surveillance:
   (i) Inspections of a minimum of 10% of all its producers certified under Option 1, and
   (ii) QMS audits of a minimum of 10% of all the groups and multisites certified under Option 2.

b) The selection of the 10% must not only take into account total numbers, but also must be calculated 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 the calendar year. The number of unannounced surveillance inspections and audits per year shall reflect 10% of the certificates issued for Option 1 and 2, respectively, in that year.

d) The 10% shall be distributed among the countries where the CB has certificate holders. It must be representative of the countries.

e) The calculation of the 10% shall be done per scope.

f) There shall be a minimum of 1 inspection or audit per year and scope; i.e. if the CB has ≤10 Option 1 certified producers, at least 1 producer must be inspected, or if the CB has ≤10 Option 2 certificate holders, at least 1 must be audited annually.

g) If OC has only one Option 2 certified producer group shall perform an unannounced QMS audit at least every 2 years.

h) CIPRO assessments may count towards the number of unannounced surveillance inspections or audits per year.

i) Unless the GLOBALG.A.P Secretariat has approved a shortened unannounced inspection checklist, the CB shall inspect the Major and Minor Musts of the applicable scope(s) and sub-scope(s). Any non-compliance will be handled in the same way as those found during an announced inspection. This is only true for Option 1.

j) OC shall inform the certificate holder in advance of the intended visit. This notification will normally not exceed 48 hours. 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 or audit. The certificate holder 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.

4.5. **INSPECTION OF PRODUCE HANDLING SITES (OPTION 2, FRUIT AND VEGETABLES, WHERE APPLICABLE)**

a) For the external inspection the square root of the total number of central produce handling sites registered shall be inspected while in operation. If there is only one central produce facility, it shall be inspected every year (i.e. the alternate year’s inspection may occur during a period when the site is not in operation.)

b) Where central produce handling sites are utilized, (i.e. less than one produce handling site per producer group member/PMU), these (using the square root sampling) shall be inspected by OC using the combined QMS and produce handling checklist made available by GLOBALG.A.P. Where the produce handling does not take place centrally, but on the farms of the producer members or the PMUs, this factor shall be taken into account when determining the sample of producers to be inspected.

c) For the internal inspections, every produce handling site must be inspected.

4.6. **EXTERNAL INSPECTIONS AND AUDITS OF BENCHMARKED SCHEMES**

a) Benchmarking: The scheme applying for benchmarking is assessed for equivalence by comparing content and performance criteria against GLOBALG.A.P. Refer to the Benchmarking Regulations for more information.

b) The benchmarked scheme rules are equivalent to the GLOBALG.A.P General Regulations.

c) Benchmark Validation: The individual producer will be the certificate holder once certified. For validating certification, all legal entities shall be registered in the GLOBALG.A.P Database.

d) Scheme Rules: All registered producers/sites/farms certified operate under the Benchmarked Scheme rules.

e) GLOBALG.A.P approved CBs: All certification carried out within a full benchmarked standard must be done by GLOBALG.A.P approved CBs that must be accredited to EN 45011 or ISO/IEC GUIDE 65 or ISO/IEC 17065 to the scope of the benchmarked standard.

f) Frequency: The applicant scheme must ensure verification of producers according to rules for Option 1 and of producer groups/multi-sites with a QMS according to rules for Option 2.

5. **GLOBALG.A.P. CERTIFICATION PROCESS**

5.1. **GENERAL**

a) OC shall make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances.

b) The person who makes the certification decision or at least one member of the certification committee of OC, if such a committee is established and implemented: i) shall comply with auditor qualifications as set out in Annex III.2 for the scope the certificate is being issued regardless if the decision is for an Option 1 producer or regardless if OC does not have any Option 2 clients; ii) shall not have taken part in the inspection and/or audit of the client.

c) OC shall be responsible for the information filed: documentation related to GLOBALG.A.P procedures or GLOBALG.A.P clients must be made available to the AB and to GLOBALG.A.P on request.

d) OC shall be responsible for decisions relating to the granting, maintaining, extending, reducing, suspending and withdrawing of certification. This responsibility shall not be delegated to an outside person or body.

e) On completion of the full evaluation process a full written report will be produced which summarizes the evaluation activity undertaken (date of the inspection, sites and facilities inspected and duration of inspection/audit), provides objective evidence and information on how the producer or the producer group
complies with the requirements of the standard, and where applicable, lists any non-compliances identified.

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” in the compliance criteria field of the checklist, unless specifically indicated in the respective compliance criteria text, must be inspected and commented. In cases of exception where the control point is not applicable, the answer must be given as “yes” with a clear justification.

g) Unless indicated otherwise in the checklist comments (evidences) shall be recorded in the checklist that enables the audit trail to be reviewed after the event and shall include details of references taken during the inspection. It is, however, obligatory to give comments for all the complied, non-compliant and not-applicable Major Musts and QMS control points as well as to all non-compliant and not-applicable Minor Must control points inspected/audited in all external inspections/audits (by OC), self-assessments and internal inspections/audits. 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 give confidence that all the control points have been properly assessed for all sites and products.

h) In Option 2 the evaluation report format will be based on the QMS Checklist (available on www.globalgap.org). The evaluation report will form the basis by which a decision can be made on the award of a certificate to the group.

i) Copies of the report will only be provided to other parties if the applicant provides access by written authorization except to the regulatory authorities and the AB and OC.

j) A certificate is not transferable from one owner or legal entity to another when a production unit changes owner or legal entity.

5.2. **Inspection Duration**

a) The inspection report shall include a recording of the inspection duration.

b) 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 result to the producer right after the inspection has finished.

c) The GLOBALG.A.P Inspection shall normally not be shorter than 3 hours per legal entity (Option 1 producer).

d) The minimum of 3 hours duration shall apply to the most simple circumstances (i.e. one location, one or few crops, simple machinery, few workers, no produce handling, subsequent inspection, documentation is well organized, etc)

e) Option 2 members might have inspections of shorter time duration depending on the complexity of the farming situation.

5.3. **Producer Non-conformance, Sanctions, Suspension, Cancellation**

See also GR Part I. 6.4 Sanctions

a) All corrections and corrective actions will be assessed; with clarification provided to show whether the action(s) taken and evidence provided is sufficient to close the non-compliance.

b) Evidence of the resolution of non-compliances can be provided in the form of documentary evidence and/or photographic evidence as appropriate. Evidences shall be filed and must be made available to GLOBALG.A.P on request.

c) There may be occasions where demonstration of the resolution of a non-compliance can only be confirmed by a further site visit. Where this is required, a charge may result.

d) All non-compliances against a QMS in Option 2 shall be resolved before a certificate can be issued to the group.

e) Satisfactory corrective actions must be completed to achieve approval level on producers and/or PMU level before a certificate can be issued to the group or company.

f) Lifting of a sanction: A sanction will not run out with the cycle, but it stays with the GGN.
g) The outgoing CB can lift the non-compliance of an expired certificate without evidence, but in this case the outgoing CB shall ensure that the accepting CB is fully aware of the cause of the non-compliance.

5.3.1 Open Non-conformance

a) The status “Open non-conformance” is set in the database when:
   (i) A producer or producer group does not comply with 100% Major Must or 95% Minor Must control points within 28 days after an initial inspection. If the cause of the warning is not resolved within three (3) months, a complete inspection must be performed before a certificate can be issued.

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

c) The Letter of Non-compliance may be given to the producer where the producer cannot comply with certain control points due to reasons beyond their control (e.g. force majeure (natural disaster), local legislation.) In the case OC issues a Letter of Non-compliance, the GLOBALG.A.P Logo cannot be used and the CB accepts the liability. The Letter of Non-compliance is not meant to replace or avoid sanctioning of the producers.

5.3.2 Sanctions

See General Rules Part 1, 6.4 Sanctions

5.3.3 Product Suspension

See General Rules Part 1, 6.4.2 Product Suspension

5.3.4 Cancellation

See General Rules Part 1, 6.4.3 Cancellation

5.4. VALIDITY OF GLOBALG.A.P. CERTIFICATE

5.4.1 Paper Certificate Requirements

a) After positive certification decision, OC 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 and PMU/PHUs to which the certificate relates shall be issued in an appendix referred to in the certificate. OC shall keep this list up-to-date.

d) OC or their subcontracted parties shall not issue any communication other than the certificate to or about a producer to demonstrate any status described in GLOBALG.A.P General Regulations Annex II.2 and III.3 unless it refers to a sanction, in which case the producer must be informed.

5.4.2 Maintenance of GLOBALG.A.P. Certification

a) The registration of the producer and the proposed products for the relevant scopes must be reconfirmed with OC annually before the expiry date.

b) For the process of certification to be continued without interruption, the inspector must complete the full checklist and verification process annually.

5.5 RULES FOR USE OF GLOBALG.A.P. AND EUREGAP TRADEMARK AND LOGO
FSC shall verify the correct use of the GLOBALG.A.P. trademark on farms at all times. Infringements of these rules by suppliers could lead to sanctions. See General Rules, Part 1, Annex I.1.

5.6. **Rules for Use of FSC Trademark and Logo**

Certified operations are authorized to use the certification mark adopted by OC/FSC and any truthful reference to certification status as issued by OC/FSC. The mark shall be to the size, color, placement and use specification as approved by OC/FSC. Certified operations are required to obtain pre-approval of labels to ensure conformity.

6. **Independence, Impartiality, Confidentiality and Integrity**

a) In accordance with EN 45011 or ISO/IEC Guide 65 or ISO/IEC 17065, OC is structured to ensure separation of activities that may cause a conflict of interest. All OC 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. Permanently employed staff and subcontracted staff shall not have provided advisory services for applicants for a period of 2 years before and during certification.

b) **Non-Discrimination:** OC does not exclude from participation in, or deny the benefits of, Food Safety programs, to any person due to discrimination on the basis of race, color, national origin, gender, religion, age, disability, political beliefs, sexual orientation, or marital or family status. OC shall accept all applications that fall within its areas of accreditation and certify all qualified applicants to the extent of its administrative capacity to do so without regard to size or membership in any association or group, or conditional upon the size of the supplier or membership in any association or group or upon the number of certificates already issued. OC will not limit accessibility to certification through undue financial considerations. OC does not practice any hidden discrimination of expediting or delaying an application for certification, see Published Fee Schedule.

c) **Confidentiality:** Information relating to the applicant producer including details of products and processes, evaluation reports and associated documentation will be treated as confidential (unless otherwise required by law). No information is released to third parties without the prior consent of the applicant producer unless stated otherwise in the General Regulations or the Sublicense and Certification Agreement.

d) **Data Protection:** Within the framework of the GLOBALG.A.P System, only parties to the system, previously defined, will be authorized to view the data (the producer, OC and GLOBALG.A.P). 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 this. 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 Data Protection Act.

7. **Procedures for Investigating Complaints**

7.1 **Complaints**

Organic Certifiers/Food Safety Certifiers shall acknowledge the receipt of complaints and investigate complaints on non-compliance brought by operators or third parties concerning OC/FSC’s performance or concerning the compliance of certified producers with the applicable standards. OC/FSC will be responsible for gathering and verifying all necessary information (as far as possible) to process the complaint to a decision. Complaints shall be submitted in writing with supporting evidence to document the complaint. Complaints will be dealt with in a timely and efficient manner. Organic Certifiers/Food Safety Certifiers shall investigate all complaints by persons designated by the Executive Director who were not involved with the inspection, certification decision, and present no other direct or indirect conflict.
of interest. The Executive Director shall be responsible for communicating the final decision to the appropriate authorities or persons of interest, applicant/certified operator and complainant.

7.2 Resolution

When a complaint is resolved, a documented resolution shall be made. If known, the complainant shall be informed of the general outcome of the complaint in a way which does not prejudice the confidentiality of the party.

7.3 Complaints to Certified Producers

Certified producers shall take appropriate action on complaints made to their own operations, keep a record of all complaints made and document all actions taken. Said records shall be subject to review by Organic Certifiers/Food Safety Certifiers. A copy of all complaints and actions taken shall be required to be filed with Organic Certifiers/Food Safety Certifiers.

8. DISPUTES AND APPEALS

8.1 Due Process

Certified operators have the right to due process regarding disputes arising from certification decisions and actions related to certification.

8.2 Appeals

An applicant or certified operator may appeal a decision regarding certification. Upon receipt of an appeal, Organic Certifiers/Food Safety Certifiers will confirm the appeal relates to certification and issue an acknowledgement receipt of appeal. Organic Certifiers/Food Safety Certifiers will be responsible for gathering and verifying all necessary information (as far as possible) to progress the appeal to a decision. An appeal by an applicant or certified operator to a decision on certification shall first be submitted to the Certification Committee for reconsideration. The Certification Committee shall consist of OC/FSC personnel who were not involved with the inspection, certification decision, and present no other direct or indirect conflict of interest. The Executive Director shall be responsible for communicating this final decision to the applicant/certified operator.

9. COOPERATION WITH OTHER INSPECTION AND CERTIFICATION BODIES

OC shall cooperate with other inspection and certification bodies as relevant to GLOBALG.A.P. standards, including, but not limited to, requirements for Transfers Between Certification Bodies, as outlined in Part III, Section 7. Any agreements or communications with other inspection and certification bodies shall require that all OC personnel 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. Confidentiality: Information relating to the applicant producer including details of products and processes, evaluation reports and associated documentation will be treated as confidential (unless otherwise required by law). No information is released to third parties without the prior consent of the applicant producer unless stated otherwise in the General Regulations or the Sublicense and Certification Agreement.
10. LABORATORY TESTING

Independent laboratory testing is not generally utilized by OC; however, OC shall ensure that specified controls are in place at the supplier’s testing facilities that they are managed in a manner which provides confidence in the results obtained from the tests, and that records are available to justify the confidence.