

GLOBALG.A.P.

(EUREPGAP)



General Regulations Integrated Farm Assurance

VERSION 3.1_Nov09

PART I | GENERAL INFORMATION

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1 GLOBALGAP (EUREPGAP) NORMATIVE DOCUMENTS

This document explains the structure of certification to GLOBALGAP (EUREPGAP) Integrated Farm Assurance, and the procedures that should be followed in order to obtain and maintain certification. It details the duties and rights of the GLOBALGAP Secretariat, certifiers, and producers seeking certification.

The **scope** of the Integrated Farm Assurance is separated into a modular structure and covers the production destined for human consumption of Crops, Livestock and Aquaculture. It also covers the safe production of Flowers and Ornamentals (as a sub-scope under the Crops scope). See 4.9.1 for definitions of scope and sub-scope.

GLOBALGAP (EUREPGAP) is a set of normative documents, which covers the General Regulations (this document), the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria and GLOBALGAP (EUREPGAP) Checklists.

The version, GLOBALGAP (EUREPGAP) General Regulations Integrated Farm Assurance V3.1-Nov 09 becomes valid from the 20 of November 2009 (see point 4.1 for transition period information).

1.1 The General Regulations

The General Regulations document describes the basic steps and considerations involved for the applicant producer to obtain and maintain GLOBALGAP (EUREPGAP) certification, as well as the role and relationship of producers, GLOBALGAP and the CBs.

The document is divided into five different parts:

PART I:	GENERAL INFORMATION
PART II:	CERTIFICATION BODY RULES
PART III:	PRODUCER GROUP (OPTION 2) CERTIFICATION
PART IV:	BENCHMARKING (OPTIONS 3 & 4)
PART V:	TRAINING REGULATIONS

Part I, General Information, the base document, contains information important to **all GLOBALGAP (EUREPGAP) interested parties**, as it explains what GLOBALGAP (EUREPGAP) is, describes the certification process, the rules of certification, training etc. **Producers** shall familiarize themselves with this part.

Part II, Certification Body Rules, contains important information for **Certification Bodies** (CB) (including a guideline on how to inspect a producer group) and **Accreditation Bodies** (AB).

Part III, Producer Group Certification, explains what a Producer Group is and how it must function. It is therefore important information for all **producer groups, CBs and ABs**.

Part IV, Benchmarking, explains GLOBALGAP (EUREPGAP) certification for those schemes that have been found to be technically equivalent to GLOBALGAP (EUREPGAP). All parties interested in benchmarking and producers of a **Benchmarked Scheme**, as well as all **CBs and ABs** must be familiar with this part.

Part V, Training Regulations, is important to all members interested in becoming **GLOBALGAP (EUREPGAP) Approved Trainers**, or already approved trainers as it describes the requirements, application, and approval of trainers.

For definitions of terms used in the General Regulations and Control Points and Compliance, please refer to Annex I.1

The term “shall” is used throughout this document to indicate those provisions which, reflecting the requirements of GLOBALGAP, are mandatory.

1.2 Control Points and Compliance Criteria

Contains all the Control Points and Compliance Criteria (CPCC) that must be followed by the producer/group and which are audited to verify compliance. This document is divided into modules, listing for each scope and sub-scope the control points, compliance criteria and the level of compliance required for each point. The levels can be Major Must, Minor Must or Recommendation.

1.3 Checklists

Checklists replicate the Control Points in the CPCC, and are therefore also composed of modular sections (called “modules”). There are three checklist types in GLOBALGAP (EUREPGAP):

- a) The checklist used for inspection of producers, which contains all the control points and must be used during inspection by the CB. The checklist can also be used by the producer/group when performing the self-assessments.
- b) The QMS Checklist used for auditing producer group Quality Management Systems, which contains all the requirements detailed in Part III – Group Certification, must be used during audits by the CB. The producer group when performing internal Quality Management Systems audits can also use this checklist.
- c) The Benchmarking Cross-Reference Checklist (BMCL) or the Approved Modified Checklist (AMC) used by applicant scheme owners applying for benchmarking against GLOBALGAP (EUREPGAP) to show equivalence (See GLOBALGAP (EUREPGAP) General Regulations PART IV Benchmarking (Options 3 & 4).

1.4 Other

In **addition to these normative documents**, guidelines for dealing with general interpretation and application of control points and guidelines dealing with specific geographic and cultural differences may be approved and issued by the relevant Sector Committee (SC), with support from the recognised GLOBALGAP (EUREPGAP) National Technical Working Groups (see 4.7). Also GLOBALGAP Approved Modified Checklist documents (as result of the benchmark procedure) are adopted as GLOBALGAP (EUREPGAP) normative documents and shall be certified against Options 1 & 2 rules (See 5.1 and 5.2). Transition and implementation rules will be set within the guidelines, and application is mandatory for all CBs and producers operating within the defined application scope of the guideline. Where necessary, the SCs will combine interpretations common to national interpretation guidelines to develop a global guideline.

All normative documents, as well as additional guiding documents are available, free of charge, on the GLOBALGAP website (www.globalgap.org).

2 GLOBALGAP (EUREPGAP) TERMS OF REFERENCE

“The Global Partnership for Good Agricultural Practices”

To respond to consumer concerns on food safety, environmental protection, worker health, safety and welfare and animal welfare by:

- (i) Encouraging adoption of commercially viable farm assurance schemes, which promote the minimization of agrochemical and medicinal inputs, within Europe and worldwide.
- (ii) Developing a Good Agricultural Practice (G.A.P.) framework for benchmarking existing assurance schemes and standards including traceability.
- (iii) Providing guidance for continuous improvement and the development and understanding of best practice.

- (iv) Establish a single, recognised framework for independent verification.
- (v) Communication and consulting openly with consumers and key partners, including producers, exporters and importers.

3 INTRODUCTION

3.1 What is GLOBALGAP (EUREPGAP)?

- (i) GLOBALGAP (EUREPGAP) is a private sector body that sets out voluntary standards for the certification of production processes of agricultural (including Aquaculture) products around the globe.
- (ii) GLOBALGAP (EUREPGAP) is a global scheme and a reference for Good Agricultural Practice (G.A.P.), which is managed by the GLOBALGAP Secretariat.
- (iii) FoodPLUS GmbH, a non-profit industry owned and governed organisation, legally represents the GLOBALGAP Secretariat,
- (iv) GLOBALGAP (EUREPGAP) is an equal partnership of agricultural producers and retailers that want to establish certification standards and procedures for Good Agricultural Practices (G.A.P.).
- (v) GLOBALGAP (EUREPGAP) provides the standards and framework for independent, recognised third party certification of farm production processes based on EN45011 or ISO/IEC Guide 65. (Certification of the production process – cropping, growing, rearing, or producing - of products ensures that only those that reach a certain level of compliance with established GAP set out in the GLOBALGAP (EUREPGAP) normative documents are certified.)
- (vi) GLOBALGAP (EUREPGAP) Integrated Farm Assurance standard is a pre-farm gate standard that covers the certification of the whole agricultural production process of the product from before the plant is in the ground (origin and propagation material control points) or from when the animal enters the production process to non-processed end product (no processing, manufacturing or slaughtering is covered). The objective of GLOBALGAP (EUREPGAP) certification is to form part of the verification of Good Practices along the whole production chain.
- (vii) GLOBALGAP (EUREPGAP) is a business-to-business tool and is therefore not directly visible to the final consumer.
- (viii) The GLOBALGAP (EUREPGAP) logo and Trademark have restricted use. See Appendix I.1 for rules on the use of the GLOBALGAP (EUREPGAP) Trademark and Logo.

Participation is voluntary and based on objective criteria. GLOBALGAP (EUREPGAP) is not discriminatory to Certification Bodies and/or farmers.

3.2 Membership

GLOBALGAP (EUREPGAP) membership is voluntary and independent from certification (for producers) or approval as a GLOBALGAP (EUREPGAP) approved certifier. GLOBALGAP (EUREPGAP) is an open system, where any producer can apply and receive certification when complying with the objective criteria set out. Members show additional commitment to shape and improve GLOBALGAP (EUREPGAP) as active partners. Members also enjoy additional benefits.

3.2.1 Available Membership

- **Retailer Membership**
Retailers and Foodservice organisations interested in supporting and developing GLOBALGAP (EUREPGAP) standards. Members can be nominated and elected to the Board, Sector Committees and the Integrity Surveillance Committee.
- **Supplier Membership**
Supplier (for the scopes of Crops, Livestock and/or Aquaculture) that are interested in showing more commitment to GLOBALGAP (EUREPGAP) than receiving certification.

Members can be nominated and elected to the Board, Sector Committees and the Integrity Surveillance Committee.

- **Associate Membership**

Certification Bodies, Consulting companies, Plant protection or Fertiliser Industries, Universities, etc. and their associations. Certification Body members can be nominated and elected to the Certification Body Committee.

NOTE: Applicable fees and application forms are available at www.globalgap.org

3.2.2 Membership Benefits

- Being visible active member of the major global platform for setting standards for Good Agricultural Practices worldwide
- Right to participate in and contribute to the various Committees and National Technical Working Groups
- Discounts for GLOBALGAP (EUREPGAP) seminars, workshop and brochures
- Display of member organisation logos and names in GLOBALGAP (EUREPGAP) publications, reports, flyers, conferences, events and trade fairs.
- Internet link from the GLOBALGAP web page to the organisation websites
- Invitation to special GLOBALGAP (EUREPGAP) meetings
- Input into the continued technical improvement of the GLOBALGAP (EUREPGAP) standards
- First-hand information on the developments in the sector (member news).
- Become an official GLOBALGAP Train-the-Public Trainer.
- Access to unprotected versions of the checklists and the Control Points and Compliance Criteria.
- Access to customized statistics and client-based monitoring tools of the GLOBALGAP database as they become available.
- Producer groups can apply for a discount equal in amount to the Option 2 producer registration fees paid in the previous calendar year by the producer group, up to the total annual membership fee
- Certification Body members are eligible to be co-exhibitor with GLOBALGAP at trade shows and events
- Certification Body members are eligible for one three-hour, one-to-one coaching/training voucher per year (e.g. database, interpretation on compliance with General Regulations, etc.)

3.2.3 Governance

Governance (see Figure 3.2.3) is by the GLOBALGAP Board, elected by the retailer and supplier members and is chaired by an independent chairman, nominated and elected by the Board. The Board agrees on the vision and short- and long-term activity plan of the organisation.

The Sector Committees (SC), also elected by the retailer and supplier members, are established for the different sub-scopes of the Integrated Farm Assurance standard. These sector committees work mainly on the technical side of the standard, and together with input from the Certification Body Committee, develop and maintain the Control Points and Compliance Criteria.

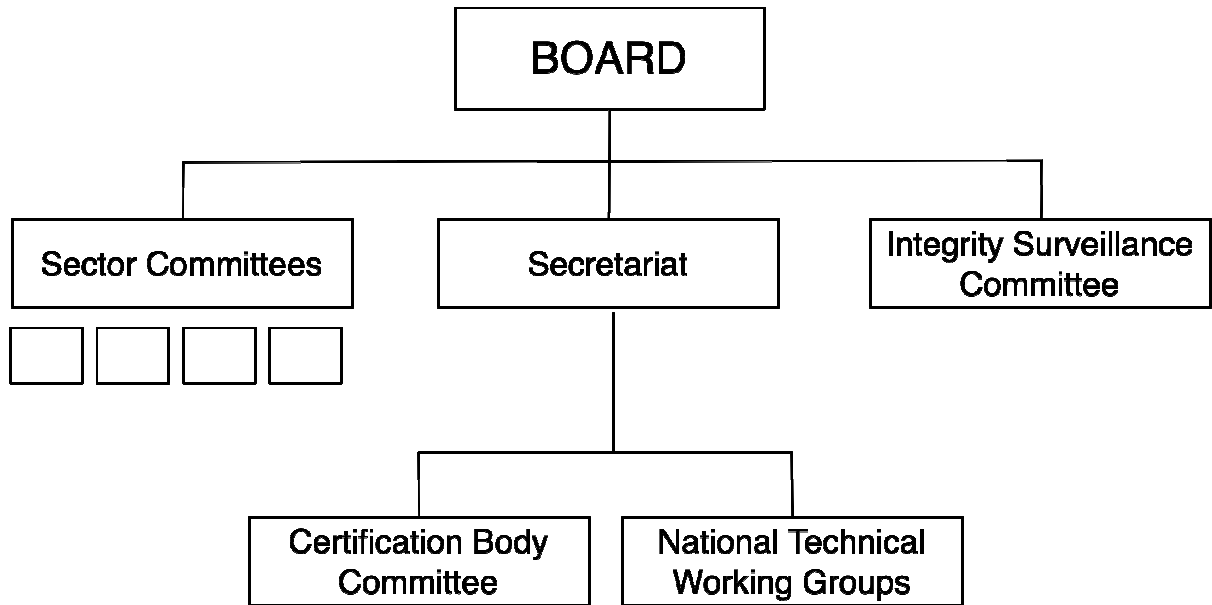


Figure 3.2.3 GLOBALGAP Governance.

The Integrity Surveillance Committee, whose members are acting impartial and in an objective way, will guide and support the GLOBALGAP Secretary in the CIPRO and BIPRO activities. GLOBALGAP appoints the 3 regular members (one GLOBALGAP retailer member, one GLOBALGAP supplier member and one independent member). The Integrity Surveillance Committee combines the knowledge and experience of the producers and the retailers regarding standards and certification procedures.

The Certification Body Committee (CBC) is open to all Certification Bodies that are GLOBALGAP associate members and ISO/IEC Guide 65 accredited to at least one GLOBALGAP scope. Each CB can send up to one representative per scope (preferably the Scheme Manager) to all CBC meetings. The CBs elect one chairperson and for each scope a vice-chairperson. The elected chairperson and vice-chairpersons preside the respective meetings and act as GLOBALGAP/CBC liaison persons.

The main function of the CBC is to propose improvements regarding the GLOBALGAP system (i.e.: integrity, implementation and interpretation issues, CB operations, database development, etc.).

(All committees are elected for a period of four years and the Terms of Reference document for each committee is available on the GLOBALGAP website.)

The Executive Management of the GLOBALGAP Secretariat, its Managing Director, represents GLOBALGAP (EUREPGAP) before the Board.

4 GENERAL RULES

4.1 Introduction of New Version

This normative document (GLOBALGAP (EUREPGAP) General Regulations Integrated Farm Assurance V3.1-Nov09 Parts I to V) will become obligatory 1 March 2010. The GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria Integrated Farm Assurance V3.0-1-Sep07 and the GLOBALGAP (EUREPGAP) Checklist Integrated Farm Assurance V3.0-1-Sep07 and any other documents released by GLOBALGAP (EUREPGAP) as normative and related to this version, **came into force on the 1st of September 2007.**

4.2 Other Languages

The English language edition of this and other GLOBALGAP (EUREPGAP) documents are the original editions. GLOBALGAP (EUREPGAP) documents will be translated into other languages and published on the GLOBALGAP website. Once published, these official GLOBALGAP (EUREPGAP) documents will be the only ones that may be used for GLOBALGAP (EUREPGAP) certification in that language. Translated documents will be identified as having normative status after a thorough translation review. Until the translations reach the normative status, the sentence “please refer to the English version in case of doubt” will be written on each sheet of the translated documents, in the respective language.

Accreditation may be sought and obtained by CBs in other languages only against documents with normative status recognised in this way.

4.3 Official Communication Updates

From time to time, when necessary, GLOBALGAP (EUREPGAP) will issue edition updates to this General Regulations document or its annexes. All modifications shall be indicated in the “Editions Update Register” at the back of the modified document. The version name shall indicate the date of publication and the “Edition Update Register” shall indicate the date when the new document comes into force.

- For detailed information of the modifications please contact the GLOBALGAP Secretariat for the History document.
- When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “3.-x” (e.g. “3.0-1”).
- When the changes do affect the accreditation of the standard, the version name will change to “3.x”. (e.g. “3.1”)

The updates will be sent to all GLOBALGAP (EUREPGAP) approved CBs as official communications, and will form part of the normative document and must therefore be followed. It is the responsibility of the CBs to inform their clients of such updates and any other relevant normative documents (e.g. National Interpretation Guidelines).

4.4 Applicants

Any **producer*** of primary agricultural products, which the Integrated Farm Assurance standard covers may apply for GLOBALGAP (EUREPGAP) certification through a GLOBALGAP (EUREPGAP) approved Certification Body.

**In this document, the term “producer” refers to individual producers as well as producer groups.*

For GLOBALGAP (EUREPGAP) certification, the term “producers” is defined as follows:

A person (individual) or business (individual or producer group) representing the production of the products, relevant to the scope (Crops, Livestock or Aquaculture), who has the legal responsibility for the products sold by that farming business.

4.4.1 Rights of Producers

- (i) The CB and producer will agree on Service of Notice terms, which must include a commitment by the CB to confirm the receipt of formal application for (first) registration within 14 calendar days after the CB received the unique GLOBALGAP Number (GGN) from the GLOBALGAP database (refer to point 4.8), and to make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances.
- (ii) The service contract between the CB and producer may have an initial duration of up to 3 years, with subsequent renewal or extension for periods up to 3 years.
- (iii) Any complaints or appeals against CBs will follow the CB’s own complaints and appeals procedure which each CB must have and communicate to its clients. In case the CB does not respond adequately, the complaint can be addressed to the GLOBALGAP Secretariat

- using the GLOBALGAP (EUREPGAP) Complaints Extranet, available on the GLOBALGAP website (www.globalgap.org)
- (iv) A producer may apply to different certification options (*See 5. for explanation of Options*) within the same sub-scope, but **may not** apply to different options for the same product (see Annex I.2 for list of products within the GLOBALGAP (EUREPGAP) context).
- e.g. Possible: Register Apples under Option 1 and Cherries under Option 2.
 - Possible: Register Cattle under Option 1 and Sheep under Option 4.
 - Possible: Register Bananas under Option 2 and Cattle under Option 1.
 - Possible: Register Melons under one Option 2 and peaches under another Option 2
 - Possible: Register Apples under Option 2 and Cucumbers under Option 3.
 - Possible: Register Apples under Option 1 and Cucumbers under Option 1
 - Impossible: Register Salmon under both Options 1 and 3.
 - Impossible: Register Lemons under both Options 1 and 4.
- (v) The CB that has lost its GLOBALGAP (EUREPGAP) approval (through sanction enforcement, bankruptcy, or other reasons) shall contact the producer and inform the producer about his/her right to require the CB to annul the sub-licence agreement and transfer the valid certificate to another CB. Where CB would fail to do so, GLOBALGAP will inform the producers using the contact details registered in the GLOBALGAP database.
- (vi) A producer may change from one CB to another CB (unless a sanction is pending by a CB, see point 6.2), and the CBs shall follow the rules set in Annex II.1 “Transfer between CBs”. This will not allow the producer to avoid paying the registration and other applicable fees owed to the “outgoing” CB.
- (vii) A producer may apply to one CB for certification of one product, and to another CB for another product, under the following circumstances:
- a) If the producer seeks certification for more than one product under more than one option or even the same option (as explained in point (iv) above) or
 - b) If the producer participates in more than one certified producer group; (e.g. cattle under one producer group and poultry under another with another CB) or
 - c) If the producer seeks certification across scopes and/or sub-scopes (e.g. across scopes - Crops scope (bananas) and Livestock scope (cattle) or within sub-scope – Fruit and Vegetables (apples and cucumbers) or within Crops scope - Fruit and Vegetables and Combinable Crops).
- See 4.4.2.vi for producer obligations in this case.
- (viii) A producer/producer group is able to ask voluntarily from the respective CB(s) for a suspension of one, several or all of the products covered by the certificate (unless a sanction is pending by a CB, see point 6.2). This can happen if the producer experiences difficulty with compliance to the standard and needs time to close any non-compliance out. This suspension will not delay the renewal date, nor will it allow the producer to avoid paying registration and other applicable fees. The producer’s status shall change to “self-declared suspension” on product level.
- (ix) Confidentiality: GLOBALGAP and GLOBALGAP (EUREPGAP) approved CBs will treat any information relating to the producer, including details of products and processes, evaluation reports and associated documentation as confidential (unless otherwise required by law). No information is released to third parties without the prior written consent of the producer, except where stated otherwise in this General Regulations document.

4.4.2 Obligations of Producers

- (i) The certificate holder (individual producer in Option 1 or producer group in Option 2) is responsible for compliance of the certified production processes for different products to the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria and General Regulations within the declared extent of the certificate scopes.
- (ii) Producers must register with an approved CB (or Trustee, see 4.6) as the first step towards obtaining a GLOBALGAP (EUREPGAP) certificate.

- (iii) Producers who are sanctioned by their currently contracted CB cannot change that CB until that CB (the “outgoing” CB) closes out the corresponding non-conformance, or until the sanction penalty period is over.
- (iv) Members of a producer group are allowed to leave the group and register with another group with any of the products that have been registered before under the following conditions:
 - a) There isn't any pending sanction on the group member issued by the group or any issues, relevant to a producer group member, raised by the CB that have not been closed out,
 - b) The contract between the group and the member is respected,
 - c) When the group has ceased to exist and/or is cancelled by the CB
 - d) Or in special cases where FoodPLUS needs to agree on, case by case
- (v) An accepted producer that changes CB, or applies to a new CB for certification of a different product, must communicate the unique GLOBALGAP number (GGN) assigned by GLOBALGAP, to the CB applied to.
- (vi) When a producer makes use of the service of different CBs as explained in 4.4.1(vii) the producer **must**
 - a) Apply during registration to the GLOBALGAP Secretariat for approval through the CB. This will be treated as an exception and the GLOBALGAP Secretariat shall permit it based on a valid justification.
 - b) Agree in writing to inform the relevant CBs if one of the CBs issued a sanction (and all detail of the sanction, i.e. non-conformance, time limit for corrective action, etc.) and also to allow open communication between the CBs regarding the scope and details of actions to be taken across CBs (if any).
 - c) Agree in writing to allow GLOBALGAP to share information on non-conformances and sanctions between the relevant CBs.
 - d) Assign one CB to be responsible for collection of the registration fee or for granting this role to a chosen trustee (see 4.6). The CB must accept this responsibility in the database.
- (vii) Accepted producers are responsible for communicating data updates to CBs according to the internal procedures of each CB, such as farm or product area changes and inclusion/de-listing of members within a producers group.
- (viii) Producers must commit themselves to follow the requirements established in this General Regulations document, including annual payment of the registration fee established by GLOBALGAP, and declare this in a signed document held by the CB.
- (ix) Producers applying for GLOBALGAP (EUREPGAP) must specify, at registration and acceptance, **all** locations and areas where the product that they are seeking certification for, is grown/produced or transported from and handled (where applicable) under their ownership.
- (x) Producers who signed a contract with a CB, are obliged to pay the invoices from CB. If payments are not done following contractual conditions, the product will be completely suspended until time of payment.
- (xi) Producers shall ensure that any services subcontracted to third parties are carried out in accordance with the requirements of the GLOBALGAP (EUREPGAP) standard (see control point AF.3.6.1).
- (xii) Where subcontractors (such as plant protection product applicators, harvesters, or other agronomic activities subcontracted by the producer, see also Annex I.1 Definitions) have been assessed by a 3rd party certification body which is GLOBALGAP (EUREPGAP) approved, the producer shall receive a report from that certification body where the following information is included:
 - a) Date of assessment
 - b) CB
 - c) Inspector/auditor name
 - d) Name and address of subcontractor
 - e) GLOBALGAP Control Points covered AND the outcome – a complete list of the Control Points with the “yes” or “no” response to each control point and comments so that it can be used in the calculation of the producer's compliance. Only CPCC

relevant to the subcontracted tasks will have been assessed, therefore “N/A” is not applicable.

This report could suffice to comply with AF.3.6.1.

In all other cases where the subcontractor has not been assessed by a 3rd party certification body, the producer or the subcontractor needs to supply a self-assessment as required in AF.3.6.1.

4.5 Certification Bodies

4.5.1 Approved Certification Bodies

GLOBALGAP (EUREPGAP) approved CBs are accredited through an Accreditation Body (AB) for EN 45011 or ISO/IEC Guide 65 to the relevant scope(s) or the relevant benchmarked scheme scope(s). Approved CBs must follow GLOBALGAP (EUREPGAP) rules and have signed a Certification and Licence Agreement with GLOBALGAP.

Information on CB status (approved or provisionally approved) is available on the GLOBALGAP website and it is the responsibility of the producers to verify whether the chosen CB appears on the website.

Each CB sets up and explains to its prospective clients its own detailed fee structure, which should specify the relevant GLOBALGAP fees.

For detailed information on approved CB requirements as well as auditor and inspector qualifications, please see General Regulations Part II: Certification Body Rules.

More information for CBs interested in approval to inspect benchmarked schemes is available in General Regulations Part IV Benchmarking (Options 3 &4).

4.6 Trustees

4.6.1 Approved Trustees

GLOBALGAP approved Trustees are organisations (e.g. CB, producer group organisations, standard owners, consultants, etc.) that have signed a Licence agreement with GLOBALGAP and acquired the right from producers to upload and/or register these producer activities in the GLOBALGAP database.

The service includes first registration and any modifications as well as settings of links in the database. The approved Trustee must be granted these rights in writing from the producer or other legal entity in the GLOBALGAP system.

4.6.2 Trustee Roles

GLOBALGAP (EUREPGAP) approved Trustees for individual producers are per default the CBs.

Any other organisation may apply to, and sign an agreement with the GLOBALGAP Secretariat to perform a Trustee role in the GLOBALGAP system. Once assigned, he/she can receive trustee rights, also transferred from a CB for a producer/producer group, where that producer/producer group is already registered with the CB and agrees in writing with the transfer.

The Trustee is also responsible to GLOBALGAP for timeliness of registration data updates of assigned producers.

GLOBALGAP (EUREPGAP) registration fees of these producers are invoiced to the Trustee. Only CBs are allowed to accept products in the GLOBALGAP database. The acceptance of products is the trigger of the registration fee.

4.7 National Technical Working Groups

GLOBALGAP (EUREPGAP) seeks to gain qualified input from national experts in their own language with respect to interpretation as well as specific legal and structural conditions within the different areas covered by GLOBALGAP (EUREPGAP). The establishment of GLOBALGAP (EUREPGAP) National Technical Work Groups (NTWG) is one important step towards this goal. Any interpretation guidelines developed by an NTWG shall go through Sector Committee approval before becoming normative in the specific country.

The groups work in close cooperation with the GLOBALGAP Secretariat and the GLOBALGAP (EUREPGAP) Committees and support as well as facilitate the GLOBALGAP (EUREPGAP) implementation and continuous improvement based on the specific interest area needs.

The GLOBALGAP (EUREPGAP) NTWG is the platform to harmonise certification activities within the region and scope. For the GLOBALGAP Secretariat the Group will be the direct link in the country and the first contact point.

The Terms of Reference is published on the GLOBALGAP website for more information on the operation and roles of these groups.

4.8 Registration and Acceptance

All relevant information concerning producers applying for GLOBALGAP (EUREPGAP) certification must be recorded for the producer to become GLOBALGAP (EUREPGAP) registered for Option 1, 2, 3 and/or 4. This information will be used by GLOBALGAP (EUREPGAP) to supply the registered party with a unique GLOBALGAP number (GGN), which will be used as a unique identifier for all GLOBALGAP (EUREPGAP) activities. The registration information includes general information and producer registration information. See Annex I.3 – GLOBALGAP (EUREPGAP) Registration Data Requirements for detailed description of the required information. Registration is complete when all registration information is entered and accepted. All products of which the production process is to be certified shall be in the product status “Accepted”.

During registration producers and producer groups give access to FoodPLUS and the certification bodies to use the registration data for internal processes and sanctioning procedures. Unless explicitly denied by the producer/producer group, GLOBALGAP members will have access to additional data, above and beyond the data available in the minimum release (see Annex I.3).

If a producer does not agree to the minimum release, the producer is not in agreement with the Sub-Licence and Certification Agreement and cannot be certified nor belong to a producer group seeking certification.

4.8.1 Registration Acceptance

The registration and acceptance process **must** be finalized, **before** inspection can take place, unless an exception is specifically mentioned in the General Regulations (see Annex II.1)

For the registration to be accepted, the producer **shall** have:

- (i) signed the Sublicence and Certification Agreement between the CB and the producer, OR the producer shall explicitly acknowledge the receipt and the inclusion of the Sublicence and Certification Agreement with his/her signature on the certification service contract/agreement with the CB and the CB must hand over a copy of the Sublicence and Certification Agreement to the producer.
- (ii) been assigned a GLOBALGAP number (GGN), as well as any registration number the CB may assign,
- (iii) agreed to pay the GLOBALGAP (EUREPGAP) registration fee as explained in the current GLOBALGAP Fee Table (available on the GLOBALGAP website).

4.9 Certification process

4.9.1 The Control Points and Compliance Criteria (CPCC) document

The GLOBALGAP (EUREPGAP) IFA CPCC document is separated into different modules, each one covering different areas or levels of activity on a production site. These sections are grouped into:

1. “**Scopes**” covering more generic production issues, classified more broadly (All Farm Base, Crops Base, Livestock Base and Aquaculture Base).
2. “**Sub-scopes**” covering specific production details, classified per product type (Fruit and Vegetables, Combinable Crops, Coffee (green), Tea, Flowers and Ornamentals, Cattle & Sheep, Pigs, Dairy, Poultry, Turkey, Salmon, Trout, Shrimp, Tilapia and Pangasius and any sub-scopes that might be added during the validity period of this document).

The sub-scope modules applicable depend on the certificate scope applied for.

It is not possible to certify the respective sub-scope without also verifying compliance to the applicable scope. The inspection of compliance criteria of the scope must be interpreted according to the sub-scope applied for. Any certification applied for that introduces additional sub-scopes into an existing certificate must have the scope inspected taking into account the additional sub-scopes concerned.

The scopes are automatically coupled to the sub-scopes according to the choice of sub-scopes applied for.

e.g. 1: the certification of Pigs automatically involves the certification audit of the All Farm Base and the Livestock Base.

e.g. 2: the certification of Tea automatically involves the certification audit of the All Farm Base and the Crops Base.

e.g. 3: the certification of Salmon automatically involves the certification audit of the All Farm Base and the Aquaculture Base.

NOTE: Where the sub-scope applied for is Dairy, the sub-scope Cattle & Sheep must also be inspected.

It is possible for some sections as a whole to be not applicable; such as the control points on Outdoor Poultry Production (PY.6) if no Outdoor Poultry production occurs, or Final Produce Packing at Point of Harvest (FV.4.2) in Fruit and Vegetable production if there is no final packing in the field.

For more information on the structure and modular approach, please read the introduction at the beginning of the CPCC document.

4.9.2 Inspection timing

The inspection of a producer is linked to the registration (no inspection can take place until the CB has accepted the producer's registration or re-registration, which must be done on an annual basis - for more information on registration see Annex I.3), but has a different timing according to whether it is an initial (first) or subsequent inspection for a CB with a given producer, and depending on the product to be inspected. This is explained below.

Each production process for products registered and accepted for certification for the first time **must be completely assessed** (all applicable control points must be verified) **prior to issuing the certificate**.

4.9.2.1 Crop Certification

(i) Initial (First) inspections

All records to be externally inspected in the first year shall go back three months before the date of first harvest after registration is completed, or to the date of the producer's first registration with GLOBALGAP (EUREPGAP), whichever is longer. Harvest and Produce handling must take place after registration with GLOBALGAP (EUREPGAP). Records that relate to harvest or produce handling before the producer registered with GLOBALGAP (EUREPGAP) are not valid.

If more than three (3) months have passed after the initial inspection before corrective evidence is provided to the Certification Body, a complete inspection needs to be performed before a certificate can be issued.

a) Timing:

The first inspection shall include harvesting activities of each product to be included for certification, or if produce handling is included, during produce handling, when all control points and sufficient records/evidence related to safety of the product and processes (e.g. MRLs, hygiene during harvest, etc.) are available. Fieldwork can be checked at a different time where feasible, but this is not obligatory.

b) Alternative Timing

Alternative timing options may be followed where inspection during harvest time is not possible. The 1st inspection therefore takes place before or after harvest (though always after registration of the farmer). In these cases, justification for this alternative timing must be given by the CB, and noted in the audit report. Examples of justification may be logistics and timing constraints of farmer and/or inspector, variation in harvest dates, perennial crop not yet producing a crop, etc. Additionally the following constraints need to be followed by the CB:

1. Practically, inspection of records and visual evidence requires that the inspection must take place as close to harvest as possible, for the inspector to verify as many control points as possible.
2. Some control points will not be able to be inspected if the inspection is made before harvest of the registered crop, and as a result either a follow-up visit will be required, or proof can be sent by fax, photos or other acceptable means (to be discussed and agreed between farmer and CB). **No certificate will be issued until all control points have been verified and closed out.** If once the farmer is registered, harvest has already taken place at the moment of inspection, the farmer must retain evidence for compliance of control points related to that harvest, otherwise some control points may not be able to be checked and certification is not possible until the following harvest.
3. The CB must make sure that in the sampling for unannounced visits, those farmers that did not receive a 1st inspection or the re-certification inspection during harvest have a greater chance of getting an unannounced inspection during the next harvest (this needs to be conveyed to the farmer when discussing inspection timing). Additionally, the CB must make every effort to carry out the subsequent inspection during harvest.

c) Multiple Crop Certifications:

The producer may be seeking certification for more than one crop (concurrent or consecutive crops), and the crops may not all have the same seasonal timing, i.e. harvest of one crop does not necessarily coincide with the harvest of other crops.

The CB shall collect evidence of compliance for any outstanding control points of all crops, before the product can be added to the certificate.

(ii) Subsequent and unannounced inspections

There must be at least one product of the registered sub-scope in the growing period and when agronomic activity directly related to that product takes place to give the CB

confidence that any other registered crops (if any) not present at that time, are handled in compliance with GLOBALGAP (EUREPGAP).

Produce handling must be observed and the produce handling facility(ies) must be inspected when it is in operation at a frequency based on a risk assessment, but at least once every 3 years and always when a new version of the Control Points and Compliance Criteria is released. The risk assessment should take into account the product(s) being packed and known food safety incidences related to that product. The CB must keep justification of the reason for the chosen inspection frequency on record.

a) Extension of certificate validity:

There may arise situations where there is no crop or produce present at the time when the annual inspection is due (i.e. only one crop is registered and harvest has already taken place and there is no storage on farm). In such cases, providing the producer has re-registered at the end of the period of validity of the previous certificate, and the CB concerned had also issued the previous certificate of the farmer, the CB can opt to extend the validity of the previous certificate by up to 3 months longer than the 12 month period (15 months in total), in order to be able to reach a point in time when the farm may be inspected with presence of crop/produce. An extension can only be granted if the products are re-accepted before the expiry date.

Therefore, the subsequent inspection can be done at any time during an “inspection window” that ranges for 9 months: **from 6 months before** the original expiry date of the certificate, and (only if the CB extends the certificate validity in the GLOBALGAP database) **up to 3 months after** the original expiry date of the certificate.

e.g. 1st certification date: 14 February 2007 (expiry date: 13 February 2008)

2nd inspection can be any time from 14 August 2007 to 13 May 2008, if the certificate validity is extended.

The **validity date** for subsequent certificates issued shall however always **revert** to the date linked to the original certification date (13 February 2009, 13 February 2010, etc.).

NOTE 1: Registered producers and/or producers with certified products must re-register annually before the expiry date; otherwise the product status will change from “Certified” to “Certificate not renewed or not reregistered”.

4.9.2.2 Livestock and Aquaculture Certification

(i) The registered livestock or aquaculture species must be present on the farm at the time of the inspection.

(ii) The subsequent inspection can be done any time during an “inspection window” that ranges for 9 months: from 6 months before the original expiry date of the certificate, and (only if the CB extends the certificate validity in the GLOBALGAP database) up to 3 months after the original expiry date of the certificate except for Cattle and Sheep and Dairy; see point (iii)).

e.g. 1st certification date: 14 February 2007 (expiry date: 13 February 2008)

2nd inspection can be any time from 14 August 2007 to 13 May 2008, if the certificate validity is extended.

The **validity date** for subsequent certificates issued shall however always **revert** to the date linked to the original certification date (13 February 2009, 13 February 2010, etc.; except for Cattle and Sheep and Dairy, see point (iii)).

(iii) Where a producer has registered for the Cattle & Sheep and Dairy sub-scopes **only** (including the applicable base scopes), the subsequent inspection can take place **up to 18 months after the first inspection, providing the registration and licence fee is paid annually** and the certificate validity has been extended by 6 months in the database. The “inspection window” ranges for 12 months: from 6 months before the original expiry date of the certificate, up to the end of the extension period. If,

however, the producer or producer group has also registered for other sub-scopes, the inspection frequency must be once in every 12 months in order to match the base scope inspections of those other sub-scopes registered for.

e.g. for Cattle and Sheep and Dairy only:

1st certification date: 14 February 2007 (expiry date: 13 February 2008, after re-registration and payment of the registration and licence fee can it be extended to 13 August 2008)

the 2nd inspection can be any time from 14 August 2007 to 13 August 2008, if the certificate validity is extended before the expiry date of 13 February 2008.

The validity date for subsequent certificates issued for producers who extended the validity to 6 months after the annual registration shall always revert to the date linked to the original certification date plus 18 months (13 February 2010, 13 August 2011, etc.).

NOTE: Extension can only be done after the producer has re-registered (before the expiry date) and paid the annual registration and licence fee.

- (iv) **For Livestock:** Decision-making on inspection timing in every 24-month period must take winter/summer conditions into consideration – indoor and outdoor production must be verified once during this period where it exists.
- (v) All production processes of **each** product certified must be assessed prior to issuing the certificate.
- (vi) If more than three (3) months have passed after the initial inspection before corrective evidence is provided to the Certification Body, a complete inspection needs to be performed before a certificate can be issued.

NOTE 1: Registered producers and/or producers with certified products must be re-accepted annually before the expiry date; otherwise the product status will change from “Certified” to “Certificate not renewed or re-registered”.

4.9.3 Compliance levels

Compliance with GLOBALGAP (EUREPGAP) IFA consists of three types of control points (set out in the Control Points and Compliance Criteria documents) that the producer is required to comply with in order to obtain GLOBALGAP (EUREPGAP) certification. These are Major Musts, Minor Musts and Recommendations, which must be fulfilled with as follows:

4.9.3.1 Major Musts

100% compliance of all applicable Major Must and QMS control points is compulsory.

4.9.3.2 Minor Musts

For all scopes 95% compliance of all applicable Minor Must control points is compulsory for the sum of the control points in the applicable modules. For the sake of calculation, the following formula will apply for each combination of modules:

$$\left\{ \begin{array}{l} \text{(Total number of} \\ \text{Minor Must} \\ \text{control point)} \end{array} \right. - \left. \begin{array}{l} \text{(Not Applicable} \\ \text{Minor Musts control} \\ \text{points scored)} \end{array} \right\} \times 5\% = \begin{array}{l} \text{(Total Minor Must} \\ \text{control point Non-} \\ \text{compliance} \\ \text{allowable)} \end{array}$$

e.g. A producer seeks certification for Fruit and Vegetables: The producer needs to comply with 95% of the applicable Minor Musts of the All Farm (AF), Crops Base (CB) and Fruit and Vegetables (FV) modules combined.

e.g. A producer seeks certification for Combinable Crops and Dairy: The producer needs to comply with 95% of the applicable Minor Musts of the All Farm (AF), Crops Base (CB) and Combinable Crops (CC) modules combined and with 95% of the applicable Minor Musts of the All Farm (AF), Livestock Base (LB), Cattle and Sheep (CS) and Dairy (DY) modules combined.

e.g. $(\text{Total number of Minor Must control points/module} - \text{NA Minor Must}) \times 5\%$
 $(122 - 52) \times 0.05 = 70 \times 0.05 = 3.5.$

This means that the total number of Minor Must control point non-compliance allowable is 3.5, which must be rounded down. Therefore this producer can only have 3 Minor Must control points that are non-compliant.

70 applicable Minor Must control points – 3 non-compliant Minor Must control points = 67. This gives a compliance level of 95.7%, whereas if 3.5 were rounded up to 4 it would give a compliance level of 94.2% that is **not compliant with the certification rule.**

*NOTE: A score for example of 94.8% **cannot** be rounded to 95% (the pass percentage)*

Note: In all cases, after an inspection, the calculation to show compliance (or non-compliance) must be available.

4.9.3.3 Recommendations

No minimum percentage of compliance is set.

All Recommendation control points in the CPCC must be inspected during the self-assessments (Option 1), internal inspections (Option 2) and external inspections by CBs.

4.9.4 Compliance Verification and Comments

Compliance is indicated with a “Yes” (for compliant), “No” (for not compliant), and “N/A”. Control points that are indicated as “No N/A” in the compliance criteria field, 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.

It is recommended to provide evidence (comments) for each control point – these shall enable the audit trail to be reviewed after the event, and will include details of references taken during the inspection. It is, however, **obligatory to give evidence (comments) for all the Major Musts and QMS** control points inspected/audited in all external inspections/audits (by CB), 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.

Additionally, comments **must** be entered in the checklist for all Minor Musts and QMS control points that are found to be **non-compliant** or not applicable during external inspections/audits (by CB), self-assessments and internal inspections and audits (group certification).

For GLOBALGAP sub-scopes (e.g. Shrimp, Tilapia, Pangasius) requiring social criteria assessment (e.g. GLOBALGAP Risk Assessment of Social Practices), certification can be granted only after the complete social assessment is accessible via the GLOBALGAP database. All control points of the social criteria must be assessed and commented before the checklist is uploaded into the GLOBALGAP database

4.9.4.1 Non-compliance vs Non-conformance

Non-compliance: A GLOBALGAP (EUREPGAP) control point in the checklist is not fulfilled according to the compliance criteria.

e.g. The producer does not comply with the Minor Must AF.2.2.2

Non-conformance: A GLOBALGAP (EUREPGAP) rule that is necessary for obtaining the certificate (see 4.9.3.1 and 4.9.3.2) is infringed.

e.g. The producer does not comply with a Major Must (e.g. AF.1.2) or complies only with 93% of the applicable Minor Musts of the scope applied for instead of the required 95%.

4.9.5 Validity of GLOBALGAP (EUREPGAP) certificate

Certificate granting is conditional on compliance by the producer with all the applicable requirements set out in this General Regulations document.

4.9.5.1 Time period

The certification cycle is 12 months subject to any sanctions and extensions in accordance with the scope described. A certificate shall be issued with an initial validity of 12 months. The CB may shorten the certification cycle and the validity, but cannot prolong it. The validity can only be prolonged beyond the 12 months (for a maximum period of 3 months for Crops and 6 months for Livestock after re-acceptance of the product for a full next cycle. This is only possible if the product is (re-) accepted within the original (usually 12 months) validity period of the certificate. A pre-condition for extension is that the full certification licence fee and registration fee shall be paid for the next cycle.

The initial **date of validity** that appears on a paper certificate will be the date when the CB made the **certification decision** after all non-conformances were closed out.

If a certificate that was not extended and not "re-accepted" expired, 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 valid justification must be given and a new certification cycle shall start. By setting the same "valid to" date as before, the old cycle can be reinstated. The cycle cannot be changed if the certificate was extended and a product "re-accepted" during the old certification period/cycle. The CB shall apply the rules for initial (first) inspection if the certificate expired for more than 12 months.

4.9.5.2 Paper certificate requirements

The certificate issued by a CB must conform completely to the templates for Option 1, 2, 3 and 4 available on the GLOBALGAP website. The paper certificate may only be issued based on the information available at that time in the GLOBALGAP database for that unique GGN.

NOTE: GLOBALGAP (EUREPGAP) CBs or their subcontracted parties **shall not** issue any communication other than the certificate to or about a producer to demonstrate any status described in Annex I.4, unless it refers to a sanction, in which case the producer must be informed. In case a CB issues a letter of non-conformity, the GLOBALGAP logo cannot be used and the CB accepts the liability.

4.9.6 Granting Scopes

Product scope is linked to the location where that product is produced. *Product produced in a non-registered location cannot be certified, and likewise products that are not registered but that are grown on a registered location cannot be certified.* Sanctions will apply across products and location if a complete sanction is imposed.

Only producers may apply for GLOBALGAP (EUREPGAP) certification of their products.

- (i) Certificate and sub-Licence is issued to the registered producer, on the farms where the products are produced (and packed if applicable) and for the products declared.
- (ii) Only the legal certificate holder, i.e. the legal entity that is indicated on the certificate, may market products with reference to a GLOBALGAP 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 (see Part III, 1.10(ii)).
- (iii) One legal entity cannot register production locations with the CB in different countries. Exceptions may be granted by the GLOBALGAP Secretariat on a case-by-case basis or within national interpretation guidelines.

- (iv) The entire production process of the declared and registered products by the legal entity shall be inspected and must comply with GLOBALGAP (EUREPGAP) requirements. Registered locations cannot be separated into growing areas or production facilities that are certified and other growing areas or production facilities of the same product that are excluded from certification

4.9.6.1 Produce Handling exclusion

For Fruit and Vegetables sub-scope certification:

- (i) Produce handling shall be excluded for a given product where the final packing and the last human contact with the product take place in the field during harvest. In this case control points under FV 4.2 are applicable and consequently those under FV 5. are not applicable. However, when these products are stored under ownership of the producer, relevant points under FV.5 are applicable.
- (ii) As long as the harvested produce belongs to the producer during produce handling (by the producer or subcontracted) it must be included in the inspection and the certificate. This will become obligatory from 1 June 2010.
- (iii) When no produce handling takes place under the ownership of the producer/group, this must be declared during registration and will be indicated on the certificate.
- (iv) When a producer/group does produce handling (see definition in Annex I.1), control points FV.5 are obligatory for the respective product and they have to be inspected. If the produce handling facility already has a post-farm gate food safety certification recognized by GFSI (see www.globalfoodsafetyinitiative.com), the GLOBALGAP (EUREPGAP) inspector needs only to inspect FV.5.8.1-14 additionally if post-harvest treatments are made.
- (v) If a producer does not do produce handling on farm, but at another producer that does have GLOBALGAP (EUREPGAP) certification (including produce handling), produce handling shall be included on the growing producer's certificate, AS LONG AS
 - a) The produce still belongs to the growing producer when packed
 - b) The produce handling facility is under the ownership of the packing producer and produce handling is included in the packing producer's certificate
 - c) The produce handling facility has clear traceability to individual producers
 - d) All Minor Must CPCCs under FV.5 are being inspected as Major Musts for the packing producer. .

If a different CB inspected the produce handling facility, the CB inspecting the producer may accept the other CB's findings after making sure that the necessary control points were upgraded to Major Musts, or the CB can decide to do its own inspection of the produce handling facility.

NOTE: An Option 1 certified producer cannot have the same GLOBALGAP and non-GLOBALGAP registered product produced or handled under his/her ownership. An Option 1 certified producer who buys the same non-certified product as his/her product registered for certification, cannot be certified for that product, as he/she is not allowed to have non-certified and certified products under his/her ownership. It is possible, however, for a certified producer to pack non-certified products that are not on his/her certificate, regardless of the ownership of the non-certified products.

All other cases must be presented to the GLOBALGAP Secretariat on a case-by-case basis.

4.9.6.2 Harvesting exclusion –exceptional

For Fruit and Vegetables sub-scope certification;

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

exception applies where the produce does not belong to the producer anymore at point before harvest and the producer has no control over the harvesting process, i.e. no knowledge or influence on the exact time of harvest. It is also not an activity that is subcontracted by the producer.

- (ii) The producer must apply for exclusion per product during registration with detailed justification. The GLOBALGAP Secretariat will give approval of exclusion on a case-by-case basis **before** the registration is approved.
- (iii) Documentation necessary during registration to facilitate approval by GLOBALGAP Secretariat:
 - 1. The contract between the buyer and the producer states:
 - a) that the buyer will take ownership of the produce before harvesting;
 - b) that the buyer is responsible for making sure that harvest takes place only after the Pre-Harvest Interval (PHI) has been observed and
 - c) the buyer will also handle the produce after harvest (not just harvest)
 - d) the harvester/buyer will buy all the product (Exclusion is not possible if the producer harvests some part of the crop and sell another part before harvest)
 - 2. If the producer does not know the buyer at the time of registration with GLOBALGAP:
 - a) A declaration from the producer to inform the buyer (new owner which is harvester AND 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 1.

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

4.9.6.3 Chain of Custody

- (i) The Chain of Custody (CoC) document covers proper segregation of processing activities of a product derived from a GLOBALGAP (EUREPGAP) certified production process when certified status needs to be kept once products are sold off the farm and its legal ownership over the product is taken over by a different party (trading, storing, collecting, transport, and processing to the point of final customer selling to the end-consumer). It consists of a management system with an appropriate combination of segregation and identification to ensure that certified and uncertified materials are not mixed. This is used in the certification of the Aquaculture scope and the Green Coffee and Tea sub-scopes certification.
- (ii) For the Aquaculture scope: Chain of custody certification is compulsory for the very first processing after harvesting. Chain of custody certification for subsequent processing units is based on the buyer requirements.
- (iii) For the Green Coffee and Tea sub-scopes: Chain of custody is compulsory for processing of coffee cherries and fresh tea leaves, respectively. This requirement is directly linked to the processing section in the CPCCs of these sub-scopes.
- (iv) Product processing remains outside GLOBALGAP (EUREPGAP) scope, where not explicitly included (as in coffee and tea). During processing, there must be a food safety system in place, with a current certificate against one of the GFSI recognized post-farm gate food safety tools and standards, covering the scope of operations.
- (v) Only auditors with qualifications applicable to the IFA scope of the GLOBALGAP certified product intended to be processed are allowed to do Chain of custody inspections (see Appendix II.2).
- (vi) Chain of Custody certification is possible only if all the previous units in the chain have been certified

4.10 Maintenance of GLOBALGAP (EUREPGAP) certification

- (i) The registration of the producer and the proposed products for the relevant scopes must be re-confirmed with the CB annually **before** the expiry date.

- (ii) The full checklist and verification process must be completed by the inspector annually for the process of certification to be carried out (except for Cattle and Sheep, that may have 18-month inspection intervals, see 4.9.2.2(iii)).
- (iii) A certificate is not transferable from one owner to another when a production unit changes owner. An initial inspection is required in this case.

5 CERTIFICATION OPTIONS

Producers can achieve GLOBALGAP (EUREPGAP) certification under any one of the four options described below.

5.1 Option 1

Individual producer applies for GLOBALGAP (EUREPGAP) certification. The individual producer will be the certificate holder, once certified.

The following is not a producer group and falls under Option 1: a multi-site operation where an individual or one organisation owns several production locations, which in itself are not separate legal entities. – *This is the case where an individual producer or large company, which has several farms that all belong to the producer or company and are centrally managed by the producer or company or by several farm managers, wants to be certified according to the sampling procedure as described for Option 2 (reduced cost), but without the implementation of a QMS. This is **not** possible. In this case, all production areas need to be inspected and comply with the standard before a certificate can be issued.*

Only if such an operation (as described above) has a QMS, can it be certified as Option 1 while following the Option 2 rules for random external sampling of sites (minimum square root), based on the criteria as described in GR Part I, 5.2 Option 2 and Part II, Appendix II.3 Rules for Evaluating Option 2 Producer Groups, 6.1.2 – *If in the scenario explained above, the individual producer or organisation has implemented a QMS that covers the production of all the products and production locations (farms) to be certified, the operation must be certified under Option 1, but with the exception that only a sample of the sites, according to the rules for sampling of sites for Option 2 can be followed. The rules as described in Part I, 5.2 that describes the frequency and sampling must be adhered to. The QMS must also be audited for the applicable parts. The rules for inspection of registered production locations as explained in GR Part II, Appendix II.3, 7.1.2 must also be followed.*

NOTES for Option 1 multi-site with QMS:

NOTE 1: *All rules applicable to Option 1 certification must be observed (except for the sampling of locations for inspection purposes). See General Regulations Part I, 4.9.6(iv) which states that the entire production process of the declared and registered products must comply with GLOBALGAP (EUREPGAP) requirements. Registered locations cannot be separated into growing areas or production facilities that are certified and other growing areas or production facilities of the same product that are excluded from certification. **The entire production process of the product produced under the ownership of the producer (the legal entity that places the certified product on the market) must be declared, registered and certified.***

*Unlike in Option 2 certification where producers that do not take part in GLOBALGAP (EUREPGAP) can be excluded from the certificate, there is **no** possibility for organisations such as described above to exclude some of the production areas of the certified product(s).*

NOTE 2: *The certificate holder (legal entity) is responsible for the Internal assessments of all sites according to rules of Option 1 (General Regulations Part I, 5.1.1). The results of these internal assessments and an internal audit of the QMS, carried out by an internal auditor (see requirements General Regulations, Appendix III.2) must be available during the external inspection by the CB.*

NOTE 3: *Only an approved auditor (See General Regulations Appendix II.2) can carry out the certification inspections/audits for this scenario, as the QMS must also be audited.*

5.1.1 Internal Self-assessment

5.1.1.1 Frequency

The internal self-assessment must be carried out at least once a year. This self-assessment will be carried out under the responsibility of the producer.

5.1.1.2 Scope

The self-assessment shall be against the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s). The completed checklist must be available on site for review by the inspector during the external inspection.

5.1.2 External Inspection by GLOBALGAP (EUREPGAP) approved CB

5.1.2.1 Frequency

One announced external inspection carried out by the GLOBALGAP (EUREPGAP) approved CB per annum of the registered producer.

5.1.2.2 Scope

The CB will inspect the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s).

5.1.3 Unannounced Surveillance Inspections (only Option 1)

5.1.3.1 Frequency

The granting CB (or its subcontracted agent) will carry out an additional minimum of 10% unannounced surveillance inspections per annum among all certified producers it has certified under Option 1. A GLOBALGAP (EUREPGAP) auditor or inspector can carry out the inspections.

The selection of the 10% must not only take into account total numbers, but must be calculated considering factors such as geography, legislation (where several jurisdictions are covered by the CB), crop type, compliance history, etc.

The 10% shall be calculated for the calendar year. In order to meet the 10% target, the CB shall theoretically conduct one unannounced surveillance inspection after every 10 certificates issued. The number of unannounced surveillance inspections per year shall reflect 10% of the certificates issued in that year.

5.1.3.2 Scope

Unless the GLOBALGAP Secretariat has approved a shortened 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.

When a shortened checklist for the unannounced surveillance inspections has been approved: The grower must comply with 95% of the Minor Musts of the original checklist. The results of the unannounced surveillance inspection where the shortened checklist is used, replace the results of the corresponding control points of the announced inspection. Minor Must non-compliances that were detected during the announced inspections, which are not included in the shortened checklist for the unannounced surveillance inspections, shall be checked.

Non-compliances detected during the unannounced surveillance inspection must be added to any detected during the announced inspection (if not closed out during the unannounced inspection) to determine whether the producer complies with 100% Major Must and 95% Minor Must of the full checklist.

5.1.3.3 Notification

The CB will inform the producer within 48 hours in advance of the intended visit. In the exceptional case where the proposed date is impossible to be accepted by the producer (due to medical or other justifiable reasons), the producer will have one more chance to be informed of an unannounced surveillance inspection. The producer shall receive a written warning if the first, or where applicable, second proposed date has not been

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accepted. The producer 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 Option 2

A producer group (see requirements in PART III – Producer Group Certification) applies for GLOBALGAP (EUREPGAP) group certification. The producer group, as legal entity, will be the certificate holder once certified.

5.2.1 Internal Quality Management System (QMS) Audit

5.2.1.1 Frequency

The QMS, developed according to requirements set out in the General Regulations PART III – Producer Group Certification, must be audited internally, at least annually by the internal producer group auditor (see internal auditor requirements in PART III Appendix 2).

5.2.1.2 Scope

The audit must be carried out by using the QMS Checklist, which is based on the General Regulations PART II – Certification Body Rules, Appendix 3 and Part III – Producer Group Certification.

5.2.2 Producer Group Internal Producer Inspections

5.2.2.1 Frequency

A minimum of one internal inspection per annum of each registered producer within the producer group must be carried out by qualified internal producer group inspectors (see requirements in PART III Appendix 1) within the producer group, or subcontracted to an external verification body, different from the certification body responsible for the external certification inspections of the group.

NOTE: Self-assessments by each member of the group is only required if it is an internal requirement by the group, but it is not a GLOBALGAP (EUREPGAP) requirement.

5.2.2.2 Scope

The internal inspection shall be based on the complete GLOBALGAP (EUREPGAP) checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s).

5.2.3 External Quality Management System (QMS) Audit by GLOBALGAP (EUREPGAP) approved Certification Body

5.2.3.1 Frequency

One announced external audit carried out annually by the GLOBALGAP (EUREPGAP) approved CB of the registered producer group.

5.2.3.2 Scope

The CB will audit the QMS by using the QMS Checklist based on the General Regulations PART II – Certification Body Rules, Appendix 3 and Part III – Producer Group Certification.

5.2.4 External Producer Inspection by GLOBALGAP (EUREPGAP) approved Certification Body

5.2.4.1 Frequency

External farm inspections are annual.

5.2.4.2 Sampling

Selection of producers is made by taking a random sample that, as a minimum, is the square root (or next whole number rounded upwards if there are any decimals) of the total number of GLOBALGAP (EUREPGAP) registered producers within the producer

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group (see criteria to determine sample size in General Regulations Appendix II.3, 6.1.2 (iv).

For the initial certification or during an audit against a new version by a newly chosen CB the square root (as a minimum) of the number of the producers in the group must be inspected in full by the CB.

*Example: Producer Group X has 25 registered members, and the CB, **after the QMS audit**, sets the square root as the sample. Therefore, 5 producers ($\sqrt{25}$) must be inspected at this initial inspection.*

During the validity period (12 months) of a certificate, the CB will carry out an unannounced inspection on a number of producers in the producer group equivalent to 50% of the inspection sample size inspected in the original announced inspection. This must be carried out on each producer group certified by the CB. Only if the producers inspected externally have no non-conformities raised in that unannounced inspection, the following regular announced inspection by the CB will be reduced to the square root of the **current** number of the producers minus the number of producers inspected unannounced (providing the findings from the Quality Management System audit carried out at the following regular announced inspection are also favourable to this reduction).

Example 1: Six months after the certificate was issued to 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, 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 with 50 members during the initial audit 8 members (square root of 50) and during the following unannounced inspections 4 (0.5×8) 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 produces and later another 4 during the unannounced producer inspections.

To make a certification decision the square root of the total number of current producer members must have been inspected during the last 12 months.

If there are non-conformities raised in the unannounced inspections, in the following regular announced inspection, justification must be given for inspecting only the minimum (square root) sample size, and not an increased sample size.

5.2.4.3 Scope

The CB will inspect the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s). This is also true for the unannounced inspections, which are not surveillance inspections in the case of Option 2.

5.2.5 Unannounced Surveillance Audits

5.2.5.1 Frequency

During the validity period (12 months) of the certificate, the granting CB (or its subcontracted agent) will annually carry out additional unannounced surveillance audits on a minimum of 10% of all certified producer groups it has registered under Option 2 per scope. These additional unannounced surveillance audits will cover only the Producer Group Quality Management (QMS) system. If the CB has 10 or fewer producer groups registered under Option 2, 1 producer group must be chosen.

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The selection of the 10% must not only take into account total numbers, but must be calculated considering factors such as geography, legislation (where several jurisdictions are covered by the CB), crop type, compliance history, etc.

The 10% must be calculated for the calendar year. In order to meet the 10% target, the CB shall theoretically conduct one unannounced audit after every 10 Option 2 certificates issued. In practice, the number of unannounced surveillance inspections per year shall reflect 10% of the certificates issued in that year.

5.2.5.2 Scope

The CB will audit the QMS of the group. Any non-conformances will lead to a sanction applied to the whole group.

5.2.5.3 Notification

The CB will inform the producer group within 48 hours in advance of the intended visit. In the exceptional case where the proposed date is impossible to be accepted by the producer group (due to medical or other justifiable reasons), the producer group will have one more chance to be informed of an unannounced surveillance inspection. The producer group shall receive a written warning if the first date has not been accepted. The producer group 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.

5.3 Options 3 and 4

Benchmarking: The scheme applying for benchmarking is assessed for equivalence by comparing content and performance criteria against GLOBALGAP (EUREPGAP). Refer to the GLOBALGAP (EUREPGAP) Benchmarking Procedure in its latest version and see the General Regulations PART IV – Benchmarking (Options 3 & 4) for more information.

5.3.1 Option 3

Individual producer applies for certification under an approved GLOBALGAP Benchmarked Scheme. The Benchmarked Scheme rules are equivalent to the GLOBALGAP General Regulations, including those requirements set in section 5.1.

Benchmark validation: The individual producer will be the certificate holder once certified. For validating Option 3 certification, producers must be registered in the GLOBALGAP database.

5.3.2 Option 4

A producer group applies for certification under an approved GLOBALGAP Benchmarked Scheme. The Benchmarked Scheme rules are equivalent to the GLOBALGAP General Regulations, including those requirements set in section 5.2 and Part III.

Benchmark validation: The legal entity representing the producer group will be the certificate holder once certified. For validating Option 4 certification, the legal entity and each one of the approved individual producer members must be registered in the GLOBALGAP database.

Scheme Rules: All registered producers/sites/farms Licensed/certified are operating under the Benchmarked Scheme rules.

GLOBALGAP (EUREPGAP) Approved CBs: All certification carried out within a full Benchmarked Standard must be done by GLOBALGAP (EUREPGAP) approved CBs that must be accredited to EN 45011 or ISO/IEC GUIDE 65 to the scope of the benchmarked standard.

Frequency: The applicant scheme must ensure verification of producers according to rules for Option 1 and of producer groups according to rules for Option 2.

6 NON-CONFORMANCES AND SANCTIONS

6.1 *Types of Non-Conformances*

Three types of non-conformances exist within GLOBALGAP (EUREPGAP); Major Must, Minor Must and Contractual. They cover control point compliance and contractual issues, as detailed below:

6.1.1 Major Must Non-Conformances

6.1.1.1 Sub-scope Level

This type of non-conformance is when the producer does not comply with 100% of the Major Musts in one of the sub-scope modules or QMS control points.

e.g. The producer seeks certification for green beans, and a non-conformance with one of the Major Musts in the Fruit and Vegetables sub-scope is detected. The green beans **cannot** be certified and a suspension is applied.

e.g. The producer seeks certification for green beans and coffee. A non-conformance of a Major Must is detected in the Coffee sub-scope. The Coffee cannot be certified, and a warning is applied to that sub-scope. The green beans can **only** be certified **IF** the responsible CB justifies that there is no concern to the integrity of the producer and production as a whole resulting from the Major Must non-conformance in the Coffee sub-scope.

6.1.1.2 Scope Base Level

A non-conformance on scope base level is when there is not 100% compliance with the Major Musts in any of the Base scopes.

e.g. The producer seeks certification for pigs. A non-conformance with one of the Major Musts in the Livestock Base scope is detected. The pigs **cannot** be certified.

e.g. The producer seeks certification for pigs and vegetables. A non-conformance with one of the Major Musts in the All Farm Base is detected; **neither** the pigs, **nor** the vegetables can be certified.

e.g. A producer seeks certification for pigs and vegetables. A non-conformance with one of the Major Musts in the Crops Base is detected, and a suspension is applied to all products covered by the Crops Scope and respective sub-scopes. The pigs can only be certified if the responsible CB justifies that there is no concern to the integrity of the producer or production as a whole resulting from the non-conformance in the Crops.

6.1.2 Minor Must Non-Conformances

When a producer complies with less than 95% of the Minor Musts of the applicable control points, a Minor Must non-conformance is issued.

e.g. 1: A producer seeks certification for cattle and complies with 100% of the Major Musts, but only 90% of the applicable Minor Musts, corrective action is needed before certification can take place.

e.g. 2: A producer seeks certification for cattle and pigs. The producer complies with 100% of the Major Musts and 95% of the applicable Minor Musts for cattle, but only with 92% of the applicable Minor Musts for pigs. The certificate can only include pigs when corrective actions on the non-compliances have been closed out.

6.1.3 Contractual Non-Conformances

6.1.3.1 Breach of Contracts

Non-conformance of any of the agreements signed in the contract between the CB and the producer related to GLOBALGAP (EUREPGAP) issues.

6.1.3.2 Technical Contractual Non-Conformance

Non-conformance of any of the agreements signed in the contract between the CB and the producer or any issue found during the inspection that leads to technical doubts about the producer's **way of proceeding**.

6.2 Types of Sanctions

All CBs and producer groups must have in place a penalty procedure addressing non-conformances identified as described in 6.1.

Three types of sanction exist within GLOBALGAP (EUREPGAP); Warning, Suspension and Cancellation. These apply to non-conformances that result from non-compliances with control points of the CPCC and QMS Checklist as well as contractual issues.

Producers will be prevented from changing CB until the non-conformance that led to the respective sanction is satisfactorily closed out.

6.2.1 Warning

- (i) For all types of non-conformance detected, a Warning is issued.
- (ii) A time period allowed for correction will be agreed upon **between the CB and producer**, up to a maximum corrective action submission period of 28 calendar days from the date of the Warning.
*NOTE 1) If the non-compliance is against a **Major Must** that is not complied with, time given for compliance before suspension is applied, which is up to a maximum delay of **28 days**, will depend on the criticality of the non-compliance, in terms of safety of people, environment and consumers, evaluated by the inspector/auditor carrying out the Inspection/audit decision on the period for implementing corrective actions. The CB shall make the decision on the period that is given (within the 28-day limit) to the producer for closing out the Major Must non-conformance. No time is given for compliance where a serious threat to the safety of people, environment and consumer is present and a Suspension is issued immediately. The period must be set according to criticality of non-compliances and circumstances, detailing the specific number of days for the producer to close out the non-compliance, up to a maximum of 28 days. The producer **MUST** close out Major Must non-conformances before obtaining/regaining certified status.*
- (iii) If the cause of the sanction is not resolved within the time period set (maximum of 28 days), a Suspension is imposed.

6.2.2 Product Suspension

- (i) During the time period of suspension, the producer will be prevented from using the GLOBALGAP (EUREPGAP) logo/trademark, Licence/certificate or any other type of document that has any relation to GLOBALGAP (EUREPGAP) in relation to the suspended product.
- (ii) **ONLY** the CB or the producer group that has issued the suspension shall lift it when there is sufficient or timely evidence of corrective action (either through a follow-up visit with additional cost to the producer, or other written or visual evidence).

Two types of suspensions exist and these are explained below.

6.2.2.1 Self-declared product suspension

A producer or producer group may voluntarily ask a CB to temporarily suspend his/her product(s). The deadline for closing non-compliance is set by the producer/producer group himself/themselves, which must be agreed upon with the respective CB(s), but must be closed out before the CB may lift the suspension.

The same applies for a member of a producer group, who may voluntarily ask his/her group to temporarily suspend his/her product(s). Also here, the deadline for closing non-compliance are set by the producer himself, which must be agreed upon with the respective producer group QMS, but must be closed out before the Producer Group may lift the suspension.

6.2.2.2 Certification Body / Producer Group declared suspension

- (i) CBs can issue and lift product suspension to Option 1 producers and Option 2 Producer groups.

- (ii) Producer groups can issue and lift product suspension to their accepted producer members.
- (iii) CB/Producer groups shall issue a Suspension when a producer/producer group cannot show evidence of corrective action after a Warning has been issued.
- (iv) The CB/producer group can issue a suspension for certain products or for all products of the certified product scope.
- (v) After the suspension is applied, the CB/producer group will set a time period allowed for correction. This time period shall be, at maximum, till the next re-certification visit.

NOTE: A product cannot be partially suspended; i.e. the entire product must be suspended

6.2.3 Cancellation

- (i) A Cancellation of the contract shall be issued where the CB finds evidence of fraud and/or lack of trust to comply with GLOBALGAP requirements, in particular where
 - a) A producer/producer group cannot show evidence of corrective action after a CB declared Suspension, or
 - b) when there is a breach of contract (see 6.1.3.1).
- (ii) A Cancellation of the contract will result in the total prohibition of the use of the GLOBALGAP (EUREPGAP) logo/trademark, Licence/certificate, or any device or document that could relate to GLOBALGAP (EUREPGAP).
- (iii) A producer that has received a Cancellation shall not be accepted for GLOBALGAP (EUREPGAP) certification within 12 months after the date of Cancellation.

6.3 Notification and Appeals

6.3.1 Decisions on Sanction

- (i) The CB Certification Committee (or equivalent decision maker of the CB) shall decide on all sanctions (Suspensions, and Cancellations). If there is a non-conformance detected during the inspection, the producer must be served a warning when the inspection is finalized. This is a provisional report. If there is a food safety issue, this will be fast tracked to the Certification Body's certification committee who will decide on a shorter period of corrective action days than the 28-day period, which will be communicated via an official warning letter.
- (ii) Upon finding that a producer no longer conforms to the GLOBALGAP (EUREPGAP) standard, the inspector/auditor will report this to his CB and to the certified producer, detailing the non-compliances identified during the inspection.
- (iii) The GLOBALGAP (EUREPGAP) Sector Committees reserve the right to impose certain sanctions for certain non-compliances. These will be detailed in an Annex and CBs and clients will be made aware of these.

6.3.2 Producer Resolutions

- (i) The producer must either resolve the non-conformances communicated or appeal to the CB in writing against the non-conformances, explaining the reasons for the appeal.
- (ii) If the non-conformances are not resolved within the permitted time scale, the sanction will be escalated as explained in 6.2.

6.3.3 Lifting of Sanctions

- (i) If a producer notifies the CB that the non-conformance is resolved before the set period, the respective sanction will be lifted, subject to satisfactory evidence and closing out.

6.3.4 Sanctioning of Certification Bodies

- (i) GLOBALGAP reserves the right to sanction CBs based on evidence of not following procedures or clauses of the Certification and Licence Agreement signed between GLOBALGAP and the CB (refer to General Regulations Part II, 3.2 for Types of sanctions).

7 TRAINING

7.1 Train-the-Trainer workshops

GLOBALGAP recognises the global need for qualified GLOBALGAP (EUREPGAP) training, which can be cost efficient and customised for growers. There is no official requirement for producers to show proof that a staff member or external adviser has attended a GLOBALGAP (EUREPGAP) training course.

GLOBALGAP will conduct Train-the-Trainer (TT) Workshops including an examination for final approval, to provide a limited but sufficient number of qualified trainers and register them on the GLOBALGAP website. Once qualified, the trainer can conduct classroom-training courses (train-the-public)

For more information on training offered by GLOBALGAP and how to become an approved Train-the-Public trainer, refer to General Regulations Part V.

8 ABBREVIATIONS AND REFERENCE DOCUMENTS

8.1 Abbreviations

AB	Accreditation Body	CB	Certification Body
CC	Compliance Criteria	CoC	Chain of Custody
CP	Control Point	CPCC	Control Points and Compliance Criteria
IFA	Integrated Farm Assurance	HACCP	Hazard Analysis, Critical Control Points
NTWG	National Technical Working Group	SC	Sector Committee
CBC	Certification Body Committee	IAF	International Accreditation Forum
MLA	Multilateral Agreement	EA	European co-operation for Accreditation
CL	Checklist	QMS	Quality Management System
BMCL	Benchmarking Checklist	GFSI	Global Food Safety Initiative
IPRO	Integrity Programme	CIPRO	Certification Integrity Programme

8.2 Reference Documents

- (i) GLOBALGAP (EUREPGAP) Certification and Sublicence Agreement
- (ii) GLOBALGAP (EUREPGAP) Certification and Licence Agreement
- (iii) GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria – Integrated Farm Assurance
- (iv) GLOBALGAP (EUREPGAP) Checklist – Integrated Farm Assurance
- (v) GLOBALGAP (EUREPGAP) Benchmarking Procedures
- (vi) GLOBALGAP (EUREPGAP) Benchmarking Cross-Reference Checklist
- (vii) EN 45011 or ISO/IEC Guide 65:1996. General requirement for bodies operating product certification systems
- (viii) IAF Guidance on the Application of ISO/IEC Guide 65:1996. Issue 2 (IAF GD 5:2006)
- (ix) ISO/IEC 17020:2004 General criteria for the operation of various types of bodies performing inspection.
- (x) ISO/IEC 17025:2005. General requirements for the competence of testing and calibration laboratories.
- (xi) ISO/IEC 17011 General requirements for accreditation bodies accrediting conformity assessment bodies
- (xii) ISO 19011 Guidelines for quality and/or environmental management systems auditing.

9 APPENDIX I.1 RULES FOR USE OF GLOBALGAP AND EUREPGAP TRADEMARK AND LOGO

GLOBALGAP is the owner of the trademarks “EUREPGAP” and “GLOBALG.A.P.” and logos collectively the “GLOBALGAP (EUREPGAP) Trademark”. The “EUREPGAP” trademark shall be replaced by the trademark “GLOBALG.A.P.” with further notice. The “EUREPGAP” trademark shall be used until further notice alone or in conjunction with “GLOBALG.A.P.”

The Certification Body is expected to check up on the correct use of the GLOBALGAP (EUREPGAP) Trademark on farms at all times. Infringement of these rules by suppliers could lead to sanctions.

9.1 GLOBALGAP (EUREPGAP) Trademark

- (i) The GLOBALGAP (EUREPGAP) Trademark shall never appear on the product, consumer packing of the product nor at the point of sale where in direct connection to single products.
- (ii) Producers may only use the GLOBALGAP (EUREPGAP) Trademarks on pallets that only contain certified GLOBALGAP (EUREPGAP) products and that will NOT appear at the point of sale.
- (iii) GLOBALGAP (EUREPGAP) certified producers may use the GLOBALGAP (EUREPGAP) Trademark in business-to-business communication, and for traceability, segregation or identification purposes on site at the production location.
- (iv) GLOBALGAP (EUREPGAP) Retailer, Associate and Supplier members can use the trademark in promotional material (not directly linked to certified product) and in business-to-business communication.
- (v) GLOBALGAP (EUREPGAP) approved Certification Bodies can use the trademark in promotional material directly linked to their GLOBALGAP (EUREPGAP) certification activities in business-to-business communication, and on GLOBALGAP (EUREPGAP) certificates they issue.

9.2 Specifications

The EUREPGAP logo and the GLOBALGAP logo must always be obtained from the GLOBALGAP Secretariat. This will ensure that it contains the exact corporate colour and format, as below:

EUREPGAP®

GLOBALG.A.P.

9.3 GLOBALGAP Number (GGN)

- (i) The GLOBALGAP Number (GGN) is a 13-digit numerical number, **not** including the GLOBALGAP (EUREPGAP) Trademark, and is unique to each and every producer and any other legal entity in the GLOBALGAP (EUREPGAP) system. For this number GLOBALGAP uses existing Global Location Numbers (GLN) issued and to be purchased from the local GS1 organisation (www.gs1.org) or alternatively – in its absence – GLOBALGAP assigns its own interim GLN.

- (ii) GGN can be used on the product and/or final packaging at the point of sale. The legal entity that labels GGN shall be a holder of a valid certificate of GLOBALGAP or of a GFSI recognized post-farm gate standard or any other standard recognized by GLOBALGAP for traceability.
- (iii) The interim GLN (GGN) issued by GLOBALGAP shall only be used in connection with the GLOBALGAP (EUREPGAP) system. It is not allowed to use it in any other context or in relation to third parties.
- (iv) Whenever a need arises to identify the organisation in other contexts or additional applications the organisation may apply for their own GLN and report this number to GLOBALGAP, who shall register the organization under their own number and withdraw the interim GLN accordingly.

9.4 Registration Number

- (i) The registration number is a number that may be issued by the Certification Body to identify the producer. This number serves as alias identification to the GGN.
- (ii) The number is made up of the Certification Body name (in its short form as agreed between the CB and the GLOBALGAP Secretariat: “CB Short name”) followed by a space, followed by the number of the producer or group, as issued by the Certification Body. The GLOBALGAP (EUREPGAP) Trademark **shall not** appear in this number, e.g.: CBXYZ_12345 .
- (iii) The registration number can be used, on request of a customer, with prior permission of the issuing Certification Body on the product or final packaging at the point of sale. GLOBALGAP does not claim any responsibility with respect to traceability and authenticity of products labelled with this registration number.

10 EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-1_2July07	3.0-Mar07	2 July 2007	2 July 2007	Modification of references in 4.4.1(i), 4.4.1(x), 4.4.2(vi), 4.8.2(viii), 4.8.2.(x), 4.9.4.1, 4.10(ii) Clarification of wording in 3.2.3, 4.4.2(ii), 4.4.2(vi)a, 4.8.2(vii), 4.9.2.1(ii); 4.9.2.1(ii)a Note, 4.9.2.2.v Note, 4.9.3.2, 4.9.5.1, 4.9.6, 4.9.6.3(ii), 6.1.1.1, 6.2, 6.2.2(v), 6.3.1(ii)
3.0-2_Sep07	3.0-1_2July07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP), see new paragraph in 4.1 and Appendix I.1; Clarification of wording: 6.1.1.1
3.1_Nov09 Interim Final	3.0-2_Sep07	28 Feb 2010	20 Nov 2009	Modification of wording: 1, 1.1, 1.4, 2, 3.1, 3.2.1, 3.2.2, 3.2.3, 4.1, 4.3, 4.4.1, 4.4.2, 4.5.1, 4.6.2, 4.8, 4.9.1, 4.9.2, 4.9.3, 4.9.4, 4.9.5, 4.9.6, 4.9.6.1, 4.9.6.2, 4.9.6.3, 4.10, 5.1, 5.1.3, 5.2.4, 5.2.5, 5.3, 6.1.1.1, 6.1.2, 6.1.3, 6.2, 6.2.1, 6.2.2, 6.2.3, 6.3, 9
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	4.4.1(i), 4.4.2(iii), 4.9.3.3, 4.9.6.1(i), 5.1, 5.2.5.3
3.1_Nov09_updateMar10	3.1_Nov09	1 Apr 2010	1 Apr 2010	Reference corrected in 5.1

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

ANNEX I.1 GLOBALGAP (EUREPGAP) DEFINITIONS

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

The following terms are defined according to their use in the GLOBALGAP (EUREPGAP) context, and are listed in alphabetical order.

1. **Accreditation Body:** organization responsible for assessing and accrediting GLOBALGAP (EUREPGAP) certification bodies against EN 45011 or ISO/IEC Guide 65 and that is a member of the International Accreditation Forum (IAF) or the European Cooperation for Accreditation (EA) and is a signatory of the Multi-Lateral Agreement (MLA) for product certification and of the Memorandum of Understanding between the EA and/or IAF and GLOBALGAP.
2. **Active Ingredient:** In any plant protection product, is the substance that kills, or otherwise controls, target pests. Plant protection products are regulated primarily on the basis of active ingredients.
3. **Agricultural Production Unit:** A geographic area composed of fields, yards, plots, orchards, greenhouses, livestock building, hatcheries, group of geographic areas of restricted fresh water and/or restricted sea water activities and/or any other area/location/transport used for production of registered products.
4. **Annual Crop:** Plant that completes its life cycle in one year (i.e. germinates from seed, grows, flowers, produces seed, and dies in the same season. This definition covers also potato “tuber” seed. Also covered are Strawberries, asparagus, cassava, etc..
5. **Applicant Producer or Producer Group:** Candidate for certification that has applied or is in the process of applying for registration by a GLOBALGAP approved CB.
6. **Arable land:** Land worked regularly, generally under a system of crop rotation, which includes fallow land.
7. **Audit:** (refer also to ISO 19011) A systematic and functionally independent examination to determine whether quality and food safety activities and results comply with planned procedures and whether these procedures are implemented effectively and are suitable to achieve objectives. In GLOBALGAP (EUREPGAP) an audit refers to the verification of the Quality Management System of a producer group. It also refers to the surveillance of a Certification Body by an Accreditation Body.
8. **Benchmark:** A measurable set of variables used as a baseline or reference in evaluating the performance of schemes.
9. **Benchmarked Certification System:** A certification system which has achieved its accreditation to ISO/IEC Guide 65 (EN45011) via a GLOBALGAP approved Certification Body with an Accreditation Body that is a member of the International Accreditation Forum (IAF) and is a signatory of the Multi-Lateral Agreement (MLA) concerning ISO/IEC IEC Guide 65 and of the Memorandum of Understanding between the European co-operation for Accreditation (EA) and/or IAF and GLOBALGAP that has successfully completed the procedures set out in this document and been formally recognised by GLOBALGAP.
10. **Benchmarked Standard:** A standard that is operated under a benchmarked certification system or under the GLOBALGAP (EUREPGAP) certification system that has successfully completed the procedures set out in this document and has been formally recognised by GLOBALGAP.
11. **Biennial:** A plant which completes its life cycle within two years and then dies.
12. **Biocide:** A biocide can be a pesticide, which includes fungicides, herbicides, insecticides, algicides, molluscicides, miticides and rodenticides; or it can be an antimicrobial, which includes germicides, antibiotics, antibacterials, antivirals, antifungals, antiparasites

13. **Biodiversity:** The 1992 United Nations Earth Summit in Rio de Janeiro defined "biodiversity" as "the variability among living organisms from all sources, including, 'inter alia', terrestrial, marine, and other aquatic ecosystems, and the ecological complexes of which they are part: this includes diversity within species, between species and of ecosystems". Biodiversity is of main relevance during EIA and EMPs.
14. **Biosecurity:** Policies and measures taken to protect from biological harm. Biosecurity in aquaculture is the protection of fish and shellfish from infectious agents (viruses, bacteria, fungi or parasites). Mortality due to diseases and decreased production due to infections are major factors for economic loss but also a serious food safety concern for the consumers. In addition, as the density of fish and shellfish in intensive farming becomes more concentrated and actively managed, the probability of individuals coming into contact or becoming a source of potential pathogen is much greater. Thus, it is critical to implement appropriate safeguards in production facilities to protect the health of aquatic animals. These safeguards include diagnostics, disease prevention, disease control etc., which are imperative and should be enforced through Ecologically Sustainable Development (ESD) strategies.
15. **Biosecurity Plan:** A plan that identifies potential pathways for the introduction and spread of disease in a zone or compartment, and describes the measures which are being or will be applied to mitigate the disease risks in accordance. The plan also describes how these measures are audited to ensure that the risks are regularly re-assessed and the measures adjusted accordingly.
16. **BIPRO:** Brand Integrity Programme of GLOBALGAP
17. **Brood Stock (source Fish base):** In aquaculture, the brood stock is a group of sexually mature individuals of a cultured species that is kept separate for breeding purposes. Brood stocks are maintained for several reasons: Providing eggs and fry in a controlled environment so as not to have to rely on wild catches of fry for raising a generation of the cultured species. Producing a disease-free base from which to raise future generations. Selective breeding, trying to produce a breed that is resistant against diseases that can affect wild animals. Brood stocks are common in the farming of salmon and shrimps.
18. **Broiler:** A meat type chicken raised for marketing at an early age.
19. **Buffer zone:** The region near the border of a protected area; a transition zone between areas managed for different objectives.
20. **Bund:** A barrier on the surface of the soil/ground/floor to prevent runoff, spillage and soil erosion.
21. **Calibration:** Determination of the accuracy of an instrument, usually by measurement of its variation from a standard, to ascertain necessary correction factors.
22. **Certification:** All those actions leading to the issuing of a certificate in terms EN45011 or ISO/IEC Guide 65 Product Certification
23. **Certification Body:** also known as conformity assessment bodies, are organizations who provide conformity assessment services such as inspections and certifications to producers or producer groups for GLOBALGAP (EUREPGAP) standards in context with the requirements established under EN 45011 / SO/IEC Guide 65.
24. **Certification Committee:** Decision making person or group of persons within a CB that has the responsibility for making the final decision on whether an applicant producer or producer group becomes a certified producer.
25. **Certified Producer or Producer Group:** Applicant that has successfully applied and obtained a certificate by a GLOBALGAP approved CB.
26. **Chain of Custody:** An unbroken trail of acceptability that ensures the physical security of data, records and/or samples. Also: a process used to maintain and document the chronological history of the evidence.
27. **CIPRO:** Certification Integrity Programme of GLOBALGAP
28. **Compensation (with regard to environmental compensation – mangroves):** Compensation in

- money for the adverse effects (habitat and work) aquaculture has on the direct environment and community.
29. Competent Authority: Person or organization that has the legally delegated or invested authority, capacity, or power to perform a designated function.
 30. Compost: The controlled biological decomposition of organic material in the presence of air to form a humus-like material. Controlled methods of composting include mechanical mixing and aerating, ventilating the materials by dropping them through a vertical series of aerated chambers, or placing the compost in piles out in the open air and mixing it or turning it periodically.
 31. Compound Feed: Compound Feeds (which can be Complete or Complementary), that may be produced using any ingredients (except medicated feed/supplements) as raw materials. Compound Feeds in the context of GLOBALGAP (EUREPGAP) exclude the production of ingredients such as forage or grains (Simple Feed Materials), pre-mixtures, additives or medicated feeds (Prepared Feed Supplements) etc.
 32. Consumer: An individual who buys products or services for personal use and not for manufacture or resale.
 33. Contract farming (in Aquaculture): FAO defines contract farming as follows (FAO AGRICULTURAL SERVICES BULLETIN 145, 2001): Contract farming can be defined as an agreement between farmers and processing and/or marketing firms for the production and supply of agricultural products under forward agreements, frequently at predetermined prices. The arrangement also invariably involves the purchaser in providing a degree of production support through, for example, the supply of inputs and the provision of technical advice. The basis of such arrangements is a commitment on the part of the farmer to provide a specific commodity in quantities and at quality standards determined by the purchaser and a commitment on the part of the company to support the farmer's production and to purchase the commodity. The intensity of the contractual arrangement varies according to the depth and complexity of the provisions in each of the following three areas: Market provision: The grower and buyer agree to terms and conditions for the future sale and purchase of a crop or livestock product; Resource provision: In conjunction with the marketing arrangements the buyer agrees to supply selected inputs, including on occasions land preparation and technical advice; and Management specifications: The grower agrees to follow recommended production methods, inputs regimes, and cultivation and harvesting specifications.
 34. Corridor: (1) A linear strip of land identified for present or future location of transportation or utility rights-of-way within its boundaries. (2) A thin strip of vegetation used by wildlife and potentially allowing movement of biotic factors between two areas.
 35. Cover Crop: A crop that provides temporary protection for delicate seedlings and/or provides a canopy for seasonal soil protection and improvement between normal crop production periods. Except in orchards where permanent vegetative cover is maintained, cover crops usually are grown for one year or less. When ploughed under and incorporated into the soil, cover crops are also referred to as green manure crops.
 36. Covered Crops: Primarily means "produced in a greenhouse". A crop is considered as covered when it is grown beneath or within a structure, with or without building foundations, where the cropping environment has some kind of overhead protection (not including individual plant/tree covers, nets, low tunnels, hail protection, mulches or anything that is not a greenhouse) during the production of that crop. The cover can be plastic, glass or other similar materials, and must be accessible by persons (walk-in possible). Any farm can have part of its crop covered and another part not covered, but this must be declared separately during registration detailing the sum of the respective areas (covered or not covered), according to the definition above.
 37. Critical Control Point (CCP): A point, step, or procedure at which control can be applied and a safety hazard can be prevented, eliminated, or reduced to acceptable levels
 38. Critical defect: A deviation at a CCP which may result in a hazard
 39. Critical limits: A maximum and/or minimum value to which a biological, chemical or physical

- parameter must be controlled at a CCP to prevent, eliminate or reduce to an acceptable level the occurrence of a food-safety hazard.
40. Crop rotation: A crop rotation system means that the crops on a certain plot are following other crops according to a predefined plan. Normally the crops are changed annually, but they can also be multi-annual. It usually followed for the purpose of increasing soil fertility and maintaining good yields and forms part of Integrated Pest Management (IPM)
 41. Customer: A customer is anyone who purchases products or services from a supplier.
 42. Declaration: Written statement that covers the relevant subject, and which is signed by the person that makes the statement, and will be taken by the CB as evidence for verification of compliance to the applicable points.
 43. Deviation: Failure to meet a critical limit.
 44. Dubbing: refers to trimming of wattle/comb through electro - cauterizing of male breeders to reduce further injury due to pecking and fighting.
 45. Ecological Aspects: Those related to the ecosystem: the dynamic complex of plant, animal, and micro-organism communities and their non-living environment interacting as a functional unit.
 46. Environment: water, air, land, wild species of fauna and flora, and any interrelationship between them, as well as any relationship with living organisms.
 47. Environmental Aspects: The interaction of climate, soil, topography (non-living) and other plants and animals (living) in any given area.
 48. Environmental Assessment (EA): Process of estimating and evaluating significant short-term and long-term effects of a program or project on the quality of its location's environment. It also includes identifying ways to minimize, mitigate, or eliminate these effects and/or compensate for their impact. An environmental impact assessment is prepared on the basis of an EA. Also called environmental evaluation.
 49. Environmental Impact Assessment (EIA): Detailed study based on environmental assessment (EA) to determine the type and level of effects an existing facility is having, or a proposed project would have, on its natural environment. Its objectives include (1) to help decide if the effects are acceptable or have to be reduced for continuation of the facility or proceeding with the proposed project, (2) to design/implement appropriate monitoring, mitigation, and management measures, (3) propose acceptable alternatives, and (4) to prepare an environmental impact report (EIR). The adequacy of an EIA is based on the extent to which the environmental impacts can be identified, evaluated, and mitigated. An EIA is a standard requirement where international agencies (such as World Bank) are involved, and is critically important for projects requiring a major change in land use or those which are to be located in environmentally sensitive areas.
 50. Environmental Impact Report (EIR): Written record of an EIA exercise submitted to the deciding authority. It identifies and examines the likely environmental effects of the continuing operations of an existing facility or those of a proposed project, and proposes measures to avoid, mitigate, or offset them. An EIS is only a part of EIA process and not its definitive product. Also called environmental impact statement.
 51. Environmental Risk: Actual or potential threat of adverse effects on living organisms and environment by effluents, emissions, wastes, resource depletion, etc., arising out of an organization's activities.
 52. Environmental Risk Assessment (ERA): The process of gathering data and making assumptions to estimate the short- and long-term harmful effects of one or more substances, products or technologies on the natural environment and human health.
 53. Erosion: Erosion is the mechanical movement of the land surface by wind, rain, running water or moving ice resulting in the wearing away of land or soil.
 54. Feed Conversion Ratio: In animal husbandry, feed conversion ratio (FCR), feed conversion rate, or feed conversion efficiency (FCE), is a measure of an animal's efficiency in converting feed

- mass into increased body mass. Specifically FCR is the mass of the food eaten (in kg of “dry” weight) divided by the body mass gain (in kg of “wet” weight), all over a specified period of time. FCR is dimensionless, i.e. there are no measurement units associated with FCR. Animals that have a low FCR are considered efficient users of feed.
55. Field, plot, orchard or greenhouse: Separate units of land within a production location, which summed up as a whole, form a production unit.
 56. First Harvest (First Crop): This data is important for the calculation of the registration fee. “First harvest” should be chosen when there is only one crop per certification cycle on a registered area. In all cases, when a producer only registers annual crops/tree crops; “First Harvest” must be chosen. See 60 Further Harvest
 57. Forest patches: Forest stands or forest patches refer to the ecosystem scale at which a relatively homogenous forest unit can be identified. The composition, structure, and ecological functions within a stand are similar enough that an ecologically responsible forest use prescription can be applied uniformly within the stand, without encountering changes in ecological parameters that may produce unexpected or undesirable results
 58. Food safety: The assurance that food will not cause harm to the consumer when it is prepared and consumed according to its intended use;
 59. Fumigant: Volatile liquid or gas to kill insects, nematodes, fungi, bacteria, seeds, roots, rhizomes, or entire plants.
 60. Further Harvest (Subsequent Crop): This data is important for the calculation of the registration fee. “Further harvest” must be chosen for second or subsequent crops (of the same re-planted or different crops) when produced on the same registered area per certification cycle. E.g. various short-seasonal vegetables are grown consecutively on the same area during the certification cycle.
 61. GLN: (Global Location Number) provides the global supply chain solution for the identification of physical locations and legal entities.
 62. GLOBALGAP (EUREPGAP) Standard: Specified standards within GLOBALGAP (EUREPGAP) and other normative documents have been developed in compliance with ISO/IEC Guide 65 clause 4.1.3, which are available from GLOBALGAP specifically as a reference point or benchmark against which equivalence can be demonstrated.
 63. GLOBALGAP (EUREPGAP) Certification System: A certification system that complies with both the requirements of ISO IEC Guide 65 and the requirements defined by the GLOBALGAP (EUREPGAP) General Regulations.
 64. GLOBALGAP Number (GGN): A unique number assigned by GLOBALGAP to the producer at registration, which will be used as a unique identifier for all GLOBALGAP (EUREPGAP) activities. The GLOBALGAP Number (GGN) is a 13-digit numerical number, not including the GLOBALGAP (EUREPGAP) Trademark, and is unique to each and every producer and any other legal entity in the GLOBALGAP (EUREPGAP) system. For this number GLOBALGAP uses existing Global Location Numbers (GLN) issued and to be purchased from the local GS1 organisation (www.gs1.org) or alternatively – in its absence – GLOBALGAP assigns its own interim GLN.
 65. Good Agricultural Practices (GAP): Practices that address environmental, economic and social sustainability for on-farm processes, and result in safe and quality food and non-food agricultural products" (FAO COAG 2003 GAP paper)
 66. Groundwater: All water that is below the surface of the ground in the saturation zone and in direct contact with the ground of the soil.
 67. Harvesting containers: Containers used for harvesting and transporting produce during and after harvest.
 68. Harvesting tools: gloves, scissors, knives, clippers, etc.

69. Hazard: A biological, chemical, physical or any other property that may cause a product to be unsafe for consumption.
70. Herbicide: A chemical that controls or destroys undesirable plants.
71. High Conservation Value Area: High Conservation Value (HCV) areas are critical areas in a landscape, which need to be appropriately managed in order to maintain or enhance High Conservation Values. There are six main types of HCV areas. A number of tools on how to identify, manage and monitor HCVs are available at: <http://hcvnetwork.org/practical-support/the-hcv-toolkit-global-home>. • HCV1. Areas containing globally, regionally or nationally significant concentrations of biodiversity values (e.g. endemism, endangered species, refuge). • HCV2. Globally, regionally or nationally significant large landscape-level areas where viable populations of most if not all naturally occurring species exist in natural patterns of distribution and abundance. • HCV3. Areas that are in or contain rare, threatened or endangered ecosystems. • HCV4. Areas that provide basic ecosystem services in critical situations (e.g. watershed protection, erosion control). • HCV5. Areas fundamental to meeting basic needs of local communities (e.g. subsistence, health). • HCV6. Areas critical to local communities' traditional cultural identity (areas of cultural, ecological, economic or religious significance identified in cooperation with such local communities).
72. Home Mixer: The production of home mixed feeds that do not leave the farm where they were produced. These are divided into producers who mix or blend feed on farm for own use using premixes or additives (creating a compound feed), and producers who mix ingredients on farm, but do not use pre-mixes or additives (and therefore do not create a compound feed).
73. Initial inspection: This is the first inspection for certification of a production process. An initial inspection in the case of crops shall take place during harvest time, or if produce handling is included, during produce handling, when all control points and sufficient records/evidence related to safety of the product and processes (e.g. MRLs, hygiene during harvest, etc.) are available. An initial inspection shall also be conducted when i) a certificate expired for more than 12 months, ii) a production unit changes owner and iii) when a producer transfer takes place.
74. Inlet water (Aquaculture): Water taken from a surface source of water used for aquaculture purposes extracted from the environment. Place where this happens is an inlet.
75. Inorganic fertilizer: a fertiliser in which the declared nutrients are in the form of minerals obtained by extraction or by physical and/or chemical industrial processes.
76. Integrated Crop Management: ICM is a farming system that meets the requirements of long-term sustainability. It is a whole-farm strategy that involves managing crops profitably, with respect for the environment, in ways that suit local soil, climatic and economic conditions. It safeguards the farm's natural assets in the long term. ICM is not a rigidly defined form of crop production but is a dynamic system that adapts and makes sensible use of the latest research, technology, advice and experience.
77. Integrated Farm Management: An approach to farming which aims to balance production with economic and environmental considerations by means of a combination of measures including crop rotation, cultivations, appropriate crop varieties and careful use of inputs.
78. Integrated Pest Management (IPM): The careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep plant protection products and other interventions to levels that are economically justified and reduce or minimise risks to human health and the environment. IPM emphasises the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural and or non-chemical pest control mechanisms.
79. Internal audit: Audit carried out by the producer group on its own Quality Management System, at least once per year.
80. Internal group inspection: Inspection carried out to all registered Producer Group members at least once per year. Inspection: conformity evaluation by observation and judgement accompanied as appropriate by measurement, testing or gauging. The examination of food or systems for control of food, raw materials, processing and distribution, including in-process and finished product

testing, in order to verify compliance to requirements; See also ISO 9000: 2005. In GLOBALGAP (EUREPGAP) an inspection takes place at farm level to determine if the producer is compliant with the CPCCs.

81. IPRO: The Integrity Programme of GLOBALGAP
82. Juvenile: A juvenile (organism) is an individual organism after birth (hatching, germination, etc.), but has not yet reached its sexual maturity.
83. Licence and Certification agreement: legal document which establishes the rights and obligations of GLOBALGAP as standard owner and GLOBALGAP (EUREPGAP) approved certification bodies as independent inspection organisations for inspection, certification and licensing activities within the framework of the GLOBALGAP (EUREPGAP) system.
84. Living wage: Everyone who works has the right to just and favourable remuneration ensuring for himself and his family an existence worthy of human dignity, and supplemented, if necessary, by other means of social protection.
85. Local Community (as used in Aquaculture): “A group of people with diverse characteristics who are linked by social ties, share common perspectives, and engage in joint action in geographical locations or settings”. Elements of indicators that can be applied when trying to distinguish between communities revolve around being a social unit and having particular relationships. Distinctions between communities within a given governmental unit (like a town or district) can be made on the basis of four elements: 1. a state of organized society, 2. the people of a confined geographical location, 3. the quality of holding something in common, as in community of interests, community of goods, 4. a sense of common identity and characteristics.
86. Mangroves: Mangroves are broadly defined as areas containing one or more true mangroves. About 60 species are restricted to the mangrove habitat according to Saenger et al. (1983) and this list can be found at <http://www.fao.org/forestry/site/mangrove/en/> under “Exclusive mangrove species”. Disturbance of any one of these species communities should not be permitted, as they are considered essential to the survival of this critically endangered ecosystem. Principles and guidelines for wetland restoration, including that of mangroves, can be found at: http://www.ramsar.org/key_guide_restoration_e.htm
87. Manure organic fertilizer: non-proprietary organic fertilizer; Animal excreta collected from stables and barnyards with or without litter; used to enrich the soil.
88. Medicines: Substances intended for use in the diagnosis, prevention, mitigation, cure or treatment of a condition or disease, including substances with effect on the central nervous system like sedatives and anaesthetics.
89. Milking Parlour: a place where cows are milked.
90. Module: Section of the standard where a set of Control Points are grouped together under a common denominator (e.g. All Farm, Crops Base, Fruit and Vegetables for Apples)
91. Natural Inter-tidal zone: The inter-tidal zone, also known as the littoral zone, in marine aquatic environments is the area of the foreshore and seabed that is exposed to the air at low tide and submerged at high tide, i.e. the area between tide marks. The natural inter-tidal zone is that which would otherwise exist without changes to local hydrology due to man made changes such as artificial dikes and embankments.
92. New agricultural site: Land being used for production or planted for the first time after being used for animal production or non-food uses, excluding “soil improvement” crops.
93. Non-compliance: A GLOBALGAP (EUREPGAP) control point in the checklist is not fulfilled according to the compliance criteria.
94. Non-conformance: A GLOBALGAP (EUREPGAP) rule that is necessary for obtaining a GLOBALGAP (EUREPGAP) certificate is infringed. In other words, the producer does not comply with 100% of the Major Musts and/or 95% of the Minor Musts.
95. Nutrient balance: The soil surface nitrogen balance is calculated as the difference between the total quantity of nitrogen inputs entering the soil and the quantity of nitrogen outputs leaving the

- soil annually, based on the nitrogen cycle.
96. Organic agriculture: Refer to 2000/2092 legislation.
 97. Organic fertiliser: Organic fertilisers mean materials of animal origin used to maintain or improve plant nutrition and the physical and chemical properties and biological activity of soils, either separately or together, they may include manure, compost and digestion residues.
 98. Outlet water (Aquaculture): Water returned to the environment after being used for aquaculture purposes. Place where this happens is an outlet.
 99. Outlet Effluent: Liquid waste that is released into a river or other waterway. Water mixed with waste matter, which is flowing outward.
 100. Overexploitation: The use of raw materials excessively without considering the long-term ecological impacts and sustainability of such use.
 101. Packhouse: Any facility set up for handling harvested produce (see Produce Handling). Only those packhouses that do not pack the GLOBALGAP (EUREPGAP) registered produce in the final package and/or do not process the produce by changing its shape or appearance are included in the GLOBALGAP (EUREPGAP) certificate scope for Integrated Farm Assurance.
 102. Perennial: A plant whose life cycle lasts for three or more years; Lasting year after year
 103. Plant Protection Product: Any substance or mixture of substances intended for controlling insects, weeds, fungi, and other forms of plant or animal life considered to be pests.
 104. Plant Protection Product (PPP) risk analysis: Covers the following risks,
 - Exceeding Maximum Residue Levels/Limits (MRLs),
 - Legal PPP registration issues
 - Residue analysis decision taking
 - Reasons behind decision taking for Residue Analysis
 105. Pollution prevention: The use of materials, processes, or practices to reduce, minimise, or eliminate the creation of pollutants or wastes. It includes practices that reduce the use of toxic or hazardous materials, energy, water, and/or other resources.
 106. Post harvest chemicals: Includes post-harvest Plant Protection Products, including wax, detergents, and lubricants where applicable.
 107. Post larvae (Shrimp): Animals that have changed from the larval form to juvenile or adult form; usually refers only to the stage immediately following the larvae and which shows already juvenile characters.
 108. Potable water: Water which meets the quality standards of drinking water such as those described in the WHO published Guidelines for the Safe Use of Wastewater and Excreta in Agriculture and Aquaculture.
 109. Preventive measure: Physical, chemical, or other factors that can be used to control an identified hazard.
 110. Primary product: "Not processed" (See definition for processed product).
 111. Processed product: When the structure of the product is altered in appearance or form
 112. Produce: The harvested product of the crop after it has been harvested, before it is sold.
 113. Produce handling: Low risk post-harvest activities carried out on the produce that is still owned by the certified producer/group of producers, i.e., packing or storage. Produce handling does not cover processing of produce. Any storage, chemical treatments, trimming, washing, or any other handling where the product may have physical contact with other materials or substances must be considered under produce handling (CPCC FV.5). Packing carried out at point of harvest must be considered under "Final Produce Packing at point of Harvest" (see CPCC FV.4.2).

114. Producer: A person (individual) or business (individual or producer group) representing the production of the products, relevant to the scope (Crops, Livestock or Aquaculture), who has the legal responsibility for the products sold by that farming business.
115. Producer Group: Group of producers applying for certification with an internal procedure and internal control of 100 % of members registered to the GLOBALGAP (EUREPGAP) requirements. A producer group may have members that are not GLOBALGAP (EUREPGAP) providing there is a system for segregation of these non-GLOBALGAP (EUREPGAP) producers in place according GR Part III, 1.9). It must have legal structure, contracts with each producer, stating entry and exit requirements, stipulated suspensions, and agreement to comply with GLOBALGAP (EUREPGAP) requirements for registered members. List of all members of the producer group with registration status must be available. The producer group must have a management representative with ultimate responsibility. A producer group is not a multi-site operation where an individual or one organisation owns several production locations or “farms”, which in itself are NOT separate legal entities. This type of operation falls under Option 1 and every production location, farm or site must be inspected and covered under the scope of the certificate. Only if such an operation has a Quality Management System including internal annual inspections, and the QMS is included in the GLOBALGAP (EUREPGAP) certification, can it be certified under Option 2 with a random sample of sites (minimum square root) selected based on the criteria as described in GR Part II, Appendix II.3
116. Production process: GLOBALGAP (EUREPGAP) provides the standards and framework for independent, recognised third party certification of farm production processes based on EN45011 or ISO/IEC Guide 65 – product/production process certification and therefore the producer can only be certified with reference to one or more production processes of the product(s) under consideration. Although the term “product status” is used, it only refers to the status of the production process of the product out of which the product is delivered and not to that of the product itself.
117. Product tracing: the capability to identify the origin of a particular unit and/or batch of product located within the supply chain by reference to records held upstream in the supply chain. Products are traced for purposes such as product recall and investigating complaints. Within the context of GLOBALGAP (EUREPGAP) Integrated Farm Assurance this means tracing product from the producer’s immediate customer back to the producer and certified farm.
118. Product tracking: The capability to follow the path of a specified unit of a product through the supply chain as it moves between organisations. Products are tracked routinely for obsolescence, inventory management and logistical purposes. Within the context of GLOBALGAP (EUREPGAP) Integrated Farm Assurance this means tracking product from the producer to his immediate customer.
119. Production Location: A production unit or group of production units, covered by the same ownership, operational procedures, farm management, and GLOBALGAP (EUREPGAP) decision-making activities. For GLOBALGAP (EUREPGAP) certification the production location(s) must be registered with the CB.
120. Protected areas: An area of land and/or sea especially dedicated to the protection and maintenance of biological diversity, and of natural and associated cultural resources, and managed through legal or other effective means. The Six IUCN Protected Area Management Categories: • Ia Strict Nature Reserve: protected area managed mainly for science, • Ib Wilderness Area: protected area managed mainly for wilderness protection, • II National Park: protected area managed mainly for ecosystem protection and recreation, • III Natural Monument: protected area managed mainly for conservation of specific natural features, • IV Habitat/Species Management Area: protected area managed mainly for conservation through management intervention, • V Protected Landscape/Seascape: protected area managed mainly for landscape/seascape conservation and recreation, • VI Managed Resource Protected Area: protected area managed mainly for the sustainable use of natural ecosystems. The World Database on Protected Areas (WDPA) is the most complete compilation of protected areas data available. The datasets are available as free downloads at: <http://www.unep-wcmc.org/wdpa/>.
121. Pullet: refers to the female chicken, which has not reached its laying age or period.

122. RAMSAR sites: <http://www.ramsar.org/> The Ramsar List shows the site name, date of designation, location, total area, and geographical coordinates of each Ramsar site. Fuller descriptions of all the sites in the List have been published periodically in the Directory of Wetlands of International Importance, the most recent edition of which is available on Wetlands International's Web site (<http://www.wetlands.org/RSDB/default.htm>).
123. Record: A record is a document that contains objective evidence, which shows how well activities are being performed or what kind of results₁ is being achieved.
124. Registration: The process by which an individual producer or producer group starts the application process for certification with an approved GLOBALGAP (EUREPGAP) CB.
125. Registration number: It is a number issued by the Certification Body to identify the producer and it serves as alias identification to the GLOBALGAP number (GGN).
126. Rehabilitation (of ecosystems): The recovery of specific ecosystem services in a degraded ecosystem or habitat. In coastal ecosystem settings, direct and indirect services include: fiber, timber, fuel; erosion control; flood/storm protection; waste processing; nutrient cycling; biodiversity etc. All of these services should be outlined in the Biodiversity inclusive EIA. Rehabilitation of disused ponds merely implies re-obtaining yield from pond. Success of rehabilitation depends on objectives, which should be based on EIA.
127. Responsible persons: Persons who have been appointed of being responsible by position or agreement.
128. Restoration (of ecosystems): The return of an ecosystem to its original community structure, natural complement of species, and natural functions.
129. Rinsate: The mixture of the water used for rinsing together with remnants of the Plant Protection Product and water mixture that results from the process of rinsing the Plant Protection Product application machinery/containers.
130. Risk: An estimate of the likely occurrence of a hazard.
131. Risk analysis: Means an estimate of the probability, frequency and severity of the occurrence of a hazard or other non-conformity with regard to quality and food safety.
132. Recall: Means the process by which a product is removed from the supply chain and where consumers are advised to take appropriate action, for example to return or destroy food.
133. Resolved: Positive closure of a non-compliance.
134. Salinisation: The condition in which the salt content of soil accumulates over time to above the normal level; occurs in some parts of the world where water containing high salt concentration evaporates from aquacultural infrastructure with standing water.
135. Sanitised: Washed with a disinfectant. (Disinfection)
136. Scope of accreditation: Specific conformity assessment services for which accreditation are sought or have been granted. In GLOBALGAP (EUREPGAP) the accreditation scopes are Livestock, Crops, Aquaculture.
137. Scope of the Standard: Module covering generic production issues, classified under the titles of All Farm Base, Crops Base, Livestock Base and Aquaculture Base.
138. Seepage: The infiltration and percolation of surface water from overland flow, ditches, channels, ponds, lakes, streams, rivers, or other surface water bodies.
139. Self-Assessment: internal inspection of the registered product carried out by the producer based on the GLOBALGAP (EUREPGAP) checklist. Only applicable to Options 1 and 3.
140. Sewage: The waste and wastewater produced by residential and commercial sources and discharged into sewers.
141. Sewage sludge: The accumulated settled solids separated from various types of water either moist or mixed with liquid component as a result of natural or artificial processes.

142. Sewage water: water mixed with waste matter
143. Signature: Must be a personal, non-transferable, visible and infallible identifier of the person, which is recorded manually, either by handwriting or « pressing a button ». Password protection alone does not guarantee individual identification.
144. Social Impact Assessment: Includes the processes of analyzing, monitoring and managing the intended and unintended social consequences, both positive and negative, of planned interventions (policies, programmes, plans, projects) and any social change processes invoked by those interventions. International Association for Impact Assessment (www.IAIA.org).
145. Standard Operating Procedures (SOP): A written document which details an operation, analysis, or action whose mechanisms are prescribed thoroughly and which is commonly accepted as the method for performing certain routine or repetitive tasks.
146. Subcontractor: Specific farm operations performed under contract between the producer and the contractor. The contractor furnishes labour, equipment, and materials to perform the operation. Custom harvesting of grain, spraying and picking of fruit are examples of custom work. Within the GLOBALGAP (EUREPGAP) context, subcontractors are those organisations/individuals contracted by the producer/producer group to carry out specific tasks that are covered in the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria.
147. Sub-licence and Certification agreement: legal document which establishes the rights and obligations of GLOBALGAP (EUREPGAP) approved certification bodies as independent organisations for inspection, certification and licence activities and of producers or producer groups as interested parties active in the market within the GLOBALGAP (EUREPGAP) system.
148. Sub-scope of the Standard: Module covering specific production details, classified per product type (Fruit and Vegetables, Combinable Crops, Coffee (green), Tea, Flowers and Ornamentals, Cattle & Sheep, Pigs, Dairy, Poultry, Salmon and Trout and any sub-scopes that might be added during the validity period of this document)
149. Substrate: Any growing medium used for holding plants in place of soil, and that has been imported to the site, and can be removed after use.
150. Suitable laboratory: Currently accredited to EN 17025 or can be demonstrated via documentation that it is in the process of gaining accreditation within a set time limit (2 years max.), or meets the demands for accreditation as evaluated by an external expert.
151. Supplier: A supplier is a person or an organization that provides products or services to customers.
152. Surface water: All waters on the surface of the Earth found in rivers, streams, ponds, lakes, marshes, wetlands, as ice and snow, and transitional, coastal and marine waters.
153. Sustainable water sources: Those water sources that are under a sustainable method of management. I.e. one that “ensure[s] the health of aquatic ecosystems and balance the water needs of the environment with the water needs for economic development and agricultural purposes”
154. Technically responsible person: Person responsible for taking technical decisions regarding the certified product. This can be for a specific area of responsibility or overall, and may either be the producer or an adviser.
155. Toilet: Facility where the persons may defecate and urinate in a hygienic manner (including waste disposal) and poses no food safety contamination risk to surrounding field area whilst ensuring privacy of the person.
156. Top soil: The upper part of the soil profile that is relatively rich in humus, which is technically known as the A-horizon of the soil profile.
157. Traceability: The ability to retrace the history, use or location of a product (that is the origin of materials and parts, the history of processes applied to the product, or the distribution and placement of the product after delivery) by the means of recorded identification"

158. Verification: Confirmation by examination of evidence that a product, process or service fulfils specified requirements.
159. Veterinary Health Plan (VHP): A written plan that supports optimal health of the animals through continuous care by the veterinarian and trained personnel. It identifies disease prevention strategies, treatments for regularly encountered conditions, recommended vaccination protocols and parasite controls. Additionally it includes information on herd performance, biosecurity, workers' competence, etc.
160. Water Course: A discrete and significant element of surface water such as a lake, reservoir, a stream, river or canal, part of a stream, river or canal, transitional water or a stretch of coastal water.
161. Waste Matter: Any materials unused and rejected as worthless or unwanted
162. Weed: Any plant growing where it is not wanted. In agriculture, used for a plant that has good colonising capability in a disturbed environment, and can usually compete with a cultivated species therein. Weeds are typically considered as unwanted, economically useless or pest species.
163. Well-Boat: A well-boat is a vessel for transporting live fish in tanks.
164. Withdrawal: is the process by which a product is removed from the supply chain, with the exception of a product that is in the possession of consumers.
165. Worker: Any person on the farm that has been contracted to carry out a task. This includes farm owners and managers.
166. Working language: language in which an audit/inspection can be carried out independently without a translator.

Note: This list of definitions are indicative but not limiting; more definitions are added by GLOBALGAP as the need arises, changing the numbering – the pre-established order is Alphabetic for the first letter of the term defined.

EDITION UPDATE REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-1_Sep07	3.0_Mar07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.0-2_Apr08	3.0-1_Sep07	16 April 2008	16 April2008	Addition of definitions, mainly as a result of the launch of the Shrimp sub-scope.
3.1_Nov09 Interim Final	3.0-2_Apr08	28 Feb 2010	20 Nov 2009	Addition of definitions for First Harvest, Further Harvest, Production process. CIPRO, BIPRO, GAP, GLN, Initial inspection, IPRO, Recall, Veterinary Health Plan Modification of Definition for Produce Handling, Record, Production location, GGN, Subcontractor
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Change from Interim Final to Final Version

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

ANNEX I.2 GLOBALGAP (EUREPGAP) PRODUCT LIST

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

1.1 SCOPE: CROPS

Criteria for inclusion into this list of a product are by necessity arbitrary, based on a GLOBALGAP decision.

GLOBALGAP (EUREPGAP) certification cannot be achieved for “wild crops” such as mushroom, walnut, litchi, etc. that are not cultivated.

Crops certified as GLOBALGAP (EUREPGAP) cover the entire crop grown by the producer/producer group.

1.1.1 Sub-scope: Fruit and Vegetables

Fruit and Vegetables for the purpose of GLOBALGAP (EUREPGAP) certification are defined by GLOBALGAP in the list below (with the product identification number in brackets). The range of products can be defined as: products originating from plants which are commonly designated as producing either “fruit”, “vegetables”, “edible roots”, “bulbs”, “tubers”, “nuts”, “spices” or “herbs”, for fresh, cooked or processed consumption by humans.

A	Brassica spp (Only if not specified) (268)	Coconut (32)	(Paraguayan) (223)
Acerola (198)	Broccoli (16)	Coriander (33)	Fig (43)
Almond (1)	Broccoli romanesco (216)	Corn salad (Lamb's Lettuce) (244)	G
Aloe vera (173)	Broccoli (271)	Courgette (Zucchini, Marrow) (34)	Galangal (132)
Apple (2)	Brussel sprout (17)	Cranberry (35)	Garlic (44)
Appleberry (243)	Butternut (128)	Cress (36)	Garlic Chives (310)
Apricot (3)	C	Cucumber (37)	Gherkin (133)
Artichoke (Globe Artichoke) (4)	Cabbage (18)	Curly Endive (275)	Ginger (134)
Arugula (125)	Calabash (264)	Curry leaves (131)	Ginseng root (184)
Asian pear (232)	Capsicums (Pepper) (19)	Custard apple (Chirimoya) (39)	Glasswort (235)
Asparagus (5)	Carambola (Starfruit) (287)	D	Gooseberry (45)
Atemoya (302)	Cardamom (174)	Date (40)	Grape (48)
Aubergine (6)	Carrot (20)	Dolicho (182)	Grape leaves (176)
Avocado (7)	Cashew nut (246)	Dragon fruit (Pitaya) (175)	Grapefruit (47)
B	Cassava root (manioc, yucca) (180)	Drumstick (183)	Guava (135)
Baby banana (126)	Cauliflower (21)	Durian (239)	H
Baby corn (8)	Celeriac (22)	E	Hazelnut (225)
Baby leafy crops (127)	Celery (23)	Edible chrysanthemum (309)	Herbs-misc ⁽¹⁾ (50)
Balsam apple (263)	Chard (24)	Edible flower (200)	Horse radish (51)
Bamboo shoot (219)	Chayote (129)	Elderberry (286)	J
Banana (9)	Cherry (25)	Elephant garlic (245)	Jack fruit (52)
Bean (10)	Chestnut (26)	Endive (41)	Japanese horseradish (wasabi) (241)
Beetroot (11)	Chicory (Witloof) (27)	F	Japanese mustard spinach (224)
Bilberry (15)	Chillies (28)	Feijoa (152)	Jerusalem artichoke (222)
Bitter melon (262)	Chinese cabbage (130)	Fennel (42)	Jujube (226)
Black salsify (13)	Chinese Convolvulus (181)	Flat nectarine (266)	K
Blackberry (14)	Chive (30)	Flat peach	Kale (220)
Blackcurrant (179)			Kiwano (54)
Blueberry (197)			Kiwi (55)
Boysenberry (311)			Kohlrabi (56)
Brazil nut (250)			Krachai (136)
			Kumquat (57)

L	Orange (81)	Pumpkin (100)	Swede (115)
Leek (58)	P	Purslane (211)	Sweet potato (116)
Lemon (60)	Pakchoi (82)	Q	Sweetcorn (117)
Lemon grass (59)	Pak plang (272)	Quince (101)	T
Lettuce (61)	Palm heart (83)	R	Tamarillo (118)
Lime (62)	Palm oil kernels	Radish (102)	Tamarind (269)
Limequat (218)	and fruit (177)	Radicchio (277)	Tangelo (146)
Litchi (63)	Papaya (84)	Ragweed (217)	Tangor (229)
Longan (228)	Parsley (85)	Rambutan (143)	Taro (191)
Longkong (267)	Parsnip (86)	Raspberry (103)	Thistle (147)
Loquat (231)	Parsnip (86)	Red currant (253)	Tindori (192)
Lotusroot (251)	Passion fruit	Rhubarb (104)	Tomato (119)
Lucuma (137)	(Maracuya) (87)	Rose apple (240)	Turnip (120)
Luffa (265)	Pea (90)	Rose hip (227)	Turnip top (148)
M	Pea Eggplant (306)	S	V
Macadamia (64)	Peach (88)	Salak (144)	Vanilla bean (178)
Malacca Apple	Pear (89)	Salsify (145)	W
(Milk apple) (201)	Pecan nut (186)	Sanchu (189)	Walnut (193)
Mandarin (66)	Peppercorn (187)	Santol (254)	Water convolvulus
Mangetout (67)	Persimmon / Kakis	Sapodilla (190)	(274)
Mango (68)	(92)	Satsuma (105)	Water cress (284)
Mangosteen (138)	Physalis (93)	Sea aster (234)	Watermelon (149)
Medlar (151)	Pineapple (94)	Scarole (Broad leaf	Wax apple (230)
Melon (71)	Pine nut (252)	endive) (285)	White currant (261)
Mineola (72)	Pistachio (188)	Sea buckthorn	White turmeric
Mulberry (73)	Plantain (141)	(236)	(194)
Mushroom (74)	Plum (95)	Shallot (106)	Wild Garlic (308)
Mustard (75)	Plumcot (142)	Soursop (307)	Y
N	Pluot (Aprium)	Spinach (108)	Yacon (237)
Nectarine (76)	(221)	Spring Onion (283)	Yam (122)
O	Pomegranate (96)	Sprouts (109)	Yard Long Bean
Okra (78)	Pomelo (97)	Squash (110)	(273)
Olive (79)	Poppy seed (242)	Star apple (282)	
Onion (80)	Potato (98)	Strawberry (112)	
	Prickly pear (99)		

⁽¹⁾ Herbs includes: Aniseed, Balm, Basil, Borage, Caraway, Catnip, Chamomile, Chervil, Chicory, Chives, Coriander, Dill, Fennel, Laurel, Lavender, Lemon grass, Lovage, Marjoram, Mizuna, Nettle, Oregano, Parsley, Peppermint, Rocket, Rosemary, Sage, Savory, Sorrel, Spearmint, Tarragon, Thyme

It **does not** include medicinal herbs or herbs used solely for their aromatic purposes.

1.1.2 Sub-scope: Combinable Crops

Combinable Crops for the purpose of GLOBALGAP (EUREPGAP) certification are defined by GLOBALGAP in the list below. The range of products can be defined as: products originating from extensive production systems, which are commonly designated as producing either “grain”, “pulses”, “fodder” or “extracts” (oil, sugar, starch, etc.), for cooked or processed consumption by humans or animals, or for use in industry.

Other descriptions for this type of product are “Broad-acre Crops”, “Bulk Crops” or “Arable Crops”.

A	F	L	Peanut (139)
Amaranth (256)	Flax (Linseed)	Lentils (185)	R
B	(203)	Lupine (305)	Rape seed
Barley (123)	Fodder Radish	M	(Canola) (158)
Buckwheat (257)	(270)	Maize (65)	Rice (159)
C	H	O	Rye (160)
Chickpea (199)	Hemp (204)	Oats (156)	S
Cotton (202)	Hops (195)	P	Sesame (255)

Sorghum (196)	Stevia (301)	Sunflower (163)	W Wheat (165)
Soya bean (161)	Sugar beet (113)	T	
Spelt (205)	Sugar cane (162)	Triticale (164)	

1.1.3 Sub-scope: Coffee (green)

Green coffee beans (172)
Coffee (green) CoC (304)

1.1.4 Sub-scope: Tea

Tea (*Camellia sinensis*) (210)
Tea CoC (303)

1.1.5 Sub-scope: Flower and Ornamentals

Bedding plants (288)	Outdoor grown flowers (293)
Bulbs (289)	Outdoor grown foliage (294)
Hardy nursery stock (290)	Potted plants (295)
Indoor grown flowers (291)	Turf (300)
Indoor grown foliage (292)	

1.2 SCOPE: LIVESTOCK

Criteria for inclusion into this list of a product are by necessity arbitrary, based on a GLOBALGAP decision.

GLOBALGAP (EUREPGAP) certification cannot be achieved for “wild game/catch” that are not farmed.

Livestock certified as GLOBALGAP (EUREPGAP) cover ALL animals of that type present on farm, EXCEPT Grandparents.

1.2.1 Sub-scope: Cattle and Sheep

Bovine (168)
Sheep (169)

1.2.2 Sub-scope: Dairy

Milk (167)

1.2.3 Sub-scope: Pigs

Pig (153)

1.2.4 Sub-scope: Poultry / Turkey

Chicken (Excluding human consumption egg layers, but including eggs for hatching) (166)
Turkey (276)

1.3 SCOPE: AQUACULTURE

Criteria for inclusion into this list of a product are by necessity arbitrary, based on a GLOBALGAP decision.

GLOBALGAP (EUREPGAP) certification cannot be achieved for “wild fish/catch” that are not farmed.

Aquaculture products certified as GLOBALGAP (EUREPGAP) cover ALL fish and all stages of that type present on farm.

1.3.1 Salmonids

Ova salmon (212)	Ova trout (213)
Smolt salmon (214)	Smolt trout (215)
Salmon (170)	Trout (171)
Salmonid CoC (Salmon & Trout) (247)	

Salmonidae: genera *Salmo*, *Oncorhynchus* & *Salvelinus* (salmonids, thus salmon; both pacific and atlantic species, trouts and char species).

1.3.2 Tilapia

Tilapia (278)
Tilapia CoC (279)
Brood Stock Tilapia (296)
Fry and Fingerling Tilapia (297)

1.3.3 Pangasius

Pangasius (280)
Pangasius CoC (281)
Brood Stock Pangasius (298)
Fry and Fingerling Pangasius (299)

1.3.4 Shrimp

All shrimp and prawn species (all species belonging to the *Natantia*; all familia) and all fresh water crayfish species (all species belonging to *Reptantia*: familia *Astacidae*).
Shrimp Nauplii and post-larvae (258)
Shrimp Broodstock (259)
Shrimp (260)
Shrimp CoC (248)

NOTE: This list is not exhaustive and new products can be added on request to and after approval by GLOBALGAP.

2 EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-1_2July07	3.0-Mar07	2 July 2007	2 July 2007	Clarification of wording: 1.1.2. Addition of products to the sub-scope: Fruit and Vegetables
3.0-2_Sep07	3.0-1_2 Jul07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP); Clarification of wording: 1.1.1; 1.1.2; 1.2.4; Plum, wax apple, loquat, Asian pear, Flat peach, sea aster, glasswort, sea buckthorn added to 1.1.1
3.0-3_Apr08	3.0-2_Sep07	15 Apr 2008	15 Apr 2008	Addition of crops: Appleberry, Corn salad, Durian, Japanese horseradish, Lamb's lettuce, Longkong, Lotusroot, Poppy seed, Rose apple, Santol, Sesame, Yam; Addition of Shrimp products
3.1_Nov09 Interim Final	3.0-3_Apr08	28 Feb 2010	20 Nov 2009	Addition to crops: Atemoya, Balsam Apple, Bitter Melon, BoysenberryBrassica spp, Broccolini, Calabash, Carambola, Curly Endive, Edible chrysanthemum, Elderberry, Elephant Garlic, Flat Nectarine, Garlic Chives, Luffa, Pak plang, Pea Eggplant, Purslane, Radicchio, Scarole, Soursop, Spring onion, Star apple, Tamarind, Water convolvulus, Watercress, Wild Garlic, Yard long bean. <u>Addition to Combinable Crops:</u> Fodder radish, Hops, Lupine, Stevia. <u>Addition to Flower & Ornamentals:</u> Turf, <u>Addition to Tea & Coffee:</u> Tea CoC, Coffee (green) CoC. <u>Addition to livestock:</u> Turkey. <u>Addition to Aquaculture:</u> Salmonid CoC (Salmon & Trout), Pangasius, Pangasius CoC, Broodstock Pangasius, Fry and Fingerling Panagsius, Tilapia, Tilapia CoC, Broodstock Tilapia, Fry and Fingerling Tilapia, Shrimp CoC; <u>Delete:</u> Sultana, Clementines. Product codes added.
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	<u>Change from Interim Final to Final Version</u>

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain "3.0" and edition update shall be indicated with "-x".
3. When the changes do affect the accreditation of the standard, the version name will change to "3.x".

ANNEX I.3 GLOBALGAP (EUREPGAP) REGISTRATION DATA REQUIREMENTS

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

1.1 Types of Master Data required

The CB must record the following data and the GLOBALGAP database needs to be updated accordingly (as required in the current database manual).

- 1.1.1 Company and Location information
- 1.1.2 Responsible person(s) of the company data
- 1.1.3 Product information

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

The CB must provide the producer or producer group with a choice among four different data release levels, which will specify general data display to specified user groups in the database and the public for certificate validation:

- (i) Level 1 - Minimum and obligatory level for all sub-scopes:
 - a. The GGN, registration no., scheme, version, option, CB, products and status, produce handling/processing declaration, number of producers (in Option 2), country of production and destination are available **to the public**.
 - b. GLOBALGAP, the certification body and trustee, which the producer or producer group is working with, can use all data in the GLOBALGAP database for internal processes and sanctioning procedures.
- (ii) Level 2 - Unless indicated to the contrary by the producer or producer group, this level is automatically chosen for fruit and vegetables:
 - a. In addition to Level 1, GLOBALGAP members and other industry market participants with authorised database access are allowed to see producer or producer group 's organization name, city and postal code.
- (iii) Level 3 - Unless indicated to the contrary by the producer or producer group, this level is automatically chosen for all sub-scopes except fruit and vegetables:
 - a. In addition to Level 1, the producer or producer group's organization name, city and postal code are available to the public.
- (iv) Level 4 - Publication of all data (e.g. contact details, quantities, completed checklists) to public.

In addition to the choice of one of the levels above the producer or producer group may grant access to selected data to individually identified database users, on request.

The level of data privacy must be fixed and signed during registration with the CB. 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, producer group or other data trustee; as described in GR Part I, 4.6).

Therefore a certification body, producer group or other data trustee can do the registration, if the producer or producer group has assigned them the rights in writing for registering them in the database.

1.1.1 Company and Location Information

The following information regarding the company (producer as individual certificate holder or producer member in a producer group) and the specific location(s) (including produce handling sites, ponds, etc.) to be certified is necessary to supply each producer in the system with a unique GLOBALGAP number (GGN).

- (i) Company name and produce handling facility (if different)
- (ii) Contact details: Street address
- (iii) Contact details: Postal address
- (iv) Postal Code
- (v) City
- (vi) Country
- (vii) Phone number (if available)
- (viii) Fax number (if available)
- (ix) E-mail address (if available)
- (x) GLN (if available)
- (xi) Legal registration by country as published and approved by the GLOBALGAP Board. This number is only used for internal verification to avoid double registration (e.g, tax number, VAT number, producer number etc.)
- (xii) Previous GLOBALGAP Number (GGN)
- (xiii) Northern/Southern Latitude (voluntary) and Eastern/Western Longitude (voluntary)
- (xiv) Site information: (e.g ponds) coordinates must be supplied for producers seeking certification against the Aquaculture scope as requested in the applicable control points
- (xv) Subcontracted activities

1.1.2 User information:

This is the information required for the user or person in the company who is legally responsible for the certification.

- (i) Title
- (ii) First name
- (iii) Last name
- (iv) Contact details: Street address
- (v) Contact details: Postal address
- (vi) Postal Code
- (vii) City
- (viii) Country
- (ix) Phone number (if available)
- (x) Fax number (if available)
- (xi) E-mail address (if available)
- (xii) Login name (voluntary, only necessary if producer or producer group is interested in changing their data himself)

If more users need access, their data can also be entered into the database (either by certification body, producer group or producer or other designated trustee).

1.1.3 Product information

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

- (i) Product(s)
- (ii) Annual Area under production (crops) / annual Quantity of production (livestock, aquaculture)
- (iii) Covered or non-covered crop (if crop)

- (iv) 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 (if crop)
- (v) Country of Destination (a group of countries may be declared where harmonized MRLs exist; e.g. European Union)
- (vi) Option (1, 2, 3 and/or 4 per product)
- (vii) Scheme name (if a benchmarked scheme; Options 3 and/or 4, per product))
- (viii) Certification Body(ies) to be used as set out in Part I, 4.4.2 (vi)
- (ix) For Fruit and Vegetables: Exclusion of produce handling when not applicable (for each product certified)
- (x) For Fruit and Vegetables: The GLOBALGAP number(s) (GGN) of the producer(s) who do(es) produce handling if it is included when done off-farm (see Produce Handling Exclusion scope 4.9.6.1)
- (xi) For Fruit and Vegetables: If produce handling is included, the producer must declare whether products are also packed for other GLOBALGAP (EUREPGAP) certified producers (in which case all Minor Must control points in the CPCC section FV.5 must also be inspected as Major Musts)
- (xii) For Coffee and Tea: The GLOBALGAP number (GGN) of the processing unit(s) as indicated in the Chain of Custody certification must be entered into the GLOBALGAP database as soon as the producer knows it, and it must be communicated to the CB and updated whenever there are changes.
- (xiii) For Livestock: The GLOBALGAP number (GGN) of the transporter(s) must be entered into the GLOBALGAP (EUREPGAP) database as soon as the transportation is covered by GLOBALGAP and the producer knows it, communicated to the CB and updated whenever there are changes.
- (xiv) For Aquaculture: The GLOBALGAP number (GGN) of the transporter(s) (maritime and terrestrial) must be entered into the GLOBALGAP database as soon as transportation is covered by GLOBALGAP and the producer knows it, and it must be communicated to the CB and updated whenever there are changes.
- (xv) For Aquaculture: The GLOBALGAP number (GGN) of the processing unit(s) as indicated in the Chain of Custody certification must be entered into the GLOBALGAP database as soon as the producer knows it, and it must be communicated to the CB and updated whenever there are changes.

2 EDITION UPDATE REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-1_Sep07	3.0_Mar07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.1_Nov09 Interim Final	3.0-1_Sep07	28 Feb 2010	20 Nov 2009	Clarification and modification according to Sublicence and Certification Agreement and Database requirements in 1.1, 1.1.1, 1.1.2, 1.1.3
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Change from Interim Final to Final Version
3.1_Nov09_updateMar10	3.1_Nov09	1 Apr 2010	1 Apr 2010	Reference corrected: 1.1.3 (viii) and 1.1.3 (x)

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

ANNEX I.4 GLOBALGAP STATUS DEFINITIONS

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

GLOBALGAP (EUREPGAP) defines 2 types of statuses:

1. Producer Statuses (linked to a producer or producer group)
2. Product Statuses (linked to the products of a producer or producer group)

1. PRODUCER STATUSES

All the following statuses refer to the producer individually, or the producer group as a whole.

1.1 Producer Status: “Not confirmed”

Producers or producer groups in the status “Not Confirmed” are those whose registration data are recorded in the database and linked to a Trustee. The registration information (company, location, product information) has not yet been confirmed or reconfirmed by a Trustee. Registration fee is not yet payable by producer or producer groups in this status.

1.2 Producer Status: “Registered”

“Producers or producer groups in the status “Registered” are linked to a Trustee. The producer status “Registered” is a pre-condition for product acceptance and certification. The status “Registered” can only be set by a Trustee.

1.3 Producer Status: “CB/PG Accepted”

Producers or producer groups will be automatically set from the producer status “Registered” to the producer status “CB/PG Accepted”, as soon as one or more products have been set to the product status “Accepted”. “CB/PG Accepted” producers and producer groups must pay the registration fee to the Trustee, according to the current Fee Table published on www.globalgap.org.

1.4 Producer Status “Annulled”

Producers or producer groups in the status “Annulled” are still recorded in the database (they still have a valid GGN), but not linked to a certification body or a producer group anymore. All registration information will be stored in the database for at least 2 years and can be re-activated at anytime. Producer and producer groups in this status do not pay the registration fee.

1.5 Producer Status “Cancelled”

Producers or producer groups in the status “Cancelled” are blocked and will remain in this status for 12 months before they can link up and register with a certification body or producer group again. It is, however, possible that the individual member of a cancelled group can immediately re-register with another group or as Option 1 if there were no issues pending against them as producer member. After 1 year the producer or producer groups will be set to Annulled. A new registration process needs to be followed.

2 PRODUCT STATUSES

Product statuses, within GLOBALGAP certification, refer to the status of the production process of the product under consideration. GLOBALGAP (EUREPGAP) provides the standards and framework for independent, recognised third party certification of farm production processes based on EN45011 or ISO/IEC Guide 65 – product/production process certification and therefore the producer can only be

certified with reference to one or more production processes of the product(s) under consideration. Although the term “product status” is used, it only refers to the status of the production process of the product out of which the product is delivered and not to that of the product itself.

2.1 Product Status: “Not confirmed”

As soon as a producer or producer group registers products in the database, these products are set to the status “Not confirmed”. Additional products can be entered at any time when the producer or producer group is in the status “Not Confirmed”, “Registered” or “CB/PG Accepted”. If a product certificate is not renewed, the product status is automatically set to “Not confirmed”. New products cannot be registered when the producer is in the status “Cancelled” or “Annulled”.

2.2 Product Status: “Accepted”

For certificate holders all products shall be set to the product status “Accepted” before they can be certified. Products with status “Self-declared suspension” or “Suspension” cannot be re-accepted. The CB sets the status “Accepted” for Option 2 and Option 1 and the group itself sets for the producer members of the Option 2 group. This status is the trigger of the registration fee. Product quantities/growing areas need to be entered for producers and producer members of the producer group. The product quantities of the group will be aggregated based on the information of the group members. If products of a group member are in the status “Accepted”, this group member with his/her products will be part of the group certificate and take on the overall product status within the group certificate.

2.3 Product Status “Certified”

As soon as the certification body sets the product status to “Certified” for one or more product(s), the CB shall issue a certificate to the respective producer/producer group. The producer or producer group shall, at this time, pay the certification fee according to the GLOBALGAP Fee Table available on www.globalgap.org. Additional products may be added later, i.e. by changing the product status of these products to “Certified” and by the CB issuing an updated certificate, without changing the certificate validity. Products of group members cannot receive the status “Certified”, but it belongs, in case the respective group product is certified, to a certified production process

2.4 Product Status “Self-declared suspension”

A producer or producer group can ask the CB for a voluntary suspension of a product.

A producer or producer group may voluntarily ask a CB to temporarily suspend his/her/their product(s). (see GR Part I, 6.2.2.1).

2.5 Product Status: “Product Suspended”

A suspension of the product certificate is issued when a producer or producer group does not present evidence of corrective actions that close out a non-conformity after a Warning has been issued. The respective certification body/producer group must set the respective products to the status “Product Suspended”. The suspension must be lifted by the respective certification body/producer group-

2.6 Product Status: “Open non-conformity”

The status “Open non-conformity” is set when 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, or if the certificate has expired for more than 12 months before the subsequent inspection. Consequently, the CB must perform a complete inspection in order for the producer to get certification. The status “open non-conformity” cannot be given to producer group members’ products.

3. EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-1_Sep07	3.0_Mar07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.1_Nov09 Interim Final	3.0-1_Sep07	28 Feb 2010	20 Nov 2009	Modification of all the statuses to clarify (in almost all points).
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Change from Interim Final to Final Version

ANNEX I.5 SUBLICENCE AND CERTIFICATION AGREEMENT V3.0

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

The Sublicence and Certification Agreement is also available on the GLOBALGAP website www.globalgap.org under Standards > Integrated Farm Assurance > Sublicence Agreement.

ANNEX I.6 GLOBALGAP CERTIFICATE TEMPLATES

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

- I. GLOBALGAP Paper Certificate Template for Integrated Farm Assurance 2009-09-07
- II. GLOBALGAP Paper Certificate Template for Chain of Custody 2009-09-07

CB Logo¹

AB symbol
accreditation mark²
No. of Certification Body: xxx³

GGN: xxxxxxxxxxxxxxxxxxxxxx⁴
Registration number of producer / producer
group (from CB) xxxxxxxx⁵
Registration number from Benchmarked
Schemes xxxxxxxxxxxxxx⁶

GLOBALG.A.P.⁷ CERTIFICATE

According to GLOBALG.A.P. (EUREPGAP[®])
General Regulations Integrated Farm Assurance Version⁸

Option X⁹

Issued to
Producer group / Producer
Company name, Address¹⁰

Country of Production¹¹

The Annex contains details of the produce handling/product processing
facilities, producers, production sites assigned to 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:

Scheme Logo (AMC)¹³

Scheme/Standard Control Points and
Compliance Criteria Version¹⁴

The Benchmarked Scheme [Name] normative documents have achieved equivalent status to
GLOBALG.A.P. (EUREPGAP[®]) Normative documents [Name and version] in accordance to the
GLOBALG.A.P. (EUREPGAP[®]) benchmarking procedure.¹⁵

Product(s) ¹⁶	GLOBALG.A.P. Certificate Number ¹⁷	Produce Handling ¹⁸	Harvest excluded ¹⁹	Number of producers ²⁰	Number of production sites ²¹

Valid from: xx/xx/xxxx²²

Valid to: xx/xx/xxxx²³

Authorized by²⁴

Date of Certification Decision:
xx/xx/xxxx²⁵

The actual status of this certificate is always displayed at: <https://database.globalgap.org>²⁶
CB contact data²⁷

Company name, Address (incl. Email)

ANNEX for GGN xxxxxxxxxxxxxxxx²⁸

Producers²⁹

Product(s)	GGN ³⁰	Company/Producer name and address ³¹	Produce Handling ³²

Production Sites³³

Product(s)	Site name and address ³⁴

Produce Handling/Product Processing Facilities³⁵

Product(s)	GLN/GGN ³⁶	Facility name and address ³⁷

CB contact data²⁷

Company name, Address (incl. Email)

Notes

The certificate shall be in English. You may add a second language in the certificate.

- ¹ Certification body (CB) Logo shall appear on all certificates.
- ² Accreditation body (AB) symbol/accreditation mark is placed on all accredited certificates in conformity with AB's rules.
Exception: When the CB is approved, but not yet accredited the following text must appear instead of the AB symbol: "Certificate issued by a GLOBALGAP approved Certification Body [Company name], but not accredited to the GLOBALG.A.P. scope according to ISO 65/EN45011 rules".
- ³ The number given by the accreditation body to the certification body shall be on all accredited certificates.
- ⁴ GLOBALGAP Number (GGN) shall appear on all certificates. In case a certificate holder owns a Global Location Number (GLN), this number replaces the GGN.
- ⁵ The registration number of a producer or producer group, which is assigned by the CB, shall appear on all certificates. It consists of the CB-Short and a number (with exactly one space character between, CB Short_XXXXXXXXXX).
- ⁶ Registration number of Benchmarked Scheme may appear on Option 3 or Option 4 certificates.
- ⁷ The logo of the scheme
GLOBALG.A.P. (EUREPGAP®) certificates: You shall add the GLOBALG.A.P. logo.
Approved Modified Checklist (AMC): You can add the GLOBALG.A.P. logo in addition to the AMC logo (¹³).
Full benchmarked scheme: You cannot add the GLOBALG.A.P. logo, but you can add your scheme logo.
Note: Not-accredited provisionally approved CBs are not allowed to add the GLOBALG.A.P. (EUREPGAP®) logo.
- ⁸ Scheme Certification System Version
For GLOBALG.A.P. (EUREPGAP®) certificates: Please enter, e.g. "GLOBALG.A.P. Integrated Farm Assurance General Regulations Version 3.x". Always mention the exact Version (e.g. 3.0_Sept07)
For Approved Modified Checklist (AMC): Enter e.g. "GLOBALG.A.P. Integrated Farm Assurance General Regulations Version 3.x (AAC)". Please mention the exact Version (e.g. 3.0_Sept07).
For full benchmarked scheme (Option 3 and 4): Enter the exact scheme certification system version, e.g. AMAGAP Produktionsbestimmungen Version January 2008.
- ⁹ Option (1-2-3-4) must always appear on certificate.
- ¹⁰ Name of the certificate holder and the address shall be printed on the paper certificate according to the ISO 65 guidelines.
- ¹¹ Country of production appears on all certificates.
- ¹² Applicable only if
 - a) the produce handling/product processing (for Aquaculture) facility is not owned by the certificate holder and has the same name and address.

CB contact data²⁷

Company name, Address (incl. Email)

- b) the certificate holder is a producer group (Option 2 or 4)
 c) the certificate refers to a multi-site (Option 1 or 3) certificate.
- ¹³ In case of AMC scheme certificates: Logo of the AMC scheme can appear.
- ¹⁴ Scheme/Standard Control Points and Compliance Criteria (CPCC) Version, (e.g. "GLOBALG.A.P. Control Points and Compliance Criteria Integrated Farm Assurance Version 3.0 Sept07" or "AMAGAP Version January 2008")
- ¹⁵ Only applicable for Option 3 or 4 (full benchmarking or AMC)
- ¹⁶ Certified product(s) must always be listed according to the product list of the GLOBALG.A.P. General Regulation.
- ¹⁷ The GLOBALGAP Certificate Number shall be printed on the paper certificate. It is a reference code to the certificate in the GLOBALGAP database per product and certificate cycle. The GLOBALGAP 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.
- ¹⁸ Produce handling or Product processing in case of Aquaculture: Enter yes or no in the column. In case the facility is not owned by the certificate holder and has exactly the same name and address, the facilities shall be listed in the Annex.
- ¹⁹ This column shall only appear in Sub-Scope Fruit & Vegetables, if harvest is excluded. Note: If harvest is excluded, produce handling is not applicable.
- ²⁰ Applicable for Option 2 or 4: Add number of producers, which are listed in the Annex. Column shall appear only in case of Option 2 or 4.
- ²¹ Applicable for multi-site Option 1 and 3: Add number of production sites, which are listed in the Annex. Column shall appear only in case of multi-site Option 1 or 3.
- ²² The certificate "Valid from" date defines the beginning a certificate cycle. For all first-time certifications the certificate "valid from" will be the date when certification decision is made and at the same time the starting date („birthday“) of the 12-month certificate cycle. The certificate "valid from" is the trigger for the Certification Licence Fee in case of first certifications. In case of re-certifications it is the trigger for the Registration fee and the Certification Licence Fee.
- 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 shall be written in block capitals. This person must sign the certificate.
- ²⁵ "Date of Certification Decision" shall appear on all certificates. It is the date when the Certification Committee makes certification decision. In case of re-certifications the date of certification decision has no direct effect on the certificate "valid from" and the corresponding certificate cycle.
- ²⁶ This note shall be added to all paper certificates to point out that only a validation in the GLOBALGAP database proves the certificate validity.
- ²⁷ CB contact data (company name, address, email) shall appear on all certificates.
- ²⁸ The Annex (incl. the GGN of the certificate holder) must be added, if applicable.

CB contact data²⁷

Company name, Address (incl. Email)

- ²⁹ In case of Option 2 or 4, all members of the producer group shall be listed in a table per product.
- ³⁰ All members of the producer groups (Option 2 and 4) are different legal entities and receive a GGN, which shall appear in the table.
- ³¹ Name and address of the producer group members shall be printed on the certificate.
- ³² In case produce handling facilities are owned by producer group members, an additional column can be added to indicate which members have produce handling (“Yes”) and which do not (“No”).
- ³³ In case of multi-site Option 1 or 3, all production sites shall be listed in a table per product.
- ³⁴ Name and address of the sites shall appear in the list.
- ³⁵ If applicable, all produce handling or product processing facilities shall be listed in a table per product. In case of Option 2 or 4: If all the facilities are owned by producer group members, they can also be listed directly in the table “Producers” by adding an additional column for produce handling.
- ³⁶ If the produce handling or product processing facilities are owned by separate legal entities, the GLN or GGN shall be mentioned in the list.
- ³⁷ Name and address of the produce handling or product processing facilities shall be listed.

CB contact data²⁷

Company name, Address (incl. Email)

CB Logo¹

GGN: xxxxxxxxxxxxxxxxxxxxxx²
Registration number of company
(from CB) xxxxxxxx³

CERTIFICATE

According to GLOBALG.A.P. (EUREPGAP[®])
Integrated Farm Assurance Version requirement⁴

Issued to
Company/Producer
Company name, Address⁵

Country of Production/Company location⁶

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:

GLOBALG.A.P. (EUREPGAP[®]) Chain of Custody - Control Points and Compliance Criteria Version⁷

Product(s) ⁸	GLOBALG.A.P. Certificate Number ⁹	Number of Produce Handling/Product Processing Facilities ¹⁰

Valid from: xx/xx/xxxx¹¹

Valid to: xx/xx/xxxx¹²

Authorized by¹³

Date of Certification Decision:
xx/xx/xxxx¹⁴

The actual status of this certificate is always displayed at: <https://database.globalgap.org>¹⁵

Produce Handling/Product Processing Facilities¹⁸

Product(s)	Site name and address¹⁹	Product Quantity (tons)²⁰	Certificate number (GFSI recognised post-farm gate)²¹

Notes

The certificate shall be in English. You may add a second language in the certificate.

- ¹ Certification body (CB) Logo shall appear on all certificates.
- ² GLOBALGAP Number (GGN) shall appear on all certificates. In case a certificate holder owns a Global Location Number (GLN), this number replaces the GGN.
- ³ The registration number of a company, which is assigned by the CB, shall appear on all certificates. It consists of the CB-Short and a number (with exactly one space character between, CB Short_XXXXXXXXXX).
- ⁴ Please enter "GLOBALG.A.P. Integrated Farm Assurance Version 3.x". Always mention the exact version (e.g. 3.0_Sept07).
- ⁵ Name of the certificate holder and the address shall be printed on the paper certificate.
- ⁶ Country of company location appears on all certificates.
- ⁷ "GLOBALG.A.P. Chain of Custody Control Points and Compliance Criteria Version 3.x". Always mention the exact version (e.g. 3.0_Sept07).
- ⁸ Product(s) of which the production process is certified must always be listed according to the product list of the GLOBALG.A.P. General Regulation.
- ⁹ The GLOBALGAP Certificate Number shall be printed on the paper certificate. It is a reference code to the certificate in the GLOBALGAP database per product and certificate cycle. The GLOBALGAP 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.
- ¹⁰ Enter the number of produce handling or product processing facilities in this column. The facilities shall be listed per product in the Annex.
- ¹¹ The certificate "Valid from" date defines the beginning a certificate cycle. For all first-time certifications the certificate "valid from" will be the date when certification decision is made and at the same time the starting date of the 12-month certificate cycle.
- ¹² The certificate "Valid to" date is the expiry date of the certificate.
- ¹³ The first and the last name of the person who has authorized the certificate shall be written in block capitals. This person must sign the certificate.
- ¹⁴ "Date of Certification Decision" shall appear on all certificates. It is the date when the Certification Committee makes certification decision. In case of re-certifications the date of certification decision has no direct effect on the certificate "valid from" and the corresponding certificate cycle.
- ¹⁵ This note shall be added to all paper certificates to point out that only a validation in the GLOBALGAP database proves the certificate validity.
- ¹⁶ CB contact data (company name, address, email) shall appear on all certificates.
- ¹⁷ The Annex (incl. the GGN of the certificate holder) must be added, if applicable.

- 18 The produce handling/product processing facility(ies) shall be listed in a table per product.
- 19 Name and address of the sites shall appear in the list.
- 20 The product quantity (maximum capacity, in metric tons) should be listed per product and produce handling/product processing facility.
- 21 The certificate number(s) of the GFSI recognised post-farm gate certificate for the produce handling or product processing facility.

GLOBALG.A.P. **(EUREPGAP)**

General Regulations Integrated Farm Assurance

VERSION 3.1_Nov09

PART II | CERTIFICATION BODY RULES

Valid from: 20 November 2009
Obligatory from: 1 March 2010

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1. LICENCE AND CERTIFICATION AGREEMENT

The Licence and Certification Agreement establishes the rights and obligations of GLOBALGAP as the GLOBALGAP (EUREPGAP) System co-ordinator and of the CB as the neutral organisation for auditing, inspection, certification and licensing activities within the framework of the GLOBALGAP (EUREPGAP) system.

The Licence and Certification Agreement including its updates must be accepted and signed by the CB as part of the application procedure to become and to remain a GLOBALGAP (EUREPGAP) approved CB and to be listed in the GLOBALGAP website.

The Licence and Certification Agreement and the General Regulations complement each other and GLOBALGAP (EUREPGAP) approved CBs must comply with both.

2. CERTIFICATION BODY APPROVAL PROCESS

2.1 CB Approval by GLOBALGAP (EUREPGAP)

2.1.1 Provisional approval

The CB must complete the below steps before carrying out GLOBALGAP (EUREPGAP) inspections/audits, issuing any non-accredited GLOBALGAP (EUREPGAP) certificates and before provisional approval can be granted.

- (i) The applicant CBs must register in the GLOBALGAP (EUREPGAP) CB Extranet (<http://cb.globalgap.org>), send a completed Application Form and pay an evaluation fee (according to latest version of GLOBALGAP fee table) to the GLOBALGAP Secretariat for initiating the approval process.
- (ii) In case the evaluation of the application is positive, the applicant CB must pay the annual CB Licence Fee and shall:
 - a) register all auditors and inspectors in the GLOBALGAP database; and
 - b) have them complete the GLOBALGAP (EUREPGAP) online training, including the online exams for the General Regulations and for the Control Points and Compliance Criteria in the relevant sub-scope in the Online Training Extranet (<http://onlinetraining.globalgap.org>), within 6 months after registration; and
 - c) pay the relevant online training fee per registered auditor/inspector according to the latest version of the GLOBALGAP fee table.
- (iii) As a condition for provisional approval the applicant CB wanting 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 online test for the applied sub-scope and scope, respectively as well as the General Regulations part. Applicant CBs wanting to certify option 2 producer groups shall have at least one auditor (for producer member inspections and QMS audit) **and** another auditor (for the certification committee) who have passed the online test for the applied sub-scope and scope, respectively.
- (iv) The CB willing to certify a benchmarking standard shall show proof of approval by the scheme or standard owner.
- (v) The applicant CB must sign the GLOBALGAP (EUREPGAP) Licence and Certification Agreement.
- (vi) CBs must apply to an Accreditation Body (AB) for accreditation to EN 45011 or ISO/IEC Guide 65 in the relevant GLOBALGAP (EUREPGAP) sub-scope(s) and Approved Modified Checklists or in the relevant Full Benchmarked Scheme (see General Regulations Part IV). A copy of the confirmation of this application to the AB must be forwarded to the GLOBALGAP Secretariat.
- (vii) The Accreditation Body to which the CB applies must be signatory to the multilateral agreement (MLA) on Product Certification with:
 - a) either the European Co-operation for Accreditation (EA), or
 - b) Members of the IAF, who are signatories of the Pacific Accreditation Cooperation (PAC) are automatically accepted into the IAF MLA, **and**

- c) have signed the Memorandum of Understanding (MoU) with FoodPLUS GmbH within either EA or IAF.
- (viii) There is a provision by the GLOBALGAP Secretariat to allow the provisionally approved CBs **with previous EN 45011 or ISO/IEC GUIDE 65 accreditation** that are not yet GLOBALGAP (EUROPEAN) accredited to issue a limited number of non-accredited certificates during the application phase for accreditation. The maximum number of producers that may receive non-accredited certificates (**Options 1 and 2) per scope is 20.**

e.g.1: If a CB has one producer group (Option 2) of 33 producers, it can only issue a non-accredited certificate covering 20 of the 33 producers. The CB **cannot** issue any further certificate for any Option 1 or Option 2 producers, until it has received accreditation.

Alternatively, the CB can issue Option 1 certificates for 20 producers.

e.g.2: A CB can issue a non-accredited certificate for an Option 2 producer group covering 12 producers and 8 Option 1 certificates for 8 option 1 farmers (not connected to the option 2 group) (total = non accredited certificates for 20 producers).

The provision for Inspection Bodies with previous ISO/IEC 17020:2004 or ISO/IEC Guide 65 (see 3.4 (iv)) accreditation, but not for GLOBALGAP, subcontracted by a CB, is to allow these Inspection Bodies to conduct a maximum of 20 inspections. The CB must control this.

- (ix) There is a provision by the GLOBALGAP Secretariat to allow provisionally approved CBs with **no previous EN45011 or ISO/IEC GUIDE 65 accreditation**, and that are not yet GLOBALGAP (EUROPEAN) accredited to issue a limited number of non-accredited certificates during the application phase for accreditation. These CBs must 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 the CB can apply for accreditation for Option 2 certification. The maximum number of producers that may receive non-accredited Option 1 certificates **for the first scope approval is 5.**

The provision for Inspection Bodies with no previous ISO/IEC 17020:2004 or ISO/IEC Guide 65 (see 3.4 (iv)) accreditation, subcontracted by a CB, is to allow these Inspection Bodies to conduct a maximum of 5 inspections. The CB must control this.

2.1.2 Final approval

The CB must complete the steps below before issuing any accredited GLOBALGAP (EUROPEAN) certificates and before final approval can be granted.

- (i) CBs must obtain accreditation within 6 (six) months after the date of provisional approval. This period can be extended for an additional time-span of 6 months if the AB gives justified reasons that are acceptable to the GLOBALGAP Secretariat explaining the delay. The CB shall submit justified reasons to GLOBALGAP.
- (ii) Once accreditation has been obtained, the CB must send a copy of the accreditation evidence to the GLOBALGAP Secretariat, stating clearly the extent of the accreditation sub-scope(s) and/or Approved Modified Checklist it has been approved for.
- (iii) If accreditation has not been achieved after a maximum period of one year, the provisional approval will be withdrawn and the CB, shall not appear as provisionally approved on the GLOBALGAP website and cannot issue any non-accredited GLOBALGAP (EUROPEAN) certificates. During this period the annual CB Licence Fee will apply. The CB must re-apply for provisional approval after a new standard version is introduced.
- (iv) As a condition for final approval the provisionally approved CB shall have at least one in-house trainer (according to point 3.4 vi) available for the applied sub-scope.
- (v) Only once the CB has been accredited to EN 45011 or ISO/IEC Guide 65 with the applicable GLOBALGAP (EUROPEAN) sub-scope and Approved Modified Checklist, can the CB place the GLOBALGAP (EUROPEAN) trademark/logo on the certificate, according to the applicable GLOBALGAP (EUROPEAN) certificate template, which must be followed at all times.

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

- (i) GLOBALGAP (EUREPGAP) approved CBs wanting to extend their scope of GLOBALGAP (EUREPGAP) certification must follow all steps and requirements mentioned in 2.1 and must apply for the accreditation of the new scope after signing the agreement of extension of scope with FoodPLUS GmbH.
- (ii) GLOBALGAP (EUREPGAP) approved CBs wanting to extend their sub-scope of certification within a scope, must have minimum 1 inspector or auditor who complies with specific GLOBALGAP (EUREPGAP) inspector or auditor sub-scope requirements (Appendices II.1 and II.2, respectively). A formal registration request must be sent to the GLOBALGAP Secretariat.
- (iii) The sub-scope accreditation shall be covered by the accreditation of the related scope unless the AB detects any non-conformances during their surveillance activities and shall be indicated on the accreditation certificate.
- (iv) The precondition for sub-scope extension (provisionally approved status) is the availability of an in-house trainer for the new sub-scope as described in point 3.4 (vi).
- (v) Certification Bodies interested in certifying the Chain of Custody standard must apply to GLOBALGAP for extension. Approval is granted by scope for a CB that is approved (or in the process of approval) for a sub-scope within that scope e.g.: a CB is approved for Aquaculture Chain of Custody and for one of the Aquaculture sub-scopes can certify Chain of Custody for all the other Aquaculture sub-scopes.
- (vi) GLOBALGAP (EUREPGAP) approved CBs willing to extend their approval to an Approved Modified Checklist within the same scope and sub-scope must send a formal registration request to the GLOBALGAP Secretariat. In case the CB is approved for another scope or sub-scope, clause 3.1 (i) applies.
- (vii) The normative document of the Approved Modified Checklist standard shall be referenced on the accreditation certificate.

NOTE: The information collected by GLOBALGAP regarding the CBs and their activities is made available on the CB Extranet to ABs for facilitating accreditation evaluation.

3. CERTIFICATION BODY OPERATIONAL REQUIREMENTS

3.1 General Requirements

- (i) All the points described in the General Regulations Parts I and II MUST be accepted and included in the relevant operational document of the CB (EN 45011 or ISO/IEC Guide 65) for GLOBALGAP (EUREPGAP) certification of all scopes, sub-scopes and Approved Modified Checklists, and be available for Accreditation Body evaluation (EN 45010 or ISO 17011). Any CB wishing to start granting GLOBALGAP (EUREPGAP) licences/certificates must comply with the requirements set out in 2.1.

NOTE: Conditions for Approved Modified Checklists are fulfilled by the compliance of the relevant sub-scope requirements.

- (ii) The CB must include the requirements for following general or specific guidelines issued by GLOBALGAP (EUREPGAP) Sector Committees into its certification system procedures pertaining to GLOBALGAP (EUREPGAP) certification (see point 1.4 of the GLOBALGAP (EUREPGAP) General Regulations Part I).
- (iii) The CB shall:
 - a) register all auditors and inspectors in the GLOBALGAP database; and
 - b) have them complete the GLOBALGAP (EUREPGAP) online training, including the online exams for the General Regulations and for the Control Points and Compliance Criteria in the relevant sub-scope in the Online Training Extranet (<http://onlinetraining.globalgap.org>), within 6 months after registration; and
 - c) pay the relevant online training fee per registered auditor/inspector according to the latest version of the GLOBALGAP fee table.

NOTE: This includes subcontracted staff and staff of subcontracted companies

- (iv) The CB is responsible for communicating updates, date of first application and grace period of any new GLOBALGAP (EUREPGAP) versions of normative documents and any edition updates issued by GLOBALGAP (EUREPGAP) to their GLOBALGAP (EUREPGAP) registered clients.
- (v) GLOBALGAP shall be entitled to participate, upon prior notice and at its own cost, in inspections or audits carried out by Certification Bodies.
- (vi) The CB must send a qualified GLOBALGAP (EUREPGAP) auditor or inspector (Appendices II.1 and II.2) to the annual compulsory GLOBALGAP CB Event.
- (vii) The annual Certification Licence fee must be paid. There is a period of 6 weeks to pay the Certification Licence fee to GLOBALGAP. (The relevant amounts are indicated in the current updated GLOBALGAP Fee Table, as published on the GLOBALGAP website).

3.2 Producer registration

- (i) When a producer or producer group that has previously had a GLOBALGAP (EUREPGAP) GGN applies for registration, the CB must act according to the GLOBALGAP (EUREPGAP) procedure for Transfer between Certification Bodies as set out in Annex II.1.
- (ii) When a producer or producer group wants to change to a new CB, the accepting CB must as a first step for all applicants carry out a search in the GLOBALGAP database, to verify the status, before any further actions are taken (see Annex II.1).
- (iii) When a producer or producer group uses the services of more than one CB, each CB shall conduct the respective inspections (Option 1 and 2) and QMS audit (Option 2) independently.
- (iv) When a producer or producer group uses the services of more than one CB (General Regulations Part I; 4.4.2.vi), and 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 details of actions to be taken across all CBs (if any). 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 GLOBALGAP directly to the CBs involved (General Regulations Part I; 4.4.2.vii.b). The communication between CBs shall include all relevant details, but the sanction issued shall be valid and all relevant CBs must observe this.

3.3 Assessment process

- (i) GLOBALGAP (EUREPGAP) certification granting procedure must be clearly identified in the CB operational documentation, and must follow the GLOBALGAP (EUREPGAP) General Regulations, which must commence with the Registration of the applicant as a first step.
- (ii) After positive certification decision the CB shall issue a certificate according to the latest version of the GLOBALGAP certificate template.
- (iii) Each CB will be responsible for the information filed; documentation related to GLOBALGAP (EUREPGAP) procedures or GLOBALGAP (EUREPGAP) clients must be made available to GLOBALGAP (EUREPGAP) on request.
- (iv) The inspection and certification activities of the Certification Body must be carried out at the respective registered production sites (all sites where the products are produced) of the registered producers and, to the extent relevant, at the relevant administrative sites.
- (v) Any non-compliance identified during the evaluation will be discussed during the evaluation and documented on the corresponding GLOBALGAP Checklist.
- (vi) Any non-compliances, which show deliberate mismanagement of GLOBALGAP (EUREPGAP) related procedures would result in a Complete Suspension of a certificate and notification to the GLOBALGAP Secretariat.
- (vii) All non-compliances against a QMS in Option 2 shall be resolved **before** a certificate can be issued to the group. All the control points of the QMS Checklist are Major Musts and sanctions shall be according to the explanations in Part I, 6.
- (viii) Satisfactory corrective actions must be completed to achieve approval level for any individual producer member **before** the producer can be included on an approval list of the producer group.
- (ix) Evidence of the resolution of non-compliances can be provided in the form of documentary evidence or photographic evidence as appropriate.

- (x) 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.
- (xi) All corrective actions will be assessed, with clarification provided to show whether the action taken and evidence provided is sufficient to close the non-compliance.
- (xii) At the end of each evaluation day, any non-compliances identified will be summarized and confirmed in writing.
- (xiii) On completion of the full evaluation process a full written report will be produced which summarises the evaluation activity undertaken (date of the inspection, sites and facilities inspected and duration of inspection/audit), provides information on how the producer or the producer group complies with the requirements of the standard, and where applicable, lists any non-compliances identified.
- (xiv) 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.
- (xv) A copy of the evaluation report will be provided to the producer (Option 1) or the group (Option 2) at the end of the inspection/audit.
- (xvi) Copies of the report will only be provided to other parties if the producer group provides express written authorization.
- (xvii) The assessment report shall include a recording of the assessment time.
- (xviii) A list of all the producers and sites as well as applicable produce handling facilities 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.

3.4 Training and Qualification of Staff

- (i) Every CB approved by the GLOBALGAP Secretariat will nominate a contact person, called the “GLOBALGAP (EUREPGAP) Scheme Manager”, who will be the representative of the CB before the GLOBALGAP Secretariat. This person:
 - must be fluent in English;
 - does not necessarily need to be a GLOBALGAP (EUREPGAP) auditor, but must at least qualify as a GLOBALGAP (EUREPGAP) inspector (see Requirements for GLOBALGAP (EUREPGAP) Inspector in Appendix II.1);
 - must be committed to assist in any harmonization activities performed by the GLOBALGAP Secretariat;
 - must be part of the decision-making process of the CB;
 - shall be responsible for returning to GLOBALGAP Secretariat the requested signed reception of any communication requiring written receipt;
 - shall be responsible for communication and administration of users within the GLOBALGAP CB Extranet and to ensure that all registered GLOBALGAP (EUREPGAP) auditors and inspectors complete and pass the GLOBALGAP online training and tests;
 - shall respond to GLOBALGAP operational enquiries as required in the communication. If this person is not available, a substitute shall respond in this time frame;
 - shall distribute all communication received from the GLOBALGAP Secretariat to all CB staff involved in GLOBALGAP (EUREPGAP) activities in all countries.
- (ii) 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 Appendix II.2 for the scope the certificate is being issued regardless if the decision is for an Option 1 producer or regardless if the CB does not have any Option 2 clients.
- (iii) For carrying out GLOBALGAP (EUREPGAP) inspections and audits, the CB must employ/contract only inspectors and auditors that fulfilled the GLOBALGAP (EUREPGAP) requirements (See Appendices II.1 and II.2, respectively).
- (iv) CBs can only subcontract inspections to Inspection Bodies that are ISO/IEC 17020:2004 accredited or audits to certification bodies that are ISO/IEC Guide 65 accredited to a relevant sub-scope. The sub-contractors shall implement the relevant requirements of GLOBALGAP (EUREPGAP) General Regulations
- (v) Each CB approved by the GLOBALGAP Secretariat will nominate an in-house trainer, responsible for the training of all GLOBALGAP (EUREPGAP) auditors and inspectors (based on

- GLOBALGAP (EUREPGAP) online training material and other normative documents), according to the requirements of the current Licence and Certification Agreement.
- (vi) The in-house trainer(s) must attend and pass the GLOBALGAP train-the-trainer course for each sub-scope the CB 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.
 - (vii) All approved CBs must have a sub-scope and version specific in-house trainer for each certification decision taken after 1 January 2011. This person needs to at least have passed the train-the-trainer exam for the relevant sub-scope and version. Failing the exam requires attending GLOBALGAP train-the-trainer and repeating the exam within 6 months.
 - (viii) GLOBALGAP reserves the right to randomly ask for the proof of qualification of the inspectors and auditors approved by the CB. In case the CB is not able to submit such proof and/or the inspectors and auditors does not comply with the qualification requirements GLOBALGAP reserve the right to block those persons in the GLOBALGAP database and inform the relevant Accreditation Body.

3.5 CB Data Communication with GLOBALGAP

The objective is to: “Know at any point in time, instantly and world-wide”:

- The present status and status history
- The certified products, per
- Area / Volume, for
- Each unique producer (legal entity), in
- All schemes and Options (per product), with
- Central validation of certificates by market participants (online validation tool), and
- Audit/Inspection and Compliance details

Therefore the CB data communication with GLOBALGAP (EUREPGAP) must:

- (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 GLOBALGAP database.
- (ii) Ensure that as soon as a sanction has been issued, the producer’s status must be changed in the database to the relevant status (time between issuing the sanction and updating the database must not exceed more than 1 working day).
- (iii) For all other producer statuses, be sufficiently up to date so as to ensure that the status (see Annex I.4 Producer Statuses in GLOBALGAP Database) of a producer on the GLOBALGAP database is current.
- (iv) Ensure availability of immediately accessible information on **all** audit and inspection details (including those of the unannounced surveillance inspections and audits) and compliance details for each certificate.

NOTE: The registration process of the Producer and/or the Producer Group MUST be completed before the CB can do any inspections. See General Regulations Part I, 4.8.2.

3.6 CB Communication with Clients seeking GLOBALGAP (EUREPGAP) certification

- (i) The CB must comply with communication requirements to clients seeking GLOBALGAP (EUREPGAP) certification within the following notice times (see 4.4.1(i) in Part I of General Regulations):
 - Registration receipt within 14 calendar days after CB received the GLOBALGAP Number (GGN) from the GLOBALGAP database.
 - Make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances.
- (ii) The CB must fully explain the Sub-licence and Certification Agreement to his client, especially the issues regarding data security. This agreement must be signed as part of the registration process.

3.7 Independence, Impartiality, Confidentiality and Integrity of CB

- (i) In accordance with EN 45011 or ISO/IEC Guide 65, the GLOBALGAP (EUREPGAP) approved CB must be structured to ensure separation of activities which could cause a conflict of interest. All CB personnel must operate to high levels of professional integrity, be free from commercial, financial or other pressures, which might affect their judgment and are expressly forbidden from promoting any goods or services during evaluation activities.
- (ii) **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 unless stated otherwise in the General Regulations or the Sublicence and Certification Agreement.
- (iii) **Data Protection:** Within the framework of the GLOBALGAP (EUREPGAP) system, only parties to the system, previously defined, will be authorised to view the data (the producer, CB and GLOBALGAP (EUREPGAP)). 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 authorisation 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.

4. CB SANCTIONS

4.1 Types of Non-Conformances

Two types of Non-conformances can lead to sanctioning of CBs.

4.1.1 Contractual Non- conformances

Contractual non-conformances are found when CBs are not in compliance with contracts signed with GLOBALGAP. These may include, but are not limited to:

- (i) Misleading or false communication on GLOBALGAP (EUREPGAP) certification and logo use.
- (ii) Refusal to sign the Licence and Certification Agreement and any amendments after a period set by the GLOBALGAP Secretariat
- (iii) CB neglects to pay:
 - CB licence fee
 - Online test fee
 - Certification licence fee
 - Producer registration fee
- (iv) Failure to provide proof of accreditation within the established periods during CB approval
- (v) Confirmed fraud
- (vi) Loss of accreditation (based on AB decision)

4.1.2 Standard or General Regulations Non- conformances

Standard or General Regulation non-conformances are found when the CBs are not complying with the rules set out in any Part of the General Regulations or are not interpreting the Control Points and Compliance Criteria according to the GLOBALGAP (EUREPGAP) rules. Examples of such non-compliances are (non exhaustive list):

- (i) Not participating in annual CB events
- (ii) Not following the Online Training requirements
- (iii) Infrequent or late upload of certification data
- (iv) Unreliable registration and audit data
- (v) No response to GLOBALGAP (EUREPGAP) official communication and/or complaints
- (vi) Confirmed fraud
- (vii) Not applying approved National Technical Working Group guidelines, unless justified and communicated to GLOBALGAP (EUREPGAP).

- (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

GLOBALGAP, the relevant AB and the GLOBALGAP Integrity Surveillance Committee (ISC) will be responsible for dealing with these non-conformances.

4.2 Types of Sanctions

The Sanctions, as set out in Table 3.2 below, are applicable to all CBs in violation of the rules and where a non-conformance (similar to those in 3.1 above) has been observed. The penalty will depend on the severity of the non-compliance or the recurrence of non-compliance.

GLOBALGAP (EUREPGAP) and the respective Accreditation Body will work closely together with the Integrity Surveillance Committee.

The specific penalties for each step as determined by the Integrity Surveillance Committee are explained in Annex II.2

Table 3.2 Sanction steps for Certification Body non-conformances

	Sanctioning Steps	Penalty	Decision maker
Step1	1st Warning		GLOBALGAP (Information to AB and Integrity Surveillance Committee (ISC))
Step2	2nd Warning	Annex II.2	GLOBALGAP and/or the Integrity Surveillance Committee (Information to AB)
Step3	Yellow Card (Publish on Website)	Annex II.2	Integrity Surveillance Committee (Information to AB)
Step4	Red Card (Publish on Website, CB is not allowed to (re-)issue new certificates for 1 – 6 months)	Annex II.2	Integrity Surveillance Committee (Information to AB)
Step5	Contract Cancellation (Cancellation of the Licence and Certification Agreement)	Annex II.2	Integrity Surveillance Committee (Information to AB)

5. APPENDIX II.1: INTEGRATED FARM ASSURANCE INSPECTOR QUALIFICATIONS (OPTIONS 1 AND 3)

5.1 GLOBALGAP (EUREPGAP) Sub-scope Inspector

- (i) Inspectors will be able to inspect a sub-scope on farm level once factual evidence (as described below) of their qualifications and experience have been verified for each sub-scope by the CB.
NOTE: The requirements for Fruit and Vegetables and Flower and Ornamentals inspectors are equivalent.

5.2 Formal Qualifications

5.2.1 Post-high school diploma

- (i) 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 and/or Livestock and/or Aquaculture).

5.3 Technical Skills and Qualifications

5.3.1 Inspector Training

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

5.3.2 Food Safety and G.A.P. Training

- (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 Codex Alimentarius.
- (ii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (iii) GLOBALGAP (EUREPGAP) online training, with the successful completion of one online test per revision period (once every 4 years).
- (iv) **For Crop Scope:** Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- (v) **For Livestock and Aquaculture scopes:** Basic veterinary medicine and stockmanship training including animal health and welfare issues.
- (vi) A minimum of 2 years experience gained after finishing academic studies mentioned in point 5.2.1.i, and 3 years overall experience in the agricultural industry. This shall involve work in the respective sub-scope. Two years experience for each sub-scope is required, which may have been gained simultaneously for more than one sub-scope.

These formal courses (mentioned in i, ii, iv and v above) can be part of the formal qualifications (degree/diploma) or can be separate courses that were taken by the inspector or auditor. The inspector/auditor needs to have proof. If it was part of the degree/ diploma, it must be in the syllabus of the course. Or, if it was acquired separately, then there must be a separate certificate, which shows that a course that covered these issues was completed (including an exam).

5.3.3 Communication Skills

- (i) “Working language” skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- (ii) Exceptions to this rule must be consulted and confirmed in writing beforehand with the GLOBALGAP Secretariat.

5.3.4 Maintenance of Competency

The CB must have in place a procedure to ensure annually that every inspector/auditor conducts at least 5 inspections/audits or 10 inspection/audit days, at a number of different producers, against the GLOBALGAP (EUREPGAP) Integrated Farm Assurance standard and to maintain scheme knowledge and to stay registered on the GLOBALGAP database. Exceptions to this rule, e.g., when the CB does not have a total of 5 clients, must be consulted and confirmed in writing beforehand with the GLOBALGAP Secretariat.

5.4 Key Tasks

5.4.1 GLOBALGAP (EUREPGAP) Farm Inspections

- (i) Inspection of farms (either producer or producer in producer group) to assess compliance with the GLOBALGAP (EUREPGAP) standard.
- (ii) To produce timely and accurate reports on such inspections in accordance with ISO/IEC Guide 65 and GLOBALGAP (EUREPGAP) timelines and system requirements.

5.4.2 General

- (i) To maintain up to date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- (ii) To keep abreast of developments, issues and legislative changes pertaining to the scope in which audits are carried out.
- (iii) To carry out any other tasks the CB may assign, outside the scope of GLOBALGAP (EUREPGAP) so long as these activities do not contradict EN 45011 or ISO/IEC Guide 65 principles or any stipulation set down by GLOBALGAP (EUREPGAP) General Regulations.

5.4.3 Independence and Confidentiality

- (i) Inspectors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not carry out consultancy or training activities for the producers on whom they perform inspections. Training is not considered 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.
- (ii) Inspectors must strictly observe the producer's and the CB's procedures to maintain the confidentiality of information and records.

6. APPENDIX II.2: INTEGRATED FARM ASSURANCE AUDITOR QUALIFICATIONS (OPTIONS 2 AND 4)

6.1 GLOBALGAP (EUREPGAP) Sub-scope Auditor

- (i) Auditors will be able to audit a sub-scope once factual evidence (as described below) of their qualifications and experience have been verified for each scope by the CB.

6.2 Formal Qualifications

6.2.1 Post-high school diploma

- (i) 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 and/or Livestock and/or Aquaculture).

6.3 Technical Skills and Qualifications

6.3.1 Lead Assessor Training

- (i) Practical auditing experience of minimum 10 days in management systems (e.g. ISO 9000, ISO 14000, ISO 22000, OSHAS 18000), BRC, IFS, previous GLOBALGAP Option 2 audits, producer group audits of organic growers or others). This does not include witnessing or shadowing of audits, but includes being witnessed or shadowed as auditor-in-training.
- (ii) **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 recognised by the industry. The certificate must specify the course content, duration. Successful completion must be indicated on the certificate.
- (iii) Lead Assessor training course must cover: applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication) and reporting, and it must also include a practical case study.

6.3.2 Food Safety and G.A.P. Training

- (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 Codex Alimentarius.
- (ii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (iii) GLOBALGAP (EUREPGAP) online training, with the successful completion of one online test per revision period (once every 4 years).
- (iv) **For Crop Scope:** Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- (v) **For Livestock and Aquaculture scopes:** Basic veterinary medicine and stockmanship training including animal health and welfare issues.
- (vi) A minimum of 2 year's experience gained after finishing academic studies mentioned in point 6.2.1.i, and 3 years overall experience in the agricultural industry. This shall involve work in the respective sub-scope. Two years experience for each sub-scope is required, which may have been gained simultaneously for more than one sub-scope.

NOTE: Chain of Custody (CoC) audits are conducted by auditors qualified for the scope the CoC certification is required for.

These formal courses (mentioned in i, ii, iv and v above) can be part of the formal qualifications (degree/diploma) or can be separate courses that were taken by the inspector or auditor. The inspector/auditor needs to have proof. If it was part of the degree/ diploma, it must be in the syllabus of the course. Or, if it was acquired separately, then there must be a separate

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certificate that shows that a course that covered these issues were completed (including an exam).

6.3.3 Social Assessment Competency

Where social assessments are required during inspection of a sub-scope (Shrimp, Tilapia, Pangasius), the **auditor** needs to comply with the minimum training, e.g. GLOBALGAP Risk Assessment on Social Practices (GRASP) Training for Auditors offered by GLOBALGAP. Only those auditors who hold a licence provided by GLOBALGAP are allowed to conduct GRASP Assessments. These licences are provided per auditor, not per Certification Body. In order to acquire this licence, auditors need to pass the GRASP online training and test, **and** participate in GRASP Training for Auditors.

6.3.4 Communication Skills

- (i) “Working language” skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- (ii) Exceptions to this rule must be consulted beforehand with the GLOBALGAP Secretariat

6.3.5 Maintenance of Competency

The CB must have in place a procedure to ensure annually that every inspector/auditor conducts at least 5 inspections/audits or 10 inspection/audit days, at a number of different producers, against the GLOBALGAP (EUREPGAP) Integrated Farm Assurance standard and to maintain scheme knowledge and to stay registered on the GLOBALGAP database. Exceptions to this rule, e.g., when the CB does not have a total of 5 clients, must be consulted and confirmed in writing beforehand with the GLOBALGAP Secretariat. This rule is not applicable to the auditor who acts as the decision maker.

6.4 Key Tasks

6.4.1 GLOBALGAP (EUREPGAP) Producer Group Audits

- (i) Auditing and assessment of the Quality Management System of producers groups for compliance with the GLOBALGAP (EUREPGAP) standard according to the QMS Checklist, available on the GLOBALGAP website.
- (ii) To produce timely and accurate reports on such audits in accordance with ISO/IEC Guide 65 requirements and GLOBALGAP (EUREPGAP) 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 Pigs, however this auditor cannot conduct any farm inspections of the pig producers.

6.4.2 GLOBALGAP (EUREPGAP) Farm Inspections

- (i) Inspection of farms (either producer (Option 1) or producer in producer group (Option 2)) to assess compliance with the GLOBALGAP (EUREPGAP) standard.
- (ii) To produce timely and accurate reports on such inspections in accordance with ISO/IEC Guide 65 and GLOBALGAP (EUREPGAP) timelines and system requirements.

6.4.3 General

- (i) To maintain up to date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- (ii) To keep abreast of developments, issues and legislative changes pertaining to the scope in which audits are carried out.
- (iii) To carry out any other tasks the CB may assign, outside the scope of GLOBALGAP (EUREPGAP) so long as these activities do not contradict EN 45011 or ISO/IEC Guide 65 principles or any stipulation set down by GLOBALGAP (EUREPGAP) General Regulations.

6.4.4 Independence and Confidentiality

- (i) Auditors are not permitted to take ultimate certification decisions regarding own audits or inspections they have carried out themselves.
- (ii) Auditors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not carry out consultancy or training activities for the producers on whom they perform inspections. Training is not considered 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.
- (iii) Auditors must strictly observe the producer's and the CB's procedures to maintain the confidentiality of information and records.

7. APPENDIX II.3 RULES FOR EVALUATING OPTION 2 PRODUCER GROUPS

These rules must be followed by CBs performing external verification of producer groups. The appendix is based on the requirements for the producer group seeking certification under Option 2 (as laid out in the GLOBALGAP (EUREPGAP) General Regulations and EN 45011 or ISO/IEC Guide 65) which must be met by the GLOBALGAP (EUREPGAP) approved CBs.

The evaluation process will by necessity 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 Option 2 system must be evaluated.

7.1 Evaluation Process

- (i) The evaluation process is designed to establish that the group's QMS and administrative structure meets the criteria for Option 2 and that the internal audits and inspection of producers meet the requirements for competency, independence and accuracy.
- (ii) The CB shall send the audit plan to the management of the producer group prior to the audit. The evaluation process is therefore divided into two elements:
 - a) Audit of the group's QMS and
 - b) Inspection of a sample of registered producers.

7.1.1 Producer Group Quality Management System Audit

- (i) The audit of the QMS or "System Check" will be undertaken at the central office of the group or administrative centre for the group scheme.
- (ii) The audit will be undertaken using the rules set out in this Appendix.
- (iii) The evaluation process will take one or more days and will include:
 - a) Opening meeting with management
 - b) Review of all relevant documentation
 - c) Evaluation of records
 - d) Review of internal audits and inspections conducted
 - e) Discussion / interviews with key staff
 - f) Closing meeting including review of non-compliances identified.

7.1.2 Inspection of Registered Producers and Production Locations

- (i) A sample of approved registered producer members will be inspected against all control points of the applicable modules of the GLOBALGAP (EUREPGAP) standard. **The final selection and communication to the producer group of which and how many producers to inspect, shall 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 per producer.**
- (ii) A minimum inspection sample size shall be based on the square root of the number of registered producers that have been registered for each combination of sub-scopes. This will mean that during the inspection of each of these selected producers, all the products in that sub-scope combination must be inspected.
 - e.g. 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 $\sqrt{48} + \sqrt{16} = 7 + 4 = 11$ producers to be inspected externally by the CB.
- (iii) 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.

- (iv) Producers will also be classified by production process, within the respective sub-scope and sub-scope combination. These may include, but are not limited to the following examples:
- Housed livestock
 - Open-field livestock or crops
 - Covered/protected crops
 - Perennial crops
 - Fresh water activities (aquaculture)
 - Sea sites (aquaculture)
- e.g.1: If a group of producers (64 in total) is being inspected for GLOBALGAP (EUREPGAP) 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). If, however, within that group of 64 producers, 16 of them were to produce poultry indoors only, then the square root of that small group of producers (4) would also be inspected, as they have a different combination of production types (in total $8 + 4 = 12$ producers will be inspected).
If within that group of 64 producers, there are some that additionally have indoor pig production (16) under GLOBALGAP (EUREPGAP), 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 GLOBALGAP (EUREPGAP) certified. (in total $8 + 4 + 4 = 16$ producers will be inspected).
e.g.2: In a producer group with 14 producers where all 14 produce strawberries under protection as well as in open field, the square root of the number of open field producers (4) and the square root of the number of producers producing under cover (4) must be inspected. However, since all 14 members practice both types of production, only 4 producer members need to be inspected.
- (v) Certification Bodies can at their discretion and based on justifiable criteria increase the verification rate up to a maximum of 4 times the square root of total numbers of registered producers.
E.g.: Doubts as to the consistency of application of the Quality Management System within the producer group could arise from:
- customer complaints of illegal pesticide residue detection
 - inconsistencies between the internal audit/inspection reports and the CB inspection/audit findings
- (vi) The sample size will be confirmed on completion of the QMS audit (unless, due to non-compliances found at one producer, the CB needs to further investigate; see PART I.6.2.2 Suspensions), and will take into account the results of unannounced inspections carried out. 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.
- (vii) Producers that move from one group to another shall have a higher possibility of being included in the sample of producers chosen by the Certification Body.

NOTE: Refer to GLOBALGAP (EUREPGAP) General Regulations PART I point 5.2.4.

7.1.3 Inspection of Produce Handling sites (Fruit and Vegetables, where applicable)

- For the external inspection, the square root of the total number of produce handling sites registered by the producer group under GLOBALGAP (EUREPGAP) must be inspected.
- Where central produce handling sites are used by the producer group, (i.e. less than one produce handling site per producer group member), these (using the square root sampling) must be inspected by the CB using the combined QMS and produce handling checklist made available by GLOBALGAP (EUREPGAP). Where the produce handling does not take place centrally, but on the farms of the producer members, it must be taken into account when determining the sample of producers to be inspected.
- If there are central produce handling sites, all Minor Must control points relevant to produce handling (FV.5) become Major Musts.

- (iv) For the internal producer group inspection, every produce-handling site must be inspected.

7.2 Registration of Additional Producers within the Group

- (i) New producers may be added (subject to internal approval procedures being met) to the list of registered producers during the period of validity of the certificate. It is the responsibility of the group to immediately update the CB on any addition or withdrawal of sites to/from the list of registered producers.
- (ii) Up to 10% of new producers in one year can be added to the approved list by registering the producers with the GLOBALGAP (EUREPGAP) approved Certification Body without necessarily resorting to further verification by the GLOBALGAP (EUREPGAP) approved Certification Body.
- (iii) When the number of approved registered producers increase by more than 10% in one year, further external sample inspections (minimum is the square root of new producers/farms) of the newly added producers and optionally an audit of the QMS will be required during that year **before** additional producers can be added to the approved list.
- (iv) Regardless of the percentage by which the number of approved registered producers 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 further external sample inspections (minimum is the square root of new producers/farms) of the newly added farms or producers and optionally an audit of the Quality Management Systems will be required during that year **before** additional farms or producers can be added to the approved list.

8. EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-1_2July07	3.0-Mar07	2 July 2007	2 July 2007	Clarification of wording in 2.2(ii), 2.3(v), 2.3(xiv) Modification of reference in 2.5(i) Modification of Appendix II.2; 5.3.i(i)
3.0-2_Sep07	3.0-1_July07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.1_Nov09 Interim Final	3.0-2_Sep07	28 Feb 2010	20 Nov 2009	Overall restructuring. Clarification of 2.1.1; Modification of 2.1.2, Clarification of 2.2; Addition of 3.1 to 3.4; Clarification of 3.6; Addition of 5.3.4, 6.3.1, 6.3.3, 6.3.5; Clarification of 7.1.2 and 7.2; Moved 6.2 to 6.5 to main text under new 3.3, Introduction of rules for AMC
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Update Table of Contents, Overall renumbering, Word changing 1.1.1, 1.1.1 (viii), 1.1.1(ix), Renumbering of 2.2, Word changing 2.2(iv), 2.2(vi), 3.4(vii), 4.1, 4.1.1, 4.1.2,4.2, 7.1.2(i)
3.1_Nov09_updateMar10	3.1_Nov09	28 Feb 2010	1 Mar 2010	Reference corrected in 5.3.2 (vi) and 6.3.2 (vi)

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

ANNEX II.1: TRANSFER BETWEEN CERTIFICATION BODIES

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

1.1 Introduction

This annex provides guidance on how to proceed when the producers (registered in the GLOBALGAP database) are changing CBs and how to transfer producers between CBs working with GLOBALGAP. The objective of this guidance is to assure the maintenance of the integrity of GLOBALGAP (EUREPGAP) certificates issued by one CB if subsequently transferred to another CB, and to guarantee that the case of any producer registered in the GLOBALGAP database entering into contract with a GLOBALGAP (EUREPGAP) CB will be reviewed in the light of that producer's history within GLOBALGAP.

The guidance states minimum requirements for the transfer of producers found in the GLOBALGAP database (and where applicable their corresponding certificates) between CBs working with GLOBALGAP (EUREPGAP). CBs may implement procedures or actions, which are more stringent than those, contained herein, provided that an organisation's freedom to choose a CB is not unduly or unfairly constrained.

Only producers found in the GLOBALGAP database may change CB. All producers must first resolve any outstanding sanction before being able to transfer to a new CB.

1.2 General Requirements

- (i) The accepting CB must keep the existing GGN of the transferred producer. Double registration is not allowed, i.e. one producer can have only one GGN even if the same producer has different registration numbers by different CBs
- (ii) The accepting CB must close the registration process (Part I. 4.8) including entering into Sub-licence and Certification Agreement with the producer/producer group before accepting the transfer
- (iii) The period between the release by the outgoing CB and the acceptance by the accepting CB cannot be longer than 14 days
- (iv) Accepting CBs must be accredited to the relevant GLOBALGAP (EUREPGAP) scope. Newly approved GLOBALGAP (EUREPGAP) CBs that are not yet accredited cannot therefore take on clients that are transferring from an already approved and accredited CB (unless the producer has not yet ever been certified).

1.3 Transfer of Producers between CBs

The transfer between CBs takes place when a producer that is found in the GLOBALGAP database changes from the original GLOBALGAP (EUREPGAP) Approved CB [hereinafter referred to as the "outgoing CB"] to another, new GLOBALGAP (EUREPGAP) Approved CB [hereinafter referred to as the "accepting CB"].

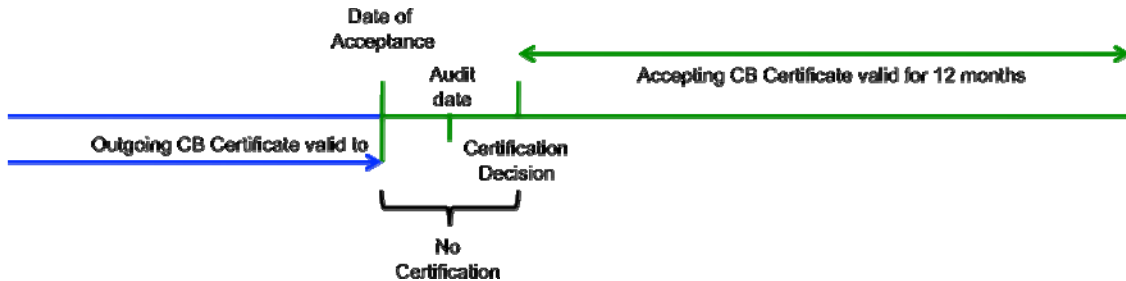
Transfer of producers between CBs can take place either:

- i) When a producer's certificate has expired (Producer Transfer) or
- ii) During a cycle while a producer has a valid GLOBALGAP (EUREPGAP) certificate (Certificate Transfer).

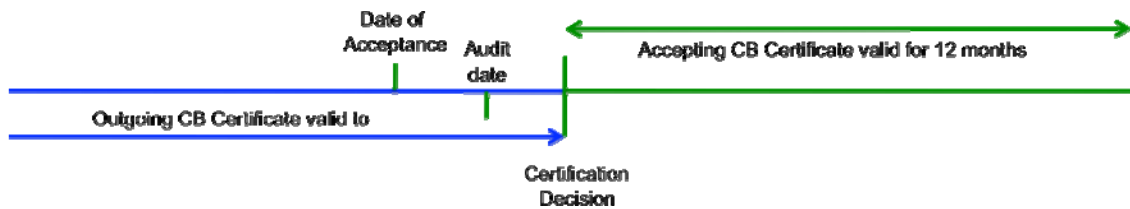
1.3.1 Producer Transfer

This type of transfer of a producer from one CB to another CB takes place after the producer's certificate has expired and also if there is no binding service contract between the producer and the outgoing CB. The producer will apply for certification for the next cycle to another CB ("accepting CB"). The inspection by the accepting CB must be seen as an initial inspection or

audit and the rules for Options 1 and 2 as set out in Part I, 4.9.2.1 (i) and 5, must be followed. The outgoing CB can shorten the validity of the issued certificate. If the Date of Acceptance (signing of Sublicence and Certification Agreement) and Date of Audit are after the certificate from the outgoing CB expired, because it is only possible to inspect during harvest, there will be a period when the producer does not have a valid certificate.



If, however, the Date of Acceptance (signing of Sublicence and Certification Agreement) and perhaps also the Date of Audit is BEFORE the certificate from the outgoing CB expired, the certification decision can only take effect as soon as the certificate expired. In this case, the certification cycle of the producer will remain the same as before. The outgoing CB remains responsible until its certificate expires.



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 time period where the product will not be certified.

1.3.2 Certificate Transfer

This type of transfer of a producer from one CB to another CB takes place during a certification cycle and can **only** continue on request and after approval from GLOBALGAP Secretariat. This happens when there is a loss of accreditation of the outgoing CB, the outgoing CB has stopped its GLOBALGAP activities, the outgoing CB has been taken over by the new accepting CB, etc.

2. EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-2_Sep07	3.0-1_2 Jul07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.1_Nov09 Interim Final	3.0-2_Sep07	28 Feb 2010	20 Nov 2009	Modification to clarify rules for transfer (in almost all points).
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Change from Interim Final to Final Version

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

ANNEX II. 2: CERTIFICATION BODY SANCTIONS

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

1. General Rules

- (i) The GLOBALGAP Board defines the types and levels of sanctions described in this Annex.
- (ii) Appeal against a sanction proposed by the ISC must be received within 5 working days after the receipt of the notification. The Integrity Surveillance Committee evaluates the appeals. The second appeal against a re-confirmed sanction by the Integrity Surveillance Committee follows the arbitration procedure the arbitration procedure described in the Licence and Certification Agreement and in the Equivalent Certification System Owner Agreement (ECSO).
- (iii) GLOBALGAP established an Integrity Surveillance Committee (ISC), which decides on the sanctions as outlined in this Annex, following a case-by-case approach.
The Integrity Surveillance Committee consists of:
 - 3 permanent and 2 substitute members;
 - A representative of the GLOBALGAP Secretariat may participate in the ISC meetings;
 - A representative of the Accreditation Bodies may participate as an independent observer;
 - The ISC shall invite a representative of the concerned Equivalent Scheme Owner.
- (iv) The Integrity Surveillance Committee may take any of the following actions:
 - Issue sanctions as defined in point 3;
 - Request additional/extra integrity assessments of CBs;
 - Decide that the CB sanctioned 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 1000 € per day including travel cost. If an assessment visit is planned to exceed 3 days, the Integrity Surveillance Committee has to approve.
 - Pronounce fines of up to 5000 Euros;
 - 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 GLOBALGAP;
 - Advise the GLOBALGAP Secretariat to cancel the contract with the CB concerned;
 - Request that particular inspectors/auditors, which have not performed according the GLOBALGAP regulations, repeat the online exam in the presence of a GLOBALGAP Secretariat representative. Additional exam fee and other expenses will be covered by the CB;
 - Request that particular inspectors/auditors attend a GLOBALGAP CB workshop or any other GLOBALGAP approved training course. The CB will cover participation, exam fee and other expenses.
- (v) By default sanctions applicable to the CB as a whole. The Integrity Surveillance Committee may limit the sanctions to scope or sub-scope level only.
- (vi) Sanctioning steps 1 to 5 (see point 3.) are not necessarily consecutive. E.g.: a CB may have already received a Step 1. – 1st Warning due to an incomplete database entry. Where serious infringements will be discovered during a later integrity audit, the Integrity Surveillance Committee may judge the infringement as Red Card and jump to step 4 immediately.
- (vii) Sanctions will be communicated to the concerned Accreditation Body and where applicable to the Equivalent Certification System Owner (ECSO) or to the owner of Approved Modified Checklist (AMCO).
- (viii) In case of a CB suspension by the AB or a CB having lost its accreditation otherwise, the CB concerned is not allowed to issue new certificates. The ISC's decision will take into consideration the reason of the suspension to determine whether existing certificates issued by the CB are still valid and will consider issuing a Red Card.
- (ix) The Equivalent Certification System Owner (ECSO) can ask GLOBALGAP to carry out additional integrity assessment(s) to the ones initiated by GLOBALGAP. GLOBALGAP may charge a separate fee for those additional assessments.

2. Integrity

The Integrity Programme consists of 2 pillars:

- (i) BIPRO: Brand Integrity Programme (e.g.: contractual issues, database, logo use, administrative requirements, etc.).
- (ii) CIPRO: Certification Integrity Programme (e.g.: inspection, audit or certification performance of the CB, etc.). CIPRO is risk based and consists of 2 kinds of assessments:
 - Office assessments to check CB certification performance;
 - Producer assessments or witness CB assessments to check CB inspection and audit performance.

The IPRO Sanctioning procedures are illustrated in a flow chart at the end of the document

2.1 BIPRO – Brand Integrity Programme

The following non-compliances belong to BIPRO:

- (i) Non-compliances as defined in GR Part II. 3.1.1 & 2. The ISC may be requested to judge the CB immediately e.g. 3.1.1 (vi) confirmed fraud.
- (ii) Repeated incomplete or missing registration in GLOBALGAP database as defined in point 3. Sanctioning steps.
- (iii) Any outstanding payment of invoices accepted by the CB that has not been settled within three months after the second written warning by the GLOBALGAP Secretariat will result in a Red card, and finally in Step 5 – Contract Cancellation.
- (iv) Incomplete or wrong database entries and/or issued certificates.
The sanction level derived from database entries will be re-set (annulled) in case the CB does not exceed the threshold (see: point 3.2) within 12 months after the latest sanction or after the start of the monitoring process.

2.2 CIPRO – Certification Integrity Programme

2.2.1 Evaluation and Classification of Assessment Results

Each assessment is documented in a CIPRO assessment report. A representative of each assessed site (producer, producer group or CB office) shall sign the assessment report. Each CIPRO assessment report receives a classification for internal use, ranging from #1 to #5 (see 2.2.2 below). The classification of reports follow a four-eye principle, i.e. another GLOBALGAP integrity assessor reviews the CIPRO report.

Each CIPRO 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 its next assessment. CBs and ECSO/AMCO can use these reports as a management feedback for their continuous improvement processes.

Evidence from one or more classified CIPRO assessment reports and the failure of the CB to demonstrate improvement from previous assessments is the base for GLOBALGAP 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 will be notified by GLOBALGAP.

ISC decision-making is based on:

- The individual assessment reports presented by the GLOBALGAP Secretariat taking into consideration all previous assessments,
- The proposed performance classification by GLOBALGAP and
- The written CB statement (pleading).

The assessment reports submitted to the ISC are anonymous and shall not disclose the name of the CB(s) involved.

The GLOBALGAP Secretariat may request a summary of follow-up measures, but not necessarily require a corrective action plan on each case.

2.2.2 Classification

2.2.2.1 Classification #1.

(i) Definition:

Unacceptable performance, which puts the overall competency of the CB in question: serious infringements of the GLOBALGAP rules are observed. These include, but are not limited to objective evidence for:

- deliberate and/or repeated ignorance or negligence of the GLOBALGAP regulations
- misuse of the GLOBALGAP (EUREPGAP) licence
- one or more serious technical failures in the inspection/audit process
- large number of minor technical failures in the inspection/audit process
- verified fraud.

(ii) Procedure

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. The CB is put forward to the ISC immediately and implements corrections/corrective actions on farm and on CB level immediately. The CB reports its immediate remedial action to the GLOBALGAP Secretariat and where applicable to the ECSO/AMCO.

2.2.2.2 Classification #2.

(i) Definition

Very poor performance, which implies serious and immediate improvement measures by the CB: a number of assessments raise serious doubts and concerns. Deliberate mismanagement is suspected, but objective evidence of fraud was not found.

(ii) Procedure

The CB shall immediately verify corrections/corrective actions on farm level. New assessments (re-assessments) will be scheduled to verify the effectiveness of the corrective measures within maximum of 8 months. If no improvement is observed in the re-assessment the CB is put forward to ISC.

CB shall be put forward to ISC immediately in any cases where a potential food safety risk has not been identified. CB may be put forward to ISC immediately where a second assessment received classification #2.

2.2.2.3 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

New assessments (re-assessments) will be scheduled to verify the effectiveness of the corrective measures within maximum of 12 months. If no improvement is observed the CB will be put forward to ISC.

2.2.2.4 Classification #4.

The CB's performance is good and acceptable. No systematic and serious non-compliances have been found. The CB has good performance. No specific re-assessments are scheduled.

2.2.2.5 Classification #5.

The CB has shown a high level of implementation of the GLOBALGAP requirements. Low priority is given to schedule subsequent assessments.

3. Sanction steps for Certification Bodies

3.1 Step 1 - 1st Warning

Decided and implemented by the GLOBALGAP Secretariat. A 1st Warning due to BIPRO non-conformances can be followed by a 2nd Warning without the approval of the ISC.

1st warning can be issued:

- Where non-compliances as defined in GR Part II. 3.1.1&2 are detected.
- Where the CB does not react or does not report on written requests by the GLOBALGAP Secretariat.
- Where incomplete or wrong database entries and/or issued certificates has been detected.

3.2 Step 2 - 2nd Warning

Decided and implemented by Integrity Surveillance Committee or by GLOBALGAP Secretariat.

2nd warning can be issued:

- Where 1st Warning has not been closed out after the indicated deadline.
- Where the CB does not react or does not report on repeated written requests by the GLOBALGAP Secretariat.
- Where the number of incomplete or wrong database entries and/or issued certificates reached 5 GLOBALGAP Numbers (GGN) or 1% of the total number of GGNs registered under a CB, whichever is higher.

3.3 Step 3 - Yellow Card

Judged and decided by the Integrity Surveillance Committee and implemented by the GLOBALGAP Secretariat. The Yellow Card is published on the GLOBALGAP website.

Yellow card can be lifted by the ISC when GLOBALGAP Secretariat has verified the effectiveness of the improvement during one or more verification (re)assessments and found it satisfactory.

Yellow card can be issued:

- For the period when the CB implements improvement measures due to CIPRO assessment result. Time period for improvement is maximum 8 months. GLOBALGAP schedules a follow-up assessment to evaluate improvement.
- Where improvements observed in a re-assessment are not sufficient.
- Where no reaction on written requests by GLOBALGAP Secretariat after Step 2 - 2nd Warning.
- Where after Step 2 - 2nd Warning the number of incomplete or wrong database entries and/or issued certificates reached again 5 GGNs or 1% of the total number of GGN registered under a CB, whichever is higher.

3.4 Step 4 - Red Card

Judged and decided by Integrity Surveillance Committee and implemented by the GLOBALGAP Secretariat. The Red Card is published on the GLOBALGAP website.

Temporarily full or partial prohibition of the use of the GLOBALGAP (EUREPGAP) licence is imposed, i.e. the CB is not allowed to issue new or re-issue certificates for 1 to 6 months. ISC may lift this sanction only, if confidence in the reliability of the CB's operation can be reassured. The verification (re)assessments will be paid by the CB. CB must inform (by means of written letter) all of their certified producers about the sanction.

Red Card can be issued:

- Where CB performance does not show sufficient improvement during further repeated re-assessments.
- Where Yellow Card has not been closed out after the indicated deadline.
- Where the AB has suspended the accreditation.
- After Step 3 - Yellow Card the number of incomplete or wrong database entries and/or issued certificates reached again 5 GGNs or 1% of the total number of GGN registered under a CB,

whichever is higher.

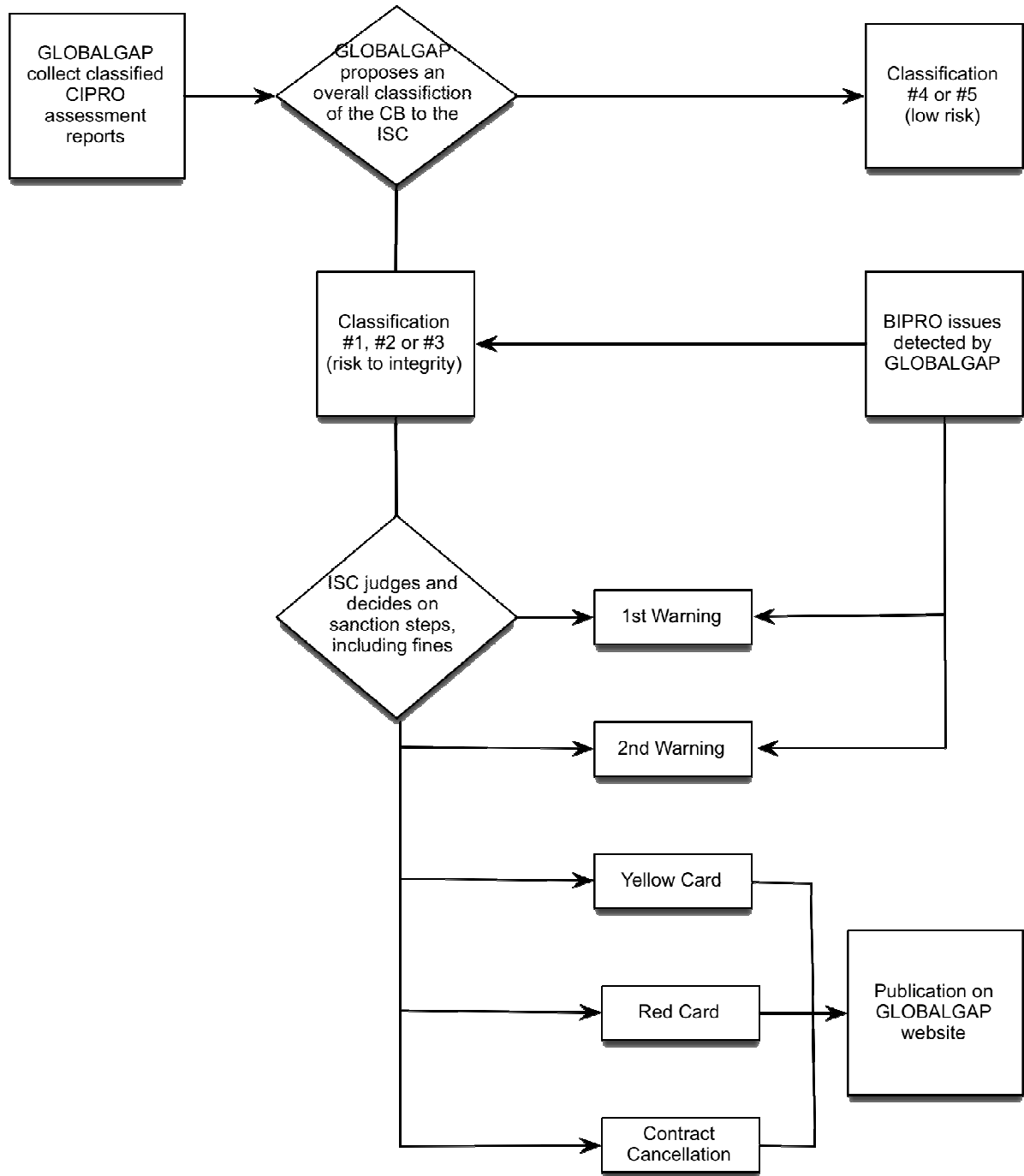
3.5 Step 5 - Contract cancellation

Judged and decided by Integrity Surveillance Committee and implemented by the GLOBALGAP Secretariat. Contract cancellation is published on the GLOBALGAP website.

Cancellation of the Licence and Certification Agreement will be imposed for at least 2 years. The ECSC is responsible to enforce this sanction on their CBs operating a GLOBALGAP equivalent scheme. The CB is obliged to inform (by means of written letter) all of their certified producers about the sanction. The CB has the possibility to transfer all certificates to an approved CB. In case the CB does not use the transfer possibility (see: Annex II.1 "Transfer between CBs) within the set deadline, after contract cancellation all existing certificates issued by the CB lose their validity.

Contract cancellation can be:

- In cases of verified fraud.
- Where Red Card sanction could not be lifted after the agreed deadline.



Flow chart illustrating the IPRO Sanctioning Procedure

GLOBALG.A.P. (EUREPGAP)

General Regulations Integrated Farm Assurance

VERSION 3.1_Nov09

PART III | PRODUCER GROUP (OPTION 2) CERTIFICATION

Valid from: 20 November 2009
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1 WHAT IS A PRODUCER GROUP?

1.1 *Producer Group and Legal Entity*

The following requirements are set for a producer group to be able to get certification for their products under Option 2 (or Option 4) in the GLOBALGAP (EUREPGAP) General Regulations Part III, V3.1-Nov09:

- i. A producer group is a group of producers (and their respective production locations) seeking GLOBALGAP (EUREPGAP) certification.
- ii. The structure of the group must enable the application of a Quality Management System (QMS) across the whole group. - *All producers and/or production sites that are registered with the group must adhere to a QMS that governs the production of the products to be certified.*
- iii. The QMS must be robust and show that the group's registered members comply in a uniform manner with the GLOBALGAP (EUREPGAP) standard requirements. - *The QMS must comply with all the requirements as set out in the GLOBALGAP (EUREPGAP) GR, Part III and be self-controlled via the GLOBALGAP (EUREPGAP) QMS Checklist to ensure completeness and efficiency.*
- iv. The producer group registered members must be legally responsible for their respective production locations. – *All registered members must each be responsible for the production of their products, although this takes place under the common QMS of the group, and the producer cannot sell his/her products that are certified under the group option except through the group.*
The group must also be a legal entity in itself and have been granted the legal right to carry out agricultural/livestock production and/or trading and be able to legally contract and represent the group members and will therefore be the certificate holder (it contracts on behalf of the producer members).
- v. The entire production of a registered product must be certified. – *If a group registers for the certification of strawberries, all the producer members accepted for GLOBALGAP (EUREPGAP) certification for strawberries and all their production areas covered with strawberries must be certified. (It is possible that there are members of the group that are not registered for GLOBALGAP (EUREPGAP) certification and who also produce strawberries; these producer members will not be included for inspection).*

Important: Only a legal entity that can be certified under Option 1 can join a group for Option 2 certification. If a group (Option 2) joins another Option 2 group, the 2 quality management systems shall merge into one to be managed by one single legal entity that will be the certificate holder. A single legal entity cannot operate more than one QMS per crop per country.

A producer group is **not** a multi-site operation where an individual or one organisation owns several production locations or “farms”, which in itself are NOT separate legal entities (See GR Part I, 5.1). This type of operation falls under Option 1 and every production location; farm or site must be inspected and covered under the scope of the certificate. **Only** if such an operation has a Quality Management System including internal annual inspections, and the QMS is included in the GLOBALGAP (EUREPGAP) certification, can it be certified as Option 1, while following the Option 2 rules for random external sampling of sites (minimum square root) based on the criteria as described in GR Part I, 5.2 Option 2 and Part II, Appendix II.3 Rules for Evaluating Option 2 Producer Groups, 6.1.2.

NOTE: The entire crop of a registered product must be certified.

e.g. A GLOBALGAP (EUREPGAP) producer that is part of a producer group certified for strawberries, must include all the production locations with strawberries for inspection and certification.

1.2 Administration and Structure

1.2.1 Legality

There shall be documentation, which clearly demonstrates that the applicant producer group is or belongs to a legal entity. The legal entity must 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.

The group or legal entity must, as a group, be registered legally for example as a Cooperative, Producers Association, Packing Company, Trading Company, Farming Company, etc. (not consultancy companies, Non-Governmental Organisations, development agencies, agrochemicals distributor, etc).

This legal entity must have a direct responsibility over the production, handling and ownership of the products, thus it is responsible for the compliance with the GLOBALGAP (EUREPGAP) standard and General Regulations within the GLOBALGAP (EUREPGAP) producer group. The legal entity will enter into a contractual relationship with GLOBALGAP (EUREPGAP) through the signature of the GLOBALGAP (EUREPGAP) Sub-Licence and Certification Agreement with a GLOBALGAP (EUREPGAP) approved CB, and becomes the sole holder of the GLOBALGAP (EUREPGAP) certificate.

1.2.2 Structure

The administrative structure of the producer group shall be documented and clearly identify the relationship between the producers and the legal entity.

1.2.3 Contractual Documentation

There shall be written signed contracts between each producer and the legal entity. The contracts shall include the following elements:

- (i) Name or fiscal identification of the producer
- (ii) Contact address
- (iii) Details of the individual production locations
- (iv) Commitment to comply with the requirements of the GLOBALGAP (EUREPGAP) standard
- (v) Agreement to comply with the group's documented procedures, policies and where provided, technical advice.
- (vi) Sanctions that may be applied in case of GLOBALGAP (EUREPGAP) and any other internal requirements not being met.

1.2.4 Producer Register

A register shall be maintained of all GLOBALGAP (EUREPGAP) member producers, and of all the applicable sites used for production in accordance with the GLOBALGAP (EUREPGAP) standard.

All these member producers in the producer register must be registered individually on the GLOBALGAP database according to the requirements of the General Regulations PART I; 4.8 Registration.

The register shall at least contain the following information for each producer:

- (i) Name of producer
- (ii) Name of contact person
- (iii) Full address (physical and postal)
- (iv) Contact data (telephone number and e-mail and/or fax number)
- (v) Other ID (VAT Number, ILN, UAID, etc) if required for the country of production
- (vi) Product registered
- (vii) Growing/Production area and/or quantity for each registered product
- (viii) Certification Body(ies) if a producer makes use of more than 1 CB (according to General Regulations PART I; 4.4.1.vi and 4.4.2.vi)
- (ix) Internal audit date
- (x) Current GLOBALGAP (EUREPGAP) status (according to the statuses as indicated in Annex I.4)

NOTE: Those producers of the legal entity who do not apply for GLOBALGAP (EUREPGAP) certification must be listed separately and will not be registered in the GLOBALGAP database (unless they have applied for option 3 or 4). 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. All data protection rules shall be published and observed.

1.3 Management and Organisation

1.3.1 Structure

The producer group shall have a management structure and sufficient suitably trained resources to effectively ensure that the registered producers meet the requirements of GLOBALGAP (EUREPGAP) on their production locations. The organisational structure of the group shall be documented and shall include:

- (i) GLOBALGAP (EUREPGAP) management representative - person or department responsible for managing the implementation of GLOBALGAP (EUREPGAP) in the group.
- (ii) Internal inspector(s) – person(s) responsible for the internal inspections of each producer member of the group annually; complying with the GLOBALGAP (EUREPGAP) requirements set for an internal group inspector (Appendix III.1).
- (iii) Internal auditor(s) – person(s) responsible for the internal audit of the Quality Management System, complying with the GLOBALGAP (EUREPGAP) requirements set for an internal group auditor (Appendix III.2).
- (iv) Agricultural /Livestock/Aquaculture technical person/department – person(s) responsible for technical advice to the group (depending on the scope of the group).
- (v) Quality Systems Management (QMS) person/department – person(s) responsible for managing the QMS.

NOTE: A group needs at least one internal auditor, who can cover the functions of internal group inspector and internal auditor (in case only one internal auditor who performs also the inspections, another person, e.g. management representative, identified in the QMS must approve the producer internal inspections; see Appendix III.2.2.1.i and 2.4.2)

1.3.2 Responsibility and Duties

The duties and responsibilities of all personnel involved with the compliance of GLOBALGAP (EUREPGAP) requirements shall be documented, and an individual who holds a position of sufficient seniority and resources to serve as the overall responsible person will be nominated for maintenance of the GLOBALGAP (EUREPGAP) certification (see 1.2.1.i).

1.4 Competency and Training of Staff

- (i) The group shall ensure that all personnel with responsibility for compliance with the GLOBALGAP (EUREPGAP) standard are adequately trained and meet defined competency requirements.
- (ii) The competency requirements, training and qualifications for key staff shall be documented and shall meet any defined competency requirements laid out in the GLOBALGAP (EUREPGAP) standard.
- (iii) Records of qualifications and training shall be maintained for all key staff (managers, auditors, inspectors, etc.) involved in compliance with GLOBALGAP (EUREPGAP) requirements to demonstrate competence.
- (iv) The internal auditor(s) and inspector(s) shall undergo training and evaluation, e.g. by documented shadow audits/inspections, to ensure consistency in their approach and interpretation of the standard.
- (v) Systems shall be in place to demonstrate that key staff is informed and aware of development, issues and legislative changes relevant to the compliance to the GLOBALGAP (EUREPGAP) standard.

1.5 Quality Manual

- (i) The operating and quality management systems related to the GLOBALGAP (EUREPGAP) standard shall be documented and contained in a Quality Manual(s).
- (ii) Policies and procedures shall be sufficiently detailed to demonstrate the group's control of the principal requirements of the GLOBALGAP (EUREPGAP) standard.
- (iii) Relevant procedures and policies shall be available to the producer group registered members and key staff.
- (iv) The contents of the Quality Manual shall be reviewed periodically to ensure that it continues to meet the requirements of the GLOBALGAP (EUREPGAP) standard and those of the producer group. Any relevant modifications of the GLOBALGAP (EUREPGAP) standard or published guidelines that come into force must be incorporated into the Quality Manual within the time period given by GLOBALGAP.

1.6 Document Control

1.6.1 Quality Management System (QMS) Documents

All documentation relevant to the operation of the Quality Management System (QMS) for GLOBALGAP (EUREPGAP) compliance shall be adequately controlled. This documentation shall include:

- (i) The Quality Manual
- (ii) GLOBALGAP (EUREPGAP) operating procedures
- (iii) Work instructions
- (iv) Recording forms
- (v) Relevant external standards, e.g. the current GLOBALGAP (EUREPGAP) normative documents.

1.6.2 Quality Management System Document Control Requirements

- (i) There shall be a written procedure defining the control of documents.
- (ii) All documentation shall be reviewed and approved by authorised personnel before issue and distribution.
- (iii) All controlled documents shall be identified with an issue number, issue date/review date and be appropriately paged.
- (iv) Any change in these documents shall be reviewed and approved by authorised personnel prior to its distribution. Wherever possible an explanation of the reason and nature of the changes shall be identified.
- (v) A copy of all relevant documentation shall be available at any place where the QMS is being controlled.
- (vi) 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.

1.7 Records

- (i) The group shall maintain records to demonstrate effective control of the GLOBALGAP (EUREPGAP) Quality Management System requirements and compliance with the requirements of GLOBALGAP (EUREPGAP) standard.
- (ii) Records from the QMS related to compliance of GLOBALGAP (EUREPGAP) requirements shall be kept for a minimum of 2 years.
- (iii) Records shall be genuine, legible, stored and maintained in suitable conditions and shall be accessible for inspection as required.
- (iv) Records that are kept on-line 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 must be present. The electronic records must be available during the CB inspections. Back-ups must be available at all times.

1.8 Complaint Handling

- (i) The group shall have a system for effectively managing customer complaints.
- (ii) There shall be a documented procedure that describes how complaints are received, registered, identified, investigated, followed up and reviewed.
- (iii) The procedure shall be available to customers as required.
- (iv) The procedure shall cover both complaints to the group and against individual producers.

1.9 Internal Audits and Inspections

Internal audit systems shall be in place both to assess the adequacy and compliance of the documented QMS and to inspect the producers and farms against the GLOBALGAP (EUREPGAP) standard.

1.9.1 Quality Management System Audit

Internal auditor(s), complying with the GLOBALGAP (EUREPGAP) requirements set for an internal group auditor (Appendix III.2), will do the internal audit of the QMS.

- (i) The QMS for the GLOBALGAP (EUREPGAP) scheme shall be audited at least annually.
- (ii) Internal auditors shall be suitably trained and independent of the area being audited.
- (iii) The CB will evaluate the competence of the internal auditor during the external audit by checking compliance with Appendix III.2.
- (iv) Records of the internal audit plan, audit findings and follow up of corrective actions resulting from an audit shall be maintained and available.

NOTE: It is permitted for the same person to initially develop the QMS within the group, and then undertake the required annual QMS audit, however the person responsible for the day-to-day ongoing management of the QMS is not allowed to undertake the required subsequent annual internal QMS audits (see Appendix III.2, 3.4.3).

1.9.2 Producer and Production Location Inspections

Internal inspectors, complying with the GLOBALGAP (EUREPGAP) requirements set for an internal group inspector (Appendix III.1) will be responsible for carrying out the farm inspections.

- (i) Inspections shall be carried out at each registered producer and production location at least once per year against the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria, based on the GLOBALGAP (EUREPGAP) Checklist. All Major and Minor Musts as well as Recommended control points must be inspected in full. See Part I, 5.2.2.
- (ii) New members of the group must always be internally inspected prior to them entering into the GLOBALGAP (EUREPGAP) registered producers list.
- (iii) The original inspection reports and notes shall be maintained and available for the CB inspection as required.
- (iv) The inspection report shall contain the following information:
 - a) Identification of registered producer and production location(s)
 - b) Signature of the registered producer
 - c) Date
 - d) Inspector name
 - e) Registered products
 - f) Evaluation result against each GLOBALGAP (EUREPGAP) control point
 - g) All Major Musts in the Checklist must include details of what was verified in the comments section of the checklist, in order to enable the audit trail to be reviewed after the event.
 - h) Details of any non-compliances identified and time period for corrective action.
 - i) GLOBALGAP (EUREPGAP) status
- (v) The internal auditor (or audit team; see Appendix III.2) shall review and make the decision on whether the producer is compliant with the GLOBALGAP (EUREPGAP) requirements, based on the inspection reports presented by the internal inspector.

1.9.3 Non-Compliances and Corrective Action Systems

- (i) 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.
- (ii) 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.
- (iii) Corrective actions following non-compliances shall be evaluated and a timescale defined for action.
- (iv) Responsibility for implementing and resolving corrective actions shall be defined.

1.10 Product Traceability and Segregation

- (i) Product meeting the requirements of the GLOBALGAP (EUREPGAP) standard and marketed as such shall be traceable and handled in a manner that prevents mixing with non-GLOBALGAP (EUREPGAP) approved products.
- (ii) There shall be a documented procedure for the identification of registered products and to enable traceability of all product, both conforming and non-conforming to the applicable production sites. A mass balance exercise must be carried out to demonstrate compliance within the legal entity.
- (iii) For Fruit and Vegetables certification: the produce handling site shall operate procedures which enable registered product to be identifiable and traceable from receipt, through handling, storage and dispatch.
- (iv) Effective systems and procedures shall be in place to negate any risk of mis-labeling or mixing of GLOBALGAP (EUREPGAP) certified and non-GLOBALGAP (EUREPGAP) certified products.

1.11 Sanctions and Non-Conformances

- (i) The group shall operate a system of sanctions and non-conformances with their producers, which meet the requirements defined in the GLOBALGAP (EUREPGAP) General Regulations.
- (ii) Contracts with individual producers shall define the procedure for sanctions including the levels of Warning, Suspension and Cancellation.
- (iii) The group shall have mechanisms in place to notify the GLOBALGAP (EUREPGAP) approved Certification Body immediately of Suspensions or Cancellations of registered producers.
- (iv) Records shall be maintained of all sanctions including evidence of subsequent corrective actions and decision-making processes.

1.12 Withdrawal of Certified Product

- (i) Documented procedures shall be in place to effectively manage the withdrawal of registered products.
- (ii) Procedures shall identify the types of event that may result in a withdrawal, persons responsible for taking decisions on the possible withdrawal of product, the mechanism for notifying customers and the GLOBALGAP (EUREPGAP) approved Certification Body; and methods of reconciling stock.
- (iii) The procedure shall be capable of being operated at any time.
- (iv) The procedure shall be tested in an appropriate manner at least annually to ensure that it is effective and records of the test retained.

1.13 Subcontractors

- (i) Procedures shall exist to ensure that any services subcontracted to third parties are carried out in accordance with the requirements of the GLOBALGAP (EUREPGAP) standard (see control point All Farm AF.3.6.1).
- (ii) Records shall be maintained to demonstrate that the competency of any subcontractor is assessed and meets the requirements of the standard.

- (iii) Subcontractors shall work in accordance with the group's QMS and relevant procedures and this shall be specified in service level agreements or contracts.
- (iv) Refer to Part I, 4.4.2 (xiii and xiv) on obligations of producers/groups.

APPENDIX III.1 PRODUCER GROUP INTERNAL INSPECTOR QUALIFICATIONS

1.14 Internal Producer Group Inspector

- (i) Inspectors will be able to inspect a sub-scope once factual evidence (as described below) of their qualifications and experience have been verified for each sub-scope by the producer group. The GLOBALGAP (EUREPGAP) CB will audit compliance with the requirements as set out below during the external QMS audit.

1.15 Formal Qualifications

1.15.1 Post-high school diploma

- (i) At least a post-high school diploma in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture) or an Agricultural high school qualification with 2 years of experience in the relevant sub-scope after qualification.

1.16 Technical Skills and Qualifications

1.16.1 Inspector Training

- (i) One-day practical inspection course setting out basic principles of inspection.
- (ii) Two witness inspections (accompanying an audit, could be GLOBALGAP (EUREPGAP) or other) OR 2 shadow audits by the CB.
- (iii) If the group has more than one internal inspector, there must be records of shadow audits between them.

1.16.2 Food Safety and G.A.P. Training

- (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 Codex Alimentarius.
- (ii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (iii) **For Crop Scope:** Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- (iv) **For Livestock and Aquaculture scopes:** Basic veterinary medicine and stockmanship training including animal health and welfare issues.

1.16.3 Communication Skills

- (i) “Working language” skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- (ii) Exceptions to this rule must be consulted beforehand with the GLOBALGAP Secretariat.

1.17 Key Tasks

1.17.1 GLOBALGAP (EUREPGAP) Farm Inspections

- (i) Inspection of farms of the producer group to assess compliance with the GLOBALGAP (EUREPGAP) standard.
- (ii) To produce timely and accurate reports on such inspections (see 1.8.2.iv).

1.17.2 Independence and Confidentiality

- (i) Inspectors cannot inspect their own daily work.

NOTE: The relevant CB shall have a complete and current list of all the producer group internal inspectors. These internal inspectors shall be approved by the CBs during the external inspections.

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2 APPENDIX III.2 PRODUCER GROUP INTERNAL AUDITOR QUALIFICATIONS

2.1 Internal Producer Group Auditor

- (i) Internal auditors will be able to audit the Quality Management System of a group and approve the GLOBALGAP (EUREPGAP) registered members of the group (based on the internal inspection reports) once the producer group has verified their qualifications and experience. This cannot be done by the auditor him/herself, but by management. The GLOBALGAP (EUREPGAP) CB will audit compliance with the requirements as set out below during the external QMS audit.

NOTE: Where the internal auditor does not have the necessary Food Safety and G.A.P. training (2.3.2 below), but only QMS training/experience, another person with these qualifications (and identified in the QMS) must form part of the “audit team” to do the approval of the farm inspections (key task 2.4.2)

2.2 Formal Qualifications

2.2.1 Post-high school diploma

- (i) At least a post-high school diploma in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture) or an Agricultural high school qualification or 2 year experience of Quality Management Systems with 2 years of experience in the relevant sub-scope after qualification.

2.3 Technical Skills and Qualifications

2.3.1 Auditor Training

- (i) Practical knowledge of Quality Management Systems
- (ii) Completion of a short (2 days) internal auditor-training course related to QMS.

2.3.2 Food Safety and G.A.P. Training

- (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 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 Crop Scope:** Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- (iv) **For Livestock and Aquaculture scopes:** Basic veterinary medicine and stockmanship training including animal health and welfare issues.

2.3.3 Communication Skills

- (i) “Working language” skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- (ii) Exceptions to this rule must be consulted beforehand with the GLOBALGAP Secretariat.

2.4 Key Tasks

2.4.1 Quality Management System Audits

- (i) Auditing and assessment of the QMS of the producer group for compliance with the GLOBALGAP (EUREPGAP) standard (according to the QMS Checklist).
- (ii) To produce timely and accurate reports on such audits.

2.4.2 Approval of Farm Inspections

- (i) The approval of the members of the group, based on inspection reports of the internal producer group inspector. (Refer to 3.1.i)

2.4.3 Independence and Confidentiality

- (i) Internal auditors cannot approve any producer inspections done by him/herself.
- (ii) Internal auditors cannot audit the QMS if he/she implemented or operates the QMS for the group.

NOTE: *The relevant CB shall have a complete and current list of all the producer group internal auditors. These internal inspectors shall be approved by the CBs during the external inspections.*

3 EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-1_2July07	3.0-Mar07	2 July 2007	2 July 2007	Clarification of 1. What is a Producer Group? Also see Annex III 1.
3.0-2_Sep07	3.0-1_2July07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.1_Nov09 Interim Final	3.0-2_Sep07	28 Feb 2010	20 Nov 2009	Incorporation of Annex III.1 (1.1); Modification of wording: 1, 1.1, 1.3, 1.6.2, 1.9.2, 1.13 and Appendix III.2, 2.1
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Clarification 1.9.3

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

GLOBALG.A.P.

(EUREPGAP)



General Regulations Integrated Farm Assurance

VERSION 3.1_Nov09

PART IV | BENCHMARKING

Valid from: 20 November 2009
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1 INTRODUCTION

The recognition of other farm assurance standards via Benchmarking is one of GLOBALGAP's core objectives. In order to ensure integrity and transparency of the system, GLOBALGAP has adopted this benchmarking procedure and appointed external, independent recognised and competent organisations to undertake the technical review and witness audits (see Annex IV 1).

The purpose of this document is to define the procedure for establishing the equivalence of specified standard and/or certification rules against the GLOBALGAP (EUREPGAP) CPCC and/or GR, such that this procedure is completed in a consistent, reliable and transparent manner, thereby facilitating acceptance on a national and international basis and so furthering international trade.

This procedure, set out in this document, specifies the general requirements that shall be followed by GLOBALGAP (as Standard Owner and certification system owner operating GLOBALGAP (EUREPGAP) standards and other normative documents) and the applicant standard/scheme owner of another standard/scheme to be benchmarked.

This procedure is applicable to all companies and organisations interested in applying for GLOBALGAP (EUREPGAP) recognition via the benchmarking process and to all available (Fruit and Vegetables, Flower and Ornamentals, Combinable Crops, Green Coffee, Tea, Cattle and Sheep, Dairy, Pigs, Poultry/Turkey, Salmonids, Shrimp, Pangasius and Tilapia) and future sub-scopes.

Definitions of terms as used in this document are explained in 11.2.

2 BENCHMARKING CATEGORIES

Two benchmarking categories are available under which producers can achieve GLOBALGAP (EUREPGAP) approved equivalent certification. Applicants may choose between:

2.1 Full Benchmarked Scheme (FBS)

- (i) Full benchmarked certifications shall comply with the requirements of GLOBALGAP (EUREPGAP) certification options 3 and/or 4 as established in the General Regulations PART I Clause 5.3
 - a) **Option 3:** An **individual** producer applies for GLOBALGAP (EUREPGAP) benchmarked standard certificate for one or more sub-scopes.
 - b) **Option 4:** A **producer group** applies for GLOBALGAP (EUREPGAP) benchmarked standard certificate for one or more sub-scopes.
- (ii) Applicants must submit their normative documents (i.e. certification rules (GR) and standards (CPCC)) for equivalence assessment against the GLOBALGAP (EUREPGAP) General Regulations and the Control Points and Compliance Criteria respectively for the selected scope(s) and sub-scope(s).
- (iii) The final approved equivalent certification system and standards version shall become the new normative documents of the benchmarked scheme and shall be applicable for their approved certification bodies (as established in section 5.3) who shall be entitled to certify the benchmarked standards under full compliance of the benchmarked certification system.
- (iv) Scheme owners shall implement their benchmarked certification system and standards via their own independent EN 45011/ ISO/IEC Guide 65 accreditation scope.

Or

2.2 Approved Modified Checklist (AMC)

- (i) Approved Modified Checklist certifications shall comply with the requirements of GLOBALGAP (EUREPGAP) certification options 1 and/or 2 as established in the General Regulations PART I Clause 5.1 and 5.2
 - a) **Option 1:** An **individual** producer applies for GLOBALGAP (EUREPGAP) certificate for one or more sub-scopes.
 - b) **Option 2:** A **producer group** applies for GLOBALGAP (EUREPGAP) certificate for one or more sub-scopes.
- (ii) Applicants must submit their standards normative document (CPCC) for equivalence assessment against the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria for the selected scope(s) and sub-scope(s).
- (iii) The final approved equivalent standard version shall become a GLOBALGAP (EUREPGAP) normative document applicable for approved certification bodies (as established in section 5.3) who shall be entitled to certify the AMC sub-scope under full compliance of the GLOBALGAP (EUREPGAP) General Regulations.
- (iv) Standard owners shall entitle GLOBALGAP to implement the benchmarked standard via the GLOBALGAP (EUREPGAP) Accreditation EN 45011/ ISO/IEC Guide 65 scope.

2.3 Conditions

- (i) All sections of this document apply to both benchmarking categories. Applications to each category shall follow the complete benchmarking procedure as described in sections 4 to 5 as well as with the requirements for maintaining the equivalent status established in section 8;
- (ii) The benchmarked normative documents shall incorporate technical changes and updates in the equivalent standard and innovations and improvements in the certification mechanism implemented by GLOBALGAP within the timeframes indicated by GLOBALGAP;
- (iii) Standard/Scheme owners shall have documented arrangements with all the individual certification bodies operating the approved equivalent normative documents to ensure that the certification body(ies) operate in compliance with the requirements of the GLOBALGAP (EUREPGAP) system including the appropriate EN 45011 / ISO/IEC Guide 65 Accreditation;
- (iv) Approved Full Benchmarked Schemes and Approved Modified Checklist Standards shall be identified as such publicly by GLOBALGAP;
- (v) GLOBALGAP shall require benchmarked standard/scheme owners to make claims regarding equivalence only in respect of the scope for which equivalence has been granted;
- (vi) Benchmarked standard/scheme owners shall not use such claims in such manner as to bring GLOBALGAP (EUREPGAP) into disrepute and not make any statement regarding equivalence status, which GLOBALGAP (EUREPGAP) may consider misleading or unauthorised;
- (vii) GLOBALGAP logo or any equivalence claim must never appear on the product, consumer packaging of the product nor at the point of sale.
- (viii) Scheme logos may appear at the point of sale without making reference to the benchmarked standard or certification rules.
- (ix) Benchmarked standard/scheme owners shall make sure that all producers participating in the benchmarked certification scope shall be registered in GLOBALGAP database (see GR Part I, 4.8).
- (x) GLOBALGAP reserves the rights to only validate benchmarked certificates that have been properly entered in the GLOBALGAP database;
- (xi) Upon suspension or cancellation of the equivalent status, benchmarked standard/scheme owners shall discontinue using all advertising matter that contains any reference to GLOBALGAP (EUREPGAP) system and return any documents as required by GLOBALGAP.

- (xii) Withdrawal of an equivalent status of a benchmarked standard/scheme owner has consequences on the customers of the certification body. The recognized certification body for such benchmarked standard/scheme shall take effective measures that include provisions for the withdrawal of certificates under their scope related to the withdrawal benchmarked standard/scheme. GLOBALGAP shall require the certification body to provide its customers with information on the withdrawal of the benchmarked standard/scheme owner and its consequences.

3 APPLICANT REQUIREMENTS

- (i) The applicant organization seeking recognition of equivalence shall ensure that their normative documents have been developed in compliance with the requirements of EN 45011/ISO-IEC Guide 65 and shall:
 - a) have copyright which is held by an identified legal entity, or have made appropriate application for such copyright;
 - b) be clear and precise in its wording and phraseology to facilitate accurate and uniform interpretation, and allow for the assessment for compliance of an applicant;
 - c) be publicly available and its use for certification purposes be open to more than one CB, without restriction by membership or other limitation. The levying of a reasonable fee for the purchase of the standard shall not be regarded as a restriction or limitation;
 - d) have been developed with the participation of technical competent representatives of direct stakeholders, or have been subject to formal review by such parties and subsequently revised as appropriate;
 - e) be reviewed and updated at least every four years;
 - f) have credibility with local industry, appropriate regulatory authorities or relevant professional groups;
- (ii) For Full Benchmarked Scheme applications the scheme owner must demonstrate that its approved Certification Bodies have been accredited to EN 45011 /ISO-IEC Guide 65 for its own scheme scope for a period not less than one year;
- (iii) For Approved Modified Checklist applications the standard owner must select Certification Bodies that have been approved by GLOBALGAP in accordance to the requirements set in GR PART II. In case the Certification Bodies selected have not yet been approved by GLOBALGAP they must submit a formal application to the GLOBALGAP Secretariat.
- (iv) A certification body that certifies the applicant standard shall not be the owner of that applicant standard.

4 BENCHMARKING PROCEDURE

GLOBALGAP, as the legal organisation, shall operate a Technical Review process (set out below as Application, Independent Technical Review, Peer Review, Independent Witness Assessment, GLOBALGAP review, etc.) to ascertain whether a national standard and its certification rules can demonstrate equivalence to the GLOBALGAP (EUREPGAP) standard (CPCC) and/or its certification rules (General Regulations), and as a result be formally recognised. Applicant standard/scheme owner must select and confirm to GLOBALGAP the scope they are seeking equivalence approval for (i.e. category, certification option, product scope and sub-scope).

GLOBALGAP shall provide to the applicant organizations with the following reference and pro-forma documentation appropriate for each application standards and must be submitted as part of the equivalence assessment procedure (as explained in section 3.1 below):

- a) Application Form
- b) Application Agreements
- c) General Regulations Benchmarking Cross Reference Checklist (GR-BMCL)
- d) Control Points and Compliance Criteria Benchmarking Cross Reference Checklist of the relevant product scope(s) and sub-scope(s) (CPCC-BMCL)
- e) GLOBALGAP Fee Table (current version).

In order for a standard to be formally recognized it must comply with **all** Control Points and Compliance Criteria as set out in the relevant GLOBALGAP (EUREPGAP) standard. Not Applicable control points must be justified. Certification rules must include similar content as established in the GLOBALGAP General Regulations PART I, PART II and PART III (where applicable).

GLOBALGAP shall ensure that the equivalence procedure is implemented under independent, impartial, technically competent and transparent procedures. The official language used for the whole process will be English. The external Assessor may grant exceptions.

The Benchmarking procedure as portrayed in Figure 1 is explained in points 3.1 and section 4.

4.1 Technical Assessment

4.1.1 Application

- (i) Any application seeking recognition for GLOBALGAP equivalence may only be made by the legal owner of the applicant standard/scheme, (here in after called “**The Applicant**”) directly to one of the independent organisations appointed by GLOBALGAP to undertake the benchmarking procedure (see contact details in Annex IV.1). The chosen organization henceforth shall be named “**The Assessor**”
- (ii) The Applicant seeking GLOBALGAP equivalence shall register in the GLOBALGAP Benchmarking Extranet (<http://benchmarking.GLOBALGAP.org>), either by itself or by using a third party with prior notification to GLOBALGAP Secretariat.
- (iii) The Applicant shall fulfill and upload the relevant GLOBALGAP (EUREPGAP) Benchmarking Cross-Reference Checklists (BMCL) into the Benchmarking Extranet. The BMCLs consist of a clause-by-clause cross-reference to the standard or certification rules seeking equivalence against GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria and the GLOBALGAP (EUREPGAP) General Regulations respectively. This clause-by-clause comparison shall also detail the compliance criteria and provide any documented argument necessary to justify equivalence. It must also demonstrate the equivalent or higher rigor of inspection and certification elements (by a third party) of the standard seeking equivalence. (The “Benchmarking Cross-reference Checklist” can be downloaded from the GLOBALGAP website).
- (iv) The BMCL shall be completed within the GLOBALGAP approved format in English (and original language where applicable).
- (v) The Applicant must be responsible of all English translations and shall demonstrate that a competent translator has carried these out.
- (vi) A summary of the standard seeking equivalence, its objectives, products list, certification bodies, details of development and the operating procedures required in the certification rules shall be enclosed with the application form.
- (vii) To formalise the application for the benchmarking process there shall be initially contractual agreements in place between The Applicant and The Assessor, respectively. These contracts shall detail (non-exhaustive list), the scope(s) and sub scope(s) applied for, the right of GLOBALGAP to assess the standard/scheme by The Assessor, the obligations of each of the parties, economic conditions, dispute resolution procedure and cancellation clauses. The review procedure shall also be agreed upon.
- (viii) GLOBALGAP shall offer a preliminary workshop to “The Applicant” for informing and discussing about the benchmarking procedure. GLOBALGAP may charge a fee for that service.
- (ix) If any relevant technical or formal incidence is detected in the information supplied during the application, this shall be communicated to the applicant, and amendment/further information requested.
- (x) If the initial screening is successful, the submitted application will be put forwarded to The Assessor as chosen by the standard/scheme owner.

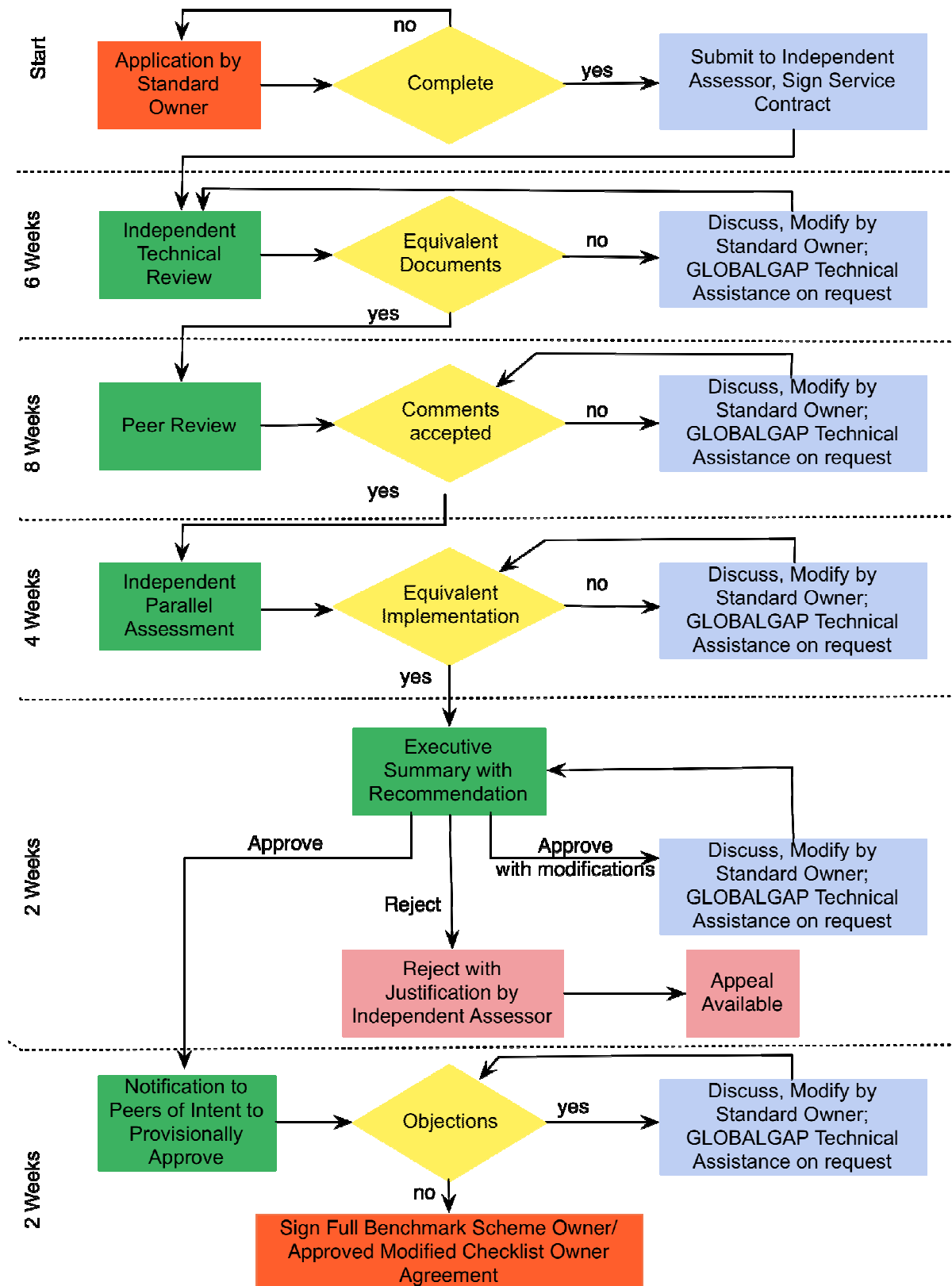


Figure 1. Benchmarking Procedure

4.1.2 Independent Technical Review

- (i) Where the above requirements are met the application shall be subject to an Independent technical review for a period of 6 weeks. The Assessor shall review, the full consultation responses and the application in detail. The persons undertaking the Independent Technical Review must have experience in conformity assessment, with a minimum of five years experience relevant to the food industry including working in quality assurance or food safety. He/She also must have knowledge of the technical GLOBALGAP requirements and, if applicable, a knowledge of the field of application and geographical region where the submitted standard and certification system is proposed to operate.
- (ii) If any technical or formal incidence is detected in this review, the application is returned to the applicant who has to propose the amendments to The Assessor.
- (iii) The Assessor shall summarise all the consultation responses in a detailed report, the final Independent Technical Report. This report shall evaluate the proposal of amendments, if any, and shall make one of the following recommendations:
 - a) Equivalence is accepted
 - b) Equivalence accepted subject to agreed (further) changes
 - c) Further adjustments are required

In case the recommendation follows either a) or b) the application will be promoted to the next step

4.1.3 Peer Review

- (i) Where the independent technical review requirements are met, the application owner shall be subject to peer review for a period of one to two months. The peer review shall be by written consultation with the relevant GLOBALGAP Sector Committee and GLOBALGAP members and CBs operating GLOBALGAP (EUREPGAP) and/or the standard seeking equivalence.
- (ii) The consultees shall be invited to make written technical comments in English only and must provide justification.
- (iii) If any technical or formal incidence is detected in this review, The Applicant shall have to propose amendments to The Assessor. This one-month period may be concurrent with the Peer Review or following on from the Peer Review period.
- (iv) A final Peer Review Report shall be prepared by The Assessor, who shall summarise and evaluate the peer review comments and the proposals of amendments, if any, and shall make one of the following recommendations:
 - (v) Equivalence is accepted
 - (vi) Equivalence accepted subject to agreed (further) changes
 - (vii) Further adjustments are required
- (viii) In case the recommendation follows either a) or b) the application will be promoted to the next step

4.1.4 Independent Parallel Assessment

- (i) The Assessor shall undertake a parallel assessment of an audit carried out in the field by an auditor of a CB that is certifying to the scope of the standard seeking equivalence. In case there are more than one CB, GLOBALGAP or The Assessor shall select at least one.
- (ii) The Assessor shall validate, in-field, the reviewed cross-reference document of the Control Points and Compliance Criteria with the selected CB(s). This Independent Parallel Assessment shall summarise all the conflicting points, justifying each point queried and produce a detailed report.
- (iii) Where applicable the validation of implementation of the reviewed cross-reference of the certification rules (or General Regulations) will form part of the Independent Parallel Assessment, in terms of the practical application of the rules, and may be commented on in this respect in the final Independent Parallel Assessment Report. Further validation of the certification rules cross-reference document shall be carried out by the respective Accreditation Body as part of the accreditation process of each CB operating the applicant

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standard, only after formal recognition of equivalence has been granted. This validation shall lead to a claim of compliance to the GLOBALGAP (EUREPGAP) General Regulations, which shall be stated on the accreditation certificate of each CB operating the applicant standard.

- (iv) If any technical or formal incidence is detected in this review, the applicant has one month to propose the amendments to The Assessor.
- (v) The final Independent Parallel Assessment report shall evaluate the proposal of amendments, if any, and The Assessor shall prepare an Executive Summary and Recommendation to GLOBALGAP.

4.1.5 The Recommendation

- (i) The recommendation from The Assessor shall be one of the following:
 - a) Acceptance – GLOBALGAP will notify the peers who responded to the consultation process as set out in clause 3.1.3 of this document
 - b) Acceptance subject to agreed (further) changes
 - c) Rejection of the application
- (ii) Written justification must be provided if The Assessor rejects the application.
- (iii) When the application is rejected, The Applicant shall have the right to appeal and GLOBALGAP shall have in place procedures to review these independently by setting up an impartial and technical competent Appeals Panel.

5 APPROVAL

5.1 Provisional Approval

- (i) There shall be contractual arrangements in place between GLOBALGAP and The Applicant whose standard/scheme has achieved equivalence. This Benchmarking contract (FBSO or AMCO) shall detail (non-exhaustive list) the equivalence recognition and the GLOBALGAP (EUREPGAP) trademark licence conditions, termination date, cancellation clauses, the rights of GLOBALGAP to survey the standard and dispute procedure. Review procedures shall also be agreed upon.
- (ii) Written formal communication procedures shall be in place to notify applicants of the outcome of the benchmarking process.
- (iii) The time period to complete this process from Application to Provisional Approval decision shall be 6 months-taking into account the minimum time that each party has to fulfill its respective task, as detailed in this document. (This time period of 6 months excludes appealing periods or any other unforeseen delays.)
- (iv) Provisionally approved standards or schemes must ensure that their certification bodies apply to EN 45011 or ISO/IEC Guide 65 accreditation (according the benchmarking category) within 4 weeks after signing the contractual agreement mentioned in 4.1.(i) and have at least one Certification Body accredited within 6 months after the date of application to an Accreditation Body who complies with GLOBALGAP (EUREPGAP) conditions as established in General Regulations Part II 2.1.1 (vi).
- (v) During the non-accredited period, the benchmarked standard/scheme owner shall ensure that certification bodies follow the provisions established in GLOBALGAP (EUREPGAP) General Regulations Par II 2.1.1. (vii) and (viii).

5.2 Final Approval

- (i) Final Approval shall be granted to benchmarked standards or schemes that demonstrate accreditation of at least one approved Certification Body to EN 45011 or ISO/IEC Guide 65 (see point 4.1.iii).
- (ii) The Formal Recognition shall be publicly available and clearly indicate:
 - a) The GLOBALGAP (EUREPGAP) sub-scope(s) and its (their) revision number(s) and/or date(s).

- b) The equivalent standard and certification systems (where applicable) including all the normative documents involved with their revision numbers and/or dates.
- c) Product Scope and Sub-scope(s).
- (iii) The CB(s) through which GLOBALGAP (EUREPGAP) has agreed to accept the certification of the Benchmarked standard or scheme.

5.3 CERTIFICATION BODY REQUIREMENTS

- (i) GLOBALGAP shall require that any certification bodies operating an AMC to:
 - a) always comply with the formally accepted equivalent standard and GLOBALGAP General Regulations
 - b) Where GLOBALGAP has formally recognised an equivalent standard an application procedure shall be in place for individual certification bodies (CB) that certify the equivalent standard so that they may become formally approved by GLOBALGAP in accordance with the prevailing GLOBALGAP CB approval procedure (see GLOBALGAP (EUREPGAP) General Regulations PART II - Certification Body rules).
 - c) Applications shall only be accepted where the applicant CB provides written proof that the respective equivalent standard owner raises no objection to the respective applicant CB operating and issuing certificates to the equivalent standard.
- (ii) GLOBALGAP shall require that any certification body operating a FBS:
 - a) always complies with the formally accepted equivalent standard and certification rules.
 - b) Where GLOBALGAP has formally recognized an equivalent standard and certification rules, an application procedure shall be in place for individual certification bodies (CB) that certify the equivalent scheme so that they may become formally recognized by GLOBALGAP
 - c) Applications shall only be accepted where the applicant CB provides written proof that the respective equivalent scheme owner raises no objection to the respective applicant CB operating and issuing certificates to the equivalent standard.

6 BENCHMARKING VALIDATION

6.1 Registration of Producers in the GLOBALGAP (EUREPGAP) System

Registration of producers and producer groups of a benchmarked schemes and standards shall follow the same rules as described in General Regulations Part I; Section 4.8 and the Annexes I.3 and I.4

NOTE: A producer certified under a benchmarked standard (or Scheme) that has been sanctioned, cannot apply for registration under another GLOBALGAP (EUREPGAP) certification option, until the sanction has been lifted and vice versa.

6.2 Benchmark Certificates

The certificate issued by the approved CB for any of the benchmarking categories shall meet the conditions indicated in General Regulations Part II, 3.5, Additionally the benchmarked certificates must include the information as set out in the GLOBALGAP certificate template. Benchmarked certificates will be identified mainly by:

- (i) GLOBALGAP Number (GGN)
- (ii) Name and version of normative document of the benchmarked certification rules or current applicable version of GLOBALGAP (EUREPGAP) General Regulations
- (iii) Name and version of normative document of the benchmarked standard (CPCC)
- (iv) Statement of equivalence against current applicable version of the GLOBALGAP (EUREPGAP) normative documents.

6.3 GLOBALGAP INTEGRITY PROGRAMME

- (i) All provisional approved and approved FBS and AMCs will be subject to periodical surveillance under the Certification Integrity Programme (CIPRO).
- (ii) Standard and Scheme owners shall ensure their participation and the participation of their certification bodies in the GLOBALGAP Integrity Programme as well as to follow conditions set in Annex II.2

7 TRANSPARENCY AND CONFIDENTIALITY

- (i) The operation of all procedures in connection with equivalence shall be conducted in a transparent way and all documents shall be available to applicants, stakeholders and GLOBALGAP (EUREPGAP) at the end of the procedure or sooner.
- (ii) All the information, procedures and documents issued from the applicant to any of the involved parties in the equivalence process and marked as confidential (with the exception of all information required in the cross-reference checklists) shall not be used in any manner except for the aim set up in this document. The rest of the information shall be published after full approval of the applicant's normative documents.

8 MAINTAINING EQUIVALENT STATUS

8.1 Modifications or Updates of the Benchmarked Standard

- (i) Changes to be made on benchmarked standards and/or their certification rules that are related to the approved benchmarking documents must be communicated to GLOBALGAP before being implemented.
- (ii) GLOBALGAP shall evaluate the modifications and shall determine if The Assessor needs to do an additional assessment (at extra cost to the standard/scheme owner of the FBS or AMC) or whether the changes can be immediately approved.
- (iii) In any case, proposed changes must be clearly set out by using the relevant Cross-reference Benchmarking Checklist for the applicable modified items.
- (iv) If GLOBALGAP decides that the proposed changes can be immediately approved, it shall communicate in writing to the standard/scheme owner and CB(s) of acceptance of changes.
- (v) If, on the other hand, GLOBALGAP decides that further assessment by The Assessor is necessary:
 - a) The GLOBALGAP Secretariat shall communicate this in writing to the standard/scheme owner and to the relevant CB(s). In this case the standard/scheme owner must within the next 4 weeks from receiving the official response:
 - Apply for the Independent Technical Review (with the relevant Assessor)
 - Renounce GLOBALGAP (EUREPGAP) equivalence in writing.
 - b) The Assessor shall evaluate the information supplied by the standard/scheme owner starting the assessment process as set in sections 3.1 and 4
 - c) The report produced from the Independent Technical Review and Peer Review, shall include a recommendation on the need to carry out (or not, as the case may be) a Parallel Assessment Review (see clause 3.1.4). This shall be based on the importance of the changes and if they affect the equivalence of the certification procedure or not.
The assessment procedure shall continue as explained in Section 3.1.5 of this document. .
- (vi) GLOBALGAP shall publish costs for the process of assessment of proposed changes of benchmarked standards and certification rules on the basis of fees charged by The Assessor responsible for doing the benchmark assessment.

8.2 Modifications or Updates of the GLOBALGAP (EUREPGAP) Scheme

- (i) Official changes made to GLOBALGAP (EUREPGAP) normative documents must be appropriately included in the entire equivalent standard's benchmarking documentation.

- (ii) GLOBALGAP shall communicate in writing all official changes to all GLOBALGAP (EUREPGAP) approved FBS and AMC owners, who must in return acknowledge receipt of these.
- (iii) The standard/scheme owner must supply information demonstrating implementation and modification of the equivalent standard and certification rules (where applicable) in writing to the GLOBALGAP Secretariat.
- (iv) Written information must include a completed relevant Cross-reference Benchmarking Checklist for the applicable modified items as supplied by GLOBALGAP. GLOBALGAP can request further clarification/documents when necessary.
- (v) GLOBALGAP decide if The Assessor needs to do an additional assessment (at extra cost to the Standard/Scheme Owner of the FBS or AMC) starting the assessment process as set in sections 3.1 and 4. If GLOBALGAP decides that further assessment by The Assessor is necessary:
 - a) The Assessor shall evaluate the information supplied by the standard/scheme owner.
 - b) The report produced after the Independent Technical Review and Peer Review, shall include a recommendation on the need to carry out (or not, as the case may be) a Parallel Assessment Review (see clause 3.1.4). This shall be based on the importance of the changes and if they affect the equivalence status of the certification procedure or not.
 - c) The assessment procedure shall continue as explained in Section 3.1.5 of this document.
- (vi) GLOBALGAP shall publish costs for the process of assessment of proposed changes of equivalent standards and certification rules on the basis of fees charged by The Assessor responsible for doing the benchmark assessment.

9 CONTRACTUAL INFRINGEMENTS

When an approved benchmarked standard has been found responsible of an infringement to the FBSO or AMCO agreement, the GLOBALGAP Secretariat shall start the following communication and preventive measures with the standard/scheme owner before initiating the termination process of the FBSO or AMCO agreement. Terms of termination clauses of the FBSO or AMCO agreement remain binding.

- (i) **Warning:** In case of minor infringements the standard/scheme owner shall be requested to submit corrective actions and prove enforcement of implementation within a maximum period of 28 days. Failure to do so shall lead to a suspension of the equivalence status against GLOBALGAP (EUREPGAP) requirements.
- (ii) **Suspension:** In case of major infringements or failure to comply with a warning, the standard owner shall be requested to submit corrective actions and prove enforcement of implementation within a reasonable period defined by GLOBALGAP. Failure to do so, the benchmark standard/scheme shall lose its equivalence status against GLOBALGAP (EUREPGAP) for a period of 6 months.
- (iii) **Termination:** Failure to comply with the suspension requirements shall lead to cancellation of the FBSO or AMCO contract.

GLOBALGAP shall determine the severity of the infringement and also decide when sufficient evidence has been provided.

10 COSTS

The applicant standard/scheme owner shall be charged for the equivalence assessment procedure according to the currently publicly available fee table published by the appointed Independent Organization. Further fees apply for the contracted certifiers working within that standard/scheme and the members of the benchmarked standard/schemes, according to the GLOBALGAP Fee Table in its most recent version (as published on the GLOBALGAP website). Application shall be open to any standard/scheme that complies with the requirements of this document.

11 ABBREVIATIONS AND REFERENCE DOCUMENTS

11.1 Abbreviations

AMC	Approved modified Checklist	AMCO	Approved Modified Checklist Owner
FBS	Full Benchmarked Scheme	FBSO	Full Benchmarked Scheme Owner
BMCL	Benchmarking Cross Reference Checklist	CB	Certification Body
ITR	Independent Technical Review	IPA	Independent Parallel Assessment
		PR	Peer Review

11.2 Definitions

For the purpose of document, the relevant definitions given in ISO/IEC Guide 2 and ISO/ 8402 apply, together with the following definitions:

Benchmark: is the status of a scheme or standard that has successfully completed the procedures set out in this document and has been formally recognised by GLOBALGAP.

GLOBALGAP (EUREPGAP) Scheme: Specified standards and General Regulations within GLOBALGAP (EUREPGAP) and other GLOBALGAP normative documents have been developed in compliance with ISO/IEC Guide 65 clause 4.1.3, which are available from GLOBALGAP (EUREPGAP) specifically as a reference point or benchmark against which equivalence can be demonstrated.

GLOBALGAP (EUREPGAP) Standard: The Control Points and Compliance Criteria (CPCC) (in this case the CPCC of the Integrated Farm Assurance standard including approved National Technical Working Group Guidelines and Chain of Custody)

GLOBALGAP (EUREPGAP) Certification System Rules: The General Regulations that are applicable to a specified GLOBALGAP standard (CPCC).

Benchmarked standard: Benchmarking CPCC in the Approved Modified Checklist category or the benchmarked part of the CPCC of a Full Benchmarked Scheme (FBS)

Benchmarked scheme: Benchmarking system rules (GR) **and** the CPCC

Producer: The definition of “producer” and requirements for a producer group in both benchmarking categories remain as described in the General Regulations Part I – General Information and Part III – Producer Group Certification.

11.3 Reference Documents

- (i) GLOBALGAP (EUREPGAP) Full Benchmarked System Owner (FBSO) Agreement.
- (ii) GLOBALGAP (EUREPGAP) Approved Modified Checklist Owner (AMCO) Agreement.
- (iii) GLOBALGAP (EUREPGAP) Benchmarking Cross-Reference Checklist.
- (iv) ISO 19011:2002. Guidelines for quality and/or environmental management systems auditing
- (v) ISO/IEC Guide 7:1194. Guidelines for drafting standards suitable for use for conformity assessment.
- (vi) ISO/IEC Guide 65:1996. General requirements for bodies operating product certification systems.
- (vii) ISO/IEC Guide 2:2004. Standardization and related activities – General vocabulary
- (viii) ISO 8402:1994. Quality management and quality assurance – Vocabulary

12 EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-2_Sep07	3.0-1_2July07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.1_Nov09 Interim Final	3.0-2_Sep07	28 Feb 2010	20 Nov 2009	Update and clarification of procedures and flowchart; Modification of wording: Introduction, 1, 2, 3, 4, 5, 6, 7, 8, 9
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Change from Interim Final to Final Version
3.1_Nov09_updateMar10	3.1_Nov09	28 Feb 2010	1 Mar 2010	Reference corrected in 1 Introduction

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

ANNEX IV.1 BENCHMARKING REVIEWER CONTACT DETAILS

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

1) Joint Accreditation System of Australia and New Zealand - JAS-ANZ

Office: Level 1, Members Equity Bank Building, 11 London Circuit, Canberra, ACT 2600, AUSTRALIA

Postal: GPO Box 170, Canberra, ACT 2601, AUSTRALIA

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EDITION UPDATES REGISTER

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3.0-1_Sep07	3.0_Mar07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.0-2_Oct08	3.0-1_Sep07	14 Oct 2008	14 Oct 2008	Modification JAS-ANZ Contact details
3.1_Nov09 Interim Final	3.0-2_Sep07	28 Feb 2010	20 Nov 2009	Modification contact details of German Accreditation Body
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Change from Interim Final to Final Version

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

GLOBALG.A.P. (EUREPGAP)

General Regulations Integrated Farm Assurance

VERSION 3.1_Nov09

PART V | TRAINING REGULATIONS

Valid from: 20 November 2009
Obligatory from: 1 March 2010

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This part is of importance to anybody who wants to become an approved GLOBALGAP (EUREPGAP) Trainer of the public, or who already is an approved trainer.

1 ROLE OF TRAINING IN GLOBALGAP (EUREPGAP)

GLOBALGAP (EUREPGAP) recognises the global need for qualified GLOBALGAP (EUREPGAP) training, which can be cost efficient and customised for growers. The GLOBALGAP (EUREPGAP) training offer shall serve as voluntary facilitation for the farmer's way to GLOBALGAP (EUREPGAP) certification. There will be no official requirement for producers to show proof that a staff member or external adviser has attended a GLOBALGAP (EUREPGAP) training course.

GLOBALGAP (EUREPGAP) offers 2 types of training:

- (i) Train-the-Trainer (TT) Workshops – advertised on the website for all interested parties (GLOBALGAP (EUREPGAP) members and non-members). At these workshops, all attendees may take an optional exam, but only GLOBALGAP (EUREPGAP) members may become an approved Train-the-Public trainer, to provide a limited but sufficient number of qualified trainers and register them on the GLOBALGAP website. Once qualified, the trainer can conduct classroom-training courses (train-the-public) using GLOBALGAP (EUREPGAP) normative documents as published on the GLOBALGAP website and other information that will become available on the Trainer Extranet from time to time.
- (ii) In-house workshops - not advertised on the GLOBALGAP website, are offered on request. These workshops also include the TT examination. The party who requested an in-house workshop may not advertise it publicly.

NOTE: A certificate of attendance will be issued to the attendees of a TT and in-house workshop.

2 SCOPE

The objective is to explain and regulate the operation of the GLOBALGAP (EUREPGAP) Train-the-Trainer Workshops and the interaction between the GLOBALGAP Secretariat, trainers, and the public.

This document explains the procedures for becoming an approved GLOBALGAP (EUREPGAP) Train-the-Public Trainer and the procedures that should be followed in order to obtain and maintain status as approved. It details the duties and rights of the GLOBALGAP Secretariat and applicants of the Train-the-Trainer Workshops.

3 RULES

3.1 General Rules for Trainers

These regulations establish the rules applicable to all approved trainers.

- (i) GLOBALGAP (EUREPGAP) issues certificates to approved trainers, who are thus empowered to train the public.
- (ii) The use of the logo is regulated by the GLOBALGAP Secretariat, specified in the “Trademark and Logo Use Guidelines” as in the most recent version of Appendix I.1.
- (iii) The requirements for GLOBALGAP (EUREPGAP) approved trainers are set out in Appendix V.1 Requirements for GLOBALGAP (EUREPGAP) Approved Trainer-the-Public Trainers. The formal and technical skills and qualifications in terms of food safety and G.A.P. training required are based on the requirements for a GLOBALGAP (EUREPGAP) auditor (except formal lead assessor course and experience) as outlined in the General Regulations Appendix II.2 of the most recent version.
- (iv) After successful completion of the TT workshop exam, the participant needs to complete, sign and send
 - a) the GLOBALGAP (EUREPGAP) Applicant Trainer Checklist with diplomas/certificates that prove the qualifications according to the checklist and

- b) the GLOBALGAP (EUREPGAP) Trainer Registration Agreement to the Secretariat for approval.
- (v) The approved trainer needs to update information annually to remain on the GLOBALGAP website as an active approved trainer. See 5.2 Maintain GLOBALGAP (EUREPGAP) Approved Status.

3.2 Rights of Trainers

- (i) Appearance on the GLOBALGAP website as approved GLOBALGAP (EUREPGAP) Train-the-Public Trainer.
- (ii) Access to the Trainer-only Section of the Training Extranet.
- (iii) Use of GLOBALGAP (EUREPGAP) general presentations as updated and available on the Trainer-only section of the Training Extranet.
- (iv) Trainers can only train the public (i.e. any person interested to become more familiar with GLOBALGAP (EUREPGAP) and the interpretation thereof).

3.3 Rights of GLOBALGAP (EUREPGAP)

- (i) GLOBALGAP reserves the right to cancel a trainer registration on a discretionary basis where for example complaints are received from members and public and the trainer fails to disprove the allegations.
- (ii) GLOBALGAP does not provide training material for Train-the-Public trainers to use.

4 DISCLAIMER

- (i) Courses offered by a GLOBALGAP approved Train-the-Public trainer are voluntary.
- (ii) Trainees must be aware that the course offered by a GLOBALGAP approved Train-the-Public trainer is not a GLOBALGAP approved course, only that the trainer has passed the workshop and has access to regular updates, and that it is not possible to become GLOBALGAP approved Train-the-Public trainer when attending and passing an exam within this course.

5 PROCEDURES

5.1 Obtain Approved Status

- (i) The applicant must sign up for the TT workshop and the exam and pay the workshop and applicable exam fees prior to the workshop (see fees according to the latest published GLOBALGAP (EUREPGAP) Fee Table on www.globalgap.org)
 - (ii) After successful completion of the TT exam, the trainer needs to complete, sign and send the following information to the GLOBALGAP Secretariat for approval:
 - a) The GLOBALGAP (EUREPGAP) Applicant Trainer Checklist with diplomas/certificates* that prove the qualifications according to the checklist (see GLOBALGAP (EUREPGAP) Applicant Trainer Checklist, available from the Training Extranet).
 - b) The GLOBALGAP (EUREPGAP) Trainer Registration Agreement (available from the Training Extranet), which includes information of the membership status of the associated organisation and sub-scopes the trainer wishes to register for.
 - c) Updated contact details and the status of the trainer and the associated organisation
 - d) A Curriculum Vitae*
- *NOTE: Documents have to be in English*
- (iii) A prerequisite to become an approved trainer is that the organisation the trainer is affiliated with must be a GLOBALGAP (EUREPGAP) member and the annual membership fee has been settled (see member fees according to the latest published GLOBALGAP Fee Table on www.globalgap.org).
 - (iv) After the applicant trainer has paid the workshop fees, passed the exam and sent the information requested in 5.1, the approved trainer shall receive a certificate from the GLOBALGAP Secretariat, stating that the trainee has attended and passed the TT workshop and exam and is approved as a GLOBALGAP (EUREPGAP) Train-the-Public Trainer.

- (v) GLOBALGAP approved trainers have to organize their training sessions themselves. Approved trainers must at least cover the current General Regulations Part I (and any other relevant Parts) and the Control Points and Compliance Criteria of the sub-scope(s) covered by the TT certificate issued by GLOBALGAP.
- (vi) Approved trainers may offer an exam, but the development and correction thereof are the responsibility of the trainer.
- (vii) Certificates issued by approved trainers must comply with requirements set out in Appendix V.2 Certificates issued by approved Trainers.

*NOTE: Approved trainers will only appear on the GLOBALGAP website once the trainer complies with **all** the requirements **and** has signed the GLOBALGAP (EUREPGAP) Trainer Registration Agreement.*

5.2 Maintain Approved Status

- (i) Approved trainers need to update contact information when there are changes.
- (ii) Approved trainers that want to maintain the approved status, need to attend and pass a one-day update-training course and exam, offered by GLOBALGAP, during the transition year after a new version has been launched.
- (iii) Approved trainers must sign the GLOBALGAP (EUREPGAP) Training Agreement for each new version of the normative documents.

6 ABBREVIATIONS AND REFERENCE DOCUMENTS

6.1 Abbreviations

TT	Train-the-Trainer	CPCC	Control Points and Compliance Criteria
TP	Train-the-Public	GR	General Regulations

6.2 Reference Documents

GLOBALGAP (EUREPGAP) Applicant Trainer Checklist
GLOBALGAP (EUREPGAP) Training Agreement

7 APPENDIX V.1 REQUIREMENTS FOR GLOBALGAP (EUREPGAP) TRAINER

7.1 Formal Qualifications

7.1.1 Post-high school qualifications

- (i) 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 the certification.

7.2 Technical Skills and Qualifications

7.2.1 Food Safety and G.A.P. Training

- (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 Codex Alimentarius.
- (ii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (iii) **For Crop scopes:** Plant protection products, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- (iv) **For Livestock or Aquaculture Scopes:** Basic Veterinary medicine and stockmanship training including animal health and welfare issues.
- (v) A minimum of 2 year's experience gained after finishing academic studies mentioned in point 7.1.1.i, and 3 years overall experience in the agricultural industry. This shall involve work in the production, quality assurance of food safety function of Crops (as trainer for Crops scope) and/or Livestock (as trainer for Livestock scope) and/or Aquaculture (as trainer for Aquaculture scope). Two years experience for each sub-scope is required, which may have been gained simultaneously for more than one sub-scope.

7.2.2 Communication Skills

- (i) English language skills suitable for negotiations and communication with GLOBALGAP.
- (ii) Working language skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- (iii) Basic presentation skills.

7.3 Organisation Qualifications

- (i) The organisation the applicant trainer is affiliated with must be a GLOBALGAP (EUREPGAP) member and settled the membership fee for the current year. Membership application is possible at www.globalgap.org – Membership.

NOTE: If the applicant trainer works for an educational institute, government body or accreditation body, the membership requirement is waived.

8 APPENDIX V.2 CERTIFICATE CONTENTS

The certificate issued by a GLOBALGAP (EUREPGAP) approved Train-the-Public Trainer shall include the following information:

- (i) It must state that it is for attending a Train-the-Public training
- (ii) The date and place where the training was held
- (iii) The course material covered:
 - the version of GR
 - the version of the CPCC, together with the scope and sub-scope covered (see below for clarification of scopes and sub-scopes)If additional supporting material was also covered (IPM principles, etc.), this needs to be included in the certificate.
- (iv) The Trainer's name in printed letters
- (v) It must state in which city, country and the month and year that the trainer passed the GLOBALGAP (EUREPGAP) Train-the-Trainer training.
- (vi) Only GLOBALGAP (EUREPGAP) member organisations may use the GLOBALGAP and/or EUREPGAP logo on their certificates in accordance with rules set out in GR Appendix I.1. The certificate shall under no circumstances create the impression that GLOBALGAP offered the training or that the training procedures are approved by GLOBALGAP.

The scope is one or more of the following: Crops Base, Livestock Base and/or Aquaculture

The possible sub-scopes are: Fruit and Vegetables, Combinable Crops, Coffee (green), Tea, Flower and Ornamentals, Cattle and Sheep, Dairy, Pigs, Poultry and Salmon.

NOTE: Other sub-scopes are possible when available and added to the GLOBALGAP (EUREPGAP) standard and offered in Train-the-Trainer workshops.

A certificate template is available in Annex V.1 - GLOBALGAP (EUREPGAP) Train-the-Public Certificate Template.

9 EDITION UPDATE REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
3.0-1_2July07	3.0-Mar07	2 July 2007	2 July 2007	Clarification of wording in 1(ii); 7.2.1(iii)
3.0-2_Sep07	3.0-1_2July07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP)
3.1_Nov09 Interim Final	3.0-2_Sep07	28 Feb 2010	20 Nov 2009	No change of content, modification of Version name.
3.1_Nov09	3.1_Nov09 Interim Final	28 Feb 2010	20 Nov 2009 Published 6 Jan 2010	Correction 1(i), 3.1(ii), 5.1(iii)

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “3.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “3.x”.

ANNEX V.1 GLOBALGAP (EUREPGAP) TRAIN-THE-PUBLIC CERTIFICATE TEMPLATE

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.1-Nov09 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

This is a template that may be used by approved GLOBALGAP (EUREPGAP) Train-the-Public trainers. If another template is used, the information as described in GR Part V, Appendix V.2 must appear on the certificate.

CERTIFICATE OF ATTENDANCE

This is to certify that

Name, Company

has attended a

GLOBALGAP (EUREPGAP) *Scope* Base Train-the-Public Workshop for informational purposes
on *Date*, in *Place*

Course Material covered:

GLOBALGAP (EUREPGAP) IFA General Regulations (Final Version 3.0-Mar07)
GLOBALGAP (EUREPGAP) IFA Control Points and Compliance Criteria (Final Version 3.0-March-07): All
Farm Base; *Scope* Base; *Sub-Scope(s)* - (*i.e. Fruit and Vegetables, Combinable Crops, Coffee (green),
Tea, Flower and Ornamentals, Cattle and Sheep, Dairy, Pigs, Poultry, Salmon*)

Trainer's Signature

Trainer's Company Logo

Place, Date

Trainer's Name in printed letters

GLOBALGAP (EUREPGAP) approved Train-the-Public Trainer (*city, country, month, year of approval*)

GLOBALG.A.P.
Member of **(EUREPGAP)**