

GLOBALG.A.P.

(EUREPGAP)



General Regulations Integrated Farm Assurance

VERSION 3.1_Nov09

PART I | GENERAL INFORMATION

Valid from: 20 November 2009
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Spichernstr. 55, 50672 Köln (Cologne) Germany | Tel: +49-221-57993-25; Fax: +49-221-57993-89 |
<http://www.globalgap.org>

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Sector Committees – Crops (in alphabetical order)

Ricardo Adonis	Fundación para el Desarrollo Fruticola/SHAFFE
Lindi Benic	SHAFFE
Claire Bierbach	Metro Group Buying International
Paul Bol	Dutch Produce Association
Raf de Blaiser	VBT
Peter Ensor	Horticulture NZ
David Gombas	United Fresh Produce Association
Willem Hofmans	Albert Heijn
Theresa Huxley	Sainsbury's Supermarkets
Andreas Kreuzmair	Edeka
Massimiliano Laghi	Apofruit
Heike Mempel	Aldi Süd
Chiyuke Uehara	Aeon
Doug Wicks	Tesco
Martin de la Harpe	Flamingo Holdings
Jill England	BOPP/ADAS
Ximena Franco-Villegas	Asocolflores
David Fryer	Tesco
John Njenga	Kenya Flower Council
Silke Peters	Flower Label Program
Jacques Wolbert	MPS
Frank van Oorschot	LTO
Eduardo Sampaio	Fazenda Lambari
Anderson Figueiredo	Vanguardia do Brazil

Sector Committee – Livestock (in alphabetical order)

Christine Amling	European Egg Consortium
David Clarke	Assured Food Standards
Felipe D'Albora	INAC (Instituto Nacional de Carnes)
Stephaan de Bie	VLAM
Judith Dietvorst	PVE
Aldin Hilbrands	Ahold
Keith Kenny	McDonalds
Heidie Klingenberg Jørgensen	Landbrug og Fødevarer
David Mainon	ASDA
Jim O'Toole	Bord Bia
Hans Schouwenburg	PVE
Han Swinkels	LTO (Dutch Farm Assurance)
Juerg van Niederhaeusern	MIGROS
Anne-Corine Vlaadingerbroek	CBL / Dutch Retail Association

Sector Committee – Aquaculture (in alphabetical order)

John Barrington	Scottish Sea Farms
Trygve Berg Lea	Skretting/Nutreco
Nigel Edwards	Seachill
Jos Exters	Anova Food BV
Aldin Hilbrands	Ahold
Marc Jansen	CBL / Dutch Retail Association
Jodie Johnston	Tesco
Jan Kranghand	Metro Group Buying International
Anje Mattheeuws	Marine Harvest Pieters
Ian Michie	Findus Sverige AB

Mark Nijhof
Oyvind Oaland
Alex Olsen
Stuart Smith

Heiploeg BV
Marine Harvest
A.Espersen
ASDA

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Associate Members:

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GLOBALGAP Technical responsible: Dr Elmé Coetzer. For further information, contact coetzer@globalgap.org

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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.

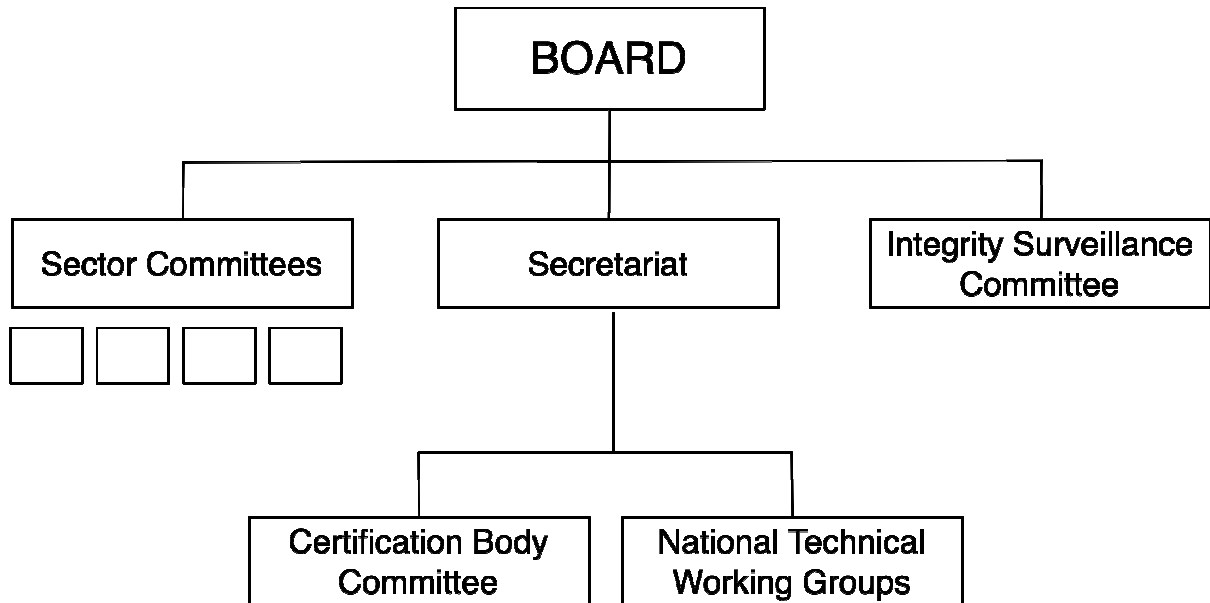


Figure 3.2.3 GLOBALGAP Governance.

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”.