

GLOBALG.A.P.

(EUREPGAP)

General Regulations Integrated Farm Assurance

VERSION 3.1_Nov09

PART II | CERTIFICATION BODY RULES

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1. LICENCE AND CERTIFICATION AGREEMENT

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

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

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

2. CERTIFICATION BODY APPROVAL PROCESS

2.1 CB Approval by GLOBALGAP (EUREPGAP)

2.1.1 Provisional approval

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

- (i) The applicant CBs must register in the GLOBALGAP (EUREPGAP) CB Extranet (<http://cb.globalgap.org>), send a completed Application Form and pay an evaluation fee (according to latest version of GLOBALGAP fee table) to the GLOBALGAP Secretariat for initiating the approval process.
- (ii) In case the evaluation of the application is positive, the applicant CB must pay the annual CB Licence Fee and shall:
 - a) register all auditors and inspectors in the GLOBALGAP database; and
 - b) have them complete the GLOBALGAP (EUREPGAP) online training, including the online exams for the General Regulations and for the Control Points and Compliance Criteria in the relevant sub-scope in the Online Training Extranet (<http://onlinetraining.globalgap.org>), within 6 months after registration; and
 - c) pay the relevant online training fee per registered auditor/inspector according to the latest version of the GLOBALGAP fee table.
- (iii) As a condition for provisional approval the applicant CB wanting to certify option 1 producers shall have at least one inspector (for producer inspections) **and** one auditor (for the certification committee) who have passed the online test for the applied sub-scope and scope, respectively as well as the General Regulations part. Applicant CBs wanting to certify option 2 producer groups shall have at least one auditor (for producer member inspections and QMS audit) **and** another auditor (for the certification committee) who have passed the online test for the applied sub-scope and scope, respectively.
- (iv) The CB willing to certify a benchmarking standard shall show proof of approval by the scheme or standard owner.
- (v) The applicant CB must sign the GLOBALGAP (EUREPGAP) Licence and Certification Agreement.
- (vi) CBs must apply to an Accreditation Body (AB) for accreditation to EN 45011 or ISO/IEC Guide 65 in the relevant GLOBALGAP (EUREPGAP) sub-scope(s) and Approved Modified Checklists or in the relevant Full Benchmarked Scheme (see General Regulations Part IV). A copy of the confirmation of this application to the AB must be forwarded to the GLOBALGAP Secretariat.
- (vii) The Accreditation Body to which the CB applies must be signatory to the multilateral agreement (MLA) on Product Certification with:
 - a) either the European Co-operation for Accreditation (EA), or
 - b) Members of the IAF, who are signatories of the Pacific Accreditation Cooperation (PAC) are automatically accepted into the IAF MLA, **and**

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

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

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

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

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

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

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

2.1.2 Final approval

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

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

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

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

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

3. CERTIFICATION BODY OPERATIONAL REQUIREMENTS

3.1 General Requirements

- (i) All the points described in the General Regulations Parts I and II MUST be accepted and included in the relevant operational document of the CB (EN 45011 or ISO/IEC Guide 65) for GLOBALGAP (EUREPGAP) certification of all scopes, sub-scopes and Approved Modified Checklists, and be available for Accreditation Body evaluation (EN 45010 or ISO 17011). Any CB wishing to start granting GLOBALGAP (EUREPGAP) licences/certificates must comply with the requirements set out in 2.1.
NOTE: Conditions for Approved Modified Checklists are fulfilled by the compliance of the relevant sub-scope requirements.
- (ii) The CB must include the requirements for following general or specific guidelines issued by GLOBALGAP (EUREPGAP) Sector Committees into its certification system procedures pertaining to GLOBALGAP (EUREPGAP) certification (see point 1.4 of the GLOBALGAP (EUREPGAP) General Regulations Part I).
- (iii) The CB shall:
 - a) register all auditors and inspectors in the GLOBALGAP database; and
 - b) have them complete the GLOBALGAP (EUREPGAP) online training, including the online exams for the General Regulations and for the Control Points and Compliance Criteria in the relevant sub-scope in the Online Training Extranet (<http://onlinetraining.globalgap.org>), within 6 months after registration; and
 - c) pay the relevant online training fee per registered auditor/inspector according to the latest version of the GLOBALGAP fee table.

NOTE: This includes subcontracted staff and staff of subcontracted companies

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

3.2 Producer registration

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

3.3 Assessment process

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

- (x) There may be occasions where demonstration of the resolution of a non-compliance can only be confirmed by a further site visit where this is required a charge may result.
- (xi) All corrective actions will be assessed, with clarification provided to show whether the action taken and evidence provided is sufficient to close the non-compliance.
- (xii) At the end of each evaluation day, any non-compliances identified will be summarized and confirmed in writing.
- (xiii) On completion of the full evaluation process a full written report will be produced which summarises the evaluation activity undertaken (date of the inspection, sites and facilities inspected and duration of inspection/audit), provides information on how the producer or the producer group complies with the requirements of the standard, and where applicable, lists any non-compliances identified.
- (xiv) In Option 2; the evaluation report format will be based on the QMS Checklist (available on www.globalgap.org). The evaluation report will form the basis by which a decision can be made on the award of a certificate to the group.
- (xv) A copy of the evaluation report will be provided to the producer (Option 1) or the group (Option 2) at the end of the inspection/audit.
- (xvi) Copies of the report will only be provided to other parties if the producer group provides express written authorization.
- (xvii) The assessment report shall include a recording of the assessment time.
- (xviii) A list of all the producers and sites as well as applicable produce handling facilities to which the certificate relates shall be issued in an appendix referred to in the certificate. The CB shall keep this list up to date.

3.4 Training and Qualification of Staff

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

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

3.5 CB Data Communication with GLOBALGAP

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

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

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

- (i) Ensure that as soon as the CB has made the certification decision, no certificate is issued before the product status is updated to “Certified” in the GLOBALGAP database.
- (ii) Ensure that as soon as a sanction has been issued, the producer’s status must be changed in the database to the relevant status (time between issuing the sanction and updating the database must not exceed more than 1 working day).
- (iii) For all other producer statuses, be sufficiently up to date so as to ensure that the status (see Annex I.4 Producer Statuses in GLOBALGAP Database) of a producer on the GLOBALGAP database is current.
- (iv) Ensure availability of immediately accessible information on **all** audit and inspection details (including those of the unannounced surveillance inspections and audits) and compliance details for each certificate.

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

3.6 CB Communication with Clients seeking GLOBALGAP (EUREPGAP) certification

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

3.7 Independence, Impartiality, Confidentiality and Integrity of CB

- (i) In accordance with EN 45011 or ISO/IEC Guide 65, the GLOBALGAP (EUREPGAP) approved CB must be structured to ensure separation of activities which could cause a conflict of interest. All CB personnel must operate to high levels of professional integrity, be free from commercial, financial or other pressures, which might affect their judgment and are expressly forbidden from promoting any goods or services during evaluation activities.
- (ii) **Confidentiality:** Information relating to the applicant producer including details of products and processes, evaluation reports and associated documentation will be treated as confidential (unless otherwise required by law). No information is released to third parties without the prior consent of the applicant unless stated otherwise in the General Regulations or the Sublicence and Certification Agreement.
- (iii) **Data Protection:** Within the framework of the GLOBALGAP (EUREPGAP) system, only parties to the system, previously defined, will be authorised to view the data (the producer, CB and GLOBALGAP (EUREPGAP)). In addition, the producer can offer personal data to trading partners who have been previously authorized by the producer, or the producer may instruct a third party to do this. This authorisation can be revoked online at any time. Any further access to the producer's personal data is illegal and is prevented by the operator of the database in accordance with the Data Protection Act.

4. CB SANCTIONS

4.1 Types of Non-Conformances

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

4.1.1 Contractual Non-conformances

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

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

4.1.2 Standard or General Regulations Non-conformances

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

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

- (viii) Conflict of interest (e.g. consultancy and certification)
- (ix) Delay or non-application of producer sanctions
- (x) Inadequate internal training
- (xi) Not complying with the scope of the external inspections

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

4.2 Types of Sanctions

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

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

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

Table 3.2 Sanction steps for Certification Body non-conformances

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

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

5.1 GLOBALGAP (EUREPGAP) Sub-scope Inspector

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

5.2 Formal Qualifications

5.2.1 Post-high school diploma

- (i) At least a post-high school diploma or equivalent (minimum course duration of 2 years) must have been obtained in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture).

5.3 Technical Skills and Qualifications

5.3.1 Inspector Training

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

5.3.2 Food Safety and G.A.P. Training

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

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

5.3.3 Communication Skills

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

5.3.4 Maintenance of Competency

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

5.4 Key Tasks

5.4.1 GLOBALGAP (EUREPGAP) Farm Inspections

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

5.4.2 General

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

5.4.3 Independence and Confidentiality

- (i) Inspectors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not carry out consultancy or training activities for the producers on whom they perform inspections. Training is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain; i.e. the trainer cannot provide company-specific solutions.
- (ii) Inspectors must strictly observe the producer's and the CB's procedures to maintain the confidentiality of information and records.

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

6.1 GLOBALGAP (EUREPGAP) Sub-scope Auditor

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

6.2 Formal Qualifications

6.2.1 Post-high school diploma

- (i) At least a post-high school diploma or equivalent (minimum course duration of 2 years) must have been obtained in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture).

6.3 Technical Skills and Qualifications

6.3.1 Lead Assessor Training

- (i) Practical auditing experience of minimum 10 days in management systems (e.g. ISO 9000, ISO 14000, ISO 22000, OSHAS 18000), BRC, IFS, previous GLOBALGAP Option 2 audits, producer group audits of organic growers or others). This does not include witnessing or shadowing of audits, but includes being witnessed or shadowed as auditor-in-training.
- (ii) **Successful completion** of a Lead Assessor training course based on ISO 19011 principles, that must have a minimum duration of 37 hours, and must be externally recognised by the industry. The certificate must specify the course content, duration. Successful completion must be indicated on the certificate.
- (iii) Lead Assessor training course must cover: applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication) and reporting, and it must also include a practical case study.

6.3.2 Food Safety and G.A.P. Training

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

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

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

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

6.3.3 Social Assessment Competency

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

6.3.4 Communication Skills

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

6.3.5 Maintenance of Competency

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

6.4 Key Tasks

6.4.1 GLOBALGAP (EUREPGAP) Producer Group Audits

- (i) Auditing and assessment of the Quality Management System of producers groups for compliance with the GLOBALGAP (EUREPGAP) standard according to the QMS Checklist, available on the GLOBALGAP website.
- (ii) To produce timely and accurate reports on such audits in accordance with ISO/IEC Guide 65 requirements and GLOBALGAP (EUREPGAP) timelines and system requirements.

NOTE: An auditor qualified in the scope of Fruit and Vegetables can audit the QMS of a group seeking certification for Pigs, however this auditor cannot conduct any farm inspections of the pig producers.

6.4.2 GLOBALGAP (EUREPGAP) Farm Inspections

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

6.4.3 General

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

6.4.4 Independence and Confidentiality

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

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

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

The evaluation process will by necessity involve a sampling of the components to assess compliance with the standard and enable certification. All documentation, sites, personnel and operations that are declared by the group to be relevant and pertinent to the setting up and administration of the Option 2 system must be evaluated.

7.1 Evaluation Process

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

7.1.1 Producer Group Quality Management System Audit

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

7.1.2 Inspection of Registered Producers and Production Locations

- (i) A sample of approved registered producer members will be inspected against all control points of the applicable modules of the GLOBALGAP (EUREPGAP) standard. **The final selection and communication to the producer group of which and how many producers to inspect, shall be done by the CB after the QMS audit, using criteria based on the group structure and defined in a sampling procedure, which is risk based. The notification shall normally not exceed 48 hours per producer.**
- (ii) A minimum inspection sample size shall be based on the square root of the number of registered producers that have been registered for each combination of sub-scopes. This will mean that during the inspection of each of these selected producers, all the products in that sub-scope combination must be inspected.
 - e.g. A group has a total of 64 producers of which 48 seek certification for the sub-scope combination of Cattle and Sheep, Dairy and Poultry, and 16 seek certification for the sub-scope combination of Cattle and Sheep, Dairy, Poultry *and* Fruit and Vegetables. The minimum sample size for each combination of sub-scopes will be $\sqrt{48} + \sqrt{16} = 7 + 4 = 11$ producers to be inspected externally by the CB.
- (iii) Additionally sample size calculation shall be based on the numbers of registered producers separated into subgroup combinations taking into account production type as set out in the following point.

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

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

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

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

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

7.2 Registration of Additional Producers within the Group

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

8. EDITION UPDATES REGISTER

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

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