



Technical News for Certification Bodies – Issue 03/2020 GRASP Edition

Dear GLOBALG.A.P. scheme manager,

In this issue you will find clarifications and modifications of the current GRASP General Rules v1.3-1.

The changes are included in the updated general rules document “GRASP General Rules v1.3-1-i”, available [here](#) for download. The changes are also listed individually in the summary document “Summary of Changes GRASP v1.3-1 to v1.3-1-i”, available [here](#) for download. Annex 1 in this document explains the concept of the GRASP country risk categories, Annex 2 outlines the details of the GRASP assessment methodology for worker interviews. The terms “worker” and “employee” in examples are interchangeable.

TECHNICAL COMMUNICATION

This technical communication is uploaded to the GLOBALG.A.P. Document Center and the CB extranet. It is also sent to the scheme managers of each approved and provisionally approved Certification Body (CB), to the Technical Committees, to the hosts of the National Technical Working Groups, to the GLOBALG.A.P. Board, the GLOBALG.A.P. Accreditation Bodies and to all benchmarked scheme and benchmarked checklist owners. You can ask us to add selected persons to the mailing list or to send these technical news releases to all of your registered staff by sending your request to Valentin Pazachev at: pazachev@globalgap.org.

CONTENT REGISTER

TECHNICAL COMMUNICATION	1
1 GRASP COUNTRY RISK CLASSIFICATION AND EMPLOYEE INTERVIEWS	3
2 CLARIFICATIONS OF THE GRASP SCOPE	3
2.1 SUBCONTRACTORS (ADDITION TO GENERAL RULES, CHAPTER 3.4)	3
3 CHANGES TO OPTION 1 REQUIREMENTS	4
3.1 SELF-ASSESSMENT (MODIFICATION OF GENERAL RULES, CHAPTER 5.1)	4
3.2 THIRD PARTY ASSESSMENT (MODIFICATION OF GENERAL RULES, CHAPTER 5.2.E)	5
3.3 PRODUCT HANDLING UNIT (MODIFICATION OF GENERAL RULES, CHAPTERS 5.2.2.C) ...	5
3.4 OPTION 1 MULTI-SITE OPERATIONS WITHOUT QMS (ADDITION TO GENERAL RULES, CHAPTER 3.1)	5
3.5 ADDING NEW SITES (ADDITION TO GENERAL RULES, CHAPTERS 3.1 AND 5.2.2)	5
4 CHANGES TO OPTION 2 REQUIREMENTS	6
4.1 SCOPE OF THE GROUP CERTIFICATION (MODIFICATION TO GENERAL RULES, CHAPTER 5.2.3 D, H)	6
4.2 PRODUCTION VS. PRODUCT HANDLING UNITS (CLARIFICATION OF GENERAL RULES, CHAPTER 5.2.3.D)	6
4.3 EMPLOYEES IN PRODUCT HANDLING UNITS – SAMPLING RULE (CLARIFICATION OF GENERAL RULES, CHAPTER 5.2.4)	6
5 NATIONAL INTERPRETATION GUIDELINES (NIGS)	7
5.1 GRASP ASSESSMENTS IN COUNTRIES WITHOUT A GRASP NATIONAL INTERPRETATION GUIDELINE (NO-NIG COUNTRIES) (ADDITION TO GENERAL RULES, CHAPTER 4.4.3)	7
5.2 APPLICATIONS FOR ASSESSMENTS IN NO-NIG COUNTRIES	7
6 CHANGES TO GRASP ASSESSORS’ QUALIFICATIONS	7
6.1 FORMAL QUALIFICATIONS (MODIFICATION OF GENERAL RULES, CHAPTER 6.1)	7
6.2 IHT QUALIFICATIONS (ADDITION GENERAL RULES, CHAPTER 6.2.1)	8
6.3 ASSESSORS’ QUALIFICATIONS FOR COUNTRIES WITHOUT A NIG (ADDITION TO GENERAL RULES, CHAPTER 6.2.2 A B)	8
6.4 EXTERNAL SOCIAL AUDITOR (ADDITION TO GENERAL RULES, CHAPTER 6.2.2 B)	9
7 CORRECTIVE ACTIONS (ADDITION TO GENERAL RULES, CHAPTER 7.3)	10
7.1 SANCTIONS GRASP REPORT UPLOAD (ADDITION TO GENERAL RULES, CHAPTER 7.6)	10
7.2 GRASP ASSESSMENT IN A NO-NIG COUNTRY WITHOUT PRIOR APPROVAL (ADDITION TO GENERAL RULES, CHAPTER 7.6)	10
8 GRASP CONTROL POINTS AND COMPLIANCE CRITERIA CONTENT REVISION	10
8.1 CONTROL POINT 1: EMPLOYEES’ REPRESENTATION	10
CLARIFICATION 1: ALTERNATIVE WAYS OF REPRESENTATION	10
CLARIFICATION 2: PRODUCER GROUP MEMBER REPRESENTATION	11
CLARIFICATION 3: IN OPTION 1 MULTI-SITE OPERATIONS WITHOUT QMS	11
8.2 CONTROL POINT 5: WORKING CONTRACTS	12
8.3 CONTROL POINT 7: MINIMUM WAGE	12
8.4 CONTROL POINTS 8, 9.1: MINORS AND COMPULSORY SCHOOL EDUCATION	13
8.5 CONTROL POINTS 10, 11: WORKING HOURS AND TIME RECORDS	13
9 MASTER DATA	13
ANNEX 1 GENERAL RULES FOR GRASP COUNTRY RISK CLASSIFICATION	14
ANNEX 2 GRASP ASSESSMENT METHODS OF EVIDENCE	16
APPENDIX 1 COUNTRY RISK CLASSIFICATION – LIST OF COUNTRIES	26

1 GRASP COUNTRY RISK CLASSIFICATION AND EMPLOYEE INTERVIEWS

In 2019, the GLOBALG.A.P. Secretariat completed a pilot program that accelerated the revision of the GRASP add-on v1.3.

As part of this pilot program, interviews with employees were conducted in every GRASP assessment in Almeria, Spain, between April and July 2019. Based on the interview results, the GLOBALG.A.P. Secretariat, together with the GRASP Technical Committee, has developed a methodology for all employee interviews conducted as part of GRASP assessments. This methodology is the first new element of a revised GRASP add-on and is based on a country risk concept.

The country risk concept and the methodology of employee interviews are explained here in this Technical News issue 3/2020.

Implementation of the country risk concept in GRASP is scheduled to be mandatory from **1 October 2020**. Due to the COVID-19 pandemic, this tentative date will depend on further evaluation by the GLOBALG.A.P. Secretariat.

GRASP update trainings will take place online, starting in June 2020 for GRASP in-house trainers. The training schedule is listed on the GLOBALG.A.P. Academy website [here](#). The GLOBALG.A.P. Secretariat is developing online training materials for GRASP assessors as well. All GRASP in-house trainers and all GRASP assessors shall take a new online exam, which shall be passed before the assessor can conduct GRASP assessments requiring interviews. If the online exam is not available in the working language of the GRASP assessors, they can continue doing GRASP assessments without the exam; this exemption, however, does not apply to in-house trainers.

2 CLARIFICATIONS OF THE GRASP SCOPE

The changes and clarifications with respect to the GRASP General Rules are included in the new edition “GRASP General Rules v1.3-1-i”.

2.1 SUBCONTRACTORS (ADDITION TO GENERAL RULES, CHAPTER 3.4)

Subcontractor of any tier: Based on the definition of “subcontractor” provided in the GLOBALG.A.P. General Regulations v5.2 and v5.3-GFS Part I, Annex I.4 Definitions, GRASP subcontractors are those entities furnishing labor, equipment, and/or materials to perform specific farm operation(s) under contract with the producer, directly or indirectly related to the Integrated Farm Assurance (IFA) standard. Examples of directly related activities might be spraying and picking of fruit, while indirectly related activities might be kitchen staff cooking meals for the workers.

In the master data of the GRASP Checklist, assessors shall note which activity is subcontracted and make use of remarks to explain any specific or non-compliant scenario.

Subcontractors are employees hired by an agency, a payroll company or the producer, subcontracted producers or companies that are subcontracted for any activity included in the scope of the GLOBALG.A.P. Certificate. In every case the responsibility for the certified produce is still with the company and it owns the product under certified process.

2.1.1 ASSESSING SUBCONTRACTOR COMPLIANCE (ADDITION TO GENERAL RULES, CHAPTERS 5.2.1)

Good social practices shall be implemented across all business functions and relations (due diligence), thus subcontractors and service providers shall likewise express their commitment and responsibility to following the GRASP requirements. At minimum,

- subcontractors and service providers shall set up and sign a GRASP self-declaration on good social practices.

Further evidence for compliance with the GRASP requirements shall be provided either:

- directly by the subcontractor/at the subcontractor's office/sites to the respective control points or
- by the producer (requiring, e.g. copies of records, documents, proofs from the subcontractor regarding the specific control points, to be provided to the assessor) or
- via declaration or contract between the subcontractor and the GLOBALG.A.P. producer, including that the subcontractor knows and follows the GRASP requirements. The subcontractor can be informed and trained by the producer about the GRASP General Rules and CPCCs.

If national legislation or data protection rules do not allow subcontractors to share certain documentation with the CB (e.g. individual records of employees), the GRASP assessors shall put a remark on the applicable control point in the GRASP Checklist. Instead of evaluating documents and records of the subcontracted employees, the subcontractors shall prove compliance by preparing, and then sharing with the GRASP assessor, other assessment evidence (e.g. declaration prepared by the subcontractor and checked by the producer; proof by authorities or national certification schemes) outlining the system that is implemented, and instruments and measures that are applied in order to fulfill GRASP requirements.

In cases of doubt, the CB's assessor is still allowed to choose an office/site visit at the subcontractor's premises, if in compliance with the data protection rules of the country. Ultimately, the GLOBALG.A.P. producer will be held accountable for non-compliances.

3 CHANGES TO OPTION 1 REQUIREMENTS

These changes take effect with the publication of this Technical News 3/2020 GRASP edition and are incorporated in the GRASP General Rules v1.3-1-i.

3.1 SELF-ASSESSMENT (MODIFICATION OF GENERAL RULES, CHAPTER 5.1)

For Option 1 producers, the GRASP self-assessment before the CB assessment is obligatory. During the CB GRASP assessment, the GRASP assessors shall check whether the self-assessment has been conducted. This shall support the producer in preparing for the external GRASP assessment and help the GRASP assessor find indicators for further investigations, especially if there are deviations between the self-assessment and the CB assessment. Option 1 single producers without QMS shall use the Option 1 GRASP Checklist and follow the rules indicated in the valid version of the IFA General Regulations Part I. If the self-assessment has not been conducted, the CB assessment cannot take place and shall be rescheduled.

3.2 THIRD PARTY ASSESSMENT (MODIFICATION OF GENERAL RULES, CHAPTER 5.2.e)

The aim of remarks and comments in the assessment checklist is to make the audit trail transparent and to provide a better classification of the information collected during the assessment. Remarks and comments shall be given in all cases (Yes/No/Not Applicable) for every control point assessed in all internal and external assessments. Remarks and comments (e.g. which document(s) were sampled) shall be site-specific and included in the checklist, showing that all the control points have been properly assessed. In cases where a control point is not applicable, a clear written justification must be given under “Remarks/Comments” (e.g. for CPCC 9 when no children of employees are living on the site). Examples: Remarks can be details related to the way of finding (or not finding!) evidence: *sample size increased due to ...; interviews not possible with ...; or to relevant circumstances: interpreter is/engaged by ...; documents not available, because ...*

3.3 PRODUCT HANDLING UNIT (MODIFICATION OF GENERAL RULES, CHAPTERS 5.2.2.c)

c) Multisite operations with QMS shall implement GRASP on all sites and in the central Product Handling Unit (PHU). Internally, each site shall be assessed. Externally, the CB assesses a sample (square root) of the sites and the central PHU. It is not required to use and file a separate GRASP Checklist for the product handling unit (PHU). The final GRASP report combines the results and the assessment notes of all visited sites and the PHU, indicating any differing condition between the sites. See more information in 5.2.4.

3.4 OPTION 1 MULTI-SITE OPERATIONS WITHOUT QMS (ADDITION TO GENERAL RULES, CHAPTER 3.1)

During the CB assessment of individual producers with multisites that do not implement a QMS, the Option 1 GRASP Checklist shall be used.

The inspection shall cover:

- All accepted IFA products and production processes
- All registered production sites
- Each registered product handling unit
- Where relevant, the administrative sites

3.5 ADDING NEW SITES (ADDITION TO GENERAL RULES, CHAPTERS 3.1 AND 5.2.2)

Multisite without implementation of a QMS: If, during the 12 months of the most recent assessment's validity, a new site where at least one new employee is hired is added under GRASP, a GRASP assessment of that site shall be conducted, and the GRASP Checklist shall be updated in the GLOBALG.A.P. Database.

Multisite with Implementation of a QMS: If, during the 12 months of the most recent assessment's validity, a new site where at least one new employee is hired, a GRASP assessment of that site shall be conducted, and the re-audit of the QMS is required. The GRASP Checklist shall be updated in the GLOBALG.A.P. Database.

4 CHANGES TO OPTION 2 REQUIREMENTS

4.1 SCOPE OF THE GROUP CERTIFICATION (MODIFICATION TO GENERAL RULES, CHAPTER 5.2.3 d, h)

All producer group members, sites and units under IFA certification shall be registered for GRASP and considered for the sampling in the GRASP assessment. This means that the CB assessment will include the QMS, the square root of the number of PHUs in the case of FV and all PHUs in case of AQ and the minimum square root sample of all accepted producer group members. The sample shall be the same as the one selected for the IFA inspection. The transition period from the current rule (which does not require including each producer group member) to the new rule (which requires including all producer group members) is one year from the “valid to” date of the current GRASP assessment.

GRASP can be applied only to the entire production of the GLOBALG.A.P. registered company, including the producer group’s own production. The group’s own production cannot be assessed separately, but shall be counted as an additional member in the sample of the Option 2 producer group members assessment.

Example: The number of producer group members with GRASP is 100, but the product that is supplied by the producer group members is cultivated by the group itself on its own field(s) as well. Thus, the number of producers that the CB assesses is the square root of 101, which is 11.

After initial assessment, during subsequent assessment, the sample size may be divided between the IFA surveillance and IFA recertification inspections. In order to facilitate worker interviews, the timing of the assessment (and the distribution between surveillance and recertification visits) shall take into account the availability of the employees.

4.2 PRODUCTION VS. PRODUCT HANDLING UNITS (CLARIFICATION OF GENERAL RULES, CHAPTER 5.2.3.d)

It is not possible to assess only product handling units or the producer group’s own production. If the assessment of the group’s own production is required (meaning for the same products as cultivated by the producer group members), this shall be included in the group’s assessment.

Example:

A producer group is certified for melons: The producer group members grow melons, and the certificate holder has melons on its own fields, as well. The melons of both are subject to the Option 2 GRASP assessment.

A producer group is certified for melons: Producer group members grow melons (only). On its own fields, the certificate holder grows courgettes under Option 1. The melons of the members are assessed under Option 2, the courgettes under Option 1.

4.3 EMPLOYEES IN PRODUCT HANDLING UNITS – SAMPLING RULE (CLARIFICATION OF GENERAL RULES, CHAPTER 5.2.4)

In internal assessments, all PHUs shall be assessed.

PHUs that are run by a producer group shall also be included in the sample of the external assessment. If there is only one central PHU, it shall be inspected every year. If there is more than one central PHU, the square root of the total number of central PHUs registered shall be inspected. For aquaculture, every PHU shall always be inspected annually.

If handling does not take place centrally, but on the production sites of each producer group member, this factor shall be taken into account when determining the sample of producer group members to be inspected. If selected, the CB shall inspect the selected producer group members and its PHU together.

After initial assessment, during subsequent assessment, the sample size may be divided between the IFA surveillance and IFA recertification inspections. In order to facilitate worker interviews, the timing of the assessment (and the distribution between surveillance and recertification visits) shall take into account the availability of the employees.

The following assessment rule applies: In every case, especially in Option 1 CB assessments, comments shall explain the various potential differences in employment conditions (production site vs. handling unit). Assessors shall describe which site(s) and unit(s) were assessed, as well as what was found and where (evidence and location of evidence, e.g., on site, office, subcontractor's office, etc.). Any non-compliances, no matter where found (field or PHU, subcontractor), shall be recorded in the "Remarks" field of the GRASP Checklist with reference to either the production site or the PHU and to the corrective actions, if applied.

5 NATIONAL INTERPRETATION GUIDELINES (NIGS)

5.1 GRASP ASSESSMENTS IN COUNTRIES WITHOUT A GRASP NATIONAL INTERPRETATION GUIDELINE (NO-NIG COUNTRIES) (ADDITION TO GENERAL RULES, CHAPTER 4.4.3)

CBs are allowed to issue a maximum of 20 GRASP assessments in a no-NIG country. The 20 assessments are counted not per CB but as the sum of all assessments by approved CBs in a respective country from the publication date of this Technical News.

The GLOBALG.A.P. Secretariat monitors the number of assessments in no-NIG countries on a regular basis and informs the CBs that are active in those countries.

From the publication date of this Technical News, if in a new no-NIG country of assessment more than 20 GRASP assessment license holders are assessed by GLOBALG.A.P. approved GRASP assessors, the GLOBALG.A.P. Secretariat will

- close that country in the GLOBALG.A.P. Database for further GRASP assessments,
- contact the CBs to develop a GRASP National Interpretation Guideline, and
- open the country again for GRASP assessments as soon as the GRASP National Interpretation Guideline is approved and published.

5.2 APPLICATIONS FOR ASSESSMENTS IN NO-NIG COUNTRIES

Applications for no-NIG countries shall be made online using the online application form [here](#). Please also check section 6.3 in this document:

Provide a document with the legislative reference applicable to the GRASP requirements that are checked by the assessor during the GRASP assessment. This document shall be reviewed and approved by the CB in-house trainer (IHT).

6 CHANGES TO GRASP ASSESSORS' QUALIFICATIONS

6.1 FORMAL QUALIFICATIONS (MODIFICATION OF GENERAL RULES, CHAPTER 6.1)

For assessments of Options 1 and 3 multisites without a QMS, assessors must be approved GLOBALG.A.P. IFA inspectors.

For assessments of Options 1 and 3 multisites with a QMS, and for assessments of Options 2 and 4 producer groups with a QMS, the GLOBALG.A.P. IFA *auditor* qualification is required. The site and producer group member inspections can still be conducted by a GLOBALG.A.P. IFA inspector.

6.2 IHT QUALIFICATIONS (ADDITION GENERAL RULES, CHAPTER 6.2.1)

Additions are highlighted in italics.

(b.)

Furthermore, the CB in-house trainer (IHT) has to provide GRASP in-house *formal* training(s) of *at least 8 hours' duration*, including *all the relevant criteria and supporting regulation outlined in the GRASP National Interpretation Guideline(s) (NIG) of the countries in which the certification body performs GRASP assessments* and demonstrate how the NIGs are included in the training program (documented with agenda, list of participants, certificate).

(d.)

The *technical* qualification requirements shall include *training in the local labor regulations related to the control points, and the ILO conventions ratified in the country in which the assessor will perform the assessment*.

Training can be either as part of formal qualifications or through the successful completion of a formal course (the formal course may be an internal training by the in-house CB trainer). The training duration shall be a minimum of 8 hours. Duration and content shall be indicated on the evidence provided for this requirement (course certificate, evidence of training included in formal qualifications, etc.). This evidence shall be renewed every 3 years.

6.3 ASSESSORS' QUALIFICATIONS FOR COUNTRIES WITHOUT A NIG (ADDITION TO GENERAL RULES, CHAPTER 6.2.2 a b)

a) GRASP may be assessed by a GLOBALG.A.P. approved IFA auditor/inspector proving additional qualifications as detailed below

- i. A training of the local labor regulations of the country without a NIG related to the control points, and the ILO conventions ratified in the country in which the assessor will perform assessment (including development, issues and legislative changes relevant to the compliance with GRASP in the countries in which the assessment shall be carried out). The training can be conducted either as part of formal qualification or through the successful completion of a formal course*.

or

- ii. A minimum of 2 audits conducted in the country of application without a NIG as the lead auditor against a standard that includes a labor component.

and for both i. and ii.

- Provide a document with legislative reference to the GRASP requirements that are checked by the assessor during the GRASP assessment. This document shall be reviewed and approved by the IHT.
- This document shall be submitted with the application for GRASP assessments in a no-NIG country.
- *Working language skills in the corresponding native/working language that is used for trainings and work instructions to the employees.*

*A formal course can be:

- a) part of the formal qualifications (degree/diploma) or certification that was awarded to the assessor. The assessor shall present the proof. If it was part of the degree/diploma, it shall be included in the syllabus. Alternatively, if it was acquired separately, there shall be a separate certificate of examination showing a course covering these issues.
- b) an internal training by the IHT. The assessor shall present the proof of this training. If it was part of an internal training, the complete syllabus of the course shall be provided including the GRASP requirements, and exam and the certification of examination.

In both a) or b), the training or course duration shall account for a minimum of 8 hours. Duration and content shall be indicated on the evidence provided for this requirement.

b) GLOBALG.A.P. approved auditors and inspectors without the abovementioned qualifications may conduct the GRASP assessment with the support of a social auditor who is not an GLOBALG.A.P. approved inspector/auditor.

The social auditors need to provide proof of their qualifications to the GLOBALG.A.P. approved CB. These shall include all the following:

- A minimum of 2 social audits as lead auditor on labor issues in the country where the assessment will be conducted
- Provide a document with legislative reference to the GRASP requirements that are checked by the assessor during the GRASP assessment. This document shall be reviewed and approved by the IHT.
- “Working language” skills in the corresponding native/working language that is used for trainings and work instructions to the employees.

Registration in the GLOBALG.A.P. Database, CB in-house training on GRASP and the GRASP online training and test are still not required for these social auditors.

6.4 EXTERNAL SOCIAL AUDITOR (ADDITION TO GENERAL RULES, CHAPTER 6.2.2 b)

b) GLOBALG.A.P. approved auditors and inspectors without the abovementioned qualifications may conduct the GRASP assessment with the support of a social auditor who is not an GLOBALG.A.P. approved inspector/auditor.

The social auditors need to provide proof of their qualifications to the GLOBALG.A.P. approved CB. These shall include all the following:

- A minimum of 2 social audits as lead auditor on labor issues in the country where the assessment will be conducted
- Provide a document with legislative reference to the GRASP requirements that are checked by the assessor during the GRASP assessment. This document shall be reviewed and approved by the IHT.
- “Working language” skills in the corresponding native/working language *that is used for trainings and work instructions to the employees.*

Registration in the GLOBALG.A.P. Database, CB in-house training on GRASP and the GRASP online training and test are still not required for these social auditors.

In case the CB submits applications for multiple countries without a NIG, the evidence shall be provided for each application.

7 CORRECTIVE ACTIONS (ADDITION TO GENERAL RULES, CHAPTER 7.3)

The assessment **report shall be** uploaded **after the time for** corrective actions **has expired, regardless of whether the corrective actions have been taken.**

7.1 SANCTIONS GRASP REPORT UPLOAD (ADDITION TO GENERAL RULES, CHAPTER 7.6)

The GRASP General Rules require the upload of the report within a maximum of 28 days after the time period for corrective actions has expired (within 3 months after initial assessment or 28 days after subsequent assessment).

If a CB does not follow this rule (i.e. uploads the GRASP Checklist after this time frame), the GLOBALG.A.P. Secretariat shall impose a fine of EURO 150 per GGN on the CB. This non-conformance is also included in the CB's KPI.

7.2 GRASP ASSESSMENT IN A NO-NIG COUNTRY WITHOUT PRIOR APPROVAL (ADDITION TO GENERAL RULES, CHAPTER 7.6)

If a GRASP assessor has conducted a GRASP assessment in a no-NIG country without having been approved via the formal application procedure, the following sanctions apply:

- That GRASP assessment is invalid and canceled.
- The GLOBALG.A.P. Secretariat imposes a fine of EURO 500 on the CB.
- The CB shall submit the regular application form for GRASP assessments without a NIG according to the GRASP General Rules v1.3-1-I, Chapter 6.2.2.
- The company shall be re-assessed, and the database updated accordingly.
- The case is included in the CB KPI.

8 GRASP CONTROL POINTS AND COMPLIANCE CRITERIA CONTENT REVISION

8.1 CONTROL POINT 1: EMPLOYEES' REPRESENTATION

CLARIFICATION 1: ALTERNATIVE WAYS OF REPRESENTATION

Any producer with a minimum of one (1) worker shall have a form of employees' representation that can be applied to meet the GRASP requirements as indicated in the different control points with respect to the employees' representative.

The employees' representative, or in alternative scenarios the person(s) responsible for the system of representation (see below clarification on control point 1), shall be present during the assessment.

This representation can take any form (e.g. a person, group of people, several temporally appointed people, etc.) as long as:

- It is independent from management
- It is selected by the employees
- It is communicated to the employees
- It is recognized by the employees

It is essential to comply with the criteria of those control points that require action from the employees' representative. All these means and measures ensuring compliance shall be documented.

For the compliance in control points other than control point 1 (describing the responsibilities of the employees' representative) clear evidence shall be provided to the assessor – including the evidence for any alternative way(s) of representation in all criteria. The assessor is required to check evidence of these aspects through an interview with those representing employees. The assessor shall make remarks and check the efficiency of this representation on control points 2, 3, 4, 8, 9, 10 and 11, which mention the employees' representative.

Example: If the employees do not wish to run for elections or appoint of a representative (trusted person), this shall be documented. In that documented decision, the employees shall determine how their interests will be represented before the management, and this shall be communicated to all employees and the employer. The alternative way of representation shall be clearly defined and documented, easily and constantly accessible to all employees; it shall fulfill the objectives and functions of employees' representation according to the criteria of GRASP control point1 as well as the other control points that require collecting evidence in an interview with the employees' representative: control points 2, 3, 4, 8, 9, 10 and 11. All these control points shall be assessed.

Core intention: The employer facilitates, and does not hinder, the development of parallel means through which the employees can enter into dialogue about relevant issues.

CLARIFICATION 2: PRODUCER GROUP MEMBER REPRESENTATION

If a single producer group member of a producer group has less than 5 employees, the representation of that producer group member shall be organized based on the rules provided above.

CLARIFICATION 3: IN OPTION 1 MULTI-SITE OPERATIONS WITHOUT QMS

If there are one or more employees' representatives in the multi-site operation, evidence shall be provided that the representative can move between sites and advocate employees' rights at each of the sites without restrictions or limitations. If this is not possible, the farm shall organize a council of representatives or shall provide access to a grievance system that performs this function.

Assessment guidance:

- The producer shall provide evidence of the reason(s) for not having an employees' representative. This evidence shall be communicated and acknowledged by the employees (e. by signing that evidence).
- Assessors shall check that the local law or NIG (if available) does not require another form of representation. If this is the case, it shall be referenced in the GRASP report.
- As an alternative, the employees' representation can be organized as indicated in IFA AF 4.5.2 with all its requirements as long as
 1. It is independent from management
 2. It is selected by the employees
 3. It is communicated to the employees
 4. It is recognized by the employees
- It is essential to comply with the control points that require action from the employees' representative.

- Assessors shall check in the interview with the employees' representative that this system adequately fulfills the requirements indicated in control points 2, 3, 4, 8, 9, 10 and 11. If this is not the case, the producer is non-compliant with those control points.
- Assessors shall check in a desktop analysis that this system adequately fulfills the requirements indicated in the control points 2, 3, 4, 8, 9, 10 and 11. If this is not the case, the producer is non-compliant with those control points.

8.2 CONTROL POINT 5: WORKING CONTRACTS

Clarification

The objective of the control point is that all employees shall be informed with written and understandable data about their employment conditions and its compliance with national legal requirements.

Some legal systems do not require a written contract and/or a document signed by both parties. The assessor shall check the requirements for other documents or evidence according to national legislation or as per the available GRASP NIG. The objective of the control point is that employers need to provide to all employees the terms of their employment in a transparent and understandable way: Terms that are compliant with national legislation, negotiable, reliable and enforceable.

Assessment guidance:

Assessors shall check the legal requirements and sources of evidence stated in the available NIG.

- Assessors shall check the respective documentation or registration system, or interview employees.
- Comments in the GRASP Checklist shall indicate which actions were taken in order to collect the information provided as evidence.
- Assessors shall describe the type of the document and the kind of information that it contains under "Remarks" (employees' position, age, gender, time at work, nationality and type of contract, payment, breaks, etc.)

8.3 CONTROL POINT 7: MINIMUM WAGE

Clarification

If national legislation does not set any kind of minimum wage and there are no collective bargaining agreements, evidence shall be provided that the wage rate at least meets prevailing industry benchmarks and that the producers still comply with national labor regulations.

The objective of the control point is to verify the wage level with any reference that indicates compliance with the national law. Evidence of this shall be presented by the producer. The assessor checks the documents for authenticity and also cross-checks this information with the employee representative.

Assessment guidance:

- Assessor shall check whether there is a minimum wage or industry benchmark defined in the NIG.

- The producer shall provide evidence for the reasonable average wage of the industry.
- If, finally, there is no bargaining agreement, then the assessor shall be shown documents that indicate the level(s) of wages and that payments are documented. Methods of finding evidence and the evidence itself shall be entered under “Remarks”.

8.4 CONTROL POINTS 8, 9.1: MINORS AND COMPULSORY SCHOOL EDUCATION

Modification

Children of company management shall be included in the GRASP assessment.

Assessment guidance:

- Control point 8.2 applies to all minors: Assessors verify that minors are not engaged in work that is dangerous to their health and safety (according to the applicable IFA All Farm Base Module), jeopardizes their development or prevents them from finishing their compulsory school education.
- Assessors shall always cross-check with the producer(s)’s self-declaration on non-employment.

8.5 CONTROL POINTS 10, 11: WORKING HOURS AND TIME RECORDS

Clarification

If, due to the type of work and company structure, no daily time recording system is implemented (e.g. fixed contracts, fixed working hours, fixed monthly salary or similar methods are used instead), *alternative way(s) of recording working hours shall be available*. Evidence and explanation shall be provided.

Assessment guidance:

- The company shall indicate the fixed working hours in the contract (cross-check with control point 5).
- Comments for the control point shall explain the practice and the documented details.

9 MASTER DATA

In the master data of the GRASP Checklist, the field “Company description” shall contain qualitative information about the company, for example explaining

- the organizational structure, including specific employment conditions or structure
- location of the sites, units and (head/human resource) offices and, if applicable,
- the different seasons of activities or intervals of hiring labor/fluctuation as well as
- whether producer group members belong to several producer groups or
- whether producers/producer groups have any production that is covered by IFA but cannot be registered in the GLOBALG.A.P. Database.

Any additional information completing the assessment is relevant and shall be mentioned in the company description.

ANNEX 1 GENERAL RULES FOR GRASP COUNTRY RISK CLASSIFICATION

The GLOBALG.A.P. Secretariat has decided to include the concept of country risk levels as a core system of the application of GRASP.

Explanatory Preface

To date, there exists no reference point in the form of a single national score, index or ranking directly related to levels of agricultural labor risks by country. Therefore, GLOBALG.A.P. has decided to classify country risk levels using the Worldwide Governance Indicators (WGIs) developed and maintained by the World Bank.

1. The World Bank's Worldwide Governance Indicators

For over 200 countries, the WGI project reports governance indicators, produced by the analysis of publicly available data sources, NGOs, international organizations, survey institutes and private-sector firms. It takes this data and transforms it into quantitative variables, aggregates those variables, and provides analysis on a country-by-country basis. In this context, the indicators provide information about the institutions and authority within a country, its stability, citizen participation and the prevalence of corruption. GLOBALG.A.P. will use the final ranking report, which lists countries with a final overall ranking from 1 to 100.

For more details in the calculation of the index, the ranking report, and changes in the methodology, please refer to <https://info.worldbank.org/governance/wgi/>.

2. Definition of the GLOBALG.A.P. Risk Levels

Depending on a country's overall ranking, GLOBALG.A.P. has grouped countries into three different levels: low-risk, medium-risk and high-risk countries.

To calculate the range for each level of risk, the following mathematical method was applied: Under the assumption that the WGI are statistically normally distributed, the mean of all the indicators was calculated.

As a result, an overall ranking of 50 was found. It is assumed that countries with a ranking between 0 and 50 were riskier than those with a ranking between 50 and 100. (Since lower rankings mean less governance as defined by the WGI). The mean ranking of less risky countries (i.e. countries with rankings between 60 and 100) was calculated. As a result, an overall ranking of 80 was found.

Based on these means, each level of risk was assigned a range in the ranking: rankings between 0 and 49 are considered high-risk, rankings between 50 and 79 medium-risk, and rankings between 80 and 100 low-risk. Therefore, countries in each range are assigned the corresponding level of risk.

3. General

The **GRASP Country Risk Classification (GRASP CRC)** will serve as the main reference document for current and upcoming changes in the GRASP concept. Reference will always be made to this document.

- a. The GRASP Country Risk Classification will be based on the latest **Worldwide Governance Indicators (WGIs)** developed by the World Bank (see Explanatory Preface and section 1 at the beginning of this document).

- b. Due to the limited scope of some topics in the WGIs, the GLOBALG.A.P. Secretariat will be advised by the GRASP Technical Committee to use other sources of information to complement the GRASP CRC.
- c. The use of the **GRASP CRC** is mandatory for the CBs and assessors assessing GRASP worldwide.

4. Application

The GRASP CRC will classify countries in three different categories (for details of the calculation, please see Appendix 1):

- a. **High-risk countries:** Countries with a WGI rating between 0 and 49
- b. **Medium-risk countries:** Countries with a WGI rating between 50 and 79
- c. **Low-risk countries:** Countries with a WGI rating between 80 and 100

5. Publication

- a. The GRASP CRC will be reviewed every year by the GLOBALG.A.P. Secretariat based on the most recent WGI publication.
- b. After revision, the GRASP CRC will be communicated in a timely manner to all CBs by the GLOBALG.A.P. Secretariat.
- c. The **application of the rules** derived from the GRASP CRC to a specific farm, geographic region or country can be modified by the GLOBALG.A.P. Secretariat through the advice of the GRASP Technical Committee.

ANNEX 2 GRASP ASSESSMENT METHODS OF EVIDENCE

1. Assessment Methodology

GRASP assessors shall use the following assessment methods for collecting evidence of compliance: interviews, document review and visual inspection during the GRASP assessments. Interviews shall be conducted with the management or its representative(s), employees' representative(s), trade union representative(s) if working at the farm and present during assessment, and a sample of the employees present during the assessment.

1.1 Assessment Methodology by Country Risk Classification

The method of collecting evidence shall follow the rules indicated in this document. These rules are based on the General Rules for GRASP Country Risk Classification (Annex 1 in this document). Any non-conformance to these rules shall result in sanctions as indicated in the current GLOBALG.A.P. General Regulations v5.2 Part III, 8 "Certification Body Sanctions".

The application of the country risk profile rules requires the presence of employees on the day of the GRASP assessment in following cases:

- **Low-risk country:** Requires the presence of employees at farms *only* if interviews are requested by producer
- **Medium-risk country:** Requires the presence of employees at the farms
- **High-risk country:** Requires the presence of employees at the farms

The list of countries assigned to the three categories is available in Annex 1a of this document and will be updated regularly – following the revision periods of the World Bank. The list will be available through the online training platform that is used for managing the GRASP update online training.

CBs shall inform, in advance, producers and producer groups seeking GRASP assessment about which case applies, i.e. whether employees need to be present at the farm.

As indicated in the GRASP General Rules v1.3-1-i, Chapter 5.2.2, the absence of employees where employee interviews are required and this requirement is communicated shall result in an immediate GRASP assessment rescheduling in Option 1 and Option 3. The producer shall bear the responsibility and cost arising from such rescheduling. This also applies for Options 1 and 3 multisite with QMS.

In Option 2 and Option 4 producer groups, as per cases indicated in 5.2.3, the absence of employees in the farm sample shall be considered a lack of necessary controls in the QMS functions (5.2.3 b, c). This shall not apply to producer group members indicated in 5.2.3 f (producer without employees) or if employees are shared among producer group members or the PHU.

If employees are shared in any operation, evidence of the various conditions of employment shall be checked.

1.2 Guidance for Application of Methods by Country Risk Classification

1.2.1 Low-Risk Countries

In **low-risk countries** the GRASP assessors shall conduct:

- i. Interview with the management (or its representative(s)) and the person responsible for GRASP implementation on the farm
- ii. Interview with the GRASP employees' representative(s) of the farm
- iii. Interview with the trade union representative(s), if working at the assessed farm and present during the assessment. If this situation applies, please include this in the field "EMPLOYEES' REPRESENTATIVE" in section 3 of the master data "Presence During the Assessment" in the GRASP Checklist.
- iv. Group interview(s) with a sample of employees of the farm only if
 - a) requested by the producer (producer shall have arranged prior to the assessment that employees are present and available for interviews) or
 - b) the assessor considers it necessary to keep the credibility of the assessment (GRASP General Rules v1.3-1-i, Chapter 5.2.d) and employees other than the employees' representative(s) are present on the farm during the assessment.
- v. Document review of the employees who were interviewed and who are considered for document sampling based on the rules in this document
- vi. Document review related to farm operations (as indicated in the checklist)

1.2.2 Medium-Risk Countries

In **medium-risk countries** the GRASP assessors shall conduct:

- i. Interview with the management (or its representative(s)) and the person who is responsible for GRASP implementation on the farm
- ii. Interview with the GRASP employees' representative(s) of the farm
- iii. Interview with the trade union representative(s), if working at the assessed farm and present during the assessment. If this situation applies, please include this in the field "EMPLOYEES' REPRESENTATIVE" in section 3 of the master data "Presence During the Assessment" in the GRASP Checklist.
- iv. Group interview(s) with a sample of employees of the farm
 - Individual worker interviews *shall be* conducted whenever group interviews are not appropriate (due to specific conditions, e.g. related to culture, gender, religion). This shall be indicated in the remarks of the respective control point in which interviews are required.
- v. Document review of the employees who were interviewed and who are considered for document sampling based on the rules in this document.
- vi. Document review related to farm operations (as indicated in the checklist)

1.2.3 High-Risk Countries

In **high-risk countries** the GRASP assessors shall conduct:

- i. Interview with the management (or its representative(s)) and the person who is responsible for GRASP implementation on the farm
- ii. Interview with the GRASP employees' representative(s) of the farm
- iii. Interview with the trade union representative(s), if working at the assessed farm and present during the assessment. If this scenario applies, please include this in the field "EMPLOYEES' REPRESENTATIVE" in section 3 of the master data "Presence During the Assessment" in the GRASP Checklist.
- iv. A combination of individual and group interview(s) with a sample of employees of the farm
- v. Document review of the employees who were interviewed and who are considered for document sampling based on the rules in this document
- vi. Document review related to farm operations (as indicated in the checklist)

2. Sampling Size Calculation

2.1 Sample Size for Employee Interviews

The sample size for employee interviews shall be

- i. For producers in low-risk countries who request interviews: **50% of the square root of the number of employees present** on the farm during the assessment
- ii. For producers in medium-risk countries: the **square root of the number of employees present** on the farm during the assessment
- iii. For producers in high-risk countries: the **square root of the number of employees who are present** on the farm during the assessment

2.2 Sample Size for the Document Review of the Employees (Addition to Chapter 5.2 f of GRASP General Rules)

The assessors shall review the documents of the employees included in the interview sample with the following variations:

- i. In high-, medium- and low-risk countries where interviews are conducted: **At least 50% of those interviewed (i.e. 50% of the employees' documents who have been interviewed).**
- ii. In low-risk countries without interviews: **At least 50% of the square root of the total number of employees** registered in the GRASP Checklist in the field "Total" in section 2 of the master data "Structure of Employment" in the GRASP Checklist (requires regular updates as per GRASP General Rules Annex II: Data Use)

2.3 Composition of the Sample

2.3.1 General

In every sample the proportion in percentages shall be calculated: a percent is equal to an equivalent ratio.

The categories that shall be considered for the sampling are the type of employment and the migratory status. The type of employment includes permanent employees with a contract without termination, temporary employees with a contract for a defined period of time and subcontracted employees contracted via an agency/labor supplier.

The migratory status (i.e. legal status in the country) differentiates national vs. foreign national employees.

The definition of “national” includes employees with permanent residency for the country and household (plus family) and a permanent work permit, meaning that these employees do not migrate to work. Foreign national employees are those without permanent residency and household including family in that country, who migrate to work into another country.

- i. In each case, the samples shall include every type of employment (considering also the definitions in the GRASP General Rules Chapter 9) and migratory status temporary/permanent/subcontracted and national/foreign national) that is present on the farm during the assessment.
- ii. In any sample, the different types of employment present during the assessment shall be proportionally represented, considering also the above definitions and the migratory status of those employees who are present during the assessment.
- iii. In low-risk countries without interviews, the sample shall proportionally represent (in percentages) the types of employment and migratory status of those employees who are registered in section 2 of the master data “Structure of Employment” in the GRASP Checklist.
- iv. In high-, medium- and low-risk countries with interviews, the sample shall also consider interviewed producers in document reviews, allowing cross-checking evidence for the same topics with different methods.
- v. If subcontracted employees are present during assessment, they shall be available for the interviews, and be considered in the sampling. This shall be reported in the comments section of the GRASP Checklist.
- vi. To cover all types of employment and the migratory status, the sample size shall be increased or amended as needed. *Example: 4 employees are present, the sample size contains 2. However, if the 4 employees have 4 different kinds of contract and migratory status, the sample shall be extended to include all 4.*

2.3.2 Employee Documents to be Reviewed (Addition to Chapter 5.2.f) GRASP General Rules)

- i. The producer shall provide access to the documents of the employees who have been interviewed for assessment purposes.
- ii. The following documents of the individual employees shall be reviewed:
 1. Employees’ contracts (control point 5)
 2. Employees’ pay slips/pay register (control point 6)

- a. Document(s) for the verification of the wages paid to employee (control point 7)
- 3. Employees' time record (control point 10)
 - a. In the report, the verification of hours and breaks of the employee (control point 11)

2.4 Examples

A farm has 102 subcontracted workers for harvest, 64 temporary workers and 19 permanent workers. Total number of employees is 185.

The assessor needs to check what proportion of employees are made up of national and foreign national employees.

The assessor then calculates the percentage of all types of employment and the migratory status that results in the following matrix (with 0.5 or higher rounded up):

Type of employment	Employee distribution		Total	Percentage	
	Foreign national	National		Foreign national	National
Subcontracted	102		102	55%	
Temporary	40	24	64	22%	13%
Permanent		19	19		10%
Total employees (100%)	142	43	185	77%	23%

During the assessment, 160 employees are present, so the sample is the square root of 160 = 13 employees who are going to be interviewed.

According to the percentages in the company, the following matrix shows the necessary sample:

Type of employment	Percentage in the company		Total sample	Sample distribution	
	Foreign national	National		Foreign national	National
Subcontracted	55%			7	
Temporary	22%	13%		3	2
Permanent		10%			1
Total sample			13	10	3

The sample distribution for the foreign national temporary employees shall include at least 3 interviewees – to ensure that the employees are represented in correct proportions.

The assessor shall interview 10 foreign national employees – 7 subcontracted and 3 temporary employees – as well as 3 national employees – 2 with temporary contracts and 1 with a permanent one.

The assessor shall review the documents of 50% of this sample. In this example, half of the square root is 7:

Type of employment	Percentage rate		Total	Sample distribution	
	Foreign national	National		Foreign national	National
Subcontracted	55%			3	
Temporary	22%	13%		2	1
Permanent		10%			1
Total sample			7	5	2

In the calculations of the sample, the assessor shall amend the sample in order to proportionally represent the percentages of the types of employment and migratory status. Thus, in this case, the larger sample of subcontracted foreign nationals was reduced in order to keep 1 permanent national and 1 temporary national employee in the sample.

3. Time Management

3.1 Expected Minimum Duration of Interviews

3.1.1 Individual Interviews

Each individual interview shall last at least 15 minutes per person.

Individual interviews shall be conducted with the management (or its representative(s)), with the person who is responsible for the implementation of GRASP, with the employees' representative(s), and with the trade union representative(s) – if the last is working at the farm and is present during the assessment.

If requested by the producer, the interview with the management (or its representative(s)) and the person who is responsible for the implementation of GRASP can be conducted as a group interview, provided:

- both are available at the same time for the interview
- the responsible person for the implementation of GRASP is part of management, not of the hired workforce.

If employees' representation consists of a council or a group of representatives, assessors shall apply the group interview methodology.

3.1.2 Group Interviews

The minimum duration of group interviews depends on the number of people included in the sample, and certainly on the group dynamics.

(Employees) Sample size	Minimum duration of group interviews in minutes
1	15
2	20
3 4 5 6	40
7 8 9 10	60
10+	Divide the sample into groups and apply the minimum duration (limit group size to 10 people)

If there are more than 10 employees in a sample for group interviews, then the sample shall be divided, so that one interview session includes 10 employees and all others are grouped in subsequent sessions or so that all groups have fewer than 10 employees.

For example, the sample exists of 12 employees. The assessor can divide the sample into a session of 10 employees for 60 minutes and another session with 2 employees for 20 minutes. Alternatively, it can be divided into two sessions with 6 employees for 40 minutes.

In group interviews, the minimum duration of 60 minutes applies to the whole range of sample size, whether there are 7 or 10 employees in the group being interviewed.

3.1.3 Combination of Individual and Group Interviews (Applies Only in High-Risk Countries)

If interviews are conducted in a high-risk country on a farm with 42 or fewer employees ($\sqrt{42}=7$), the assessor shall always conduct individual interviews with the employees in the sample. Up to a sample size with 7 employees, individual interviews shall be conducted with each of the employees.

If the sample consists of more than 6+1 employees, group interview(s) shall be conducted with the rest of the sample, following the minimum duration as indicated below.

(Employees) Sample Size	Minimum interview duration in minutes
1	15
2	30
3	45
4	60
5	75
6	90
	Farms with 43 or more employees: assessor shall continue sampling using group interviews duration and methods
7	(6 individual) 90 minutes + (1 person) 15 minutes
8	(6 individual) 90 minutes + (2 people group) 20 minutes
9	(6 individual) 90 minutes + (3 people group) 40 minutes
10	(6 individual) 90 minutes + (4 people group) 40 minutes
10+	7 people in 90 minutes (15 each) + Divide the sample into groups and apply the minimum duration (limit group size to 10 people)

Example:

A company in a high-risk country has 60 employees. The sample size is 8 people. The assessor shall conduct 6 individual interviews (90 minutes) and a group interview session of 20 minutes with two employees.

Matrix of the minimum interview duration by country risk profile:

	Low-risk countries	Medium-risk countries	High-risk countries
Management/person responsible for GRASP	15 minutes for each or 20 minutes for 2	15 minutes for each or 20 minutes for 2	15 minutes for each or 20 minutes for 2
Employees' Representative	15 minutes for an individual; otherwise group interview	15 minutes for an individual; otherwise group interview	15 minutes for an individual; otherwise group interview
Trade Union representative if present and employed	15 minutes	15 minutes	15 minutes
Employees	<u>If requested:</u> group interview	Group interview	Up to 6 people 15 minutes each, above this group interview

3.2 Basic Conditions for Interviews with Employees

- i) During the opening meeting, assessors shall **request a list of all employees present** at the farm that day, including employees in all types of employment and every migratory status (i.e. nationals and foreign nationals).
- ii) The sample shall **always be selected by the assessor** and never by the management (or its representative).
- iii) Although the assessor's selection is random, **the sample shall include employees in all types of employment and both migratory statuses – of the employees who are present at the moment of the assessment.**

- iv) Interviews shall be conducted without the presence of company management, supervisors or any other person that could interfere with the process.
- v) The company management shall provide **appropriate facilities** for the interviews:
 - The place shall be away from the place of work to avoid food safety and hygiene contamination risks.
 - It shall be a place that provides protection (visual and acoustic) to the employees and is not associated by employees with a place of disciplinary hearings or management operations.
- vi) Interviews shall be conducted by the assessors in the **language in which work instructions are given and commonly understood by the employee(s)**.
- vii) It is the responsibility of management to provide facilities, resources and means for the assessor to bridge language limitations. Any third party that is called in shall be objective (i.e. when calling in a facilitator, translator or interpreter, they shall be independent from the company management).
- viii) During the assessment, the assessors can take notes of **names, initials or internal staff/register numbers of the employees interviewed in their audit logs, which are kept confidential**.
- ix) Employees shall be **protected from retaliation** for participating in interviews.
 - The management shall sign a statement recognizing this and allowing the CB to follow up on this in the next assessment.
 This is a declaration or confirmation signed by the manager (or their representative) – in any form that suits the internal processes of the company (e.g. an addition, annex, a single letter provided to the assessor for the document review, etc.).
 - If during the subsequent assessment the CB finds evidence of retaliation due to the interviews conducted, the assessor shall initiate a procedure as described in the GRASP General Rules v1.3-1-i, Chapter 7.4.

3.3 Expected Duration of the Assessment

The total assessment duration depends on the size of the company and the number of employees, as well as the level of risk. The assessment shall last at least:

Activity	Minimum expected duration	
1. Opening meeting with management (or its representative(s)), producer if present, and the employees' representative	10–15 minutes	
2. Interview with the person responsible for GRASP and the management (or its representative)	15 minutes (one) or 20 minutes (if group interview)	
3. Interview with the employees' representative(s) If group interview	15 minutes Follow group interview rules	
4. Interview with trade union representative, if present	15 minutes	
5. Interviews with employees Sample size = Square root of the total employees present at the farm (includes all types of employment and migratory status, except those of management)	Medium-risk and low-risk requesting interviews	High-risk
	Based on group sample 2 persons = 20 minutes 3–6 persons = 40 minutes 7–10 persons = 60 minutes 10+ Divide in groups, e.g. 12 employees = two sessions of 6 people for 40 minutes each or one of 60 minutes with 10 persons and one of 20 minutes with 2.	Based on sample Individual 1 person = 15 minutes 2 persons = 30 minutes 3 persons = 45 minutes 4 persons = 60 minutes 5 persons = 75 minutes 6 persons = 90 minutes <u>From here group interviews</u> In samples of more than 6 employees continue with group interviews.
6. Site inspection for GRASP	20–30 minutes	
7. Document review Sample size = 50% of sample of employees interviewed	(depends on sample size)	
8. Closing meeting with management and employee representative	10–15 minutes	

APPENDIX 1 COUNTRY RISK CLASSIFICATION – LIST OF COUNTRIES

The GLOBALG.A.P. Secretariat has decided to include the concept of country risk levels as a core system of the application of GRASP.

The World Bank’s Worldwide Governance Indicators

Based upon its calculation of Worldwide Governance Indicators (WGI), the World Bank draws up a final report that lists countries with a final overall ranking from 1 to 100. The GLOBALG.A.P. Secretariat uses these final overall rankings to group countries into three different levels: low-risk, medium-risk and high-risk countries. More details are given in Annex 1 “General Rules for GRASP Country Risk Classification”.

For more details on the calculation of the index, the ranking report and changes in the methodology, please refer to <https://info.worldbank.org/governance/wgi/>.

Table of Countries (Updated April 2020)

High-risk countries	WGI	Medium-risk countries	WGI	Low-risk countries	WGI
Zimbabwe	6	Jamaica	50	Portugal	80
Guinea	11	Georgia	51	Cyprus	82
Côte d’Ivoire	12	Turkey	51	Chile	84
Guinea-Bissau	16	Panama	55	United States	84
Mauritius	22	Ghana	56	France	86
Ecuador	23	Brazil	57	Belgium	88
Ethiopia	23	Bulgaria	59	United Kingdom	88
Nicaragua	28	Romania	59	Germany	90
Kenya	29	South Africa	60	Iceland	90
Madagascar	29	Malaysia	61	Ireland	91
Guatemala	31	Namibia	62	Australia	93
Honduras	31	Greece	63	Netherlands	94
Ukraine	31	Croatia	65	Austria	95
Lebanon	33	Israel	67	Switzerland	96
Uganda	33	Italy	68	Denmark	97
Egypt	35	Puerto Rico	70	Faroe Isl.	97
Gambia	35	Costa Rica	71	New Zealand	97
Vietnam	35	Korea (South)	73	Norway	97
China	36	Hungary	74	Sweden	97
Indonesia	36	Slovakia	75		
Mali	36	Uruguay	76		
Senegal	37	Poland	77		

High-risk countries	WGI	Medium-risk countries	WGI	Low-risk countries	WGI
Dominican Rep.	38	Spain	77		
Moldova	39	Slovenia	78		
Zambia	39	Czech Rep.	79		
Bosnia/Herzeg.	41	Taiwan	79		
Tanzania	41				
Argentina	42				
Burkina Faso	43				
India	43				
Thailand	43				
Colombia	44				
Morocco	44				
Mozambique	44				
Peru	45				
Saudi Arabia	45				
Mexico	46				
Serbia	48				
North Macedonia	49				
Tunisia	49				

Sincerely,

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