

GENERAL REGULATIONS IN VERSION 5 - SUMMARY OF CHANGES between version 4 and v5 –

1. Introduction

The process followed by the GLOBALG.A.P. Secretariat to review the General Regulations (GR) v4 and prepare the final GR v5, includes consultation with Technical Staff (trainers and integrity assessors), the Certification Body Committee during its meetings in 2014 and 2015 and the analysis of all comments received from several stakeholders (National Technical Working Groups, Certification Bodies (CBs), producers, consultants, etc.) during two public consultation periods (first public consultation period: 15 December 2014 to 15 February 2015; second public consultation period: 16 March 2015 to 5 April 2015).

It also included revision of the changes made to the Control Points and Compliance Criteria (Control Points and Compliance Criteria) in order to maintain consistency among documents. Comments were received from the CBC (150), other external stakeholders (310) and from Secretariat staff.

Following objectives were taken into consideration for the revision:

1. **SIMPLIFICATION:** Some rules included aspects which were never implemented by producers (e.g. the purchase of sub-GLNs by producers for their registration for parallel production/ownership). These have been eliminated.
2. **ELIMINATION OF DUPLICATION:** Several items were repeated in different parts of the General Regulations, with slight differences (e.g. information for registration). These have been eliminated.
3. **MORE LOGICAL CONTENT ORGANIZATION:** In some occasions, the information was dispersed across the General Regulations. The new version puts the information in the place where users may expect to find it. As examples:
 - Parallel production/ownership chapter is no longer an annex, but part of the information necessary for producer registration;
 - The "Introduction to the CPCC", which included rules for reward auditing and inspection timing, is now incorporated in the rules for certification bodies and scope specific rules.
 - The Glossary, now called "Definitions" is an annex to the General Regulations.

The General Regulations v5 has the following structure:

- GR Part I: General Requirements; applicable to all producers, producer groups and Certification Bodies (CB).
- GR Part II: QMS (Quality Management System) Rules; applicable to producer groups, and multisite producers with an implemented QMS.
- GR Part III: Certification Body and Accreditation Rules; applicable to CBs and Accreditation Bodies.
- Scope specific rules.

4. **CONSOLIDATION OF INFORMATION:** All updates, clarifications and normative changes communicated in Technical Newsletters during the last 4 years were incorporated. The Plant Propagation Material (PPM) standard has been included in the Integrated Farm Assurance (IFA) v5 as a new Crops sub-scope, therefore the PPM General Regulations will be phased out and replaced by the GR v5. The Green Coffee sub-scope has been removed from the IFA and will be included into a to-be-released new standard called “Crops for Processing”.

5. **STREAMLINED MODULAR STRUCTURE:** Acknowledging that the General Regulations contain a huge amount of information, a structure, which allows users to directly access the information they need, without having to go through parts not relevant for them has been developed. For this reason, the specific rules, which only apply to one of the scopes, were incorporated in separate documents: Crops, Livestock and Aquaculture Rules. The Compound Feed Manufacturing Specific Rules will be released later.

6. **GREATER SYSTEM EFFICIENCY:** In order to reduce time spent by the CBs on farm and thus, the certification costs and burden for producers, the possibility to audit part of the checklist off-farm was incorporated. Announced inspections may be divided by the CB in 2 modules: Off-site module and On-site module. Both modules have to be performed by the same auditor/inspector.

7. **IMPROVED REWARD SYSTEM FOR GOOD PRODUCERS:** As the effectiveness of the reward system in v4 (the use of a shortened checklist) has been questioned and also not been commonly used, a new reward system was introduced.

8. **EASIER ACCESS FOR CBs:** The strength of the GLOBALG.A.P. System gained through the Integrity Program and CB Administration, allowed a reduction in accreditation costs and audit burden for the CBs. After consulting with all the Accreditation Bodies (AB), the number of AB witness assessments required for CB approval and maintenance of accreditation was optimized. This may mean a significant cost reduction, not only for the CBs, but may also for producers. This will help to make GLOBALG.A.P. the standard of choice by the CBs and producers.

9. **INTEGRITY OF CERTIFICATION:** Some other very specific changes were introduced in order to guarantee a higher integrity of the certification. For example, inspections on crops shall be done during harvest season at least every second year, unless inspections are done during handling operations.

The main changes are summarized in the following sections.

2. General Regulations Part I – General Requirements:

2.1 Normative documents and Application and Certification Scopes:

It has been clarified:

- Which are the standards covered by these General Regulations. The GRv5 applies to the: Integrated Farm Assurance (IFA), Food Safety Standards (e.g. Produce Safety Standard), Compound Feed Manufacturing Standard and to the Livestock Transport Standard.
- That the annexes referenced in the CPCC are guidelines, unless a CPCC states that the Annex or part of the Annex is mandatory (normative).

2.2 Registration process:

- How to manage possible registration of the same products for combined certification under IFA and Food Safety Standards was clarified.
- The producers' historical data that will be displayed from v5 onwards in the database has been better described.
- The description of the registration process has been simplified.
- The requirement for producer groups to also include, during registration, clear identification of their producer members who buy/sell non-certified products of the same products included in the scope of certification has been added.
- The rules of the data release levels are summarized in a separate document called the Data Access Rules. According to this, the producer/producer group's name (excluding street name and house number) will be visible to the public and on the online certificate validation tool. To display the producer group member's name and full address is still the choice of the producer group.
- The "Production Management Unit" (PMU) term and concept has been eliminated and replaced by 'production site'. The concept Product Handling Unit (PHU) remains to refer to a facility where products are handled.

2.3 Assessment process:

- Following topics have been introduced and/or further clarified:
 - The use of the Off-site module: the CB may assess documentary evidence before the on-site inspection. It is applicable for option 1 (individual producer) inspections and for the QMS audit of the Option 2 (producer group) or Option 1 multisite.
 - The rules of the Unannounced Reward Program: when the producer (option 1 only) agrees that the normal annual inspection will always be unannounced, he/she will be excluded from having an additional 10% random unannounced inspection. The use of the shortened reward checklist – as it was in v4- is discontinued.
 - The rules regarding inspection timing for Option 2 and Option 1 multisite with QMS and when a producer changes CB.
- The requirement to have comments for all Major Musts in self-assessment checklists (Option 1 only) has been deleted. Only non-applicable and non-compliant control points

need written comments in the self-assessment. The producer group internal inspections and the CB inspections are unaffected.

- Parallel Production is now also applicable when not all the members of a producer group producing a product that is registered for certification are included in the scope of the certificate.
- When a producer changes from one CB to another, it is not considered a first inspection, but subsequent inspection.
- The “inspection window” now extends over a period of 8 months: from 4 months before the original expiry date of the certificate, and up to 4 months after the original expiry date of the certificate (instead of 8+4 months as it was in v4).

2.4 Certification process:

- Rules for Food Safety Standards have been clarified.
- Situations where extension of certificate validity is allowed have been included.
- It has been given the option for CBs to give more detailed information regarding “valid from” dates on the certificate, when adding new products to an already existing certificate.

2.5 Farm Assurers:

A new section has been created to include a short description of Farm Assurers.

2.6 Use of GLOBALG.A.P. Trademark and Logo:

- The definitions and rules for use is extended with the QR code, the design “QR Code Logo”, and with the “G”- shape logo.
- Certified producers who have not signed up for voluntary GLOBALG.A.P. membership who use the GLOBALG.A.P. logo and/or the “G”-shape logo, shall combine the logo with the corresponding GGN.
- The use of the GGN has been further clarified and the CoC number has been introduced.
- Special situations where the trademark/logo may appear on (input) product is described. The GLOBALG.A.P. Trademark may be used on Compound Feed Manufacturing (CFM) certified feed, GLOBALG.A.P. certified Plant Propagation Material, IFA certified aquaculture input (e.g. ova, seedlings, etc.), and on IFA certified livestock input (e.g. chicks) that are used as input for the production of the final products (as listed in the GLOBALG.A.P. product list), are not intended to be sold to final consumers, and will not appear at the point of sale to final consumers.

2.7 GLOBALG.A.P. registration data requirements:

- Data requested for aquaculture registration (Quantity as obligatory) has been clarified.
- Information on location (Northern/Southern Latitude and Eastern/Western Longitude) becomes obligatory for legal entities, but stays voluntary for production sites and product handling units. It has been clarified how this information will be shown to market participants and the public.
- It is clarified that for perennial crops, that the area covered by the registration fee is the area in production and not the total area.

- For compound feed suppliers without a GGN, it has been stated that the supplier name and accredited scheme used will replace the GGN in the Database.

2.8 Paper Certificate Template:

- The paper certificate template is now an Annex of the General Regulations.
- The address fields include the legal entity and the production site.
- For the sub-scope Flowers and Ornamentals, the certified species shall always be included as product attribute in the paper certificate.
- The paper certificate template is now applicable for Plant Propagation Materials (PPM) as well.
- In case of PPM products, the following disclaimer shall be added to the first page of the paper certificate: “Products certified under PPM sub-scope are not intended for human consumption or for feed.”
- For fruit and vegetable producers packing at the point of harvest (in-field packing) is also considered as produce handling and shall be indicated as such. When Product Handling is applicable it shall be specified whether it takes place (“in-field”) or in a facility (“facility”) or in both (“in-field + facility”).
- For Aquaculture scope, where Product Handling is applicable, the requirement to indicate on the certificate if the producer has a GFSI recognized (post-farm) certification at the time of the inspection or not, has been included.
- The CB may add the QR code including a link to the GGN validation site.
- If a new product is added during the validity period of a certificate, the CB may indicate since when the newly added product is certified.

2.9 Definitions:

- The definitions part (previously called Glossary) is now an Annex of the General Regulations.
- The v4 Glossary has been reviewed in order to simplify and update the definitions included.
- Definitions of concepts already defined by ISO have been deleted (e.g. environmental aspects, environmental impact assessment).
- Definitions of new concepts included in CPCC v5 have been included (e.g. mineral oil fractions such as MOSH, POSH, MOAH).
- The definitions of “litter”, “Management” and “Plant Propagation Material” have been included.
- Definition of “Product Handling” has been reviewed in order to include and clarify its meaning for the Aquaculture scope.

3. Scope specific rules

3.1 Crops Rules:

- The Produce Safety Standard has been included in the scope of the document.
- It has been clarified that products certified under PPM sub-scope are not intended for human consumption or for feed.

- The definitions of Parallel Production and Parallel Ownership have been clarified for the Flowers and Ornamentals sub-scope.
- Inspection timing requirements have been further clarified for subsequent inspections. The produce handling facility(ies) shall be inspected annually while in operation. Only when the CB has carried out a risk assessment that clearly shows that the risk is low, can produce handling be inspected, during operation, once every two years.
- If produce handling is excluded from the certification scope, inspection has to be scheduled during harvest season at least every two years.
- The CB shall make sufficient provisions to avoid situations where one certificate could be used to cover more than one harvest and growing cycle of the same annually harvested crop

3.2 Livestock Rules (to be published with the Livestock CPCC):

- Livestock specific rules have been reviewed, specially regarding the applicability of the Livestock Transport requirements (both in IFA and in the stand alone Livestock Transport Standard).
- The assessment process regarding animal transport has been clarified.

3.3 Aquaculture Rules:

- Sampling of product handling sites under Option 2 or Option 1 Multisite with a QMS is not allowed.
- Inspection duration is set to minimum 5 hours plus the time for the GRASP assessment.
- The requirements for parallel production/ownership has been clarified.

4. General Regulations Part II:

- The requirements regarding information to be included in contracts and internal register have been clarified and simplified, also showing what is current practice in the GLOBALG.A.P. System (e.g. include the date of last internal inspection).
- The Food Safety Policy Declaration was included as QMS requirement.
- Regarding the Product Traceability and Segregation section:
 - It has been reviewed as to include requirements regarding mass-balance in v4 QMS checklist into the QMS rules and making also the wording consistent with the relevant part of All Farm Base module at producer level.
 - Following requirement has been added: GLOBALG.A.P. products entering the process (either from producer members/production sites or from external sources) shall be immediately identified with the GGN or any other reference that is clearly explained in the company policy and provides a unique reference to the certification status. This reference shall be used on the smallest individually identified unit.
 - Obligation to label final product with the GGN of the group/company has been restricted only to producer groups/multisite companies registered for parallel production/ownership/ internal auditor requirements: When internal QMS auditors

don't have formal education in a discipline related to the scope of certification, work experience required in the relevant sub-scope has been changed from 2 to 3 years.

5. General Regulations Part III:

5.1 CB approval process and operational requirements:

- CBs already accredited shall achieve ISO/IEC 17065 accreditation for v5 by 1st July 2016.
- A new section has been included to explain how to proceed in case of Termination of approval (of a CB).
- All IFA v4 approved auditors are automatically re-approved for carrying out QMS audits in v5, after passing a QMS online exam, when available. New auditors shall pass the face-to-face QMS training.
- After successful examination, the in-house trainers of the GLOBALG.A.P. associate member CBs have the possibility to become GLOBALG.A.P. approved Public Trainers.
- Auditor requirements for CBs planning to certify Option 2 and/or Option 1 multisite with QMS and requirements for auditors/inspectors that work for more than one CB have been clarified.
- Requirement for ABs to follow the GFSI requirements for the application of ISO 17011 during accreditation process has been deleted.

5.2 Accreditation Body (AB) requirements

- An initial AB assessment of a scope (i.e. crops or livestock or aquaculture) shall require at least one witness assessment (of one sub-scope instead of each sub-scope) within each applied scope.
- The AB may grant the accreditation for Option 2 if the AB has completed at least one QMS audit witness assessment (of one sub-scope instead of each sub-scope).
- Benchmarked schemes and AMCs are considered as equivalent sub-scopes in terms of extension of the accreditation to new sub-scope(s) within an already accredited scope.
- The AB shall witness all sub-scopes in at least a 4-year period, but not every scope/sub-scope combination every year.

5.3 Producer registration:

- The section Data Access Rules has been updated and clarified.
- Farm Assurers have no role in registration of producer data in the GLOBALG.A.P. Database any more.
- CB shall confirm the receipt of formal application for (first) registration within 28 calendar days (instead of 14 days).
- Each CB invoice to producers/producer groups, or an accompanying document to each invoice, shall clearly identify the relevant GLOBALG.A.P. registration fee.

5.4 Assessment process:

- The uses of the Off-site inspection possibility and Unannounced Reward Program have been further explained.

- The criteria to be used by CBs for sampling increase in producer groups and multisite operations have been further clarified. Additional reasons for an increase are: the possible need to determine if the NC is structural or not or the number of products.
- Further explanation and new examples for option 2 producer sample calculation have been added.
- In Aquaculture, sampling of product handling units is not possible in producer group (and option 1 multisite with QMS)
- A requirement has been added to evaluate all internal inspector and auditor qualifications of producer groups and multisite companies with QMS, before first certification.
- The section about Approved Modified Checklists and Equivalent Schemes has been reviewed and updated.

5.5 Certification Process:

- The inspection requirements for multisite operations without QMS implemented have been better defined. In case of an Option 1 multisite with no QMS, all production sites where a registered product is produced shall be inspected before the certificate can be issued.
- Guideline for Inspection Methodology (to be released) will define where to put comments in the checklist by the CB inspector/auditor.
- It has been clarified that copies of the report will only be provided to the regulatory authorities when requested, according to the applicable national legislation.

5.6 Transfer between CBs:

- The requirement to consider transfer between CBs as first inspection has been deleted.

5.7 Integrity Program:

- It has been added that the CB is expected to follow-up the findings of the integrity assessment and ensure that the producer complies with the certification requirements.

5.8 CB auditor and inspector qualifications:

- A new alternative for inspector and auditor formal education has been included: a post high school diploma with a minimum duration of 2 years in a food related discipline and minimum of 4 years industry experience.
- For aquaculture inspectors and auditors GRASP training became obligatory.
- For inspectors and auditors the HACCP and the Food hygiene course duration has been specified as 8 + 8 hrs.
- Inspectors and auditors only approved for Flowers and Ornamentals and/or Plant Propagation Material may have HACCP course duration shorter than 8 hrs and the Food hygiene course is not required.
- A list of evaluation criteria is included for the point: Initial Training Before Sign-Off by the CB