

GLOBALG.A.P.

GENERAL REGULATIONS

PART I | GENERAL RULES

ENGLISH VERSION 4.0
EDITION 4.0-2_MAR2013

VALID FROM: MARCH 2013
OBLIGATORY FROM: JUNE 2013



ACKNOWLEDGMENTS

GLOBALG.A.P. is pleased to acknowledge the

1. **Members of Crops, Livestock and Aquaculture Sector Committees (SCs)** for their dedication and time over the last 4 years. (The members' names are available on the GLOBALG.A.P. website under Governance).

2. **Certification Body Committee (CBC)** for their input:

Det Norske Veritas – Italia, NSF-CMi, Intertek Deutschland, Moody International Certification Ltd, and LSQA.

3. **Crop Protection Working Group members** (the members' names are available on the GLOBALG.A.P. website) for their contribution to the Crops Base Module.

4. Following producers and certifications bodies that voluntarily took part in the trial audits for the All Farm, Crops Base and Fruit and Vegetables Modules V4.

Producers: Pinex Cooperative Farmers and marketing society (Ghana), AT Agrícola Ltda. (Chile), Rancho Medio Kilo, S. de P.R. de R.L.(Mexico), Omniversal (Japan), Maruta (Japan), JA Kitahibiki Cooperative (Japan), Matsumoto Farm (Japan), Driscolls (USA), Werner Marquard of Altenmedingen (Germany).

Certification Bodies: Africert, NSF-CMi, NORMEX de Michoacán, SGS Japan, Control Union Japan, DNV Japan, Primuslabs, SGS Germany.

5. **National Technical Working Groups** in more than 30 countries to ensure global applicability;

6. **Government and non-Government Organisations** that took part in the revision process.

7. **Board members** who adopted the GLOBALG.A.P. Integrated Farm Assurance Scheme V4.0-Oct10 (in alphabetical order)

Andrea Artoni	Conad/Coopernic
Josse de Baerdemaeker	VBT
Hugo Byrnes	Ahold
Jorge Hernandez	US Food Service
Horst Lang	Globus SB Warenhaus Holding
Joan Mir	ANECOOP Spain
Carlos Perez	Marchelot
Bert Urlings	Vion Food Group
Richard Yudín	Fyffes
Johann Züblin	Migros-Genossenschafts-Bund

and last but not least, GLOBALG.A.P. would like to thank all the GLOBALG.A.P. members and non-members for their continued support.

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Aeon Co., Ltd., Ahold, Albert Heijn B.V., ALDI Einkauf GmbH & Co. OHG, ALDI Einkauf GmbH & Co. OHG Essen, ASDA Group Plc., CBL, Colruyt NV, Conad Soc. Coop., Coop Genossenschaft, Coop Norge Handel, Delhaize, Dohle Handelsgruppe Service GmbH & Co. KG, E. Leclerc, EDEKA AG, Eroski, FEDIS, Freshmark, Globus SB Warenhaus Holding, Grupo Carrefour, ICA, Inex Partners Oy, Kaiser's Tengelmann GmbH, Kesko, Lidl Stiftung & Co. KG, Marks and Spencer, McDonald's Corporation, METRO Group, Migros-Genossenschafts-Bund, Musgraves Supervalu Centra, NORMA Lebensmittelfilialbetrieb GmbH & Co. KG, OTTO (GmbH & Co KG), REWE Group, Sainsbury's Supermarkets Ltd, Schuitema, Somerfield, Spar Austria, Superunie B.A., Sysco Corporation, tegut... Gutberlet Stiftung & Co., Tesco, U.S. Foodservice, Wegmans Food Market, Wm Morrisons Produce Ltd

GLOBALG.A.P. Associate Members: ABCERT AG, AENOR, Agrar-Control GmbH, Agro Quality Support BV, Agrobases-Logigram SARL, Agron SA, AgroVet GmbH, An Bord Bia, Asociación Cámara Nacional de Agricultura y Agroindustria (CNAA), AsureQuality (AgriQuality), AWF Consulting, Baltic Control Ltd., BASF-Aktiengesellschaft, Bayer CropScience AG, BCS Öko-Garantie GmbH, Best Produce International UK Ltd., Blue Moon Ltd., BRTUV Avaliacoes da Qualidade S.A, Bureau Veritas Certification A/S, Denmark, Bureau Veritas Certification S.A.U. (Spain), CCPB Ltd., Center of Organic Agriculture in Palestine - COAP, Chrysal International, CMS - Consultores de Gestao Associados, Lda., ConAgra Foods, Inc., Control Union Certifications B.V., CORPORACION COLOMBIA INTERNACIONAL (CCI), CPS - Certification of Product and Systems, CSQA Certificazioni Srl, Czech Society for Quality, Det Norske Veritas Italia S.r.l., DKG Group Ltd., DLG e.V., DQS GmbH, DuPont, ECPA, ETKO, EU Star Certification, EUROCERT European Inspection and Certification, Fama, Fintrac Inc, Food Forum India, FOODCARE OE, Fundacion AGIL, Fundacion ArgenINTA, Globalfish.net, Green Veterinary Group Practice, Grodan Group, Horticultural Export Improvement Association, ICONTEC, IEH Laboratories & Consulting, INDCONSULT (Industrial & Commercial Consultants), Inspectorate de Argentina S.A., Instituto Agrotecnologia, Integra bvba, International Agri-Technology Centre Ltd, Intertek Food Services GmbH, Intervet/Schering-Plough Animal Health, IRAM-Instituto Argentino de Normalizacion y Certificacion, Janssen Pharmaceutica PMP, Japan Good Agricultural Initiative (JGAI), Korea Agro-Fisheries Trade Corporation, Kvalitetssystem i landbruget (KSL), Kyiv National University of Trade and Economics (KNUTE), Lacon - Privatinstitut für Qualitätssicher. und Zert, LGAI Technological Center S.A., LSQA (LATU Sistemas S.A.), Ministry of Food and Agriculture Ghana, Moody International Certification Ltd, Muddy Boots Software Ltd., MUTUMGAP, MVP Food Safety Consulting, NAK Agro B.V., National Britannia Certification Ltd, Natural Resources Institute of the University of Greenwich (NRI), NCS International Pty Ltd, Northern Great Plains Inc., NOVACERT, NSF-CMi Certification, Omniversal, Inc., Perishable Products Exports Control Board (PPECB), PrimusLabs.com, ProCert Safety AG, PROGIS Software GmbH, QA Plus Asia-Pacific, QAL GmbH, QUALISUD, Rainforest Alliance, Rohm and Haas Europe Services ApS - Succursale France AgroFresh, SAI Global Assurance Services, SATIVA Desenvolvimento Rural Lda, Sci-Qual International Pty Ltd, SGS Germany GmbH, Sigill Kvalitetssystem AB, Sino Analytica, SIRIM QAS INTERNATIONAL SDN. BHD., Star Farm Consulting Co., Ltd, Syngenta Crop Protection AG, TASTE - Technical Assistance for Sustainable Trade and Environment, TCS Consultation Services, The Real IPM Company, TMMOB Ziraat Mühendisleri ODASI, Trace Register, LLC, Tradecorp International, Tulare Ag Products, TÜV SÜD Management Service GmbH, Valagro, Validus, Vietnam Certification Centre- QUACERT, Waldemar Winckel GmbH & Co. KG, WIT Assessment (China), YARA International ASA, ZAS s.r.o., ZhongHua Certification Co., Ltd, ZimTrade

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TABLE OF CONTENTS

1	INTRODUCTION	7
2	NORMATIVE DOCUMENTS	7
2.1	Document Control	7
3	CERTIFICATION OPTIONS	8
3.1	Option 1 – Individual Certification	8
3.2	Option 2 (see Part II)	8
3.3	Benchmarked Schemes	8
4	REGISTRATION PROCESS	8
4.1	Certification Bodies/ Farm Assurer*	8
4.2	Registration	9
4.3	Acceptance	10
4.4	Application and Certification Scope	10
5	ASSESSMENT PROCESS	12
5.1	Option 1 – Single Sites and Multisites without QMS	12
5.2	Option 2 and Option 1 Multisite with QMS	13
5.3	Inspection timing	16
6	CERTIFICATION PROCESS	17
6.1	Non-compliance and non-conformance	17
6.2	Requirements to achieve and maintain GLOBALG.A.P. Certification	18
6.3	Certification Decision	19
6.4	Sanctions	19
6.5	Notification and Appeals	21
6.6	Sanctioning of Certification Bodies	21
6.7	GLOBALG.A.P. Certificate and Certification Cycle	21
7	ACRONYMS AND REFERENCES	22
7.1	Acronyms	22
7.2	Reference Documents	22
ANNEX I.1 RULES FOR USE OF GLOBALG.A.P. AND EUREPGAP TRADEMARK AND LOGO		23
1.	GLOBALG.A.P. trademark	23
2.	Specifications	23
3.	GLOBALG.A.P. Number (GGN)	24
4.	Registration Number	24
ANNEX I.2 GLOBALG.A.P. REGISTRATION DATA REQUIREMENTS		25
1.	Types of Master Data required	25
ANNEX I.3 GLOBALG.A.P. GUIDELINE ON PARALLEL PRODUCTION AND PARALLEL OWNERSHIP		29
1.	DEFINITIONS	29
2.	CHANGES REGARDING VERSION 3.1	30
3.	LIMITATIONS TO THE ELIGIBILITY FOR PP/PO	30

4.	PP/PO FOR PRODUCER GROUPS	30
5.	REGISTRATION	30
6.	RULES FOR PMU AND PHU	31
7.	IDENTIFICATION OF PRODUCERS REGISTERED FOR PP/PO	32
8.	ADDITIONAL REQUIREMENTS FOR PRODUCERS WITH PP/PO	32

1 INTRODUCTION

This document describes the certification rules for any party seeking certification against a GLOBALG.A.P. Standard (Integrated Farm Assurance, Compound Feed Manufacturing, Plant Propagation Material, Chain of Custody, etc.), unless otherwise indicated in the Standard-specific Introduction.

Rules for benchmarked schemes are explained in the GLOBALG.A.P. benchmarking regulations.

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

2 NORMATIVE DOCUMENTS

The following normative documents (and any other documents released as normative) are relevant to all applicants and GLOBALG.A.P. Certificate holders seeking certification:

- a) GLOBALG.A.P. Certification and Sublicense Agreement: *Contract between the CB and the producer. Sets legal framework in order to be granted the GLOBALG.A.P. Certification.*
- b) GLOBALG.A.P. Certification and License Agreement: *Contract between the CB and FoodPLUS.*
- c) GLOBALG.A.P. Control Points and Compliance Criteria (CPCC): *Document that sets the compliance requirements for producers.*

NOTE: Guidelines included in the CPCC document to guide producers to comply with the requirements are **not** normative documents.

- d) GLOBALG.A.P. Checklist – Integrated Farm Assurance: *This document is used for all inspections and self-assessments*
- e) GLOBALG.A.P. Checklist – Producer Groups and Multisites with QMS: *Sets requirements for quality management systems*
- f) National Interpretation Guidelines. *Gives clarification and adaptation of the CPCC to the relevant country. Only available for countries where approved by the respective Sector Committees. These become obligatory for use as soon as they are approved and published.*
- g) GLOBALG.A.P. General Regulations (this document): *Defines how the certification process works as well as the requirements for quality management systems and related issues.*

2.1 **Document Control**

- a) The latest versions of all normative documents can be downloaded free of charge from the GLOBALG.A.P. website.
- b) Language: Original documents are in English. GLOBALG.A.P. documents will be translated into other languages and published on the GLOBALG.A.P. website. Once published, these official GLOBALG.A.P. documents will be the only ones that may be used for certification in that language. In case of discrepancy between translations, the English version shall prevail.
- c) After a thorough translation review by GLOBALG.A.P., the relevant Sector Committees may grant normative status to translated standard documents on a case-by-case basis. This status will be indicated on the documents.
- d) For detailed information of the modifications, please contact the GLOBALG.A.P. Secretariat for the document history.
- e) Changes to documents.
 1. Normative documents are identified with a unique document code and a version number and date.
 2. The date in the version name indicates the date of publication of the document. The date in the “Edition Update Register” indicates the date when the document comes into effect.
 3. Version number: A change in the first or second digit (e.g. change from 3.x to 4.0; or 4.0 to 4.1) indicates a version change and affects the accreditation of the standard. A change in other digits (e.g. change from 4.0 to 4.0-1) indicates updates that do not affect the accreditation of the standard. When the changes do not affect the accreditation of the standard, the version will remain “4.0” and edition update shall be indicated with “4.0-x” (e.g. “4.0-1”).

4. Updates can be made independently in the GR and CPCC documents, but a version change will affect all normative documents.
5. The updates will be sent to all GLOBALG.A.P. approved CBs as official communications. It is the responsibility of the CBs to inform their clients of such updates.
6. Modifications to normative documents are indicated in the “Editions Update Register” that is published separately.

3 **CERTIFICATION OPTIONS**

Applicants can apply for certification under any of 2 options (individual or group certification under GLOBALG.A.P. or a benchmarked scheme). The options are based on the constitution of the legal entity applying for certification. The assessment process for each of these options is described under Section 5.

3.1 **Option 1 – Individual Certification**

- a) Individual producer applies for certification (GLOBALG.A.P. or a benchmarked scheme).
- b) The individual producer will be the certificate holder once certified.

3.1.1 **Option 1 – Multisite without Implementation of a QMS**

- a) Individual producer or one organization owns several production locations or management units that do not function as separate legal entities.

3.1.2 **Option 1 – Multisite with Implementation of a QMS (see Part II)**

- a) Individual producer or one organization owns several production locations or management units that **do not** function as separate legal entities, but where a QMS has been implemented.
- b) In this case the rules of the General Regulations Part II – QMS Rules must apply.

3.2 **Option 2 (see Part II)**

- a) A producer group applies for group certification (GLOBALG.A.P. or a benchmarked scheme).
- b) The group, as a legal entity, will be the certificate holder once certified.
- c) A group must have a QMS implemented and comply with rules set out in the General Regulations Part II – QMS Rules.

3.3 **Benchmarked Schemes**

The categories for certification under benchmarked schemes are explained in the GLOBALG.A.P. benchmarking regulations.

4 **REGISTRATION PROCESS**

4.1 **Certification Bodies/ Farm Assurer***

- a) The applicant shall, as a first step, choose a GLOBALG.A.P. approved certification body. Contact information on approved and provisionally approved CBs is available on the GLOBALG.A.P. website. It is the responsibility of the applicant to verify whether the chosen CB is approved for the relevant scopes.
- b) The applicant must register with an approved CB or farm assurer as the first step towards obtaining a GLOBALG.A.P. Certificate. Unless the applicant has assigned a farm assurer, the CB is by default the Farm assurer and is responsible for registration, data updates, and collection of fees.
- c) GLOBALG.A.P. approved farm assurers are organizations (e.g. CB, producer group organizations, standard owners, consultants, etc.) that have signed a license agreement with GLOBALG.A.P. and acquired the right from producers to upload and/or register these producer activities in the GLOBALG.A.P. Database. The service includes the first registration and any subsequent modifications as well as settings of links in the database. The approved farm assurer must be granted these rights in writing from the producer or other legal entity in the GLOBALG.A.P. System.

*More information on farm assurers can be obtained in the farm assurer agreement available from the GLOBALG.A.P. Secretariat on request.

4.2 Registration

4.2.1 General

- a) The application must cover at least the information detailed in Annex I.2 (GLOBALG.A.P. registration data requirements). By registering, the applicant commits to comply with the obligation set in the Annex, including:
 - (i) Compliance with the certification requirements at all times.
 - (ii) Payment of the applicable fees established by GLOBALG.A.P. and by the CB.
 - (iii) Communication of data updates to the CB.
 - (iv) The terms and conditions of the Sub-License and Certification Agreement
- b) This information will be used by GLOBALG.A.P. to supply the applicant with a unique GLOBALG.A.P. Number (GGN), which will be used as a unique identifier for all GLOBALG.A.P. activities. The GGN identifies the applicant and is not related to the product or certification status.
- c) Any objective evidence found that indicates that the applicant has been misusing the GLOBALG.A.P. claim shall lead to the exclusion of the applicant from certification for 12 months after evidence of misuse. In addition, the applicants will be listed and the list must be checked before registration in the database. Any case of misuse shall be communicated to the GLOBALG.A.P. members.
- d) Confidentiality, data use and data release:
 - (i) During registration applicants give written access to FoodPLUS and the certification bodies to use the registration data for internal processes and sanctioning procedures.
 - (ii) All data in the GLOBALG.A.P. Database is available to GLOBALG.A.P., the certification body and farm assurer, which the producer or producer group is working with, and can be used for internal processes and sanctioning procedures.
 - (iii) Minimum and obligatory data release level for all sub-scopes (and scopes in case of Aquaculture): The GGN, registration no., GLOBALG.A.P. Certificate no., scheme, version, option, CB, products and status, produce handling/processing declaration, number of producers (in Option 2), country of production and destination, Production Management Units and Produce Handling Units as well as information on parallel production and harvest exclusion per product (if applicable) are available to the public. In addition, every certificate holder's company name and address is available to registered industry market participants including GLOBALG.A.P. members.
 - (iv) If an applicant (or member of a group) does not agree to the minimum release, the applicant is not in agreement with the Sub-License and Certification Agreement and cannot be certified, nor belong to a producer group seeking certification.
 - (v) No data other than in point (iii) can be released by GLOBALG.A.P. or CBs to any other party without written consent of the applicant.
 - (vi) Information on the sector-specific requirements is included in the Data Use and Release Agreement on the website.
- e) The service contract between the CB and producer may be valid for up to 4 years, with subsequent renewal for periods of up to 4 years.
- f) An applicant:
 - (i) May not register the same product with different CBs.
 - (ii) May not register the same product with different certification options (e.g.: It is not possible to register salmon under both Options 1 and 3).
 - (iii) May register different products with different CBs and/or different certification options (e.g.: It is possible to register apples under Option 1 and cherries under Option 2, apples with one CB and cherries with another CB or both crops with the same CB.)
 - (iv) May not register production management units (PMU) or group members in different countries with any CB. The GLOBALG.A.P. Secretariat may grant exceptions on a case-by-case basis or within national interpretation guidelines.
- g) Production management unit (PMU) is a production unit (can be a farm, field, orchard, herd, greenhouse, etc.) defined by the producer for units where segregation of output (agricultural products) is intended and all provisions have been made and put in place to

keep separate records and prevent mixing in the case of parallel production. PMUs that can be considered to operate independently (based on factors such as geography, management, storage facilities, etc.) shall be registered in the GLOBALG.A.P. Database and indicated on the certificate.

4.2.2 Registration with a new CB

- a) When a producer that has already been registered, changes CB or applies to a new CB for certification of a different product, the producer must communicate the GGN assigned by GLOBALG.A.P. to the new CB. Failure to do this will result in a surcharge of the registration fee of EURO 100 to an Option 1 producer and EURO 500 to an option 2 producer group.
- b) Certificate holders who are sanctioned cannot change CB until the outgoing CB closes out the corresponding non-conformance or until the sanction penalty period is over.
- c) Individual producer members of a producer group are not allowed to leave the group and register with another group (for the products registered) if there is any pending sanction on the producer issued by the group, or there are any issues relevant to the producer raised by the CB that have not been closed out.

4.3 Acceptance

- a) For the registration to be accepted, the applicant must satisfy **all** the following conditions:
 - (i) Submit to the CB the relevant application that shall include all the necessary information. The applicant shall have formally committed to comply with the obligations indicated above.
 - (ii) Sign acceptance of the Sub-License and Certification Agreement with the CB, OR the applicant shall explicitly acknowledge the receipt and the inclusion of the Sublicense and Certification Agreement with his/her signature on the service contract/agreement with the CB and the CB must hand over a copy of the Sub-License and Certification Agreement to the producer
 - (iii) Be assigned a GLOBALG.A.P. Number (GGN)
 - (iv) To pay the GLOBALG.A.P. registration fee, as explained in the current GLOBALG.A.P. fee table (available on the GLOBALG.A.P. website)
- b) The registration and acceptance process must be finalized before inspection can take place.
- c) For first registration: the CB shall confirm the acceptance of the application and provide the applicant with the GGN within 14 calendar days from receiving the completed application.

4.4 Application and Certification Scope

- a) Any producer of primary agricultural products covered by the GLOBALG.A.P. Standards may apply for GLOBALG.A.P. Certification.
- b) For GLOBALG.A.P. Certification, the term “producers” is defined as follows: A person (individual) or business (individual or producer group) who is legally responsible for the production of the products relevant to the scope, and who has the legal responsibility for the products sold by that farming business.

4.4.1 Standards covered by GLOBALG.A.P. Certification:

- a) Only products covered by the GLOBALG.A.P. product list, published on the GLOBALG.A.P. website, can apply for certification.
- b) GLOBALG.A.P. Certification covers the controlled production process of primary products and does not cover wild/catch, wild fish/catch or crops harvested in the wild.
- c) Refer to the Standard-specific Rules (published with the CPCC) for possible exceptions to the General Regulations contained in this document and for new standards released.

4.4.1.1 All Standards

- (i) Producers cannot receive certification for the production of products that are not produced by them.
- (ii) Parallel production/ownership (of certified and non-certified products) is possible when additional rules are implemented. See 4.4.3.

4.4.1.2 Integrated Farm Assurance: Fruit and Vegetables

- (i) GLOBALG.A.P. Certification covers fruit and vegetables used for fresh, cooked or processed consumption by humans. Vegetables used solely for medicinal or aromatic purposes cannot be certified.

4.4.1.3 Integrated Farm Assurance: Other Crops

- (i) Combinable Crops: GLOBALG.A.P. Certification covers crops for cooked or processed consumption by humans or animals or for use in the industry.
- (ii) Coffee (green) and Tea
- (iii) Flowers and Ornamentals

4.4.1.4 Integrated Farm Assurance: Livestock Scope

- (i) GLOBALG.A.P. Certification covers all livestock (see GLOBALG.A.P. product list on GLOBALG.A.P. website) present on the farm as registered per PMU.

4.4.1.5 Integrated Farm Assurance: Aquaculture Scope

- (i) GLOBALG.A.P. Certification covers all production stages of finfish, crustaceans and molluscs (see GLOBALG.A.P. product list on GLOBALG.A.P. website) present on the farm as registered per PMU.

4.4.1.6 Compound Feed Manufacturing

- (i) GLOBALG.A.P. Certification covers the commercial manufacturing of compound feed for the feeding of livestock and aquaculture species as covered by the Integrated Farm Assurance Standards.

4.4.1.7 Plant Propagation Material

- (i) GLOBALG.A.P. Certification covers the production of propagation material (see GLOBALG.A.P. definitions on the website) for the Integrated Farm Assurance Crop scopes.

4.4.2 Applicable CPCC scopes and modules in Integrated Farm Assurance

- a) It is not possible to certify the respective sub-scope without also verifying compliance to the applicable scope. The inspection of compliance criteria of the scope must be interpreted according to the sub-scope applied for. Any certification applied for that introduces additional sub-scopes into an existing certificate must have the scope inspected, taking into account the additional sub-scopes concerned.
- b) The scopes are automatically coupled to the sub-scopes according to the choice of sub-scopes applied for. For more information on the structure and modular approach, please read the introduction to the CPCC document. The certification of:
 - (i) Poultry automatically requires compliance with the All Farm Base and the Livestock Base.
 - (ii) Calf/Young beef and Dairy automatically requires compliance with the All Farm Base, Livestock Base and the Ruminant Base Module.
 - (iii) Tea automatically requires compliance with the All Farm Base and the Crops Base.
 - (iv) Atlantic salmon automatically requires compliance with the All Farm Base, Aquaculture Module.

4.4.3 Parallel Production (PP) or Parallel Ownership (PO)

Refer to Annex I.3 GLOBALG.A.P. Guideline on Parallel Production and Parallel Ownership for clarification of rules.

4.4.4 Burden of Proof

- a) In the case of information (e.g. MRL exceedance, microbial contamination, etc.) bearing potential impact on the certified status/claim is transmitted to the GLOBALG.A.P. Secretariat about a GLOBALG.A.P. certified producer, it is the responsibility of the producer to refute the claim by verifying and providing evidence for compliance with the GLOBALG.A.P. Standard.

In these cases:

- (i) If the CB conducts the investigation, the findings and actions taken will be reported to the GLOBALG.A.P. Secretariat, or
 - (ii) If the retailer or owner of the product conducts their own investigation, they shall report the findings back to the GLOBALG.A.P. Secretariat who in turn will inform the CB to take appropriate action.
 - (iii) GLOBALG.A.P. will give the producer a certain amount of time to do this.
 - (iv) If the CB does not deem the supplied evidence by the legal entity (producer or PHU) adequate, the CB will issue a sanction and will follow the normal sanctioning procedures as described in GLOBALG.A.P. General Regulations.
- b) Producers will have to have full traceability in place – this could include mass balance, Chain of Custody Certification and any others records needed to verify and check the case. In case the evidence includes laboratory analyses, accredited laboratories (ISO 17025) and independent sampling (according to the rules as set out in the relevant CPCC) must be included.

5 ASSESSMENT PROCESS

In order to achieve certification, a registered party must perform either a self-assessment (Option 1 and Option 1 Multisite without QMS) or internal inspections (Option 1 Multisite with QMS and Option 2) and receive external inspections by the chosen certification body.

5.1 Option 1 – Single Sites and Multisites without QMS

- a) This section is applicable to applicants that are single legal entities (individual producer or company) with single production sites (farm) or multiple production sites that are not separate legal entities and are all centrally managed by the applicant.
- b) **Summary of assessments** to be undertaken before certificate is issued (Initial Evaluation) and annually thereafter (Surveillance Evaluations):

	Initial Evaluations (first year only)	Subsequent Evaluations
Self-assessments by producer	1. Entire scope (all registered sites)	1. Entire scope (all registered sites)
Externally by the CB	2. Announced inspection of entire scope (all registered sites)	1. Announced inspection of entire scope (all registered sites) 2. Unannounced inspection of (minimum 10% of certificate holders)

5.1.1 Self-Assessments

- a) The self-assessment shall:
 - (i) Cover all sites, products and processes under the certification scope and comply with the requirements set in the applicable control points.
 - (ii) Be carried out under the responsibility of the producer.
 - (iii) Be carried out at least annually before the initial or surveillance inspections against the complete checklist (Major and Minor Musts and Recommendations) of all relevant scope(s) and sub-scope(s) and registered areas. The completed checklist must be available on site for review at all times.
 - (iv) Comments and positive findings during the self-assessment shall be recorded as described by the checklist.

5.1.2 External Inspections

- a) The inspection (announced and unannounced) shall be carried out by a CB inspector or auditor (see CB inspector and auditor requirements in Part III)
- b) The CB shall inspect the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s).

5.1.2.1 Announced Inspections

- (i) Each applicant shall undergo one announced external inspection at the initial assessment and thereafter once per annum.
- (ii) The inspection shall cover:
 - a) All accepted products
 - b) All registered production locations
 - c) Each registered product handling / fish processing facility (included in IFA)

5.1.2.2 External Unannounced Surveillance Inspections

- (i) The CB shall carry out unannounced surveillance inspections of a minimum of 10% of all certified producers the CB has certified under Option 1.
- (ii) Unless the GLOBALG.A.P. Secretariat has approved a shortened checklist, the CB shall inspect the Major and Minor Musts of the applicable scope(s) and sub-scope(s). Any non-conformance will be handled in the same way as those found during an announced inspection.
- (iii) The CB will inform the producer in advance of the intended visit. This notification will normally not exceed 48 hours (2 working days). In the exceptional case where it is impossible for the producer to accept the proposed date (due to medical or other justifiable reasons), the producer will receive one more chance to be informed of an unannounced surveillance inspection. The producer shall receive a written warning if the first proposed date has not been accepted. The producer will receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a suspension of all products will be issued.

5.2 Option 2 and Option 1 Multisite with QMS

- a) This section is applicable to groups and individuals with multiple sites who have implemented a QMS and who comply with the requirements set in PART II.
- b) The applicant is responsible for ensuring that all producers and PMUs under the certification scope comply with the certification requirements at all times.
- c) The CB does not inspect all producers or PMUs, but just a sample. Thus it is not the responsibility of the CB to determine the compliance of each producer or PMU (this responsibility rests with the applicant). The CB must assess whether the applicant's internal controls are appropriate.
- d) **Summary of assessments** to be undertaken before a certificate is issued (Initial Evaluation) and annually thereafter (Surveillance Evaluation):

	Initial Evaluation (in the first year)	Subsequent Evaluation
Internally by the producer group and Option 1 multisite operation with QMS	1. Internal QMS audit 2. Internal inspection of each producer and/or (certified) PMU and/or all product handling units	1. Internal QMS audit 2. Internal inspection of each producer and/or (certified) PMU and/or all product handling units

	Initial Evaluation (in the first year)	Subsequent Evaluation
Externally by the CB	<p>First visit 1. Announced QMS audit 2. Announced inspection to (minimum) square root of producer members and/or (certified) PMUs + Square root of the total number of central product handling units registered shall be inspected while in operation. Second visit (surveillance) 3. Unannounced (surveillance) inspection to (minimum) 50% square root of producers and/or (certified) PMUs</p>	<p>First visit 1. Announced QMS audit 2.a) Announced inspection to (minimum) square root of actual number of producers and/or (certified) PMUs 2.b) If no sanction from previous surveillance: Announced inspection to (minimum) square root of actual number of producers and/or (certified) PMUs minus the number of producers and/or (certified) PMUs inspected unannounced during the previous (surveillance) inspection Second visit (surveillance) 3. Unannounced QMS audit to 10% of certificate holders 4. Unannounced (surveillance) inspection to (minimum) 50% square root of the actual number of producers and/or (certified) PMUs + First or second visit: Square root of the total number of central product handling units registered shall be inspected while in operation.</p>
	Where the produce handling does not take place centrally, but on the farms of the producer members, this factor shall be taken into account when determining the sample of producers to be inspected.	

5.2.1 Internal Assessments

- a) The applicant shall undertake internal assessments of all producers and/or PMUs to verify and ensure compliance with the certification requirements.
- b) The internal assessments shall comply with requirements set in Part II and include:
 - (i) A minimum of one internal audit of the QMS shall be carried out by the internal auditor before the first CB audit and thereafter once per annum.
 - (ii) A minimum of one internal inspection of each registered producer PMU and produce handling facility (PHU) shall be carried out by the internal inspector before the first CB inspection and thereafter once per annum
- c) Self-assessments by each member of the group are only required if it is an internal requirement by the group, but it is not a GLOBALG.A.P. requirement.

5.2.2 External Quality Management System (QMS) Audit

- a) The audit (announced and unannounced) shall be carried out by a CB auditor (see CB auditor requirements in Part III)
- b) The audit (announced and unannounced) shall be based on the QMS Checklist that is available on the GLOBALG.A.P. website.

5.2.2.1 QMS Announced Audits

- (i) The CB shall carry out one announced external audit of the QMS at the initial assessment and thereafter once per annum.

5.2.2.2 QMS Unannounced Surveillance Audits

- (i) The CB shall carry out additional QMS unannounced external audits on a minimum of 10% of the certified producer groups and multisites annually.
- (ii) Non-conformance detected will be handled as in an announced audit. Non-conformances will lead to a sanction applied to the whole group or multisite.

- (iii) The CB will inform the certificate holder. This notification will normally not exceed 48 hours (2 working days) in advance of the intended visit. In the exceptional case where it is impossible for the certificate holder to accept the proposed date (due to medical or other justifiable reasons), the certificate holder will receive one more chance to be informed of an unannounced surveillance inspection. The certificate holder shall receive a written warning if the first date has not been accepted. The certificate holder will receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a complete suspension will be issued.

5.2.3 External Producer or Site Inspections

- a) A CB inspector or auditor shall carry out the inspections.
- b) The CB shall inspect the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s) during ALL inspections.
- c) Initial inspection: As a minimum the square root (or next whole number rounded upwards if there are any decimals) of the total number of the producers and production sites in the certification scope must be inspected before a new certificate can be issued (initial certification or inspection by a new CB).
- d) Surveillance producer inspections:
 - (i) The CB shall carry out announced external inspections of each producer group and multi-site annually. The minimum number of producers to be inspected per certificate holder depends on the outcome of the previous unannounced inspections and QMS audit.
 - (ii) The minimum number of producers/sites to be inspected during a certification cycle shall be equivalent to the square root of the current number of producers/sites; grouped by same type of activities.
 - (iii) The inspections shall be split into two: 50% shall be inspected unannounced during the validity period of a certificate (12 months), and the other 50% during the announced surveillance inspection.
 - (iv) Only if the producers inspected externally have no other sanctions raised in that surveillance inspection, the following regular announced inspection by the CB will be reduced to the square root of the **current** number of the producers/PMUs minus the number of producers/PMUs inspected unannounced (providing the findings from the Quality Management System audit carried out at the following regular announced inspection are also favorable to this reduction).

Example 1: Applicant X has 25 registered producers/sites. The minimum number of producers/sites to be inspected is 5 for the initial inspection. Six months after the certificate was issued to Group X (full compliance with QMS audit and 5 farm inspections), the CB inspects 3 (50% of 5 = 3) producers unannounced. If the 3 producers show no non-conformances during this surveillance inspection, the CB will only check 2 (5 minus the 3 already inspected) producers during the following regular announced inspection IF the QMS audit during the regular announced inspection does not show any non-conformances. If any non-conformance is raised during the unannounced inspection, Group X will be sanctioned accordingly, and no reduction of sample size will result in the next regular announced inspection.

Example 2: In producer group with 50 members during the initial audit 8 members (square root of 50) and during the following surveillance inspections 4 (0.5 x 8) members must be inspected. The total number of inspections in the first year is 12. In the next year, where no non-conformances are detected during the unannounced producer inspection, the CB must inspect 4 producers and later another 4 during the unannounced producer inspections.

Example 3: In a producer group with 5 members during the initial audit, 3 members (square root of 5) and during the following surveillance inspections 2 (0.5 x 3) members must be inspected. If in the next year the total number of group members decreased to 4, and no non-conformances were detected during the surveillance producer inspection, still 1 producer must be inspected.
- e) Before a certification decision can be made, the square root of the total number of current producer members and PMUs must have been inspected during the last 12 months.

5.3 Inspection timing

5.3.1 Initial (First) Inspections

- a) This section is applicable to an applicant seeking GLOBALG.A.P. Certification for the first time, to an already certified producer changing to a new CB or when adding a new product to the GLOBALG.A.P. Certificate.
- b) No inspection can take place until the CB has accepted the applicant's registration.
- c) **Each** production process for products registered and accepted for certification for the first time **must be completely assessed** (all applicable control points must be verified), **prior to issuing the certificate**.
- d) A product that has not yet been harvested shall not be included in the certificate (i.e. it is not possible to certify a product in the future).
- e) The applicant must have records and the CB must inspect them,
 - (i) From registration date onwards, and
 - (ii) For at least 3 months before the first inspection takes place.
- f) Products that are harvested/slaughtered/processed (as part of IFA) before registration with GLOBALG.A.P. cannot be certified.
- g) Records that relate to harvest or produce handling before the producer registered with GLOBALG.A.P. are not valid.

5.3.1.1 Integrated Farm Assurance: Crops

- (i) The initial inspection shall cover harvesting activities of each product to be included for certification, as well as produce handling if it is included.
- (ii) Fieldwork can be checked at a different time where feasible, but this is not obligatory.
- (iii) **Alternative timing** options may be followed where inspection during harvest time is not possible, i.e. 1st inspection therefore takes place before or after harvest (though always after registration of the applicant). In these cases, justification for this alternative timing must be noted in the audit report. Examples of justification may be logistics and timing constraints of farmer and/or inspector, variation in harvest dates, etc. Additionally the following constraints need to be followed by the CB:
 - a) Practically, inspection of records and visual evidence require that the inspection must take place as close to harvest as possible for the inspector to verify as many control points as possible.
 - b) If the inspection is made before harvest, it will not be possible to inspect certain control points. As a result either a follow-up visit will be required, or proof of compliance may be sent by fax, photos or other acceptable means. **No certificate will be issued until all control points have been verified and closed out.**
 - c) If harvest has already taken place at the moment of inspection, the farmer must retain evidence for compliance of control points related to that harvest, otherwise some control points may not be able to be checked and certification will not be possible until the following harvest.
 - d) The CB must make sure that in the sampling for unannounced visits, those producers that did not receive a 1st inspection or the re-certification inspection during harvest have a greater chance of getting an unannounced inspection during the next harvest (this needs to be conveyed to the farmer when discussing inspection timing). Additionally, the CB must make every effort to carry out the subsequent inspection during harvest.
- (iv) **Multiple Crops:** The producer may be seeking certification for more than one crop (concurrent or consecutive crops), and the crops may not all have the same seasonal timing, i.e. harvest of one crop does not necessarily coincide with the harvest of other crops. The requirements above are applicable to crop groupings based on similarities in production systems. The CB shall verify all control points of these groupings, before the product(s) can be added to the certificate.

Example: A visit during pear harvesting is not required when pears are being added to the scope where apples are already included in the certificate. However,

the pears can only be added to the certificate once all control points have been verified however, adding spinach to the scope would require an assessment during the spinach harvesting period.

5.3.2 Subsequent Inspections

- a) The subsequent inspection can be done any time during an “inspection window” that extends over a period of 12 months: from 8 months before the original expiry date of the certificate, and (only if the CB extends the certificate validity in the GLOBALG.A.P. Database) up to 4 months after the original expiry date of the certificate.
Example: 1st certification date: 14 February 2012 (expiry date: 13 February 2013). 2nd inspection can be at any time from 14 June 2012 to 13 June 2013, if the certificate validity is extended.
- b) There shall be a minimum period of 6 months between 2 inspections for recertification.

5.3.2.1 Integrated Farm Assurance: Crops

- (i) The inspection shall be done at a time when relevant agronomic activities and/or handling (but not only storage) are being carried out. Inspection timing shall allow the CB to gain assurance that all registered crops, even if not present at the time of inspection, are handled in compliance with the certification requirements. Inspections off-season or when the farming activities are minimal shall be avoided.
- (ii) When produce handling is included in the certification scope, the produce handling facility(ies) must be inspected when it is in operation at a frequency based on a risk assessment, but at least once every 2 years or when a new CB is used. The risk assessment should take into account the product(s) being packed as well as known food safety incidences related to that product as well as any directives from GLOBALG.A.P. to look at specific points. The CB must keep justification of the reason for the chosen inspection frequency on record. This is applicable for Option 1 producers. Refer to Part III, 5.5 for Option 2)

5.3.2.2 Integrated Farm Assurance: Livestock

- (i) The registered livestock species must be present on the farm at the time of the inspection.
- (ii) The inspection timing in 2 certification cycles must take winter and summer conditions into account where applicable.

5.3.2.3 Integrated Farm Assurance: Aquaculture

- (i) The registered aquaculture species must be present on the farm at the time of the inspection. Following dates must be recorded – see Aquaculture Base Module. Post harvest handling performed by same legal entity as the farm shall also comply.

6 CERTIFICATION PROCESS

6.1 Non-compliance and non-conformance

- a) **Non-compliance (of a control point):** A GLOBALG.A.P. Control Point in the checklist is not fulfilled according to the Compliance Criteria, e.g. the producer does not comply with the Minor Must AF 2.2.2 in IFA.
- b) **Non-conformance (of the GLOBALG.A.P. Certification Rules):** A GLOBALG.A.P. rule that is necessary for obtaining the certificate (see 6.2) is infringed.
- c) **Contractual Non-Conformances:** Breach of any of the agreements signed in the contract between the CB and the producer related to GLOBALG.A.P. issues.
 - (i) CB can impose a suspension of all products.
Case examples: trading with a product that does not comply with legal requirements; false communication by the producer regarding GLOBALG.A.P. Certification; GLOBALG.A.P. trademark misuse; or payments are not made following contractual conditions; etc.

6.2 Requirements to achieve and maintain GLOBALG.A.P. Certification

Control Points and Compliance Criteria consist of three types of control points: Major Musts, Minor Musts and Recommendations. To obtain GLOBALG.A.P. Certification the following are required:

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

Minor Musts: 95% compliance of all applicable Minor Must control points is compulsory.

Recommendations: No minimum percentage of compliance.

Comments shall be supplied for all non-compliant and not applicable Major and Minor Must control points. In addition, comments shall also be supplied for all Major Musts, unless otherwise indicated on the checklist. This is obligatory for internal as well as external assessments.

6.2.1 Minor Must Compliance Calculation

- a) For the sake of calculation, the following formula shall apply:

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

e.g. (Total number of Minor Must control points/module – NA Minor Must) x 5%

$$(122 - 52) \times 0.05 = 70 \times 0.05 = 3.5.$$

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

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

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

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

6.2.2 Applicable Control Points

- a) The control points to be taken into consideration to calculate the percentage of compliance for Major and Minor Musts depend on the product and certification scope. The applicant shall ensure that each individual site and product comply with the certification requirements. Thus the compliance percentage shall be calculated taking into account all the control points applicable to each site and product. A full checklist shall be completed internally and externally for each individual producer (Option 1), for each producer group member (Option 2) or for each site (Option-1 Multisite) inspection
- b) In a multisite operation (without QMS), compliance level is calculated for the entire operation in one checklist. Any applicable control point common to all sites (i.e. a packhouse) needs to be taken into account for all sites.
- c) In a producer group or multi-site with QMS, compliance level is calculated per producer and/or PMU (each producer or PMU must comply with the certification requirements). Any applicable control point common to all producers (i.e. a pack-house or producer group requirements) needs to be taken into account for all producers.
- d) The control points that are applicable to several sites, producers or products (e.g.: central pack-house, QMS requirements, etc.) shall be taken into consideration and calculated in each inspection of those concerned sites, producers or products.
E.g.: A producer seeking certification for Fruit and Vegetables needs to comply with 100% of applicable Major Musts and 95% of the applicable Minor Musts of the All Farm (AF), Crops Base (CB) and Fruit and Vegetables (FV) modules combined.
E.g.: A producer seeking certification for Combinable Crops and Dairy needs to comply with 100% of applicable Major Musts and 95% of the applicable Minor Musts of:
 - o For Combinable Crops: the All Farm (AF), Crops Base (CB) and Combinable Crops (CC) Modules combined.

- For Dairy: the All Farm (AF), Livestock Base (LB), Cattle and Sheep (CS) and Dairy (DY) Modules combined.

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

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

6.3 Certification Decision

- a) The CB shall make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances.
- b) Any complaints or appeals against CBs will follow the CB's own complaints and appeals procedure, which each CB must have and communicate to its clients. In case the CB does not respond adequately, the complaint can be addressed to the GLOBALG.A.P. Secretariat using the GLOBALG.A.P. Complaints Extranet, available on the GLOBALG.A.P. website (www.globalgap.org)

6.4 Sanctions

- a) When a non-conformance is detected, the CB shall apply a sanction (Warning, Suspension of a product or Cancellation) as indicated in this section.
- b) Producers cannot change CB until the non-conformance that led to the respective sanction is satisfactorily closed out.
- c) ONLY the CB or the producer group that has issued the sanction is entitled to lift it, provided there is sufficient and timely evidence of corrective action (either through a follow-up visit or other written or visual evidence).

6.4.1 Warning

- a) A warning is issued for all types of non-conformance detected.
- b) If there is a non-conformance detected during the inspection, the producer must be served a warning when the inspection is finalized. This is a provisional report that could be overridden by the CB certification authority.
- c) Initial inspection:
 - (i) Outstanding non-conformances shall be closed within three months from the date of inspection.
 - (ii) If the cause of the warning is not resolved within three (3) months, a complete inspection must be performed before a certificate can be issued.
- d) Subsequent inspection:
 - (i) Outstanding non-conformances shall be closed within 28 calendar days.
 - (ii) If the non-conformance is against a **Major Must**, the period given for compliance before suspension is applied will depend on the criticality of the non-conformance in terms of safety of people, environment and consumers, evaluated by the inspector/auditor carrying out the inspection/audit decision on the period for implementing corrective actions. The CB shall make the decision on the period that is given (within the 28-day limit) to the producer for closing out the Major Must non-conformance. No time is given for compliance where a serious threat to the safety of people, environment and consumer is present and a suspension is issued immediately
If there is a food safety issue, this will be fast tracked to the certification body's certification committee who will decide on a shorter period of corrective action days than the regular 28-day period. This will be communicated via an official warning letter.
 - (iii) If the cause of the warning is not resolved within the period set (maximum of 28 days), a suspension is imposed.

6.4.2 Product Suspension

- a) A suspension can be applied to one, several or all of the products covered by the certificate.
- b) A product cannot be partially suspended for an individual producer (single or multisite); i.e. the entire product must be suspended
- c) During the period of suspension, the producer will be prohibited from using the GLOBALG.A.P. logo/trademark, license/certificate or any other type of document that is in any way linked to GLOBALG.A.P. in relation to the suspended product.
- d) If a producer notifies the CB that the non-conformance is resolved before the set period, the respective sanction will be lifted, subject to satisfactory evidence and closing out.
- e) If the cause of the suspension is not resolved within the set period, a product cancellation is imposed.
- f) Two types of suspensions exist and these are explained below.

6.4.2.1 Self-declared Product Suspension

- (i) A producer or producer group may voluntarily ask the respective CB(s) for a suspension of one, several or all of the products covered by the certificate (unless a CB has already imposed a sanction). This can occur if the producer experiences difficulty with compliance to the standard and needs time to close out any non-compliance.
- (ii) This suspension will not delay the renewal date, nor will it allow the producer to avoid paying registration and other applicable fees. The producer's status shall change to "Self-declared Suspension" on product level.
- (iii) The deadline for closing non-conformance is set by the declaring producer/producer group, which must be agreed upon with the respective CB(s) but must be closed out before the CB may lift the suspension.
- (iv) The same applies for a member of a producer group that may voluntarily ask its group to temporarily suspend its product(s). Also here, the deadline for closing non-conformance is set by the declaring producer, which must be agreed upon with the respective producer group QMS but must be closed out before the producer group may lift the suspension.

6.4.2.2 Certification Body / Producer Group Declared Suspension

- (i) CBs can issue and lift product suspensions to producers and producer groups.
- (ii) Producer groups can issue and lift product suspension to their accepted producer members.
- (iii) CB/producer groups shall issue a suspension when a producer/producer group cannot show evidence of implementation of effective corrective actions after a warning has been issued.
- (iv) The CB/producer group can issue a suspension for certain products or for all products of the certified product scope.
- (v) After the suspension is applied, the CB/producer group will set the period allowed for correction.

6.4.3 Cancellation

- a) A cancellation of the contract shall be issued where:
 - (i) The CB finds evidence of fraud and/or lack of trust to comply with GLOBALG.A.P. requirements, or
 - (ii) A producer/producer group cannot show evidence of implementation of effective corrective action after a CB declared suspension, or
 - (iii) When there is a contractual non-conformance.
- b) A cancellation of the contract will result in the total prohibition (all products, all sites) of the use of the GLOBALG.A.P. logo/trademark, license/certificate, or any device or document may be linked to GLOBALG.A.P.
- c) A producer that has received a cancellation shall not be accepted for GLOBALG.A.P. Certification within 12 months after the date of cancellation.

6.5 Notification and Appeals

- a) The producer must either resolve the non-conformances communicated or appeal to the CB in writing against the non-conformances, explaining the reasons for the appeal.
- b) If the non-conformances are not resolved within the permitted period, the sanction will be escalated.

6.6 Sanctioning of Certification Bodies

- a) GLOBALG.A.P. reserves the right to sanction CBs based on evidence of not following procedures or clauses of the Certification and License Agreement signed between GLOBALG.A.P. and the CB (refer to General Regulations Part III if more information is required).

6.7 GLOBALG.A.P. Certificate and Certification Cycle

- a) A certificate is not transferable from one legal entity to another when a production unit changes legal entity. In this case an initial inspection is required.
- b) The certification cycle is 12 months subject to any sanctions and extensions in accordance with the scope described.

6.7.1 Certificate Information

- a) The paper certificate issued by a CB must conform to the templates available for the specific standards included in the standard-specific rules. The format may be different but it must include the same information.
- b) The paper certificate shall match the information available in the GLOBALG.A.P. Database for that unique GGN at the time of issuing.
- c) The scope of certification must be clearly defined in the certificate. For the GLOBALG.A.P. Aquaculture Scope, the scientific name of the species covered shall be also included.
- d) Date of Certification: Date when the CB makes the certification decision after all non-conformances are closed out (e.g. 14 February 2011).
- e) Valid from:
 - (i) Initial Inspection: The initial date of validity will be the date when the CB makes the certification decision (e.g. 14 February 2011).
 - (ii) Subsequent Inspections: The valid from date for subsequent certificates issued shall always revert to the valid from date in the original certificate (e.g. 14 February 2012, 14 February 2013, etc.), except when the certification decision is made after the expiration of the previous certificate. In this case the valid from date must coincide with the date of certification decision. (e.g. previous certificate valid to date: 13 February 2012; Date of certification decision: 25 February 2012; Valid from date 25 February 2012; **Valid to date: 13 February 2013**).
- f) Valid to:
 - (i) Initial Inspection: Date valid from plus 1 year minus one day. The CB may shorten the certification cycle and the validity, but cannot prolong it.
 - (ii) Subsequent Inspections: The validity date for subsequent certificates issued shall always revert to the valid from date on the original certificate (e.g. 13 February 2012, 13 February 2013, etc.).

6.7.2 Extension of Certificate Validity:

- a) The validity may be extended beyond the 12 months (for a maximum period of 4 months) only under the following conditions:
 - (i) The product is re-accepted in the GLOBALG.A.P. Database for a full next cycle within the original validity period of the certificate.
 - (ii) The full certification license fee and registration fee shall be paid for the next cycle
 - (iii) The producer shall be re-inspected during that extension period.
- b) If a certificate that was not extended and not "re-accepted" expires and the subsequent inspection (to be performed by the same CB) is going to take place in less than 12 months after the expiration date, a valid justification must be given and a new certification cycle shall start. By setting the same "valid to" date as before, the old cycle can be reinstated. The cycle cannot be changed if the certificate was extended and a product "re-accepted" during the old certification period/cycle. The CB shall apply the rules for initial (first) inspection if the certificate expired for more than 12 months.

6.7.3 Maintenance of GLOBALG.A.P. Certification

- a) The registration of the producer and the proposed products for the relevant scopes must be re-confirmed with the CB annually **before** the expiry date. *Otherwise the product status will change from “Certified” to “Certificate not renewed or re-registered”.*
- b) The complete checklist/shortened reward checklist and the verification process must be completed by the inspector annually.

7 ACRONYMS AND REFERENCES

7.1 Acronyms

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

7.2 Reference Documents

- (i) EN 45011 or ISO/IEC Guide 65:1996. General requirement for bodies operating product certification systems.
- (ii) IAF Guidance on the Application of ISO/IEC Guide 65:1996. Issue 2 (IAF GD 5:2006)
- (iii) ISO/IEC 17020:2004 General criteria for the operation of various types of bodies performing inspection.
- (iv) ISO/IEC 17025:2005. General requirements for the competence of testing and calibration laboratories.
- (v) ISO/IEC 17011 General requirements for accreditation bodies accrediting conformity assessment bodies.
- (vi) ISO 19011 Guidelines for quality and/or environmental management systems auditing.

ANNEX I.1 RULES FOR USE OF GLOBALG.A.P. AND EUREPGAP TRADEMARK AND LOGO

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

The certification body is expected to verify the correct use of the GLOBALG.A.P. trademark on farms at all times. Infringement of these rules by suppliers could lead to sanctions.

1. GLOBALG.A.P. trademark

- (i) The GLOBALG.A.P. trademark shall never appear on the product, consumer packaging of the product nor at the point of sale where in direct connection to single products.
- (ii) Producers may only use the GLOBALG.A.P. trademarks on pallets that only contain certified GLOBALG.A.P. products and that will NOT appear at the point of sale.
- (iii) GLOBALG.A.P. certified producers may use the GLOBALG.A.P. trademark in business-to-business communication, and for traceability, segregation or identification purposes on site at the production location.
- (iv) GLOBALG.A.P. retailer, associate and supplier members can use the trademark in promotional print-outs, flyers, hardware and electronic displays (not directly linked to certified product) and in business-to-business communication.
- (v) GLOBALG.A.P. approved Certification Bodies can use the trademark in promotional material directly linked to their GLOBALG.A.P. certification activities in business-to-business communication, and on GLOBALG.A.P. Certificates they issue.
- (vi) The GLOBALG.A.P. trademark shall never be used on promotional items, apparel items or accessories of any kind, bags of any kind, or personal care items, or in connection with retail store services.

2. Specifications

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

GLOBALG.A.P.

EUREPGAP®

3. GLOBALG.A.P. Number (GGN)

- (i) The GLOBALG.A.P. Number (GGN) is a 13-digit numerical number, **not** including the GLOBALG.A.P. trademark, and is unique to each and every producer and any other legal entity in the GLOBALG.A.P. System. For this number GLOBALG.A.P. uses existing Global Location Numbers (GLN) issued and to be purchased from the local GS1 organization (www.gs1.org) or alternatively – in its absence – GLOBALG.A.P. assigns its own interim GLN.
- (ii) The GGN can be used on the product and/or final packaging at the point of sale. The legal entity that labels GGN shall be a holder of a valid certificate of GLOBALG.A.P. (IFA, PPM or CoC) or of a GFSI recognized post-farm gate standard or any other standard recognized by GLOBALG.A.P. For Aquaculture; if the GGN is to be placed on the final packaging; the GLOBALG.A.P. auditor shall audit sections AB 12 and AB 13 when product is owned by the same legal entity during handling, OR shall audit the CoC Standard, except for control point CoC 3.2.
- (iii) The GGN issued by GLOBALG.A.P. shall only be used in connection with the GLOBALG.A.P. System. It is prohibited to use it in any other context or in relation to third parties.
- (iv) Whenever a need arises to identify the organization in other contexts or additional applications, the organization may apply for their own GLN and report this number to GLOBALG.A.P., who shall register the organization under their own number and withdraw the GGN accordingly.

4. Registration Number

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

ANNEX I.2 GLOBALG.A.P. REGISTRATION DATA REQUIREMENTS

1. Types of Master Data required

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

- 1.1 Company and location information
- 1.2 Production Management Unit /Produce Handling Unit information
- 1.3 Product information
- 1.4 Checklist information

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

1.1 Company Information of Legal Entity

The following information regarding the company (producer group, producer as individual certificate holder or producer member in a producer group) is necessary to supply each producer in the system with a unique GLOBALG.A.P. Number (GGN).

1.1.1 Company

- (i) Company name
- (ii) Contact details: street address
- (iii) Contact details: postal address
- (iv) Postal code
- (v) City
- (vi) Country
- (vii) Phone number (if available)
- (viii) Fax number (if available)
- (ix) E-mail address (if available)
- (x) GLN (if available)
- (xi) Legal registration by country as published and approved by the GLOBALG.A.P. Board. This number is only used for internal verification to avoid double registration (e.g., tax number, VAT number, producer number etc.)
- (xii) Previous GLOBALG.A.P. Number (GGN)
- (xiii) Northern/Southern Latitude (voluntary) and Eastern/Western Longitude (voluntary)

1.1.2 Contact person (responsible for legal entity)

This is the information required for the person in the company who is legally responsible for the legal unit as well as for the internal inspector(s) and/or auditor(s) of producer groups.

- (i) Title
- (ii) First name
- (iii) Last name
- (iv) Contact details: Street address
- (v) Contact details: Postal address
- (vi) Postal Code

- (vii) City
- (viii) Country
- (ix) Phone number (if available)
- (x) Fax number (if available)
- (xi) E-mail address (if available, obligatory for auditors and inspectors)
- (xii) Roles (Responsible, Inspector, Auditor, etc.)
- (xiii) Product scope of internal auditors/inspectors of producer groups

If more persons need to be affiliated, their data can also be entered into the database (either by certification body, producer group or producer or other designated farm assurer).

1.2 Company Information of Legal Entity

The following information regarding the company Production Management Units (PMU) or Produce Handling Unit (PHU) of the company (legal entity) to be certified is necessary. This information is obligatory for multi-site certificates and where the applicant registers for Parallel Production. The PHU is obligatory for post-harvest operations performed under same legal entity as the farm.

1.2.1 PMU and/or PHU

- (i) Company name and produce handling facility (if different)
- (ii) Contact details: Street address
- (iii) Contact details: Postal address
- (iv) Postal Code
- (v) City
- (vi) Country
- (vii) Phone number (if available)
- (viii) Fax number (if available)
- (ix) E-mail address (if available)
- (x) Sub-GLN(s) (if available)
- (xi) Legal registration by country as published and approved by the GLOBALG.A.P. Board. This number is only used for internal verification to avoid double registration (e.g., tax number, VAT number, producer number etc.)
- (xii) Previous GLOBALG.A.P. Number (GGN), available
- (xiii) Northern/Southern Latitude (voluntary) and Eastern/Western Longitude (voluntary). Compulsory for aquaculture production units at farm level (refer to Aquaculture Base Module).
- (xiv) Facility information: (e.g. sites) coordinates must be supplied for producers seeking certification against the Aquaculture scope as requested in the applicable control points and entered in the GLOBALG.A.P. Database as soon as the service is available. Facilities can be entered with a time line and will be linked to the PMU or PHU

1.2.2 Contact Person of PMU or PHU (if applicable)

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

- (i) Title
- (ii) First name

- (iii) Last name
- (iv) Contact details: Street address
- (v) Contact details: Postal address
- (vi) Postal Code
- (vii) City
- (viii) Country
- (ix) Phone number (if available)
- (x) Fax number (if available)
- (xi) E-mail address (if available)
- (xii) Login name (if different from e-mail address)

1.3 Product Information

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

- a) Product(s)
- b) Parallel Production
- c) Subcontracted activities
- d) Quantity information (based on requirements as explained in fee table)
 - (i) Crops: Annual Area under production (ha or acres), voluntary: estimated yield (tons)
 - (ii) Livestock: Annual quantity of production (tons)
 - (iii) Aquaculture: Annual Quantity of production (Tonnage to be registered in the database shall be for first audit, maximum estimated tonnage of live weight at point of harvest at the farm and for the 2nd audit on, real tonnage of live weight at point of harvest at the farm for the previous 12 months. For broodstock/seedlings (estimated numbers of organisms).
 - (iv) Compound Feed Manufacturing: Annual quantity of production (tons)
 - (v) Plant Propagation Material: Annual area under production (ha or acres)
- e) Option (1, 2, 3 and/or 4 per product)
- f) Scheme name (if a benchmarked scheme; Options 3 and/or 4, per product)
- g) Certification body(ies) to be use per product
- h) Country of Destination (it is possible to declare a group of countries, e.g. European Union)
- i) Integrated Farm Assurance specific requirements:
 - (i) Crops: Covered or non-covered crop
 - (ii) Crops: First harvest (first crop) on an area during a certification cycle or further harvest (subsequent crop) of the same or different crop on the same area during the certification cycle
 - (iii) For Fruit and Vegetables: Exclusion of produce handling when not applicable (for each product certified)
 - (iv) For Fruit and Vegetables: The GLOBALG.A.P. Number(s) (GGN) of certified producer(s) subcontracted for produce handling (if applicable).
 - (v) For Fruit and Vegetables: If produce handling is included, the producer must declare whether products are also packed for other GLOBALG.A.P. certified producers.

- (vi) For Coffee and Tea: The GLOBALG.A.P. Number (GGN) of the processing unit(s) as indicated in the Chain of Custody certification must be entered into the GLOBALG.A.P. Database as soon as the producer knows it, and it must be communicated to the CB and updated whenever there are changes.
- (vii) For Livestock and Aquaculture: the GLOBALG.A.P. Number (GGN) of the compound feed manufacturer(s) supplying compound feed; even when GGN remains the same (for integrated operations).
- (viii) For Livestock: The GLOBALG.A.P. Number (GGN) of the transporter(s) must be entered into the GLOBALG.A.P. Database as soon as the transportation is covered by GLOBALG.A.P. and the producer knows it, communicated to the CB and updated whenever there are changes.
- (ix) For Aquaculture: The GLOBALG.A.P. Number (GGN) of the seedlings supplier(s) (compulsory) and broodstock supplier(s) (voluntary), still when GGN remains the same for integrated operations must be entered into the GLOBALG.A.P. Database.

1.4 Checklist Information

This information gives more detail on the audit report linked to the certificate.

- a) Product(s)
- b) Auditor/Inspector
- c) Type of Audit
- d) Checklist Version
- e) Audit Report (including checklist data)

ANNEX I.3 GLOBALG.A.P. GUIDELINE ON PARALLEL PRODUCTION AND PARALLEL OWNERSHIP

This Annex is clarifying the requirements as set out in Part I, 4.4.3 and CPCC AF 12.

One of the major changes from GLOBALG.A.P. IFA Version 3 to Version 4 is the introduction of the Parallel Production and Parallel Ownership concept.

This guideline's purpose is to define terms and explain the rules that apply to producers, which produce and/or own non-certified products in addition to GLOBALG.A.P. certified products.

NOTE: *The following text will use the term producer indistinctly for individual producers as well as producer groups. In case rules do not apply to both, this will be mentioned.*

1. DEFINITIONS

Parallel Production (PP): PP is the situation where a farmer produces the same product partly as certified and partly as non-certified.

Example: A producer or a producer group member grows apples. Only a part of the apple production will be certified.

A situation in which a farmer produces one product as certified and another product as non-certified is not Parallel Production (e.g.: apples certified and pears non-certified). This is also true for the case where some members of a producer group do not participate in certification.

Parallel Ownership (PO): PO is the situation where producers buy non-certified products of the same products they grow under certified production.

Example: A producer or a producer group member grows certified apples and buys non-certified apples from other producer(s).

In the case of producer groups (PG), Parallel Ownership is only applicable when the group or any of its members buy non-certified products from external sources (i.e. to buy non-certified product from other producer groups or from producers who are not members of the group) of the same products as the ones included in the certificate.

It is not considered PO when:

- A producer/producer group buys additional certified products from another GLOBALG.A.P. certified producer(s).
- Some members of a producer group are not registered for GLOBALG.A.P. Certification of a product that the group is being certified for.
- A certified producer handles products for non-certified producers as a subcontractor, i.e. the certified producer does not buy the non-certified products (*This clarifies and overrules GR Intro v4 3.1.2.ii.e.*).

Production Management Unit (PMU):

Production Management Unit (PMU) is a production unit (can be a farm, field, orchard, herd, greenhouse, etc.) defined by the producer for units where segregation of output (agricultural products) is intended and all provisions have been made and put in place to keep separate records and prevent mixing of the products in the case of Parallel Production [...] (IFA General Regulations Version 4, Part I, 4.2.1 g)).

In Parallel Production, the PMUs shall be specified for the GLOBALG.A.P. and the non-GLOBALG.A.P. production processes and each PMU shall be administrated so that traceability and segregation is guaranteed at any moment.

Parallel Production within a PMU is not possible.

Product Handling Unit (PHU): A product handling unit is a unit defined by the producer, where products are stored and handled. Segregation of product at all time (input, process, output) is guaranteed and provisions have been made and put in place to keep separate records.

Handling certified and non-certified own product and handling own certified and sourced non-certified product is possible within the same product handling facility.

Site: A production area (e.g. fields, plots) that is owned or rented and ultimately managed by one legal entity, and where the same input factors (e.g. water supply, workers, equipment, etc.) are used.

One site may contain several non-touching areas (areas that do not share a common border; non-contiguous) and production of more than one product on the same site is possible.

In case of multi-site producers with QMS that register for Parallel Production or Ownership, each site shall be registered as a different PMU.

2. CHANGES REGARDING VERSION 3.1

Parallel Production allows producers under version 4 to produce one product partly as certified and partly as not certified, while in version 3.1 producers intending to certify the production process of a product had to include:

- Crops: the entire crop (same product) grown by the producer/producer group;
- Livestock: ALL animals of that type present on farm, EXCEPT Grandparents;
- Aquaculture: ALL fish and all stages of that type present on farm.

Parallel Ownership allows producers to buy from non-certified sources the same products that are included in the scope of their certificates, while under version 3.1, certified producers could not own (by growing or purchasing) non-certified products of the same ones they had certified.

3. LIMITATIONS TO THE ELIGIBILITY FOR PP/PO

3.1 Parallel Production is only possible in the following circumstances:

- Parallel Production of certified and non-certified sub-species of a product with distinctive visible differences detectable by the average consumer (e.g. cherry tomatoes and roma tomatoes) is possible in one contiguous production area under all options (1& 2).
- Parallel Production of certified and non-certified products of the same species (e.g. bananas, salmon or pigs) without distinctive visible differences detectable by the average consumer can only take place in non-contiguous areas with separate recording system for the agronomic activities undertaken.

The non-contiguous areas shall be separated by physical elements (e.g. road, barriers) that prevent accidental mixing, spraying, drifting, etc.

NOTE: This point overrules and clarifies the GR V4, Part I, 4.4.3.1 “*Parallel Production (PP) of certified and non-certified products of the same species (e.g. bananas, salmon or pigs) is not possible on a single site on individual producer level (Option 1 or Option 2 member)*”.

Exception exists for Livestock as described in the relevant Livestock Base CPCC (LB 3.3 and 7.2.3).

3.2 There is no pre-condition for the registration for Parallel Ownership. All producers buying non-certified products of the same products they grow under certified production processes shall register for Parallel Ownership.

4. PP/PO FOR PRODUCER GROUPS

A Producer Group (PG) has to register for PP/PO in the following scenarios:

- When at least one member registers for Parallel Production
- When at least one member registers for Parallel Ownership
- When the group purchases the same products included in its certificate from external non-certified producers or producer groups.

When a producer group registers for PP/PO, the same rules as for individual producers apply.

5. REGISTRATION

5.1 Registration steps

- (i) The producer shall inform its CB/Farm Assurer of his application for PP/PO during the registration process.

- (ii) The CB/Farm Assurer shall register the producer in the GLOBALG.A.P. Database for PP and or PO.
- (iii) The producer shall identify at least two Production Management Units (PMU): one for all certified processes and one other for all the non-certified processes (see 6.1).
- (iv) Those producers who opt for using Sub-GLNs (Option B; see point 8, AF 12.1.2. of this Annex) to increase traceability of their operations, shall register all PMUs (those regarding certified processes and those regarding non-certified processes) in the GLOBALG.A.P. Database by assigning products to the PMU as soon as this is possible. This is not possible for producers who opt for not using Sub-GLNs (Option A; see point 8, AF 12.1.2 of this Annex).
- (v) In the event that a producer acquires a GLN and assigns Sub-GLNs to the PMUs and PHUs specified, these shall be registered in the GLOBALG.A.P. Database.
- (vi) All products shall be traceable to the respective PMU(s) and certified and non-certified products shall be fully segregated at all times. The traceability and recording system shall reflect the implementation of Parallel Production. See specific requirements for Livestock (LB 3.3).
- (vii) The "Traceability and Segregation" section in the All Farm Module (AF 12) shall be applicable.

5.2 Registration timing

Producers can register for PP/PO at any time, but cannot use it as corrective action to a non-conformance detected.

Example 1. In case the CB detects the production or ownership of non-certified products of the same type the producer has certified without registration for PP/PO.

Example 2. When certain part of the production has been found non-compliant and producer wants to segregate it and maintain the certification for the rest of the production.

When non-conformances are detected, the producer shall be sanctioned accordingly and shall implement corrective actions for the entire production.

In case producers want to register for PP/PO during the validity of their certificates (e.g. because they need to purchase non-certified products, which they did not expect at the time of their registration), Certification Bodies will have to carry out an extraordinary inspection to check the applicable control points and update the information in the GLOBALG.A.P. Database and the paper certificate.

In case producers want to register for Parallel Ownership at the beginning of the season, when they are not sure whether they will buy non-certified products, CBs shall evaluate that the traceability and segregation procedures are available and ready for implementation. When the purchase of products from non-certified sources begins, CBs shall require evidences of implementation (documentary or through on-site assessment).

6. RULES FOR PMU AND PHU

6.1 Rules for PMUs

- (i) Producers who register for Parallel Production shall identify **at least** two PMUs: one aggregated PMU for all certified processes and one other aggregated PMU for all the non-certified processes.
- (ii) One PMU cannot have certified and non-certified production processes for the same product, i.e. Parallel Production is not possible within the same PMU.
- (iii) One PMU can include one or more production areas.
- (iv) A PMU can contain more than one product, which may be registered for Parallel Production as long as the same certified and non-certified product is not in one PMU.
- (v) Product from a certified PMU shall not be moved to non-certified PMUs (e.g. in aquaculture production) or it would lose its certified status.

6.2 Rules for PHUs

- (i) It is possible to handle products with certified and non-certified origin in the same product handling facility. However, producers registering for Parallel Ownership shall identify two

PHUs – for administrative / recording reasons only (one for GLOBALG.A.P. products and other one for the non-GLOBALG.A.P. products).

7. IDENTIFICATION OF PRODUCERS REGISTERED FOR PP/PO

All *producers* opting for PP/PO shall register this feature in the GLOBALG.A.P. Database and it will be visible via online certificate validation.

The information necessary to do the certificate validation is made available via the identification of the final products with the producer's GGN or Sub-GLNs (see AF 12.1.2 Identification of GLOBALG.A.P. products), which is an obligation for all producers qualified for PP/PO.

Additionally, the registration for PP/PO shall also be specified in the paper certificate.

8. ADDITIONAL REQUIREMENTS FOR PRODUCERS WITH PP/PO

All producers registered for PP/PO shall have in place a series of measures to guarantee traceability and segregation and to facilitate the identification of the certified product, which will be checked by the Certification Bodies (CBs) during the assessment.

The additional requirements to be checked by the CBs are all Major Musts and are included in the following Control Points and Compliance Criteria (CPCCs) of All Farm Module. In case of Option 2, the Mass Balance, Traceability and Segregation section of the QMS Checklist is applicable:

AF 12.1.1 Segregation of GLOBALG.A.P. certified and non-certified products

Producers must have in place a system that avoids mixing of certified and non-certified products. This can be done via physical identification or product handling procedures. Records shall be available and demonstrate the proper operation of the segregation system.

AF 12.1.2 / QMS Checklist MB 3.1.2. Identification of GLOBALG.A.P. Products

Producers or producer groups registered for Parallel Production or Parallel Ownership (PP/PO) need to have a system in place to ensure that all final products originating from a certified production process are correctly identified.

Apart from the internal traceability and identification system that the producer or producer group shall have, they shall also use one of the following 2 product identification options that will facilitate the identification of the certification status:

Option A: Use of the GGN

All final, ready to be sold (either from farm level or after product handling), products shall be identified with the GGN of the producer where the product originates from a certified process. Producer groups can use the GGN of the group or the GGN of all those members where the products come from.

Products originated from non certified process (either own non-certified PMUs or purchased to non-certified producers) are NOT allowed to carry the GGN of the producer.

Consignments with products of mixed origin (certified and non-certified) where segregation has not been maintained shall be sold as not certified and are not allowed to carry the GGN.

In case the organization has or acquires a GLN to identify the organization in other contexts or additional applications, it shall replace the GGN assigned by GLOBALG.A.P. at registration.

Option B: Use of GLN and Sub-GLNs

Instead of using the GGN assigned by GLOBALG.A.P., producers can increase transparency and the accuracy of the traceability system by acquiring a GLN with capacity to generate Sub-GLNs from the national GS1 organization and assigning a Sub-GLN to each PMU and PHU (certified and non-certified) specified by the producer.

In the event of Parallel Production:

- All final, ready to be sold (either from farm level or after product handling), products shall be identified with the Sub-GLN of the PMU where the product originates from a certified process.

- In the event that a consignment originates from several certified PMUs, producers shall use all the corresponding PMU's Sub-GLNs or the Sub-GLN assigned to their certified PHU.
- Products originated from non-certified processes can use the Sub-GLN of the corresponding PMUs, however, this is not obligatory.
- Consignments with products of mixed origin (certified and non-certified) may carry the Sub-GLNs of the corresponding PMUs or the Sub-GLN of the non-certified PHU and shall be sold as non-certified.

In the event of Parallel Ownership, producers shall define two PHUs for administrative reasons only (one for the certified products and the other one for the non-certified ones; however it can be the same physical structure) and assign one Sub-GLN to each one of them:

- Consignments with 100% certified origin, shall carry the Sub-GLN of the corresponding certified PMUs or of the certified PHU.
- Consignments with mixed origin (certified and non-certified) may carry the Sub-GLN of the non-certified PHU and shall be sold as non-certified. This type of consignments shall not use the Sub-GLN of the certified PMU.
- Consignments with non-certified origin may carry the Sub-GLN of the non-certified PHU, however, this is not obligatory.

AF 12.1.3 Correct dispatching of GLOBALG.A.P. Products

Producers shall have in place a final check to ensure correct dispatch of certified and non-certified products.

This check shall consist on the verification of the proper operation of the documented identification and traceability systems, the evaluation of the orders placed by the clients and the transaction documents generated indicating the certification status of the products.

AF 12.1.4 Transparency of the certification status and origin

Producers registered for PP/PO shall include the GGN (option A) or Sub-GLN (option B) of the certificate holder and reference to the GLOBALG.A.P. certified product status in all transaction documents (sales invoices, delivery orders, etc.) used with clients.

The use of the GGN or Sub-GLN in transaction documents is necessary for facilitating the consultation of the certification status of the producers and is obligatory even if producers have own traceability codes.

AF 12.1.5 Identification of purchased products

Producers shall have appropriate documented procedures in place for identifying products from different sources.

These procedures shall be documented and maintained, appropriately to the scale of the operation, for identifying certified and non-certified products from different sources (i.e. other producers or traders).

Records shall include:

- Product description including sub-species/variety if necessary (e.g. cherry tomatoes)
- GLOBALG.A.P. certification status
- Quantities of product(s) purchased
- Supplier details (name, identification numbers, address, etc.)
- Copy of the certificates when purchases have been made from other GLOBALG.A.P. certified producers
- Traceability data/codes related to the purchased products (these can be own supplier codes traceable to the GLOBALG.A.P. certificate owner)
- Purchase orders issued by the producer being assessed and invoices corresponding those orders and issued by the producer's suppliers.
- List of approved product suppliers.

AF 12.1.6 Records of sales

Sales documents shall demonstrate a consistent balance between certified and non-certified input and output.

For this purpose, sales documents shall include records of quantities sold and descriptions provided (product description, certification status, GGN or Sub-GLN, etc.).

AF 12.1.7 Mass balance

Producers qualified for PP/PO shall have in place a documented system to ensure the proper segregation of GLOBALG.A.P. certified and non-certified products. This system shall be consolidated in mass-balance controls that require the evaluation of the input and output records.

Certified and non-certified incoming, stored and outgoing product quantities shall be recorded independently to facilitate the mass balance verification process that producers shall carry out to verify the proper operation of the segregation system.

The frequency (weekly, monthly, etc.) of the mass-balance verification shall be appropriate to the scale of the operation, but shall be at least annual.

AF 12.1.8 Conversion Ratios

In order to ensure the accuracy of the mass balance results, it is necessary that producers calculate the conversion ratios for each relevant handling process and have them available for inspection.

The product waste and losses generated shall be recorded per crop (not necessarily per shipment) and considered for the mass balance together with the input and output quantities.

EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of Modifications
120206_gg_gr_part_I_v4_0-1_en	110330_GG_GR_PART_I_IFA_ENG_Final_V4	6 February 2012	Modification GLOBALG.A.P to GLOBALG.A.P.; 1, 4.4.3, Annex I.3: 1, Annex I.3: 6.2, Annex I.3: 8 – amendment; 4.4.3.1, 5.1.2.2 (ii), 5.2.2.2 (ii), 6.2.2 (d), 6.4.1 (d) (ii), 6.4.2.1 (iii)/(iv), Annex I.2: 4 (ii), Annex I.3: 5.2 – modification of wording; 5.2 – modification of table; Annex I.3 – small changes in wording; Annex I.2: 1.2.1 – deleted “ponds”; Annex I.3: 3 – deleted “different ponds”, “farm (see farm definition)”
130315_gg_gr_part_I_v4_0-2_en	120206_gg_gr_part_I_v4_0-1_en	15 March 2013	4.4.3.1, 4.4.3.2, 4.4.3.3 – deleted, 5.1.2.1 (ii) c) – modification of wording; 5.3.1 f), 6.7.3 a) – amendment; 6.2.2 – deleted E.g.; Annex I.3 – 1. – one sentence deleted

If you want to receive more information on the modifications in this document, please contact the GLOBALG.A.P. Secretariat mailto:translation_support@globalgap.org.

When the changes do not affect the accreditation of the standard, the version will remain “4.0” and edition update shall be indicated with “4.0-x”. When the changes do affect the accreditation of the standard, the version name will change to “4.x”.