1. INTRODUCTION

This document describes the certification rules for any party seeking certification for GLOBALGAP, Integrated Farm Assurance (IFA), Food Safety (e.g. Production Safety) and/or the Compound Feed Manufacturing Standard, unless otherwise indicated in the scope-specific rules.

Rules for benchmarked schemes are explained in the 'GLOBALG.A.P. Benchmarking Regulations'.

The term "shall" is used throughout the GLOBALG.A.P. IFA Standard documents 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) GLOBALGAP Certification and Sub-License Agreement: Contract between the certification body (CB) and the producer. Sets legal framework in order to be granted the GLOBALG.A.P. certification.

b) GLOBALGAP Certification and License Agreement: License and Certification Agreement': Contract between the CB and GLOBALG.A.P. c/o FoodPLUS GmbH.

c) GLOBALGAP Control Points and Compliance Criteria (CPCC): The document determining the compliance requirements for producers.

NOTE: Annexes referenced in the CPCC are guidelines, unless the CPCC state that the annex or part of the annex is mandatory. In the title of those annexes it is stated that they are mandatory. Other guidelines referenced in the CPCC document to guide producers to comply with the requirements are not normative documents.

d) GLOBALG.A.P. checklists (CL):
- For control points and compliance criteria
- For quality management system (QMS) requirements (producer groups and multisites with QMS): Sets requirements for quality management systems.

These documents or customized ones with verbatim content are used for all audits, inspections, and self-assessments.

e) National Interpretation Guidelines (NIG): Provide clarification and adaptation of the CPCC to the relevant country. Only available for countries where approved by the respective technical committees. These become obligatory for use as soon as they are approved and published.

f) GLOBALG.A.P. General Regulations (GR): The General Regulations documents describe the basic steps and rules for the applicant to obtain and maintain GLOBALG.A.P. certification, as well as the role and relationship of applicants, GLOBALG.A.P., and the CBs. Also the document describe Quality Management System Rules (QMS).

g) GLOBALGAP Special Rules (eg Crop Rules, Livestock Rules, Aquaculture Rules, Compound Feed Production Rules): Defines how the certification process works for each specific scope.

h) Technical news and normative updates are prepared by the GLOBALGAP secretariat and published on the GLOBALGAP website.

3.ACRONYMS AND DEFINITIONS

AB: Accreditation body
CB: Certification body
CC: Compliance criteria
CoC: Chain Of Custody
CP: Control points
CPCC: Control Points and Compliance Criteria
IFA: Integrated Farm Assurance
HACCP: Hazard Analysis and Critical Control Points
NTWG: National Technical Working Group (NTWG):
TC: Technical Committee
CBC: Certification Body Committee
IAF: The International Accreditation Forum Inc.
MLA: Multilateral Agreement
EA: European co-operation for Accreditation
CL: Checklist
QMS: Quality Management System
BMCL: Benchmarking
GFSI: Global Gıda Güvenliği Girişimi
IPRO: Integrity Program of GlobalGAP
CIPRO: Certification Integrity Program of GlobalGAP
CFM: Compound Feed Manufacturing
PHU: Product Handling Unit
FSS: Food Safety Standard
PPM:Plant Propagation Material
PPP: Plant Protection Product
NIG: National Interpretation Guideline
AMC: Approved Modified Checklist
FAQ: Frequently Asked Questions
ÇKS: Document issued by the Farmer Registration System.
KSK: Control and Certification Body

4.REFERENCE DOCUMENTS

a) TS EN ISO/IEC 17000:2020 Conformity assessment - Vocabulary and general principles
b) ISO/IEC 17007:2009 Conformity assessment - Guidance for drafting normative documents suitable for use for conformity assessment
c) ISO/IEC 17011:2018 Conformity assessment - Requirements for accreditation bodies accrediting conformity assessment bodies
d) ISO/IEC 17020:2012: Conformity assessment - Requirements for the operation of various types of bodies performing inspection
e) ISO/IEC 17021-1:2015: Conformity assessment - Requirements for bodies providing audit and certification of management systems- Part 1: Requirements
f) ISO/IEC 17021-2:2016: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 2: Competence requirements for auditing and certification of environmental management systems
g) ISO/IEC 17021-3:2017: Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 3: Competence requirements for auditing and certification of quality management systems
h) ISO/IEC 17025:2017: General requirements for the competence of testing and calibration laboratories
i) ISO/IEC TR 17026:2015: Conformity assessment — Example of a certification scheme for tangible products
j) ISO/IEC 17030:2003: Conformity assessment — General requirements for third-party marks of conformity

k) ISO/IEC 17040:2005: Conformity assessment — General requirements for peer assessment of conformity assessment bodies and accreditation bodies
l) ISO/IEC 17050-1:2010: Conformity assessment — Supplier's declaration of conformity — Part 1: General requirements
m) ISO/IEC 17050-2:2005: Conformity assessment — Supplier's declaration of conformity — Part 2: Supporting documentation
n) ISO/IEC 17065:2012: Conformity Assessment – Requirements for bodies certifying products, processes and services
o) ISO/IEC 17067:2013: Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes
p) TS EN ISO/IEC 17067: Conformity assessment — Fundamentals of product certification and guidelines for product certification schemes
q) ISO 19011:2018: Guidelines for auditing management systems
r) ISO Guide 23 1982 Methods of indicating conformity with standards for third party certification systems
s) TS ISO Guide 27 Guidelines for the corrective action to be taken by a certification body in the event of misuse of its mark of conformity

5.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 are translated into other languages and published on the GLOBALG.A.P. website. Once published, these official GLOBALG.A.P. documents are the only ones that shall be used for certification in that language. In case of discrepancy between translations, the English version shall prevail.

c) 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 'Version/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 4.1 to 5.0; or 5.0 to 5.1) indicates changes in the requirements and thus a version change. A change in other digits (e.g. change from 5.0 to 5.0-1) indicates updates that do not introduce changes to the requirements.

4. Updates can be made independently in the GR and CPCC documents.

5. The updates are 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. A summary of changes is indicated in the 'Version/Edition Update Register' section. This section is published separately for a version update or at the end of a document for new editions.

6.CERTIFICATION OPTIONS

Any producer of primary agricultural products covered by the GLOBALG.A.P. standards may apply for GLOBALG.A.P. certification.

For GLOBALG.A.P. certification, the term "producer(s)" refers to persons (individuals) or businesses (company, individual producer or producer group) that are legally responsible for the production processes

and the products of the respective scope, sold by those persons or businesses. The term “producer(s)” is also used in these General Regulations to describe livestock transport companies and feed manufacturers.

Producers can apply for certification using 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 in section 5.

6.1 Option 1 – Individual Certification

a) An individual producer applies for certification (GLOBALG.A.P. or a benchmarked scheme).
b) The individual producer is the certificate holder once certified.

6.1.1 Option 1 – Multisite without QMS

a) An individual producer or one organization owns several production sites that do not function as separate legal entities.

6.1.2 Option 1 – Multisite with QMS (See Part II)

a) An individual producer or one organization owns several production sites 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 – Quality Management System Rules’ shall apply.

6.2 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, is the certificate holder once certified.

c) A group shall have a QMS implemented and comply with rules set out in the ‘General Regulations Part II – Quality Management System Rules’.

6.3 Benchmarked Schemes

The categories for certification under benchmarked schemes are explained in the ‘GLOBALG.A.P. Benchmarking Regulations’.

7.REGISTRATION PROCESS

7.1 Certification Body

a) Applicants shall, as a first step, choose a GLOBALG.A.P. approved certification body (CB). Contact information on approved and provisionally approved CBs is available on the GLOBALG.A.P. website. It is the responsibility of the applicants to verify whether the chosen CB is approved for the relevant scopes.
b) The chosen CB is responsible for the registration of the applying producer in the GLOBALG.A.P. Database, data updates, and collection of fees.

7.2 Registration

7.2.1 General

a) The application shall cover at least the information detailed in PR24 RH18 Certification Guide. Registration Data Requirements'. By registering, the applicant commits to comply with the certification requirements at all times, the communication of data updates to the EKOINSPEKT, and the payment of the applicable fees established by GLOBALG.A.P. and by the EKOINSPEKT.

b) This information is used by GLOBALG.A.P. to supply the applicant with a unique GLOBALG.A.P. Number (GGN), which is used as a unique identifier for all GLOBALG.A.P. activities.

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 applicant will be listed, and the list shall 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 permission to GLOBALG.A.P. 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. and the certification body, which the producer or producer group is working with, and can be used for internal processes and sanctioning procedures.
(iii) The minimum and obligatory data release level, as well as additional information on confidentiality and data use, is defined by the 'GLOBALG.A.P. Data Access Rules' and available at www.globalgap.org/documents.
(iv) If an applicant (company, individual producer, or member of a group) does not agree to the minimum release, the applicant is not in agreement with the 'Sublicense and Certification Agreement' and cannot be certified, nor belong to a producer group seeking certification.
(v) No data other than that stated in point (iii) can be released by GLOBALG.A.P. or EKOINSPEKT to any other party without written consent of the applicant.
(vi) From the GLOBALG.A.P. IFA Standard Version 5 (V5) onwards, the certification history of producers (data showed previously to the public as certificate validation tool) will be displayed to the market participants.

e) The service contract between the EKOINSPEKT 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 more than once with different CBs or under different certification options.
(ii) May register different products with different CBs and/or under 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).
(iii) May not register production sites 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.
(iv) May register for combined certification of the GLOBALG.A.P. IFA Standard V5 and a Food Safety Standard (FSS) V5 for the same product, but only with the same CB.
(v) May register some products under IFA and others under a FSS.
(vi) May not register for a FSS only if it was previously IFA certified for the same product.
Example: If an applicant wants PSS certification for apples which have been previously IFA certified, the applicant may only register the apples for combined IFA and PSS certification.

g) For the registration to be completed, the applicant shall satisfy all the following conditions:
(i) Submit to the SK the relevant application that shall include all the necessary information.
(ii) Sign acceptance of the 'GLOBALG.A.P. Sublicense and Certification Agreement' in its latest version (available on the GLOBALG.A.P. website) with the EKOINSPEKT, or the applicant shall explicitly acknowledge the receipt and the inclusion of the 'GLOBALG.A.P. Sublicense and Certification Agreement' with signature on the service contract/agreement with the EKOINSPEKT and the EKOINSPEKT shall hand over a copy of the 'GLOBALG.A.P. Sublicense and Certification Agreement' to the producer.

(iii) Be assigned a GGN, if they don't already have a GGN or a Global Location Number (GLN).
(iv) Agree in writing 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).

h) The registration process, in case of initial certification and transfers, shall be finalized before inspection can take place.

i) In the case of first registration the EKOINSPEKT shall confirm the application and provide the applicant with the GGN within 28 calendar days of receiving the complete application.

j) A production site is defined as a production area (e.g. fields, plots, ponds, ranches) that is owned or rented and ultimately managed by one legal entity, and where the same input factors (e.g. water supply, workers, equipment, stores, etc.) are used.

One site may contain several non-touching areas (areas that do not share a common border, are non-contiguous) and production of more than one product on the same site is possible. All production sites where the product(s) that are included in the GLOBALG.A.P. certification scope are produced, shall be identified and registered.

Requirements for production sites:

(i) All production sites shall be owned or rented and under the direct control of the legal entity.
(ii) For production sites that are not owned by the legal entity, there shall be a signed document, which includes a clear indication that the site owner does not have any responsibility or input or decision capacity regarding the production operations over the rented-out site. There shall also be written contracts in force between each production site owner and the legal entity that include the following elements:

- Certificate holder/producer member name and legal identification.
- Name and/or legal identification of the site owner.
- Site owner contact address.
- Details of the individual production sites.
- Signature of both parties' representatives.

(iii) The certificate holder is legally responsible for all the registered production, including placing the product on the market.

k) A product handling unit (PHU) is defined as facilities where products are handled. If a producer handles products included in the GLOBALG.A.P. certification scope in more than one PHU, all these shall be identified and registered.

7.2.2 Registration with a new CB

a) If a producer who has already been registered changes CB or applies to a new CB for certification of a different product, the producer shall communicate the GGN assigned by GLOBALG.A.P. to the new CB. Failure to do so will result in a surcharge of the registration fee of EUR 100 to an Option 1 producer and EUR 500 to an Option 2 producer group.
b) Certificate holders who are sanctioned cannot change CB until the outgoing CB closes the corresponding non-conformance.
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.

7.3 Application and Certification Scope

7.3.1 Standards Covered by GLOBALG.A.P. General Regulations:

The scope of GLOBALG.A.P. certification covers the following:

a) The controlled production process of primary products. It does not cover wild/catch, wild fish/catch, or crops harvested in the wild.
b) Only products included in the 'GLOBALG.A.P. Product List', published on the GLOBALG.A.P. website, can be registered for certification. The 'GLOBALG.A.P. Product List' is not limited and can be extended based on demand.
c) Only products that are produced by producers themselves. Producers cannot receive certification for the production of products that are not produced by themselves.

The IFA Control Points and Compliance Criteria (CPCC) document is separated into different modules, each one covering different areas or levels of activity in a production site. These modules are grouped into:

a) Scope modules: Covering more generic production issues, classified more broadly. These are: All Farm Base, Crops Base, Livestock Base, Aquaculture.
b) Sub-scope modules: Covering more specific production details, classified per product type.
The Food Safety Standards (FSS) cover only the food safety elements of a given sub-scope of the IFA standards (e.g. Produce Safety Standard covers only the food safety elements of the Fruits and Vegetables sub-scope).
The CFM Standard covers the requirements for compound feed manufacturing.

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

7.3.2.1 Definitions

Parallel Production (PP): PP is a situation where individual producers, producer members, or producer groups produce the same product partly as certified and partly as non-certified. It is also considered PP if not all the members of a producer group producing a product that is registered for certification are included in the scope of the certificate.

Example: A producer grows apples. Only a part of the apple production will be certified.
A situation in which a producer produces one product as certified and another product as non- certified is not parallel production (e.g.: apples certified and pears non-certified).

Parallel Ownership (PO): PO is a situation where individual producers, producer members, or producer groups buy non- certified products of the same products they grow under certified production.

Example 1: A producer grows certified apples and buys non-certified apples from other producer(s).
It is not considered PO if:

- A producer/producer group buys additional certified products from another GLOBALG.A.P. certified producer(s)
- A certified producer handles products for non-certified producers as a subcontractor, i.e. the certified producer does not buy the non-certified products

7.3.2.2 Registration

Any applicant/certificate holder (individual producer, multisite producer, or producer group) who owns GLOBALG.A.P. and non-GLOBALG.A.P. products (of the same product) at any time needs to register for parallel production (PP) or parallel ownership (PO).

7.3.2.2.1 Registration Steps

(i) The producer shall inform the respective EKOINSPEKT of the application for PP/PO during the registration process. Producer groups shall also include clear identification of their producer members who buy/sell non-certified products of the same products included in the scope of certification (and, therefore, also the products that have to be registered as “with PO” for each producer member).
(ii) EKOINSPEKT shall register the producer (per product) in the GLOBALG.A.P. Database for PP and/or PO.
(iii) Producers can register for PP/PO at any time if they start carrying out PP/PO activities but cannot use the registration as immediate corrective action to avoid sanctions in the case of a non-conformance.

If a non-conformance is detected, the producer shall be sanctioned accordingly until effective implementation of the corrective actions for the entire production process has taken place.

Example 1. During an inspection of a producer who has not registered for PP/PO, the CB detects the sale of non- GLOBALG.A.P. products of the same type the producer has certified. In this case, the CB shall

immediately suspend the producer. Suspension can only be lifted after registration under PP/PO and compliance with all traceability and segregation requirements is verified.

Example 2. A certain part of the production has been found to be non-compliant and the producer wants to segregate it and maintain the certification for the rest of the production during the audit. This is not possible and the normal sanction and certification procedures shall be followed.
In case producers want to register for PP/PO during the validity of their certificates (e.g. because they need to purchase non-GLOBALG.A.P. products, which they did not expect at the time of their registration), EKOINSPEKT will have to carry out an extraordinary inspection/audit 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, EKOINSPEKT shall evaluate that the traceability and segregation procedures are available and ready for implementation. When the purchase of products from non-certified sources begins, EKOINSPEKT shall require evidences of implementation (documentation or on-site assessment).

7.3.2.3 Identification of Producers Registered for PP/PO

The GGN is used to validate the certificate. It is made available via the identification of the final products with the producer's GGN, where the product originates from a certified process (see AF 13.2 'Identification of GLOBALG.A.P. Products'), which is an obligation for all producers registered for PP/PO.

PP/PO shall be specified on the paper certificate and is also visible via the online certificate validation in the GLOBALG.A.P. Database.

7.3.2.4 Additional Requirements for Producers with PP/PO

All products shall be traceable to the respective production site/PHU, and certified and non-certified products shall be fully segregated at all times. Producers shall be able to demonstrate that their traceability and recording system guarantees full traceability and segregation.

The handling of certified and non-certified products is possible within the same product handling facility. Parallel production in one production site is not allowed. Exceptions, when possible, are explained in the respective scope-specific rules.

7.3.3 Burden of Proof

a) In the case of information (e.g. MRL exceedance, microbial contamination, etc.) about a GLOBALG.A.P. certificate holder, which could have a potential impact on the certified status/claim being transmitted to the GLOBALG.A.P. Secretariat, it is the responsibility of the certificate holders and the corresponding EKOINSPEKT to refute the claim by verifying and providing evidence of compliance with the GLOBALG.A.P. standards.
b) The findings and actions taken shall be reported to the GLOBALG.A.P. Secretariat within the defined period of time by the EKOINSPEKT.
c) If the certificate holders and the corresponding EKOINSPEKT do not provide the requested evidence of compliance within the period of time defined by the GLOBALG.A.P. Secretariat, they will be sanctioned according to the sanctioning procedures described in the GLOBALG.A.P. General Regulations.
d) 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) shall be included.

8. ASSESSMENT PROCESS

In order to achieve certification, a registered party shall perform either a self-assessment (Option 1 and Option 1 multisite without QMS) or internal inspections/audits (Option 1 multisite with QMS and Option 2) and receive inspections/audits by the chosen CB.
During any of these assessments, except the self-assessments, comments shall be supplied for all Major Musts and all non-compliant and not applicable Minor Must control points.

8.1 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 or multiple production sites that are not separate legal entities and operated without the implementation of a QMS.
b) Summary of assessments to be undertaken before the certificate is issued (initial evaluation) and annually thereafter (subsequent evaluations)

	Evaluations (Initial and Subsequent)
Self-assessments by producer	1. Entire scope (all registered sites)
Externally by the CB	2. Announced inspection of entire scope (all registered sites) 3. After initial certification: Unannounced inspection (minimum 10 % of certificate holders)

8.1.1 Self-Assessments

The self-assessment shall:

(i) Cover all registered production sites, products and processes under the certification scope to verify compliance with the requirements defined in the applicable control points
(ii) Be carried out by or under the responsibility of the producer
(iii) Be carried out before the initial inspection and thereafter at least annually before announced subsequent inspections against the complete checklist (Major Musts, Minor Musts, and Recommendations) of all relevant scope(s) and sub-scope(s) and registered areas. The completed checklist shall be available on site for review at all times.
(iv) The self-assessment checklist shall contain comments of the evidences observed for all non-applicable and non-compliant control points.

8.1.2 Certification Body Inspections

a) These inspections (announced and unannounced) shall be carried out by a EKOINSPEKT inspector or auditor.
(i) EKOINSPEKT shall inspect the complete checklist (Major Musts, Minor Musts, and Recommendations) of the applicable scope(s) and sub-scope(s).
(ii) The inspection shall cover:
- All accepted products and production processes
- All registered production sites
- Each registered product handling unit
- Where relevant, the administrative sites

8.1.2.1 Announced Inspections

Each producer shall undergo one announced CB inspection at the initial assessment and thereafter once per annum.

The CB may divide announced inspections (both initial and subsequent) into 2 modules, which shall be verified by the same auditor/inspector:

(i) Off-site module: This consists of a desk review of documentation sent by the producer to the CB before the inspection, including the self-assessment, risk assessments, procedures required in several CPCC, veterinary health plan (where applicable), analysis program (frequency, parameters, locations), analysis reports, licenses, list of medicines used, list of plant protection products used, proof of lab accreditation, certificates or inspection reports of subcontracted activities, plant protection products/fertilizers/medicines application records, etc. The off-site module review has to be conducted no more than 4 weeks before the on-site module inspection.

Offsite Module Description:

a) The control of the off-site module should be carried out at most two weeks before the on-site module control. This control consists of a desk review of the documentation sent to EKOINSPEKT by QMS before the audit. EKOINSPEKT must set a deadline to submit the documents to be evaluated outside the facility to the QMS. The date will also start the 14-day period during which the on-site assessment should take place.

b) Documentation that can be evaluated by EKOINSPEKT outside the facility includes the following. Internal audit, internal registration of approved producer members / production sites, Food Safety Policy Statement, risk assessments, procedures required in the General Regulation Part II Residue Monitoring System (frequency, parameters, sampling program), residual analysis reports, licenses, list of drugs used, List of plant protection products used, proof of lab accreditation and certificates or audit reports of non-contractual activities.

c) The assessment of the off-site QMS requirements will be recorded in the QMS checklist to include an adequate explanation of the evidence examined.

d) The date, time and audit duration of the off-site and on-site modules of each audit should be recorded by the auditor.

e) Audit of the on-site module, after the technical evaluation of the QMS documentation, verification of the way the information and management system works in the facility (e.g. in-house controls, traceability, separate storage, mass balance, central product processing units, etc.) and the QMS that has not been evaluated outside the facility is carried out for checking the content of the checklist.

f) If incompatibilities are detected during the entire evaluation period (including both off-site and on-site modules), the countdown of the time allowed to eliminate these incompatibilities will be initiated with the in-plant closing meeting.

g) This system does not reduce the overall inspection time. (See. Audit Requirements) will only enable the time spent in the facility to be used more efficiently. On-site module should never last less than 3 hours.

(ii) On-site module: This consists of an on-site inspection of the remaining content of the checklist, the production process on-site, and verification of the information assessed off-site.

The reason why two modules are used is to reduce the time spent on-site, although the overall duration of the inspection is not reduced.

EKOINSPEKT decides if it will offer the off-site module to its clients. In case the EKOINSPEKT offers the off-site module to its clients, the use is to be mutually agreed with each producer.

The producer has the right not to send certain requested documents to the EKOINSPEKT if they are considered to be confidential. In this case the information will have to be present during the on-site inspection.

8.1.2.2 Unannounced Inspections

(i) EKOINSPEKT shall carry out unannounced inspections of a minimum of 10 % of all certified producers the EKOINSPEKT has certified per scope under Option 1 without QMS, during the 12 months of validity of the certificates.
(ii) Unless the GLOBALG.A.P. Secretariat has approved a shortened checklist; the EKONSPEKT shall inspect the Major Musts 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) EKOINSPEKT may 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 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.

8.1.2.3 Unannounced Reward Program

(i) Producers may opt to participate in the Unannounced Reward Program. EKOINSPEKT shall inform the producer about this possibility and shall offer the Unannounced Reward Program.
(ii) Under the Unannounced Reward Program, producers will be excluded from the additional 10 % unannounced inspection. However, the annual inspection will be unannounced following the same rules described in 5.1.2.2. This may allow the EKOINSPEKT to reduce their inspection fee.
(iii) Inspections under the Unannounced Reward System shall always be carried out using the entire IFA checklist, according to the relevant scopes and sub-scopes.
(iv) Participants of the Unannounced Reward Program are excluded from the off-site module inspection methodology.
(v) Participation in the Unannounced Reward Program is registered as an attribute in the GLOBALG.A.P. Database.
(vi) In justified circumstances (e.g. complaint follow up), EKOINSPEKT still have the right to schedule unannounced inspections during the certificate validity period.
(vii) If the producer also needs to be audited for an add-on and the add-on rules explicitly exclude unannounced add-on assessments, the producer will not be able to participate in the Unannounced Reward Program.

8.2 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 that complies with the requirements set in General Regulations Part II.
b) The applicant is responsible for ensuring that all producers and production sites under the certification scope comply with the certification requirements at all times.
c) EKOINSPEKT does not inspect all producers or production sites, but just a sample. Thus, it is not the responsibility of the CB to determine the compliance of each producer or production site (this responsibility rests with the applicant). EKOINSPEKT shall 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 (subsequent evaluation):

	Initial Evaluations	Subsequent Evaluations
Internally by the producer group and Option 1 multisite with QMS	1. Internal QMS audit 2. Internal inspection of each registered producer/production site and all product handling units	1. Internal QMS audit 2. Internal inspection of each registered producer/production site and all product handling units
Externally by the CB	**First visit** 1. Announced QMS audit + square root of the total number of registered central product handling units while in operation 2. Announced inspection of (minimum) square root of registered producer/production sites **Second visit** (surveillance) 3. **Surveillance** inspection of (minimum) 50 % square root of certified producers/production sites	**First visit** 1. Announced QMS audit 2.a) If sanction from previous surveillance: Inspection of (minimum) square root of actual number of registered producers/production sites; or 2.b) If no sanction from previous surveillance: Inspection of (minimum) square root of actual number of registered producers/production sites minus the number of producers/production sites inspected during the previous surveillance inspection **Second visit** (surveillance) **3. Surveillance** inspection of (minimum) 50 % square root of the actual number of certified producers/production sites
Product handling inspections externally by the CB	**During first or second visit:** If there is only one central product handling facility, it shall be inspected every year while in operation. When there are more than one central product handling facility, the square root of the total number of central product handling units registered shall be inspected while in operation. Where the product 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. For aquaculture, every product handling unit shall always be inspected annually while in operation.	
Unannounced QMS audits externally by the CB	Additional unannounced QMS audit of 10 % of certificate holders with QMS	

8.2.1 Internal Assessments

a) The applicant shall undertake internal assessments of all producers and/or production sites, covering all products and processes under the certification scope to verify and ensure compliance with the certification requirements.
b) The internal assessments shall comply with requirements determined in Part II of the General Regulations under sections 5 and 6 and include the following:

(i) A minimum of one internal audit of the QMS to be carried out by the internal auditor before the first EKOINSPEKT audit and thereafter once per annum.
(ii) A minimum of one internal inspection of each registered producer, production site and product handling facility (PHU) to be carried out by the internal inspector before the first EKOINSPEKT inspection and thereafter once per annum.

8.2.2 Certification Body Quality Management System (QMS) Audit

a) The audit (announced and unannounced) shall be carried out by a EKOINSPEKT auditor.
b) The audit (announced and unannounced) shall be based on the QMS checklist that is available on the GLOBALG.A.P. website.

8.2.2.1 QMS Announced Audits

EKOINSPEKT shall carry out one announced audit of the QMS at the initial assessment and thereafter once per annum.

EKOINSPEKT may divide the announced audits into 2 modules, which shall be verified by the same auditor:
(i) Off-site module: This consists of a desk review of documentation sent by the QMS to the CB before the audit, including internal audit, internal register of approved producer members/production sites, 'Food Safety Policy Declaration', risk assessments, procedures required in the General Regulations Part II, residue monitoring system (frequency, parameters, sampling program), residue analysis reports, licenses, list of medicines used, list of plant protection products used, proof of lab accreditation and certificates or inspection reports of subcontracted activities, etc.

(ii) On-site module: This consists of an on-site audit of the remaining content of the QMS checklist, plus the verification of the information assessed off-site and the way the management system works on-site (e.g. internal inspections, traceability, segregation and mass balance, central product handling units, etc.).

The aim of the use of both modules is to reduce the time spent on-site, although the overall duration of the audit will not be reduced.

EKOINSPEKT decides if it will offer the off-site module to its clients. In case the EKOINSPEKT offers the off-site module to its clients, the use has to be mutually agreed with each producer group/company.

The producer group/company has the right not to send certain requested documents to the EKOINSPEKT if they are considered to be confidential. In this case the information will have to be present during the on-site audit.

8.2.2.2 QMS Unannounced Audits

(i) EKOINSPEKT shall carry out additional QMS unannounced audits for a minimum of 10 % of the certified producer groups and multisites with QMS annually.
(ii) Any non-conformances detected will be handled as in an announced audit.
(iii) EKOINSPEKT may 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.

8.2.3 Certification Body Producer/Production Site Inspections

a) EKOINSPEKT inspector or auditor shall carry out the inspections.
b) EKOINSPEKT shall inspect the complete checklist (Major Musts, Minor Musts, and Recommendations) of the applicable scope(s) and sub-scope(s) during all inspections.
c) The inspection per selected producer member or production site shall cover all accepted products, production processes, and where relevant, the product handling units and administrative sites.
d) Initial inspection or first inspection by a new CB: As a minimum the square root (or next whole number rounded upwards if there are any decimals) of the total number of the producers/production sites in the certification scope shall be inspected before a certificate can be issued. During the validity period of the certificate, the surveillance inspection of (minimum) 50 % square root of certified producers/production sites shall be carried out.
e) Subsequent inspections:
   (i) EKOINSPEKT shall carry out announced external inspections of each producer group and multisite annually.
   (ii) The inspections shall be split into 2 separate visits during the certification cycle, with the aim of increasing the reliability of the system:
   - Re-certification audit
   - Surveillance producer inspections

   This does not reduce the minimum number of inspections necessary during the certification cycle.
   (iii) The number of producers/sites to be inspected during a certification cycle shall be equivalent to the square root of the current number of producers/production sites (grouped by the same production type). Half (50 %) of the square root of the producers/production sites shall be inspected during the surveillance inspections.
   (iv) The sample size of the following regular announced audit by EKOINSPEKT may be reduced to the square root of the current number of the producers/production sites minus the number of producers/production sites inspected during the previous surveillance inspections as long as the following prerequisites are met:
   - There is no non-conformances detected on the day of the producer/production site surveillance inspections.
   - The result of the QMS audit does not raise doubts about the robustness of the system.

Example 1: In a producer group with 50 members the CB shall inspect 8 members (square root of 50) during the initial audit. During the following surveillance inspection 4 (0.5 x 8) members shall be inspected. The total number of producers inspected in the first year is 12. In the next year, where no non-conformances are detected during the previous 4 surveillance inspections, the CB shall inspect 4 producers during the re-certification audit and then another 4 during the surveillance inspections.

Example 2: 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 shall be inspected. If in the next year the total number of group members' decreases to 4, and no non-conformances were detected during the surveillance producer inspection, 1 producer shall still be inspected.

In a group of 62 members, the number of members increased (by less than 10 %) to a total of 65 after the initial audit. During the initial audit 8 members (square root of 62) were inspected. The sample size for the following surveillance inspection needs to take the increase into consideration and half of the square root of the actual number of members (65) need to be inspected; i.e. (0.5 x 9), which is 5 producers.

   (v) Before a certification decision can be made, at least the square root of the total number of current producers/production sites shall have been inspected during the last 12 months.
   (vi) CBs may take the decision to increase the sample during surveillance inspections if there is a need to investigate whether a non-compliance is structural or not.

8.3 Inspection Timing

8.3.1 Initial (First) Inspections

a) This section is applicable to producers seeking GLOBALG.A.P. certification for the first time, and to producers who want to add a new product to an already existing GLOBALG.A.P. certificate. When a producer changes from one CB to another, or from GLOBALG.A.P. IFA Standard to an equivalent approved modified checklist or scheme (or the other way around), it is not considered a first inspection, but subsequent inspection.
b) No inspection can take place until the EKOINSPEKT has accepted the applicant's registration.
c) Each production process for products registered and accepted for certification for the first time shall be completely assessed (all applicable control points shall 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) It is possible to add a new product to an already existing certificate during an unannounced inspection (Option 1 without QMS) or during a surveillance inspection (Option 2/Option 1 with QMS and sampling), provided all applicable control points for this product are verified.
f) The applicant shall have records from the registration date onwards or for at least 3 months before the first inspection takes place, whichever is longer, and the EKOINSPEKT shall inspect them
g) Products that are harvested/slaughtered/processed before registration with GLOBALG.A.P. cannot be certified.
h) Records that relate to harvest or product handling before the producer has registered with GLOBALG.A.P. are not valid.

8.3.2 Subsequent Inspections

a) Each production process for products registered and accepted for certification shall be completely assessed (all applicable control points shall be verified) annually prior to issuing the certificate. This also applies if the producers change CBs.
b) The subsequent inspection can be carried out at any time during an "inspection window" that extends over a period of 8 months: from 4 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 2015 (expiry date: 13 February 2016). 2nd inspection can be at any time from 14 October 2015 to 13 June 2016, if the certificate validity is extended.

c) There shall be a minimum period of 6 months between 2 inspections for re-certification.

9. CERTIFICATION PROCESS

9.1 Non-Compliance and Non-Conformance:

a) Non-compliance (with a control point): A Minor Must or Recommendation in the GLOBALG.A.P. checklist is not fulfilled according to the compliance criterion.
b) Non-conformance (with the GLOBALG.A.P. certification rules): A GLOBALG.A.P. rule that is necessary for obtaining the certificate (see 6.2) is infringed (e.g. non-compliance with one or more Major Musts, or more than 5 % of applicable Minor Musts).
c) Contractual non-conformances: Breach of any of the agreements signed in the contract between EKOINSPEKT and the producer related to GLOBALG.A.P. issues.

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, payments not made in accordance with contractual conditions, etc.

9.2 Requirements to Achieve and Maintain GLOBALG.A.P. Certification

The Control Points and Compliance Criteria document consist of 3 types of control points: Major Musts, Minor Musts, and Recommendations. To obtain GLOBALG.A.P. certification, the following are required:
Major Musts: 100 % compliance with all applicable Major Must and QMS control points is compulsory.
Minor Musts: 95 % compliance with all applicable Minor Must control points is compulsory.
Recommendations: No minimum percentage of compliance required.
The producer shall comply with the agreements signed ('GLOBALG.A.P. Sublicense and Certification Agreement' and CB service agreement in their current version) and with the requirements defined in the General Regulations in their current version.

9.2.1 Minor Must Compliance Calculation

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

{ (Total number of Minor Must control points for the respective sub-scopes) - (Not applicable Minor Must control points scored) } x 5 % = (Total Minor Must control point non-compliance allowed)

e.g. (All Farm Base + Crops Base + Fruit and Vegetables: 122 – 52 NA) x 0.05 = 70 x 0.05 = 3.5.
In this example the total number of Minor Must control point non-compliance allowed is 3.5, which shall 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 non-compliant with the certification rule.

NOTE: A score for example of 94.8 % cannot be rounded up to 95 % (the pass percentage)
b) In all cases, the calculation to show compliance (or non-compliance) shall be available after the inspection.

9.2.2 Applicable Control Points

a) The control points to be taken into consideration to calculate the percentage of compliance for Major Musts and Minor Musts depend on the product and certification scope. The applicant shall ensure that each individual site and product complies with the certification requirements. Thus the compliance percentage shall be calculated taking into account all the control points applicable to each site and product.

Example: A producer seeking certification for Fruit and Vegetables needs to comply with 100 % of applicable Major Musts and at least 95 % of the applicable Minor Musts of the All Farm Base (AF), Crops Base (CB), and Fruit and Vegetables (FV) modules combined together.

Example 1: 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 as follows:

- For Combinable Crops: The All Farm Base (AF), Crops Base (CB), and Combinable Crops (CC) modules combined together
- For Dairy: The All Farm Base (AF), Livestock Base (LB), Cattle and Sheep (CS), and Dairy (DY) modules combined together.

Example 2: A producer is seeking certification for green beans and roses. A non-conformance of a Major Must is detected in the Flowers and Ornamentals sub-scope. The roses cannot be certified. The green beans can only be certified if the responsible CB justifies that there is no concern for the integrity of the producer

and production as a whole resulting from the Major Must non-conformance in the Flowers and Ornamentals sub-scope.

Example 3: A producer is seeking 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.

b) In a multisite operation without QMS, the compliance level is calculated for the entire operation in one checklist. Any applicable control point common to all sites needs to be taken into account for all sites.
c) In a multisite operation with QMS, the compliance level is calculated per sampled production site. Each production site shall comply with the certification requirements. Any applicable control point common to all sites (e.g. central chemical storage) needs to be taken into account for all sites.
d) In a producer group, the compliance level is calculated per sampled producer. Each producer member shall comply with the certification requirements. Any applicable control point common to all producers (e.g. central chemical storage) needs to be taken into account for all producers.

9.3 Certification Decision

a) EKOINSPEKT shall make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances. In case no non-conformances are detected during the inspection/audit, it means that EKOINSPEKT shall make the decision no later than 28 days after the end of the inspection/audit.
b) Any complaints or appeals against EKOINSPEKT follow EKOINSPEKT's own complaints and appeals procedure, which each EKOINSPEKT shall have and communicate to its clients. In case EKOINSPEKT does not respond adequately, the complaint can be addressed to the GLOBALG.A.P. Secretariat using the 'GLOBALG.A.P. Incident/Complaint Form', available on the GLOBALG.A.P. website (www.globalgap.org).
c) It is possible to issue a Food Safety Standard (FSS) certificate based on the results of a corresponding IFA Standard version inspection if the producer complies with 100 % of all applicable Major Musts and 95 % of all applicable Minor Musts of the FSS.

9.4 Sanctions

a) If non-conformance is detected, EKOINSPEKT shall apply a sanction (warning, suspension, or cancellation) as indicated in this section.
b) If a clear link has been established between a producer and public health outbreak by a reputable governmental regulatory authority, suspension of the certification shall be imposed, while a review of the producer's certification is performed.
c) Producers cannot change EKOINSPEKT until the non-conformance that led to the respective sanction is satisfactorily closed.
d) Only the EKOINSPEKT 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).
e) In the event that a producer is certified for both IFA and a FSS, sanctions will apply simultaneously to both IFA and FSS if the reason for the sanction is a non-conformity against requirements of the FSS certification.

9.4.1 Warning

a) A warning is issued for all types of non-conformance detected (i.e. non-conformance with CPCC, GR, or contractual requirements).
b) If a non-conformance is detected during the inspection, the producer shall be served a warning when the inspection is finalized. This is a provisional report that could be overridden by EKOINSPEKT certification authority.
c) Initial inspection:

(i) If an individual producer or producer group does not comply with 100 % of Major Must and 95 % Minor Must control points within 28 days after an initial inspection, the status “open non-conformance” is set in the GLOBALG.A.P. Database.
(ii) If the cause of the warning is not resolved within three (3) months, a complete inspection shall be performed before a certificate can be issued.

d) Subsequent inspection:
(i) Non-conformances shall be closed within 28 calendar days.
(ii) In the event of non-conformances with contracts, the General Requirements, or a Major Must, EKOINSPEKT shall decide what period is given to the producer for closing the non-conformance before suspending the certificate. This period shall never exceed 28 days and may be shortened according to the criticality of the non-conformance in terms of safety of workers, environment and consumers. An immediate suspension shall be issued where a serious threat to food safety, the safety of workers, the environment, consumers, and/or product integrity (i.e. sale of non-certified products as certified) is present. This will be communicated via an official warning letter.

9.4.2 Product Suspension

a) If the cause of the warning is not resolved within the defined period (maximum of 28 days), a suspension shall be imposed by the CB or the producer group on its members immediately.
b) EKOINSPEKT can lift product suspensions imposed on producers and producer groups issued by them.
c) Producer groups can lift product suspension on their accepted producer members issued by them.
d) A suspension can be applied to one, several, or all of the products covered by the certificate.
e) A product cannot be partially suspended for an individual producer (single or multisite), i.e. the entire product shall be suspended
f) When the suspension is applied, EKOINSPEKT / producer group shall set the period allowed for correction (not longer than 12 months).
g) During the period of suspension, the producer is 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.
h) If a producer notifies EKOINSPEKT that the non-conformance is resolved before the defined period, the respective sanction can be lifted after evaluation of evidence provided by the producer. This evaluation may take place on- or off-site. If done through an on-site inspection, announced or unannounced, it may be a full inspection or evaluating only the submitted evidence.
i) If the cause of the suspension is not resolved within the defined period, a cancellation is imposed.
j) The suspension remains as long as EKOINSPEKT or producer group does not lift it or impose a cancellation.

9.4.2.1 Self-declared Product Suspension

(i) A producer or producer group may voluntarily ask the respective EKOINSPEKT 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 any non- conformance.
(ii) This suspension will not delay the renewal date, nor will it allow the producer to avoid paying registration and other applicable fees.
(iii) The deadline for closing non-conformance is set by the declaring producer/producer group, which shall be agreed upon with the respective EKOINSPEKT.
(iv) The same applies for members of a producer group who may voluntarily ask the respective group to temporarily suspend their product(s). Here too, the deadline for rectifying non-conformance is set by the declaring producer, which shall be agreed upon with the respective producer group QMS.
(v) In the GLOBALG.A.P. Database the product status “self-declared suspension” shall be set for the respective products.

9.4.3 Cancellation

a) A cancellation of the contract shall be issued where:
(i) EKOINSPEKT 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 before the suspension period set by the CB/producer group has elapsed

b) A cancellation of the contract results 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 that may be linked to GLOBALG.A.P.
c) Producers that have received a cancellation shall not be accepted for GLOBALG.A.P. certification within 12 months of the date of cancellation.

9.5 Notification and Appeals

a) The producer shall either resolve the non-conformances communicated or appeal to EKOINSPEKT 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.

9.6 Sanctioning of Certification Bodies

a) GLOBALG.A.P. reserves the right to sanction EKOINSPEKT based on evidence of not following procedures or clauses of the 'GLOBALG.A:P. License and Certification Agreement' signed between GLOBALG.A.P. and the CB.

9.7 GLOBALG.A.P. Certificate and Certification Cycle

a) The GLOBALG.A.P. certificate can only be issued to the applicant legal entity.
b) The name of the trader could optionally be mentioned on the certificate only with the following disclaimer: ''Can be exclusively traded through XYZ''.
c) A certificate is not transferable from one legal entity to another when production sites change legal entity. In this case, a complete inspection following the rules for subsequent inspections is required. The new legal entity shall receive a new GGN.
d) The certification cycle is 12 months subject to any sanctions and extensions in accordance with the scope described.
e) It is possible to issue a Food Safety Standard V5 certificate based on the results of the IFA Standard V5 inspection.

9.7.1 Certificate Information

a) The paper certificate issued by EKOINSPEKT shall conform to the available templates included in Annex I.3. The format may be different, but it shall 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 shall be clearly defined in the certificate.
d) Date of certification decision: Date when EKOINSPEKT makes the certification decision after all non-conformances are closed (e.g. 8 February 2015).
e) Valid from:
   (i) Initial certification: The initial date of validity is the date on which EKOINSPEKT makes the certification decision (e.g. 8 February 2016).
   (ii) Subsequent certifications: The "valid from" date for subsequent certificates issued shall always revert to the "valid from" date in the original certificate (e.g. 8 February 2016, 8 February 2017, etc.), except when the certification decision is made after the expiration of the previous certificate. In this case the "valid from" date shall coincide with the date of certification decision. (e.g. previous certificate "valid to" date: 7 February 2016; Date of certification decision: 25 February 2016; "Valid from" date 25 February 2016; "Valid to" date: 7 February 2017).
   (iii) If a new product is added during the validity of a certificate, the certification cycle (valid from-valid to) is kept as it was. If the CB wants to indicate that the newly added products are certified and added later

than the original ''valid from'', there is a possibility to add the individual "valid from" of each product on the paper certificate. This is voluntary and additional information, e.g.: The certificate is valid from 1 January 2016 including oranges. Tomato added on 1 March 2016. The original "valid from 1 January 2016" remains. Tomatoes may be marked with ''valid from 1 March 2016'' on the paper certificate.

f) Valid to:

(i) Initial certification: Date valid from plus 1 year minus 1 day. EKOINSPEKT may shorten the certification cycle and the validity but cannot prolong it.

(ii) Subsequent certifications: The validity date for subsequent certificates issued shall always revert to the "valid to" date on the original certificate (e.g. 7 February 2016, 7 February 2017, etc.).

g) If a producer is certified for different products by different CBs, certificates may have different certification cycles (valid from – valid to).

h) In the event that a producer has obtained a combined certification from the IFA Standard V5 and FSS V5, the "valid to" dates of the certificates shall correspond.

9.7.2 Extension of Certificate Validity

a) The validity may be extended beyond the 12 months (for a maximum period of 4 months) only if there is a valid reason, which has to be recorded. Here are the only reasons that are considered to be valid:
   (i) EKOINSPEKT wants to schedule the on-site inspection/audit after the certificate has expired in order to observe a certain part of the production process, because it has not been seen in the previous inspection/audit, because it is considered to be a high-risk process in terms of product safety or to be able to see a newly added product, process or a new or particular member of a producer group.
   (ii) EKOINSPEKT needs to be able to extend some certificates because of resource restraints.
   (iii) EKOINSPEKT was not able to conduct the on-site inspection/audit and/or the producer was not able to receive the CB inspection audit due to circumstances beyond its control (force majeure) e.g. natural disaster, political instability in the region, epidemic, or unavailability of the producer due to medical reasons.

b) Upon the producer's request, the CB (which issued the extended certificate) re-accepts the product in the GLOBALG.A.P. Database for a full next cycle within the original validity period of the certificate.

c) The full registration fee shall be paid for the next cycle.

d) The producer shall be re-inspected during that extension period.

e) The producer cannot change the CB in the cycle subsequent to the one for which the extension was granted.

f) 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 new certification cycle should start. The old cycle can be reinstated by setting the same "valid to" date as before. The cycle remains the same if the certificate was extended. However, the CB shall apply the rules for initial (first) inspection if the certificate expired for more than 12 months.

9.7.3 Maintenance of GLOBALG.A.P. Certification

a) The registration of the producer and the proposed products for the relevant scopes shall be confirmed with EKOINSPEKT annually before the expiry date, following all conditions already explained in sections 7.2 and 7.3.

b) The inspector shall complete the entire checklist and the verification process annually.

10. FARM ASSURERS

a) The producers/producer groups may use the services of consultants during implementation and maintenance of certification. These consultants may be GLOBALG.A.P. licensed Farm Assurers. The list of the individual trained consultants included in this network is available here: http://www.farmassurer.org/.

b) Farm Assurers have first-hand knowledge about the GLOBALG.A.P. system and the latest developments.

ANNEX 1

CB Logo[1]

AB symbol accreditation mark[2]
No. of certification body: xxx[3]

GGN: xxxxxxxxxxxxxxxxxx[4]
Registration number of producer/producer group (from CB)/ benchmarked scheme xxxxxxxx[5]

Announced[6] ☐
Unannounced[6] ☐

GLOBALG.A.P.[7]

CERTIFICATE

According to GLOBALG.A.P. General Regulations Version[8]

Option X[9]

Issued to

producer group/producer company name, address [10]

Country of production [11]

The annex contains details of the producers and production sites/product handling units included in the scope of this certificate.[12]

The certification body [company name] declares that the production of the products mentioned on this certificate has been found to be compliant in accordance with the standard:

Scheme logo (AMC)[13] Standard Control Points and Compliance Criteria Version[14]

The [standard name] normative documents have achieved status of equivalence to GLOBALG.A.P.® normative documents [name and version] in accordance with the GLOBALG.A.P.® benchmarking procedure.[15]

Product[16]	GLOBALG.A.P. product certificate number[17]	Further columns scope, sub-scope or product specific (description see below)[18]	Number of producers/ production sites[19]	Parallel production[20]	Parallel ownership[20]

Date of issue (printing date of certificate): xx/xx/xxxx[21]

Valid from: xx/xx/xxxx[22]

Valid to: xx/xx/xxxx[23]

Authorized by[24]

Date of certification decision: xx/xx/xxxx[25]

The current status of this certificate is always displayed at: http://www.globalgap.org/search[26]

CB contact data[27]
Company name, address (incl. Email)

PREPARED BY	APPROVED BY

ANNEX for GGN xxxxxxxxxxxxxx[29]

Date of issue: xx/xx/xxxx[31]

Producer Group Members (Option 2 or 4)[30]

GGN or GLN[31]	Producer name and address[32]	Product(s)[33]	Product handling[34]	Parallel production[35]	Parallel ownership[35]

Production Sites (Option 1 and 3)[36]

Site name and address[37]	Product(s)[33]	Parallel production[35]

Product Handling Units (PHUs)[38]

GGN or GLN[39]	PHU name and address[40]	Product(s)[33]	Parallel ownership[35]

Notes

The certificate *shall be in English*. A second language may be added in the certificate.

[1] The certification body (CB) logo shall always appear on all certificates.

[2] The accreditation body (AB) symbol/accreditation mark is placed on all accredited certificates in compliance with AB's rules.

Exception: If the CB is approved, but not yet accredited, the following text shall appear instead of the AB symbol: “Certificate issued by a GLOBALG.A.P. approved certification body [company name], but not accredited pursuant to the GLOBALG.A.P. scope according to ISO 17065 rules’’ *or* only ‘’non- accredited certificate”. The AB logo can only be used if the scope of the accreditation of the CB corresponds to the certified GLOBALG.A.P. sub-scope.

[3] The number given by the accreditation body to the certification body shall be on all accredited certificates.

[4] The GLOBALG.A.P. Number (GGN) shall appear on all certificates. In case a certificate holder owns a Global Location Number (GLN), this number shall replace the GGN. The “GLN’’ may be used instead of the “GGN”.

[5] Optional: The registration number of a producer or producer group, which is assigned by the CB or from the benchmarked scheme *may* appear on all certificates. It consists of the term “CB-Short” and a number (with exactly one space character in between, CB-Short xxxxxxxxxxx).

[6] Announced or Unannounced audit. Check the correct box to indicate if the inspection/audit was conducted announced or unannounced.

[7] The logo of the scheme

On accredited GLOBALG.A.P. certificates: The GLOBALG.A.P. logo shall be added.

Approved Modified Checklist (AMC): The GLOBALG.A.P. logo shall be added in addition to the AMC logo (see note 12).

Equivalent schemes: The GLOBALG.A.P. logo may be added in addition to a benchmarked scheme’s logo.

Note: Not-accredited provisionally approved CBs are not allowed to add the GLOBALG.A.P. logo.

[8] Certification scheme and version

For GLOBALG.A.P. certificates: Please enter e.g. “GLOBALG.A.P. General Regulations Version 5.x_date”. Always indicate the exact Version (e.g.: 5.0_July2015)

For the Approved Modified Checklist (AMC): Enter e.g. “GLOBALG.A.P. General Regulations Version 5.x_date”, for example. Please indicate the exact Version (e.g.: 5.0_July2015).

For equivalent schemes (Option 3 and 4): Enter the exact certification scheme version, e.g. certification scheme MPS-GAP effective from 1 April 2013.

[9] Options shall always appear on the certificate as follows: ‘’Option 1 - individual producer’’

‘’Option 1 - individual multisite producer’’

‘’Option 1 - individual multisite producer with QMS’’ ‘’Option 2 - producer group’’

‘’Option 3 - individual producer under equivalent scheme’’ ‘’Option 4 - producer group under equivalent scheme’’

[10] Name of the certificate holder (legal entity) and the address shall be printed on the paper certificate. The address includes that of the legal entity and of the production site. If these are different, and there is only one site, the site address can be included on the certificate or in the annex. In case of multisite producers, the addresses of the registered production sites shall be listed in the certificate annex.

[11] The country of production shall appear on all certificates.

[12] Applicable only if any of the following is true:

a) The certificate holder is a producer group (Option 2 or 4). All producer group members shall be listed in the annex.

b) Product handling* or packing is included in the scope of the certificate. If the address is different, all product packing and handling unit(s) shall be listed in the annex.

c) The certificate refers to a multisite (Option 1 or 3) certificate. All sites of the multisite operation shall be listed in the annex (see [35]).

d) The certificate holder with multisites has registered for parallel production/ownership. All production sites and PHUs (packing and handling) with *certified* products shall be listed in the annex.

* Product handling definition:

Product handling: Any handling of products done post-harvest, where the product may have physical contact with other materials or substances. For the Fruit and Vegetables sub-scope it includes storage, chemical treatment, trimming, washing, etc., but it excludes product processing. For the Aquaculture sub-scope it includes processing as described in the relevant CPCC (keeping with ice, stunning, bleeding, degutting, filleting, re-packing, freezing, cooking, etc.).

[13] In case of AMC or equivalent scheme certificates: The logo of the scheme *may* appear.

[14] Standard Control Points and Compliance Criteria (CPCC) version, (e.g. “GLOBALG.A.P. Control Points and Compliance Criteria Integrated Farm Assurance Version 5.0_July 2015” or “Reglamento General Naturane v 3.0_ 29.01.2013”). Indicate only the version of the All Farm Base module.

Indicate the version of the approved National Interpretation Guideline if published for the ‘country of production’. E.g.: “GLOBALG.A.P. Control Points and Compliance Criteria (CPCC) Version 5.0_July2015 - Interpretation Guideline Chile (edition date)”.

[15] Only applicable for equivalent schemes and AMCs.

[16] Certified product(s) shall always be listed according to the ‘GLOBALG.A.P. Product List’. More detailed information *may* be included in brackets, e.g. stage of seedlings (species specific information: ova, smolt, fry, fingerling, larvae, alevin, spat, nauplii and post larvae, others) or in case of parallel production, variety (banana - cavendish). For the sub-scope of Flowers and Ornamentals, the certified species shall always be included in this column, e.g. indoor grown flowers – roses.

[17] The GLOBALG.A.P. product certificate number shall be printed on the paper certificate. It is a reference code for the certificate in the GLOBALG.A.P. Database per product and certificate cycle. The GLOBALG.A.P. product certificate number is generated automatically in the system and consists of 5 digits, 5 letters, and a suffix (#####-ABCDE-####). All changes to the certificate in a given certificate cycle are reflected in the suffix.

[18] The columns and corresponding attributes linked to the products in the table are scope, sub-scope, or product specific.

Product	GLOBALG.A.P. product certificate number	Harvest included	Product handling included	Number of producers/production sites	Parallel production	Parallel ownership

Harvest included: If produce handling is included, this data field (column) can be omitted. Note: If harvest is excluded, product handling is not applicable for the given product.

Product handling: Enter "no" in case no product handling is included. If product handling is included, indicate whether it takes place in-field ("in-field") or in a facility ("facility") or both ("in-field + facility").

Quantity (voluntary): Area (in ha) *may* be included per product. In case quantity (in ha) is displayed, "non-covered" and "covered" shall be segregated.

In case PPM products (e.g. seeds, seedlings) are included in the certification scope, the following disclaimer shall be added to the first page of the paper certificate:

"Products certified under PPM sub-scope are not intended for human consumption or for feed."

[19] In the case of producer groups (Option 2 and 4), enter the number of approved producers, which are listed in the annex. In case of multisite producers (Options 1 and 3), enter the number of registered production sites, which are listed in the annex.

[20] Applicable in case of parallel production/ownership of non-certified *and* certified products (enter "Yes"/"No"). All PHUs and sites handling or producing certified products shall be listed in the annex.

[21] Date of issue is the printing date of the paper certificate. It shall be added to the first page of the certificate and to the annex to connect each other. This date may instead be included in the footer of each page of the certificate and annex.

[22] The certificate "valid from" date defines the beginning of a certification cycle.

If a new product is added during the validity period of a certificate, the certification cycle (valid from – valid to) will be kept as it was. If the CB wants to indicate that the newly added products are certified and were added later than the original ''valid from'', there is a possibility to add the individual "valid from'' of each product on the paper certificate. This is voluntary and additional information, e.g. the certificate is valid from 1 October 2015 including oranges. Tomato added on 1 March 2016. The original "valid from 1 October 2015" remains. Tomatoes may be marked with ''valid from 1 March 2016'' on the paper certificate.

[23] The certificate "valid to" date is the expiry date of the certificate.

[24] The first and the last name of the person who has authorized the certificate, written in block letters. This person shall sign the certificate.

[25] "Date of Certification Decision" shall appear on all certificates. It is the date when the Certification Committee makes the certification decision.

[26] This note shall be added to all paper certificates to point out that only a validation in the GLOBALG.A.P. Database proves the current status of the certificate.

Additionally, the CB may add the QR code including a link to the GGN validation site. The following may be converted into QR code:

Link to the mobile website: http://database.globalgap.org/search/YourGGNnumber

Link to the GLOBALG.A.P. website:
https://database.globalgap.org/globalgap/login.jsp?loginMode=1&searchQuery=xxxGGNnumberxxx

Please replace the 40xxxxxxxx with the producer/producer group's GGN at the end of the link.

[27] CB contact data (company name, address, email) shall appear on all certificates.

[28] Page numbering shall be included (Page x of y) to show total number of pages.

[29] The annex (incl. the GGN of the certificate holder) shall be added, if applicable.

[30] In case of Option 2 or 4, all approved members of the producer group shall be listed in a table per product.

[31] All approved members of the producer groups (Option 2 and 4) are different legal entities and receive a GGN, which shall appear in the table. They may have an own GLN instead of the GGN.

[32] Name and address of the approved producer group members shall be printed on the certificate.

[33] Products approved per producer member, production site, or PHU.

[34] Indicate the product for which the producer member carries out product handling ("Yes") and does not carry out product handling ("No").

[35] In case of parallel production or parallel ownership of non-certified *and* certified products, this shall be indicated per product in all 3 tables (i.e. per approved member for Options 2 and 4, sites for Options 1 and 3, and per product handling unit). Enter "Yes"/"No".

In case no parallel production or parallel ownership has been registered for any product, these columns may be omitted.

[36] In case of multisite Option 1 or 3, all registered sites shall be listed.

[37] Name and address of the production sites shall be listed.

[38] In case of product handling, all registered PHUs shall be listed.

[39] In case the PHU has an own GGN/GLN, it shall be listed.

[40] Name and address of the PHUs shall be listed, unless the address is the same as that of the production site.