AUDIT INFORMATION & EXPECTATION

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1. GENERAL

The present document concerns the following:

- The Integrated Farm Assurance Standard (IFA)
- GLOBALG.A.P. IFA CROPS CERTIFICATION: versions 6.0 & 5.4.1-GFS, and

In Annexes A, B and C the specific requirements for the Add-ons AH-DLL Grow, SPRING and BioDiversity respectively, are given.

1.1 Certification Options

Option I {Individual Certification}: the individual producer is the certificate holder once certified.

Option I {Multisite without implementation of a QMS}: individual producer or one organization owns several production sites that do not function as separate legal entities.

Option I {Multisite with Implementation of a QMS}: individual producer or one organization owns several production sites that do not function as separate entities, but where a QMS has been implemented.

Option II {Producers group with obligatory QMS}: a producer group applies for group certification. The group as a legal entity, is the certificate holder once certified.

1.2 Registration Process

The applicant:

- Will fill in and submit to Q-CERT the relevant application form which is also available in Q-CERT's website.
- Based on the application Q-CERT will issue and send to applicant the offer (F-2197) which the applicant must accept and submit it to Q-CERT.
- Will sign and submit to Q-CERT the relevant contract (F-2002 Certification Contract QMSCERT).
- Will sign the latest version of the GLOBALG.A.P.'s Sublicense and Certification Agreement (available in GLOABALG.A.P.'s and QMSCERT's website) with Q-CERT.
- Acceptance of Data Access Rules. Data access rights shall be defined and signed by the producer / producer group during registration. Signing provides written permission to Q-CERT and GLOBALG.A.P. to use the application data for internal processes and sanction procedures. No information will be provided to third parties without previously acquire the applicant's concession.

The information will be used by GLOBALG.A.P. in order to provide the applicant with the unique GGN number which is to be used as the only identity mark in all GLOBALG.A.P.'s activities.

By registering, the applicant commits to comply with the certification requirements at all times, the communication of data updates to Q-CERT and the payment of the applicable fees established by GLOBALG.A.P. and by Q-CERT.

The service contract between Q-CERT and the producer / organization may be valid up to four (4) years with subsequent renewal for periods up to four (4) years.

Q-CERT shall confirm the application prior setting in motion the certification process.

1.3 The Applicant

May not register the same product more than once either with different CBs or under different certification options.

May register different products with different CBs and/or different certification options.

May not register production sites or group members in different countries with any CB. Exceptions to this may apply. (for more refer to GLOBALG.A.P. document 220929_GG_GR_Rules_for_IP_v6_0_Sep22_en)

During registration, the producer may indicate a maximum of 15 days where they are unavailable for an unannounced audit by Q-CERT.

1.4 Certification Scope

The scope of certification:

- Does not cover crops harvested in the wild
- Is applicable only for controlled production processes of primary products
- Is applicable only for products included in the GLOBALG.A.P. product list, and
- Is applicable only for products that are produced by producers themselves

The IFA Principles and Criteria (P&C's) is separated into different modules each covering different areas or levels of activity in a production site:

- *Scope modules:* covering more generic production issues
    - All Farm Base (AF) covering issues relevant to all farming businesses
    - Crop Base (CB) covering issues relevant to all crop specific businesses
- *Sub-scope modules*: covering more specific production details, classified per product type.

1.5 GLOBAL G.A.P. Certificate and Certification Cycle

The GLOBALG.A.P. Certificate can only be issued to the applicant legal entity.

A GLOBALG.A.P. 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 then receive a new GGN.

The Certification Cycle is 12 months subject to any sanctions and extensions in accordance with the scope described.

1.6 Maintenance of GLOBAL G.A.P. Certification

The producer's registration as well as the proposed products for the relevant scopes must be annually confirmed by Q-CERT before the expiry date.

The inspector must complete the entire checklist and verification process annually.

1.7 Subsequent Inspections

Q-CERT shall completely assess and verify all applicable control points for each production process relevant to registered (certified) products annually and prior to issuing the certificate. This also applies in case of the producer changing CBs.

The subsequent inspection can be carried out at any point during a time frame of 8 months: from 4 months before the original expiry date of the certificate up to 4 months after the original expiry date of the certificate. The later instance is only applicable if Q-CERT has already extended the certificate validity in the GLOBALG.A.P. Database.

Example: If 1st certification date is 14th February 2022 (expiry date 13th February 2023) then the second inspection can be carried out at any point from 14th October 2022 up to 13th June 2023 if the certificate validity has been extended.

There must be a minimum period of at least 6 months between 2 recertification inspections.

In case of Option II and Option I Multisite with QMS, the complete QMS audit (including audit of the central PHUs and the sample of members/sites) shall be concluded in a maximum of one month.

GLOBAL G.A.P. reserves the right to conduct unannounced inspections/audits to already certified producers as part of the Scheme's Integrity Program.

1.8 Audit Content

For all options described in 1.1 above, audit content is organized in a three-year cycle:

- ***First audit by Q-CERT***: all requirements included in the applicable checklists are checked.
- ***Subsequent audits by Q-CERT (years 2 & 3)***: operational items as identified in the applicable checklists are checked.
- ***Recertification audit***: all requirements included in the applicable checklists are checked, same as first audit by Q-CERT.

1.9 Certification Process

- There are 3 categories of control points that must be assessed both during the producer's internal inspection and Q-CERT's external inspection. These are the following:

- ✓ ***Major Musts:*** 100% compliance with all applicable Major Must and QMS control points is required for the issue and maintenance of the certificate.
- ✓ ***Minor Musts:*** 95% compliance with all applicable Minor Must control points is required for the issue and maintenance of the certificate.
- ✓ ***Recommendations:*** No minimum percentage of compliance is required.

- During the assessment/inspection by Q-CERT possible findings recorded are categorized as follows:
  - ✓ ***Non-Compliance (relevant to a control point):*** A Minor Must or recommendation in the GLOBALG.A.P. checklist is not fulfilled according to the Compliance Criteria.
  - ✓ ***Non-Conformance (relevant to the GLOBALG.A.P. Certification Rules):*** Breach of any GLOBALG.A.P. Certification Rule compulsory for the issue of a certificate (refer above to the compliance percentages mentioned).
  - ✓ ***Contractual Non-Conformance:*** Breach of any of the agreements signed in the contract between the producer and Q-CERT relevant to GLOBALG.A.P. Certification issues (example cases: trading with a product that does not comply with legal requirements, false communication by the producer regarding GLOBALG.A.P. Certification, misuse of the GLOBALG.A.P. trademark or payments not made according to contractual conditions etc.)

- Warnings are issued for all types of non-conformance detected:
  - ✓ ***Initial Inspection:*** If an individual producer or producer group does not comply with 100% of Major Must and 95% of Minor Must control points within 28 days after an initial inspection, then the status "Open non-conformance" is set in the GLOBALG.A.P. Database. If the cause of the warning is not resolved within 3 months, a complete inspection must be carried out before a certificate can be issued.
  - ✓ ***Subsequent Inspection:*** Non-conformances must be closed within 28 calendar days. Regarding non-conformances in contracts, General Requirements or Major Musts, Q-CERT must decide the time frame given to the producer for closing the non-conformance before suspending the certificate. This time frame must never exceed 28 days and can be shortened according to the criticality of the non-conformance regarding the safety of workers, environment and consumers. An immediate suspension must be issued where a serious threat to food safety, the safety of workers, the environment, consumers and/or product integrity is present.

- In the case of information being transmitted to the GLOBALG.A.P. Secretariat about deviations in a GLOBALG.A.P. certificate holder's products (e.g. MRL exceedance, microbial contamination, etc.) which could have a potential impact on the certificate's status (if the certificate should be in effect or should be

suspended) it is the responsibility of the certificate holder and Q-CERT to refute the claim by verifying and providing evidence of compliance with the GLOBALG.A.P. Standards.

- ✓ Q-Cert is obligated to report the findings and actions taken to the GLOBALG.A.P. Secretariat within the defined time frame provided.
- ✓ If the certificate holder and Q-Cert 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.
- ✓ In case the evidence provided includes laboratory analyses, these must come from accredited laboratories (ISO 17025) and independent sampling.

1.10 Parallel Ownership (PO)

Parallel Ownership (PO): is a situation where individual producers, producer members or producer groups own the same product partly as GLOBALG.A.P. certified and partly as non-certified. This can occur if they produce or buy noncertified products of the same products they produce and have registered for certification. If not all members of a producer group producing a product that is registered for certification are included in the scope of the certificate, PO also applies.

Any applicant and/or certificate holder who owns GLOBALG.A.P. Certified and non-GLOBALG.A.P. certified products (of the same product) at any given time, needs to declare ~~Parallel Production (PP) or~~ Parallel Ownership (PO) in this registration accordingly.

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

Certified and noncertified products can be handled within the same PHU.

Production of certified and noncertified products in the same production site is not allowed with the exception of discernible visual distinctions between the GLOBALG.A.P. Certified and the non-GLOBALG.A.P. certified product (i.e. tomatoes of cherry variety in comparison with tomatoes of roma variety).

PO is an attribute to be included in the GLOBALG.A.P. certificate (in annex as list), and shall be declared per producer group member, production site, and/or PHU and per product.

1.11 Registration with a new CB

If an already registered producer 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 so will result in a surcharge of the registration fee of 200€ to an Option 1 producer and 700€ to an Option 2 producer group.

Certificate holders who are sanctioned cannot change to a new CB until the previous CB closes the corresponding non-conformances. If, however the certificate has already expired, as an exception the previous CB

can lift the non-conformance without having received evidence of corrective actions but shall ensure that the new CB is fully aware of the cause of the non-conformance.

Individual producer members of a producer group are not allowed to leave the group and register with another group (for the products already registered) if there is any pending sanction on the producer issued by the producer group (or there are any issues relevant to the producer raised by the CB that have not yet been closed).

During the process of CB change:

- The previous CB may shorten the validity of the issued certificate to facilitate the transfer, but this must be done in agreement with the producer and in coordination with the new CB in order to avoid gaps in certification.
- If the signing of the GLOBALG.A.P. sublicense and certification agreement and the CB audit date are after the previous CB's certificate expiry date, there will be a period when the producer does not have a valid certificate.
    - If, however, the signing of the GLOBALG.A.P. sublicense and certification agreement and perhaps also the CB audit date are before the previous CB's certificate expiry date, the certification decision can only take effect as soon as the previous certificate expires.
- The producer may sign a GLOBALG.A.P. sublicense and certification agreement with the new CB while under contract with the previous CB. The GLOBALG.A.P. sublicense and certification agreement is binding for the new CB only once the previous CB has released the producer's unique GLOBALG.A.P. identification number in the GLOBALG.A.P. IT systems.
- If, during the validity of the certificate issued by the previous CB, the new CB detects non-conformances that are not closed after 28 days, the new CB shall inform the previous CB about the non-conformances detected so that it can take appropriate follow-up actions.
- The registration of products in the GLOBALG.A.P. IT systems may not be finalized before the new CB audit, and the certification decision may not be taken within 28 days of the new CB audit/closure of non-conformances.

1.12 Assessment Process

In order to achieve certification and depending on the Certification Option, the following must have taken place:

- Option I and Option I Multisite without QMS:

INITIAL AND SUBSEQUENT EVALUATIONS	
Self-assessments by the producer	Entire scope (all registered products, sites and PHUs)
Externally by Q-Cert	Announced inspection of entire scope (all registered products, sites and PHUs) After initial certification: entire scope (all registered products, sites and PHUs), annually – announced but 10% chance of being unannounced

- Option II and Option I Multisite with QMS:

<table>
<tr><th colspan="3">INITIAL EVALUATIONS</th></tr>
<tr><th colspan="3">A. Internally by the producer group and Option I Multisite operation with QMS</th></tr>
<tr><td colspan="3">1. Internal QMS audit
2. Internal inspection of each registered producer/production site and all product handling units</td></tr>
<tr><th colspan="3">B. Externally by Q-CERT</th></tr>
<tr><th>Non GFS Audit</th><th>GFS Audit WITHOUT High-Risk Products</th><th>GFS Audit WITH High-Risk Products</th></tr>
<tr><td>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.</td><td>First visit
1. Announced QMS audit + Square root of the total number of registered central product handling units while in operation.
2. Unannounced inspection of (minimum) square root of registered producer/production sites.
Second visit (surveillance)
3. Surveillance uanannounced inspection of (minimum) 50% square root of certified producers/production sites.</td><td>1. QMS audit + total number of registered central product handling units while in operation.
2. At least 20% Unannounced inspection of all registered producer members/production sites.

Visits may be split into 1st and 2nd visits annually, but no sampling of the producer members/sites may take place and at least 20% of the inspections on an annual basis needs to be unannounced.</td></tr>
<tr><td colspan="3">Annually, minimum 10% of certificate holders with QMS shall be audited unannounced</td></tr>
</table>

<table>
<tr><th colspan="3">SUBSEQUENT EVALUATIONS</th></tr>
<tr><th colspan="3">A. Internally by the producer group and Option I Multisite operation with QMS</th></tr>
<tr><td colspan="3">1. Internal QMS audit
2. Internal inspection of each registered producer/production site and all product handling units</td></tr>
<tr><th colspan="3">B. Externally by Q-CERT</th></tr>
<tr><th>Non GFS Audit</th><th>GFS Audit WITHOUT High-Risk Products</th><th>GFS Audit WITH High-Risk Products</th></tr>
<tr>
<td>First visit
1. QMS audit and central PHUs but 10% chance of being unannounced
2.a) If there is sanction from previous surveillance: Inspection of (minimum) square root of actual number of registered producers/production sites;
or
2.b) If there is 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.</td>
<td>First visit
1. QMS audit
2.a) If there is sanction from previous surveillance: Unannounced inspection of (minimum) square root of actual number of registered producers/production sites;
or
2.b) If there is no sanction from previous surveillance: Unannounced 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 unannounced inspection of (minimum) 50% square root of the actual number of certified producers/production sites.</td>
<td>1. QMS audit + total number of registered central product handling units while in operation.
2. At least 20% Unannounced inspection of all registered producer members/production sites.

Visits may be split into 1st and 2nd visits annually, but no sampling of the producer members/sites may take place and at least 20% of the inspections on an annual basis needs to be unannounced.</td>
</tr>
</table>

Produce Handling Units – Initial and Subsequent Evaluations Externally by Q-CERT
• 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. • Sampling is not applicable for PHU handling high-risk products.

1.13 Certification Decision – Certificate issuance

Q-CERT must 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 Q-CERT must make the decision no later than 28 days after the end of the inspection/audit.

After a positive certification decision, Q-CERT shall issue a certificate in the GLOBALG.A.P. IT systems, based on the information at that time available in those systems for that unique GGN. List of all the producers, production sites and PHUs to which the certificate relates, is issued as an annex linked to the certificate. Q-CERT cannot issue its own certificate (in paper or other form), only communications related to the producer's status where it is clearly stated that they are not certificates.

2. APPLICANT RESPONSIBILITIES

In order for the initial inspection to be carried out, the applicant must have records from the registration date onwards or for at least 3 months before the initial inspection date (whichever is longer).

In case of cancellation of a producer's contract, said producer will not be accepted for GLOBALG.A.P. Certification for the next 12 months from the cancellation date.

In case of a producer not committing to continue his certification for the next cycle, Q-CERT will take the necessary steps to avoid cases of a certificate being used to cover more than one harvest and cultivation cycle for the same annual crop to be harvested, by reducing the period of validity of the certificate. Q-CERT will set the deadline for recertification according to the harvest period of the crop.

For Crops Base:

- If a producer does not perform product handling on his own farm, but at the facility of another producer who does have GLOBALG.A.P. Certification (including product handling), Q-CERT may accept another CB's certificate or may decide to perform our own inspection of the Product Handling Unit.
- Crops grown solely for medicinal or aromatic purposes cannot be certified.

- Products certified under the Plant Propagation Material subs-scope are not intended for human consumption or for animal feed.
- When more than one Herb product is grown, residue testing does not have to be performed on each individual product (Herb), but according to the risk of the group of Herbs. Also, the use of Plant Protection Products on Herbs is applicable to Herbs as a group and not for each individual product (Herb).
- It is not possible to certify the respective sub-scope without also verifying compliance with the applicable scope. The compliance criteria of the scope shall be interpreted according to the inspected sub-scope. For example, if a producer is applying for certification for Hop cones for brewing, he should be certified after compliance with the All Farm Base, Crops Base and Hops modules. However, when hop shoots (as vegetable) are included in the scope of certification, together with hop cones for brewing, the producer shall comply with the All Farm Base, Crops Base, Hops and Fruit and Vegetables modules. If the producer is only applying for certification of hop shoots (no brewing, only as vegetable), the producer shall comply with the All Farm Base, Crops Base, and Fruit and Vegetables modules.
- When a producer applies for harvest exclusion from the certification scope, this must be per product during registration with detailed justification.
- If the producer does not know the buyer at the time of registration with GLOBALG.A.P., the following shall be provided:
    - ✓ A declaration from the producer to inform the buyer (new owner who is the harvester AND post-harvest handler) about the Pre-Harvest Interval (PHI).
    - ✓ A contract with the buyer as soon as the buyer has been identified. With the aforementioned contract the buyer commits to taking ownership of the crop before harvest, assuming responsibility for ensuring that the crop is harvested after the end of the Pre-harvest interval, handling of the production both during and after harvest and to purchasing the whole of the harvested produce.

3. Q-CERT RESPONSIBILITIES

Q-CERT must send the audit plan to the management of the applicant prior to the audit.

Q-CERT must inform the producer in advance of the intended visit. In case of an unannounced inspection this notification will not exceed 2 working days BUT notification is not permitted if the audit is to be done under GFS version of the standard. In the exceptional case where it is impossible for the producer to accept the proposed date (due to medical or other justifiable reasons, there shall be objective evidence available), 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. The suspension will be lifted when the unannounced audit has been conducted.

Q-CERT shall make sure that in the sampling for unannounced visits, those producers that did not receive a first inspection or the subsequent inspection during harvest have a greater chance of getting an unannounced inspection during the next harvest (this will be conveyed to the producer when discussing inspection timing).

In case of a justified refusal of an unannounced inspection, the certificate holder must receive a written notification by Q-CERT.

In case of a non-conformance being observed during the inspection, a warning must be given to the producer that must be closed within 28 calendar days. In case of the cause of the aforementioned warning not being resolved within 28 calendar days the warning's status is set as "open non-conformance" in the GLOBALG.A.P. Database and an official letter of formal notice is sent to the producer.

The producer must be informed in detail of his financial obligations and on the occasion that a further visit to his premises is required to demonstrate the resolution of a non-conformance, there may be a new charge.

In case of Q-CERT wishing to expire its' Accreditation or in case of Q-CERT losing its' GLOBALG.A.P. approval, a written letter of notice must be sent to all Q-CERT clients informing them of how they can be re-certified or be transferred to another CB. Q-CERT must also notify the Accreditation Body.

Q-CERT is responsible:

- For informing its' clients about any document updates (version number, date of modification, and document code) that are communicated to our CB by GLOBALG.A.P.
- For informing its' GLOBALG.A.P. clients about all relevant updates as well as dates of first application and grace periods for every new version of GLOBALG.A.P. normative documents.
- For informing the producer about the procedures in application concerning complaints and appeals. In case Q-CERT 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.
- For informing and explaining to the producer/producer group the Data Access Rules document that is available on the GLOBALG.A.P. website as well as any of its' updates as they happen.
- For uploading the audit report and complete checklist to the scheme database when required by GLOBAL G.A.P.
- For the translation of the audit report if requested by the producer / producer group.

Q-CERT must send the producer the final audit report and complete checklist:

- Within 5 working days of receiving the relevant request from the producer.

- ✓ If at the time of request the audit report and/or checklist have not been finalized, then these will be sent to the producer/producer group within 28 days.
- ✓ When there is an automatically generated report (including the checklist) from the GLOBAL G.A.P. system, it will be sent to the producer.

Or

- The latest by the time of the certification decision where the country of destination (as registered in the GLOBALG.A.P. IT systems) includes the USA and/or Canada.

Data access rights must be defined and signed by the producer/producer group during registration with the Q-CERT. The data owner is responsible for granting and determining the level of rights for data access. The data owner, however, can transfer the responsibility to other users (eg. Q-CERT).

Only authorized members of the system have access to the data eg. The producer, Q-CERT, GLOBALG.A.P., market participants, the public, etc.

Any further access to the producer's personal data is illegal and is prevented by the operator of the database in accordance with the German Federal Data Protection Act.

4. SANCTIONS

Certificate holders that are sanctioned cannot be transferred to a new CB until the current CB has resolved all applicable non-conformances.

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.

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 Q-CERT.

In case a non-conformance is observed Q-CERT must apply a sanction (warning, suspension or cancellation of the certificate).

The producer cannot transfer to a new CB until the specific non-conformance has been adequately closed.

The right to lift the sanction is ONLY limited to Q-CERT or the producer group which issued the sanction, as long as there is sufficient and valid proof of the corrective action within a reasonable time frame (either through a subsequent inspection or some other written or visual proof).

5. PRODUCT SUSPENSION

If the cause of the warning is not resolved within the defined period of 28 days, a suspension must be imposed by Q-CERT or the producer group on its members immediately.

When the product suspension is applied, Q-CERT/producer group must set the period allowed for correction (not longer than 12 months).

If a producer notifies Q-CERT that the non-conformance is resolved before the end of 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.

If the cause of the suspension is not resolved within the defined period, a cancellation is imposed.

The suspension remains as long as Q-CERT or producer group does not lift it or impose a cancellation.

6. SELF-DECLARED PRODUCT SUSPENSION

A producer or producer group may voluntarily ask Q-CERT for a suspension of one, several or all of the products covered by the certificate (unless Q-CERT 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.

This suspension will not delay the renewal date, nor will it allow the producer to avoid paying registration and other applicable fees.

The deadline for closing non-conformance is set by the declaring producer/producer group, which must be agreed upon with Q-CERT.

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.

7. NOTIFICATION AND APPEALS

The producer must either resolve the non-conformances communicated or appeal to Q-CERT in writing against the non-conformances, explaining the reasons for the appeal.

If the non-conformances are not resolved within the permitted period, the sanction will be escalated.

8. EXTENSION OF CERTIFICATE VALIDITY

The validity of the certificate may be extended beyond the 12 months upon written confirmation from the producer to Q-CERT, for a maximum of 4 months, and the reason has to be recorded.

In case of the GFS version of the Scheme, only the following reasons are accepted for validity extension:

- Q-CERT wants to schedule the on-site inspection/audit after the certificate has expired in order to observe a certain part of the production process, either because this particular process had not been seen in the previous inspection/audit as it was 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.
- Q-CERT needs to be able to extend some certificates because of resource restraints.
- Q-CERT was not able to conduct the on-site inspection/audit and/or the producer was not able to receive Q-CERT's 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.

Upon the producer's request, Q-CERT (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.

The producer:

- Must pay the full registration fee for the next cycle.
- Must be re-inspected by Q-CERT during that extension period.
- Cannot change the CB in the cycle subsequent to the one for which the extension was granted.
    - Exception to this is granted only if the previous CB explicitly asks for termination of the extension and authorizes the GLOBALG.A.P. Secretariat to transfer the unique GLOBALG.A.P. identification number to the new CB. The GLOBALG.A.P. Secretariat will process only those transfer requests coming from the previous CB that extended the certificate validity. It is entirely the decision of the previous CB to release a client under a valid contract.
    - If transfer is granted, the certificate validity issued by the new CB shall be 12 months minus the extension period given by the previous CB.

9. USE OF GLOBAL G.A.P. TRADEMARKS

The GLOBAL G.A.P. Trademarks Use is described in detail in document "GLOBALG.A.P. TRADEMARKS USE: Policy and Guidelines" in its current version. Indicatively, the following apply:

- Certificate holders, for as long as they are in suspension, may not use the GLOBALG.A.P trademarks, the license/certificate or any other kind of document connected in any way with GLOBALG.A.P. in relation to the product in suspension.
- The GLOBALG.A.P. trademarks must never appear on the product, consumer packaging of products intended for human consumption or at the point of sale where it is in direct connection with single products. The GLOABALG.A.P. trademarks must never be used on promotional items, apparel items or accessories of any kind, bags of any kind or personal care items as well. Producers may only use the

GLOBALG.A.P. trademarks on pallets that contain only certified GLOBALG.A.P. products and that will NOT appear at the point of sale.

- GLOBALG.A.P. certified producers may use the GLOBALG.A.P. trademarks in business-to-business communication, and for traceability, segregation or identification purposes on site at the production site.
- Unauthorized use of the GLOBALG.A.P. trademarks may result in legal action from the Scheme Owner.

ANNEX A: Requirements for the Add-On AH-DLL GROW

The Add-on AH-DLL GROW is only assessed simultaneously with GG IFA Crops – sub scope Fruits and Vegetables.

For the assessment process the paragraphs of this document apply with the following exceptions/additions.

Paragraph of F-2711 Audit Information and Expectation GG Crops	**Add-on AH-DLL GROW Requirement**
1.2 Registration Process	Additional to GG IFA: Registration with Q-CERT can happen only after the producer has been informed by its supplier or service provider about the AH-DLL GROW add-on. Therefore, a producer can be registered with Q-CERT only if one of the two possibilities is fulfilled: Possibility 1: The producer (or supplier) provides a documented copy of a current e-mail, that was sent directly from the service provider to the producer (or supplier) that confirms the request of the implementation of the AH-DLL GROW add-on modules; OR Possibility 2: An e-mail can be sent directly from the service provider to Q-CERT, to indicate that the AH-DLL GROW add-on is requested for the producer.
1.5 Global G.A.P. Certificate and Certification Cycle	A letter of conformance is issued by Q-CERT once the producer fully complies with all the required control points as per the AH-DLL GROW add-on. The validity period of this letter of conformance is 12 months.
1.8 Certification Process	All Control Points are Major, meaning that there has to be 100% compliance with all Control Points. The time schedule of managing the detected deviations is the same as GG IFA Crops. For outstanding non-conformances identified during the first assessment, the producer does not have to send any evidence of corrective actions to Q-CERT after the assessment. The service provider will consult directly with the producers.
1.9 Parallel Production (PP) και Parallel Ownership (PO)	Products coming from PO and/ or PP are not accepted.
1.11 Assessment process	In the case of the initial/first assessment of a producer against the AH-DLL GROW add-on, the add-on can be added mid-cycle

	(Option I with/without QMS, Option II). However, in such a case, harvest or the relevant agronomic activities must be observed. The producer must receive a full IFA inspection together with this add-on. This can also be done during the unannounced assessment.
3. Q-CERT Responsibilities	Q-CERT: -must send the client the audit report with the results of the checklist. -shall upload to the GLOBAL G.A.P. database the final checklist (with the findings and the result of the assessment) and the special forms of the Add-on if required.

ANNEX B: Requirements for the Add-On SPRING

The Add-on SPRING is only assessed simultaneously with GG IFA Crops.

For the assessment process the paragraphs of this document apply with the following exceptions/additions.

Paragraph of F-2711 Audit Information and Expectation GG Crops	**Add-on SPRING Requirement**
1.5 Global G.A.P. Certificate and Certification Cycle	A letter of conformance is issued by Q-CERT when the score of the assessment is 75% or more and the corrective action plan has been filled within 28 days after the assessment (if applicable). The validity period of this letter of conformance is 12 months.
1.8 Certification Process	There are three different levels of control points: critical, major and minor criteria, and each is scored from 0 to 3 points depending on the level of compliance. Outcome of the assessment can be classified as: ***Critical*** → new initial assessment within 3-12 months after the first assessment, conformance letter is not issued ***Improvement needed*** → follow-up assessment within 12 months after the first assessment, conformance letter is not issued ***Certified*** → follow-up assessment within 12 months after the first assessment, conformance letter is issued
2. Applicant Responsibilities	Applicant producer must submit to Q-CERT a number of documents prior to the assessment or presented to the SPRING auditor during the assessment. These are specified in the add-on's rules issued by GLOBAL G.A.P.
3. Q-CERT Responsibilities	Q-CERT: -must send the client a notification letter when the achieved status of the assessment is either "Critical" or "Improvement needed". -shall upload to the GLOBAL G.A.P. database the final checklist (with the findings and the result of the assessment) and the letter of conformance.

ANNEX C: Requirements for the Add-On BioDiversity

The Add-on BioDiversity is only assessed simultaneously with GG IFA Crops.

For the assessment process the paragraphs of this document apply with the following exceptions/additions.

Paragraph of F-2711 Audit Information and Expectation GG Crops	**Add-on BioDiversity Requirement**
1.5 Global G.A.P. Certificate and Certification Cycle	A letter of conformance is issued by Q-CERT when the score of the assessment is 75% or more and the corrective action plan has been filled within 28 days after the assessment (if applicable). The validity period of this letter of conformance is 12 months.
1.8 Certification Process	There are three different levels of control points: critical, major must and minor must criteria, and each is scored from 0 to 3 points depending on the level of compliance. Outcome of the assessment can be classified as: ***Critical*** → new initial assessment within 3-12 months after the first assessment, conformance letter is not issued ***Improvement needed*** → follow-up assessment within 12 months after the first assessment, conformance letter is not issued ***Certified*** → follow-up assessment within 12 months after the first assessment, conformance letter is issued
3. Q-CERT Responsibilities	Q-CERT: -must send the client a notification letter when the achieved status of the assessment is either “Critical” or “Improvement needed”. -shall upload to the GLOBAL G.A.P. database the final checklist (with the findings and the result of the assessment) and the letter of conformance.