AUDIT INFORMATION & EXPECTATION

GLOBALG.A.P. IFA – CROPS & AQUACULTURE

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CONTENTS

1. GENERAL

The present document concerns the following:

- The Integrated Farm Assurance Standard (IFA)
- GLOBALG.A.P. IFA CROPS CERTIFICATION: version 5.2, and
- GLOBALG.A.P. IFA AQUACULTURE CERTIFICATION: version 5.2

In Annex A the specific requirements for the Add-on Albert Heijn Protocol 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 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.

For Aquaculture Certification:

- GRASP implementation is mandatory
- The producer must register with the same CB for both Aquaculture Certification and GRASP Assessment. The registration for GRASP must be according to GRASP General Rules.

1.4 Certification Scope

The scope of certification:

- Does not cover crops harvested in the wild and wild catch that is not farmed
- 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 Control Points and Compliance Criteria (CPCC) 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
    - Aquaculture Base (AQ) covering issues relevant to all aquaculture 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 2015 (expiry date 13th February 2016) then the second inspection can be carried out at any point from 14th October 2015 up to 13th June 2016 if the certificate validity has been extended.

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

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 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.

1.9 Parallel Production (PP) and Parallel Ownership (PO)

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. PP is also considered the situation where for a product registered for certification not all the members of a producer group producing the product are included in the scope of the certificate.

Parallel Ownership (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.

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.

Parallel production 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).

1.10 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 100€ to an Option 1 producer and 500€ 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.

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).

1.11 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:

	Evaluations (Initial and subsequent)
Self-assessments by the producer	Entire scope (all registered sites)
Externally by Q-Cert	Announced inspection of entire scope (all registered sites) After initial certification: Unannounced inspection (to a minimum 10% of certificate holders)

- Option II and Option I Multisite with QMS:

	Initial Evaluations	**Subsequent Evaluations**
Internally by the producer group and Option I Multisite operation 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 Q-CERT	**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 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.
Product Handling Inspections externally by Q-CERT	**During first or second visit:** If there is only one central product handling facility, it shall be inspected every year while in operation.	

	Initial Evaluations	Subsequent Evaluations
	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. In case of Aquaculture certification sampling rules don't apply, and every product handling facility shall be inspected every year 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.	
Unannounced QMS audits externally by Q-CERT	Additional unannounced QMS audit of 10% of certificate holders with QMS	

1.12 Certification Decision

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.

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. This notification will not exceed 2 working days in case of an unannounced inspection. 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.

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.

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, for a maximum of 4 months, only for the following reasons, and the reason has to be recorded:

- 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.

9. USE OF GLOBAL G.A.P. TRADEMARK & QR CODE LOGO

The GLOBAL G.A.P. Trademark and QR CODE LOGO Use Requirements are described in detail in the GLOBALG.A.P Sublicense and Certification Agreement. Indicatively, the following apply:

- Certificate holders, for as long as they are in suspension, may not use the GLOBALG.A.P trademark/QR Code Logo, 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. trademark 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. trademark 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. trademark and the QR code logo in business-to-business communication, and for traceability, segregation or identification purposes on site at the production site.
- The QR code logo may appear on the product, consumer packaging of the product or at the point of sale where it is in direct connection with certified products.

ANNEX A: Requirements for the Add-On Albert Heijn Protocol

The Add-on Albert Heijn Protocol 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 & Aquaculture	**Add-on Albert Heijn Protocol Requirement**
1.5 Global G.A.P. Certificate and Certification Cycle	No certificate is issued. The result of the assessment (AH Protocol Yes or No) is registered in GLOBAL G.A.P. Database by Q-CERT and is valid as long as the GLOBAL G.A.P. IFA certificate is valid too.
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.
1.9 Parallel Production (PP) και Parallel Ownership (PO)	Products coming from PO and/ or PP are not accepted.
3. Q-CERT Responsibilities	Q-CERT must send the client the audit report with the results of the checklist, the corrective action's plan and the final decision AH Protocol Yes or No.

Revision No:	Revision Date	Nature of Change	Approval
0	20/09/2018	Original Issue	KP/VN
1	16/01/2019		VN
2	17/07/2019	Update due to new standard version GG IFA 5.2 Addition of Aquaculture Standard requirements Addition of Annex for Add-On Albert Heijn Protocol Requirements	KP/VN