GLOBALG.A.P. Certification Requirements

Contents

Revision History

Rev No	Revision Date	Author	Approved by	Page No	Sec. No	Brief Description of Change
1						Old NCSI Recognition Booklet
2	September 2015	Alex Davies	Stephanie Vincent			Update to BSI and GLOBALG.A.P.IFA Version 5
3	October 2018	Mary Portelli	Mary Portelli			Updated contact details Addition of recall information
4	May 2019	Mary Portelli	Todd Redwood	4/6 8/9-10	1/3.7 10/13	Updated contact details Chain of Custody Included
5	July 2023	Rose Fekken	Ana Cicolin	All	All	• Update of title, legal contract section • Update of complaints and appeals section • Update of assessment scheduling section • Update section on additional obligations • Update FAQ section • Update Upgrade requirements V5 to V6
6	May 2024	Rose Fekken	Ana Cicolin	All	All	• Update of CoC V6.1 • Update of IFA V6 • Update of client SLCA & Registration information • Update of Data access rules • Restructuring of document headers sequence • Licenced add-on products (GRASP) added
7	September 2024	Rose Fekken	Ana Cicolin	All	All	• Update Related documents section • Remove V5.4-1 for FV • Add GRASP V2.0 • Add Combinable Crops • Update V6 transition • Update section on notifyable incidents, complaints & appeals • Addition of GLOBALG.A.P. annex on Unannounced audits

Related Documents

- Related GLOBALG.A.P. documents are publicly available at GLOBALG.A.P. Document Center
- Related BSI Client documents will be provided by your local BSI Country office and further information is available on our BSI Website (https://www.bsigroup.com/)
- BSI Staff to access the related scheme manual (PP166) on the BMS

1 Introduction

This certification requirements guidebook is intended for organizations seeking certification for the following products:

Scheme	Version
GLOBALG.A.P. Integrated Farm Assurance (IFA) Crops Base • Combinable Crops	V5
GLOBALG.A.P. Integrated Farm Assurance (IFA) Plants • Smart (All sub scopes) • GFS (Fruit & Vegetable sub scope)(GFSI)	V6
GLOBALG.A.P. Chain of Custody Standard	V6.1
Add-ons	**Version**
GLOBALG.A.P. Risk Assessment for Social Practice (GRASP)	V2

1.1 Scheme Description

GLOBALG.A.P. is a certification scheme designed for certification of good agricultural practices, food safety practices for agricultural producers (farmers) and traceability due diligence to traders & supply chain partners in the agricultural food sector.

1.1.1 GLOBALG.A.P. Integrated Farm Assurance (IFA) Plants

The GLOBALG.A.P. IFA Plants Standard is composed of scope and sub-scope modules covering food safety, environmental and social compliance principles & criteria relevant to pre- and post-harvest agronomic activities for plant products intended as food or feed

The principles & criteria of the IFA Plants scope shall be interpreted according to the inspected sub-scope and following the general regulations for the specific sub-scope and producer type.

Parallel ownership (of certified and non-certified products) is possible under certain conditions when additional rules are implemented.

1.1.2 GLOBALG.A.P. Risk Assessment for Social Practice (GRASP)

GLOBALG.A.P. Risk Assessment for Social Practice (GRASP) is an add-on for the evaluation of workers' well-being at farm level and is a voluntary, non-accredited standard that may be delivered only in combination with GLOBALG.A.P. Integrated Farm Assurance Standards.

1.1.3 GLOBALG.A.P. Chain of Custody (CoC) Certification

The objective of the Chain of Custody standard is to assure consumers and corporate clients of the GLOBALG.A.P. certified nature of product sold. It ensures traceability back to GLOBALG.A.P.

certified production sites and processes and prevents GLOBALG.A.P. certified product being substituted or diluted with non-certified products, either in error or intentionally for economic gain (Food fraud).

GLOBALG.A.P. Chain of Custody is not a food safety standard and does not result in the certification of a food safety management system. The certification applies to the following aspects:

- Identification of certified and non-certified product
- Input Checks and verification of origin
- Labelling to distinguish and clearly identify respective certified and non-certified product.
- Traceability both of actual product and transactional records
- Mass Balance

2 Accreditation

BSI Assurance UK Ltd. holds valid global ISO/IEC 17065:2012 accreditation. The accreditation body is ANAB and the Scheme Owner is FoodPLUS GmbH. The accreditation excludes North America and Canada regions.

3 Scope Coverage

3.1 Integrated Farm Assurance (IFA)

Scheme	Scopes & Sub-scopes Covered	Product types	Option 1	Option 2
GLOBALG.A.P. IFA V5	1. Crops Base 1.1. Combinable Crops	1.1 Grains, pulses, extracts	Yes	Yes
GLOBALG.A.P. IFA V6 SMART	1. Plants Sub-scope 1.1. Fruit & Vegetables 1.2. Flowers & Ornamentals 1.3. Combinable Crops 1.4. Plant Propagation Material 1.5. Hops	1.2 Fruits, veg, herbs 1.3 Cut flowers & pot plants 1.4 Grains, pulses, extracts 1.5 Seeds, seedlings, saplings 1.6 Hops	Yes	Yes
GLOBALG.A.P. IFA V6 GFS	1. Plants Sub-scope 1.1. Fruit & Vegetables	Fruits, vegetables, herbs	Yes	Yes

Details of Producer type options allowed under IFA:

a) Option 1 – Individual Certification - Individual producer applies for certification for a single site.

b) Option 1 – Multi-Site without QMS - Individual producer or one organization owns several production sites that *do not* function as separate legal entities but as one legal entity under the same management with no Quality Management System in place.

c) Option 1 – Multi-Site with QMS - Individual producer or one organization owns several production sites that *do not* function as separate legal entities, but as one legal entity where a centrally managed Quality management system has been implemented.

d) Option 2 - A producer group applies for group certification. The group may consist of multiple legal entitles, but the QMS site of the group, as the main legal entity, is the certificate holder once certified. A group shall have a QMS implemented.

Note: A single legal entity with multiple sites may not register different sites under different GGNs (GLOBALG.A.P. Numbers): 1 Legal Entity = 1 GGN

If a site belonging to a legal entity with 1 GGN, forms part of an Option 2 Group, that legal entity GGN will be part of the producer group members details on the producer group register but shall not be used on product certified under the producer group GGN.

3.1.1 Add-on: GLOBALG.A.P. Risk Assessment for Social Practice (GRASP)

GLOBALG.A.P. offers a number of voluntary add-ons standards that are non-accredited, licensed standards. BSI is licensed for the following add-on products:

Add-on	Scopes Covered	Related GLOBALG.A.P. standard
GLOBALG.A.P. Risk Assessment on Social Practice (GRASP) V2	On-Farm Social Compliance practices assessment	Integrated Farm Assurance (All scopes & Options)

3.2 GLOBALG.A.P. Chain of Custody

Scheme	Scopes Covered	Product types	Option 01	Option 02
GLOBALG.A.P. Chain of Custody Standard V6.1	1. Supply Chain Partners 2. Retail / Food service Partners	All products included in IFA sub-scopes	Yes	Not Allowed

Details of options allowed:

a) Option 1 – Individual Certification - Individual company applies for certification. The individual company will be the certificate holder once certified.

b) Option 1 – Single site - Individual company including one production, process, handling, storage or administrative site must be certified as one legal entity with one GLOBALG.A.P. Number (GGN or CoC Number)

c) Option 1 – Multisite for Supply Chain Partners

- Individual company owns several production, processing, handling, storage or administrative sites that do not function as separate legal entities.

- All locations where certified products are processed, handled, stored or administrated must be inspected prior to certification. This is applicable also to sub-contractors and for the administrative sites of brokers that do physically handle the product.
- Sampling of locations for internal and external inspections is not allowed.
- All locations will be registered under one legal entity with one GLOBALG.A.P. Number (GGN or CoC Number) and will be stipulated as locations on the certificate.

d) Option 1 – Multisite for Retail Stores and Restaurant Chains in Franchise

- Individual company that owns a franchise network of retail stores or restaurants where the individual sites function as separate legal entities
- All locations where certified products are processed, handled, stored or administrated must be inspected prior to certification. This is applicable also to sub-contractors of those sites.
- Sampling of locations for external certification inspections is allowed for stores, distribution centers and restaurants.
- All locations will be registered under one legal entity with one GLOBALG.A.P. Number (GGN or CoC Number) and will be stipulated as locations on the certificate.

4 Client Registration Process

The following steps apply during the client application and registration process for GLOBALG.A.P.

BSI reserves the right to provide its clients and those that request quotations with marketing and technical information relating to standards, training and compliance services.

4.1 Initial Enquiry

Initial enquiries, expression of interest or application for services may be submitted in writing or verbally to BSI.

Additional information may be obtained on BSI products and services via the BSI website

BSI will respond to all enquiries in writing and if your organization is located near one of BSI's offices, an advisory visit may be arranged to discuss your requirements and how BSI can help your organization achieve them.

4.2 Application for Certification and Assessment

BSI will request potential clients to provide us with the relevant information required per scheme in order to prepare a BSI Client proposal document. It is imperative to provide BSI with the most complete and accurate information in order to accurately prepare client proposals. This information will be requested via the following documents:

- PP1285 BSI Client Service Request Form

BSI will upon receipt of the completed service request form, prepare a proposal detailing our service to your organization's needs, which will be sent to you within 28 days of the receipt of the completed client service request form (PP1285).

The BSI Client proposal will outline the following:

- Certification products to be delivered
- BSI Terms & Conditions
- Audit duration to be delivered
- Cost of certification, including BSI fees and GLOBALG.A.P. scheme owner fees (Product registration and Certification fees as per the current GLOBALG.A.P. participation fee tables, which are available on the GLOBALG.A.P. website.

4.3 Contract agreement between BSI and clients

Standard BSI Group Terms and Conditions of contract applies when engaging in services to clients. Any deviation from these standard terms must first be approved by BSI Group's Legal team.

The framework for the services of certification is described in the generic conditions of contract, which are legally binding when a client signs an application.

The following documents constitutes the legally binding contract between your organization and BSI:

- Receipt of a signed, authorized acceptance of a valid BSI proposal,
- The signed GLOBALG.A.P. Sublicense and Certification agreement document

The conditions of contract are issued as part of the BSI client proposal document, along with related commercial terms and conditions, which are also available on local BSI country websites or can be accessed here.

You are alerted to the following additional scheme requirements relating to the delivery of GLOBALG.A.P. scheme product certification by BSI, include the following:

- GLOBALG.A.P. Sublicense and Certification Agreement which BSI enters with each certified client, which is valid for up to 4 years with subsequent renewal of 4-year periods. This SLCA is a legally binding addendum to the Standard BSI Terms and Conditions.
- GLOBALG.A.P. General Regulations - Data Access Rules. Data access rights are defined and agreed for each BSI client during registration and outline the level of information which is publically available on each certified client and all certified product. Client acceptance level of data access requirements is re-confirmed during audits as well. The GLOBALG.A.P. Data Access rules are available here.
- The BSI Logos Trademarks and Linking Policy for clients, outlines the criteria to be followed for use of BSI Symbols and Accreditation logos in relation to this certification product.
- Further to this, the GLOBALG.A.P. Trademarks use Policy and Guideline document has been introduced which must be implemented and followed by BSI clients when using the GLOBALG.A.P. trademarked materials and logos. The rules are available here.

- For Producers or Chain of Custody clients who intend to use the GGN Logo, the GGN Label License agreement shall also be signed (between your organization and GLOBALG.A.P.) The GGN Label Use requirements are available here.

Your requirements will be entered into our client database and a Client Manager will be appointed to conduct your certification audit. BSI Country Operations will be your primary point of contact with BSI and is responsible for ensuring that certification/assessment services are delivered to your organization in the most effective manner possible.

BSI will also register your organization in the GLOBALG.A.P. IT Platform (Database or Validation Services Portal in accordance with agreed data access rules.

4.4 Client Communication

The BSI business development manager will communicate with your organization relating to application and sales contracts and related changes, pricing and fee changes.

The BSI country client service manager will communicate with your organization relating to audit programme management and planning and certification management.

The BSI country auditor / client manager will communicate with your organization relating to audit plan prior to the audit as well as queries following the audit on any non-conformances raised. This is typically completed in writing to record any amendments or clarifications that result from these discussions.

BSI does not provide any consultation or training on the implementation of the GLOBALG.A.P. scheme

As soon as practicable after receipt of your signed proposal, a BSI Client Service Manager (or nominated representative) will contact your organization to establish a working relationship between your organization and BSI, to obtain additional information required to register you as a producer and client of BSI on the GLOBALG.A.P. IT Platform (for which an additional GGN Client Registration form (PF1591) will have to be completed) and to confirm your requirements in terms of the planning (scheduling) of assessment delivery (audits).

If you are working with a related system consultant this must please be communicated to BSI, as it needs to be considered in related communication.

4.5 Pre-Certification Audit (optional)

A Pre-certification audit often proves an invaluable tool in determining system implementation, particularly for new systems that are still in the early stages of development. This one-off assessment includes the identification of gaps against the requirement of the nominated Standard or Add-on. At the conclusion of the pre-certification audit you will receive a report which highlights any gaps as well as options for next steps on your path to certification. The results of any pre-certification audits are not directly linked to any subsequent Certification Audits and does not result in certification.

GLOBALG.A.P. encourages organizations seeking certification against their standards to utilize the producer self assessment tools (Smart Checklist Builder) available here to assess their readiness and the best products to seek certification for.

5 Audit Program

5.1 Audit Scheduling

Your organization is required to make all necessary arrangements to allow the evaluation and surveillance activities to take place. This includes but is not limited to equipment, product, locations and facilities, Key personnel and where relevant Sub-contractors.

Audits may be conducted as full onsite audits or may employ the use of ICT (Information communication technology) with prior agreement by your company representative, against the requirements of the relevant standard.

These audits may be conducted announced, or unannounced to meet the GLOBALG.A.P. general regulations in terms of unannounced audit requirements. Your local BSI office / assigned Client Manager will notify your organization, in an appropriate time manner of the nature and methodology of your audit.

Unannounced audits are required for all core standards but there are differences in the notice periods for unannounced audits. For Chain of Custody and V6-Smart unannounced audits, then notification period is 48 hours prior to the unannounced audit. For V6-GFS audits there is no (0 hours) prior notification. For more information on unannounced audit, refer to Annex 1

The GRASP add-on does not require unannounced audits of producers but as it must be delivered at the same time as the GLOBALG.A.P. IFA audit, it will follow the same rules for unannounced audits as for the core standard. The auditor may inform the producer / producer group of the GRASP audit at the start of the primary production (core standard) audit.

5.2 Certification Audit

Certification audits are conducted in accordance with the requirements of the specific standard and version that comprises the audit criteria; please refer to the relevant GLOBALG.A.P. general regulations (IFA V5, IFA V6, CoC V6.1, GRASP V2) for detailed requirements.

Production and/or activities relevant to the scope of certification must be occurring at the time of the audit, in order for the principles and criteria to be verified related to the products within the scope of certification.

GLOBALG.A.P. has an annual certification cycle, which starts with initial certification (first registration) followed by annual recertification (subsequent) audits, resulting in a certificate with a 12 month validity being issued.

GLOBALG.A.P. audits comprise full assessment audits every year and all Principles and Criteria are assessed.

For GLOBALG.A.P. IFA V6 there is a focus on operational aspects mainly in year 2 & 3 after initial / recertification, followed by a full assessment again in year 4.

The purpose of the Certification Audit is to establish whether your organization has implemented and complies with the relevant standard principles and criteria, by observing actual practices, documentation and records and conducting key personnel interviews and comparing the evidence against the organization's policies and procedures as well as the scheme requirements.

Your organization will be sent a confirmation letter in advance of your audit, by the BSI country of operations, confirming the certification audit to be conducted. You must please accept / revert to this confirmation letter if any changes, in writing, as soon as possible.

10 days prior to the audit (only for announced audits), your organization will receive an audit plan, that will detail the following:

- The scope of the audit
- The audit criteria
- The scope of certification
- The assigned audit team members & any other observers that will be in attendance
- The date and duration of the audit, with detailed planning of audit activities

The Audit will be led by suitably qualified and experienced auditor/s and, where required, witness auditors, observers and/or technical specialists acting as advisers to the audit team may also be present. These specialists bring current specialized knowledge of the activities being audited to the audit team and ensure that the audit provides a relevant and practical review of aspects critical to the business.

BSI auditors will conduct the assessments against specified audit criteria, including GLOBALG.A.P. prescribed General regulations, Principles and criteria documents, rules and requirement documents, relevant country National Interpretation guidelines (NIG's) as well as prescribed checklists, to complete your audit.

These checklists form the basis of the report that your organization will receive with the audit outcome and conclusion.

5.3 Observers & Witness Assessors

From time to time BSI requires observers or witness assessors to be in attendance at an audit. This may be related to training of new staff and/or witness assessment of existing staff. It may also be required that external observers be in attendance at an audit for accreditation or scheme owner observation.

It is a requirement of certification that your organization allows these activities to occur. Failure to allow this activity to occur may result in cancellation of your certification.

BSI will, at all times, ensure that the use of observers is kept to a minimum and your organization will be advised prior to the assessment activity.

These observers do not take an active part in an audit.

5.4 Certification Audit Report

At the conclusion of the audit, the audit team will prepare a written report on the audit findings and the audit team leader will present these findings to your organization's representative management at the exit meeting.

The audit findings include a summary of the overall compliance of your system with the requirements of the relevant standard. The final report will be provided after completion of a certification review of the audit documentation and process.

The audit report will include the following information;

- Summary of the evaluation activity undertaken
- Objective evidence and information of your organizations conformance to the GLOBALG.A.P. standard
- Lists any non-compliances and/or non-conformances identified that are required to be addressed with suitable investigation and identification of the root cause & identification and implementation of suitable correction and corrective action.

5.5 Minimum Requirements to Achieve and Maintain GLOBALG.A.P. Certification

Principles & Criteria consist of three types of control points and to obtain GLOBALG.A.P. Certification the following are required:

- Major Musts: 100% compliance with applicable Major Must and QMS control points is compulsory.
- Minor Musts: 95% compliance with applicable Minor Must is compulsory.
- Recommendations**:** No minimum percentage of compliance required.

The GLOBALG.A.P. Minor Must Compliance Calculation can be found in GLOBALG.A.P.General Regulations for Individual Producers – section 7.1.2 and in General Regulations for Producer Groups / Multisite producers with QMS in section 7.1.2.

5.6 Requirements to Achieve and Maintain GRASP V2 Compliance

Principles & Criteria for GRASP V2 consist of two (2) types of control points and to obtain GRASP V2 Compliance, the following are required:

For Initial GRASP V2 Assessments (First Year):

- Major Musts: 100% compliance with applicable Major Must and QMS control points is compulsory.
- Minor Musts: 70% compliance with applicable Minor Must is compulsory, except for Family Farms without workers, where any non-compliance with Minor Must criteria is acceptable in the initial assessment of GRASP V2

For Subsequent GRASP V2 Assessments (Following Years):

- Major Musts: 100% compliance with applicable Major Must and QMS control points is compulsory.
- Minor Musts: 75% compliance with applicable Minor Must is compulsory.
- Minor Musts for Family Farms without workers: 100% compliance with Minor Must criteria is compulsory.

5.7 Non-Compliance and Non-Conformance Management

Non-compliances and/or Non-conformities will be discussed with your team during the audit and outlined at the exit meeting. These are categorized as Major Musts, Minor Musts and Recommendations. Observations are not raised in GLOBALG.A.P. audits.

Table 5. Non-conformance grading

NC Level	Definition
Non-compliance (with a control point):	A Minor Must or recommendation in the GLOBALG.A.P. checklist is not fulfilled according to the Principles & Criteria.
Non-conformance (with the GLOBALG.A.P. Certification Rules):	A GLOBALG.A.P. rule that is necessary for obtaining the certificate is infringed (including non-compliance with one or more Major Must or more than 5% of applicable Minor Musts).
Contractual Non-Conformances:	Breach of any of the agreements signed in the contract between BSI Group and the producer related to GLOBALG.A.P. certification.

If you are unclear regarding the meaning of anything in your report, please contact your BSI Client Manager.

If non-compliances and/or non-conformances have been raised during your organisations' audit, BSI will provide guidance on the steps that are needed to take place to continue to certification.

Such guidance may include timeframes for close out or requirement for re-assessment. BSI cannot provide guidance on how to close out non-compliances and/or non-conformances.

It is your organization's responsibility to respond to the non-compliances and/or non-conformities detailed in your audit report by the designated time frame. Failure to do so may result in suspension or cancellation of your certification.

5.8 Corrective Action Plan (CAP) Management

All non-conformities raised during GLOBALG.A.P. certification audits are required to be fully addressed with suitable root cause analysis, correction and corrective action, supported with evidence and submitted to your appointed BSI auditor / client manager within **24 calendar days** of the audit, to allow review and revert or approval and close out by the BSI appointed auditor within 28 calendar days of the last date of the audit.

The timeline to manage the CAP related to the non-conformances issued must be respected at all times.

It is important that your organization submits an effective corrective action plan that addresses the correction taken, root cause and corrective action proposed as per the definitions below:

- **Correction:** action to eliminate a detected nonconformity;
- **Root Cause:** is defined as a factor that caused a nonconformance and should be permanently eliminated through process improvement. The root cause is the core issue (the highest-level

cause) that sets in motion the entire cause-and-effect reaction that ultimately leads to the problem;

- **Corrective Action:** action to eliminate the root cause of a nonconformity and therefore avoid recurrence.

You shall provide BSI with the following, within maximum **24 calendar days** from the last day of the audit:

a) the objective evidence of the implementation of correction;

b) the CAP (evidence of an investigation into causative factors, exposed risks and the proposed corrective action plan).

c) Evidence of implementation of the corrective action plan

The BSI auditor shall review the corrective action plan and the evidence of correction and corrective action and approve them when acceptable.

The auditor´s approval shall be completed within maximum **28 calendar days** after the last day of the audit.

Exceeding this timeframe shall result in a suspension of the certificate for a maximum period of twelve (12) months.

6 Certification

6.1 Certification Decision

After confirmation that any necessary corrective actions have been taken, which may involve a NCR-Close out follow up audit by the BSI Auditor, the findings and recommendations made in the audit report are subject to an objective certification review process prior to certification being granted.

BSI conducts an extensive review of audit reports and there may be occasions when audit report gradings are revised based upon review by the Technical and Compliance team during this process in line with GLOBALG.A.P. scheme requirements.

6.2 Certificate Issue

When your organization has achieved certification, BSI will provide you with a Certificate as a statement that your organization has achieved certification to the relevant standard(s). The certificate will include important data such as your organization's certification number, the standard for which certification has been granted, and the date of certification. The certificate should be displayed where it will be seen by customers and potential customers.

When copies or elements of the certificate are used in B2B activities and proposals, the certificate should be provided in full, including any / all annexures, separate scope of certification documents that outline the full extent of certification and must be presented honestly and not in any misleading manner.

Clients are obliged to ensure that BSI is formally notified of the changes of address, ownership, changes to key management responsibilities, major management system changes and capability

information so that the certificate maintains its validity. Failure to do so may compromise your organization's certification status.

All original certificates remain the property of BSI Assurance UK Limited and must be returned on request.

Note: For GRASP Add-on, a Letter of Conformance is issued instead of a certificate, as this is not a stand-alone certification standard.

6.3 Scope of Certification

The scope of certification fully details the scope of your organization's certification in terms of:

- Names and addresses of all locations covered by the certification;
- Achievement of certification to the relevant standard(s) or code(s) of practice
- The capability statement (range of products, services, and activities) for each location covered by the certification and
- Any specific exclusions from the scope of certification

6.4 Suspension or Refusal of Certification

In the event that your organization is unable to comply with the requirements of the relevant standard, BSI may refuse to grant certification or suspend your current certificate.

The decision to refuse certification or to suspend current certification, and the grounds for that decision, will be communicated to your organization in writing within 2 working days from the decision being taken.

When an organization's certification is suspended the organization shall, for the period of suspension (maximum of 6 months):

- Withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organization is certified
- Ensure that all copies of certificates are removed from areas of public display and
- Cease to use the certification mark, including relevant BSI & GLOBALG.A.P. logos, and the use of the GGN, or where licensed, the GGN logo in B2B transactions or in the public domain.

The organization shall advise BSI in writing of action taken with respect to the requirements listed above;

- BSI shall advise the organization in writing of the certification processes that will need to be completed to restore certification; and
- During the period of suspension the organization shall continue to pay all fees levied by BSI

6.5 Cancellation of Certificate

When an organization's certification is cancelled, the organization shall immediately:

- Withdraw and cease to use any advertising and promotional material that promotes the fact that the organization holds certification
- Cease to use relevant certification marks including including relevant BSI & GLOBALG.A.P. logos, and the use of the GGN, or where licensed, the GGN logo in any way to promote the fact that the organization holds certification and
- Pay outstanding fees

6.6 Reduction in Scope of Certification

When an organization's scope of certification is reduced, BSI shall issue revised certificates and scopes of certification as appropriate and the certified organization shall:

- Return all superseded certificates
- Ensure that use of the certification mark is adjusted to reflect the reduced scope of certification (including use of GGN on B2B transaction documents related to reduced scope)
- Ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification and
- Pay any fees that are applicable for the facilitation of this activity

7 Logo and Trademark use

7.1 Use of the BSI Certification Mark

You are entitled to use the appropriate BSI certification marks whilst you maintain certification to this program with BSI. For a copy of the BSI Marks of Trust Guidelines for clients, visit our website at www.bsigroup.com

Use of the logo is subject to Condition and rules of its application.

7.2 Use of the GLOBALG.A.P. Logos and trademarks

The GLOBALG.A.P. logo and trademark is proprietary and use of the logos is subject to GLOBALG.A.P. terms and conditions

GLOBALG.A.P. trademarks use Policy and Guideline document must be implemented and followed by BSI and its certified clients when using the GLOBALG.A.P. trademarked materials and logos. The rules are available here.

For Chain of Custody clients who intend to use the GGN Logo, the GGN Label License agreement shall also be signed (between client and GLOBALG.A.P.) The GGN Label Use requirements are available here.

8 Standard Owner Information

FoodPLUS GmbH is the legal owner of the GLOBALG.A.P. standards and products.

Additional information, including copies of the Standards and related normative documents may be obtained through their website at GLOBALG.A.P.(globalgap.org)

It should be noted that GLOBALG.A.P. may elect to contact client directly for feedback or discussion of audit information as part of their integrity monitoring programs.

9 Confidentiality

BSI will treat all information confidentially and in compliance with country specific legislation regarding protection of privacy of information. No information shall be disclosed by BSI to any 3rd parties without the prior consent of the client unless required by law, or otherwise stated in the GLOBALG.A.P. General Regulations or Sub-license and certification agreements to which the client agrees to in writing.

10 Additional Obligations & Notifications

Following certification, there are a number of managerial responsibilities which your organization will need to observe to maintain BSI's certification. These include:

- Continued compliance with the relevant systems standard(s);
- Compliance with the BSI Standard Commercial Terms and Conditions and obligations as specified in this document as well as other documentation that may be specifically provided from time-to-time;
- Conduct of regular internal reviews and annual self-assessments of your system, with appropriate documentation of such reviews and of any subsequent corrective actions;
- Notify BSI of any significant changes in the structure (key responsibilities and management system), ownership and operations of your organization to enable the impact of such changes on the certified scope to be evaluated; and

10.1 Notification of Product Safety Incidents

- Any product safety incidents* related to a product which is within the scope of the site's certification shall be communicated to BSI within **24 Hours** through email to food.recall@bsigroup.com
- It includes cases where the product has already been consumed and therefore the client cannot recall/ withdraw the product.
- Certified sites do not have an obligation to communicate product withdrawals* to BSI.
- The definitions of product safety incidents, withdrawal and product recall are provided below for clarification

10.1.1 Definition

a) **Product safety incident -** Food safety, authenticity or legality incidents, including product recalls, regulatory notice, food safety-related withdrawals or any other incidents affecting the safety of product.

b) **Product Recall -** The removal by a supplier of product from the supply chain that has been deemed to be unsafe and has been sold to the end consumer or is with retailers or caterers and is available for sale (Ref: GFSI Benchmarking Requirements _Version 2020.1).

c) **Product Withdrawal** - The removal of product by a supplier from the supply chain that has been deemed to be unsafe, which has not been placed on the market for purchase by the end consumer (Ref: GFSI Benchmarking Requirements _Version 2020.1).

d) **Regulatory notice -** Any notice (related to the scope of the certification), filing or other documentation required to be submitted to an Applicable Authority with respect to any Regulatory Clearance.

e) **Notifiable product safety incidents -** Any product safety incidents related to a product which is within the scope of the site's certification that shall be communicated to BSI and/or Scheme Owner as described in the section above. It includes cases where the product has already been consumed and therefore the client cannot recall/ withdraw the product.

10.2 Complaints

Your organization is required to keep a record of all known complaints. These records must be made available to the audit team and BSI when requested.

Your organization is required to demonstrate that you have taken appropriate action to address these complaints through investigation and correct any deficiencies found. These actions must be documented.

10.3 Certification Agreement

Your Organization is required to meet the requirements of the Certification Agreement. This requires that your organization and products remain compliant with the scheme requirements and the conditions of certification at all times.

Your organization is required to inform BSI prior to the scheduling of your annual planned audit/s of any changes to the scope of certification, including related product changes as required for registration by GLOBALG.A.P. for product certification.

Your organization is required to implement appropriate changes as communicated by BSI periodically, in a time appropriate manner.

10.4 Misleading Statements

Your organization is not permitted to use its certification in a manner that could bring BSI or GLOBALG.A.P. into disrepute. This includes making misleading or unauthorized statements. If you are unsure if a statement could be misleading you are advised to contact BSI prior to making the statement. Statements include but are not limited to the use of the logo on non-certified product, advertising (including your website) and internal communication.

If your organization is required to provide copies of their certification documents these must be reproduced in its entirety. Failure to do so may be misleading to the recipient as to the scope of certification.

10.5 Changes to Circumstances

Your organization is required to advise BSI of any changes without delay to circumstances that may affect certification. Examples of such changes include but are not limited to;

- Authorized Representative
- Business name (Legal entity) and Trading Name (where applicable), Company registration number
- Ownership
- Contact details
- Location, site addresses
- Business activity/ies, scope of certification (Products and Processes)
- System Management Number of employees, covering all shifts and sites
- Outsourced activities and use of sub-contractors
- Billing Details

BSI will determine if the degree of change is significant to require an additional audit or if the changes can be assessed at the next schedule audit or if the product requires re-assessment.

As GLOBALG.A.P. is a product certification standard, the scope of registration and certification must be reconfirmed by the local BSI office with each client on an annual basis prior to the next scheduled audit, to facilitate annual re-acceptance of registered products intended to be certified on the GLOBALG.A.P. database. Please cooperate by providing all relevant updated information in order to ensure accurate planning and certification.

11 Complaints and Appeals

Detailed information on submitting any related complaints or appeals to BSI are available in our Certification Business Policy on our public website should a client wish to pursue a potential complaint or appeal a certification decision.

12 Specific Program FAQ's:

What is the duration of a GLOBALG.A.P. audit?

The duration of a GLOBALG.A.P. audit depends on your specific scope of certification and your processes and products. It will vary with organisation size and complexity. The stated duration for each audit will be communicated to you as part of the formal BSI proposal and will be confirmed annually with an audit confirmation letter. Please contact BSI for further specific guidance.

How do I close out my Corrective Action Requests (CAR's)?

Corrective Action Responses should contain your Company Name & BSI Auditors name, and be sent to one of the following:

- Email: globalgapreport@bsigroup.com
- Directly to the Auditor referencing your company name and BSI Auditor's name

- FAX: Local Country BSI office Fax – Details to be provided by auditor

Corrective Action close out times are monitored strictly by BSI, you will be contacted 3 times regarding outstanding CARS, after this point the Standard owners will be notified.

Please refer to your non-conformance summary report for the Completion due date.

Failure to address non-conformances raised with timely suitable corrective action, may result in the suspension of your certificate.

Do auditors need to be rotated for GLOBALG.A.P. audits?

Yes.

A BSI GLOBALG.A.P. Auditor is not allowed to perform audits at the same Option 1 producer for more than four (4) consecutive years regardless of whether it is announced or unannounced audits.

Under Option 2 / Option 1 QMS audits, the QMS auditor in the audit team may not conduct more than four (4) consecutive QMS audits at the same producer / producer group, however the farm auditor/s conducting the production site audits / produce handling unit audits may remain the same for longer periods.

What do we do if there is an update or change in the GLOBALG.A.P. Scheme requirements?

From time to time, GLOBALG.A.P. publishes updated to scheme requirements that affect the client's scope of certification and related certification activities, such as audits. When this happens, BSI undertakes to communicate all relevant update or scheme transition requirements with client, in writing in advance to the implementation of the changes. Such communication will be sent to the client representative on record by the respective BSI country operations or client manager. If you have any related queries, please reach out to your BSI client manager.

13 Requirements for transition from GLOBALG.A.P.IFA V5 to V6:

FoodPLUS GmbH published Version 6 of the GLOBALG.A.P. IFA Scheme in October 2022 and GFSI benchmark recognition was achieved for the V6-GFS standard in August 2024.

The main reasons for the release of IFA V6, the Scheme changes as well as the Scheme Requirements can be found here:

The following outlines the requirements that our clients should be aware of relating to the transition process:

In summary, the following process will apply:

Standard & Version	GFSI Benchmarked	Accredited	Until when is audits against this version allowed? From when is audits against this version compulsory?
IFA V5.4-1 GFS	Yes	Yes	Cut-off date for audits to be conducted against V5.4-1 = **31 December 2024,** Cut-off date for IFA V5.4-1 certificate Validity allowed = 30 December 2025 **Exceptions where surveillance audits are still allowed to be conducted for certified producers after 01 January 2025 (ex. To add products to existing, valid IFA V5.4-1 certificate)*
IFA V6 Smart	No	Yes	Current and valid version (already upgraded from V5.2 in 2024)
IFA V6 GFS	Yes	Yes	IFA V6-GFS is already allowed, but will become the compulsory GFSI benchmarked version from **01 January 2025**, whereafter no further V5.4-1 audits will be allowed.

- An transition audit is a full onsite audit against the GLOBALG.A.P. V6 requirements and may be conducted announced, or unannounced to meet the GLOBALG.A.P. general regulations in terms of unannounced audit requirements.
- The BSI local office will notify your organization, in an appropriate time manner of the nature of your audit following the normal notification process.

13.1 Audit duration:

- The audit duration calculation rules in GLOBALG.A.P. V6 has been reviewed and the minimum duration has been considered, dependent on the option of certification (Opton 1 / Option 2) number of sites, number of crops, complexity of processes including growing, harvesting and post-harvest product handling.
- The BSI local office will notify your organization, in an appropriate time manner, about the change, if any, in audit duration for audits to be conducted against GLOBALG.A.P. IFA V6.

13.2 Reporting and Certificate:

- GLOBALG.A.P. V6 reports are captured on GLOBALG.A.P Audit Online Hub and you will receive an automated notification with the final audit report, once the certification review process is complete. Certificates are issued only after a final, positive certification decision and issued via the GLOBALG.A.P. Database or the Validation Services portal (e-Certificate).

13.3 Readiness Review:

- GLOBALG.A.P. advises producers to use the GLOBALG.A.P. IFA V6 documents generator (https://www.globalgap.org/ifav6checklist/) to:
  - generate a producer-specific Self-Assessment Checklist to identify organizational gaps which need to be addressed to meet the new requirements,
  - develop associated documentation and an implementation plan,
  - provide appropriate training and awareness of the implication of the transition for all parties that have an impact on the effectiveness of the organization,
  - update the existing food safety management system to meet the revised requirements and provide verification of effectiveness.

13.4 How can BSI help?

- We can provide a Pre-certification audit against the IFA V6 standard. In case you have interest in this, please contact your local BSI client service manager.

13.5 Training courses:

- Clients can refer to GLOBALG.A.P. Academy for information on how to access suitable training on IFA V6 requirements.

13.6 GLOBALG.A.P. V6 scheme requirements:

- The GLOBALG.A.P. V6 requirements that were published are available here: Documents (globalgap.org)

14 Annex 1 - UNANNOUNCED CERTIFICATION BODY AUDITS UNDER INTEGRATED FARM ASSURANCE VERSION 6 GFS:

14.1 WHAT YOU NEED TO KNOW

What is an unannounced certification body (CB) audit under Integrated Farm Assurance (IFA) version 6 GFS?

An unannounced CB audit is an audit that occurs without prior notice or "no notification" to the producer. The requirement for a 0-hour notification is part of the Global Food Safety Initiative (GFSI) benchmarking requirements and applies to all fully GFSI-recognized standards (such as IFA, the Harmonized Produce Safety Standard, and Produce Handling Assurance). Unannounced CB audits are subsequent recertification audits. This means that the CB audit shall cover the full scope of certification and shall be conducted during the audit window following all the rules for subsequent CB audits.

All producers with production processes certified to a GLOBALG.A.P. core standard have a 10% chance of being subject to an unannounced CB audit for their recertification audit.

14.2 Why are unannounced CB audits important?

The purpose of the no notification unannounced CB audit is to ensure that producers are "audit ready" and in compliance with standards at all times. Unannounced CB audits help to ensure that producers and operations are consistently meeting standard requirements. By conducting audits without prior notice, CB auditors can observe day-to-day operations which helps to identify issues that may not have been detected during a scheduled CB audit.

14.3 How to prepare for an unannounced CB audit

Here are some ways to ensure you can be prepared for an unannounced CB audit:

- Provide accurate seasonal and product information to BSI and inform BSI if changes occur (e.g., changes to harvest dates, production locations, end of season dates).
- Notify BSI of up to 15 days on which your organzisation/operation will be unavailable for an unannounced CB audit during the recertification window (e.g., four months before the "valid to" date, and four months after, if seeking a certificate extension).
- Designate staff/worker(s) responsible for receiving BSI auditors.
- Communicate internally about the possibility of unannounced CB audits and prepare staff/worker(s) to receive BSI auditor in a professional manner.
- Maintain current records of all activities related to production, including training, planting, plant protection product applications, harvesting, handling, and storage.
- Ensure that all staff/workers are trained in procedures related to the standard and follow them consistently.
- Keep your production sites well-maintained to reduce the risk of contamination.

- Have an emergency response plan in place in case of an issue.
- Ensure your production site(s) are complaint with the standard at all times.

14.4 Nominating non-audit days

BSI will inform your organization of the upcoming unannounced audit by means of an unannounced audit black out date request form (PF 1990). This will be done well iin advance of your audit window period. You may, in terms of GLOBALG.A.P. General regulations V6 Section 7.4 nominate a **maximum of 15 working days** where your organization is not available to receive the unannounced audit, which must be indicated on the PF 1990 form and returned to BSI country operations as soon as possible.

14.5 The on-site audit

The unannounced audit shall take place fully on-site, within the 4-month audit window period prior to the certificate expiry date.

14.6 Can the client reject an unannounced CB audit?

In exceptional cases in which it is impossible for the producer to accept the proposed date (for medical or other justifiable reasons), the producer will be given one more chance to be audited unannounced. Objective evidence of the justification shall be available (e.g., medical document(s)). If no evidence of a justifiable reason is available, the producer shall accept the unannounced CB audit or be suspended. The producer shall receive a written warning if the first unannounced date is rejected, regardless of whether the rejection is justified or not.

The producer shall be subject to another unannounced CB audit. If that audit cannot take place, a suspension of the producer's certification shall be issued for all products registered for certification to the respective standard. The suspension shall be lifted when the unannounced CB audit has been conducted.

Due to the limitation of justifiable reasons to reject an unannounced recertification CB audit, CBs make every effort to schedule unannounced audits using the information on seasonality and availability provided by the producer and to ensure that an alternative contact is available to assist in conducting the audit.

14.7 Remember:

Unannounced CB audits are a normal part of the certification process. For more information on unannounced CB audits, contact your local BSI Client Service Manager.