



# BUREAU VERITAS

**GLOBALG.A.P.**

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For the benefit of business and people



# GENERAL REGULATIONS PART I | GENERAL RULES

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## WHAT'S GLOBALGAP (formerly known as EUREPGAP-1997)?



- ▶ Context: **globalising markets** in the primary food sector.
- ▶ GLOBALGAP is a private sector body that sets voluntary standards for the certification of agricultural products around the globe. The aim is to establish ONE standard for **Good Agricultural Practice** (G.A.P.) with different product applications. Has a Secretariat, **FoodPLUS**, located in Cologne (Germany)
- ▶ GLOBALGAP is a **pre-farm-gate standard**, which means that the certificate covers the process of the certified product from farm inputs like broodstock or juveniles and all the farming activities until the product leaves the farm.
- ▶ GLOBALGAP is a business-to-business label and is therefore **not directly visible to consumers**.
- ▶ GLOBALGAP consists of a set of normative documents. These documents cover the GLOBALGAP General Regulations, the GLOBALGAP Control Points and Compliance Criteria and the GLOBALGAP Checklist.
- ▶ Certification is voluntary based on objective criteria that can be audited by Certification Bodies accredited for such product scope (EN 45011 / ISO Guide 65)



# WHAT'S GLOBALGAP?



<http://www2.globalgap.org/members.html?memtype=retail>

# WHAT'S GLOBALGAP?



<http://www2.globalgap.org/members.html?memtype=associate>

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

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## Version Updates

- ▶ **Version 5.1**
- ▶ Valid from: 1 July 2017
- ▶ Obligatory from: 1 October 2017
  
- ▶ **Final Version 5.2**
- ▶ Valid from: 1 February 2019
- ▶ Obligatory from: 1 August 2019

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## ▶ 1 INTRODUCTION

- ▶ This document describes the certification rules for any party seeking certification against a GLOBALG.A.P. Standard (Integrated Farm Assurance, Compound Feed Manufacturing, Plant Propagation Material, Chain of Custody, etc.), unless otherwise indicated in the Standardspecific Introduction.
- ▶ Rules for benchmarked schemes are explained in the GLOBALG.A.P. benchmarking regulations.
- ▶ The term “shall” is used throughout this document to indicate those provisions which, reflecting the requirements of GLOBALG.A.P., are mandatory.

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

## 2 NORMATIVE DOCUMENTS

- a) GLOBALG.A.P. Certification and Sublicense Agreement: *Contract between the CB and the producer. Sets legal framework in order to be granted the GLOBALG.A.P. Certification.*
- b) GLOBALG.A.P. Certification and License Agreement: *Contract between the CB and FoodPLUS.*
- c) GLOBALG.A.P. Control Points and Compliance Criteria (CPCC): *Document that sets the compliance requirements for producers.*
- d) GLOBALG.A.P. Checklist – Integrated Farm Assurance: *This document is used for all inspections and self-assessments*
- e) GLOBALG.A.P. Checklist – Producer Groups and Multisites with QMS: *Sets requirements for quality management systems*
- f) National Interpretation Guidelines. *Gives clarification and adaptation of the CPCC to the relevant country. Only available for countries where approved by the respective Sector Committees. These become obligatory for use as soon as they are approved and published.*
- g) GLOBALG.A.P. General Regulations (this document): *Defines how the certification process works as well as the requirements for quality management systems and related issues.*

# **GENERAL REGULATIONS INTEGRATED FARM ASSURANCE**

## **3 CERTIFICATION OPTIONS**

### **3.1 Option 1 – Individual Certification**

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

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

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

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

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

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## **3 CERTIFICATION OPTIONS**

### 3.2 Option 2 (see Part II)

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

### 3.3 Benchmarking Schemes

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

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## **3 CERTIFICATION OPTIONS**

### 3.2 Option 2 (see Part II)

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

### 3.3 Benchmarking Schemes

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

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## **4 REGISTRATION PROCESS**

### **4.1 Certification Bodies/ Farm Assurer**

- a) **The applicant shall, as a first step, choose a GLOBALG.A.P. approved certification body. Contact information on approved and provisionally approved CBs is available on the GLOBALG.A.P. Website. It is the responsibility of the applicant to verify whether the chosen CB is approved for the relevant scopes.**
- b) **The applicant must register with an approved CB or farm assurer as the first step towards obtaining a GLOBALG.A.P. Certificate. Unless the applicant has assigned a farm assurer, the CB is by default the Farm assurer and is responsible for registration, data updates, and collection of fees.**
- c) **GLOBALG.A.P. approved farm assurers are organizations (e.g. CB, producer group organizations, standard owners, consultants, etc.) that have signed a license agreement with GLOBALG.A.P. and acquired the right from producers to upload and/or register these producer**

## GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

### 4 REGISTRATION PROCESS

#### 4.2.2 Registration with a new CB

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

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## 4 REGISTRATION PROCESS

### 4.3 Acceptance

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

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## 4 REGISTRATION PROCESS

### 4.4 Application and Certification Scope

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

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

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

## GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

### 4 REGISTRATION PROCESS

#### *4.4.1.1 All Standards*

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

#### *4.4.1.2 Integrated Farm Assurance: Fruit and Vegetables*

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

#### *4.4.1.3 Integrated Farm Assurance: Other Crops*

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

## GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

### 4 REGISTRATION PROCESS

#### 4.4.3.1 *Parallel Production (PP)*

PP is a situation of individual producers, producer member or producer groups, produce the same product partly as certified and partly as non certified. It is also considered PP if not all the members of a producer group producing a product that is registered for certification are included in the scope of the certificate. Example: a producer grows apple, only a part of the apple production will be certified

Parallel production of certified and non-certified products of the same species (e.g. bananas, salmon or pigs) is not possible on a single site on individual producer level (Option 1 or Option 2 member). Exception exists for Livestock as described in the relevant Livestock Base CPCC (LB 3.3 and 7.2.3)

Parallel production of certified and non-certified sub-species of a products (e.g. cherry tomatoes and roma tomatoes) is possible under all options and the PMUs shall be specified.

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

## 4 REGISTRATION PROCESS

### *4.4.3.2 Parallel Ownership (PO)*

PO is a situation of individual producers, producer member or producer groups, buy non certified products of the same products they grow under certified production

**NB:** In both cases Parallel production or Parallel ownership an increase of audit time is applied for every site

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## 5 ASSESSMENT PROCESS

### **OPTION 1**

#### ***Internal Self Assessment***

**Frequency:** Must be carried out at least once a year under the responsibility of the producer.

**Scope:** The self-assessment shall be against the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s)

#### ***External Inspection***

**Frequency:** One announced external inspection carried out by the GLOBALGAP (EUREPGAP) approved CB per annum

**Scope:** The CB will inspect the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s)

### **Unannounced Surveillance Inspections**

Frequency

Scope

Notification

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## AUDITS

### *OPTION 2*

#### **Internal Quality Management System (QMS) Audit**

**Frequency:** The QMS, developed according to requirements set out in the General Regulations PART III – Producer Group Certification, must be audited internally, at least annually by the internal producer group auditor (see internal auditor requirements in PART III Appendix 2)

**Scope:** The audit must be carried out by using the QMS Checklist, which is based on the General Regulations PART II – Certification Body Rules, Appendix 3 and Part III – Producer Group Certification.

#### ***Internal Inspection***

##### ***Frequency:***

One announced external inspection carried out by the GLOBALGAP (EUREPGAP) approved CB per annum

##### ***Scope:***

The CB will inspect the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s)

#### **Unannounced Surveillance Inspections**

**Frequency**

**Scope**

**Notification**

## ***OPTION 1***

### ***Factors affecting audit time***

- **Number of products**
- **Total area**
- **Multisite/nbr of sites**
- **Distance between sites**
- **Presence of packing house**

## OPTION 2

### Audit Time Calculation

Producers shall be classified by production type, within the respective sub-scope. These may include, but are not limited to the following examples:

- (i) Housed livestock
- (ii) Open-field livestock or crops
- (iii) Covered/protected crops
- (iv) Perennial crops
- (v) Fresh water activities (aquaculture)
- (vi) Sea sites (aquaculture)

Example 1a: If a group of producers (64 in total) is being inspected for GLOBALG.A.P. for dairy and all production takes place in the open field, the square root of all producers (8) would be the sample size.

Example 1b: If, however, within that group of 64 producers, 16 produce dairy indoors, the square root of that small group of producers (4) would also be inspected, as they have a different production type. The square root of the 48 (64-16) and the square root of the 16 (4) means that a total of  $7 + 4 = 11$  producers will be inspected.

Example 2: A group has a total of 96 producers registered for GLOBALG.A.P. Certification under the sub-scope Fruit and Vegetables. From the 96 producers:

- 43 produce apples
- 10 produce apples and tomatoes in greenhouses
- 5 produce apples and tomatoes in greenhouses and tomatoes in the open field
- The rest of the producers produce carrots in the open field (38 producers)

That is:

- 58 producers produce perennial crops (apples)
- 15 producers produce covered crops (tomatoes in greenhouses)
- 43 producers produce crops in the open field (tomatoes and carrots)

Sample is:

$\sqrt{58} = 8$  producers producing apples

$\sqrt{15} = 4$  producers producing tomatoes in greenhouse

$\sqrt{43} = 7$  producers producing crops in open field

During inspections, if the CB selects a producer growing apples and tomatoes in greenhouses and carrots and/or tomatoes in the open field, the inspector is covering the 3 different production types at the same time.

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## AUDITS

### **External QMS Audit by GG Approved CB**

**Frequency:** One announced audit carried out annually by GG approved CB

**Scope:** The CB will audit QMS using the QMS checklist based on GR Part-II Appendix 3 and Part III-Producer group certification

### **External Producer Inspection by GG Approved CB**

**Frequency:** External farm inspections are annual

**Sampling:** Sampling is random by taking square root of the total number of the registered farmers with in the producer group

**Scope:** The CB will inspect the complete checklist (Major Musts, Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s). The same is true for un-announced inspections, which are not surveillance inspections incase of Option 2.

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## AUDITS

### *Un-announced Surveillance Audits*

**Frequency:** 10% of all producer groups registered with a CB under Option 2

**Scope:** The CB will audit QMS of the group. Any non-conformance will lead to sanction applied to whole producer group.

**Notification:** The CB will inform the producer group within 48 hours in advance of the intended visit. If the visit is not possible due to justifiable reasons, then another chance is given to the producer group with a written warning if the first date has not been accepted. Another 48 hours are given, if the visit cannot take place due to un-justifiable reasons then a complete suspension is issued.

Producers may elect to participate in the Rewards Program No-announced, if the following is true:

- Have been certified for at least two years; and
- The result of the last two inspections showed a 100% compliance with the Major Shalls and at least 95% of the Minor Shalls the day of the inspection; and
- There were no outstanding sanctions in the past two years.

Under the Unannounced Rewards Program, producers shall be excluded from the additional 10% of the unannounced inspection. However, the annual inspection shall be unannounced following the same rules

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

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## **6 CERTIFICATION PROCESS**

### **Compliance Levels**

#### **Major Musts**

**100% compliance of all applicable Major Must and QMS control points is compulsory**

#### **Minor Musts**

**For all scopes 95% compliance of all applicable Minor Must control points is compulsory for the sum of the control points in the applicable modules**

#### **Recommendations**

**No minimum percentage of compliance is set. All Recommendation control points in the CPCC must be inspected during the self-assessments (Option 1), internal inspections (Option 2) and external inspections by CBs.**

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## 6 CERTIFICATION PROCESS

### NON-CONFORMANCES AND SANCTIONS

#### Types of Non-conformances

##### Major Musts Non-conformances

- ▶ Sub-scope Level
- ▶ Scope Base level

##### Minor Musts Non-conformances

##### Contractual Non-conformances

- ▶ Breach of Contracts
- ▶ Technical Contractual Non-conformances

#### Types of Sanctions

Warning

Suspension/Product Suspension/Self Declared Suspension

Cancellation

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

## 6 CERTIFICATION PROCESS



### 6.7.2 Extension of Certificate Validity

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

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

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## FIGURES



	Number of Certified Entities - Lebanon
Grapes table	13
Potato	12
Peach	6
Apple	3
Cucumber	4
Lettuce	4
Thyme	3
cherries	3
Apricot	3
Tomato	1
Cabbage	1
Banana	1
Avocado	0

Oranges	0
Olive	0

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE

## 8 CHALLENGES



- a) Financial constraints**
- b) Irrigation water treatment**
- c) Labor Lack of Awareness**
- d) Validation of approved pesticides**
- e) Audit scheduling /planning for short harvest periods**
- f) Unannounced audit constraints**
- g) Traceability complications**
- h) Risk assessment incomplete**
- i) Measuring equipment calibration/verification**
- j) Neighbor drift**

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



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## ACRONYMS AND REFERENCES

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

# GENERAL REGULATIONS INTEGRATED FARM ASSURANCE



## 7 ACRONYMS AND REFERENCES

### 7.2 Reference Documents

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

• THANK YOU !



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