



GLOBALG.A.P.

GLOBALG.A.P. **General Regulations**

Part II – Quality Management System Rules

ENGLISH VERSION 5.4-1-GFS

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This Version 5.4-1-GFS is only applicable to the Fruit and Vegetables sub-scope and Aquaculture scope of the Integrated Farm Assurance Standard and serves as a basis with amendments for the Produce Handling Assurance Standard and the Harmonized Produce Safety Standard.

This document establishes the requirements producer groups and multisites (where a quality management system (QMS) has been implemented) shall comply with to achieve certification. These requirements need to be internally and externally assessed via the GLOBALG.A.P. QMS checklist to ensure completeness and effectiveness.

Requirements for multisites *with* QMS and producer groups

1 LEGALITY, ADMINISTRATION, AND STRUCTURE

1.1 Legality

- a) There shall be documentation, which clearly demonstrates that the applicant is or belongs to a legal entity.
- b) The legal entity shall have been granted the legal right to carry out agricultural production and/or trading and be able to legally contract with and represent the group members and production sites.
- c) The legal entity shall enter into a contractual relationship with GLOBALG.A.P. through the signature of the 'GLOBALG.A.P. Sublicense and Certification Agreement' in its latest version (available on the GLOBALG.A.P. website) with a GLOBALG.A.P. approved CB, or it shall explicitly acknowledge the receipt and the inclusion of the 'GLOBALG.A.P. Sublicense and Certification Agreement' with the signature of the service contract/agreement with the CB, and the CB shall hand over a copy of the 'GLOBALG.A.P. Sublicense and Certification Agreement' to the QMS management. The legal entity becomes the sole holder of the GLOBALG.A.P. certificate.
- d) A single legal entity can only operate one QMS per crop per country. Only a legal entity that can be certified under Option 1 can join a group for Option 2 certification. If a group or multisite joins another group or multisite, the 2 quality management systems shall merge into one to be managed by one single legal entity that will be the certificate holder.

1.2 Producers and Production Sites

1.2.1 Requirements for Producer Members of Producer Groups

- (i) There shall be written contracts in force between each producer member and the legal entity. The contracts shall include the following elements:
 - Producer group name and legal identification
 - Name and/or legal identification of the producer
 - Producer contact address
 - Details of the individual production sites, including certified and non-certified products (the contract may refer to the producer group's internal register for this information)
 - Details of area (crops) or tonnage (livestock and aquaculture) (the contract may refer to the producer group's internal register for this information)
 - Producer commitment to comply with the requirements of the GLOBALG.A.P. Standard
 - Producer agreement to comply with the group's documented procedures, policies and, where provided, technical advice
 - Sanctions that may be applied in case of GLOBALG.A.P. and any other internal requirements not being met
 - Signature(s) of producer and group representatives
- (ii) The producer group registered members shall be legally responsible for their respective production sites, although this takes place under the common QMS of the group.
- (iii) Members of a producer group are not legal certificate holders. Thus, they shall not market any products under their name with reference to the group certificate. All products that are sold without reference to the certificate shall be recorded in the group mass balance system.

1.2.2 Requirements for Production Sites in Option 1 Multisites

See General Regulations Part I, 4.2.1 j).

1.3 Producer and Site Internal Register

- (i) A register shall be maintained of all contracted group member producers and of all the applicable sites used for production in accordance with the GLOBALG.A.P. Standard.
- (ii) A declaration may be issued to the members of the group to indicate that they are indeed members of the group only if they are listed on the certificate annex. This declaration may not be used to replace a certificate or to trade with. See Annex II.3 for minimum requirements of such a declaration.

1.3.1 Requirements for Producer Groups

- (i) The register shall at least contain the following information for each producer:
 - Name of producer
 - Name of contact person
 - Full address (physical and postal)
 - Contact data (telephone number, e-mail, and fax number, if available)
 - Other legal entity ID (VAT number, ILN, UAID, etc.), where required for the country of production as published in annex I.2.
 - Products registered
 - Details of the individual production sites and their location, including certified and non-certified products
 - Growing/production area and/or quantity for each registered product
 - Certification body(ies) if a producer makes use of more than one CB
 - Producer status (internal status as a result of the last internal inspection: approved, suspended, etc.)
 - Date of last internal inspection
- (ii) Those producers of the legal entity who do not apply to be included in the GLOBALG.A.P. group certification shall be listed separately and are not required to be registered in the GLOBALG.A.P. Database (unless they have applied for a benchmarked option or any other GLOBALG.A.P. standard). This list is for management purposes within the producer group, and the disclosure of its contents externally is not required, unless it is needed for clarification of any issues raised, for example on the effectiveness of the producer group's quality management system.

1.3.2 Requirements for Option 1 Multisites with Implemented QMS

In addition to 1.3.1, the register shall at least contain the information regarding the relation of the legal entity with the production site (ownership, rented, etc.) for each site.

In Option 1 multisite, instead of producer status, the production site status shall be included in the internal register.

2 MANAGEMENT AND ORGANIZATION

The QMS shall be robust and ensure that the group's registered members or production sites comply in a uniform manner with the GLOBALG.A.P. Standard requirements.

2.1 Structure

- a) The structure shall enable the appropriate implementation of a QMS across all registered producer members or production sites.

- b) The applicant shall have a management structure and sufficient suitably trained resources (management and technical capacity) to effectively ensure that the requirements of GLOBALG.A.P. are met by all producers and at all production sites.
- c) Members of management shall annually conduct a documented management review and make necessary changes. The management review may be in the form of an annual staff meeting, where food safety resources, the status of actions from previous management reviews, external and internal changes that are relevant to the quality management system, and effectiveness of the quality management system are reviewed. Evidence of this management review shall be available and verified by the external CB auditor.
- d) The organizational structure shall be documented and shall include individuals responsible for:
 - Managing the QMS; which is independent from the sites and producers.
 - The internal inspections of each producer member and/or production site annually (i.e. internal inspector(s))
 - The internal audit of the quality management system and verifying the internal inspections (i.e. internal auditor). There shall be at least one person in the QMS structure (e.g. internal auditor) who is responsible and able to train the internal inspectors and producers
 - Technical advice to the group (depending on the scope of the group)
- e) The management shall give internal auditors and inspectors sufficient authority to make independent and technically justified decisions during the internal controls.

2.2 Competency and Training of Staff

- a) The competency requirements, training and qualifications for key personnel (those mentioned in 1.2.1, but also any other identified personnel) shall be defined and documented. These qualification requirements also apply to external consultants.
- b) The management shall ensure that all personnel with responsibility for compliance with the GLOBALG.A.P. Standard are adequately trained and meet the defined competency requirements:
 - Internal auditor competence (as set out in Annex II.1) shall be checked by management and reviewed by the CB.
 - Internal inspector competence (as set out by Annex II.1) shall be checked by the management and reviewed by the CB.
 - Where the internal auditor does not have the necessary food safety and G.A.P. training, but only QMS training/experience, another person with these qualifications (and identified in the QMS) shall form part of the “audit team” to perform the approval of the farm inspections.
 - Technical advisors to the producer group members/company shall meet the requirements described in the applicable CPCC, depending on the scope of certification (e.g. CB 7.2.1, AQ 5.2.1).
- c) Records of qualifications and training shall be maintained for all key personnel (managers, auditors, inspectors, etc.) involved in compliance with GLOBALG.A.P. requirements to demonstrate competence.
- d) If there are more than one internal auditor or inspector, they shall undergo training and evaluation to ensure consistency (calibration) in their approach and interpretation of the standard (e.g. by documented shadow audits/inspections).
- e) Systems shall be in place to demonstrate that key staff are informed and aware of development, issues, and legislative changes relevant to the compliance to the GLOBALG.A.P. Standard. Evidence of induction and annual refreshment trainings for key staff as defined above shall be available.

3 DOCUMENT CONTROL

- a) All documentation relevant to the operation of the QMS for GLOBALG.A.P. compliance shall be adequately controlled. This documentation shall include, but is not limited to:
 - The quality manual
 - GLOBALG.A.P. operating procedures
 - Work instructions
 - Recording forms
 - Relevant external standards, e.g. the current GLOBALG.A.P. normative documents
- b) Policies and procedures shall be sufficiently detailed to demonstrate compliance checks of the requirements of the GLOBALG.A.P. Standard.
- c) Policies and procedures shall be available to relevant staff and producer group registered members.
- d) The contents of the quality manual shall be reviewed periodically to ensure that it continues to meet the requirements of the GLOBALG.A.P. Standard and those of the applicant. Any relevant modifications of the GLOBALG.A.P. Standard or published guidelines that come into force shall be incorporated into the quality manual within the period given by GLOBALG.A.P.

3.1 Document Control Requirements

- a) There shall be a written procedure defining the control of documents.
- b) All documentation shall be reviewed and approved by authorized personnel before issue and distribution.
- c) All controlled documents shall be identified with an issue number, issue date/review date, and be appropriately paged.
- d) Any changes in these documents shall be reviewed and approved by authorized personnel prior to their distribution. Wherever possible, an explanation of the reason and nature of the changes shall be given.
- e) A copy of all relevant documentation shall be available at any location where the QMS is being controlled.
- f) There shall be a system in place to ensure that documentation is reviewed and that following the issue of new documents, obsolete documents are effectively rescinded.

3.2 Records

- a) There shall be records to demonstrate effective control and implementation of the QMS, quality manual, and compliance with the requirements of the GLOBALG.A.P. Standard.
- b) Records shall be kept for a minimum of 2 years.
- c) Records shall be genuine, legible, stored and maintained in suitable conditions, and shall be accessible for inspection as required.
- d) Records that are kept online or electronically are valid. If a signature is required, this can be a password or electronic signature that ensures the unique reference and authorization of the person signing. If a written signature of the responsible person is needed then this shall be present. The electronic records shall be available during the CB inspections. Back-ups shall be available at all times.

4 COMPLAINT HANDLING

- a) The applicant shall have a system for effectively managing customer complaints and the relevant part of the complaint system shall be available to the producer members.
- b) There shall be a documented procedure that describes how complaints are received, registered, identified, investigated, followed up, and reviewed.
- c) The procedure shall be available to customers as required.
- d) The procedure shall cover both complaints against the applicant as well as individual producers or sites.

5 INTERNAL QUALITY MANAGEMENT SYSTEM AUDIT

- a) The QMS for the GLOBALG.A.P. scheme shall be audited at least annually.
- b) Internal auditors shall comply with the requirements set in Annex II.1.
- c) Internal auditors shall be independent of the area being audited.
 - It is permitted for the same person to initially develop the QMS and then undertake the required internal annual QMS audit, however the person responsible for the day-to-day ongoing management of the QMS is not allowed to undertake the internal QMS audits.
- d) Records of the internal audit, audit findings, and follow up of corrective actions resulting from an audit shall be maintained and available.
- e) The completed QMS checklist with comments for every QMS control point shall be available on site for review by the CB auditor during the external audit.
- f) The organization (producer group or multisite company) shall have completed and signed the 'Food Safety Policy Declaration'. Completion and signature of the 'Food Safety Policy Declaration' is a commitment to be renewed annually for each new certification cycle. The central management may assume this commitment for the organization and for all its members by completing and signing one declaration at QMS level, which shall be attached to the QMS checklist used for the internal audit. In case the 'Food Safety Policy Declaration' has not been completed and signed at QMS level, each group member/individual production site shall complete and sign the declaration individually and keep it attached to the internal inspection checklist.
- g) Where the internal audit is not performed in one day but continuously over a 12-month period, a pre-defined schedule shall be in place.

6 INTERNAL PRODUCER AND PRODUCTION SITE INSPECTIONS

- a) Inspections shall be carried out at each registered producer (and corresponding production sites) or production site at least once per year against all the relevant GLOBALG.A.P. Control Points and Compliance Criteria.
- b) Internal inspections timing shall follow the rules defined in the General Requirements and scope specific rules.
- c) Internal inspectors shall comply with the requirements set in Annex II.1.
- d) Internal inspectors shall be independent of the area being inspected. Internal inspectors cannot inspect their own daily work.
- e) New members of the group and new production sites of the Option 1 multisite shall always be internally inspected and approved prior to entering into the internal GLOBALG.A.P. register.
- f) The original inspection reports and notes shall be maintained and available for the CB inspection.
- g) The inspection report shall contain the following information:
 - Identification of registered producer and/or production site(s)
 - Signature of the registered producer or production site responsible
 - Date
 - Inspector name
 - Registered products
 - Evaluation result against each GLOBALG.A.P. control point
 - The checklist shall include details in the comments section for the Major Musts control points that are found to be compliant, Major Musts and Minor Musts control points that are found to be non-compliant, and Major Musts and Minor Musts control points that are found to be non-applicable; unless a checklist is issued by GLOBALG.A.P. that pre-determines which control points and compliance criteria shall be commented on. This is needed to enable the audit trail to be reviewed after the event.
 - Details of any non-compliances identified and period for corrective action
 - Inspection result with calculation of compliance
 - Duration of the inspection
 - Name of internal auditor who approved the checklist

- h) The internal auditor (or audit team; see point 2.2 b)) shall review and make the decision on whether the producer or site is compliant with the GLOBALG.A.P. requirements, based on the inspection reports presented by the internal inspector.
- i) In case there is only one internal auditor who also performs the internal inspections, another person, e.g. management representative identified in the QMS, shall approve the internal inspections.
- j) Where the internal inspections take place continuously over a 12-month period, a pre-defined schedule shall be in place.

7 NON-COMPLIANCES, CORRECTIVE ACTION, AND SANCTIONS

- a) There shall be a procedure to handle non-compliances and corrective actions, which may result from internal or external audits and/or inspections, customer complaints or failures of the QMS.
- b) There shall be documented procedures for the identification and evaluation of non-conformances and non-compliances to the QMS by the group or by its members, respectively.
- c) Corrective actions following non-compliances shall be evaluated and a timescale defined for action.
- d) Responsibility for implementing and resolving corrective actions shall be defined.
- e) A system of sanctions and non-conformances that meets the requirements defined in the GLOBALG.A.P. General Regulations Part I shall be operated with producers or production sites. In case of contractual non-conformances (e.g. not complying with one of the QMS internal policies), sanctions are to be decided by the QMS.
- f) Mechanisms shall be in place to notify the GLOBALG.A.P. approved certification body immediately of suspensions or cancellations of registered producers or production sites.
- g) Records shall be maintained of all sanctions including evidence of subsequent corrective actions and decision-making processes.

8 PRODUCT TRACEABILITY AND SEGREGATION

- a) There shall be a documented procedure for the identification of registered products and to enable traceability of all products, both conforming and non-conforming, to the applicable production sites. A mass balance exercise shall be carried out, at least annually, per product to demonstrate compliance within the legal entity (see points e) to k)).
- b) Products meeting the requirements of the GLOBALG.A.P. Standard and marketed as such shall be handled in a manner that prevents mixing them with non-GLOBALG.A.P. approved products. An effective system shall be in place to ensure segregation of certified and non-certified products. This can be done via physical identification or product handling procedures, including the relevant records.
- c) Effective systems and procedures shall be in place to negate any risk of mislabeling of GLOBALG.A.P. certified and non-GLOBALG.A.P. certified products. GLOBALG.A.P. products entering the process (either from producer members/production sites or from external sources) shall be immediately identified with the GGN or any other reference that is clearly explained in the company policy and provides a unique reference to the certification status. This reference shall be used on the smallest individually identified unit.
- d) In case of parallel production/parallel ownership, the QMS shall ensure that all final ready-to-be-sold products (either from farm level or after product handling), originating from a certified production process are correctly identified with a GGN. In case of Option 2, it can be the GGN of the group, the group member who produced the product, or both GGNs. In case group members pack and label the product, the producer group may require from those members to include the GGN of the group, with or without the GGN of the member producer. In case of Option 1 multisite, it shall be the GGN of the individual producer. The GGN shall be used on the smallest individually packed unit, regardless if it is a final consumer packaging or not.

The GGN shall not be used to label non-certified products, except when there is a written agreement available between the producer and the client not to use the GGN on the ready to be sold product or when a client's own label specification does not include the GGN.

- e) There shall be a final document check to ensure correct product dispatch of certified and non-certified products.
- f) All transaction documentation (sales invoices, other sales related, dispatch documentation, etc.) related to sales of certified product shall include the GGN of the certificate holder and shall contain a reference to the GLOBALG.A.P. certified status.
This is not obligatory in internal documentation. Positive identification is enough (e.g. "GGN_GLOBALG.A.P. certified <product name>"). Indication of the certified status is obligatory regardless if the certified product is sold as certified or not. (This, however, cannot be checked during the initial (first ever) audit because the producer group/company is not certified yet and cannot make a reference to the GLOBALG.A.P. certified status before the first positive certification decision.)
This is not applicable only when there is a written agreement available between the producer group/company and the client not to identify the GLOBALG.A.P. status of the product and/or the GGN on the transaction documents.
- g) Procedures shall be established, documented and maintained, appropriately to the scale of the operation, for identifying incoming certified and non-certified products from members of the group or sites of the Option 1 multisite producer or purchased from different sources (i.e. other producers or traders). Records shall include:
 - Product description
 - GLOBALG.A.P. certification status
 - Quantities of product(s) incoming/purchased
 - Supplier details
 - Copy of the GLOBALG.A.P. certificates, where applicable
 - Traceability data/codes related to the incoming/purchased products
 - Purchase orders/invoices received by the organization being assessed
 - List of approved suppliers
- h) Sales details of certified and non-certified products shall be recorded, with particular attention to quantities delivered/sold as certified and descriptions provided.
- i) Quantities (including information on volumes or weight) of certified and non-certified incoming, outgoing and stored products shall be recorded and a summary maintained so as to facilitate the mass balance verification process. The documents shall demonstrate the consistent balance between certified and non-certified input and the output. The frequency of the mass balance verification shall be defined and appropriate to the scale of the operation, but it shall be done at least annually per product. Documents to demonstrate mass balance shall be clearly identified.
- j) The PHUs included in the QMS certification scope shall operate procedures, which enable registered products to be identifiable and traceable from receipt, through handling, storage, and dispatch.
- k) Conversion ratios shall be calculated and available for each relevant handling process. All generated product waste quantities shall be recorded.
- l) This section shall be audited both internally and externally also at PHU level, while PHUs are in operation.

9 WITHDRAWAL OF PRODUCT

- a) Documented procedures shall be in place to effectively manage the withdrawal of registered products.
- b) Procedures shall identify the types of event that may result in a withdrawal, persons responsible for taking decisions on the possible withdrawal of products, the mechanism for notifying customers and the GLOBALG.A.P. approved certification body, and methods of reconciling stock.
- c) The procedure shall be capable of being operated at any time.
- d) The procedure shall be tested in an appropriate manner at least annually to ensure that it is effective, and records of the test retained.

10 SUBCONTRACTORS

- a) Where any services are subcontracted to third parties, procedures shall exist to ensure that these activities are carried out in accordance with the requirements of the GLOBALG.A.P. Standard (see control point AF 5.1).
- b) Records shall be maintained to demonstrate that the competency of any subcontractor is assessed and meets the requirements of the standard.
- c) Subcontractors shall work in accordance with the applicant's QMS and relevant procedures and this shall be specified in service level agreements or contracts.

11 REGISTRATION OF ADDITIONAL PRODUCERS OR PRODUCTION SITES TO THE CERTIFICATE

New producers and sites may be added (subject to internal approval procedures being met) to a certificate in effect. It is the responsibility of the certificate holder (group or multisite) to immediately update the certification body on any addition or withdrawal of producers and/or sites to/from the list of registered producers.

- a) Up to 10 % of new producers (in groups) or sites (in multisites) in one year can be added to the approved list by registering the producers or sites with the GLOBALG.A.P. approved certification body without necessarily resorting to further verification by the certification body.
- b) When the number of approved registered producers (in groups) or sites (in multisites) increases by more than 10 % in one year, further external sample inspections (minimum is the square root of new producers/sites) of the newly added producers/sites and optionally an audit of the QMS will be required during that year *before* additional producers/sites can be added to the approved list.
- c) Regardless of the percentage by which the number of approved registered producers/sites increases in one year, should the newly registered farms increase the area or number of livestock of previously approved registered products by more than 10 % in one year, or there is a 10 % change of producers (in groups) or sites (in multisites), further external sample inspections (minimum is the square root of new producers/sites) of the newly added farms or producers/sites and optionally an audit of the quality management system will be required during that year *before* additional producers/sites can be added to the approved list.
- d) Regardless of the number of producers/farm area/number of livestock, if a new product is to be added to the certificate between surveillance and certification audits, inspection shall be carried out to the square root of the producers growing the new product. If the product added is a high-risk product (according to the 'GLOBALG.A.P. Product List'), every producer growing the new product shall be subjected to a producer audit by the CB.

12 LOGO USE

- a) The producer/producer group shall use the GLOBALG.A.P. word, trademark, or logo and the GGN according to the General Regulations and according to the 'GLOBALG.A.P. Sublicense and Certification agreement'. The GLOBALG.A.P. word, trademark, or logo shall never appear on the final product, on the consumer packaging, or at the point of sale, but the certificate holder can use any and/or all in business-to-business communication.
- b) The GLOBALG.A.P. trademark may be used on Compound Feed Manufacturing (CFM) certified feed, on GLOBALG.A.P. certified plant propagation material, on IFA certified aquaculture input (e.g. ova, seedlings, etc.), and on IFA certified livestock input (e.g. chicks) that are used as input for the production of the final products (as listed in the 'GLOBALG.A.P. Product List'), are not intended to be sold to final consumers, and will not appear at the point of sale to final consumers.
- c) The GLOBALG.A.P. word, trademark, or logo shall not be in use during the initial (first ever) inspection, as the producer is not yet certified and, therefore, cannot yet make a reference to the certified status.

ANNEX II.1 INTERNAL AUDITOR AND INSPECTOR QUALIFICATIONS AND RESPONSIBILITIES

1 KEY TASKS

1.1 Inspectors:

- a) May undertake inspections of farms (production sites within a multisite or those of members of a producer group) to assess compliance with the certification requirements
- b) May not perform auditors' tasks
- c) Shall produce timely and accurate reports on such inspections

1.2 Auditors:

- a) Auditing the QMS of the producer group or multisite to assess compliance with the certification requirements
- b) The approval of the members of the group or approval of the production sites of a multisite, based on inspection reports of the internal inspector. If internal auditors conduct the inspections, they shall not approve those inspection reports.
- c) To produce timely and accurate reports on such audits

2 QUALIFICATION REQUIREMENTS

2.1 Formal Qualifications

2.1.1 Inspectors:

- (i) A post high school diploma in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture); or an agricultural high school qualification with 2 years of experience in the relevant sub-scope after qualification; or any other high school qualification with 3 years of sector-specific experience (e.g. farm management, including owner operators, in the relevant products, commercial consultant in the relevant product, field experience relevant to specific products) and participation in educational opportunities relevant to their scope of certification.

2.1.2 Auditors:

- (i) A post high school diploma in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture); or an agricultural high school qualification with 2 years of experience in the relevant sub-scope after qualification; or any other high school qualification with 2 years of experience in quality management systems and 3 years of experience in the relevant sub-scope after qualification.

2.2 Technical Skills and Qualifications

2.2.1 Inspector Training

Sign-off of internal inspectors shall only occur as a result of:

- (i) One-day practical inspection course setting out basic principles of inspection; and
- (ii) Observing 2 CB or internal inspections by an already qualified inspector, either GLOBALG.A.P. or other, *and* 1 successful shadow inspection by the internal auditor, by a qualified internal inspector or by the CB.

2.2.2 Auditor Training

- (i) Practical knowledge of quality management systems.
- (ii) Completion of an internal auditor-training course related to QMS (min. 16 hours).

2.2.3 Food Safety and G.A.P. Training for Inspectors and Auditors

- (i) Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of the Codex Alimentarius or training in ISO 22000
- (ii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course
- (iii) For *Crops scope*: Plant protection, fertilizer, and IPM training either as part of formal qualifications, or by the successful completion of a formal course. These trainings should be given by third parties specialized in trainings on these topics. Trainings on product characteristics and handling operations can be internal.
- (iv) For *Aquaculture scopes*: Basic veterinary medicine and stockmanship training including animal health and welfare issues
- (v) In all cases, internal inspectors shall have practical knowledge about the products they are inspecting.

2.3 Communication Skills

- a) “Working language” skills in the corresponding native/working language. This shall include the locally used specialist terminology in the respective working language.
- b) Exceptions to this rule shall be clarified beforehand with the GLOBALG.A.P. Secretariat.

2.4 Independence and Confidentiality

- a) Auditors and inspectors are not allowed to audit their own job. Their independence shall be controlled and ensured by the QMS (i.e. an internal inspector/auditor cannot evaluate his own operations or a producer he has also consulted in the last 2 years).
- b) Auditors and inspectors shall strictly observe the producer group’s/producer’s procedures to maintain the confidentiality of information and records.

NOTE: *The qualification of internal inspectors and auditors shall be evaluated by the CBs during the external inspections.*

ANNEX II.2 FLEXIBLE DISTRIBUTION RULE TO ACCOMPANY THE QUALITY MANAGEMENT SYSTEM IN THE INTEGRATED FARM ASSURANCE STANDARD FRUIT AND VEGETABLES

1 APPLICATION FOR THE OPTION 2 FLEXIBLE DISTRIBUTION RULE

- a) Any producer group may apply for this with their certification body and shall do so *prior* to the annual audit during the registration or re-registration process.
- b) CBs willing to offer the Option 2 Flexible Distribution Rule shall register with GLOBALG.A.P.
- c) Permission to use the Option 2 Flexible Distribution Rule is determined on a case-by-case basis by the GLOBALG.A.P. Secretariat based on the documentation submitted by the CB.
- d) The documentation the CB submits to GLOBALG.A.P. for the Option 2 Flexible Distribution Rule shall include:
 - (i) Name and GGN of the group
 - (ii) Description of the group: Group structure, who is responsible for the sales, the number of producer group members, number of producers that distribute outside of the group, products distributed outside of the group, and the location of those producers.
 - (iii) How the producer group will fulfill the 'Rules and Conditions for Option 2 Flexible Distribution'.
 - (iv) What the justification, purpose, or nature of the outside distribution is; e.g. a producer may distribute outside of a group because they grow club or specialty varieties, require market flexibility, or export to different markets.
 - (v) Information shall be emailed to GLOBALG.A.P. at standard_support@globalgap.org.
 - (vi) Producers must update CBs whenever changes are made to the producer registry, including when producer group members choose to distribute outside of the group.
- e) A producer group can be denied the participation in the Option 2 Flexible Distribution program if they have incurred recent food safety outbreaks, have prior record of lapses in integrity, or have unresolved corrective actions, the submitted information is incomplete, the latter CB audit shows that the additional rules were not implemented, etc.

2 RULES AND CONDITIONS FOR OPTION 2 FLEXIBLE DISTRIBUTION RULE

1. Producer groups willing to allow outside distribution must apply to the CB and the CB must apply to the GLOBALG.A.P. Secretariat. Exceptions are granted on a case-by-case basis by the GLOBALG.A.P. Secretariat. The application for exception shall include how the group will fulfill the additional rules and conditions listed below and the justification for selling outside of the group.

2. GLOBALG.A.P. reserves the right to publicly identify those producer groups (in the GLOBALG.A.P. Database) that allow their members to distribute outside of the group.

3. Any producer group member that distributes at least part of its production outside of the producer group shall be authorized for such activity in writing by the producer group as part of the contract between the producer group and the specific producer group member. The certified producer group or the producer group member shall have an agreement with the outside packhouse or packing/selling organization where the member is distributing directly.

4. All quantities of registered products distributed outside of the producer group by any producer group member shall be recorded in the producer group's mass-balance calculation system. The producer group members need to maintain full traceability (batch level) of the delivered produce and to whom it was delivered.

These quantities may be registered on the QMS or on farm level. The producer group is responsible for the development and effectiveness of a written procedure for mass-balance of producer group members that distribute outside of the group. Where mass-balance of outside distribution is maintained at the farm level, this must be verified by the external auditor (CB auditor) whenever these producer group members are selected for external inspections.

5. Any distribution of registered products outside of the producer group shall contain a reference to the applicable producer group certificate and shall indicate that such products originate from a certified production process, which is under the control and responsibility of the producer group's internal QMS.

6. The written contract between the producer group and its members shall include language addressing cases of distribution outside of the group. The contract shall indicate that the liability for product certificated under a producer group, which is not distributed through the group, shall remain with the individual producer, where stipulated by local law. Examples of incidents that concern liability may include, but are not limited to recalls, residue exceedances, and food safety issues. Where GLOBALG.A.P. certification status of the individual group member is concerned, the certified producer group is still responsible for the producer's certification status.

7. Only in cases where it is required (i.e. parallel production or parallel ownership occurs), products shipped in consumer-level packaging (either at the farm level or after product handling/packing) shall be identified with the GGN (GLOBALG.A.P. Number) of the producer group, with the GGN of the individual producer group member, or both GGNs.

8. All transaction and shipping documentation (e.g. invoices, bills of lading, etc.) related to the distribution of products from a certified process by individual producer group members outside of producer groups shall indicate: The GGN of the producer group, the GGN of the individual producer group member, and the GLOBALG.A.P. certification status of the product(s).

9. Producer group members who distribute (sell) products outside of the producer group shall be identified as engaging in such activity in the producer group's membership registry/records. This shall be considered as a risk factor to be taken into consideration by CBs regarding the selection of the producer group members for sampling in external inspections/audits.

10. The producer group member is required to know the destination market and MRL restrictions if their product is sold outside of the producer group. Records of communication from the outside seller must demonstrate this.

At minimum, at the time of audit, the producer must show an attempt to learn the country of destination (COD) before the growing season starts. If unknown, then the product sold outside of the group can be sold only with recognized compliance in the country of production as described in the producer group's application for certification and as prescribed in the QMS program of the producer group.

11. The certificate holder must be the entity responsible for placing the fruit onto the market (e.g. in the USA, the certificate holder is typically a marketing organization or a packer) and/or be able to legally contract with and represent the producer group members/production sites.

12. The Flexible Distribution Rule may be applicable only to crops harvested annually (one harvest season per year) and only to crops with short harvest season (less than 4 months).

13. The applicant group has a limited range and similar crops, whereas the crops have similar production, harvesting, and produce handling activities.

14. The producer group is able to control full mass-balance of the products (sold/distributed through the group and/or directly by the member as certified or as non-certified) of all their members. The mass-balance related information shall be maintained on grower level or on group level.

15. The producer group applying for exception shall provide substantial justification for allowing direct distribution of members' products. Example: using club varieties or when the actual quantities of products sold outside the group certificate are extremely limited.

ANNEX II.3 DECLARATION OF GROUP MEMBERSHIP

Members of a certified group may receive a declaration from the producer group demonstrating that they belong to the group, provided that they are listed on the certificate annex.

The CB or GLOBALG.A.P. logo shall not be used.
The template shall not resemble a certificate issued by the CB
It is voluntary for the producer group to issue this declaration.

The declaration shall contain as a minimum the following information:

1. Producer group name, producer group GGN (address optionally)
2. Member name, GGN, member's product, (address optionally)
3. Expiry date of the group certificate
4. Disclaimer: "The GLOBALG.A.P. certificate of the group is defining the certified scope. The most actual list of the certified members may be found in the annex of the group certificate. The current status of this certificate is always displayed at: <http://www.globalgap.org/search>. The member may commercialize the products as certified only through the Group."*
5. Date of issue of this declaration
6. Authorization by the group's representative

* The group that applied and were approved for the "Option 2 Flexible Distribution Rule" may omit this sentence. See Annex II.2.

VERSION/EDITION UPDATE REGISTER

New Document	Replaced Document	Date of Publication	Description of Modifications
160630_GG_GR_Part-II_V5_0-2_en	150630_GG_GR_Part-II_V5-0_en	1 July 2016	1.1 c) – one word added; 1.3.2. – reference corrected; 6. h) – reference corrected;
170630_GG_GR_Part-II_V5_1_en	160630_GG_GR_Part-II_V5_0-2_en	1 July 2017	No changes in this document
170707_GG_GR_Part-II_V5_1_en	160630_GG_GR_Part-II_V5_0-2_en	7 July 2017	8. d) – correction to be aligned with QMS CL and General Regulations Part I
190201_GG_GR_Part-II_V5_2_en	170707_GG_GR_Part-II_V5_1_en	1 February 2019	8.d) – clarification Annex II.2 – Flexible Distribution Rule introduced Annex II.3 Declaration of Producer Group Membership
200221_GG_GR_Part-II_V5_3-GFS_en	190201_GG_GR_Part-II_V5_2_en	21 February 2020	2.1 b) – added text on management review
200715_GG_GR_Part-II_V5_4-GFS_en	200221_GG_GR_Part-II_V5_3-GFS_en	15 July 2020	Introduction – clarifying language added 2.1 b) – clarification added 2.1 d) – clarification added to first bullet point 2.2 b) – clarification added to first and second bullet point 2.2 d) – clarification added 2.2 e) – language removed for clarity 3.2 a) – clarification added 11 d) – clarification for high-risk products added Annex II.1, 2.2.3 – removed reference to livestock
211201_GG_GR_Part-II_V5_4-1-GFS_en	200715_GG_GR_Part-II_V5_4-GFS_en	1 December 2021	No changes in this document

If you want to receive more information on the modifications in this document, please contact the GLOBALG.A.P. Secretariat at translation_support@globalgap.org.

When the changes do not introduce new requirements to the standard, the version will remain “5.0” and an edition update shall be indicated with “5.0-x”. When the changes do affect compliance with the standard, the version name will change to “5.x”. A new version, e.g. V6.0, V7., etc., will always affect the accreditation of the standard.

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