1 Normative Documents

Registration data requirements	Rules for Plant scope
Rules for Individual Producer	Full Remote
Rules for Producer Group and Mulisite with QMS	Full Remote - List of auditable add-ons
Rules for Certification Body	AOH Upload rule
Rules for Parallel Ownership	ISO 17065:2012
Rules for Flexible Distribution	IAF Normative MD1, MD4

2 Policy Statement

Our Policy, as defined by the Food Assurance Senior Management Team, is to provide our applicants with consistent, quality service. To achieve this, Eurofins Food Assurance has established as part of its policy the following:

- To understand the importance of impartiality and confidentiality in carrying out its management system and process/product certification activities;
- To manage conflict of interest and ensure objectivity of its management system and process/product certification activities;
- To identify applicants' requirements, measure its performance against those requirements, and continuously implement initiatives to improve its services;
- To continuously innovate ways to serve our applicants'/stakeholders' needs;
- To develop and offer high-quality services that meet the needs of the community and our applicants with regard to the quality/environmental/safety impacts of our operations and services;
- To maintain international recognition of our services in support of our applicants' current and future requirements and expectations, including continuing professional development of our staff;
- To continually satisfy the requirements of ISO/IEC 17021 and ISO/IEC 17065, including the national/regional versions of the same, and the related IAF Mandatory Documents and the other documents related to the various services offered by Eurofins and issued by the relevant Accreditation Bodies and Sector Authority Organizations.
- This policy will be communicated to all levels of Eurofins staff as part of their orientation process.

3 Our Vision and Objectives

Our vision is to be a premier global solution provider for all our customers' auditing and management systems needs and to support their growth in the international marketplace.

- In support of this vision and the above policy statement we have established the following objectives:
- To deliver outstanding results through sound and thorough financial practices, superior profitability and sustainable revenue growth;
- To provide value-added services and deliver innovative solutions to facilitate our customers' success in the global marketplace. To deploy a "best practice, act as lead for quality" philosophy throughout the organization
- To establish and continuously improve efficient and effective processes to support delivery of excellent services which add value to our customers' business
- To promote a culture where motivated and satisfied customer-oriented employees can flourish, experience professional fulfilment and reach their highest potential

4 Scope and Purpose

This manual describes the scope, eligibility and procedures for GLOBALG.A.P. certification process under Eurofins Assurance Vietnam (hereinafter EFA) to comply with all requirements toward protection of the integrity of the scheme.

It is of the almost importance that those involved personnel in the certification process fully aware and understand the requirements in this document.

5 Scope of Espertise

Eurofins Assurance Vietnam (EFA) offers certification services for the areas of:

- GLOBALG.A.P. IFA Plants
- LOCALG.A.P.
- Crops for Processing
- Add-on: GRASP; TESCO/ NURTURE; SPRING; FSMA PSR, AH-DLL GROW

6 Sale Process

6.1 Completing of application form

The applicant is applying for GLOBALG.A.P. certification shall fill in following documents:

- **FA01 Application form for GLOBALG.A.P.**
- **Appendix of application form in associated with add-on modules**

The application shall contain at least the information detailed in the GLOBALG.A.P. Registration Data Requirements.

Upon registration, the applicant agrees to comply at all times with the requirements of certification, communicating to the EFA all the relevant data updates and the payment of the applicable fees set by GLOBALG.A.P. and the EFA.

During the registration, applicant defines the scope of certification. In doing so, applicant generates a customized set of P&Cs and corresponding GLOBALG.A.P. GR which will apply to audit process. During EFA opening meeting, auditor will check that checklist used by applicant for the self-assessment/ internal audit is correct according to the certification scope defined in the registration.

During the registration, questions regarding the applicant's specific certification process (i.e., Product handling unit included/ excluded, covered crops/ open field, GMO applicable/ non-applicable) are included to filter the P&C applicable to each specific producer and thus provide a customized checklist

The IFA scope plants cover the certification of the whole production process of the product from before the plant is in the ground to the unprocessed product. No processing or manufacturing is covered.

6.1.1 Product handling exclusion

If produce handling does not take place under ownership of applicant → declared during registration and indicated on certificate

Produce handling shall not be included when harvesting is excluded

Produce handling:

- Includes any type of postharvests handling of products such as storage, chemical treatment, trimming, washing, or any other handling where harvested product may have physical contact with other materials or substances.
- If a product stays in a collection point in the farm during the day, waiting to be picked up, this is not considered storage. If product is stored overnight or longer, this is considered storage and relevant requirements must be applied.
- shall always be included as long as product belongs to applicant during handling (by producer or subcontractor), exception: written evidence (contract, agreement, etc.) that applicant has no control over the packing/handling/storage/ labelling, product is not returned to producer and producer is not responsible for product anymore

If a producer does not perform to produce handling at his establishment, but he handles product in another producer that has GLOBALG.A.P. Certification, product handling can be included in the certificate of the producer who grew it, IF ALWAYS:

- The product still belongs to the producer who grew the product when it is packaged.

- The handling centre is in the establishment of the producer who packs it and his certificate product handling is included or a site visit is conducted to verify manipulation.
- If the products included in the scope of the certificate are the same for both producers.
- If the handling centre has a clear traceability system up to the individual producers.
- The handling centre does not pack, does not handle or store non GLOBALGAP products stated in the certificate unless there is registered Parallel Ownership

All other specific cases shall be presented to GLOBALG.A.P. Secretariat

6.1.2 Harvest exclusion

If the entire product is sold in the field before harvest and the buyer is responsible of harvesting, the harvest related principles and criteris (P&C) can be excluded from the scope of certification.

In any case where the harvesting process (whether carried out by the applicant or outsourced) take place while the product belongs to applicant, all P&C relating to harvest shall be included in EFA audit and in the scope of certification

“Harvest exclusion” applies when the product no longer belongs to the applicant prior to harvest commencing and applicant has no control over the harvest process. The exclusion does not apply if the harvest is simply outsourced by applicant

(i) During registration, the applicant shall apply for exclusion for every product, with detailed justification. Scheme Manager shall approve the exclusion for each individual case before the approval of the registration :

- The contract of sale.
- Buyer shall purchase the product before harvesting.
- Buyer is responsible for checking compliance with deadlines pre-harvest interval (PHI)
- Buyer shall handle the product after harvest.
- Buyer shall purchase the entire production.

(ii) If appliant does not know the buyer at the time of registration with GLOBALG.A.P., the following shall be provided :

- A declaration from applicant to inform the buyer about the pre-harvest interval (PHI)
- A contract with buyer, as soon as buyer has been identified, that includes all issues under point 6.1.2.i

If mandatory documents are not available at the audit time (buyer is still unknown), harvest exclusion is not approved.

If the harvest is excluded for a product, product handling shall be excluded for that product.

6.2 Application review

The FA01 Application form was completed by the applicant, shall be sent to the personnel responsible for the commercial management of EFA. This shall check that all fields are properly completed and declared that all products in the range are in GLOBALG.A.P. Product list (see www.globalgap.org)

The Application Reviewer calculates the number of hours and the rates applicable to FoodPLUS, then provide the FA01 Application form and FA02 Application review validated to the commercial management personnel to complete the proposal to applicant.

The proposal shall be forwarded to the applicant for signature, enclosed with the current version of the Sublicense Agreement.

6.3 Confidentiality, use and transfer of data

During the registration, applicants give written permission to GLOBALG.A.P. and EFA to use the registration data in internal processes and sanctioning procedures.

The minimum and obligatory data release level, as well as additional information on confidentiality and data use, defined by « GLOBALG.A.P. Data Access Rule » and available at www.globalgap.org/documents

If an applicant (company, individual producer or members of a group) disagrees with the minimum release, the applicant is not in agreement with the « Sublicense and Certification Agreement » and cannot be certified, nor belong to a producer group seeking certification

No data other than that stated in point (iii) can by released by GLOBALG.A.P. or EFA to any other party without the written consent of the applicant.

Communication to the applicant: The applicant shall be informed if:

- EFA makes any change in the GLOBALG.A.P. Database which affects the visibility of its data by other public users.
- changes in the GLOBALG.A.P. Politics are done referred to the Data Acess Rules.

FA01 Application form includes specific mention of consent by the applicant in relation to the above in GR Data regarding access Section 4 Confidentialy, Use and Transfer of data.

The receipt of the Certification contract and the "Sublicense Certification Agreement " signed by an authorized representative, constitutes acceptance of the Commerical contract for certification for a period up to 3 years or follow specific case

At this time, EFA will release GGN by the registration of Producer or Producer Group in the IT platforms, unless this registration is made by an authorized trustee.

This registration shall be done within 28 calendar days from signed certification contract and signed Sublicense Certification Agreement. In cases where the producer or producer group comes from another CB, this section shall not be performed and acted according to GR for CB, Item 9 Transfer between CBs.

Any objective evidence that states that the applicant has made a misuse of his GLOBALG.A.P. statement, it shall lead to the exclusion of the applicant in the certification process for a period of 12 months from the time that misuse was observed. In addition, the applicant shall be included in a list and the list shall be checked prior to registration in the database. Any case of misuse shall be communicated to GLOBALG.A.P. Secretariats

The situation of companies is publicly accessible via the following link:

https://database.globalgap.org/globalgap/search/SearchMain.faces?init=1

For subsequent audits, the producer shall inform to EFA of any changes in the initial data by completing a new application from before the expiry of the certificate validity. In any case, and even though they have no changes, each year, the producer shall complete the new application form.

6.4 Transfer between CB

GR for CB, Item 9 Transfer between CBs.

If a registered producer changes CB or requests the services of a new CB for certification of a new product, the producer shall communicate the GGN which was assigned by GLOBALG.A.P. to the new CB.

If the producer does not communicate this information, an extra cost of 200€ (euros) for an individual producer under Option 1; and 700€ (euros) for a group of producers under Option 2, shall be added to the registration fee.

The certificate holders who have been sanctioned cannot change CB until the outgoing CB lifts the nonconformity which caused the sanction.

Individual producers who are members of a producer group are not allowed to leave the group and register with another group-for the same already registered products - if there is any pending sanction the producer issued by the group, or if any matter is pending related with producer raised by the CB.

7 Certification Process

EFA audit shall cover :

- All registered products and production processes
- All registered production sites
- All registered PHUs
- Where releavant, administrative sites

In both Option 1 and Option 2, EFA audit content shall be organized in a three year cycle :

- First EFA audit (for version 6) : all requirements included in applicable checklist (for QMS and farm audits)

- Subsequent audit (year 2) : operational items as identified in the applicable checklists (for QMS and farm audits)
- Subsequent audit (year 3) : operational items as identified in the applicable checklists (for QMS and farm audits)
- Recertification (year 4) : all requirements included in applicable checklist (for QMS and farm audits)

7.1 Audit process

	Initial and Subsequent years
CB audit	**1 - Initial audit** – Entire scope, all registered site/ member and PHU, **announced** **2 - Subsequent audit** – Entire scope, all registered site/ member and PHU, annually, **10 % of subsequent audit, unannounced** *Unannounced against Smart vesion: notice of audit is not exceeded 48 hours (2 working day)* *Unannounced against GFS vesion: no notification prior to EFA audit is allowed*

Table I Overview of audits in IFA V6 Smart & IFA V6 GFS (Option 1 individual site/ multisite without QMS)

	Initial Evaluations	Subsequent Evaluations
CB QMS audit	**Certification audit** **Announced** QMS audit + Square root of the total number of registered central PHUs while in operation, **before CB farm audit**	**Recertification audit** **Announced** QMS audit + Square root of the total number of registered central PHUs while in operation, annually, **before CB farm audit**
Unannounced CB QMS audit	-	**Recertification audit** Minimum of 10% of all producer group/ multisite with QMS *10% Unannounced rule : notice of audit are not exceed 48 hours (2 working day)*
CB farm audits	**Certification audit** **Unannounced** inspection of (minimum) square root of registered producers/ production sites *Sampling of member/ site : EFA auditor inform to QMS representative of specific names of member/site to be sampled shall not exceed 48 hours (2 working days)*	**Recertification audit** If non-conformances detected during previous EFA surveillance : **Unannounced** inspection of (minimum) square root of actual number of registered producers/ production sites Or If no non-conformances detected during previous EFA surveillance : **Unannounce**d inspection of (minimum) square root of actual number of registered producers/ production sites *minus* the number of inspected producers/ production sites during the previous surveillance *Sampling of member/ site : EFA auditor inform to QMS representative of specific names of member/site to be sampled shall not exceed 48 hours (2 working days)* *In case of transfer : the reduction rule of*

		sample size is not applied
	Surveillance audit during certificate validity **Unannounced** inspection of minimum 50% square root of certified producers/ production sites *Sampling of member/ site : EFA auditor inform to QMS representative of specific names of member/site to be sampled shall not exceed 48 hours (2 working days)*	**Surveillance audit during certificate validity** **Unannounced** inspection of minimum 50% square root of certified producers/ production sites *Sampling of member/ site : EFA auditor inform to QMS representative of specific names of member/site to be sampled shall not exceed 48 hours (2 working days)*

Table II Overview of audits in IFA V6 Smart (Option 1 multisite with QMS or Option 2 Producer Group)

	Initial Evaluations	Subsequent Evaluations
	CB audits of producer groups/ multisite producer with QMS, without member/ site/ PHU as high-risk	
CB QMS audit	**Certification audit** **Announced** QMS audit + Square root of the total number of registered central PHUs while in operation, **before CB farm audit**	**Recertification audit** **Announced** QMS audit + Square root of the total number of registered central PHUs while in operation, annually, **before CB farm audit**
Unannounced CB QMS audit	-	**Recertification audit** Minimum of 10% of all producer group/ multisite with QMS *10% Unannouced rule : Notice of audit in prior are not allowed*
CB farm audits	**Certification audit** **Unannounced** inspection of (minimum) square root of registered producers/ production sites *Sampling of member/ site :* 25% of members/ sites are randomly selected No prior notification is allowed to each member/ site to be sampled	**Recertification audit** If non-conformances detected during previous EFA surveillance : **Unannounced** inspection of (minimum) square root of actual number of registered producers/ production sites Or If no non-conformances detected during previous EFA surveillance : **Unannounce**d inspection of (minimum) square root of actual number of registered producers/ production sites *minus* the number of inspected producers/ production sites during the previous surveillance *Sampling of member/ site :* 25% of members/ sites are randomly selected No prior notification is allowed to each member/ site to be sampled In case of transfer : the reduction rule of sample size is not applied
	Surveillance audit during certificate validity	**Surveillance audit during certificate validity**

	Unannounced inspection of minimum 50% square root of certified producers/ production sites *Sampling of member/ site :* No prior notification is allowed to each member/ site to be sampled	**Unannounced** inspection of minimum 50% square root of certified producers/ production sites *Sampling of member/ site :* No prior notification is allowed to each member/ site to be sampled
	CB audits of producer groups/ multisite producer with QMS, with member/ site/ PHU as high-risk	
CB QMS audit	**Certification audit** QMS audit + Square root of the total number of registered central PHUs while in operation, **before CB farm audit, no sampling of PHUs classified as high-risk**	**Recertification audit** QMS audit + Square root of the total number of registered central PHUs while in operation, **before CB farm audit, no sampling of PHUs classified as high-risk**
Unannounced CB QMS audit	-	**Recertification audit** Minimum of 10% of all producer group/ multisite with QMS
CB farm audits	**Certification audit** No sampling of members/ sites classified as high-risk. All registered members/ sites classified as high-risk shall be audited by EFA before issuing the certificate 20% of members/ sites are unannounced with no prior notice 80% of members/ sites are unannounced with 48 hours notification	**Recertification audit** No sampling of members/ sites classified as high-risk. EFA audits possible in one or two visits 20% of members/ sites are unannounced with no prior notice 80% of members/ sites are unannounced with 48 hours notification
General	If there is only one central product handling facility, it shall be inspected every year while in operation Where there are more than one central product handling facility, the square root of the total number of central product handling units registered shall be inspected while in operation Where the product handling does not take place centrally, but on the farms of producer members, this factor shall be taken into account when determining the sample of producers to be inspected Member/ sites/ PHUs deemed high-risk are not eligible for sampling	

Table III Overview of audits in IFA V6 GFS (Option 1 multisite with QMS or Option 2 Producer Group)

In order to classify a producer group/ multisite producer with QMS, site or PHU as high-risk, EFA shall examine a combination of product and process risk factors. If a high-risk product is combined with a high-risk process, the member/ site (farm or PHU) shall be classified as high-risk

High-risk products include fresh herbs, leafy greens, berries and cantaloupe melons. This list may be updated and shall be checked (see products marked as high-risk ^{HR} in the GLOBALG.A.P. Product List

High-risk processes include:

- Postharvest use water/ ice/ steam
- Preharvest and/ or harvest activities where water touches the edible parts of the product
- Preharvest use of raw organic manure applied less than 60 days before harvest

7.1.1 Initial audit (first)

Initial audit is applied to :

- Applicant seeking GLOBALG.A.P. certification for the first time
- Applicant who want to add a new product to an already GLOBALG.A.P. existing certificate
- Applicant changing their status from producer member to individual producer

The initial EFA audit **shall cover harvesting activities of each product** to be included for certification, as well as product handling if included.

The ER audit shall take place as close to harvest as possible to include as many P&C as possible

If EFA audit takes place before the harvest, it will not be possible to audit certain P&Cs. As a result, a follow up EFA audit shall be required. No certificate can be issued until all applicable P&Cs have been audited and all non-conformances have been closed

If EFA audit takes place after the harvest, applicant shall retain the evidence of compliance with P&Cs related to that harvest, otherwise, it may be possible to audit those P&Cs, and certification shall not be possible until the following harvest

If harvest is excluded, EFA audit shall be conducted at a time when relevant agronomic activities are being carried out

EFA shall ensure that, in the sample for intermediate announced visits, those producers who did not receive the first inspection during harvest, are more likely to receive an intermediate announced inspection during the next harvest (this has to be communicated to the producer when the inspection dates are discussed). In addition, the CB shall make every possible effort to carry out the subsequent inspection during harvest.

Multiple crops : The producer may seek certification for more than one crop, and the crops may not all have the same seasonal harvest timing. The requirements described above apply to groups of crops based on the similarity in the production and harvest processes and other associated risks. EFA shall audit all P&Cs for each product in these grouping before product (s) can be added to the certificate. An on-site EFA audit of harvest and product handling processes is obligatory for at least one product in each product grouping.

**The selection shall aim to cover all producer members/ production sites of the producer group/ company throughout a period of 10 years. In addition, the selection shall consider risk factors, new producers and random selection. Unless there is a particular reason, the subsequent assessment shall normally not include producers/ sites already sampled during previous assessments. Factors for inclusion in the initial or subsequent sampling may include higher risk of operation, special status of member, number of products, previous inspection results, multisite member, records of complaints, variation in site size, variation in shift patterns, modifications since last certification audit, environmental issues or variability difference in language or culture practices at sites, and geographic distribution. Producers that move one group to another shall have a higher possibility of being included in the sample of producers chosen*

7.1.2 Subsequent audits

The inspection shall be performed at the time where the relevant agronomic tasks and / or handling are carried out, and not only the storage activities. Inspection dates shall allow EFA to ensure that all registered crops, even those not present during the inspection, are managed in accordance with the requirements of certification.

Inspection off-season shall be avoided or when farming activities are at a minimum.

If produce handling is included in the scope of certification, product handling facilities shall be inspected annually. This inspection shall be carried out while operating. Only when EFA has conducted a risk assessment, which clearly shows that the risk is low, it allows inspection of produce handling during operation at least once every two years. The risk assessment shall take into account both the product handled as well as known food safety incidents related to the corresponding product, and any other GLOBALG.A.P. policy that indicates the need to observe specific points. EFA auditor shall document the justification of programming chosen for inspection. This exception applies only to Option 1 producers without QMS.

If the product handling is excluded from the scope of certification, inspection shall be scheduled during the harvest period, at least every two years. In the corresponding year, at least it shall be inspected during the

harvest period one product registered for every group of products. Groups of crops are based on similarities in their production, harvesting processes and risks. EFA auditor shall document the justification for the chosen frequency of inspection and groups of crops.

If the producer does not agree to continue the certification for the next cycle, EFA shall take sufficient precautions to avoid situations where a certificate could be used to cover more than one harvest and crop growth for the same crop harvested annually; for example, by shortening the validity of the certificate. EFA may set the deadline for reconfirmation according to crop harvest period.

7.2 Audit Preparation

Whereas the contract and Sublicense Certification Agreement are signed by the applicant and EFA, i.e., the acceptance is made in IT Platform and there is applicant's agreement about the audit dates

The EFA schedule managment person shall assign qualified GLOBALG.A.P. approved by sending Notice of Audit Assignment, shall consider following:

- The competencies of the auditor with respective standard, scheme, version & categories
- Their availability, previous auditor (rotation rule), audit language and geographical proximity.

Auditor (s) appointed shall review Notice of Audit Assigment, if the contents are appropriate and accurate; give response by the acceptance of Audit Assignment to launch the audit.

Auditor (s) appointed shall review the application form, application review and previous audit document if have to prepare audit plan and customized audit checklist properly

Auditor appointed will go to AOH platform and generate customized audit checklist for each audit.

Documents in prior to audit:

- FA01 Application form (initial/ subsequent/ extension audit)
- FA02 Application review validated (initial/ subsequent/ extension audit)
- GLOBALG.A.P. General Rules and relevant P&C
- Old certificate
- Previous audit report & CAR if have

Auditor appointed shall send audit plan to QMS representative in prior QMS audit take place in accordant to unannounced rule if have

Field inspections (places of production and handling facilities) may be assigned to a QMS auditor or Farm auditor. However, the audit of Quality Management System in Option 2 and Option 1+QMS, shall be implemented by a QMS auditor only.

IFA audit with central PHU shall be combined with the QMS audit. This combined QMS and central PHU audit shall be conducted by QMS auditor

The completion of QMS audit, central PHU and minimum samples of members/ site shall be concluded with maximum of one month

It's crucical to consider rotation of auditor during scheduling by Operation department every country/ region in accordant to General Rule for CB 12.3.6 and 13.3.6

- The same QMS auditor or Farm auditor is not allowed to audit an applicant (Option 1) for more than four (4) consecutive years (regardless of whether it's an announce audit or an unannounced audit).
- Under Option 2 or Option 1 with QMS, QMS auditor in the audit team shall rotate (no more than four consecutive years to audit the same QMS). However, Farm Auditor in the audit team may remain the same

For instance :

- Farm auditor #1 audits a producer in years 1, 2, 3 and 4; in year 5 another Farm Auditor #2 has to do annual farm audit. In years 6, 7, 8 and 9 Farm auditor #1 can audit the producer for 4 consecutive years again.
- QMS Auditor #1 audits a producer group's QMS in years 1, 2, 3 and 4; in year 5 another QMS auditor #2 has to do annual QMS audit. In years 6, 7, 8 and 9, QMS Auditor #1 can audit producer group's QMS for 4 consecutive years again

When a Eurofins country has only one auditor in a given country/ region, exeptions shall be noticed by written to Scheme Manager and approved case by case.

Any auditor who detects a scheduling for themselves in the same company during 5 consecutive years shall contact immediately to the Scheme Manager.

7.3 Audit Realisation

7.3.1 Initial audit

7.3.1.1 Announced Audit

In an Option 1 (no QMS), each production area or site shall be inspected and shall be included in the audit scope.

In an Option 2 or Option 1 with QMS audit, at first the Quality Management System shall be verified with the central product handling facility if have, after to the selection of producers or production areas to inspect, using the checklist with or without handling (as appropriate). Afterwards producers shall be chosen in order to be inspected according to the General Rules. All production sites shall be visited. The cover sheet shall be signed by all producers.

If the producer also needs to be audited for an add-on module and the rules of the add-on module explicitly exclude add-on unannounced evaluations, producers cannot participate in the unannounced.

All P&Cs shall be externally audited (except blocks that aren´t applicable; harvesting, handling, post- harvest), so in the justification section of the checklist's verification evidence shall appear. The comments are required by

Level	Yes (compliant)	No (non-compliant)	N/A (Not applicable)
Major Must	Required	Required	Required
Minor Must	Not required (except of IGL rule)	Required	Required
Recommendation	Not required (except of IGL rule)	Required	Required

- Compliance (Yes); Non- Compliance (No); Not Applicable (N/A).
- If the answer is not applicable, a justification shall be provided. It is not possible to answer N/A in those checkpoints where the Compliance Criteria specify "No N/A".
- Comments shall be fulfilled in order to allow the audit trail to be reviewed after the audit has taken place. It shall include details of the evidence found during the inspection. It is mandatory to provide comments for all Major Must in compliance, Non-compliance and Not applicable; for QMS control points and all checkpoints in non-compliance and not applicable of Minor Must of the inspected / audited by the EFA in all external inspections/audits and all internal inspections/audits or follow specific document by GLOBALG.A.P. in the mandatory fields.

To define which producers shall be audited during Option 2 or Option 1 with QMS audit, the auditor shall select producers based on a risk analysis based on (but not limited to these):

- Number of claims;
- Number of veterinary or pesticide treatments;
- If they have declared parallel ownerships;
- Harvest activities and/or handling at the time of the audit.

In case there are 2 subscopes, or various types of farming (covered and non covered crops, perennial & non perennial crops), these shall be grouped by number of producers that produce each type of crop, and calculate the square root shall be done separately for each of them.

In the case of options 1 with QMS: For an option 1 with several production sites (multisite) and with Quality Management System 's and annual internal inspections, rules for option 2 sampling shall be followed (GR).

For first certification audits and inspections only shall be valid only records submitted by the producer / producers:

- that date back to 3 months before the first harvest after registration is completed.
- Or the date of first registration of the producer with GlobalGAP, by selecting the earliest date of the two (GR).

The auditor shall ensure that the Option chosen by the producer (1, 1 + QMS) or producer group (2) corresponds to the provisions of the GR as defined by legal entity. In the case of finding an inconsistency in this regard or the solicitation of an offer, it shall inform the customer, and immediately contact the Scheme Manager, in order to make the necessary changes to be able to continue the audit.

It is possible to conduct the audit in two stages (both initial and subsequent audit). As described in the Sales process, the applicant is offered the option of selecting this type of audit, EFA offers this selection to the customer or carrying out the audit completely onsite.

If the audit is split in two stages, the applicant shall take into account that they shall provide the EFA all the information described in General Rule for Individual Producer and General Rule for QMS, with the exception of documentation that may be considered as confidential, that shall be evaluated by the auditor in the course of the onsite audit.

The audit is done in two stages

- Offsite stage.
- Onsite stage

Both shall be performed by the same auditor

The evaluation off site shall be validated by the CB before and shall be part of the annual management review.

a) Offsite Stage

The off-site audit methodology shall be validated before putting it into practice and shall be part of the yearly management review. Follow Remote Audit Procedure

EFA shall perform off-site audit no more than 4 weeks (28 days) before the onsite stage. It consists of a desk review of the documents submitted by the applicant to the EFA before onsite audit. EFA shall set a deadline for the applicant to submit the documents to be evaluated offsite. That date also shall be the start period of the 28 days to carry out the onsite assessment.

The documents that EFA can evaluate offsite are: Self-Assessment, Statement Policy of Food Safety, risk assessments, procedures required in various P&C, Veterinary Health Plan, Analysis programs (frequency, parameters, locations), analysis reports, licenses, list of plant protection products used, proof of laboratory accreditation, test laboratory accreditation, certificates or assessment reports of subcontracted activities and records of application of pesticides/ fertilizers/ medicine products. The document may be supported by the interview or a remote EFA audit

Offsite stage shall be recorded in the audit checklist through sufficient comments for the specific P&C. Comments shall be provided for all relevant P&C.

Possible non-conformities detected during the documentary audit shall be communicated to the producer in the onsite audit, and shall be confirmed by requiring all the additional information necessary to determine if there is really a nonconformity or failure. This confirmation is necessary because in the course of reviewing documents can be observed shortcomings, or the auditor may have reasonable doubts compliance with any requirement. It is therefore necessary that in the course of the audit at the production site, clarification with the producer if breach of the requirements or not. The producer has the possibility to provide information not previously reported that clears these doubts.

b) Onsite Module:

Onsite stage shall be conducted after the offsite stage and consists of an onsite EFA audit of the remaining contents of the checklist, the production process, the registered sites/ PHU, the verification of the information already reviewed by offsite. Onsite audit shall include, at minimum, the inspection of Good Agriculture Practice and food safety related requirements to determine compliance

When non-conformities are found during the entire EFA audit process, including offsite and onsite, the countdown to the deadline for closing NC´s begins with onsite closing meeting.

This system does not reduce the total duration of audit (see requirements for the duration of the audit specific rules of the scope) but it allows a more efficient use of time on the site. The duration of the module onsite shall never be less than two hours.

7.3.1.2 Remote Audit

Using ICT for offsite audit stage (Option 1 or Option 2): based on IAF MD 4:2018

GLOBALG.A.P. Full Remote: not applicable for IFA V6 GFS, HPSS & PHA.

Follow GLOBALG.A.P. General Rules for CB item 7.6 and GLOBALG.A.P. Full Remote v6_Sep22

7.3.2 Surveillance Audit (Option 1 with QMS or Option 2)

Surveillance audit: minimum 50% square root of acutual certified producers/ site

Certification audit/ Recertification audit and Surveillance audit shall be carried out in two seperate audits, shall be a minimum of 30 days apart from each other.

Final selection and communication to QMS representative which members/ sites sampled shall follow Section 7.1 in this document

7.3.3 Extension Audit

An extension audit is an audit after an initial or surveillance audit and that during the validity period of the certificate, the GLOBALG.A.P. certification scope is expanded and communicated by the applicant to EFA

For any extension, it shall be considered to what is referred in the General Rule. Once it has been verified that the application and the resulting data are adequate, EFA shall modify the Certificate of Approval.

The development of the audit / inspection is identical to initial audits/inspections, with the exception that it shall be focused on the reason for the extension.

7.3.4 Follow up Audit

The audit is required to a specific case where the results of the audit (initial audit, subsequent, surveillance and recertification) are insufficient to grant the certification. During follow up audit, auditor focus on the implementation of correction/ corrective actions taken and/ or supplements to the previous audit which they are not available at that time (harvest observation…)

Follow up audit is either onsite or off-site

7.3.5 Pre-audits

This pre audit/ inspection is always done prior to the initial audit certification and its main objective is to provide a preliminary diagnosis of compliance with good agricultural practice of the producer with the standard Global GAP. A fully completed application form for this kind of audits / inspections shall be required.

The extent of the pre-audit shall cover the P&Cs, and time shall be allocated according to the procedure of Sales. Changes in the scope or on the time of the pre-audit shall be reviewed at the stage of technical review of the contract by the responsible personnel.

The pre-audit shall be carried out by QMS Auditor or Farm Auditor with respective qualification to the scheme requested. The report is the same as in the GLOBALG.A.P. audit, although EFA never tracks the closure of non-conformities.

No results obtained in a pre-audit shall influence the GLOBALG.A.P. certification decision, to be taken in consideration only the results and evidence obtained during the audit certification.

The auditor who performs the preaudit shall not be the auditor that performs the certification audit.

7.3.6 Subsequent audits

Subsequent audits are initiated from year 2 and year 3 of the certificate. EFA auditor conducts to the audit of operational items.

Subsequent audit shall be can be carried out at any time during an audit window that extends over a period of eight months, from four months before original expiry date of the certificate and (only if EFA extends the validity of certificate) up to four months after the orginal expriry date of certificate.

There shall be a minimum period of 6 months between two subsequent audits

No subsequent audit can take place until the applicant complete renewal application form and EFA completes registration in GLOBALG.A.P. IT system.

The development of the audit is identical to the initial certification audit. Following the granting of a new certificate, annual certification visits leading to the attainment of certificates of approval for annual periods occur.

7.3.7 Recertification audits

Recertification audit is from year 4 of the certificate. EFA auditor conducts to the audit of full audit checklist like initial audit.

Recertification audit shall be can be carried out at any time during an audit window that extends over a period of eight months, from four months before original expiry date of the certificate and (only if EFA extends the validity of certificate) up to four months after the orginal expriry date of certificate.

No audit can take place until the applicant complete renewal application form and EFA completes registration in GLOBALG.A.P. IT system.

The development of the audit/ inspection is identical to the initial certification audit. Following the granting of a new certificate, annual certification visits leading to the attainment of certificates of approval for annual periods occur.

7.3.8 Audit reporting requirements

In any audit, the auditor shall collect in the GLOBALG.A.P. audit report or in the comments of the checklist by the following data:

- In Company profile, following data is required: certificate holder name, physicial address, legal document to demonstrate the certificate holder is legal entity for agricultural production and/or trading produces on the market, document name/ code, validity, authorities of issuance, products to be registered and assessed, countries of destination, when producer/ producer group has applied for GLOBALG.A.P. (MM/ YYYY).
- In case of an Option 1 multisite without QMS, all production sites where a registered product is produced shall be inspected before the certificate can be issued. The results shall be combined into a single checklist including all registered sites and summarizing the result for the whole legal entity.
- In case of an Option 2 Producer group or Option 1 multisite with QMS, one checklist shall be filled in for the QMS and per sampled members/ site/ PHU. In this case, the result is not summarized but reported separately for each member/ site, PHU and the QMS. The result (including date and duration) for each member/ site needs to be confirmed by the member/ site/ PHU responsible (by signing the checklist or the list of finding, including date and duration)
- Only legal certificate holder may market products with reference a GLOBALG.A.P. certificate. Producer group member is not a legal certificate holder. Therefore, they shall not sell any product under their name refernence to GLOBALG.A.P. producer group certificate. All products sold without reference to the certificate shall be recorded in the producer group mass balance system
- On completion of the full evaluation process, a full written report will be produced which summarizes the evaluation activity undertaken (date of the inspection, sites and facilities inspected, and duration of inspection/audit), provides objective evidence and information on how the producer or the producer group complies with the requirements of the standard, and where applicable, lists any non-compliances and/or non-conformances identified.
- The individual producer or Producer group representative shall sign or confirm the CB audit outcome, i.e., inspection Note and FA05 List of open non-conformances (including at least the scope of the inspection/ audit, the result in % of compliance for the different levels of control points, list of findings, and duration) during the closing meeting. A documented or electronic confirmation by the producer is equal to the ‘signature’ of the producer.
- Compliance is indicated with a “Yes” (for compliant), “No” (for not compliant), and “N/A” (for not applicable). P&Cs are indicated as “No N/A” cannot be answered as “not applicable”. In exceptions in which the P&C is not applicable, the answer shall be given as “Yes” with a clear justification.
- Comments shall be recorded according to the guideline for audit methodology, when available to enable the audit trail to be reviewed after the event. The comments shall include details of evidences checked during EFA audit. If there is no the guideline for audit methodology published for a given sub-scope or standard, it is obligatory to provide comments for all the complied, non-compliant, and not applicable Major Musts and QMS control points as well as to all non-compliant and not applicable Minor Must control points inspected/audited in all external inspections/audits (by CB) and internal inspections/audits. Comments and evidences, such as which document(s) were sampled, workers

interviewed, etc., shall be site- and product-specific and included in the checklist to ensure that all the P&Cs have been properly assessed for all applicable sites and products.

- Traceability control is understood by EFA as one of the elements in the product organization that is mandatory in product certification programs. This control is carried out according to the criteria established by GLOBALG.A.P. GR ranging from production units (crop farms), to the dispatch to customers (distributors/ buyers) and vice versa, recording actual data.
- Justifiable reasons for sampling shall be recorded. The 25% of the selected producer members or sites shall be selected randomly
- In the event that the producer (as defined in GR) also buys GlobalGAP certified products from external sources, traceability exercises shall be held with at least one of these external producers.
- A mass balance of total inputs and outputs of the company shall be done to demonstrate compliance within the legal entity (GR). This mass balance is performed by the company itself with a defined frequency, as set out in CPCCs, and it is the obligation of the auditor to verify the exercise result during the audit.
- The auditor shall indicate the scope of the product according to GR, stating whether it agrees with the data provided by the producer in the application form, noting that in the case of producer groups all the data for each producer shall be verified and stated in the audit report.
- For initial audits/ inspections carried out of the time of harvest of the main crop, indicate the justification for the selection of the audit date (GR), as well there shall be an indication of all the points that cannot be audited, if they are applicable. For multiple crops and as it is stated in the GR. No product can be included in a certificate until there is a satisfactory evaluation and compliance of all the applicable control points.
- The control of internal audits as indicated in the GR shall be made. In the case of Option 2 it shall be audited if this internal audit complies with GR for the compliance of internal auditors, which shall be also indicated in the audit report.
- The auditor shall ask or shall develop a complete and updated list of internal auditors of the producer group and give them their conformity (GR).
- Any subcontracted activity covered by the GLOBALG.A.P. standard shall be confirmed.
- The auditor shall ensure that the entire registered product shall be certified (no parallel production). See GR.
- In all cases, the analysis performed by the company shall be indicated, with detail regarding the number of analyzes performed, matrix analyzed, origin of the parent (holding), parameters analyzed, laboratory accreditation the same results (the auditor shall indicate in the audit report and / or checklist if the results are correct or not) and the date of analysis. Alternatively, the auditor GLOBALG.A.P. may accompany the audit report with a photocopy of the relevant analytical newsletters. Shall be inspected analysis has been performed on all pesticides used on the product in question in such exploitation through comparing those shown in the records.
- Indicate, name or link of the database consulted and the update for the verification of authorized use of the pesticide product.
- Parallel ownership has to be evaluated accordingly

7.4 Stages of Audit

7.4.1 Opening meeting

- Presentation to the Company.
- Confirmation of the scope of certification: Option, Producers, Products, production and handling areas, Parallel ownership, production capacity, hectares. Also a confirmation of any exclusion shall be done regarding product handling and harvest exclusion (exceptional), declared by the producer / producer group prior to approval of registration (see Sales Procedure). These exclusions apply to Crops.
- Present the audit plan agenda
- Introduce audit methodology, audit objective, general audit approach
- Explain the meaning of non-compliances and non-conformances

- Inform when, how, why and of what to make recordings, pictures or video footage and which will be saved as evidence, why and how long they will be stored (if remote audit)
- Discuss the possible variations.
- Requirements of Confidentiality during the EFA audit

7.4.2 Audit realization

The investigation is responsibility of the auditor, whose mission is to ensure:

- Verify that the product complies with the GLOBALG.A.P. P&C and relevant GRs
- That the company has a system correctly implemented which gives guarantees and reliability of the compliance of the requirements of the GLOBALG.A.P. standard.

The auditor has full power to act during the performance of the audit. He/ she can make onsite controls, verifications and/or appropriate measures (verifications of calculations of certain features, check clearance, etc).

In the case of outsourced activities (see GR) for the development of specific tasks covered by the GLOBALG.A.P. P&C, the producer shall validate the internal audit of the subcontractor in the event that it is the last point in the chain that evaluates the compliance with the points that apply. EFA has the right to audit the subcontractor, the subcontractor shall therefore be subjected to the same external inspection by the EFA auditor

7.4.3 Closing meeting

The closing meeting of the completing QMS audit shall take place only after the QMS, the PHU and minimum samples of members/ site have been audited.

Individual producer or produce group reperesentive shall sign in the report or specifically confirm its content by the email

The contents required during closing meeting presentation:

- The purpose of the closing meeting is to formally present to the producer / producer group the deviations found during the audit. The auditor shall conduct the meeting and verbally present the detected deviations.
- The auditor shall state the number and type of deviations found. On the form FA05 it shall indicate the deadline for resolving deviations always counting from the end date of the audit.
- The auditor shall inform the producer about the percentage of compliance of the various applicable requirements aswell as the no need for the establishment of corrective measures to resolve unmet "recommendations" or breaches against
- "Minor MUST" when it has compliance reached 95% of the "Minor MUST" applicable. However, the auditor shall always recommend the company to close any remaining non-compliance, regardless the type.
- The auditor, is responsible for issuing the certification recommendation, if there has been a successful outcome of the audit. Based on this recommendation, the Certification Committee member makes the certification decision (see Certification Decision Procedure). The applicant shall be informed of decisions involving the failure to grant the certificate.
- Introduce to applicant, EFA Complaint & Appeal procedure if any disagreement raised
- GLOBALG.A.P. trademark and logo requirements

7.4.4 Non-conformance and non-compliance

Non-compliance (with P&C): A GLOBALG.A.P. principle (formerly control point) in the checklist that is not fulfilled according to the associated criteria. Non-compliances only occurs if a Minor must or Recommendation is not fulfilled

Non-conformance (with the GLOBALG.A.P. certification rules): Occures when a GLOBALG.A.P. rule that is necessary for obtaining the certificate is infringed. Example, a Producer does not comply with 100% Major Must and/ or 95% Minor Must and the criteria is in a situation of non-compliance. Non-conformance may also refer to a deviation from the critical limit set for a critical control point, which results in a hazard

Contractual non-conformances: A breach of any of the agreements signed in the contract concluded between EFA and the producer related to GLOBALG.A.P. requirement. Case examples: Trading with a product that does not comply with legal requirements, false communication by the producer regarding GLOBALG.A.P. certification, GLOBALG.A.P. trademark misuse, payments not made in accordance with contractual conditions, etc.

a) Initial inspection :

- If an individual producer or producer group does not meet 100% compliance with all applicable Major must P&C, and at least 95% compliance with all applicable Minor must P&C within 28 days after an initial inspection, the company shall be set in the GlobalGAP Database as “open non conformance”
- If the non-conformance (s) are not solved within three (3) months, a full inspection shall pEFAormed before a certificate can be issued.

b) Subsequent inspection :

- Non-conformities shall be solved in 28 calendar days.
- In the case of non-conformities with contracts, General Rules or a Major Must, the CB shall decide which period shall be granted to the producer to solve the nonconformity before suspending the certificate. That period shall never exceed 28 days and may be shortened as the critical state of non-compliance, in terms of: safety of workers, the environment and consumers. A suspension shall be issued immediately when it is found a serious food safety risk, the safety of workers, the environment, consumers and / or integrity of the product (for example, selling products not certified as being certified). This decision shall be communicated via an official warning letter.

In the case of existing legislation are more restrictive rules GLOBALG.A.P. country, dominate the country's legislation. Compliance level for local legislation is “Major Must”. (Control Point, introduction, independent verification)

In the case of non-compliance against requirements of the Quality Management System, it shall be classified as "Major non - conformity of the QMS". Also, if there are central common product handling areas, all Minor points product handling (block FV.5) become Major Requirements.

In case of non-conformities raised regarding the approval certificate and/or the GLOBALG.A.P. Trademark, this shall be classified as “non-conformities of the use of the certificate or GLOBALG.A.P. Trademarks”.

If the same non-compliance appears to several control points, FA05 NC list is referred more than one control point

7.4.5 Correction and Corrective actions

All Non-Conformances (NCs) for all facilities, standards and audit formats shall have the root cause of the non-conformity, correction and corrective action responses accompanied with objective evidence of implementation.

All correction and corrective action shall be assessed, with clarification provided to show whether the action (s) taken and evidence provided are sufficient to close non-conformance

Evidence of resolution of non-conformances may be provided in the form of documentary evidence and/ or photographic evidence are appropriate.

All non-conformances to the QMS requirements and sampled member/ site shall be resolved before the certificate can be issued

By submitting the corrections and corrective actions, EFA auditor shall verify that the objective evidence (s) are complete and effective to assure that the non-conformity is closed and not happen again. There may be occasions where demonstation of the resolution of a non-conformance may only be confirmed by a further on-site visit or by remote assessment (ICT). Where this is required, a charge may apply.

7.4.6 Time to close the non-conformity reports

In initial audit, applicant may have a maximum time of 3 months counting from the initial audit end day to close the non-conformities. In the case of being necessary 3 months to close the non-conformities, auditor shall inform to back office and with Scheme Manager’s prior approval, to update the applicant's status in the database as **"Open Non-conformance"**

In any other audits, the applicant shall have 28 days for NC closure. If the company does not comply with these periods, the sanctions shall be initiated following Section VIII Sanction.

7.5 Recommendation of the Auditor for Granting Certification

In order to obtain the certificate for the evaluated applicant, the following requirements shall be fulfilled.

- Major Must: 100% compliance with all applicable Major Must P&C
- Minor Must: 95% compliance with all applicable Minor Must P&C

When the same NC is raised in different farms or associated producers during a GLOBALG.A.P. audit, it shall be considered as only ONE non-conformity indicating in the description all the farms or producers affected.

For the calculation of the compliance % the following calculation shall apply (G.R.):

(Total number of Minor Must P&Cs – Non applicable of Minor Must P&C) x 5% =

(Nº of Minor Must P&C non-compliant allowed)

In case of an option 2, if the same Minor Must non conformity is raised in different farms or producers during a GLOBALG.A.P. audit, it shall count as only ONE minor non-conformity. It shall be indicated in the checklist and the audit report the corresponding farms or producers affected

If during a GLOBALG.A.P. audit of Option 2 the same deviation referred to the same requirement is raised in different farms or associated producers, depending on the requirement, it can be considered as a structural or general non-conformity for all the group and it shall be required a corrective action for the whole group, not only for the producers or farms involved.

Any incompliance raised during the evaluation, shall be discussed during the audit and documented at the end of the date.

All the incompliances related to the QMS shall be resolved before awarding the certificate to the producer group.

It is not necessary to obtain the compliance of the recommendations in order to obtain the certification.

The certification shall not be recommended until all the non-conformity "major must", QMS requirements, and/ or more than 5% of the "minor must" are closed and sent successfully to EFA

EFA reserves the right to make again a complete re-audit if the non-conformities have not been closed in the deadline

Failure to meet these deadlines may result in the suspension or cancellation of certificate, which shall be shown in the GLOBALG.A.P. IT Platforms. In the case of non-conformities detected during surveillance audits, intermediate annual announced audits or extension, the same criteria for the implementation of appropriate corrective actions shall be implemented.

7.6 Documentation that shall given to the Producer

EFA must send full audit report and complete audit checklist to producer by the time of certification decision

7.7 Final Audit Package submitted to technical review

EFA auditor must provide full of audit package to technical reviewer for certification decision including:

- Audit plan
- Full audit report, completed and signed by auditor
- Relevant Audit checklists audit for each producer completed
- QMS Checklist (If Option 2 or Option 1 with QMS)
- Signed Audit outcome (either hand-signing or acknowledgement by email)
- Corrective action and objective evidences of the NC closure
- Inspection Note completed and signed by both parties
- FA48 Sampling record of member/ site (If Option 2 or Option 1 with QMS)

From V6 onward, only hand signing or acknowledging of receipt by email are acceptable for documents to be signed (no use e-signature). In case of the printing is impossible at closing meeting, EFA auditor shall send **Audit Outcome** and **Inspection note and QMS Summary if have** to Producer's representative, Producer's

representative need to reply the email by acknowledging of receipt. This email shall be enclosed in final audit package and sent to technical reviewer.

7.8 Technical review and Certification Decision

7.8.1 Technical Review

Certification Committee is responsible for technical review and certification decision

Verification of the corrective action plan and the implementation of the corrective actions shall be carried out by a person qualifed for the respective sub-scope, standard or add-on.

The person who makes the certification decision or at least one member of the certification committee shall comply with auditor qualifications as set out in GR for CB Item 13 for the scope the certificate is being issued for.

In case of finding improper procedures in the audit report, incorrect non-conformities, or inappropriate acceptance of evidence to close Non-conformity, the Certification Committee will request the auditor for corrections and clarification.

The output of technical review shall be recorded in FA09 Technical Review Checksheet

Note:

- EFA and the decision-making process shall be impartial and free from any conflict of interest to include any commercial or financial pressures or gain.
- The member of Certification Decision Making Committee shall not take any decision about the audit that he/ she participated in.

7.8.2 Certification Decision

EFA shall make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances. In case no non-conformances are detected during the inspection/audit, it means that the EFA shall make the decision no later than 28 days after the end of the inspection/audit.

When the result of Technical Review showed compliance with GLOBALG.A.P. EFA Certification Decision Making Committee will provide “Certification Decision” and the certificate is granted in Validation Service

The certification shall not be awarded where any non-conformances requiring corrective action, remain outstanding.

The certification for on-going issues is maintained where there is substantive and demonstrable evidence that the Applicant remains in compliance with the criteria of the Standard in question. When timescales, verification and/or corrective actions are not completed as required, suspension and/or withdrawal of facility certification may be implemented.

The validity and duration of the issued certificate will be specified within each GlobalG.A.P. Regulations

8 Sanction

a) If non-conformance is detected, the EFA shall apply a sanction (warning, suspension, or cancellation) as indicated in this section.

b) If a clear link has been established between a producer and public health outbreak by a reputable governmental regulatory authority, suspension of the certification shall be imposed, while a review of the producer’s certification is performed.

c) Producers cannot change CB until the non-conformance that led to the respective sanction is satisfactorily closed.

d) Only the CB or the producer group that has issued the sanction is entitled to lift it, provided there is sufficient and timely evidence of corrective action (either through a follow-up visit or other written or visual evidence).

8.1 Warning

A warning is issued for all types of non-conformances detected (i.e., non-conformance with P&C, General Rules, or contractual requirements).

If a non-conformance is detected during the audit, the producer shall be given a warning when the audit is finalized. This is a provisional report that could be overridden by the EFA certification committee

Initial audit

- If an individual producer or producer group does not comply with 100 % of applicable Major Must P&Cs and 95 % applicable Minor Must P&C within 28 days after an initial audit, the status “open non-conformance” is set in the GLOBALG.A.P. Database.
- If the cause of the warning is not resolved within three (3) months, a complete audit shall be performed before a certificate can be issued.

Subsequent inspection:

- Non-conformances shall be closed within 28 calendar days.
- In the event of non-conformances with contracts, the General Rules, or a Major Must and/ or more than 5% applicable Minor Must P&C, EFA shall decide what period is given to the producer for closing the non-conformance before suspending the certificate. This period shall never exceed 28 days and may be shortened according to the criticality of the non-conformance in terms of safety of workers, environment and consumers.
- An immediate suspension shall be issued where a serious threat to food safety, the safety of workers, the environment, consumers, and/or product integrity (i.e., sale of non-certified products as certified) is present. This will be communicated via an official suspension letter.

8.2 Suspension

- If the cause of the warning is not resolved within the defined period (maximum of 28 days), EFA shall initiate a suspension against the certificate within 24 hours.
- If a reputation government regulatory authority has established a clear link between a producer and a foodborne outbreak, suspension of certificate shall be imposed by EFA while a review of the producer’s certification is conducted.
- If a certificate holder has been found by a court of law to have ingringed a national or international law and these actions can endanger the reputation and credibility of FoodPLUS and/ or GLOBALG.A.P. standard, EFA shall suspend the certificate with immediate effect
- EFA can lift product suspensions imposed on producers and producer groups issued by them.
- A suspension can be applied to one, several, or all of the products covered by the certificate.
- A product cannot be partially suspended for an individual producer (single or multisite), i.e. the entire product shall be suspended
- When the suspension is applied, the EFA shall set the period allowed for corrective actions (not longer than 12 months).
- During the period of suspension, the producer is prohibited from using the GLOBALG.A.P. logo/trademark, license/certificate, or any other type of claim that is in any way linked to GLOBALG.A.P. in relation to the suspended product.
- If a producer notifies the EFA that the non-conformance is resolved before the defined period, the respective sanction can be lifted after evaluation of evidence provided by the producer. This evaluation may take place on- or off-site. If done through an on-site inspection, announced or unannounced, it may be a full inspection or evaluating only the submitted evidence
- If the cause of the suspension is not resolved within the defined period, a cancellation is imposed.

8.3 Self –declare product suspension

- A producer or producer group may voluntarily ask the EFA for a suspension of one, several or all of the products covered by the certificate (unless a EFA has already imposed a sanction). This can occur if the producer experiences difficulty with compliance to the standard and needs time to close any nonconformance.
- This suspension will not delay the renewal date, neither will it allow the producer to avoid paying registration and other applicable fees.
- The deadline for closing non-conformance is set by the declaring producer/producer group, which shall be agreed upon with the EFA.

- The same applies for members of a producer group who may voluntarily ask the respective group to temporarily suspend their product(s). Here too, the deadline for rectifying non-conformance is set by the declaring producer, which shall be agreed upon with the respective producer group QMS.
- In the GLOBALG.A.P. Database the product status “self-declared suspension” shall be set for the respective products.

8.4 Cancellation

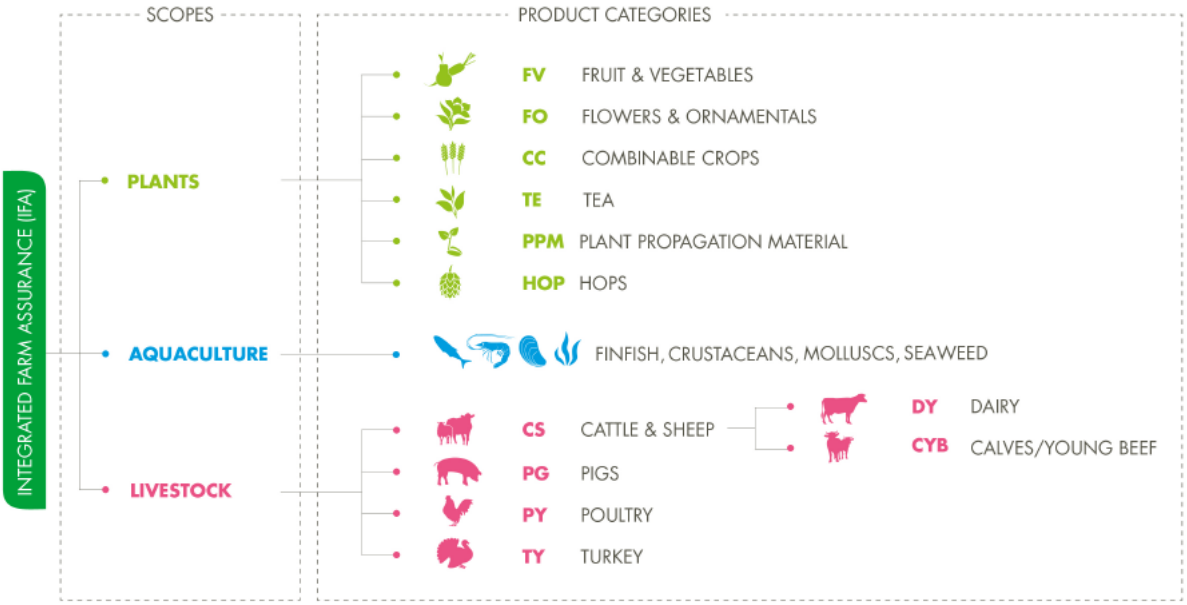
A cancellation of the contract shall be issued where:

- EFA finds evidence of fraud and/or lack of trust to comply with GLOBALG.A.P. requirements or
- EFA find objective evidence that indicates the producer has been misusing the GLOBALG.A.P. claim. Any case of misuse may be communicated to the GLOBALG.A.P. Community Member
- A producer/ producer group cannot show evidence of implementation of effective corrective action before the suspension period set by EFA has elapsed

A cancellation of the contract results in the total prohibition (all products, all sites) of the use of the GLOBALG.A.P. logo/trademark, license/certificate, or any device or document that may be linked to GLOBALG.A.P.

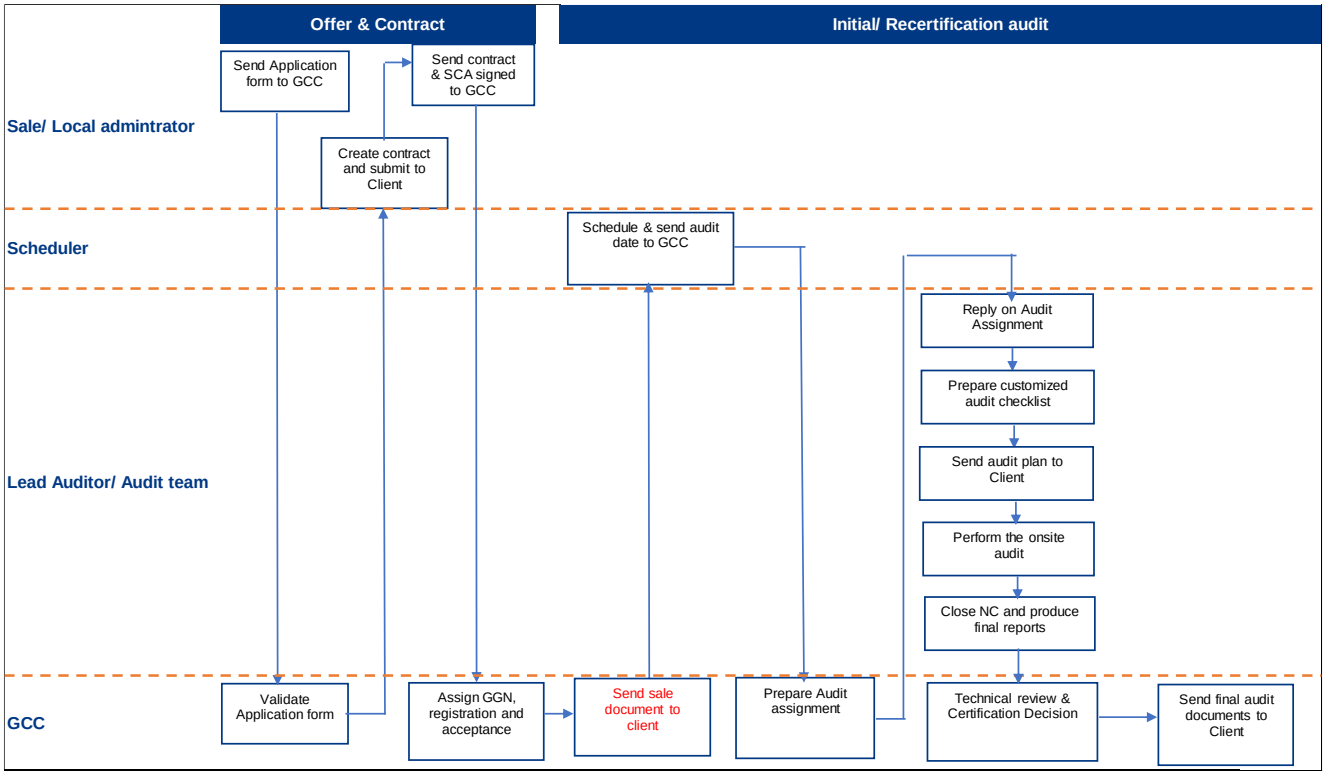
Producers that have received a cancellation shall not be accepted for GLOBALG.A.P. certification within 12 months of the date of cancellation.

9 Annex I – Intergrated Farm Assurance Table



10 Annex II – Flowchart of Audit

10.1 Initial Audit/ Subsequent/ Recertification Audit



Description	PIC	Deadline	Record
Send application form	Local office	When available	Application form
Validate application form	GCC	5 days	Application review *In all cases, audits of producers moving from another GFSI-benchmarked Certification Programme to a GLOBALG.A.P. GFSI-benchmarked standard shall always be considered as an initial audit and not a subsequent (recertification) audit & a risk assessment shall be in place (TN 02/ 2024)
Create contract & submit to client	Local office	-	Contract & Sublicense of Certification Agreement
Send signed contract & SCA to GCC	Local office	7 days before audit starts	Signed Contract & Sublicense of Certification Agreement
Assign GGN, registration & acceptance	GCC	4 days	
Send sale documents to client	GCC	1 day	Application form (approved), signed contract & SCA
Schedule audit	Local office	-	+ Align to harvest/ handling time at all audit types + At least 6 months between two subsequent audits + At least 30 days from surveillance and initial/ subsequent audit + QMS, members/ sites and handling audit must be completed within one month at maximum
Prepare Audit Assignment	GCC	2 days	Audit assignment includes: application form, application review, old certificate, previous audit report & checklist if have *If Option with QMS, attach FA48
Reply on Audit Assignment	Auditor/ team	Before audit takes place	By email
Prepare customized audit checklist (V6 only)	Auditor/ team	Before audit takes place	Customized audit checklist
Send audit plan to Client	Auditor/ team	Before audit takes place or follow unannounce rules	Audit plan
Perform the onsite audit	Auditor/ team	Follow audit plan	
Complete corrective action	Auditor/ team	28 days	Initial audit: 28 days or 90 days Audits remained (recertification, unannounced, surveillance): 28 days *if extend to 90 days: auditor must inform in written on the 28th days from audit end day
Produce final reports	Auditor/ team	10 days	1. Audit plan 2. Audit report 3. Signed audit outcome 4. Signed inspection note 5. Respective audit checklist/ QMS checklist 6. Corrective action (evidence) 7. Site or Member sampling - Monitoring record (with QMS only) *10 days from audit end day (if no corrective action required) or from actual day of NC closure
Technical review & Certification Decision	GCC	14 days	Technical review & Certification Decision *Send audit report + audit checklist to client by email
Send certificate + logo use document to Client	GCC	4 days	

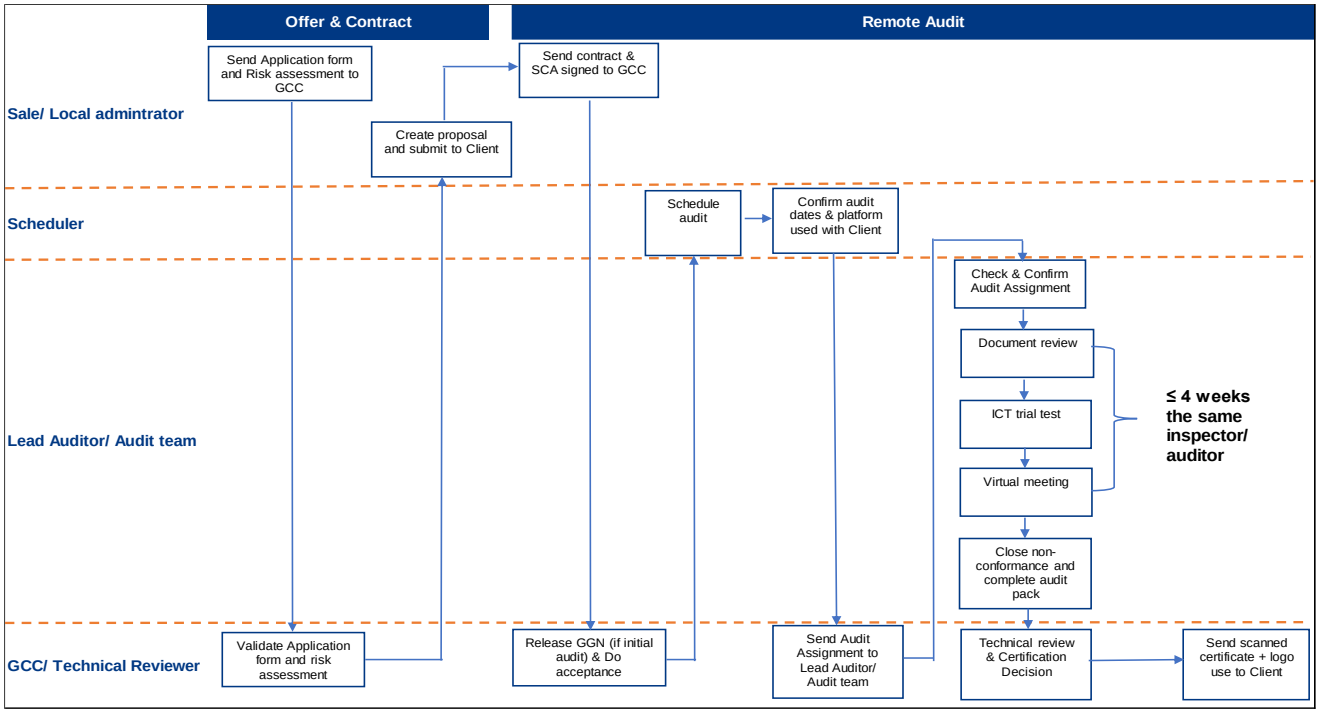
***This flowchart is applied mainly to IFA Plants, when the audit is combined with add-on modules, this certification flow must be connected in compliant with specific requirements to each add-on module**

Cautious : In any case, Eurofins Assurance Vietnam reserves the rights to cancel the audit result, reschedule a complete audit and/ or apply to the sanction process associated with relevant GR rules if auditor/ applicant has significant failures by, but not limited to one of following reasons :

- Auditor has not inspected all applicable principles and criteria, there are not suitable evidence to ensure the conformance of each principles and criteria to grant the certification
- Failure of respecting mandatory timelines to proceed/ maintain the certification, example, timeline of non-conformance closure, timeline of notifying open non-conformance, timeline of submitting final audit package
- Breaches of the integrity and compliance incidence
- No repsective response to Audit Assignment before the audit takes place

The final conclusion is made by Certification Committee upon a case

10.2 Remote Audit



11 Annex III LOGO USE POLICY

11.1 Eurofins logo

In any case, client is not allowed to use Eurofins logo and/ or trademark without written approval in prior by Eurofins representative.

Eurofins Assurance will implement to review and approve upon a request.

11.2 GLOBALG.A.P. trademark and logo

The client is responsible for knowing and understanding of Policy and Guideline of GLOGALG.A.P. Trademark and Logo Use in the latest version at all times, and maintain compliance with it.

The compliance of using GLOBALG.A.P. trademark and logo, GGN and any other certification reference will be verified during initial audit, surveillance audit, subsequent/ recertification audit, unannounced… by Eurofins auditor.

CONTROL OF CHANGE

Revision	Date	Change	Prepared by	Approved by
1.3	10 May 2025	Add Logo use	Anh Ha	Hanh Tran
1.2	19 August 2024	Update IFA Flowchart and KPI table	Hung Tu	Anh Ha
1.1	04 October 2023	Revise flowchart of audit and give clarifications to Section 7.1 unannounced rules	Hung Tu	Anh Ha
1	30 June 2023	Issuance to IFA V6 Smart and IFA V6 GFS	Hung Tu	Anh Ha