



PRODUCE HANDLING ASSURANCE (PHA) STANDARD

GENERAL REGULATIONS

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These Produce Handling Assurance General Regulations follow the requirements (numbering and structure) stipulated in the GLOBALG.A.P. General Regulations, Parts I and III which define the certification rules for GLOBALG.A.P. standards.

Part II is **not** applicable as it pertains to group and multisite with QMS certification.

Any relevant and necessary amendments are specified.

This document describes additional certification rules for any party seeking certification for handling, and/or storage, of raw agricultural commodities (crops) designated for human consumption against the GLOBALG.A.P. Produce Handling Assurance Standard.

GENERAL REGULATIONS PART I: GENERAL REQUIREMENTS

1 INTRODUCTION

The Produce Handling Assurance (PHA) Standard sets minimum requirements for the management of food safety of parties seeking certification. The standard sets current good manufacturing practices, hazard analysis and preventive controls, traceability and segregation, and assesses overall food safety management system practices. This includes supplier management, management of food safety related incidents, and additional requirements for the site, facilities, personnel, and production practices.

The term “shall” is used throughout this document to indicate those provisions which, reflecting the requirements of GLOBALG.A.P., are mandatory.

The structure of this standard reflects the best practices and recognized measures described in the Codex Alimentarius Principles of HACCP, which may be accessed at this link:

<http://www.fao.org/3/y1579e/y1579e03.htm>.

1.1 FSMA Claims

The Produce Handling Assurance (PHA) Standard is designed to include requirements of the USA Food and Drug Administration’s (FDA) Food Safety Modernization Act (FSMA) Produce Safety Rule (PSR, 21 C.F.R. Part 112) and Preventative Controls for Human Food Rule (PCHF, 21 C.F.R 110) as applicable in the covered handling facilities (as defined by the FSMA PSR and/or PCHF). The requirements of these two rules are adapted in the control points and compliance criteria, so that the user can make the necessary adjustments to implement the requirements of FSMA.

The PHA certificate can be provided to retailers and value-chain participants as evidence of an operation’s efforts toward FSMA implementation. The PHA is not an assurance or guarantee of FSMA compliance, as legal compliance can only be determined by a regulatory authority, such as the United States Food and Drug Administration.

The audit carried out by the GLOBALG.A.P. certification body is not replacing the responsibilities of public compliance agencies to enforce legislation. Existence of legislation relevant to a specific Control Point and Compliance Criteria (CPCC) does not change the level of that control point to Major. The CPCC levels shall be kept as defined in the CPCC documents and checklists approved and published in the GLOBALG.A.P. website.

2 NORMATIVE DOCUMENTS

- a) Not amended.
- b) Not amended.
- c) Not amended.
- d) GLOBALG.A.P. checklists for control points and compliance criteria. This document or a customized one with verbatim content is used for all audits and internal audits.
- e) Not amended.
- f) GLOBALG.A.P. General Regulations (GR; this document): Defines how the certification process works.
- g) Not applicable.
- h) Not amended.

2.1 Document Control

Not amended.

3 CERTIFICATION OPTIONS

Any operation (company) that handles (see scope) crops covered by the GLOBALG.A.P. Product List may apply for GLOBALG.A.P. certification.

The legal entity (operation) responsible for packing, handling, or holding of crops can achieve GLOBALG.A.P. PHA certification only under Option 1 – individual certification.

3.1 Option 1 – Individual Operation

- a) A legal entity (operation) applies for certification. The individual operation is the certificate holder once certified.
- b) In the case where a legal entity (operation) involves a central management and ownership of more than one (1) product handling site, where each site is its own legal entity, each site will be independently registered as an operation, audited, and receive its own certificate.

3.1.1 Option 1 – Multisite Operation without Implementation of a QMS

- a) Where legal entity is a multisite operation, each site (sites are not separate legal entities) must be separately registered and audited. Only the operation shall receive a PHA-N and certificate. The sites shall be listed in the certificate annex of the operation.
- b) A minimum of one (1) site must meet the PHA certification requirements before the operation shall be awarded certification.
- c) Compliance calculations shall be made separately for each site. Sites registered and audited shall not be listed in or added to the certificate annex until the site complies with the certification requirements at the site level.

3.1.2 Option 1 – Multisite with implementation of a QMS

Not applicable.

3.2 Option 2 – Group certification

Not applicable.

3.3 Benchmarked Schemes

Not applicable.

4 REGISTRATION PROCESS

4.1 Certification Bodies

Not amended.

4.2 Registration

4.2.1 General

- a) to c) Not Amended.
- d) Confidentiality, data use, and data release:
 - (i) During registration, applicants give written permission to GLOBALG.A.P. and the certification bodies to use the registration data for internal processes and sanctioning procedures.
 - (ii) All data in the GLOBALG.A.P. Database is available to GLOBALG.A.P. and the CB, which the operation is working with, and can be used for internal processes and sanctioning procedures.
 - (iii) The minimum and obligatory data release level, as well as additional information on confidentiality and data use, is defined by the 'GLOBALG.A.P. Data Access Rules' and available at www.globalgap.org/documents.
 - (iv) If an applicant (operation) does not agree to the minimum release, the applicant is not in agreement with the 'GLOBALG.A.P. Sublicense and Certification Agreement' and cannot be certified.

- (v) No data other than that stated in point (iii) can be released by GLOBALG.A.P. or CBs to any other party without written consent of the applicant.
- (vi) Not applicable.
- e) The service contract between the CB and operation may be valid for up to 4 years, with subsequent renewal for periods of up to 4 years.
- f) An applicant:
 - (i) May not register the sites of a multisite operation with different CBs, where sites are not separate legal entities.
 - (ii) to (vi) Not applicable.
- g) For the registration to be completed, the applicant shall satisfy *all* the following conditions:
 - (vii) Submit to the CB the relevant application that shall include all the necessary information.
 - (viii) Sign acceptance of the 'GLOBALG.A.P. Sublicense and Certification Agreement' in its latest version (available on the GLOBALG.A.P. website) with the CB, or the applicant shall explicitly acknowledge the receipt and the inclusion of the 'GLOBALG.A.P. Sublicense and Certification Agreement' with signature on 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 operation.
 - (ix) Be assigned a PHA-N, if they don't already have a GGN or a Global Location Number (GLN).
 - (x) Agree in writing to pay the GLOBALG.A.P. fees, as explained in the Annex I.4 'GLOBALG.A.P. PHA Operation Fees'.
- h) to i) Not amended.
- j) to k) Not applicable.
- l) An operation is defined as the legal entity responsible for product handling. The operation may be one site or multiple sites where products are handled after harvest.
- m) A site is defined as a location where products are handled. This may be a different address from the operation and may have multiple facilities.
- n) A facility is defined as different buildings located at one site of the scope of the certificate (e.g. packing facility).
- o) A building is defined as a structure where handling, or activities related to handling, take place, (e.g. packing operations, equipment storage and shops, break rooms, etc.).

4.2.2 Registration with a new CB

- a) If an operation or site that has already been registered changes CB or applies to a new CB, the operation shall communicate the PHA-N assigned by GLOBALG.A.P. to the new CB. Failure to do so will result in a surcharge of the registration fee of € 250.
- b) Not amended.
- c) Not applicable.

4.3 Application and Certification Scope

4.3.1 Standards covered by GLOBALG.A.P. Produce Handling Assurance (PHA) Regulations

The **scope** of the Produce Handling Assurance (PHA) Standard covers pre-process production steps after the point of harvest for crops, including cooling, packing, re-packing, handling, and storage of crops for human consumption. Further guidance is presented in Table 1. The scope excludes any product significantly transformed from its original whole state and foods that are processed or altered.

Primary agricultural products are those products, which are on the 'GLOBALG.A.P. [Product List](#)', as stated under the Fruit and Vegetables, Combinable Crops, or Hop section.

A company with or without its own crop production can apply for certification to the PHA.

The scope is limited to facilities handling GLOBALG.A.P. certified product as follows:

- 1) Open shed operations are certifiable worldwide.
- 2) Closed produce handling facilities located within every country except Russia and Europe are certifiable (i.e., geographical Europe, excluding controlled territories, overseas territories/regions/municipalities).

Open shed operations are defined as temporary or permanent facilities where simple manual produce handling operations are undertaken, typically on or near the farms. These facilities provide shelter from the rain and sun but have no walls. When the open shed has also closed parts for non-produce storage (e.g. packaging, cleaning material, tool storage, etc.), or has enclosures made of netting, it is still considered as open shed.

Open shed operations **exclude** the following:

- Fully enclosed facilities (built walls)

Product from GLOBALG.A.P. certified and non-certified operations may be packed in these facilities only if an identifiable or traceable lot of GLOBALG.A.P. certified product is handled at least once, at any point during the validity of the certificate.

GLOBALG.A.P. PHA certified facilities may use the GLOBALG.A.P. certified claim only about the facility for sales, but not for the sold product. Packed product originating from GLOBALG.A.P. certified farming may carry the GGN of the primary producer(s) only where the operation obtains and maintains chain of custody (as per the Control Points and Compliance Criteria section 6) for already GLOBALG.A.P. certified product.

Where the operation has a GLOBALG.A.P. Integrated Farm Assurance certificate, and if the producer additionally chooses this Produce Handling Assurance Standard for the same product(s), the PHA Standard may replace the IFA produce handling control points where the control point is an intended requirement for post-harvest handling only. The justification in the IFA checklist for these control points that are covered by the PHA shall refer to the PHA audit results.

Table 1 Operation Scope of Activities of the PHA

Operation Scope	Activities	Examples
Packing house	Applies to the cleaning, rinsing, fluming, washing, sorting, grading, packing, drenching, waxing and drying, re-packing, staging and storing. Labeling and loading of whole unprocessed fruits and vegetables, nuts, for retail sale or further processing	Includes all fruit and vegetable varieties and nuts. As example, washing, waxing, and packing of apples shall be included, however, slicing that alters the state of the product, such as sliced apples, shall not be included
Pre-processing	Applies to removing foliage, husks, roots, or stems, e.g. trimming, threshing, or natural drying of fruit, vegetables, and hulling or shelling of nuts. Excludes processes that alter the natural state of the product	Applies to dehydrating grapes to produce raisins and packaging raisins, removing shell of walnuts, washing, trimming and bundling of asparagus, Brussels sprouts; etc. Excludes quick freeze or drying via dehydrator
Cooling/Cold Storage	Applies to cooling and hydrocooling	Unprocessed raw agricultural product stored at ambient or cooled temperature on site
Storage/Distribution	Applies to storage, staging, loading, labeling	Packed and labeled unprocessed produce

The GLOBALG.A.P. PHA Standard does **not** apply to the following operations:

- a) Importation operations (offices, e.g. brokerage companies)
- b) Operations that only trade produce
- c) Transport operations
- d) Operations in which only distribution or controlled atmosphere is occurring and where these activities are one step removed from the farming operation

e) Operations in which only cooling and/or cold storage and/or distribution is occurring and where these sites handle non-fruit and vegetable food products, such as meats or dairy products
The GLOBALG.A.P. PHA Standard does **not** apply to processing activities of any kind including:

- a) Activities that significantly alter or transform the product from its harvested state, including but not limited to slicing, dicing, cutting, shredding, peeling, pasteurization, cooking, juicing, pressing, freezing, packing in modified atmosphere, vacuum packing, and any form of processing
- b) Addition of any ingredients, mixing, roasting, salting, pressing, milling, etc.
- c) Handling of ready-to-eat salad, any mixed or bagged salads (including leafy vegetables), pre-packaged ready-to-eat food

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

Parallel production and parallel ownership are not applicable.

5 ASSESSMENT PROCESS

In order to achieve certification, a registered party shall perform an internal audit and receive an external audit by the chosen CB.

During the external audit, comments shall be supplied for all Major Musts and all non-compliant and not applicable Minor Must control points.

5.1 Option 1 – Single Sites and Multisites

- a) This section is applicable to applicants that are single legal entities (operation or company) with single production sites or multiple production sites that are not separate legal entities and operated without the implementation of a QMS.
 - (i) All facilities, including all premises, support buildings, loading and unloading bays, and external grounds where products are handled or administered must be included in the scope of certification. The CB may accept exemptions on a risk basis.
 - (ii) Where an operation seeks to exempt part of the site, facility, production process, or products handled for any reason, the request for exemption must be submitted to the CB in writing and shall be listed in the site description in the audit report. However, all parts of the premises and processes that are involved with the production and storage of products included in the scope of certification cannot be exempted.
 - (iii) If the operation elects to exempt sites, facilities, production processes, or products of the operation from the scope of certification, exempted sites, facilities, production processes, or products shall be listed on the report as excluded, but not included in the certificate and not promoted as being covered by the certification.
 - (iv) Instances where promotion of exempted sites, processes, or products are identified and substantiated (either by regular audit or by other means) shall result in immediate withdrawal of the GLOBALG.A.P. Produce Handling Assurance certification.
- b) Not amended.

5.1.1 Internal Audits

- a) The internal audit shall:
 - (v) Cover all registered production sites, products, and activities under the certification scope to verify compliance with the requirements defined in the applicable control points.
 - (vi) Be carried out by or under the responsibility of the operation.
 - (vii) Be carried out before the initial audit and thereafter at least annually before announced subsequent audits against the complete checklist (Major and Minor Musts) of all relevant scope(s) registered products. The completed audit report shall always be available for review.
 - (viii) The internal audit shall contain comments of the evidences observed for all Major Musts, non-applicable, and non-compliant control points.

5.1.2 Certification Body Audits

- a) These audits (announced and unannounced) shall be carried out by a CB auditor (see CB auditor requirements in General Regulations Part III)
- (i) The CB shall audit the complete checklist (Major and Minor Musts).
 - (ii) The audit shall cover:
 - All accepted products and production lines
 - All registered production sites and facilities
 - Not applicable
 - Where relevant, the administrative sites

5.1.2.1 Announced Audits

Each operation shall undergo one announced CB audit at the initial audit and thereafter once per annum.

The CB may divide announced audits (both initial and subsequent) into 2 modules, which shall be verified by the same auditor:

- (i) Off-site module: This consists of a desk review of documentation sent by the operation to the CB before the audit, including the internal audit, risk assessments, procedures required in several CPCs, analysis program (frequency, parameters, locations), analysis reports, licenses, list of cleansers, sanitizers, plant protection products used, proof of lab accreditation, certificates or inspection reports of subcontracted activities, records, etc. The off-site module review has to be conducted no more than 4 weeks before the on-site module audit.
- (ii) On-site module: This consists of an on-site audit of the remaining content of the checklist, the production process on-site, and verification of the information assessed off-site.

The reason why two modules are used is to reduce the time spent on-site, although the overall duration of the audit is not reduced.

The CB decides if it will offer the off-site module to its clients. In case the CB offers the off-site module to its clients, the use is to be mutually agreed with each operation.

The operation has the right not to send certain requested documents to the CB if they are considered to be confidential. In this case the information will have to be present during the on-site audit.

(See also off-site module description in General Regulations Part III).

5.1.2.2 Unannounced Audit

- (i) In subsequent years, a minimum of 10 % of all certified operations the CB has certified per scope under Option 1 without QMS, shall be audited unannounced.
- (ii) In the exceptional case where it is impossible for the certificate holder to accept the proposed date (due to medical or other justifiable reasons), the certificate holder will receive one more chance at an unannounced audit. The certificate holder shall receive a written warning if the first attempt has not been accepted. If the second unannounced audit attempt cannot take place for non-justifiable reasons, a suspension of all products will be issued.
- (iii) The CB shall conduct one unannounced audit of the operation within 3 years for each certified operation. The unannounced audit, which is a re-certification audit, shall occur during the validity of the certificate.
- (iv) The unannounced audit may be conducted in a 4-month period: i.e. 2 months before the expiry date of the certificate, or during the 2-month extension period of the certificate validity.
- (v) Unannounced audits shall not be conducted during the initial certification audit.
 1. The certification body shall determine the unannounced audit year.
 2. The unannounced audit shall not occur out of season or when the facility is not operating for legitimate business reasons.
 3. Where the operation transfers from one CB to another, the accepting CB keeps the unannounced cycle.

Example:

Year 1 -2018, certified with CB 1, announced audit

Year 2 -2019, re-certified with CB 1, announced audit

Year 3 -2020, switches CBs, CB 2 performs unannounced audit

- (vi) Where the CB cannot complete the full checklist during the unannounced audit, the CB cannot issue the PHA certificate and CB must schedule an additional audit to complete the full checklist before certification can be made.
- (vii) There is no warning or prior notice allowed for the audit dates. The operation may nominate, during registration, a maximum of 15 days where it is unavailable for an unannounced audit. The auditor must begin the production floor portion of the audit within 30 minutes of arrival at the site.

Note: In the exceptional case where it is impossible for the operation to accept the unannounced audit (due to medical or other justifiable reasons), the operation will receive one more chance. The operation shall receive a written warning if the first attempt has not been accepted. If the second attempt cannot take place because of non-justifiable reasons, a suspension of all products and sites will be issued.

5.2 Option 2 and Option 1 Multisite with QMS

Not applicable.

5.3 Audit Timing

5.3.1 Initial (First) Audit

- a) This section is applicable to operations seeking GLOBALG.A.P. certification for the first time, and to operations who want to add a new scope or site to an already existing GLOBALG.A.P. certificate. When an operation changes from one CB to another it is not considered a first audit, but subsequent audit.
- b) The audit of a Produce Handling operation is linked to the registration (no audit can take place until the CB has accepted the operation's registration or re-registration, which must be completed on an annual basis).
- c) Each Produce Handling operation and site registered and accepted for certification must be completely assessed (all applicable control points must be verified) prior to issuing the certificate.
- d) The CB shall audit Produce Handling operations only when activities relevant to the product handling take place. The CB shall record which products and which processes were observed in production during the audit.
 - (i) Seasonal Production: where activity is conducted over six months or less; the audit shall be conducted when the site is in operation.

Where operations seek to include products from more than one season within their scope of certification, the site and CB shall agree to conduct the initial certification audit during the highest risk and/or highest volume production operation. Documentation and records for other seasonal production and/or activities shall be reviewed as part of the certification audit.

Example 1: A company packs potatoes and cabbage. The products are packed at different times of the year and on separate packing lines within the site. The CB shall audit the company during cabbage packing, provided all aspects of potato packing can be assessed prior to issuance of certificate.

Example 2: A company packs potatoes produced from owned farms in bulk bags. During the off-season, the facility packs tomatoes for other producers. The tomatoes are washed, packed, stored, and shipped. The activities performed are different and before it can be stated that the packed tomatoes come from a GLOBALG.A.P. certified packing house, both activities must be audited.
 - (ii) Sites that have not yet been certified shall not be included in the certificate
- e) The CB shall decide whether adding a new product requires a new on-site audit based on the product attributes, handling scope, and activities related to the product.
- f) The applicant shall have records from the registration date onwards or for at least 3 months before the first audit takes place, whichever is longer, and the CB shall inspect them.
- g) The operation cannot claim that products handled at the site before the registration with GLOBALG.A.P. as being handled in a certified PHA operation.

5.3.2 Subsequent Audits

- a) Each production process for products and/or sites registered and accepted for certification shall be completely audited (all applicable control points shall be verified) annually prior to issuing the certificate. This also applies if the operations change CBs.
- b) The subsequent audit can be carried out at any time during an operation's 4-month re-certification window (i.e., the anniversary date of the initial certification audit +/- 2 months).
- c) Not applicable.
- d) The CB shall decide whether adding a new product needs new on-site audit based on the product attributes, handling scope, and activities related to the product.

5.4 Audit Duration

5.4.1 Minimum Duration Guideline

- a) The duration for the on-site audit is typically 3-6 hours including visual inspection of the facilities and food safety document review. The audit reporting is also considered and estimated at 1-3 hours. Total audit duration is generally between 4-9 hours. Therefore, audit duration shall never be less than 3 hours on-site.
- b) The duration shall reflect the complexity of the operation and the types of processes audited.
- c) Factors affecting the duration may include: The number of production lines, activities (e.g., storage, sorting, washing, etc) and/or commodities, as well as size of facilities and number of employees.
- d) Additional considerations may be justified by the CB.
- e) For open shed operations the total duration shall be a minimum of 3 hours with supporting CB justification for the simplest circumstances (one location, one or few crops, simple machinery, few workers, subsequent audit, documentation is well organized, etc.).
- f) In all cases, the CB shall allow sufficient time to identify food safety risks of the operation.

6 CERTIFICATION PROCESS

6.1 Non-Compliance and Non-Conformance

Not amended.

6.2 Requirements to Achieve and Maintain GLOBALG.A.P. PHA Certification

The Control Points and Compliance Criteria document consists of two types of control points: Major Musts and Minor Musts. To obtain GLOBALG.A.P. PHA certification the following are required:

Major Musts: 100% compliance with all applicable Major Must is compulsory.

Minor Musts: 95% compliance with all applicable Minor Must control points is compulsory.

6.2.1 Minor Must Compliance Calculation

- a) For the sake of calculation, the following formula shall apply:

$$\left\{ \begin{array}{l} \text{(Total number} \\ \text{of} \\ \text{Minor Must} \\ \text{control points)} \end{array} - \begin{array}{l} \text{(Not applicable} \\ \text{Minor Must control} \\ \text{points scored)} \end{array} \right\} \times 5\% = \begin{array}{l} \text{(Total Minor} \\ \text{Must control} \\ \text{point non-} \\ \text{compliance} \\ \text{allowed)} \end{array}$$

e.g. {37 Minor Must CPCC – 2 N/A Minor Musts} x 5% = 1.8.

In this example the total number of Minor Must control point non-compliance allowed is 1.8, which shall be rounded down. Therefore, this facility may only have 1 Minor Must control points that are non-compliant.

35 applicable Minor Must control points – 1 non-compliant Minor Must control points = 34. This gives a compliance level of 97%, whereas if 1.8 were rounded up to 2 it would give a compliance level of 94%, which would be *non-compliant with the certification rule*.

NOTE: A score for example of 94.8% *cannot* be rounded up to 95% (the pass percentage)

- b) In all cases, the calculation to show compliance (or non-compliance) shall be available after the audit.

6.2.2 Applicable Control Points

- a) The applicant shall ensure that each individual site and activities comply with the certification requirements. The compliance percentage shall be calculated accounting for all control points applicable to each facility and all activities within the site.
- b) In a multisite operation, the compliance level is calculated for each registered site in separate audit checklists as each site is audited separately.
- c) Not applicable.
- d) Not applicable.

6.3 Certification Decision

- a) Not amended.
- b) Not amended.
- c) Not applicable.
- d) The following documents shall be provided to the operation and uploaded in the GLOBALG.A.P. Database within 48 hours of the certification decision:
 - Completed PHA audit report (full report with checklist and completed justifications)
 - Corrective action report (or summary of non-conformity showing no Major Must NCs and 95 % or higher compliance with Minor Musts)
 - Certificate, where certification is granted

6.4 Sanctions

- a) Not amended.
- b) If a clear link has been established between an operation and a public health outbreak by a reputable governmental regulatory authority, suspension of the certification shall be imposed, while a review of the operation's certification is performed.
- c) Operations cannot change CB until the non-conformance that led to the respective sanction is satisfactorily closed.
- d) ONLY the CB 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).
- e) Not applicable.

6.4.1 Warning

- a) Not amended.
- b) If a non-conformance is detected during the audit, the operation shall be served a warning when the audit is finalized. This is a provisional report that could be overridden by the CB certification authority.
- c) Initial audit:
 - (i) If the site does not comply with 100 % of Major Must and 95 % Minor Must control points within 28 days after an *initial* audit, the status "open non-conformance" is set in the GLOBALG.A.P. Database.
 - (ii) If the cause of the warning is not resolved within three (3) months, a complete re-audit shall be performed before a certificate can be issued.
- d) Subsequent audit:
 - (i) Not amended.
 - (ii) Not amended.

6.4.2 Operation or Site Suspension

- a) If the cause of the warning is not resolved within the defined period (maximum of 28 days), a suspension shall be imposed by the CB immediately.
- b) CBs can lift operation or site suspensions issued by them.
- c) Not applicable.
- d) A suspension can be applied to one, several or all of the sites and/or activities covered by the certificate.
- e) Not applicable.
- f) When the suspension is applied, the CB shall set the period allowed for correction (not longer than 12 months).

- g) During the period of suspension, the operation or site(s) suspended is prohibited from using the GLOBALG.A.P. logo/trademark, license/certificate or any other type of document that is in any way linked to GLOBALG.A.P. in relation to the suspension.
- h) If an operation or site notifies the CB that the non-conformance is resolved before the defined period, the respective sanction can be lifted, subject to satisfactory evidence and closing off.
- i) If the cause of the suspension is not resolved within the defined period, a cancellation is imposed.
- j) The suspension remains as long as the CB does not lift it or impose a cancellation.

6.4.2.1 Self-declared Product Suspension

- (i) to (v) Not applicable.

6.4.3 Cancellation

- a) A cancellation of the contract shall be issued where:
 - (i) Not amended.
 - (ii) An operation cannot show evidence of implementation of effective corrective action before the suspension period set by the CB has elapsed.
- b) A cancellation of the contract results in the total prohibition (all activities, 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.
- c) Operations or sites that have received a cancellation shall not be accepted for GLOBALG.A.P. certification within 12 months of the date of cancellation.

6.5 Notification and Appeals

- a) The operation or site shall either resolve the non-conformances communicated or appeal to the CB in writing against the non-conformances, explaining the reasons for the appeal.
- b) Not amended.

6.6 Sanctioning of Certification Bodies

- a) Not amended.

6.7 GLOBALG.A.P. Certificate and Certification Cycle

- a) The GLOBALG.A.P. Certificate can only be issued to the applicant legal entity.
- b) Not applicable.
- c) A certificate is not transferable from one legal entity to another when production sites change legal entity. In this case, a complete audit, following the rules for subsequent audits, is required. The new legal entity shall receive a new PHA-N.
- d) Not amended.
- e) Not applicable.

6.7.1 Certificate Information

- a) Not amended.
- b) Not amended.
- c) Not amended, the scope of certification shall be clearly defined in the certificate.
- d) Date of certification decision: Date when the CB makes the certification decision after all non-conformances are closed (e.g. 8 October 2018).
- e) Valid from:
 - (i) Initial certification: The initial date of validity is the date on which the CB makes the certification decision (e.g. 8 October 2018).
 - (ii) Subsequent certifications: The “valid from” date for subsequent certificates issued shall always revert to the “valid from” date in the original certificate (e.g. 8 October 2018, 8 October 2019, etc.), except when the certification decision is made after the expiration of the previous certificate. In this case the “valid from” date shall coincide with the date of certification decision. (e.g. previous certificate valid to date: 7 October 2019; Date of certification decision: 25 October 2019; Valid from date 25 October 2019; *Valid to date: 24 October 2020*).
 - (iii) Not applicable.

- f) Valid to:
 - (i) Not amended.
 - (ii) Subsequent certifications: The validity date for subsequent certificates issued shall always revert to the “valid to” date on the original certificate (e.g. 7 February 2019, 7 February 2020, etc.).
- g) Not applicable.
- h) Not applicable.

6.7.2 Extension of Certificate Validity

- a) The validity may be extended beyond the 12 months (for a maximum period of 4 months) only if there is a valid reason, which shall be recorded. Reasons that are considered valid:
 - (i) The CB wants to schedule the on-site audit after the certificate has expired in order to observe a certain part of the production process, because it has not been seen in the previous audit, or because it is considered a high-risk process in terms of product safety.
 - (ii) Not amended.
 - (iii) The CB was not able to conduct the on-site audit and/or the site was not able to receive the CB audit due to circumstances beyond its control (force majeure) e.g. natural disaster, political instability in the region, epidemic or unavailability of the operation management due to medical reasons.
- b) Upon the request, the CB (which issued the extended certificate) re-accepts the site in the GLOBALG.A.P. Database for a full next cycle within the original validity period of the certificate.
- c) Not amended.
- d) The site shall be re-audited during that extension period.
- e) The site cannot change the CB in the cycle subsequent to the one for which the extension was granted.
- f) If a certificate that was not extended and not "re-accepted" expires and the subsequent audit (to be performed by the same CB) is going to take place in less than 12 months after the expiration date, a new certification cycle should start. The old cycle can be reinstated by setting the same “valid to” date as before. The cycle remains the same if the certificate was extended. However, the CB shall apply the rules for initial (first) audit if the certificate expired for more than 12 months.

6.7.3 Maintenance of GLOBALG.A.P. Certification

- a) The registration of the operation, sites, facilities, proposed scope, activities, and products shall be confirmed with the CB *annually before* the expiry date, following all conditions already explained in sections 4.2 and 4.3.
- b) The auditor shall complete the entire checklist and the verification process annually.

7 FARM ASSURERS

- a) The operations may use the services of consultants during implementation and maintenance of certification. These consultants may be GLOBALG.A.P. licensed Farm Assurers. The list of the individual trained consultants included in this network is available here: <http://www.farmassurer.org/>
- b) Not amended.

8 ACRONYMS AND REFERENCES

8.1 Acronyms

AB	Accreditation body	CB	Certification body
CPC	Control points and compliance criteria	FDA	United States' Food and Drug Administration
FSMA	Food Safety Modernization Act	FV	Fruit and Vegetables
GAP	Good Agricultural Practices	cGMP	current Good Manufacturing Practices
GLN	Global Location Number	IFA	Integrated Farm Assurance
PCHF	Preventative Controls for Human Foods Rule	PHA	Produce Handling Assurance
PHA-N	GLOBALG.A.P. Number for PHA standard registered operations	PO	Parallel ownership
PP	Parallel production	PSR	Produce Safety Rule
QMS	Quality management system	QR Code	Quick response code

8.2 Reference Documents

- a) – e) Not amended.
- f) Food Safety Modernization Act
- g) Standards for the Growing, Harvesting, Packing, and Holding of Produce for Human Consumption (Produce Safety Rule)
- h) Current Good Manufacturing Practice, Hazard Analysis, and Risk-Based Preventive Controls for Human Food

ANNEX I.1 RULES FOR USE OF GLOBALG.A.P. TRADEMARK AND LOGO

GLOBALG.A.P. is the owner of the “GLOBALG.A.P.” trademark, i.e. the word “GLOBALG.A.P.”, the GLOBALG.A.P. logo and its “G”-shape logo, collectively the “GLOBALG.A.P. trademark”.

The certification body is expected to verify the correct use of the GLOBALG.A.P. trademark by the operations at all times. Infringement of these rules could lead to sanctions.

Products originating from certified operations *shall not* be labeled, marked or described in a manner, which implies that they/it meets specific food safety criteria.

1. GLOBALG.A.P. TRADEMARK

- (i) The certification granted entitles the operation/company to distribute and market their products under the trademark only to the extent that these products have been registered with the CB and are packed, handled and/or traded in a production site or location registered with the CB and are in full compliance with this standard.
- (ii) The operation shall only use the trademark in connection with products complying to the requirements of the GLOBALG.A.P. system. In cases where certified operations who have not signed up for voluntary GLOBALG.A.P. membership use the GLOBALG.A.P. logo and/or the “G”-shape logo, they shall combine the logo with their corresponding PHA-N.
- (iii) The GLOBALG.A.P. trademark shall never appear on the product, consumer packaging of products intended for human consumption or at the point of sale where it is in direct connection with single products.
- (iv) Operations may only use the GLOBALG.A.P. trademarks on pallets that contain only certified GLOBALG.A.P. products and that will *not* appear at the point of sale.
- (v) GLOBALG.A.P. certified operations may use the GLOBALG.A.P. trademark and PHA-N in business-to-business communication, and for traceability, segregation, or identification purposes on site at the production site.
- (vi) Retailers, operations and other organizations that signed up for voluntary GLOBALG.A.P. membership may use the trademark in promotional print-outs, websites, flyers, business cards, hardware, and electronic displays (shall not appear as a product label directly linked to certified products) and in business-to-business communication.
- (vii) GLOBALG.A.P. approved certification bodies can use the trademark in promotional material directly linked to their GLOBALG.A.P. certification activities in business-to-business communication and on GLOBALG.A.P. certificates they issue.
- (viii) The GLOBALG.A.P. trademark shall never be used on promotional items, apparel items, or accessories of any kind, bags of any kind, or personal care items.

2. SPECIFICATIONS

- (i) The operation shall only use the trademark in the manner provided by GLOBALG.A.P. and shall not alter, modify, or distort it in any way.
- (ii) The GLOBALG.A.P. logo shall always be obtained from the GLOBALG.A.P. Secretariat. This will ensure that it contains the exact corporate color and format, as below:



GLOBALG.A.P.

3. **GLOBALG.A.P. PHA-NUMBER (PHA-N)**

- (i) The PHA GLOBALG.A.P. Number (PHA-N) is the combination of the prefix “PHA-N” plus a 13-digit numerical number, not including the GLOBALG.A.P. trademark, and is unique to each and every operation and any other legal entity in the GLOBALG.A.P. system. For this number GLOBALG.A.P. requires existing Global Location Numbers (GLN) issued by, and to be purchased from, the local GS1 organization (www.gs1.org) or alternatively – in its absence – GLOBALG.A.P. assigns its own interim GLN. Please note the limitations of the GGN, as it is not equivalent to owning a GLN, because the PHA-N technically is a sub-GLN of one single GLN owned by GLOBALG.A.P.
- (ii) The PHA-N identifies a registered or certified operation or site, where the site is a legal entity and may only be used as indicated in the CPCC. It cannot be used to label a product that is not certified. The PHA-N (e.g.: PHA-N_1234567890123) may appear on the product, consumer packaging of the product or at the point of sale where in direct connection with individual certified products. The PHA-N shall only be used on transaction/sales documents including certified products. When the transaction/sales documents include certified and non-certified products, the certified items shall be clearly identified as required by the relevant traceability and segregation Control Points and Compliance Criteria.
- (iii) The legal entity that labels PHA-N shall be a holder of a valid certificate of a GLOBALG.A.P. IFA, PHA, CoC standard certificate.
- (iv) The PHA-N may be used in (converted into) digital codes, e.g. barcode, EAN number, generic QR code, etc.
- (v) On termination of the ‘GLOBALG.A.P. Sublicense and Certification Agreement’ the right of the operation to use the GLOBALG.A.P. claim, including the trademark and the PHA-N, terminates with immediate effect.
- (vi) The PHA-N shall only be used in connection with the GLOBALG.A.P. system.
- (vii) Whenever a need arises to identify the organization in other contexts or additional applications, an organization may apply for its own GLN and report this number to GLOBALG.A.P., which shall register the organization under its own number and withdraw the PHA-N accordingly. The GLN replaces the PHA-N in the GLOBALG.A.P. system.

4. **THE GGN CONSUMER LABEL**

Not applicable.

ANNEX I.2 GLOBALG.A.P. REGISTRATION DATA REQUIREMENTS

1 Types of Master Data Required

Not amended.

1.1 Operation Information of Legal Entity

The following information regarding the company (operation, site as individual certificate holder or site managed by an operation) is necessary to supply each site in the system with a unique GLOBALG.A.P. PHA number (PHA-N).

1.1.1 Operation (Company)

- (i) Operation name
- (ii) Contact details: street address or information available to describe operation location
- (iii) Contact details: postal address
- (iv) Postal code or zip code
- (v) City
- (vi) State or province
- (vii) Country
- (viii) Phone number (if available)
- (ix) Fax number (if available)
- (x) E-mail address (if available)
- (xi) GLN (if available)
- (xii) Legal registration by country if requested by National Interpretation Guidelines. This number is only used for internal verification to avoid double registration (e.g., tax number, VAT number, site number etc.)
- (xiii) Previous GLOBALG.A.P. Number (GGN or PHA-N)
- (xiv) Northern/southern latitude and eastern/western longitude or other form of geospatial coordinate information as defined and requested by GLOBALG.A.P. The minimum input accuracy level shall be +/-10 m. If the operation decides to display this information, the display accuracy level will be 10 m for market participants and 1,000 m for the public.

1.1.2 Contact Person (Responsible for Legal Entity)

This is the information required for the person in the operation who is legally responsible for the legal entity.

- (i) Title
- (ii) First name
- (iii) Last name
- (iv) Phone number (if available)
- (v) Fax number (if available)
- (vi) E-mail address (if available)

1.2 Information Regarding Sites

The following information regarding sites of the operation (legal entity) to be certified is necessary. This information is obligatory for multisite certificates for product handling operations performed under the ownership of the registered operation.

1.2.1 Sites

- (i) Name of Product Handling site
- (ii) Contact details: Street address or information available to describe production site/product handling facility location
- (iii) Contact details: Postal address
- (iv) Postal code or zip code
- (v) City
- (vi) Country
- (vii) Phone number (if available)
- (viii) Fax number (if available)
- (ix) E-mail address (if available)
- (x) Sub-GLN(s) (if available, voluntary)
- (xi) Northern/southern latitude and eastern/western longitude or other form of geospatial coordinate information at facility level is obligatory, when available. The minimum input accuracy level shall be +/-10 m. If the operation decides to display this information to market participants and the public, the display accuracy level will be 10 m.
- (xii) Products handled in each product handling site, as soon as available in the GLOBALG.A.P. Database.

1.3 Product Information

Not applicable.

1.4 Activity Information

This information gives more detail on the operation's scope and product(s) to be certified and shall be used to invoice the operation. This information shall be updated if there are any changes detected during the external audits.

- a) Product(s)
- b) Operation Scope: Open shed, Packing house, Pre-processing, Cooling/Cold Storage, and or Storage/Distribution
- c) Activities: See Table 1. Scope of activities of the PHA, e.g. the fluming, washing, sorting, grading, packing, waxing and drying
- d) Subcontracted activities
- e) Option 1 or Option 1 Multisite
- f) Scheme name
- g) Not applicable
- h) Country of destination (it is possible to declare a group of countries, e.g. European Union)

ANNEX I.3 GLOBALG.A.P. PAPER CERTIFICATE TEMPLATE FOR PHA

CB Logo¹

**AB symbol
accreditation mark²
No. of certification body: xxx³**

PHA-N Number: PHA-N_XXXXXXXXXXXXXXXXXXXX⁴
 Registration number of operation (from CB) xxxxxxxxx⁵

Announced⁶
Unannounced

GLOBALG.A.P.⁸

**CERTIFICATE
 According to GLOBALG.A.P.
 Product Handling Assurance General Regulations Version 1.2⁹**

Issued to
 Operation (Company)¹⁰
 Operation address ¹¹

Certification is based on observations during the audit regarding the requirements established by the Produce Handling Assurance Standard. No certification can provide an assurance that all food produced by the audited operation is safe for consumption.¹²

Country of production ¹³

The certification body [company name] declares that the production of the products mentioned in this certificate has been found to be compliant in accordance with the standard.

Product(s) ¹⁴	Operation scope ¹⁵	Covered by PSR ¹⁶	Covered by PCHF ¹⁷	Observed during audit ¹⁸	Activities ¹⁹
		Y/N	Y/N	Y/N	Free text

Audit Date: dd/mmm/yyyy²⁰

**Date of issue (printing date of certificate):
 dd/mmm/yyyy²¹**

Valid from: dd/mmm/yyyy²²

Valid to: dd/mmm/yyyy²³

Authorized by²⁴

 Date of certification decision: xx/xx/xxxx²⁵

The current status of this certificate is always displayed at: <http://www.globalgap.org/search>²⁶
CB contact data (Company name, address, phone, email) ²⁷

ANNEX for PHA-N_XXXXXXXXXXXXXXXXX²⁸
Date of issue: xx/xx/xxxx²¹

Product Handling (PHA Option 1 Multisite) Additional Sites

Product handling (PH) site 1 name and address²⁹

Audit Date: dd/mmm/yyyy²⁰

Product(s) ³⁰	Operation scope ³¹	Covered by PSR ³²	Covered by PCHF ³³	Observed during audit ³⁴	Activities ³⁵
		Y/N	Y/N	Y/N	Free text

Product handling (PH) site 2 name and address²⁹

Audit Date: dd/mmm/yyyy²⁰

Product(s) ³⁰	Operation scope ³¹	Covered by PSR ³²	Covered by PCHF ³³	Observed during audit ³⁴	Activities ³⁵
		Y/N	Y/N	Y/N	Free text

Notes

The certificate shall be in *English*. The CB may add a second language in the certificate.

- 1 Certification body (CB) Logo shall appear on all certificates.
- 2 The Accreditation body (AB) symbol/accreditation mark is placed on all accredited certificates in compliance with AB's rules.
Exception: If the CB is approved, but not yet accredited, the following text shall appear instead of the AB symbol: "Certificate issued by a GLOBALG.A.P. approved certification body [company name], but not accredited pursuant to the GLOBALG.A.P. scope according to ISO/IEC 17065 rules" or only "non-accredited certificate". The AB logo can only be used if the scope of the accreditation of the CB corresponds to the certified GLOBALG.A.P. PHA.
- 3 The number given by the accreditation body to the certification body shall be on all accredited certificates.
- 4 The GLOBALG.A.P. Number (PHA-N) shall appear on all certificates. In case a certificate holder owns a Global Location Number (GLN), this number shall replace the GGN. The "GLN" may be used instead of the "PHA-N".
- 5 Optional: The registration number of an operation/facility, which is assigned by the CB *may* appear on all certificates. It consists of the CB-Short and a number (with exactly one space character between, CB-Short xxxxxxxxxxxx).
- 6 The CB shall indicate if the audit was conducted announced by checking the box.
- 7 The CB shall indicate if the audit was conducted unannounced by checking the box.
- 8 The logo of the scheme
On accredited GLOBALG.A.P. certificates: The GLOBALG.A.P. logo shall be added.
Note: Not-accredited provisionally approved CBs are not allowed to add the GLOBALG.A.P. logo.
- 9 Certification scheme and version
Please enter "GLOBALG.A.P. Produce Handling Assurance Version x.x". Always mention the version used.
- 10 Name of the certificate holder (legal entity). This may be operation or site specific if the site is a separate legal entity.
- 11 The address of the certificate holder (legal entity) shall be printed on the paper certificate. This may be operation or site specific if the site is a separate legal entity.
- 12 This statement is compulsory for all PHA certificates.
- 13 Country of the certificate holder (operation or site) location.
- 14 Certified product(s) shall always be listed according to the GLOBALG.A.P. product list.
- 15 Production scope shall refer to the General Regulations for Produce Handling Assurance including: Open shed, packing house, pre-processing, cooling/cold storage, or storage/distribution. Open shed may be selected as an attribute with other scopes, e.g. Open shed and packing house.
- 16 Product handling activities performed are within the "farm" definition and meet the product and ownership criteria for either a primary or secondary activities farm. For definitions and examples, see: <https://www.fda.gov/food/guidanceregulation/guidancedocumentsregulatoryinformation/ucm517567.htm> Indicates whether operation falls under Produce Safety Rule (PSR) jurisdiction.

- 17 Indicates whether operation falls under Preventive Controls for Human Food (PCHF) jurisdiction.
- 18 Whether the product was observed at the operation, this can be left blank if the site handles the product but was not in-season or in-production at the time of the audit.
- 19 Activities include the scope of range of production practices conducted at the handling facility, examples given in Table 1 Operation scope of activities of the PHA. This is a “free text” box.
- 20 Audit Date is the date of the closing meeting.
- 21 Date of Issuing is the printing date of the paper certificate. It shall be added to the first page of the certificate and to the Annex to connect each other. dd/mmm/yyyy format is prescribed for international acceptance and understanding. Example: 03/MAR/2018
- 22 The certificate “Valid from” date defines the beginning of a certification cycle. If a new product is added during the validity period of a certificate, the certification cycle (valid from – valid to) will be kept as it was. If the CB wants to indicate that the newly added products are certified and were added later than the original “valid from”, there is a possibility to add the individual “valid from” of each product on the paper certificate. This is voluntary and additional information, e.g.: The certificate is valid from 1st Oct 2018 including oranges. Tomato added on 1st March 2019. The original “valid from 1st Oct 2018” remains. Tomatoes may be marked with “valid from 1st March 2019” on the paper certificate.
- 23 The certificate “Valid to” date is the expiry date of the certificate.
- 24 The first and the last name of the person who has authorized the certificate, written in block letters. This person must sign the certificate.
- 25 “Date of Certification Decision” shall appear on all certificates. It is the date when the Certification Committee makes the certification decision.
- 26 “*The current status of this certificate is always displayed at: <http://www.globalgap.org/search>*” shall be added to all paper certificates to point out that only a validation in the GLOBALG.A.P. Database proves the current status of the certificate.
- 27 CB contact data (company name, address, email) shall appear on all certificates.

Where additional sites are included in the operation’s certificate, and the sites are **not** separate legal entities, these sites may be listed in the certificate Annex:

- 28 The GLOBALG.A.P. Number (PHA-N) shall appear on all pages of certificates. In case a certificate holder owns a Global Location Number (GLN), this number shall replace the GGN. The “GLN” may be used instead of the “PHA-N”.
- 29 Name of the product handling site (non-legal entity) and the address of the additional product handling site (non-legal entity). CB shall list all additional sites with new table.
- 30 Certified product(s) shall always be listed according to the “GLOBALG.A.P. Product List’ and listed in the first page of the operation’s certificate.
- 31 Production scope of the operation shall refer to the General Regulations for produce handling assurance including: Packing house, pre-processing, cooling/cold Storage, or storage/distribution.
- 32 Product handling activities performed are within the “farm” definition and meet the product and ownership criteria for either a primary or secondary activities farm. For definitions and examples, see:
<https://www.fda.gov/food/guidanceregulation/guidancedocumentsregulatoryinformation/ucm517567.htm>
tm Indicates whether operation falls under Produce Safety Rule (PSR) jurisdiction.

- 33 Indicates whether operation falls under Preventive Controls for Human Food (PCHF) jurisdiction.
- 34 Whether the product was observed at the site, this can be left blank if the site handles the product but was not in-season or in-production at the time of the audit.
- 35 Activities include the scope of range of production practices conducted at the handling facility, examples given in Table 1 Operation scope of activities of the PHA. This is a “free text” box.

GENERAL REGULATIONS PART II: QUALITY MANAGEMENT SYSTEM RULES

Not applicable.

GENERAL REGULATIONS PART III: CERTIFICATION BODY AND ACCREDITATION RULES

These Produce Handling Assurance General Regulations are derived from the GLOBALG.A.P. General Regulations III, which define the certification rules for GLOBALG.A.P. certification body and accreditation standards.

1 LICENSE AND CERTIFICATION AGREEMENT

Not amended.

2 CERTIFICATION BODY APPROVAL PROCESS

2.1 CB Approval by GLOBALG.A.P.

2.1.1 Provisional Approval

- a) The CB shall complete the steps listed below before carrying out any GLOBALG.A.P. PHA audits, issuing any GLOBALG.A.P. (Option 1, Option 1 multisite certificates (accredited or non-accredited) and before provisional approval can be granted.
 - (i) The applicant CB shall register in the GLOBALG.A.P. CB Extranet (<http://cb.globalgap.org>), send a completed application form in English and pay an evaluation fee (according to the latest version of the GLOBALG.A.P. Fee Table) to the GLOBALG.A.P. Secretariat for initiating the approval process.
 - (ii) After the positive evaluation of the application and before provisional approval, the applicant CB shall complete the following steps:
 1. Sign the 'GLOBALG.A.P. License and Certification Agreement'
 2. Pay the annual CB license fee (according to the latest version of the GLOBALG.A.P. Fee Table)
 - (iii) After provisional approval, but before conducting any GLOBALG.A.P. audit, the applicant CB shall complete the following steps:
 1. Receive Database access from the GLOBALG.A.P. Secretariat.
 2. Register all auditors in the GLOBALG.A.P. Database.
 3. Have all the auditors complete the necessary GLOBALG.A.P. online exams for the General Regulations and for the Control Points and Compliance Criteria of the PHA.
 4. Pay the relevant training fees per registered auditor according to the latest version of the 'GLOBALG.A.P. Fee Table'.
- b) As a condition for provisional approval, the applicant CB intending to certify Option 1 and Option 1 Multisite operations shall have at least one auditor (for audits) *and* at least a second auditor (for the certification committee) who have passed the necessary online exam for the PHA.
- c) The CB shall nominate a "GLOBALG.A.P. Scheme Manager" (according to point 3.2.a).
- d) The CB shall nominate an in-house trainer (according to point 3.2 c) and complete or at least register for the in-house trainer training of the relevant scope(s).
- e) Not applicable.
- f) CBs shall apply to an accreditation body (AB) for accreditation to ISO/IEC 17065 in the GLOBALG.A.P. PHA. A copy of the confirmation of this application to the AB shall be forwarded to the GLOBALG.A.P. Secretariat.
- g) The GLOBALG.A.P. Secretariat will allow provisionally approved CBs *with a previous* ISO/IEC 17065 *accreditation* to issue a limited number of non-accredited certificates before final approval. The maximum number of *operations* that may receive non-accredited certificates is 20.
- h) There is a provision by the GLOBALG.A.P. Secretariat to allow provisionally approved CBs *with no previous* ISO/IEC 17065 *accreditation*, and that are not yet GLOBALG.A.P. accredited, to issue a limited number of non-accredited certificates during the application phase for accreditation. The maximum number of *sites* that may receive non-accredited certificates *before the approval* is 5.

- i) The non-accredited certificates shall comply with the applicable certificate template requirements but shall indicate neither the GLOBALG.A.P. nor the AB logos.

2.1.2 Final Approval

The CB shall complete the steps below before issuing any accredited GLOBALG.A.P. PHA certificates and before final approval can be granted.

- a) CBs shall obtain ISO/IEC 17065 accreditation within 6 months after the date of provisional approval. This period can be extended for an additional time span of 6 months if the AB provides justified reasons explaining the delay. The CB shall submit the justified reasons to GLOBALG.A.P.
- b) Once accreditation has been obtained, the CB shall send a copy of the accreditation evidence to the GLOBALG.A.P. Secretariat.
- c) If accreditation has not been achieved within a maximum period of one year, the provisional approval may be withdrawn and the CB shall not appear as provisionally approved on the GLOBALG.A.P. website and cannot issue any GLOBALG.A.P. certificates, unless the CB submits justification for the delay. The CB may re-apply for provisional approval again.
- d) As a condition for final approval, the provisionally approved CB shall have at least one in-house trainer (according to point 3.2c)) who has completed the required training available for PHA.
- e) CBs shall continually register all auditors in the GLOBALG.A.P. Database.
- f) The registered auditors shall complete the necessary GLOBALG.A.P. online exams for the General Regulations and for the Control Points and Compliance Criteria in PHA when it is available in their working language.
- g) CBs shall have at least 2 auditors complying with the auditor qualification requirements as defined in Annex III.2.
- h) CBs shall pay the relevant training fees per registered auditor according to the latest version of the 'GLOBALG.A.P. Fee Table'.
- i) Only after the CB has been accredited to ISO/IEC 17065 with the GLOBALG.A.P. PHA Standard can the CB place the GLOBALG.A.P. trademark/logo on the certificate according to the applicable GLOBALG.A.P. PHA certificate template, which shall be followed at all times.

2.2 Extension of Scopes, Sub-scopes, Approved Modified Checklists and Benchmarked Schemes

- a) – d) Not applicable.

2.3 Accreditation Body Requirements

- a) The accreditation body to which the CB applies shall be a signatory of the IAF Multilateral Recognition Arrangement (MLA) for product certification (IAF Product MLA) with GLOBALG.A.P. scope of the MLA (level 4 and 5). In addition, the AB shall have signed the 'Memorandum of Understanding' (MoU) with GLOBALG.A.P.
- b) The accreditation document issued by the AB to the CB shall clearly state:
 - (i) The extent of the accreditation for PHA it has been approved for
 - (ii) The GLOBALG.A.P. normative documents and its version
 - (iii) Limitations (if applicable)
 - (iv) Territorial limitations (if applicable)
- c) An initial AB assessment for the first GLOBALG.A.P. Standard (PHA, IFA) shall require at least one witness assessment.
- d) Not applicable.
- e) The extension of the accreditation to PHA within an already accredited GLOBALG.A.P. CB shall include at least the assessment of the personnel competency. A new witness assessment is required for those CBs without a valid GFSI BIII recognized standard accreditation.
- f) The AB shall, during its surveillance program, witness PHA in at least a 4-year period. The AB shall justify the increase of witness assessment frequency.
- g) GLOBALG.A.P. provides the AB access to all records (relevant to the AB) of the integrity program and complaint management system relevant to the AB through the AB extranet. The AB shall at least annually review the content of the AB extranet and take this into account in its next assessment. Accreditation bodies are invited to attend the integrity assessments performed by GLOBALG.A.P.

- h) On request, the AB shall send to GLOBALG.A.P. the latest results and report of the accreditation assessment. In this case, the CB shall be informed.
- i) The AB shall issue a confirmation of application including the applied standard to the applicant CB.

2.4 Termination of Approval

Not amended.

3 OPERATIONAL REQUIREMENTS

3.1 General Requirements

- a) All the points described in the General Regulations shall be accepted and included in the relevant operational document of the CB for GLOBALG.A.P. certification for PHA and be available for AB evaluation.
- b) Not amended.
- c) Not amended.
- d) GLOBALG.A.P. shall be entitled to participate, upon prior notice and at its own cost, in audits carried out by CBs.
- e) – g) Not amended.

3.2 Training and Qualification of Staff

- a) Every CB approved by the GLOBALG.A.P. Secretariat shall nominate one contact person, called the “*GLOBALG.A.P. Scheme Manager*”, who will be the representative of the CB before the GLOBALG.A.P. Secretariat. This person:
 - (i) Shall be fluent in English.
 - (ii) Shall at least qualify as a GLOBALG.A.P. PHA auditor, see requirements for GLOBALG.A.P. PHA auditor in Annex III.2.
 - (iii) –(x) Not amended.
- b) In order to carry out GLOBALG.A.P. audits, the CB shall employ/contract only auditors that fulfill the GLOBALG.A.P. requirements (see Annex III.2). Every auditor shall fulfill all standard specific requirements (i.e. it is not permitted to send 2 people to an audit to complete among them the competence of one auditor).
- c) All finally approved CBs shall have a standard and version (i.e. PHA Version 1) specifically trained CB in-house trainer, who shall be responsible for ensuring that all their registered GLOBALG.A.P. auditors comply with the requirements set in Annex III.2. This person:
 - (i) Shall have passed the CB in-house trainer training exam for the PHA and version. Failing any part of the exam twice will require re-attending a GLOBALG.A.P. CB in-house training course and successfully passing the exam.
 - (ii) Shall be available in-house; i.e. not hired occasionally by the CB. The person may be the same person as the Scheme Manager and the CB may have more than one in-house trainer covering different standards or sub-scopes.
 - (iii) Shall comply with at least auditor qualification requirements for PHA.
 - (iv) Shall be responsible for training all the respective GLOBALG.A.P. auditors (based on GLOBALG.A.P. PHA).
 - (v) Shall complete the required training within 3 months in case of a change in personnel. If this is not feasible, the new person shall register within 3 months for an upcoming course.
- d) Not applicable.
- e) Every auditor shall complete the GLOBALG.A.P. online tests (including exams of the updates) within 3 months after their release, provided they are available in the auditor’s working language. The in-house trainer(s) shall monitor the genuineness and the completeness of the process. New auditors shall complete the online trainings for the PHA before being signed-off. If auditors are working for more than one CB, the online training and exam for the PHA needs to be completed only once, but the auditor must be registered with each CB they are working with. In-house trainers do not need to pass the online exam for the PHA if they have already passed the in-house training (IHT) exam.

- f) GLOBALG.A.P. reserves the right to randomly ask for the proof of qualification of the auditors approved by the CB. In the case that the CB is not able to submit such evidence and/or the auditors do not comply with the qualification requirements, GLOBALG.A.P. reserves the right to block those persons in the GLOBALG.A.P. Database and inform the relevant accreditation body.
- g) The CB shall carry out a GLOBALG.A.P. witness assessment for each of its GLOBALG.A.P. auditors at least once every 4 years to verify competence.
- h) The CB shall verify, record and monitor the requirements set for auditor qualification including requirements for initial training and for maintenance of competency.
- i) The CB shall have in place a system for the on-going calibration and training of its auditors. The CB shall carry out annual internal refreshing/update training to auditors. Records of those trainings shall be maintained.
- j) After successful examination, the in-house trainers of the GLOBALG.A.P. associate member CBs have the possibility to become GLOBALG.A.P. approved public trainers. This requires a separate application. These in-house trainers do not need to pass an extra training/examination for this purpose. A list of train the public trainers is listed on the GLOBALG.A.P. website.

3.3 CB Certification Data Communication with GLOBALG.A.P.

- a) The objective is to “know at any point in time, instantly and worldwide”:
 - (i) The present status and status history
 - (ii) The certified sites and products, per
 - (iii) Not applicable
 - (iv) Each unique operation or site (legal entity), in
 - (v) All schemes and options (per product), with
 - (vi) Central validation of certificates by market participants (online validation tool), and
 - (vii) Audit and compliance details
- b) Therefore, the CB data communication with GLOBALG.A.P. shall:
 - (i) Ensure that as soon as the CB has made the certification decision, no certificate is issued before the site status is updated to “certified” in the GLOBALG.A.P. Database
 - (ii) Ensure that as soon as a sanction has been issued, the operation’s status shall be changed in the GLOBALG.A.P. Database to the relevant status (time between issuing the sanction and updating the database shall not exceed more than one working day)
 - (iii) Ensure that the status of all other operations and sites shall be sufficiently updated so as to ensure that the status of an operation and site on the GLOBALG.A.P. Database is up-to-date
 - (iv) Ensure availability of immediately accessible information on all audit details (including those of the unannounced audits) as well as details for each certificate

3.4 Independence, Impartiality, Confidentiality, and Integrity of CB

- a) In accordance with ISO/IEC 17065, the GLOBALG.A.P. approved CB shall be structured to ensure separation of activities that may cause a conflict of interest. All CB personnel shall operate at high levels of professional integrity, be free from commercial, financial or other pressures that might affect their judgment, and are expressly forbidden from promoting any goods or services during evaluation activities.
- b) The CB shall have procedures in place to ensure that the same auditor does not audit an operation or site for 4 consecutive years (regardless of whether it is an announced or unannounced audit).
- c) **Confidentiality:** Information relating to the applicant operation or site, including details of products and product handling practices, evaluation reports and associated documentation shall be treated as confidential (unless otherwise required by law). No information shall be released to third parties without the prior consent of the applicant operation unless stated otherwise in the General Regulations or the 'GLOBALG.A.P. Sublicense and Certification Agreement'.
- d) The CB shall establish measures and procedures to prevent bribery and corruption at all levels of its organization.

4 OPERATION/SITE REGISTRATION AND ACCEPTANCE

The GLOBALG.A.P. PHA certification granting procedure shall be clearly identified in the CB operational documentation and shall follow the GLOBALG.A.P. General Regulations.

4.1 General

- a) All product handling operations and sites to be certified shall be registered in the GLOBALG.A.P. Database (when available).
- b) The product handling scope is linked to the operation and site where product is handled. Products handled in a non-registered location cannot be certified, and likewise sites that are registered not cannot be certified.
- c) Any operation that handles (see scope) crops covered by the GLOBALG.A.P. Product List may apply for GLOBALG.A.P. certification. The legal entity (operation) responsible for packing, handling, or holding of crops can achieve GLOBALG.A.P. PHA certification.
- d) Only operations (legal entities) or sites (legal entities) may apply to register their production process for GLOBALG.A.P. certification.
- e) A certificate and sublicense are issued to the registered operation, for operation sites where the products are handled (and packed or stored if applicable) and for the products declared.
- f) Only the legal certificate holder (i.e. the legal entity that is indicated on the certificate) may market products with reference to a GLOBALG.A.P. certificate. Sites of an operation that are not separate legal entities are not legal certificate holders. Thus, they shall not market any products under their name with reference to the operation's certificate.

4.2 Operation Registration

- a) Not amended.
- b) Not amended.
- c) The CB shall explain to its prospective clients that the payment of the relevant GLOBALG.A.P. registration and certification fee does not guarantee the issuing of the certificate.
- d) If an operation or site that has previously had a GGN or PHA-N applies for registration, the CB shall act according to the GLOBALG.A.P. procedure for transfer between CBs as set out in section 7 below.
- e) If an operation or site wishes to change to a new CB, the accepting CB shall as a first step for all applicants carry out a search in the GLOBALG.A.P. Database to verify the status before any further actions are taken.
- f) Not applicable.
- g) The CB shall establish and implement procedures for collecting data updates of the accepted operations and sites, such as products, scope or activity changes and inclusion/de-listing of sites within and operation.

4.2.1 Registration Data Requirements

The CB shall:

- a) Not amended.
- b) Ensure that all sites of a multisite are registered in the GLOBALG.A.P. Database according to the requirements of the 'General Regulations Part I' Annex I.2, section 1.2 and the number of registered sites is recorded. This information shall be kept up-to-date at all times.
- c) Not amended.

4.2.2 Data Access Rules

- a) The CB shall inform the operation or site about and explain the 'Data Access Rules' document available on the website.
- b) The CB shall inform an operation or site and explain any changes to the 'Data Access Rules' document when applicable.
- c) Data access rights shall be defined and signed by the operation or site during registration with the CB. The data owner is responsible for granting and determining the level of rights for data access. The data owner, however, can transfer the responsibility to other users (e.g. CB).
- d) **Data Protection:** Within the framework of the GLOBALG.A.P. system, only parties to the system, as previously defined, shall be authorized to view the data (e.g. the operation, site, CB, GLOBALG.A.P., market participants, the public, etc.).

In addition, the operation or site can offer personal data to trading partners who have been previously authorized by the operation or site, or the operation or site may instruct a third party to do so. This authorization can be revoked online at any time. Any further access to the operation's business data is illegal and is prevented by the operator of the database in accordance with the German Federal Data Protection Act. See 'Data Access Rules' document published on the website (www.globalgap.org).

- e) GLOBALG.A.P. will keep the applicant's/operation's certification history in its database for a minimum of 5 years.

5 ASSESSMENT PROCESS

In order to achieve certification, a registered party shall perform an internal audit and receive an external audit by the chosen CB.

5.1 Option 1 –Sites and Multisites

Refer to Section 5.1 in PHA General Regulations Part I.

5.2 Announced Audits

- (i) to (vi) Not amended.
- (vii) The on-site module is conducted after this technical review of the operation's documentation, to verify the information and the way the production process works on-site and to inspect the remaining content of the checklist that was not evaluated off-site. On-site inspection activities shall include, as a minimum, the inspection of Good Manufacturing Practices and food safety related control points to determine compliance.
- (viii) to (ix) Not amended

5.3 Option 2 Producer Groups and Option 1 Multisites with QMS

Not applicable.

5.4 Unannounced Audit (Option 1 only) and Audits

Refer to Unannounced Audit description in General Regulations Part I, 5.1.2.2.

5.5 Inspection of Product Handling Units (Option 1 Multisites with QMS and Option 2)

Not applicable.

5.6 External Inspections and Audits of Approved Modified Checklists (AMC) / Equivalent Schemes

Not applicable.

5.7 Using Information and Communication Technology (ICT) for the Off-Site Module (Option 1) (Based on IAF MD4:2018)

Not amended, except Option 2 is excluded for PHA

6 CERTIFICATION PROCESS

6.1 General

- a) The person who makes the certification decision or at least one member of the certification committee of the CB shall comply with auditor qualifications as set out in Annex III.2 for the standard the certificate is being issued for.
- b) Not amended.
- c) In case of an Option 1 multisite (not separate legal entities), the product handling sites where a registered site handles product shall be audited before the certificate can list that site in the annex.



- d) On completion of the full evaluation process, a full written report will be produced which summarizes the evaluation activity undertaken (date of the audit, sites and facilities audited, and duration of audit), provides objective evidence and information on how the operation or site(s) complies with the requirements of the standard, and where applicable, lists any non-compliances and/or non-conformances identified.
- e) The operation or site representative shall sign or confirm the audit outcome (including at least the scope of the 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 operation representative is equal to the 'signature' of the operation representative.
- f) Compliance is indicated with a "Yes" (for compliant), "No" (for not compliant), and "N/A" (for not applicable). Control points that are indicated as "No N/A" cannot be answered as "not applicable". In exceptions in which the control point is not applicable, the answer shall be given as "yes" with a clear justification.
- g) Unless indicated otherwise in the checklist (Guideline for Inspection Methodology, if available), comments shall be recorded. to enable the audit trail to be reviewed after the event and shall include details of evidences checked during the audit. It is *obligatory to provide comments* for *all* the complied, non-compliant and not applicable Major Musts control points as well as to all non-compliant and not applicable Minor Must control points audited in all external audits (by CB). For the internal audits, it is *obligatory to provide comments* for *all* the non-compliant and not applicable control points and compliance criteria. Comments and evidences, such as which document(s) were sampled, workers interviewed, etc., shall be site- and scope-specific and included in the checklist to ensure that all the control points have been properly assessed for all applicable sites, scopes, products, or activities.
- h) Not applicable.
- i) The CB report shall contain the following:
 - (i) All points listed in the 'Audit Notes' section of the official GLOBALG.A.P. checklist
 - (ii) Scope of the audit: operation, site, scope, products, covered by PSR, or PCHF, observed during the audit, and activities information according to the Annex I.2.
 - (iii) Calculation of the total applicable Major Must, Minor Must control points, and % of the Minor Must non-conformances
 - (iv) List of non-compliances, non-conformances, and follow up actions. This includes the relevant control point, the observation of what has been non-complied/conformed, evidence of non-fulfillment of the requirement, deadline for corrective action, description of the corrective action by the operation or site, reference to objective evidence of implementation of the corrective action, evaluation result of the corrective action (open/closed), and the relevant dates of these actions.
 - (v) Conclusion of compliance or not
 - (vi) Certifier/reviewer(s) name
- j) This includes the stage of the report, e.g.: preliminary or final. The CB may further define different report stages.
- k) The CB shall record which products and which processes were observed in production during the audit.
- l) The fully completed audit checklist including all applicable control points, comments/justification per control point (where required) and the objective evidence of implementation of the corrective action shall be provided to the certificate holder and available. It is not necessarily part of the final report.
- m) Date of certification decision may be recorded in other places/system of the CB, not necessary in the report.
- n) Copies of the report, the objective evidences of implementation of the corrective actions or the fully completed audit checklist shall only be provided to other parties if the applicant provides access by written authorization except to the regulatory authorities when requested according to the applicable national legislation, and the AB and CB.
- o) The CB report (e.g. audit report, corrective action report, etc.) and the completed audit checklist distributed externally, must be protected or otherwise controlled to prevent unauthorized modification or tampering prior to distribution.

- p) When the operation requests it, the CB shall provide the full CB report and the fully completed audit checklist, when final, within 5 business days. However, when the report and/or checklist has not been finalized at the time of request, the report and/or checklist shall be delivered to the operation within 28 days. When the automatically generated report (including the checklist) is available from the GLOBALG.A.P. system, this report shall be used.
- q) When GLOBALG.A.P. requires it, the CB report and the completed audit checklist shall be uploaded/transferred into the GLOBALG.A.P. database.
- r) The CB shall have processes in place to address situations when translations of the reports are requested.

6.1.1 Further Specifications

- a) The summary of non-conformity shall comply with all content specified in the GLOBALG.A.P. PHA checklist under the summary of non-conformity section.
 - (i) Upon completion of the PHA audit, the written summary will be produced by the auditor which must include:
 - Operation/site audited
 - PHA-N
 - Certification scope
 - Products
 - Date of the audit
 - Duration of audit
 - Lists any non-conformances identified
 - Provides objective evidence of non-conformities identified
 - CB and auditor (first and last name)
 - Operation representative signature
 - Auditor signature
 - (ii) When corrective actions are required to achieve certification, and upon CB closure of the corrective action(s), the CB shall make available a written summary of all corrections and corrective actions for identified non-conformances and non-compliances.
- b) The corrective action report shall comply with all content specified in the GLOBALG.A.P. PHA checklist under the corrective action report section, including all requirements of the summary of non-conformity, and in addition:
 - Provides objective evidences of implementation of the correction or corrective actions
 - Date of closure of non-compliances/non-conformities
 - Reviewer signature or initials
- c) The following documents shall be uploaded in the GLOBALG.A.P. Database upon closure of the audit:
 1. Completed PHA audit report (full report with completed justifications)
 2. Corrective action report (or summary of non-conformity showing no Major Must NCs and 95 % or higher compliance with Minor Musts)

6.2 Audit Duration

- a) The audit report shall include a recording of the audit duration, and the on-site duration shall not be less than 3 hours.
- b) A sufficient audit duration shall allow the auditor to have an opening meeting with the operation and site management (re-confirm the scope, etc.), audit all applicable control points, inspect all sites, facilities, products of the audit scope; visit all product handling, storage, and other critical locations (e.g. water source), inspect the machinery and equipment, interview personnel, evaluate the records, complete the checklist with sufficient comments and present the results to the operation immediately after the audit has finished.
- c) Additional requirements and guidance on the minimum audit duration are described in the PHA rules above.

6.2.1 Unannounced Audits

- a) The duration of unannounced audits shall not be shorter than 3 hours on-site.
- b) Not applicable.

6.3 Operation Non-Conformance and Sanctions

See also General Regulations Part I 6.4 'Sanctions'

- a) All corrections and corrective actions shall be assessed; with clarification provided to show whether the action(s) taken, and evidence provided are sufficient to close the non-conformance.
- b) Evidence of the resolution of non-conformances can be provided in the form of documentary evidence and/or photographic evidence as appropriate. Evidences shall be filed and shall be made available to GLOBALG.A.P. on request.
- c) There may be occasions where demonstration of the resolution of a non-conformance can only be confirmed by a further site visit. Where this is required, a charge may result.
- d) Verification of the corrective action plan and the implementation of the corrective actions shall be carried out by a PHA qualified auditor.
- e) Not applicable
- f) Satisfactory corrective actions shall be completed to achieve the approval level on a site level *before* a certificate can be issued to the operation.
- g) Lifting of a sanction: A sanction will not run out with the cycle but stays with the PHA-N until such time that the non-conformance is closed.

6.3.1 Open Non-Conformance

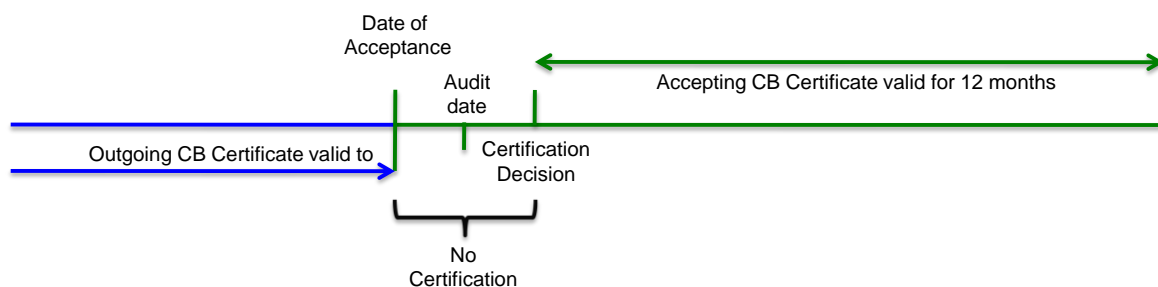
Not applicable.

6.4 Paper Certificate Requirements

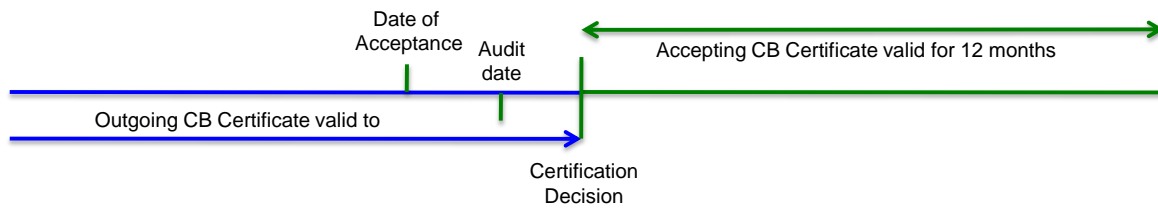
- a) After a positive certification decision, the CB shall issue a certificate according to the latest version of the GLOBALG.A.P. PHA certificate template.
- b) The paper certificate may only be issued based on the information available at that time in the GLOBALG.A.P. Database for that unique PHA-N.
- c) A list of all the product handling sites to which the certificate relates shall be issued in an appendix referred to in the certificate. The CB shall keep this list up-to-date.
- d) GLOBALG.A.P. CBs or their subcontracted parties may issue communications other than the certificate related to the operation or site status (registered, audited, etc.) as long as it is clear that it is not a certificate and it contains the sentence: The actual GLOBALG.A.P. PHA status of this operation or site is always displayed at: www.globalgap.org/search.

7 TRANSFER BETWEEN CERTIFICATION BODIES

- a) This explains how to proceed when operations or sites that are found in the GLOBALG.A.P. Database change from the original GLOBALG.A.P. approved CB [hereinafter referred to as the “outgoing CB”] to another GLOBALG.A.P. approved CB [hereinafter referred to as the “accepting CB”]. The objective is to assure the maintenance of the integrity of GLOBALG.A.P. certificates issued by one CB and to guarantee that an operations and site’s history within GLOBALG.A.P. is addressed in the review process when entering into contract with a GLOBALG.A.P. CB.
- b) These are the minimum requirements for the transfer of operations or sites found in the GLOBALG.A.P. Database (and, where applicable, their corresponding certificates) between CBs working with GLOBALG.A.P. CBs may implement procedures or actions, which are more stringent than those contained herein, provided that an operation’s or site’s freedom to choose a CB is not unduly or unfairly constrained.
- c) Only operations or sites registered with a PHA-N in the database may change CBs. All operations and sites shall first resolve any outstanding sanction(s) before being able to transfer to a new CB. In case a sanctioned operation or site wants to change CB and the certification cycle has already expired, as an exception, the outgoing CB can lift the non-conformance of an expired certificate without having received evidences of corrective actions. But, in this case, the outgoing CB shall ensure that the accepting CB is fully aware of the cause of the non-conformance. The outgoing CB shall inform the accepting CB the date of the last unannounced audit carried out.
- d) The accepting CB shall keep the existing PHA-N of the transferred operation or site. Double registration is not allowed (i.e. operation or site can have only one PHA-N even if the same operations or site is affiliated with more than one CB).
- e) The accepting CB shall close the registration process, including entering into a sublicense and certification agreement with the operation or site before accepting the transfer. The transfer of operations or sites between CBs can take place when an operation’s or site’s certificate has expired and if there is no binding service contract between the operation and the outgoing CB.
- f) The operations or sites shall apply for certification for the next cycle to another CB (“accepting CB”).
- g) The outgoing CB may shorten the validity of the issued certificate.
- h) If the “Date of Acceptance” (signing of ‘GLOBALG.A.P. Sublicense and Certification Agreement’) and “Date of Audit” are *after* the outgoing CB’s certificate expiry date, there will be a period when the operation does not have a valid certificate.



- i) If, however, the “Date of Acceptance” (signing of ‘GLOBALG.A.P. Sublicense and Certification Agreement’) and/or the “Date of Audit” are *before* the outgoing CB’s certificate expiry date, the certification decision can only take effect as soon as the certificate expires. In this case, the certification cycle of the operation will remain the same as before.
- j) The outgoing CB remains responsible until its certificate expires. The operation may sign a Sub-license Agreement and Certification Agreement with the accepting CB while under contract with the outgoing CB. The ‘GLOBALG.A.P. Sub-license Agreement and Certification Agreement’ is binding for the accepting CB only once the outgoing CB has released the operation’s PHA-N in the GLOBALG.A.P. Database.
- k) If, during the validity of the certificate issued by the outgoing CB, the accepting CB detects non-conformities that are not closed after 28 days, the accepting CB shall inform the outgoing CB about the non-conformities detected so that it can take appropriate follow-up actions.



Note 1: If the certification decision is made *after* the outgoing CB certificate has expired, even if the “Dates of Acceptance” and audit were before the expiration date, there will be a period when the operation or site will not have a valid certificate.

Note 2: In case of transfer, the registration of products, scopes, or activities in the database might not be finalized before the audit and the certification decision might not be taken within 28 days.

- i) Where the operation transfers from one CB to another, the accepting CB keeps the unannounced cycle.

Example:

Year 1 -2018, certified with CB 1, announced audit

Year 2 -2019, re-certified with CB 1, announced audit

Year 3 -2020, switches CBs, CB 2 performs unannounced audit

8 CERTIFICATION BODY SANCTIONS

Not amended.

9 INTEGRITY PROGRAM

Not amended.

ANNEX III.1: GLOBALG.A.P. CB INSPECTOR QUALIFICATIONS (OPTIONS 1 AND 3)

Not applicable.

ANNEX III.2: GLOBALG.A.P. CB PHA AUDITOR QUALIFICATIONS

1 GLOBALG.A.P. Auditor

The PHA requires that only qualified auditors conduct the audits. The auditor qualifications for conducting PHA audits have increased beyond IFA crops auditor requirements, to include an additional 2 years' work experience and training in current Good Manufacturing Practices.

2 Formal Qualifications and Work Experience

At least a post high school (post-secondary education) diploma/degree or equivalent (minimum course duration of 2 years) in a discipline related to the scope of certification (Crops, Food Science, Nutrition, etc.)

AND

A minimum of 4 years' experience gained after finishing the respective post high school studies and 5 years' overall experience in the agricultural, crops and/or food science industry.

3 Technical Skills and Qualifications

3.1 Lead Assessor Training

- a) Practical auditing experience of minimum 10 days in management systems (e.g.: ISO 9000, ISO 14000, ISO 22000, OSHAS 18000, BRC Food, IFS Food, SQF, PrimusGFS, previous GLOBALG.A.P. Option 2 or Option 4, FSSC 22000 Feed), or PHA (this standard). This does not include witnessing or observing of audits but includes being witnessed or observed as auditor-in-training.
- b) Successful completion of a lead auditor training course based on ISO 19011 principles that shall have a minimum duration of 37 hours and shall be externally recognized by the industry. The certificate shall specify the course content and duration. Successful completion shall be indicated on the certificate.
- c) The lead auditor training course shall cover applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication) and reporting, and it shall also include a practical case study.

3.2 Food Safety, G.A.P., cG.M.P., Training and Work Experience

- a) Training in HACCP principles, either as part of formal qualifications or through the successful completion of a formal course based on the principles of the Codex Alimentarius (the formal course may be an internal training by the CB). The training duration shall be a minimum of 8 hours. Duration and content shall be indicated on the evidence provided for this requirement (course certificate, evidence of training included in formal qualifications, etc.).
- b) Food hygiene training, such as current good manufacturing practices (cGMP) training, either as part of formal qualifications or through the successful completion of a formal course (the formal course may be an internal training by the CB) with a minimum duration of 8 hours. Duration and content shall be indicated on the evidence provided for this requirement (course certificate, evidence of training included in formal qualifications, etc.). The food hygiene training course shall cover site management, buildings, facilities and equipment, personal hygiene, water, process control, sanitizers and chemicals, pest control, etc. and it shall also include practical case studies.
Both trainings in points a) and b) can have been completed together in the same formal course (minimum duration 16 hours).
- c) Not applicable.
- d) GLOBALG.A.P. online training, with the successful completion of all online tests and the respective updates within 3 months after release of the training in the inspector's language.
- f)– i) Not applicable.

- j) Knowledge of the relevant regional/national food and agriculture legislation applicable to the scope of activity and where relevant in the CPCC.
- k) Knowledge of both the Produce Safety Rule (PSR) training and Preventive Controls for Human Food (PCHF) Rule training as required for farms and facilities that must comply with the Food Safety Modernization Act of the United States. (Note that auditors must know the difference between PSR and PCHF Rule requirements.) CB may provide this training internally to auditors.
- l) Continuous technical training, including attendance at food safety and other agricultural industry conferences, seminars, commodity specific workshops or trainings, at minimum twice annually. Online courses are acceptable. Duration and content shall be indicated as evidence.
- m) Five years of working experience is required in the crop science, food science, or food industry. The formal courses (mentioned above in 3.2 a) and b)) may be part of the formal qualifications or can be separate courses that were taken by the auditor. The auditor shall present proof of qualification. If it was part of the degree/diploma, it shall be in the syllabus of the course. If it was acquired separately, then there shall be a separate certificate which shows that a course that covered these issues was completed.

3.3 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 discussed beforehand with the GLOBALG.A.P. Secretariat.

3.4 Initial Training Before Sign-Off by the CB

- a) The CB shall put a training program in place that is customized to the candidate/trainee.
- b) The applicant auditor shall take part as an observer in a minimum of one PHA audit carried out by an already qualified auditor. In case the CB takes over (hires) an approved auditor (for the currently valid version), the rule “to observe a minimum of one operation” does not apply.
- c) The CB shall witness a minimum of one PHA audit carried out by the applicant auditor.
- d) The CB shall have an assessment program for auditing skills. For sign-off, this includes as a minimum that auditors are assessed on their performance for 3 audits in accordance with the CB’s written program and as a pre-requisite to meet applicable requirements of the GLOBALG.A.P. standard. The auditing skills assessment includes at least one witness assessment (3.4 c)), and additional audit days or audits assessment may be conducted by witness assessment or by document review. The sign-off process may only be concluded after a successful auditing-skills assessment consisting of the minimum of 3 audits. After the initial successful witness audit, but before the final sign-off, the conducted audits may be registered for the auditor-in-training and the operation may be certified.
- e) For the CB’s first auditor the CB’s internal procedure shall apply.
- f) Not applicable.
- g) As a minimum requirement, the CB shall verify competence in the following topics:
 - Technical knowledge in crops (fruit and vegetables, combinable crops, hop module)
 - Ability to identify food safety risks/hazards
 - Ability to evaluate the HACCP system and identify/challenge critical control points
 - Ability to evaluate the food safety management system and identify/challenge policies and procedures
 - Up-to-date knowledge of produce handling and post-harvest technology
 - Ability to carry out traceability checks and mass balance analyses
 - Wherever the control point refers to local legislation, knowledge of the relevant requirements
 - Having the sufficient communication and professional skills to be able to conduct an audit
 - “Working language” skills in the corresponding native/working language

3.5 Maintenance of Competency

- a) The CB shall have in place a procedure to ensure that annually every auditor conducts at least 5 audits at a number of different operations or sites, against the GLOBALG.A.P. PHA, a GFSI benchmarked scheme (pre-processing of plants as scope, e.g. scope D), to maintain scheme knowledge and to stay registered in the GLOBALG.A.P. Database.

- b) Witness audits or surveillance audits shall be carried out against the GLOBALG.A.P. PHA, a GFSI recognized scheme (pre-processing of plants as scope, e.g. scope D) to this PHA at a frequency no less than every 3 years to review auditor competency and calibrate auditor consistency.
- c) Exceptions to this rule, e.g., if the CB does not have a total of five clients, shall be discussed with and confirmed in writing beforehand by the GLOBALG.A.P. Secretariat.
- d) These requirements are not valid for those auditors whose main task it is to be part of the CB decision-making committee.
- e) The CB shall carry out a GLOBALG.A.P. witness audit and/or re-audit for each of its GLOBALG.A.P. auditors at least once every 4 years to verify competence.
- f) If it is not possible to maintain competency from one year to the other, 3.4 shall apply.

3.6 Rotation of the Auditor

Not amended.

4 Key Tasks

4.1 GLOBALG.A.P. Audits

- a) Audit of operations and its sites to assess compliance with the GLOBALG.A.P. PHA Standard.
- b) To produce timely and accurate reports on such audits in accordance with ISO/IEC 17065 requirements and GLOBALG.A.P. timelines and system requirements.

4.2 GLOBALG.A.P. Farm Inspections

Not applicable.

4.3 General

- a) To maintain up-to-date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- b) To keep abreast of developments, issues, and legislative changes pertaining to the scope in which audits are carried out.
- c) To carry out any other tasks the CB may assign outside the scope of GLOBALG.A.P. so long as these activities do not contradict ISO/IEC17065 principles or any stipulation set down by the GLOBALG.A.P. General Regulations.

4.4 Independence and Confidentiality

- a) Auditors are not permitted to take ultimate certification decisions regarding own audits or audits they have carried out themselves.
- b) Auditors are not permitted to carry out any activities that may affect their independence or impartiality, and specifically are not permitted to have carried out consultancy activities in the last 2 years for the operations or sites they are performing audits on. Training is not considered to be consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain, i.e. the trainer cannot provide company-specific solutions.
- c) Auditors shall strictly observe the operation's and the CB's procedures to maintain the confidentiality of information and records.

VERSION/EDITION UPDATE REGISTER

New Document	Replaced Document	Date of Publication	Description of Modifications
190401_GG_GR_PHA_V1_1_en	180928_GG_GR_PHA_V1_0_en	1 April 2019	<p>General punctuation, grammar, and mechanics corrected through document e.g. capitalize letters or lowercase letters</p> <p>Table of contents updated</p> <p>PHA General Regulations Part I: reference to Codex Alimentarius added</p> <p>3 – scope corrections</p> <p>4.3.1 – scope correction, grammar correction</p> <p>5.1.1 – updated requirement</p> <p>5.4 – clarification, table removed, added description</p> <p>6.3 – added upload requirements from checklist</p> <p>6.4 – new point b) added</p> <p>6.7 c) – inspection changed to audit for clarity</p> <p>Annex I.2, 1.2.1 (x) – added</p> <p>Annex I.2, 1.4.1 (b) – amended</p> <p>Annex I.3 – clarification</p> <p>Annex I.4 – PHA operation fees added</p> <p>PHA General Regulations Part III: 4.1 – scope correction</p> <p>4.2.1.1 – clarification</p> <p>5 – deleted duplication</p> <p>6.1.j) – clarification</p> <p>6.1 – new point m) added</p> <p>6.1.1 Further Specifications added</p> <p>Annex III.2, 3.2 e) – new requirement</p> <p>Annex III.2, 3.4 b) – clarification</p> <p>Annex III.2, 3.4 g) – clarification</p> <p>Annex III.2, 3.5 a) – clarification</p>
200715_GG_GR_PHA_V1_2_en	190401_GG_GR_PHA_V1_1_en	15 July 2020	<p>General grammar and mechanics</p> <p>Table of contents updated</p> <p>GR Part I: 3.1.2, 3.2, 3.3 – wording changed to not applicable</p> <p>4.3.1 and Table 1 – scope corrections, deleted scope decision tree</p> <p>5.1 a) – new clarification added</p> <p>5.1.2.1 – new language added for off-site audit, clarifying that it is applicable to operations</p> <p>5.1.2.2 – clarifying language added for unannounced audits, clarifying that it is applicable to operators</p> <p>5.3.1 – updated requirement</p> <p>5.4.1 – updated requirement</p> <p>6.2.1 – a) update minor must calculation per GFSI changes</p> <p>6.3 d) – updated requirement</p> <p>Annex I.1 – QR code references removed</p> <p>Annex I.1 (ix) – reference to CFM and PPM removed</p> <p>Annex I.4 – content removed</p> <p>GR Part III: 2.3 c) and e) – clarifying language added</p> <p>3.4 d) – inspections changed to audits for clarity</p> <p>5.7 – reference to GLOBALG.A.P. General Regulations added</p> <p>6.1 – content updated to match GLOBALG.A.P. GR</p> <p>6.2 –audit duration updated</p> <p>6.2.1 – audit duration updated</p>

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			6.3 d) – new clarification added Annex III.2, 2 b) – deleted repeat Annex III.2, 3.4 b) – deleted repeat Annex III.2, 3.4 d) – new requirement added
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To receive more information on the modifications in this document, contact the GLOBALG.A.P. Secretariat mail at translation_support@globalgap.org.

When the changes do not introduce new requirements to the standard, the version will remain “1.0” and an edition update shall be indicated with “1.0-x”. When the changes do affect compliance with the standard, the version name will change to “2.x”. A new version, e.g. V2.0, V3, etc., will always affect the accreditation of the standard.

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