

# GLOBALG.A.P V6 Certification Requirements

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**Revision History**

Rev No	Revision Date	Author	Approved by	Page No	Sec. No	Brief Description of Change
1	July 2023	Rose Fekken	Ana Cicolin	All	All	Scheme Update to GLOBALG.A.P IFA Version 6

**Related Documents**

Document Number	Title
<a href="#">PP166V6</a>	Global Scheme Manual GLOBALG.A.P Version 6

## 1 Introduction

This recognition booklet is designed to assist your organization on the requirements for certification to GLOBALG.A.P Integrated Farm Assurance (IFA) Crops Base and Chain of Custody standards throughout the BSI Group.

## 2 Accreditation Status

BSI is accredited against ISO 17065:2012 for IFA V5.2 and V5.4-1 & for Chain of Custody V6.1 of this scheme by ANAB (ANSI).

BSI is in the process of accreditation against ISO 17065:2012 for GLOBALG.A.P IFA Plants V6 standard.

## 3 The Recognition Process

The following section outlines the steps that apply during the BSI recognition process for GLOBALG.A.P. BSI reserves the right to provide its clients and those that request quotations with marketing and technical information relating to standards, training and compliance services.

### 3.1 Initial Inquiry

BSI will respond to either verbal or written expressions of interest from organizations interested in one or more of our programs. If your organization is located near one of BSI's offices, an advisory visit may be arranged to discuss your recognition requirements and how BSI can help your organization achieve them.

BSI will also, on request and receipt of a Request for Quotation, prepare a proposal tailoring our services to your organization's needs which will be sent to you within 28 days of the receipt of the completed client service request form.

### 3.2 Application for Certification and Assessment

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

- Receipt of a signed, authorized acceptance of a valid BSI proposal,
- The signed GlobalG.A.P Sublicense and Certification agreement document,
- Accompanying proof of payment of the non-refundable application fee (or invoicing instructions)
- Standard BSI Terms and Conditions together with this document, which can be accessed at all times on our public BSI website, or can be accessed [here](#).

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

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BSI will also register your organization in the GLOBALG.A.P Database and shall inform you about and explain the GLOBALG.A.P General Regulations - Data Access Rules document. Data access rights shall be defined and signed by a duly authorized member of your company during registration. The GlobalG.A.P Data Access rules are available [here](#).

### 3.3 Client Contact

As soon as practicable after receipt of your signed proposal, a BSI Client Manager (or nominated representative) will contact your organization. The Client Manager will seek to establish a working relationship between your organization and BSI, and to confirm your recognition requirements in terms of the certification or assessment services, standards or codes of practice, locations, and activities and/or products to be included in the scope of certification.

The Client Manager (or nominated representative) will seek to gain insight to the structure of your organization and the activities being conducted that will be covered by the scope of work covered in the contract. In particular the Client Manager will:

- Seek to understand the nature and scope of the organization's activities, structure and location(s), including any activities excluded from scope of contract; and
- Determine the status of system documentation and implementation including organizational policies, processes and objectives.

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

### 3.4 Pre-Assessment (optional)

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

### 3.5 Certification Inspection/Audit

The purpose of the Certification Audit is to establish whether your organization has implemented and complies with the relevant standard by examining actual practices, documentation and records and comparing them against the organization's policies and procedures. The inspection/audit process is, effectively, an undertaking to establish that your documented policies and practices are understood by your personnel and have been effectively implemented and are being maintained in line with the relevant standard requirements.

The Inspection/Audit will be led by appropriately qualified and experienced auditors and, where required, witness auditors, observers and/or technical specialists acting as advisers to the audit team

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may also be present. These specialists bring current specialized knowledge of the activities being audited to the audit team and ensure that the audit provides a relevant and practical review of aspects critical to the business.

BSI assessors use GLOBALG.A.P prescribed checklists to complete your assessment. These checklists form the basis of the report.

### **3.6 Certification Inspection/Audit Report**

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

The inspection/audit findings include a summary of the overall compliance of your system with the requirements of the relevant standard(s) or codes of practice. The final report will be subsequently provided after completion of the Inspection/Audit.

The inspection/audit report will include the following information;

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

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

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

If non-compliances and/or non-conformances have been raised during your organisations' assessment BSI will provide guidance on the steps that are needed to take place to continue to certification. Such guidance may include timeframes for close out or requirement for re-assessment. BSI cannot provide guidance on how to close out non-compliances and/or non-conformances.

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

Definitions and close-out requirements for non-compliances and/or non-conformities are defined in the GLOBALG.A.P General Regulations for Individual Producers (version 6) section 7.1.2 / GLOBALG.A.P General Regulations for Producer Groups and QMS Multisite producers with QMS (Version 6) section 7.1.2

### 3.7 Inspection/Audit Cycle and Certification

Inspections/Audits are conducted in accordance with the requirements of the GLOBALG.A.P Standard; please refer to the relevant General Regulations listed below as well as the relevant scope principles and criteria documents, which are available from the GlobalG.A.P website.

#### GlobalG.A.P General Regulations

- General Regulations for Individual Producer (Version 6)
- General Regulations for Plants Scope (Version 6)
- General Regulations for Producer Groups and QMS Multisite producers with QMS (Version 6)
- General Regulations for Parallel Ownership (Version 6)
- GlobalG.A.P Registration Data Requirements (V6)
- Chain of Custody Standard – General Regulations (Version 6.1)
- GlobalG.A.P Trademarks use: Policy & Guidelines

Follow-up inspections/audits may be required to be conducted whenever a sanction has been raised which requires a follow-up inspection/audit to close-out any non-compliance/non-conformity.

Production and/or activities relevant to the scope of certification must be occurring at the time of the inspection/audit, in order for the control point criteria to be verified within your business.

### 3.8 Certification Decision

After confirmation that any necessary corrective actions have been taken, which may involve a follow up visit by the BSI Assessor, the findings and recommendations made in the inspection/audit report are subject to an internal review process prior to certification being granted.

BSI inspectors/auditors undertake an extensive review process of audit reports and there may be occasions when audit report gradings are revised based upon review by the Technical and Compliance team during certification review.

### 3.9 Certificates

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

When copies or elements of the certificate are used in tenders or offered to potential or existing customers, the certificate should be accompanied by the scope of certification document (if issued separately) as it is important for them to understand the scope of activities for which certification has been granted (see 'Scope of Certification' below).

Incorrect use of the certificate can result in a customer being misled as to the extent of your organization's certification. Clients are obliged to ensure that BSI has been formally notified of the changes of address, ownership, changes to key management responsibilities, major management system changes and capability information so that the certificate maintains its currency. Failure to do so may compromise your organization's certification status.

All original certificates remain the property of BSI Group and must be returned on request.

### **3.10 Scope of Certification**

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

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

Clients are obliged to ensure that BSI has been formally briefed in a timely manner when any variations occur. Clients should not wait until the next scheduled assessment to notify BSI. Failure to do so may compromise the organization's certification status.

### **3.11 Suspension or Refusal of Certification**

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

The decision to refuse certification, and the grounds for that decision, will be communicated to your organization in writing.

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

- Withdraw and cease to use any advertising or promotional material that promotes or advertises the fact that the organization is certified
- Ensure that all copies of certificates and scopes of certification are removed from areas of public display and



- Cease to use the certification mark on stationery and other documents including media and packaging that are circulated to existing and potential clients, or in the public domain

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

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

### **3.12 Cancellation of Certificate**

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

- Cease any advertising and promotional activities that promote the fact that the organization holds certification
- Withdraw and cease to use any advertising and promotional material that promotes the fact that the organization holds certification
- Cease to use relevant certification marks in any way to promote the fact that the organization holds certification and
- Return all certificates and pay outstanding fees

### **3.13 Variations to Certification**

Your organization is required to advise BSI if there are any significant changes to your organization or the product.

Variations to certification may originate from:

- Variations to the scope of certified product
- Major nonconformities
- Voluntary withdrawals
- Withdrawal of certification by BSI Group
- Change of certification scope
- Change of ownership
- Change of management
- Change of company name or registration number

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

### **3.14 Reduction in Scope of Certification**

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

- Return all superseded certificates
- Ensure that use of the certification mark is adjusted to reflect the reduced scope of certification
- Ensure that all advertising and promotional activities and materials are adjusted to reflect the reduced scope of certification and
- Pay any fees that are applicable for the facilitation of this activity

## **4 Use of the BSI Certification Mark**

You are entitled to use the appropriate BSI certification marks whilst you maintain certification to this program with BSI. For a copy, visit our website at [www.bsigroup.com](http://www.bsigroup.com)

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

## **5 Use of the GLOBALG.A.P Logos and trademarks**

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

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

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

## **6 Standard Owner Information**

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

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

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

## **7 Confidentiality**

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

## 8 Additional Obligations

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

- Continued compliance with the relevant systems standard(s) or code(s) of practice;
- Compliance with the BSI Standard Commercial Terms and Conditions and obligations as specified in this document as well as other guidance documentation that may be specifically provided from time-to-time;
- Conduct of regular internal reviews of your system, with appropriate documentation of such reviews and of any subsequent corrective actions;
- Notification to BSI of any significant changes in the structure (key responsibilities and management system), ownership and operations of your organization to enable the impact of such changes on the certified ownership system to be evaluated; and
- In case your organization is affected by serious events that impact the FSMS, legality and/or the integrity of the certification which includes legal proceedings, prosecutions, situations which pose major threats to food safety, environmental safety or worker wellbeing or certification integrity as a result of natural or man-made disasters (e.g. war, strike, terrorism, crime, flood, earthquake, malicious computer hacking, etc.), BSI shall be contacted within **2** working days through [critical.food@bsigroup.com](mailto:critical.food@bsigroup.com)
- In the event of a product recall, the client shall inform BSI within **2** working days of the decision to issue a recall to [food.recall@bsigroup.com](mailto:food.recall@bsigroup.com)
- In case of public food safety events (such as e.g. public recalls, calamities, food safety outbreaks, etc.) that a BSI office becomes aware of, the FCoE (Food Centre of Excellence) shall be notified through [food.recall@bsigroup.com](mailto:food.recall@bsigroup.com) within **24 hours** of becoming aware.

Note 1: Certified sites do not have an obligation to communicate product withdrawals to BSI. The definitions of product withdrawal and product recall are provided below for clarification:

- **Product Recall:** The removal by a supplier of a product from the supply chain that has been deemed to be unsafe and has been sold to the end consumer and is available for sale (GFSI vs.2020.1).
- **Product Withdrawal:** The removal of a product by a supplier from the supply chain that has been deemed to be unsafe and which has not been placed in the market for purchase by the end consumer (GFSI 2020.1).

### 8.1 Complaints

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

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

## 8.2 Certification Agreement

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

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

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

## 8.3 Assessment Scheduling

Your organization is required to make all necessary arrangements to allow the evaluation and surveillance activities to take place. This includes but is not limited to; Equipment, Product, Locations, Personnel and Sub-contractors.

Assessments may be conducted as full onsite audits or may employ the use of ICT (Information communication technology) with prior agreement by your company representative, against the requirements of the relevant standard. These audits may be conducted announced, or unannounced to meet the GlobalG.A.P general regulations in terms of unannounced audit requirements. Your local BSI office / assigned Client Manager will notify your organization, in an appropriate time manner of the nature and methodology of your audit.

## 8.4 Misleading Statements

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

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

## 8.5 Changes to Circumstances

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

- Authorized Representative
- Business name (Legal entity) and Trading Name (where applicable), Company registration number
- Ownership
- Contact details

- Location, site addresses
- Business activity/ies, scope of certification (Products and Processes)
- System Management Number of employees, covering all shifts and sites
- Billing Details

## 8.6 Observers

From time to time BSI requires an Observer to be in attendance at an inspection/audit. This may be related to training of new staff and/or witness assessment of existing staff. It may also be required that external observers be in attendance at an inspection / audit for accreditation or scheme owner observation. It is a requirement of certification that your organization allows these activities to occur.

Failure to allow this activity to occur may result in cancellation of your certification.

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

The Observer does not take an active part in an assessment.

## 9 Complaints and Appeals

All complaints relating to the scope of work stipulated in the legal contract shall be notified to the BSI Global Complaints and Appeals Coordinator – [complaints@bsigroup.com](mailto:complaints@bsigroup.com) or via the BSI client portal. Any correctly reported complaints will receive an acknowledgement of complaint receipt within 2 working days and will be duly investigated and feedback provided to the complainant.

Appeals relating to the reconsideration of a decision made by BSI shall be considered if received within 10 calendar days of the decision or the closing meeting of an audit. Notification of the appeal shall be made in writing by the client.

Appeals shall be sent to [appeals@bsigroup.com](mailto:appeals@bsigroup.com)

BSI will also investigate legitimate documented complaints, relevant to operation of the system, from clients/customers of certified sites, GlobalG.A.P as the scheme owner and the accreditation body (ANAB).

Certified sites shall, at all reasonable times, provide representatives of BSI, GlobalG.A.P or ANAB with access to its premises and records for the purposes of investigating such complaints.

If your site's application for certification has been refused; or your certified site's certification has been suspended, withdrawn, or reduced in scope, you may appeal against the decision. All complaints will be investigated and the originator of a complaint will be advised of the outcomes, as appropriate.

Where necessary a Review Committee will be established and operated as set out below:

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- The appellant shall, within 28 days of the disputed advice from BSI, lodge a written notice of appeal with an affidavit as to the grounds of appeal;
- The BSI Global Operations & Compliance Management Group shall be advised within 14 days of receiving the appellant's notice;
- The Global Operations & Compliance Management Group shall then establish a Review Committee;
- The Review Committee shall consist a minimum of three persons considered as experts in the area of technology or business relevant to the appeal. The Review Committee shall be constituted as follows:
  - One-person expert in the relevant area of technology or business
  - Two persons selected by the appellant from a list of four persons
- The appellant shall represent himself and no legal representation will be allowed unless approved by the Review Committee; and
- The Review Committee will carry out investigations as are required, including assessment of information supplied by the appellant and, within a reasonable time, decide by majority vote whether or not to reverse the original decision.
- The Global Technical & Compliance Head – Food Sector shall give notification of the decision to the appellant within 14 days of the Review Committee decision

## **10 Specific Program FAQ's:**

### ***What is the duration of a GLOBALG.A.P inspection/audit?***

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

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

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

- Email: [globalgapreport@bsigroup.com](mailto:globalgapreport@bsigroup.com)
- (Or directly to the Auditor/Inspector) with your company name and BSI Auditor's name (please copy auditor)
- FAX: Local Country BSI office Fax – Details to be provided by auditor

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

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

If you cannot comply with this date, you must contact BSI who will determine whether the request is justified to request an extension from GlobalG.A.P.

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

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

Yes.

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

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

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

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