

ANNEX I.1 GLOBALGAP (EUREPGAP) DEFINITIONS

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.0-Mar07 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

The following terms are defined according to their use in the GLOBALGAP (EUREPGAP) context, and are listed in alphabetical order.

1. **Accreditation Body:** organization responsible for assessing and accrediting GLOBALGAP (EUREPGAP) certification bodies against EN 45011 or ISO/IEC Guide 65 and that is a member of the International Accreditation Forum (IAF) or the European Cooperation for Accreditation (EA) and is a signatory of the Multi-Lateral Agreement (MLA) for product certification and of the Memorandum of Understanding between the EA and/or IAF and GLOBALGAP.
2. **Active Ingredient:** In any plant protection product, is the substance that kills, or otherwise controls, target pests. Plant protection products are regulated primarily on the basis of active ingredients.
3. **Annual Crop:** Plant that completes its life cycle in one year (i.e. germinates from seed, grows, flowers, produces seed, and dies in the same in the same season. This definition covers also potato “tuber” seed. Also covered are Strawberries, asparagus, cassava, etc..
4. **Applicant Propagator:** Candidate for certification that has applied or is in the process of applying for registration by a GLOBALGAP (EUREPGAP) approved CB.
5. **Audit:** (refer also to ISO 19011) A systematic and functionally independent examination to determine whether quality and food safety activities and results comply with planned procedures and whether these procedures are implemented effectively and are suitable to achieve objectives. In GLOBALGAP (EUREPGAP) an audit refers to the verification of the Quality Management System of a propagator group. It also refers to the surveillance of a Certification Body by an Accreditation Body.
6. **Benchmark:** A measurable set of variables used as a baseline or reference in evaluating the performance of schemes.
7. **Benchmarked Certification System:** A certification system which has achieved its accreditation to ISO/IEC Guide 65 (EN45011) via a GLOBALGAP (EUREPGAP) approved Certification Body with an Accreditation Body that is a member of the International Accreditation Forum (IAF) and is a signatory of the Multi-Lateral Agreement (MLA) concerning ISO/IEC IEC Guide 65 and of the Memorandum of Understanding between the European co-operation for Accreditation (EA) and/or IAF and GLOBALGAP that has successfully completed the procedures set out in this document and been formally recognised by GLOBALGAP.
8. **Benchmarked Standard:** A standard that is operated under a benchmarked certification system or under the GLOBALGAP (EUREPGAP) certification system that has successfully completed the procedures set out in this document and has been formally recognised by GLOBALGAP.
9. **Biennial:** A plant which completes its life cycle within two years and then dies.
10. **Biocide:** A biocide can be a pesticide, which includes fungicides, herbicides, insecticides, algicides, molluscicides, miticides and rodenticides; or it can be an antimicrobial, which includes germicides, antibiotics, antibacterials, antivirals, antifungals and antiparasites
11. **Biodiversity:** Assemblage of living organisms from all sources including terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part. .
12. **Bund:** A barrier on the surface of the soil/ground/floor to prevent runoff, spillage and soil erosion.
13. **Calibration:** Determination of the accuracy of an instrument, usually by measurement of its variation from a standard, to ascertain necessary correction factors.
14. **Certification:** All those actions leading to the issuing of a certificate in terms EN45011 or ISO/IEC Guide 65 Product Certification
15. **Certification Body:** also known as conformity assessment bodies, are organizations who provide conformity assessment services such as inspections and certifications to propagators or

propagator groups for GLOBALGAP (EUREPGAP) standards in context with the requirements established under EN 45011 / SO/IEC Guide 65.

16. Certification Committee: Decision making person or group of persons within a CB that has the responsibility for making the final decision on whether an applicant propagator or propagator group becomes a certified propagator
17. Certified Propagator: Applicant that has successfully applied and obtained a certificate by a GLOBALGAP (EUREPGAP) approved CB.
18. Compost: The controlled biological decomposition of organic material in the presence of air to form a humus-like material. Controlled methods of composting include mechanical mixing and aerating, ventilating the materials by dropping them through a vertical series of aerated chambers, or placing the compost in piles out in the open air and mixing it or turning it periodically.
19. Critical Control Point (CCP): A point, step, or procedure at which control can be applied and a safety hazard can be prevented, eliminated, or reduced to acceptable levels
20. Critical defect: A deviation at a CCP which may result in a hazard
21. Critical limits: A maximum and/or minimum value to which a biological, chemical or physical parameter must be controlled at a CCP to prevent, eliminate or reduce to an acceptable level the occurrence of a food-safety hazard.
22. Crop rotation: A crop rotation system means that the crops on a certain plot are following other crops according to a predefined plan. Normally the crops are changed annually, but they can also be multi-annual. It usually followed for the purpose of increasing soil fertility and maintaining good yields and forms part of Integrated Pest Management (IPM)
23. Customer: A customer is anyone who purchases products or services from a supplier.
24. Declaration: Written statement that covers the relevant subject, and which is signed by the person that makes the statement, and will be taken by the CB as evidence for verification of compliance to the applicable points.
25. Deviation: Failure to meet a critical limit.
26. Environment: water, air, land, wild species of fauna and flora, and any interrelationship between them, as well as any relationship with living organisms;
27. GLOBALGAP (EUREPGAP) Standard: Specified standards within GLOBALGAP (EUREPGAP) and other normative documents have been developed in compliance with ISO/IEC Guide 65 clause 4.1.3, which are available from GLOBALGAP specifically as a reference point or benchmark against which equivalence can be demonstrated.
28. GLOBALGAP (EUREPGAP) Certification System: A certification system that complies with both the requirements of ISO IEC Guide 65 and the requirements defined by the GLOBALGAP (EUREPGAP) General Regulations.
29. GLOBALGAP Client Number (GGN): A unique number assigned by GLOBALGAP to the propagator at registration, which will be used as a unique identifier for all GLOBALGAP (EUREPGAP) activities.
30. Field, plot, orchard or greenhouse: Separate units of land within a production location, which summed up as a whole, form a production unit.
31. Fumigant: Volatile liquid or gas to kill insects, nematodes, fungi, bacteria, seeds, roots, rhizomes, or entire plants.
32. Groundwater: All water that is below the surface of the ground in the saturation zone and in direct contact with the ground of the soil.
33. Hazard: A biological, chemical, physical or any other property that may cause a product to be unsafe for consumption.
34. Herbicide: A chemical that controls or destroys undesirable plants.
35. Inorganic fertilizer: a fertiliser in which the declared nutrients are in the form of minerals obtained

- by extraction or by physical and/or chemical industrial processes
36. Integrated Crop Management: ICM is a farming system that meets the requirements of long-term sustainability. It is a whole-nursery strategy that involves managing crops profitably, with respect for the environment, in ways that suit local soil, climatic and economic conditions. It safeguards the farm's natural assets in the long term. ICM is not a rigidly defined form of crop production but is a dynamic system that adapts and makes sensible use of the latest research, technology, advice and experience.
 37. Integrated Pest Management (IPM): The careful consideration of all available pest control techniques and subsequent integration of appropriate measures that discourage the development of pest populations and keep plant protection products and other interventions to levels that are economically justified and reduce or minimise risks to human health and the environment. IPM emphasises the growth of a healthy crop with the least possible disruption to agro-ecosystems and encourages natural and or non-chemical pest control mechanisms.
 38. Licence and Certification agreement: legal document which establishes the rights and obligations of GLOBALGAP as standard owner and GLOBALGAP (EUREPGAP) approved certification bodies as independent inspection organisations for inspection, certification and licensing activities within the framework of the GLOBALGAP (EUREPGAP) system.
 39. Manure organic fertilizer: non-proprietary organic fertilizer; Animal excreta collected from stables and barnyards with or without litter; used to enrich the soil.
 40. Non-compliance: A GLOBALGAP (EUREPGAP) control point in the checklist is not fulfilled according to the compliance criteria.
 41. Non-conformance: A GLOBALGAP (EUREPGAP) rule that is necessary for obtaining a GLOBALGAP (EUREPGAP) certificate is infringed. In other words, the propagator does not comply with 100% of the Major Musts and/or 95% of the Minor Musts.
 42. Nutrient balance: The soil surface nitrogen balance is calculated as the difference between the total quantity of nitrogen inputs entering the soil and the quantity of nitrogen outputs leaving the soil annually, based on the nitrogen cycle.
 43. Organic fertiliser: Organic fertilisers mean materials of animal origin used to maintain or improve plant nutrition and the physical and chemical properties and biological activity of soils, either separately or together, they may include manure, compost and digestion residues.
 44. Perennial: A plant whose life cycle lasts for three or more years; Lasting year after year
 45. Plant Protection Product: Any substance or mixture of substances intended for controlling insects, weeds, fungi, and other forms of plant or animal life considered to be pests.
 46. Plant Protection Product (PPP) risk analysis: Covers the following risks,
 - ☐ Exceeding Maximum Residue Levels/Limits (MRLs),
 - ☐ Legal PPP registration issues
 - ☐ Residue analysis decision taking
 - ☐ Reasons behind decision taking for Residue Analysis
 47. Pollution prevention: The use of materials, processes, or practices to reduce, minimise, or eliminate the creation of pollutants or wastes. It includes practices that reduce the use of toxic or hazardous materials, energy, water, and/or other resources.
 48. Potable water: Water which meets the quality standards of drinking water such as those described in the WHO published Guidelines for the Safe Use of Wastewater and Excreta in Agriculture and Aquaculture
 49. Preventive measure: Physical, chemical, or other factors that can be used to control an identified hazard.
 50. Propagator: A person (individual) or business (individual or propagator group) representing the production of the products, relevant to the scope (Crops, Livestock or Aquaculture), who has the legal responsibility for the products sold by that farming business.

51. **Product tracing:** the capability to identify the origin of a particular unit and/or batch of product located within the supply chain by reference to records held upstream in the supply chain. Products are traced for purposes such as product recall and investigating complaints. Within the context of GLOBALGAP (EUREPGAP) Plant Propagation Material this means tracing product from the propagator's immediate customer back to the propagator and certified nursery.
52. **Product tracking:** The capability to follow the path of a specified unit of a product through the supply chain as it moves between organisations. Products are tracked routinely for obsolescence, inventory management and logistical purposes. Within the context of GLOBALGAP (EUREPGAP) Plant Propagation Material this means tracking product from the propagator to his immediate customer.
53. **Production Location:** A production unit or group of production units, covered by the same ownership, operational procedures, nurserymanagement, and GLOBALGAP (EUREPGAP) decision-making activities.
54. **Record:** A record is a document that contains objective evidence which shows how well activities are being performed or what kind of results are being achieved.
55. **Registration:** The process by which an individual propagator starts the application process for certification with an approved GLOBALGAP (EUREPGAP) CB.
56. **Registration number:** It is a number issued by the Certification Body to identify the propagator and it serves as alias identification to the GLOBALGAP Client number (GNN).
57. **Rinsate:** The mixture of the water used for rinsing together with remnants of the Plant Protection Product and water mixture that results from the process of rinsing the Plant Protection Product application machinery/containers.
58. **Risk:** An estimate of the likely occurrence of a hazard
59. **Risk analysis:** Means an estimate of the probability, frequency and severity of the occurrence of a hazard or other non-conformity with regard to quality and food safety;
60. **Resolved:** Positive closure of a non-compliance.
61. **Sanitised:** Washed with a disinfectant. (Disinfection)
62. **Self-Assessment:** internal inspection of the registered product carried out by the propagator based on the GLOBALGAP (EUREPGAP) checklist. Only applicable to Options 1 and 3.
63. **Sewage:** The waste and wastewater produced by residential and commercial sources and discharged into sewers.
64. **Sewage sludge:** The accumulated settled solids separated from various types of water either moist or mixed with liquid component as a result of natural or artificial processes.
65. **Sewage water:** water mixed with waste matter
66. **Signature:** Must be a personal, non-transferable, visible and infallible identifier of the person, which is recorded manually, either by handwriting or « pressing a button ». Password protection alone does not guarantee individual identification.
67. **Subcontractor:** Specific nursery operations performed under contract between the propagator and the contractor. The contractor furnishes labor, equipment, and materials to perform the operation. Custom harvesting of grain, spraying and picking of fruit, and sheep shearing are examples of custom work. Within the GLOBALGAP (EUREPGAP) context, subcontractors are those organisations/individuals contracted by the propagator/propagator group to carry out specific tasks that are covered in the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria.
68. **Sub-licence and Certification agreement:** legal document which establishes the rights and obligations of GLOBALGAP (EUREPGAP) approved certification bodies as independent organisations for inspection, certification and licence activities and of propagators or propagator groups as interested parties active in the market within the GLOBALGAP (EUREPGAP) system.
69. **Sub-scope of the Standard:** Module covering specific production details, classified per product type (Fruit and Vegetables, Combinable Crops, Coffee (green), Tea, Flowers and Ornamentals,

- Cattle & Sheep, Pigs, Dairy, Poultry, Salmon and Trout and any sub-scopes that might be added during the validity period of this document)
70. Substrate: Any growing medium used for holding plants in place of soil, and that has been imported to the site, and can be removed after use.
 71. Suitable laboratory: Currently accredited to EN 17025 or can be demonstrated via documentation that it is in the process of gaining accreditation within a set time limit (2 years max.), or meets the demands for accreditation as evaluated by an external expert.
 72. Surface water: All waters on the surface of the Earth found in rivers, streams, ponds, lakes, marshes, wetlands, as ice and snow, and transitional, coastal and marine waters.
 73. Sustainable water sources: Those water sources that are under a sustainable method of management. I.e. one that “ensure[s] the health of aquatic ecosystems and balance the water needs of the environment with the water needs for economic development and agricultural purposes”
 74. Technically responsible person: Person responsible for taking technical decisions regarding the certified product. This can be for a specific area of responsibility or overall, and may either be the propagator or an adviser.
 75. Toilet: Facility where the persons may defecate and urinate in a hygienic manner (including waste disposal) and poses no food safety contamination risk to surrounding field area whilst ensuring privacy of the person.
 76. Top soil: The upper part of the soil profile that is relatively rich in humus, which is technically known as the A-horizon of the soil profile.
 77. Traceability: The ability to retrace the history, use or location of a product (that is the origin of materials and parts, the history of processes applied to the product, or the distribution and placement of the product after delivery) by the means of recorded identification".
 78. Verification: Confirmation by examination of evidence that a product, process or service fulfils specified requirements
 79. Water Course: A discrete and significant element of surface water such as a lake, reservoir, a stream, river or canal, part of a stream, river or canal, transitional water or a stretch of coastal water.
 80. Waste Matter: Any materials unused and rejected as worthless or unwanted
 81. Weed: Any plant growing where it is not wanted. In agriculture, used for a plant that has good colonising capability in a disturbed environment, and can usually compete with a cultivated species therein. Weeds are typically considered as unwanted, economically useless or pest species.
 82. Worker: Any person on the nursery that has been contracted to carry out a task. This includes nursery owners and managers.
 83. Working language: language in which an audit/inspection can be carried out independently without a translator.

Note: This list of definitions are indicative but not limiting; more definitions are added by GLOBALGAP (EUREPGAP) as the need arises, changing the numbering – the pre-established order is Alphabetic for the first letter of the term defined.

EDITION UPDATE REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
2.0_Mar 08	1.0_May06	29 Feb 08	3 Mar 08	New version

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “2.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “2.x”.

ANNEX I.2 GLOBALGAP (EUREPGAP) PRODUCT LIST

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V2.0-Mar08 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

1.1 SCOPE: PROPAGATION MATERIAL

Criteria for inclusion into this list of a product are by necessity arbitrary, based on a GLOBALGAP (EUREPGAP) decision.

Propagation material certified as GLOBALGAP cover the entire crop grown by the propagator.

Propagation material for the following crops, as covered by the Crops Scope in the Integrated Farm Assurance standard, are covered:

1.1.1 IFA Sub-scope: Fruit and Vegetables

Fruit and Vegetables for the purpose of GLOBALGAP (EUREPGAP) certification are defined by GLOBALGAP (EUREPGAP) in the list below. The range of products can be defined as: vegetative material for plants which are commonly designated as producing either “fruit”, “vegetables”, “edible roots”, “bulbs”, “tubers”, “nuts”, “spices” or “herbs”, for fresh, cooked or processed consumption by humans.

A	Cashew nut	Feijoa	Leek
Acerola	Cassava root	Fennel	Lemon
Almond	(manioc, yucca)	Flat peach	Lemon grass
Aloe vera	Cauliflower	(Paraguayan)	Lettuce
Apple	Celeriac	Fig	Lime
Appleberry	Celery	G	Limquat
Apricot	Chard	Galangal	Litchi
Artichoke	Chayote	Garlic	Longan
(Globe	Cherry	Gherkin	Longkong
Artichoke	Chestnut	Ginger	Loquat
(Jerusalem)	Chicory	Ginseng root	Lotusroot
Arugula	Chillies	Glasswort	Lucuma
Asian pear	Chinese cabbage	Gooseberry	M
Asparagus	Chinese	Grape	Macadamia
Aubergine	Convolvulus	Grape leaves	Mandarin
Avocado	Chive	Grapefruit	Mangetout
B	Clementine	Guava	Mango
Baby banana	Coconut	H	Mangosteen
Baby corn	Coriander	Hazelnut	Maracuya
Baby leafy crops	Corn salad	Herbs-misc ⁽¹⁾	Medlar
Bamboo shoot	Courgette	Horse radish	Melon
Banana	(Zucchini,	J	Milk apple
Bean	Marrow, Squash)	Jack fruit	Mineola
Beetroot	Cranberry	Japanese	Mulberry
Bilberry	Cress	horseradish	Mushroom
Black salsify	Cucumber	(wasabi)	Mustard
Blackberry	Curry leaves	Japanese mustard	N
Blackcurrant	Custard apple	spinach	Nectarine
Blueberry	/Chirimoya	Jerusalem	O
Brazil nut	D	artichoke	Okra
Broccoli	Date	Jujube	Olive
Broccoli	Dolicho	K	Onion
romanesco	Dragon fruit	Kale	Orange
Brussel sprout	(Pitaya)	Kiwano	P
Butternut	Drumstick	Kiwi	Pakchoi
C	Durian	Kohlrabi	Palm heart
Cabbage	E	Krachai	Palm oil fruit
Capsicums	Edible flower	Kumquat	Papaya
Cardamom	Endive	L	Parsley
Carrot	F	Lamb's lettuce	Parsnip

Passion fruit	Potato	Santol	Tangor
Pea	Prickly pear	Sapodilla	Taro
Peach	Pumpkin	Satsuma	Thistle
Pear	Q	Sea aster	Tindori
Pecan nut	Quince	Sea buckthorn	Tomato
Peppercorn	R	Sesame	Turnip
Pepper	Radish	Shallot	Turnip top
Persimmon	Ragweed	Spinach	V
Physalis	Rambutan	Sprouts	Vanilla bean
Pineapple	Raspberry	Star fruit	W
Pine nut	Red currant	Strawberry	Walnut
Pistachio	Rhubarb	Sultana	Watermelon
Plantain	Rose apple	Swede	Wax apple
Plum	Rose hip	Sweet potato	White turmeric
Plumcot	S	Sweetcorn	Y
Pluot (Aprium)	Salak	T	Yacon
Pomegranate	Salsify (black)	Tamarillo	Yam
Pomelo	Sanchu	Tangelo	

(1) Herbs includes: Aniseed, Balm, Basil, Borage, Caraway, Catnip, Chamomile, Chervil, Chicory, Chives, Coriander, Dill, Fennel, Laurel, Lavender, Lemon grass, Lovage, Marjoram, Mizuna, Nettle, Oregano, Parsley, Peppermint, Rocket, Rosemary, Sage, Savory, Sorrel, Spearmint, Tarragon, Thyme

It **does not** include medicinal herbs or herbs used solely for their aromatic purposes.

1.1.2 IFA Sub-scope: Combinable Crops

Combinable Crops for the purpose of GLOBALGAP (EUREPGAP) certification are defined by GLOBALGAP (EUREPGAP) in the list below. The range of products can be defined as: products originating from extensive production systems, which are commonly designated as producing either “grain”, “pulses”, “fodder” or “extracts” (oil, sugar, starch, etc.), for cooked or processed consumption by humans or animals, or for use in industry.

Other descriptions for this type of product are “Broad-acre Crops”, “Bulk Crops” or “Arable Crops”.

A	H	Poppy seed	Sugar beet
Amaranth	Hemp	R	Sugar cane
B	L	Rape seed	Sunflower
Barley	Lentils	(Canola)	T
Buckwheat	M	Rice	Triticale
C	Maize	Rye	W
Chickpea	O	S	Wheat
Cotton	Oats	Sorghum	
F	P	Soya bean	
Flax (linseed)	Peanut	Spelt	

1.1.3 IFA Sub-scope: Coffee (green)

Green coffee

1.1.4 IFA Sub-scope: Tea

Tea (*Camellia sinensis*)

1.1.5 IFA Sub-scope: Flower and Ornamentals

Bedding plants	Outdoor grown flowers
Bulbs	Outdoor grown foliage
Hardy nursery stock	Pot plants
Indoor grown flowers	
Indoor grown foliage	

2 EDITION UPDATES REGISTER

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2.0_Mar08	1.0_May06	29 Feb 08	3 Mar 08	New version
2.0-1_Apr08	2.0_Mar08	16 April 08	16 April 08	Deleted: mushroom, sprouts; updated according to the IFA Product list

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “2.0” and edition update shall be indicated with “-x”.
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ANNEX I.3 GLOBALGAP (EUREPGAP) Registration Data Requirements

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.0-Mar07 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

1.1 Types of Master Data required

Three types of master data must be recorded during the registration process.

1.1.1 Company and Location information

1.1.2 User information

1.1.3 Product information

This information shall be updated regularly whenever there is a change. It must be update latest with the date of re-acceptance (confirmation of propagator status “Registered”) and/or the date of issuing the certificate (setting of product statuses to “Certified”).

Propagators must give information on data security. They can choose among four different levels:

- (i) Standard (minimum release): GLOBALGAP (EUREPGAP) and certification bodies can use the registration data for internal processes and sanctioning procedures
- (ii) Individual release of contact data to different database users, on request
- (iii) Publication of contact data to all GLOBALGAP (EUREPGAP) members
- (iv) Publication of contact data to public

The level of data privacy must be fixed and signed in the Sub-licence and Certification Agreement. The data owner is responsible to grant and determine the level of the rights for data access. The data owner, however, can transfer the responsibility to other users (e.g., certification body or other data trustee; as described in GR Part I, 4.6).

Therefore a certification body or other data trustee can do the registration, if the propagator has assigned them the rights in writing for registering them in the database. The responsibility will change as soon as the propagator terminates the rights of the trustee and modifies the data him/herself.

1.1.1 Company and Location Information

The following information regarding the company (propagator as individual certificate holder) and the specific location(s) to be certified is necessary to supply each propagator in the system with a unique GLOBALGAP client number (GGN).

- (i) Company name
- (ii) Street
- (iii) Number
- (iv) Postal Code
- (v) Town
- (vi) Country
- (vii) Phone number
- (viii) Fax number
- (ix) E mail address
- (x) ILN (if available)
- (xi) Vat number (in Europe)
- (xii) Previous GLOBALGAP Number (GGN) and GLOBALGAP (EUREPGAP)-related registration number (where applicable)
- (xiii) Northern/Southern Latitude (voluntary, if available or mandatory, if address is not clearly defined)
- (xiv) Eastern/Western Longitude (voluntary, if available or mandatory, if address is not clearly defined)

1.1.2 User information:

This is the information required for the user or person who is legally responsible for the certification.

- (i) Organisation name
- (ii) Title
- (iii) First name
- (iv) Last name
- (v) Street
- (vi) Number
- (vii) Postal Code
- (viii) Town
- (ix) Country
- (x) Phone number
- (xi) Fax number
- (xii) E mail address
- (xiii) User name (voluntary, only necessary if propagator is interested in changing their data himself)

If more users need access, their data can also be entered into the database (either by certification body or propagator or other designated trustee).

1.1.3 Product information

This information gives more detail on the product(s) to be certified and shall be used to invoice the propagator. This information must be updated if there are any changes detected during the external inspections (to avoid incorrect invoicing).

- (i) Product(s)
- (ii) Annual Area under production
- (iii) Protected or open field crop
- (iv) First harvest or further harvest
- (v) Country of Destination (if applicable)
- (vi) Option (1 or 3)
- (vii) Certification Body to be used.

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ANNEX I.4 GLOBALGAP STATUS DEFINITIONS

(This Annex forms part of the GLOBALGAP (EUREPGAP) General Regulations V3.0-Mar07 and may be referred to by other GLOBALGAP (EUREPGAP) documentation.)

GLOBALGAP (EUREPGAP) defines 2 types of statuses, which are parallel and linked to one another,

1. Propagator-related Statuses
2. Product-related Statuses

1. PROPAGATOR-RELATED STATUSES

All the following statuses refer to the propagator individually. The change from one status to another may affect also the product statuses; see Figure 1, “Propagator-related Statuses”.

1.1 Status: “Not (Re-) Confirmed”

Propagators in the status “Not (Re-)Confirmed” are those whose registration data are recorded in the database and linked to a certification body. The registration information (company, location, product information) has not yet been confirmed or reconfirmed by a CB (trustee). Registration fee is not yet payable by propagator in this status.

1.2 Status: “Registered”

Propagators in the status “Registered” are linked to a certification body and the registration information is confirmed (see GR Part I; 4.8.3). “Registered” propagators must pay the registration fee, according to the current Fee Table published on www.globalgap.org. Only a propagator in the status “Registered” can hold valid Product Certificates. Registration must be (re-)confirmed if the validity date of the certificate is extended (up to 3 or 6 months; see GR Part I, 4.9.2.1.ii.a and 4.9.2.2.ii, respectively).

1.3 Status “Annulled”

Propagators in the status “Annulled” are still recorded in the database, but not linked to a certification body anymore. All registration information will be stored in the database for at least 2 years and can be re-activated at anytime. Propagator in this status does not pay the registration fee.

1.4 Status “Suspended”

Propagators in the status “Suspended” are linked to a certification body, but they do not have any valid Product Certificate(s). The certification body can change the status of a propagator manually to the status “Suspended” when the propagator does not present evidence of corrective actions that close out a non-conformity that affects all product certificates (see GR Part I, 6.2.2). The propagator must resolve the non-conformances within a maximum period of 6 months, otherwise the status will move to “Cancelled” (see GR Part I, 6.2.3.i.a).

1.5 Status “Cancelled”

Propagators in the status “Cancelled” are blocked and will remain in this status for 12 months before they can link up and register with a certification body again. This status can only be assigned to propagators which have been in the status “Suspended” before (see GR Part I, 6.2.3).

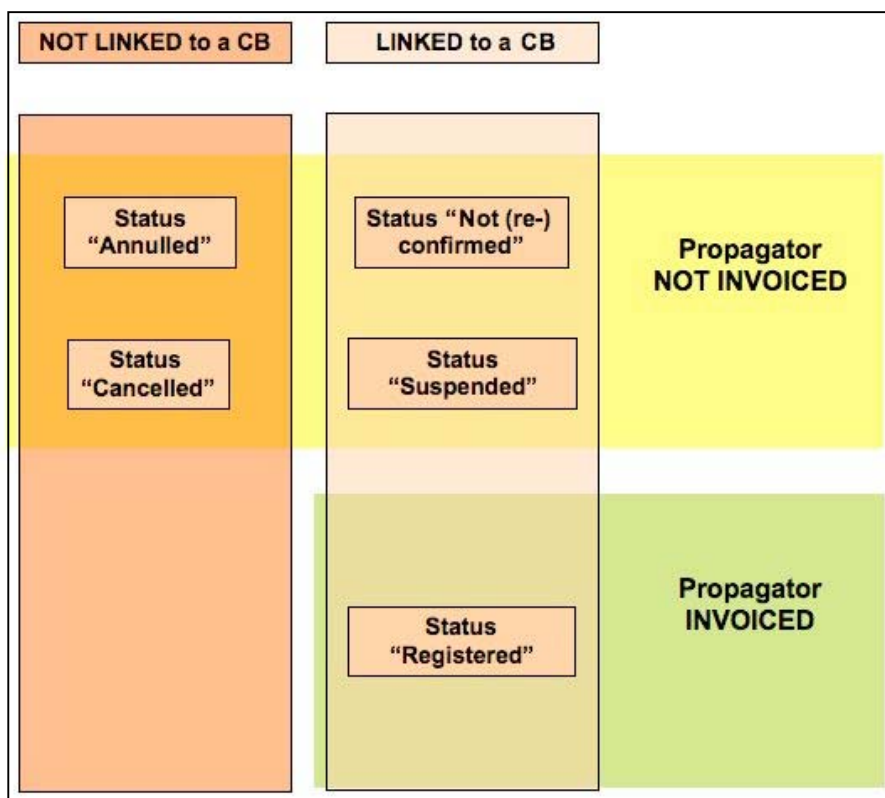


Figure 1. Propagator-related Statutes

2 PRODUCT-RELATED STATUSES

Product-related statuses refer to the status of the product. GLOBALGAP (EUREPGAP) provides the standards and framework for independent, recognised third party certification of farm production processes based on EN45011 or ISO/IEC Guide 65 – product certification and therefore only the product can be certified, and not the propagator. See figure 2- “Product-related Statuses”.

2.1 *Status: “Registered or Certificate not renewed”*

As soon as a propagator registers in the database, all registered products are in the status “Registered or Certificate not renewed”. Additional products can be registered at anytime when the propagator is in the status “Not (Re-)Confirmed” or “Registered”. These products will automatically receive the status “Registered or Certificate not renewed”. If a product certificate is not renewed, the product status is automatically set to “Registered or Certificate not renewed”. New products cannot be registered when the propagator is in the status “Cancelled”, “Suspended” or “Annulled”.

2.2 *Status “Certified”*

As soon as the certification body issues a Product Certificate to a propagator for the first time, the propagator must pay the licence and certification fee according to the GLOBALGAP (EUREPGAP) Fee Table available on www.globalgap.org. Certificates are valid for 12 months. Products may be added later, but the certificate validity will not change. The certification body can extend the product certificate validity by up to 3 (or 6) months. This is only possible if the registration is confirmed within the 12 months validity of the certificate. Registration and certification licence fees will be invoiced as soon as the registration is confirmed (see GR Part I, 4.9.2.1.ii.a and 4.9.2.2.ii). The “Date of (Re-) Certification” and the “Date of (Re-) Audit” must be entered into the database. “Date of (Re-) Audit” and the date when the product certificates are issued must not be more than 28 days apart. (Confirmation of the certification decision to the propagator can be made within 14 working days after sufficient evidence of corrective action has been provided (GR Part II, 2.5.i), and the date that the product certificate can be issued, shall not be more than 28 days.

2.3 *Status: “Self-declared partial suspension”*

A propagator can ask for a voluntary suspension of a product certificate, if not compliant with certain GLOBALGAP (EUREPGAP) requirements (see GR Part I, 6.2.2.i and ii). Such a “self-declared partial suspension” must be temporary and the respective batches must be separated from other goods.

2.4 *Status: “Suspended”*

A Suspension of the Product Certificate is issued when a propagator does not present evidence of corrective actions that close out a non-conformity after a Warning has been issued. The certification body must set the respective products to the status “Suspended” (GR Part I, 6.2.2)

2.5 *Status: “Open non-conformity”*

The status “Open non-conformity” is set when a propagator does not comply with a Major Must Criteria. CBs may issue a letter of Non-Conformance where GLOBALGAP has given its approval on a case-by-case basis. This letter will state that the propagator has been inspected, but that the propagator cannot be certified because it is not possible (due to reasons beyond the control of the propagator) to comply with a specific Major Must (see GR Part I, 4.9.5.3 Note 1).

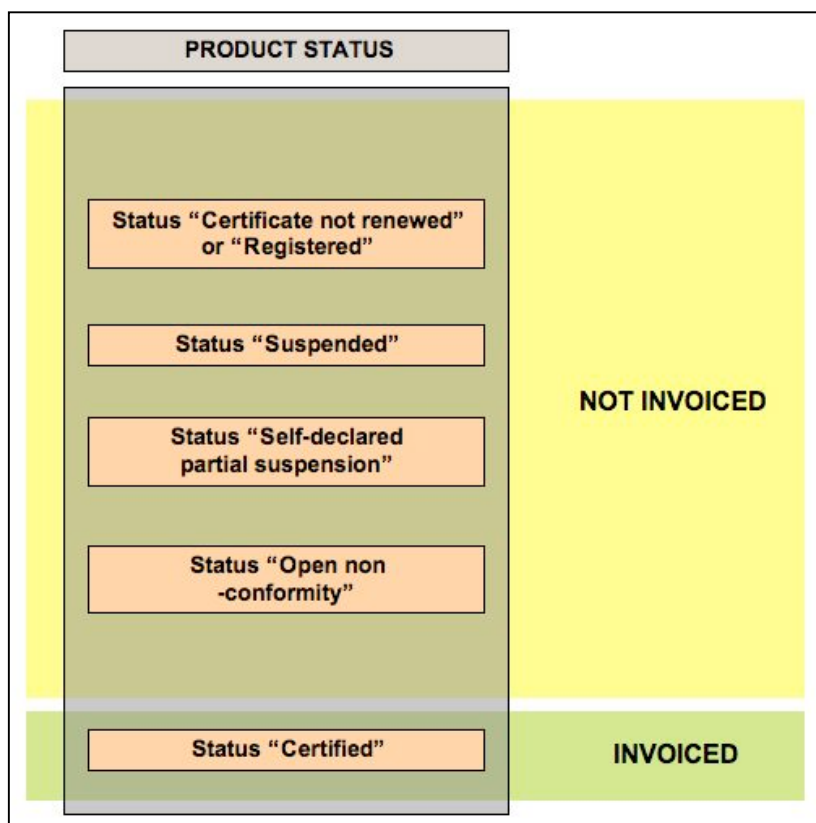


Figure 2. Product-related Statuses

3 EDITION UPDATE REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
2.0_Mar08	1.0_May06	29 Feb 08	3 Mar 08	New version

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “2.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “2.x”.

GLOBALG.A.P. (EUREPGAP)



General Regulations Plant Propagation Material

VERSION 2-0_Mar08

PART I | GENERAL INFORMATION

Valid from: 3 March 2008

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1 GLOBALGAP (EUREPGAP) NORMATIVE DOCUMENTS

This document explains the structure of certification to the GLOBALGAP (EUREPGAP) Plant Propagation Material Standard, and the procedures that should be followed in order to obtain and maintain certification. It details the duties and rights of the GLOBALGAP Secretariat, certifiers, and propagators seeking certification.

The **scope** of the Plant Propagation Material standard covers the propagation of plant material for the GLOBALGAP (EUREPGAP) Integrated Farm Assurance Crops Scopes products. Seed production is not covered.

GLOBALGAP (EUREPGAP) is a set of normative documents, which covers the General Regulations (this document), the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria and GLOBALGAP (EUREPGAP) Checklists.

The version, GLOBALGAP (EUREPGAP) General Regulations Plant Propagation Material V2-Jan08 becomes valid from the 1st of January 2008 (see point 4.1 for transition period information).

1.1 The General Regulations

The General Regulations document describes the basic steps and considerations involved for the applicant propagator to obtain and maintain GLOBALGAP (EUREPGAP) certification, as well as the role and relationship of propagators, GLOBALGAP (EUREPGAP) and the CBs.

The document is divided into two parts:

PART I: GENERAL INFORMATION
PART II: CERTIFICATION BODY RULES

For more information on Benchmarking and GLOBALGAP (EUREPGAP) Training Regulations, please consult the General Regulations for the Integrated Farm Assurance:

PART IV: BENCHMARKING (OPTIONS 3 & 4)
PART V: TRAINING REGULATIONS

Part I, General Information, the base document, contains information important to **all GLOBALGAP (EUREPGAP) interested parties**, as it explains what GLOBALGAP (EUREPGAP) is, describes the certification process, the rules of certification, training etc. It is recommended that **propagators** familiarize themselves with this part.

Part II, Certification Body Rules, contains important information for **Certification Bodies** (CB) (including a guideline on how to inspect a propagator group) and **Accreditation Bodies** (AB).

For definitions of terms used in the General Regulations and Control Points and Compliance, please refer to Annex I.1

1.2 Control Points and Compliance Criteria

Contains all the Control Points and Compliance Criteria (CPCC) that must be followed by the propagator and which are audited to verify compliance. This document lists the control points, compliance criteria and the level of compliance required for each point. The levels can be Major Must, Minor Must or Recommendation.

1.3 Checklists

Checklists replicate the Control Points in the CPCC. There are two checklist types in GLOBALGAP (EUREPGAP):

- a) The checklist used for inspection of propagators, which contains all the control points and must be used during inspection by the CB. The checklist can also be used by the propagator when performing the self-assessments.
- b) The Benchmarking Cross-Reference Checklist (BMCL) or the Approved Modified Checklist (AMC) used by applicant scheme owners applying for benchmarking against GLOBALGAP (EUREPGAP) to show equivalence (See GLOBALGAP (EUREPGAP) IFA General Regulations PART IV Benchmarking (Options 3 & 4).

1.4 Other

In **addition to these normative documents**, guidelines for dealing with general interpretation and application of control points and guidelines dealing with specific geographic and cultural differences may be approved and issued by the relevant Sector Committee (SC), with support from the recognised GLOBALGAP (EUREPGAP) National Technical Working Groups. Transition and implementation rules will be set within the guidelines, and application is mandatory for all CBs and propagators operating within the defined application scope of the guideline. Where necessary, the SC will combine interpretations common to national interpretation guidelines to develop a global guideline.

All normative documents, as well as additional guiding documents are available, free of charge, on the GLOBALGAP website (www.globalgap.org).

2 GLOBALGAP (EUREPGAP) TERMS OF REFERENCE

“The Global Partnership for Safe and Sustainable Agriculture”

To respond to consumer concerns on food safety, environmental protection, and worker health, safety and welfare by:

- (i) Encouraging adoption of commercially viable propagation assurance schemes, which promote the minimization of agrochemical inputs, within Europe and worldwide.
- (ii) Developing a Good Horticultural Practice (G.H.P.) framework for benchmarking existing assurance schemes and standards including traceability.
- (iii) Providing guidance for continuous improvement and the development and understanding of best practice.
- (iv) Establish a single, recognised framework for independent verification.
- (v) Communication and consulting openly with consumers and key partners, including propagators, exporters and importers.

3 INTRODUCTION

3.1 *What is GLOBALGAP (EUREPGAP)?*

- (i) GLOBALGAP (EUREPGAP) is a private sector body that sets out voluntary standards for the certification of agricultural (including Aquaculture) products around the globe.

- (ii) GLOBALGAP (EUREPGAP) is a global scheme and a reference for Good Agricultural Practice (G.A.P.), which is managed by the GLOBALGAP Secretariat.
- (iii) FoodPLUS GmbH, a non-profit industry owned and governed organisation, legally represents the GLOBALGAP Secretariat,
- (iv) GLOBALGAP (EUREPGAP) is an equal partnership of agricultural propagators/producers and retailers that want to establish certification standards and procedures for Good Agricultural Practices (G.A.P.).
- (v) GLOBALGAP (EUREPGAP) provides the standards and framework for independent, recognised third party certification of nursery production processes based on EN45011 or ISO/IEC Guide 65. (Certification of the production process – cropping, growing, rearing, or producing - of certified products ensures that only those that reach a certain level of compliance with established GAP set out in the GLOBALGAP (EUREPGAP) normative documents are certified.)
- (vi) GLOBALGAP (EUREPGAP) Plant Propagation Material standard covers the propagation of the certified product until it is sold to the customer. The objective of GLOBALGAP (EUREPGAP) certification is to form part of the verification of Good Practices along the whole production chain.
- (vii) GLOBALGAP (EUREPGAP) is a business-to-business tool.
- (viii) The GLOBALGAP (EUREPGAP) logo and Trademark have restricted use. See Appendix I.1 for rules on the use of the GLOBALGAP (EUREPGAP) Trademark and Logo.

Participation is voluntary and based on objective criteria. GLOBALGAP (EUREPGAP) is not discriminatory to Certification Bodies and/or propagators.

3.2 Membership

GLOBALGAP membership is voluntary and independent from certification (for propagators) or approval as a GLOBALGAP (EUREPGAP) approved certifier. GLOBALGAP (EUREPGAP) is an open system, where any propagator can apply and receive certification when complying with the objective criteria set out. Members show additional commitment to shape and improve GLOBALGAP (EUREPGAP) as active partners. Members also enjoy additional benefits.

3.2.1 Member Benefits

- ☐ Right to participate in and contribute to the various Committees and National Technical Working Groups
- ☐ Discounts for GLOBALGAP seminars, workshop and brochures
- ☐ Display of member organisation logos and names in GLOBALGAP publications
- ☐ Internet link from the GLOBALGAP web page to the organisation websites
- ☐ Invitation to special GLOBALGAP (EUREPGAP) meetings
- ☐ Input into the continued technical improvement of the GLOBALGAP (EUREPGAP) standards
- ☐ First-hand information on the developments in the sector.

3.2.2 Available Membership

- ☐ **Retailer Membership**
Retailers and Foodservice organisations interested in supporting and developing GLOBALGAP (EUREPGAP) standards. Members can be nominated and elected to the Board or the Sector Committees.
- ☐ **Supplier Membership**
Propagators that are interested in showing more commitment to GLOBALGAP (EUREPGAP) than receiving certification. Members can be nominated and elected to the Board or the Sector Committees.
- ☐ **Associate Membership**
Certification Bodies, Consulting companies, Plant protection or Fertiliser Industries, Universities, etc. and their associations. Members can be nominated and elected to the Certification Body Committee.

NOTE: Applicable fees and application forms are available at www.globalgap.org

3.2.3 Governance

Governance (see Figure 3.2.3) is by the GLOBALGAP (EUREPGAP) Board, elected by the retailer and supplier members and is chaired by an independent chairman. The Board agrees on the vision and short- and long-term activity plan of the organisation.

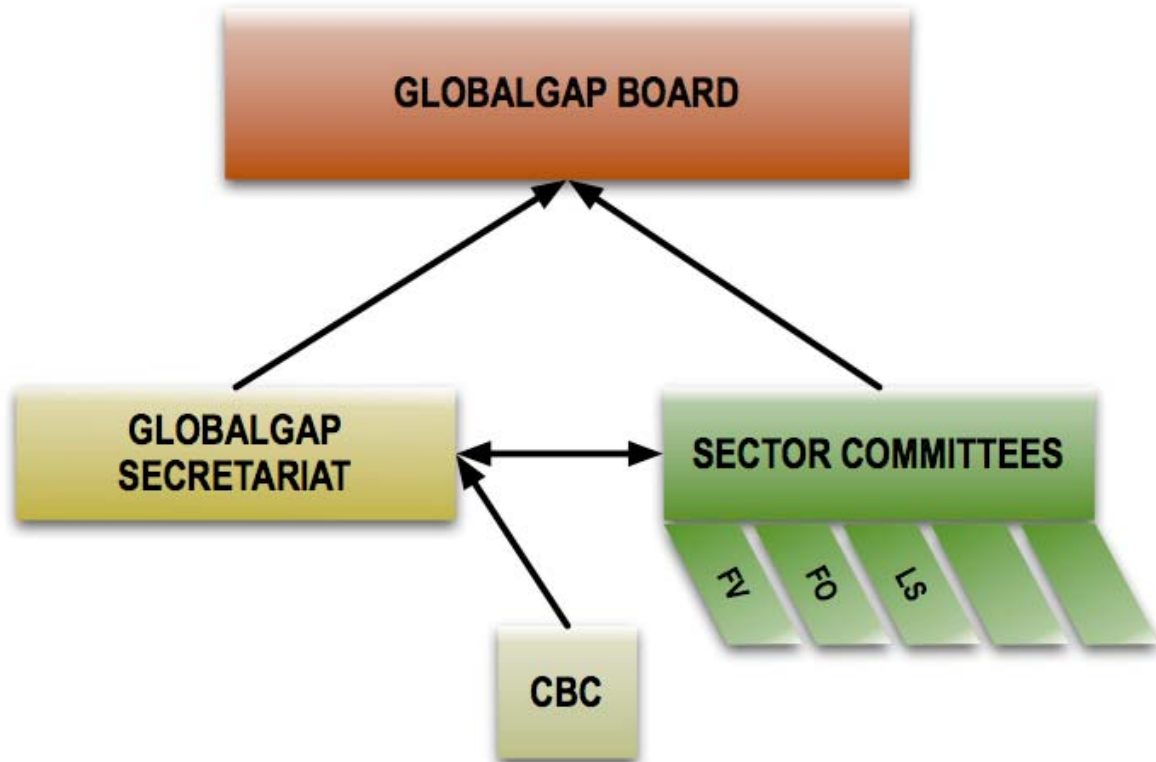


Figure 3.2.3 GLOBALGAP Governance.

The Sector Committees (SC), also elected by the retailer and supplier members, are established for the different sub-scopes of the Integrated Farm Assurance standard. The IFA Crops Base SC is responsible for the development and maintenance of the Plant Propagation Material standard. These sector committees work mainly on the technical side of the standard, and together with input from the Certification Body Committee, develop and maintain the Control Points and Compliance Criteria

The Certification Body Committee (CBC) members are elected by their peers (Certification Bodies who are GLOBALGAP (EUREPGAP) members). The main function of the CBC is to harmonise the interpretation of the compliance criteria set by the SC.

(All committees are elected for a period of three years and the Terms of Reference document for each committee is available on the GLOBALGAP website.)

The Executive Management of the GLOBALGAP Secretariat, its Managing Director, represents GLOBALGAP (EUREPGAP) before the Board.

4 GENERAL RULES

4.1 *Introduction of New Version*

This normative document (GLOBALGAP (EUREPGAP) General Regulations Plant Propagation Material V2.0-Mar08 and the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria Plant Propagation Material V2.0-Mar08 and the GLOBALGAP (EUREPGAP) Checklist Plant Propagation Material V2.0-Mar08 and any other documents released by GLOBALGAP (EUREPGAP) as normative and related to this version, **comes into force on the 3rd of March 2008**.

Non-accredited certificates can be issued against the normative documents (General Regulations and relevant Control Points and Compliance Criteria) of the **EUREPGAP Propagation Material standard V1.0-May06 until 31 March 2008**, with last possible validity date 30 March 2009.

During the transition period of the name change from EUREPGAP to GLOBALGAP until 31st December 2008, all Logo and Trademark users (Propagators, CB's, Members) shall only use the trade name GLOBALGAP in connection with the trade name EUREPGAP, but may continue to use the trade name EUREPGAP exclusively. Example for connected use: GLOBALGAP (EUREPGAP). Any changes to this rule will be published well before they come into effect.

4.2 *Other Languages*

The English language edition of this and other GLOBALGAP (EUREPGAP) documents are the original editions. GLOBALGAP (EUREPGAP) documents will be translated into other languages and published on the GLOBALGAP website. Once published, these official GLOBALGAP (EUREPGAP) documents will be the only ones that may be used for GLOBALGAP (EUREPGAP) certification in that language. Translated documents will be identified as having normative status after a thorough translation review. Until the translations reach the normative status, the sentence "please refer to the English version in case of doubt" will be written on each sheet of the translated documents, in the respective language.

Accreditation may be sought and obtained by CBs in other languages only against documents with normative status recognised in this way.

4.3 *Official Communication Updates*

From time to time, when necessary, GLOBALGAP will issue edition updates to this General Regulations document or its annexes. All modifications shall be indicated in the "Editions Update Register" at the back of the modified document. The version name shall indicate the date of publication and the "Edition Update Register" shall indicate the date when the new document comes into force.

- For detailed information of the modifications please contact the GLOBALGAP Secretariat for the History document.
- When the changes do not affect the accreditation of the standard, the version will remain "2.0" and edition update shall be indicated with "2.-x" (e.g. "2.0-1").
- When the changes do affect the accreditation of the standard, the version name will change to "2.x". (e.g. "2.1")

The updates will be sent to all GLOBALGAP (EUREPGAP) approved CBs as official communications, and will form part of the normative document and must therefore be followed. It is the responsibility of the CBs to inform their clients of such updates.

4.4 Applicants

Any **propagator** of propagation material, which the Plant Propagation Material standard covers may apply for GLOBALGAP (EUREPGAP) certification through a GLOBALGAP (EUREPGAP) approved Certification Body.

4.4.1 Rights of Propagators

- (i) The CB and applicant will agree on Service of Notice terms, which must include a commitment by the CB to confirm the receipt of formal application for registration within 14 calendar days after the CB received the unique GLOBALGAP Client Number (GGN) from the GLOBALGAP Database (refer to point 4.8), and to confirm certification within 14 calendar days after closure of any outstanding non-conformances.
- (ii) The service contract between the CB and propagator may have an initial duration of up to 3 years, with subsequent renewal or extension for periods up to 3 years.
- (iii) Any complaints or appeals against CBs will follow the CB's own complaints and appeals procedure which each CB must have and communicate to its clients. In case the CB does not respond adequately, the complaint can be addressed to the GLOBALGAP Secretariat using the GLOBALGAP (EUREPGAP) Complaints Extranet, available on the GLOBALGAP website (www.globalgap.org)
- (iv) A propagator may change from one CB to another CB, (unless a sanction is pending by a CB, see point 6.2) either voluntarily or if a situation arises where a CB that has previously been approved by GLOBALGAP (EUREPGAP) should become not approved (through sanction enforcement, bankruptcy, or other reasons).
- (v) A propagator is able to ask for annulment of the contract held with a CB at any time (unless a sanction is pending by a CB, see point 6.2), and is obliged to do so when changing CBs. This will not allow the propagator to avoid paying the registration and other applicable fees owed to the “outgoing” CB.
- (vi) A propagator is able to ask voluntarily from the respective CB(s) for a suspension of one, several or all of the products covered by the certificate (unless a sanction is pending by a CB, see point 6.2). This can happen if the propagator experiences difficulty with compliance to the standard and needs time to close any non-compliance out. This suspension will not delay the renewal date, nor will it allow the propagator to avoid paying registration and other applicable fees. The propagator's status shall change to “self-declared partial suspension” on product level.
- (vii) Confidentiality: GLOBALGAP (EUREPGAP) and GLOBALGAP (EUREPGAP) approved CBs will treat any information relating to the propagator, including details of products and processes, evaluation reports and associated documentation as confidential (unless otherwise required by law). No information is released to third parties without the prior written consent of the propagator, except where stated otherwise in this General Regulations document.

4.4.2 Obligations of Propagators

- (i) The certificate holder is responsible for compliance of the certified products to the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria and General Regulations within the declared extent of the certificate scopes.
- (ii) Propagators must register with an approved CB (or Trustee, see 4.6) as the first step towards obtaining a GLOBALGAP (EUREPGAP) certificate. The registration process must be finalised before the first CB inspection/audit.
- (iii) Propagators who are sanctioned by a responsible CB cannot change that CB until that CB (the “outgoing” CB) closes out the corresponding non-conformance, or until the sanction penalty period is over.
- (iv) Propagators can change the CB they are working with only after “annulment” has been granted by the “outgoing” CB.
- (v) A registered propagator that changes CB, must communicate the unique GLOBALGAP client number (GGN) assigned by GLOBALGAP, to the CB applied to.

- (vi) Registered propagators are responsible for communicating data updates to CBs according to the internal procedures of each CB, such as nursery or product area changes and inclusion/de-listing of members within a propagators group.
- (vii) Propagators must commit themselves to follow the requirements established in this General Regulations document, including payment of the registration fee established by GLOBALGAP (EUREPGAP), and declare this in a signed document held by the CB.
- (viii) Propagators applying for GLOBALGAP (EUREPGAP) must specify, at registration, **all** locations and areas where the product that they are seeking certification for, is grown/produced or transported from under their ownership.

4.5 Certification Bodies

4.5.1 Approved Certification Bodies

GLOBALGAP (EUREPGAP) approved CBs are accredited through an Accreditation Body (AB) for EN 45011 or ISO/IEC Guide 65 to the relevant scope(s) or the relevant benchmarked scheme scope(s). Approved CBs must follow GLOBALGAP (EUREPGAP) rules and have signed a Certification and License Agreement with GLOBALGAP.

Information on CB status (approved or provisionally approved) is available on the GLOBALGAP website and propagators are urged to verify that the chosen CB appears on the website.

Each CB sets up its own fee structure and will explain it to its prospective clients.

For detailed information on approved CB requirements as well as inspector qualifications, please see PPM General Regulations Part II: Certification Body Rules.

More information for CBs interested in approval to inspect benchmarked schemes is available in IFA General Regulations Part IV Benchmarking (Options 3 &4).

4.6 Trustees

4.6.1 Approved Trustees

GLOBALGAP approved Trustees are organisations (e.g CB, propagator group organisations, standard owners, consultants, etc.) that have signed a Licence agreement with GLOBALGAP and acquired the right from propagators to upload and/or register these propagator activities in the GLOBALGAP database.

The service includes first registration and any modifications as well as settings of links in the database. The approved Trustee must be granted these rights in writing from the propagator or other legal entity in the GLOBALGAP (EUREPGAP) system.

4.6.2 Trustee Roles

GLOBALGAP (EUREPGAP) approved Trustees are per default the CB for an individual propagator, or the group organization for a propagator in the propagator group.

Any other organisation may apply to the GLOBALGAP Secretariat and sign an agreement to perform the role of Trustee and can receive trustee rights and role transferred from the CB where the propagator is already registered with the CB and agrees in writing with the transfer.

The Trustee is also responsible to GLOBALGAP for timeliness of registration data updates of assigned propagators and collecting the GLOBALGAP (EUREPGAP) registration fees of these propagators.

4.7 Registration

All relevant information concerning propagators applying for GLOBALGAP (EUREPGAP) certification must be recorded for the propagator to become GLOBALGAP (EUREPGAP) registered for Option 1, and/or 3. This information will be used by GLOBALGAP to supply the registered party with a unique GLOBALGAP client number (GGN), which will be used as a unique identifier for all GLOBALGAP (EUREPGAP) activities. The registration information includes:

4.7.1 General Information

- (i) Name of Company
- (ii) Name of Contact person
- (iii) Full updated address (physical and postal)
- (iv) Other ID (VAT Number, ILN, UAID, etc.) - whatever is mandatory and available in the country of production.
- (v) Contact data (telephone number and e-mail and/or fax number)

4.7.2 Propagator Registration information

The information required is consistent with the information required by the Sub-licence and Certification Agreement signed between the propagator and the CB. The following information is required for each product wishing to be registered:

- (i) Product(s)
- (ii) Annual Area under production
- (iii) Protected or open-field crop
- (iv) Option
- (v) Scheme name (if a benchmarked scheme)
- (vi) GLOBALGAP Number (GGN) and previous GLOBALGAP (EUREPGAP)-related registration number (where applicable)
- (vii) Certification Body(ies) to be used as set out 4.4.2.

4.7.3 Registration Acceptance

For the registration to be accepted, the propagator will have:

- (i) signed the Sub-licence and Certification Agreement between the CB and the propagator,
- (ii) been assigned a GLOBALGAP Client number (GGN), as well as any registration number the CB may assign,
- (iii) agreed to pay the GLOBALGAP (EUREPGAP) registration fee as explained in the current GLOBALGAP (EUREPGAP) Fee Table (available on the GLOBALGAP website).

NOTE: The registration process **must** be finalized, **before** certification can take place.

More information on the registration data detail is available in Annex I.3 – GLOBALGAP (EUREPGAP) Registration Data Requirements.

4.8 Certification process

4.8.1 Inspection timing

The inspection of a propagator is linked to the registration (no inspection can take place until the CB has accepted the propagator's registration or re-registration, which must be done on an annual basis - for more information on registration see Annex I.3), but has a different timing according to whether it is a first or subsequent inspection, and depending on the product to be inspected. This is explained below.

4.8.1.1 First inspections

All records to be externally inspected in the first year are only valid going back up to three months after registration is completed, or to the date of the propagator's first registration

with GLOBALGAP (EUREPGAP), whichever is longer. However, the visit must take place when propagation is in progress.

a) Inspection Timing and Multiple Crop Certifications:

The propagator may be seeking certification for more than one crop, and the crops may not all have the same seasonal timing.

Here there are two scenarios:

1. Where the crops to be included in the certification scope are concurrent, i.e. cropped at the same time, then the first year's inspection will be timed so that the principal crop (if any) can be viewed, making an assumption that the other crops will be compliant to the same degree ("principal crop" will be defined by the CB in their inspection procedures. A re-visit may be scheduled when any outstanding control points may be verified.
2. Where the crops to be included in the certification scope are consecutive, i.e. the production of one crop finalises before the production of the next one commences, then in the first year a full inspection of the first crop must be made. Subsequent crops grown in that same first year can be added to the certificate only once compliance has been verified for each crop.

4.8.1.2 Subsequent inspections

There must be at least one product of the registered sub-scope present (present meaning being propagated) to give the CB confidence that any other registered crops (if any) not present at that time, are handled in compliance with GLOBALGAP (EUREPGAP).

a) Extension of certificate validity:

Providing the propagator has re-registered at the end of the period of validity of the previous certificate, and the CB had also issued the previous certificate of the propagator, the CB can opt to extend the validity of the previous certificate by up to 3 months longer than the 12 month period (15 months in total), in order to be able to reach a point in time when the nursery may be inspected with presence of crop/produce. An extension can only be granted if the propagator re-registered before the expiry date.

Therefore, the subsequent inspection can be done at any time during an "inspection window" that ranges for 9 months: **from 6 months before** the original expiry date of the certificate, and (only if the CB extends the certificate validity in the GLOBALGAP database) **up to 3 months after** the original expiry date of the certificate.

e.g. 1st certification date: 14 February 2007 (expiry date: 13 February 2008)

2nd inspection can be any time from 14 August 2007 to 13 May 2008, if the certificate validity is extended.

The **validity date** for subsequent certificates issued shall however always **revert** to the date linked to the original certification date (13 February 2009, 13 February 2010, etc.).

NOTE: Registered propagators and/or propagators with certified products must re-register annually before the expiry date; otherwise the product status will change from "Certified" to "Certificate not renewed or not reregistered".

All products certified, must be subjected to an inspection prior to issuing the certificate.

4.8.2 Compliance levels

Compliance with GLOBALGAP (EUREPGAP) PPM consists of three types of control points (set out in the Control Points and Compliance Criteria documents) that the propagator is required to comply with in order to obtain GLOBALGAP (EUREPGAP) certification. These are Major Musts, Minor Musts and Recommendations, which must be fulfilled with as follows:

4.8.2.1 Major Musts

100% compliance of all applicable Major Must control points is compulsory.

Reference evidence must be recorded as comments next to each Major Must in the checklist.

4.8.2.2 Minor Musts

For all scopes 95% compliance of all applicable Minor Must control points is compulsory for the sum of the control points in the applicable modules. For the sake of calculation, the following formula will apply for each combination of modules:

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

e.g. The propagator needs to comply with 95% of the applicable Minor Musts.

e.g. $(\text{Total number of Minor Must control points} - \text{Not Applicable Minor Must}) \times 5\%$
 $(149 - 19) \times 0.05 = 130 \times 0.05 = 6.5$.

This means that the total number of Minor Must control point non-compliance allowable is 6.5, which must be rounded down. Therefore this propagator can only have 6 Minor Must control points that are non-compliant.

130 applicable Minor Must control points – 6 non-compliant Minor Must control points = 124. This gives a compliance level of 95.4%, whereas if 6.5 were rounded up to 7 it would give a compliance level of 94.6% that is **not compliant with the certification rule**.

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

4.8.2.3 Recommendations

No minimum percentage of compliance is set.

All Recommendation control points in the CPCC must be inspected during the self-assessments (Option 1, and 3) and external announced inspections by CBs.

4.8.3 Compliance Verification and Comments

Compliance is indicated with a “Yes” (for compliant), “No” (for not compliant), and “N/A”.

Control points that are indicated as “No N/A” in the compliance criteria field, unless specifically indicated in the respective compliance criteria text, must be inspected and may not be justified as being “not applicable”. In cases of exception where the control point is not applicable, the answer must be given as “yes” with a clear justification.

Evidence (comments) should be provided for each control point – these shall enable the audit trail to be reviewed after the event, and will include details of references taken during the inspection. It is, however, obligatory to give evidence (comments) for **all** the Major Musts control points inspected/audited in all external inspections, and self-assessments.

NOTE: Comments **must** be entered in the checklist for all control points that are found to be **non-compliant** during external inspections and self-assessments.

4.8.3.1 Non-compliance vs Non-conformance

Non-compliance: A GLOBALGAP (EUREPGAP) control point in the checklist is not fulfilled according to the compliance criteria.

e.g. The propagator does not comply with the Minor Must PM.2.1

Non-conformance: A GLOBALGAP (EUREPGAP) rule that is necessary for obtaining the certificate (see 4.8.2.1 and 4.8.2.2) is infringed.

e.g. The propagator does not comply with a Major Must (e.g. PM1.1) or complies only with 93% of the applicable Minor Musts of the scope applied for instead of the required 95%.

4.8.4 Validity of GLOBALGAP (EUREPGAP) certificate

Certificate granting is conditional on compliance by the propagator with all the applicable requirements set out in this General Regulations document.

4.8.4.1 Time period

The validity of the certificate will be 12 months subject to any sanctions and extensions in accordance with the scope described. A certificate cannot be issued with a validity period of less than 12 months.

The initial **date of validity** that appears on a paper certificate will be the date when the CB made the **certification decision** after all non-conformances were closed out.

4.8.4.2 Paper certificate requirements

The certificate issued by a CB must conform completely to the templates for Option 1 and 3 available on the GLOBALGAP website. The paper certificate will be replaced by an electronic certificate when available and will be supported by the GLOBALGAP Database. From that moment on, the CB will only issue certificates using the information available at that time in the GLOBALGAP Database.

4.8.4.3 E-certificate

The electronic certificate (abbreviation: e-certificate) will be issued by the GLOBALGAP (EUREPGAP) approved CB by making use of the current data in the GLOBALGAP database and will be the online way to verify certification at any time. The e-certificate will carry a date and time stamp to indicate verification and download date.

NOTE 1: GLOBALGAP (EUREPGAP) CBs or their subcontracted parties **shall not** issue any other communication to or about a propagator to demonstrate any other status than those described in Annex I.4.

4.8.5 Granting Scopes

These scopes are cumulative, not alternative, and must be considered together when registering, certifying and applying any sanctions. This means that product scope is linked to the location where that product is produced. *Product produced in a non-registered location cannot be certified, and likewise products other than those in the registered scope that are grown on a registered location cannot be certified.* Sanctions will apply across products and location if a complete sanction is imposed.

Only propagators may apply for GLOBALGAP (EUREPGAP) certification of their products.

4.8.5.1 Product scope

- (i) Certificate and Sub-Licence agreement are issued to the registered propagator, on the nursery(ies) where the products are produced and for the products declared.
- (ii) The legal entity that places the certified product on the market must be the legal certificate holder.

4.8.5.2 Location scope

- (i) The entire production process of the declared and registered products must comply with GLOBALGAP (EUREPGAP) requirements. Certified locations cannot be separated into growing areas or production facilities that are certified and other growing areas or production facilities of the same product that are excluded from certification.
e.g. If a propagator registered “propagation material for apples” to be certified, the entire production process of all the apples produced under the ownership of the propagator must be declared, registered and certified.

4.9 Maintenance of GLOBALGAP (EUREPGAP) certification

- (i) The registration of the propagator and the proposed products for the relevant scopes must be re-confirmed with the CB annually **before** the expiry date.

- (ii) The full checklist and verification process must be completed by the inspector annually for the process of certification to be carried out.

5 CERTIFICATION OPTIONS

Propagators can achieve GLOBALGAP (EUREPGAP) certification under any one of the two options described below.

5.1 Option 1

Individual propagator applies for GLOBALGAP (EUREPGAP) certification. The individual propagator will be the certificate holder, once certified.

5.1.1 Internal Self-assessment

5.1.1.1 Frequency

The internal self-assessment must be carried out at least once a year. This self-assessment will be carried out under the responsibility of the propagator.

5.1.1.2 Scope

The self-assessment shall be against the complete checklist (Major and Minor Musts and Recommendations) of the applicable scope(s) and sub-scope(s). The completed checklist must be available on site for review by the inspector during the external inspection.

5.1.2 External Inspection by GLOBALGAP (EUREPGAP) approved CB

5.1.2.1 Frequency

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

5.1.2.2 Scope

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

5.1.3 Unannounced Surveillance Inspections

Unannounced surveillance inspections are applicable when a CB has issued ten or more certificates.

5.1.3.1 Frequency

The granting CB (or its subcontracted agent) will carry out an additional minimum of 10% unannounced surveillance inspections per annum among all certified propagators it has registered under Option 1. A GLOBALGAP (EUREPGAP) auditor or inspector can carry out these inspections.

5.1.3.2 Scope

The CB will inspect the Major and Minor Musts of the applicable scope(s) and sub-scope(s). Any non-compliance will be handled in the same way as those found during an announced inspection.

5.1.3.3 Notification

The CB will inform the propagator within 48 hours in advance of the intended visit. In the exceptional case where the proposed date is impossible to be accepted by the propagator (due to medical or other justifiable reasons), the propagator will have one more chance to be informed of an unannounced surveillance inspection. The propagator shall receive a written warning if the first, or where applicable, second proposed date has not been accepted. The propagator will receive another 48-hour notification of a visit. If

the visit cannot take place because of non-justifiable reasons, a complete suspension will be issued.

5.2 Option 3 Benchmarking

The scheme applying for benchmarking is assessed for equivalence by comparing content and performance criteria against GLOBALGAP (EUREPGAP). Refer to the GLOBALGAP (EUREPGAP) Benchmarking Procedure in its latest version and see the General Regulations Integrated Farm Assurance PART IV – Benchmarking (Options 3 & 4) for more information.

Scheme Rules: All registered propagators Licenced/certified are operating under the Applicant Scheme rules.

GLOBALGAP (EUREPGAP) Approved CBs: All certification carried out within a full Benchmarked Standard must be done by GLOBALGAP (EUREPGAP) approved CBs that must be accredited to EN 45011 or ISO 65 to the scope of the benchmarked standard and for the case of Approved Modified Checklist (AMC) category to GLOBALGAP (EUREPGAP).

5.2.1 External Inspection by GLOBALGAP (EUREPGAP) approved CB

5.2.1.1 Frequency

The applicant scheme must ensure verification of propagators according to rules for Option 1.

6 NON-CONFORMANCES AND SANCTIONS

6.1 Types of Non-Conformances

Three types of non-conformances exist within GLOBALGAP (EUREPGAP); Major Must, Minor Must and Contractual. They cover control point compliance and contractual issues, as detailed below:

6.1.1 Major Must Non-Conformances

This type of non-compliance is when the propagator does not comply with 100% of the Major Musts as set out in the Control Points and Compliance Criteria.

6.1.2 Minor Must Non-Conformances

When a propagator complies with less than 95% of the Minor Musts of the applicable control points, a Minor Must non-conformance is issued.

6.1.3 Contractual Non-Conformances

6.1.3.1 Major Contractual Non-Conformance

Non-compliance of any of the agreements signed in the contract between the CB and the propagator that **objectively shows mismanagement** on GLOBALGAP (EUREPGAP) related procedures at propagator level.

6.1.3.2 Minor Contractual Non-Conformance

Non-compliances of minor issues agreed in the contract between the CB and the propagator.

6.1.3.3 Technical Contractual Non-Conformance

Non-compliance of any of the agreements signed in the contract between the CB and the propagator or any issue found during the inspection that leads to technical doubts about the propagator's **way of proceeding**.

6.2 Types of Sanctions

All CBs and propagator groups must have in place a penalty procedure addressing non-conformances identified as described in 6.1.

Three types of sanction exist within GLOBALGAP (EUREPGAP); Warning, Suspension and Cancellation. These apply to non-conformances that result from non-compliances with control points and contractual issues. Additionally, the propagator may voluntarily impose Suspensions (via the CB). Sanctions are applied to the propagator as well as to the product, and can extend from before the certificate is issued (i.e. if a non-conformance is detected in a first inspection) to after it has expired (i.e. when a cancellation is applied).

Propagators will be prevented from changing CB until the non-conformance that led to the respective sanction is satisfactorily closed out.

6.2.1 Warning

- (i) For all types of non-conformances detected, a Warning is issued.
- (ii) A time period allowed for correction will be agreed upon **between the CB and propagator**, up to a maximum corrective action submission period of 28 calendar days from the date of the Warning.

*NOTE 1) If the non-compliance is against a **Major Must** that is not complied with, time given for compliance before suspension is applied, which is up to a maximum delay of **28 days**, will depend on the criticality of the non-compliance, in terms of safety of people, environment and consumers, evaluated by the inspector/auditor carrying out the inspection/audit decision on the period for implementing corrective actions. The CB shall make the decision on the period that is given (within the 28-day limit) to the propagator for closing out the Major Must non-conformance. No time is given for compliance where a serious threat to the safety of people, environment and consumer is present. The period must be set according to criticality of non-compliances and circumstances, detailing the specific number of days for the propagator to close out the non-compliance, up to a maximum of 28 days. The propagator **MUST** close out Major Must non-conformances before obtaining/regaining certified status.*

- (iii) If the cause of the sanction is not resolved within the time period set (maximum of 28 days), a Suspension is imposed.

6.2.2 Suspension

- (i) A Suspension is issued when a propagator cannot show sufficient corrective action after a Warning has been issued. A suspension may also be issued to the propagator who voluntarily asks for it, for some (partial) or all (complete) of his products.
- (ii) After the Suspension is applied, a time period allowed for correction will be set **by the CB**, and will have a maximum validity of 6 months. If the suspension is voluntary, the period and corrective actions for compliance are set by the propagator himself, which must be agreed upon with the respective CB(s), but must be closed out before re-registration.
- (iii) During this time (period of suspension), the propagator will be prevented from using the GLOBALGAP (EUREPGAP) logo/trademark, Licence/certificate or any other type of document that has any relation to GLOBALGAP (EUREPGAP).
- (iv) Suspension will be lifted when there is sufficient evidence of corrective action (either through a follow-up visit with additional cost to the propagator, or other written or visual evidence) within the allocated time for correction (6 months or shorter).
- (v) If the cause of the Suspension is not resolved within the time period set, the certificate and the propagator will be sanctioned with a Cancellation.

6.2.3 Cancellation

- (i) A Cancellation of the contract will be issued when
 - a) A propagator cannot show sufficient corrective action after a Suspension has been issued and six months have elapsed, or

- b) A non-conformance in one scope leads to doubt about the integrity of the produce, or
 - c) when major contractual non-conformances are detected (see 6.1.3.3).
- (ii) A Cancellation of the contract will result in the total prohibition of the use of the GLOBALGAP (EUREPGAP) logo/trademark, Licence/certificate, or any device or document that could relate to GLOBALGAP (EUREPGAP).
- (iii) A propagator that has had a Cancellation sanction applied may not re-submit for GLOBALGAP (EUREPGAP) certification until 12 months after the date of Cancellation.

6.3 Notification and Appeals

6.3.1 Decisions on Sanction

- (i) All sanctions (Warnings, Suspensions, and Cancellations) will be decided by the CB Certification Committee (or equivalent decision making department of the CB).
- (ii) Upon finding that a propagator no longer conforms to the GLOBALGAP (EUREPGAP) standard, the inspector/auditor will report this to his CB and to the certified propagator, detailing the non-compliances identified during the inspection.
- (iii) The GLOBALGAP (EUREPGAP) Sector Committees reserve the right to impose certain sanctions for certain non-compliances. These will be detailed in an Annex and CBs and their clients will be made aware of these.

6.3.2 Propagator Resolutions

- (i) The propagator must either resolve the non-conformances communicated or appeal to the CB in writing against the non-conformances, explaining the reasons for the appeal.
- (ii) If the non-conformances are not resolved within the permitted time scale, the sanction will be escalated as explained in 6.2.

6.3.3 Lifting of Sanctions

- (i) If a propagator notifies the CB that the non-conformance is resolved before the set period, the respective sanction will be lifted, subject to satisfactory evidence and closing out.

6.3.4 Sanctioning of Certification Bodies

- (i) GLOBALGAP reserves the right to sanction CBs based on evidence of not following procedures or clauses of the Certification and Licence Agreement signed between GLOBALGAP and the CB (refer to General Regulations Part II, 3.2 for Types of sanctions).

7 TRAINING

7.1 Train-the-Trainer workshops

GLOBALGAP recognises the global need for qualified GLOBALGAP (EUREPGAP) training, which can be cost efficient and customised for growers. There is no official requirement for propagators to show proof that a staff member or external adviser has attended a GLOBALGAP (EUREPGAP) training course.

GLOBALGAP will conduct Train-the-Trainer (TT) Workshops including an examination for final approval, to provide a limited but sufficient number of qualified trainers and register them on the GLOBALGAP website. Once qualified, the trainer can conduct classroom-training courses (train-the-public)

For more information on training offered by GLOBALGAP and how to become an approved Train-the-Public trainer, refer to General Regulations Part V.

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8 ABBREVIATIONS AND REFERENCE DOCUMENTS

8.1 Abbreviations

AB	Accreditation Body	CB	Certification Body
CC	Compliance Criteria	CoC	Chain of Custody
CP	Control Point	CPCC	Control Points and Compliance Criteria
IFA	Integrated Farm Assurance	HACCP	Hazard Analysis, Critical Control Points
NTWG	National Technical Working Group	SC	Sector Committee
CBC	Certification Body Committee	IAF	International Accreditation Forum
MLA	Multilateral Agreement	EA	European co-operation for Accreditation
CL	Checklist	QMS	Quality Management System
BMCL	Benchmarking Checklist	PPM	Plant Propagation Material

8.2 Reference Documents

- (i) GLOBALGAP (EUREPGAP) Certification and Sublicence Agreement
- (ii) GLOBALGAP (EUREPGAP) Certification and Licence Agreement
- (iii) GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria – Plant Propagation Material
- (iv) GLOBALGAP (EUREPGAP) Checklist – Plant Propagation Material
- (v) GLOBALGAP (EUREPGAP) Benchmarking Procedures
- (vi) GLOBALGAP (EUREPGAP) Benchmarking Cross-Reference Checklist
- (vii) EN 45011 or ISO / IEC Guide 65:1996. General requirement for bodies operating product certification systems
- (viii) IAF Guidance on the Application of ISO/IEC Guide 65:1996. Issue 2 (IAF GD 5:2006)
- (ix) ISO/IEC 17020:2004 General criteria for the operation of various types of bodies performing inspection.
- (x) ISO/IEC 17025:2005. General requirements for the competence of testing and calibration laboratories.
- (xi) ISO/IEC 17011 General requirements for accreditation bodies accrediting conformity assessment bodies
- (xii) ISO 19011 Guidelines for quality and/or environmental management systems auditing.

9 APPENDIX I.1 RULES FOR USE OF EUREPGAP AND GLOBALGAP TRADEMARK AND LOGO

The EUREPGAP trademark and logo as defined in this document is the fully registered trademark and may never appear on the product, consumer packaging of the product, or at the point of sale. The EUREPGAP trademark will be replaced by the trademark GLOBALGAP with further notice. The EUREPGAP trademark shall be used until further notice alone or in conjunction with GLOBALGAP.

The Certification Body is expected to check up on the correct use of the EUREPGAP trademark and logo on nurseries at all times. Infringement of these rules by suppliers could lead to sanctions.

9.1 EUREPGAP Trademark

The EUREPGAP Trademark is the word “EUREPGAP” in any shape or form.

- (i) Propagators may only use the trademark sign to maximum height of 100 millimetres on pallets that only contain certified EUREPGAP products and that will NOT appear at the point of sale.
- (ii) EUREPGAP certified propagators may use the trademark in business-to-business communication, and for traceability/segregation/identification purposes on site at the production location.
- (iii) EUREPGAP Retailer, Associate and Supplier members can use the trademark in promotional material (not directly linked to certified product) and in business-to-business communication.

9.2 EUREPGAP Logo

9.2.1 Specifications

The EUREPGAP logo and the GLOBALGAP logo must always be obtained from the GLOBALGAP Secretariat. This will ensure that it contains the exact corporate colour and format, as below:



9.2.2 Use of EUREPGAP and GLOBALGAP Logo

The GLOBALGAP Secretariat makes use of the EUREPGAP and the GLOBALGAP logo, and Licences its restricted use to the following organisations:

- (i) GLOBALGAP (EUREPGAP) Retailer, Associate and Supplier members may use it ONLY in relation to membership claims and business-to-business communication. Business-to-business communication includes the use of signs, letterheads, visiting cards, and advertisement publicity. Supplier members can only use the logo in this way when there is a valid GLOBALGAP (EUREPGAP) certificate linked to that member.
- (ii) Accredited GLOBALGAP (EUREPGAP) approved Certification Bodies, for promotion of their accredited GLOBALGAP (EUREPGAP) certification activities in business-to-business communication, and on accredited GLOBALGAP (EUREPGAP) certificates by them.

*NOTE: Certification Bodies that are NOT yet accredited, **cannot** use the GLOBALGAP (EUREPGAP) logo on non-accredited certificates they issue.*

- (iii) Any other organisation, based on individual agreements, such as GLOBALGAP approved Trainers, publications, benchmarked schemes, etc.

9.3 GLOBALGAP Client Number

- (i) The GLOBALGAP Client Number (GGN) is a alpha-numerical number, not including the trade mark “EUREPGAP” or “GLOBALGAP”, is issued by GLOBALGAP and is unique to each and every propagator and any other legal entity in the GLOBALGAP (EUREPGAP) system.
- (ii) On the product and/or final packaging at the point of sale, the GGN **can only** be used in connection with a GLOBALGAP (EUREPGAP) approved traceability system.
- (iii) GLOBALGAP (EUREPGAP) grants approval to a traceability system based on individual assessment and a signed agreement with the traceability system owner.

9.4 Registration Number

- (i) The registration number is a number that may be issued by the Certification Body to identify the propagator. This number serves as alias identification to the GGN (see 9.3).
- (ii) The number is made up of the Certification Body name (in its short form as agreed between the CB and the GLOBALGAP Secretariat: “CB Short name”) followed by a space, followed by the number of the propagator or group, as issued by the Certification Body. The trade name “GLOBALGAP (EUREPGAP)” **shall not** appear in this number.
e.g. CBXYZ 12345

NOTE: The registration number can be used, on request of a customer, with prior permission of the issuing Certification Body on the product or final packaging at the point of sale. GLOBALGAP (EUREPGAP) does not claim any responsibility with respect to traceability and authenticity of products labeled with this registration number.

10 EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
2.0_Mar08	1.0_May06	29 Feb 08	3 Mar 08	New version

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “2.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “2.x”.

GLOBALG.A.P. (EUREPGAP)



General Regulations Plant Propagation Material

VERSION 2.0_Mar08

PART II | CERTIFICATION BODY RULES

Valid from: 3 March 2008

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1 LICENCE AND CERTIFICATION AGREEMENT

The Licence and Certification Agreement establishes the rights and obligations of GLOBALGAP as the GLOBALGAP (EUREPGAP) System co-ordinator and of the CB as the neutral organisation for auditing, inspection, certification and licensing activities within the framework of the GLOBALGAP (EUREPGAP) system.

The Licence and Certification Agreement must be accepted and signed by the applicant CB as part of the application procedure to become a GLOBALGAP (EUREPGAP) approved CB and to be listed in the GLOBALGAP website.

The Licence and Certification Agreement and the General Regulations complement each other and GLOBALGAP (EUREPGAP) approved CBs must comply with both.

2 APPROVAL PROCESS

2.1 CB Approval by GLOBALGAP (EUREPGAP)

- (i) The applicant CBs must register in the GLOBALGAP (EUREPGAP) CB Extranet (<http://cb.eurep.org>), send a completed Application Form and pay an evaluation fee (according to latest version of GLOBALGAP (EUREPGAP) fee table) to GLOBALGAP Secretariat for initiating the approval process.
- (ii) The applicant CB must sign the GLOBALGAP (EUREPGAP) Licence and Certification Agreement before carrying out GLOBALGAP (EUREPGAP) audits and issuing GLOBALGAP (EUREPGAP) certificates.
- (iii) CBs must apply to an Accreditation Body (AB) for accreditation to EN 45011 or ISO/IEC Guide 65 in the GLOBALGAP (EUREPGAP) Plant Propagation Material or the Benchmarked Scheme **after** signing the GLOBALGAP (EUREPGAP) Licence and Certification Agreement. A copy of the confirmation of this application to the AB must be forwarded to the GLOBALGAP Secretariat within 28 days.
- (iv) The Accreditation Body to which the CB applies must be signatory to the multilateral agreement (MLA) on Product Certification and must:
 - a) either be part of the European Co-operation for Accreditation (EA), or
 - b) must be a member of the International Accreditation Forum (IAF) which has been subject to a peer evaluation in the product certification field with a positive recommendation in its report, and
 - c) have signed the Memorandum of Understanding (MoU) with FoodPLUS GmbH within either EA or IAF.
- (v) CBs must obtain accreditation within the set timeframe, which is set currently at 6 (six) months after the date of application. This period can be extended for an additional time-span of 6 months if the AB gives justified reasons that are acceptable to the GLOBALGAP Secretariat explaining the delay.
- (vi) Once accreditation has been obtained, the CB must send a copy of the accreditation evidence to the GLOBALGAP Secretariat, stating clearly the extent of the accreditation scope(s) it has been approved for.
- (vii) The CB must send a qualified GLOBALGAP (EUREPGAP) inspector (Appendix II.1) to the annual compulsory GLOBALGAP (EUREPGAP) CB Event for the Integrated Farm Assurance Standard.
- (viii) The annual Certification Licence fee must be paid. There is a period of 60 days grace to pay the Certification Licence fee to GLOBALGAP (EUREPGAP). (The relevant amounts are indicated in the current updated GLOBALGAP (EUREPGAP) Fee Table, as published on the GLOBALGAP website).
- (ix) Only once the CB has been accredited to EN 45011 or ISO/IEC Guide 65 with the applicable GLOBALGAP (EUREPGAP) scope, can the CB place the GLOBALGAP (EUREPGAP) logo on the certificate, according to the applicable GLOBALGAP (EUREPGAP) certificate template, which must be followed at all times.

NOTE: The information collected by GLOBALGAP (EUREPGAP) regarding the CBs and their activities is made available on the CB Extranet to ABs for facilitating accreditation evaluation.

2.2 CB Operational Requirements

- (i) All the points described in the General Regulations Parts I and II **MUST** be accepted and included in the relevant operational document of the CB (EN 45011 or ISO/IEC Guide 65) for GLOBALGAP (EUREPGAP) certification, and be available for Accreditation Body evaluation (EN 45010 or ISO 17011). Any CB wishing to start granting GLOBALGAP (EUREPGAP) licences/certificates must comply with the requirements set out in 2.1.
 - (ii) The CB must include the requirements for following general or specific guidelines issued by GLOBALGAP (EUREPGAP) Sector Committees into its certification system procedures pertaining to GLOBALGAP (EUREPGAP) certification (see point 1.4 of the GLOBALGAP (EUREPGAP) General Regulations PPM Part I).
 - (iii) GLOBALGAP (EUREPGAP) certification granting procedure must be clearly identified in the CB operational documentation, and must follow the GLOBALGAP (EUREPGAP) General Regulations, which must commence with the Registration of the applicant as a first step.
 - (iv) Each CB will be responsible for the information filed; documentation related to GLOBALGAP (EUREPGAP) procedures or GLOBALGAP (EUREPGAP) clients must be made available to GLOBALGAP on request.
 - (v) Every CB approved by the GLOBALGAP Secretariat will nominate a contact person, called the “GLOBALGAP (EUREPGAP) Scheme Manager”, who will be the representative of the CB before the GLOBALGAP Secretariat. This person:
 - must be fluent in English;
 - must at least qualify as a GLOBALGAP (EUREPGAP) inspector (see Requirements for GLOBALGAP (EUREPGAP) Inspector in Appendix II.1)
 - must be committed to assist in any harmonization activities performed by GLOBALGAP Secretariat;
 - must be part of the decision-making process of the CB;
 - shall be responsible for returning to GLOBALGAP Secretariat the requested signed reception of the latest approved copy of any communication requiring written receipt.
 - shall be responsible for communication and administration of users within the GLOBALGAP (EUREPGAP) CB Extranet and to ensure that all registered GLOBALGAP (EUREPGAP) inspectors complete and pass the relevant GLOBALGAP (EUREPGAP) online training and tests.
 - shall respond to GLOBALGAP operational enquiries within 3 working days. If this person is not available, a substitute shall respond in this time frame.
- NOTE; This can be same person as the Scheme Manager for the Integrated Farm Assurance Standard.*
- (vi) 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 Appendix II.2.
 - (vii) For carrying out GLOBALGAP (EUREPGAP) inspections, the CB must employ/contract inspectors that fulfil the GLOBALGAP (EUREPGAP) requirements (See Appendix II.1).
 - (viii) The inspection and certification activities of the Certification Body must be carried out at the respective registered production sites of the registered propagators and, to the extent relevant, at the relevant administrative sites.
 - (ix) CBs can only subcontract inspections to Inspection Bodies that are ISO Guide 17020:2004 accredited (e.g. a scope covering on-farm food production).
 - (x) Each CB approved by the GLOBALGAP Secretariat will nominate an in-house trainer, responsible for the training of all GLOBALGAP (EUREPGAP) inspectors (based on GLOBALGAP (EUREPGAP) online training material (when available) and other normative documents), according to the requirements of the current Licence and Certification Agreement.
 - (xi) The CB shall:
 - a) register all auditors and inspectors in the GLOBALGAP database; and
 - b) have them complete the GLOBALGAP (EUREPGAP) online training, including the online exam, in the Online Training Extranet (<http://onlinetraining.eurep.org>), within a three year standard version validity period, starting from the date this online training is made available by GLOBALGAP; and

- c) pay the relevant training fee per registered auditor/inspector according to the latest version of the GLOBALGAP (EUREPGAP) fee table.

NOTE: This includes subcontracted staff and staff of subcontracted companies

- (xii) When a propagator that has previously had a GLOBALGAP (EUREPGAP) Registration N° applies for registration, the CB must act according to the GLOBALGAP (EUREPGAP) procedure for Transfer between Certification Bodies as set out in Annex II.1
- (xiii) When a propagator wants to transfer between CBs, the accepting CB must as a first step for all applicants carry out a search in the GLOBALGAP database, to verify the status, before any further actions are taken (see Annex II.1 clause 1.5).
- (xiv) The CB is responsible for communicating updates, date of first application and grace period of any new GLOBALGAP (EUREPGAP) versions of normative documents and any edition updates issues by GLOBALGAP to their GLOBALGAP (EUREPGAP) registered clients.
- (xv) There is a provision by the GLOBALGAP Secretariat to allow applicant CBs **with previous EN 45011 or ISO/IEC GUIDE 65 accreditation** that are not yet GLOBALGAP (EUREPGAP) accredited to issue a limited number of non-accredited certificates during the application phase for accreditation. The maximum number of propagators that may receive non-accredited certificates is **20**.
- (xvi) There is a provision by GLOBALGAP Secretariat to allow applicant CBs with **no previous EN45011 or ISO/IEC GUIDE 65 accreditation**, and that are not yet GLOBALGAP (EUREPGAP) accredited to issue a limited number of non-accredited certificates during the application phase for accreditation. The maximum number of propagators that may receive non-accredited certificates **for the first scope approval** is **5**.
- (xvii) GLOBALGAP (EUREPGAP) shall be entitled to participate, upon prior notice and at its own cost, in inspections or audits carried out by Certification Bodies.

2.3 CB Data Communication with GLOBALGAP

The objective is to: “Know at any point in time, instantly and world-wide”:

- The present status and status history
- The certified products, per
- Area / Volume, for
- Each unique propagator (legal entity), in
- All schemes and Options (per product), with
- Central validation of certificates by market participants, and
- Audit/Inspection and Compliance details

Therefore the CB data communication with GLOBALGAP must:

- (i) Ensure that as soon as the CB has made the certification decision, no certificate is issued before the propagator's status is updated to “Certified” in the GLOBALGAP database.
- (ii) Ensure that as soon as a sanction has been issued, the propagator's status must be changed in the database to the relevant status (time between issuing the sanction and updating the database must not exceed more than 1 working day).
- (iii) For all other propagator statuses, be sufficiently up to date so as to ensure that the status (see Annex I.4 Propagator Statuses in GLOBALGAP database) of a propagator on the GLOBALGAP database is current.
- (iv) Ensure availability of immediately accessible information on **all** inspection details (including those of the unannounced surveillance inspections and audits) and compliance details for each certificate.

NOTE: The registration process of the Propagator MUST be completed before the CB can do any inspections. See PPM General Regulations Part I, 4.7.

2.4 CB Communication with GLOBALGAP (EUREPGAP) Certification Client

- (i) The CB must comply with communication requirements to clients seeking GLOBALGAP (EUREPGAP) certification within the following notice times (see 4.4.1(i) in Part I of PPM General Regulations):
 - Registration receipt within 14 calendar days after CB received the GLOBALGAP Client Number (EGN) from the GLOBALGAP database.
 - Certification confirmation within 14 working days after the propagator has shown sufficient evidence of corrective action.
- (ii) The CB must fully explain the Sub-licence and Certification Agreement to his client, especially the issues regarding data security. This agreement must be signed as part of the registration process.

2.5 Independence, Impartiality, Confidentiality and Integrity of CB

- (i) In accordance with EN 45011 or ISO/IEC Guide 65, the GLOBALGAP (EUREPGAP) approved CB must be structured to ensure separation of activities which could cause a conflict of interest. All CB personnel must operate to high levels of professional integrity, be free from commercial, financial or other pressures, which might affect their judgment and are expressly forbidden from promoting any goods or services during evaluation activities.
- (ii) **Confidentiality:** Information relating to the applicant propagator including details of products and processes, evaluation reports and associated documentation will be treated as confidential (unless otherwise required by law). No information is released to third parties without the prior consent of the applicant unless stated otherwise in the General Regulations or the Sub licence and Certification Agreement.
- (iii) **Data Protection:** Within the framework of the GLOBALGAP (EUREPGAP) system, only parties to the system, previously defined, will be authorised to view the data (the propagator, CB and GLOBALGAP). In addition, the propagator can offer personal data to trading partners who have been previously authorized by the propagator, or the propagator may instruct a third party to do this. This authorisation can be revoked online at any time. Any further access to the propagator's personal data is illegal and is prevented by the operator of the database in accordance with the Data Protection Act.

3 CB SANCTIONS

3.1 Types of Non-Compliances

Two types of Non-compliances can lead to sanctioning of CBs.

3.1.1 Contractual Non-compliances

Contractual non-compliances are found when CBs are not in compliance with contracts signed with GLOBALGAP. These may include, but are not limited to:

- (i) Misleading or false communication on GLOBALGAP (EUREPGAP) certification and logo use.
- (ii) Refusal to sign the Licence and Certification Agreement and any amendments after a period set by the GLOBALGAP secretariat
- (iii) CB neglects to pay:
 - CB licence fee
 - Online test fee
 - Certification licence fee
 - Propagator registration fee
- (iv) Failure to provide proof of accreditation within the established periods during CB approval
- (v) Confirmed fraud
- (vi) Loss of accreditation (based on AB decision)

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3.1.2 Standard or General Regulations Non-compliances

Standard or General Regulation non-compliances are found when the CBs are not complying with the rules set out in any Part of the General Regulations or are not interpreting the Control Points and Compliance Criteria according to the GLOBALGAP (EUREPGAP) rules. Examples of such non-compliances are (non exhaustive list):

- (i) Not participating in annual CB events
- (ii) Not following the Online Training requirements
- (iii) Infrequent or late upload of certification data
- (iv) Unreliable registration and audit data
- (v) No response to GLOBALGAP official communication and/or complaints
- (vi) Confirmed fraud
- (vii) Not applying approved National Technical Working Group guidelines, unless justified and communicated to GLOBALGAP.
- (viii) Conflict of interest (e.g. consultancy and certification)
- (ix) Delay or non-application of propagator sanctions
- (x) Inadequate internal training
- (xi) Not complying with the scope of the external inspections

GLOBALGAP, the relevant AB and the GLOBALGAP (EUREPGAP) Integrity Surveillance Committee (ISC) will be responsible for dealing with these non-compliances.

3.2 Types of Sanctions

The Sanctions, as set out in Table 3.2 below, are applicable to all CBs in violation of the rules and where a non-compliance (similar to those in 3.1 above) has been observed. The penalty will depend on the severity of the non-compliance or the recurrence of non-compliance.

GLOBALGAP and the respective Accreditation Body will work closely together with the Integrity Surveillance Committee.

The specific penalties for each step as determined by the Integrity Surveillance Committee are explained in Annex II.2.

Table 3.2 Sanction steps for Certification Body non-compliances

	Sanctioning Steps	Penalty	Decision maker
Step1	1st Warning		FoodPLUS (Information to AB and Integrity Surveillance Committee (ISC))
Step2	2nd Warning	Annex II.2	Integrity Surveillance Committee (Information to AB)
Step3	Yellow Card (Publish on Website)	Annex II.2	Integrity Surveillance Committee (Information to AB)
Step4	Red Card (Publish on Website, CB is not allowed to (re-)issue new certificates for 1- 6 months)	Annex II.2	Integrity Surveillance Committee (Information to AB)
Step5	Contract Cancellation (Cancellation of the Licence and Certification Agreement (at least for 2 years))	Annex II.2	Integrity Surveillance Committee (Information to AB)

4 APPENDIX II.1: PLANT PROPAGATION MATERIAL INSPECTOR QUALIFICATIONS (OPTIONS 1 AND 3)

4.1 GLOBALGAP (EUREPGAP) Inspector

- (i) Inspectors will be able to inspect on nursery level once factual evidence (as described below) of their qualifications and experience have been verified by the CB.

4.2 Formal Qualifications

4.2.1 Post-high school diploma

- (i) At least a post-high school diploma or equivalent (minimum course duration of 2 years) must have been obtained in a discipline related to the scope of certification (Crop production).

4.3 Technical Skills and Qualifications

4.3.1 Inspector Training

- (i) One-day practical inspection course setting out basic principles of inspection.

4.3.2 Food Safety and G.A.P. Training

- (i) Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of Codex Alimentarius.
- (ii) GLOBALGAP (EUREPGAP) online training, with the successful completion of one online test per revision period (once every 3 years).
- (iii) Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- (iv) A minimum of 2 years experience gained after finishing academic studies mentioned in point 4.2.1.i, and 3 years overall experience in the industry.

4.3.3 Communication Skills

- (i) “Working language” skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- (ii) Exceptions to this rule must be consulted and confirmed in writing beforehand with the GLOBALGAP Secretariat.

4.4 Key Tasks

4.4.1 GLOBALGAP (EUREPGAP) Nursery Inspections

- (i) Inspection of farms to assess compliance with the GLOBALGAP (EUREPGAP) standard.
- (ii) To produce timely and accurate reports on such inspections in accordance with ISO/IEC Guide 65 and GLOBALGAP (EUREPGAP) timelines and system requirements.

4.4.2 General

- (i) To maintain up to date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- (ii) To keep abreast of developments, issues and legislative changes pertaining to the scope in which audits are carried out.
- (iii) To carry out any other tasks the CB may assign, outside the scope of GLOBALGAP (EUREPGAP) so long as these activities do not contradict EN 45011 or ISO/IEC Guide 65 principles or any stipulation set down by GLOBALGAP (EUREPGAP) General Regulations.

4.4.3 Independence and Confidentiality

- (i) Inspectors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not carry out consultancy or training activities for the propagators on whom they perform inspections. Training is not considered 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.
- (ii) Inspectors must strictly observe the propagator's and the CB's procedures to maintain the confidentiality of information and records.

5 APPENDIX II.2: PLANT PROPAGATION MATERIAL AUDITOR QUALIFICATIONS

5.1 GLOBALGAP (EUREPGAP) Sub-scope Auditor

- (i) Auditors will be able to inspect a sub-scope once factual evidence (as described below) of their qualifications and experience have been verified for each scope by the CB.

5.2 Formal Qualifications

5.2.1 Post-high school diploma

- (i) At least a post-high school diploma or equivalent (minimum course duration of 2 years) must have been obtained in a discipline related to the scope of certification (Crop production).

5.3 Technical Skills and Qualifications

5.3.1 Lead Assessor Training

- (i) Practical auditing experience in ISO 9000 or ISO 14000 series, BRC, IFS or similar (minimum 10 days).
- (ii) **Successful completion** of a Lead Assessor training course based on ISO 19011 principles, that must have a minimum duration of 37 hours, and must be externally recognised by the industry. The certificate must specify the course content, duration. Successful completion must be indicated on the certificate.
- (iii) Lead Assessor training course must cover: applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication) and reporting, and it must also include a practical case study.

5.3.2 Food Safety and G.A.P. Training

- (i) Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of Codex Alimentarius.
- (ii) GLOBALGAP (EUREPGAP) online training, with the successful completion of one online test per revision period (once every 3 years).
- (iii) **For Crop Scope:** Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- (iv) A minimum of 2 year's experience gained after finishing academic studies mentioned in point 5.2.1.i, and 3 years overall experience in the industry.

5.3.3 Communication Skills

- (i) "Working language" skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- (ii) Exceptions to this rule must be consulted beforehand with the GLOBALGAP Secretariat.

5.4 Key Tasks

5.4.1 GLOBALGAP (EUREPGAP) Farm Inspections

- (i) Inspection of farms to assess compliance with the GLOBALGAP (EUREPGAP) standard.
- (ii) To produce timely and accurate reports on such inspections in accordance with ISO/IEC Guide 65 and GLOBALGAP (EUREPGAP) timelines and system requirements.

5.4.2 General

- (i) To be involved with certification decisions-making.
- (ii) To maintain up to date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- (iii) To keep abreast of developments, issues and legislative changes pertaining to the scope in which inspections are carried out.
- (iv) To carry out any other tasks the CB may assign, outside the scope of GLOBALGAP (EUREPGAP) so long as these activities do not contradict EN 45011 or ISO/IEC Guide 65 principles or any stipulation set down by GLOBALGAP (EUREPGAP) General Regulations.

5.4.3 Independence and Confidentiality

- (i) Auditors are not permitted to take ultimate certification decisions regarding own audits or inspections they have carried out themselves.
- (ii) Auditors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not carry out consultancy or training activities for the producers on whom they perform inspections. Training is not considered 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.
- (iii) Auditors must strictly observe the producer's and the CB's procedures to maintain the confidentiality of information and records.

6 EDITION UPDATES REGISTER

General Regulation Version	Replaces	Replaced document obsolete	New document comes into force	Description of Modification
2.0_Mar08	1.0-May06	29 Feb 2008	3 Mar 2008	Version update

1. For detailed information of the modifications please contact GLOBALGAP Secretariat for the History document.
2. When the changes do not affect the accreditation of the standard, the version will remain “2.0” and edition update shall be indicated with “-x”.
3. When the changes do affect the accreditation of the standard, the version name will change to “2.x”.