

# GLOBALG.A.P. (EUREPGAP)

## General Regulations Integrated Farm Assurance

VERSION 3.0-2\_SEP07

### PART III | PRODUCER GROUP CERTIFICATION

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## **1 WHAT IS A PRODUCER GROUP?**

A producer group **is** a group of producers (with their respective production locations) seeking to be GLOBALGAP (EUREPGAP) certified. The structure of the producer group must enable the application of a Quality Management System across the whole group.

The Quality Management System (QMS) in place must be sufficiently robust to ensure (and to demonstrate through audits) that the group's registered producer members/production locations comply in a uniform manner with the GLOBALGAP (EUREPGAP) standard requirements. The producer group registered members must be legally responsible for their respective production locations. The producer group must comply with the requirements set out in this document to qualify for Option 2 certification.

A producer group is **not** a multi-site operation where an individual or one organisation owns several production locations or "farms", which in itself are NOT separate legal entities. This type of operation falls under Option 1 and every production location, farm or site must be inspected and covered under the scope of the certificate. **Only** if such an operation has a Quality Management System including internal annual inspections, and the QMS is included in the GLOBALGAP (EUREPGAP) certification, can it be certified as Option 1, while following the Option 2 rules for random external sampling of sites (minimum square root) based on the criteria as described in GR Part I, 5.2 Option 2 and Part II, Appendix II.3 Rules for Evaluating Option 2 Producer Groups, 6.1.2.

*NOTE: The entire crop of a registered product must be certified.  
e.g. A GLOBALGAP (EUREPGAP) producer that is part of a producer group certified for strawberries, must include all the production locations with strawberries for certification.*

See Annex III.1 (Producer Group and Legal Entity) for further clarification of the legal entity

### **1.1 Administration and Structure**

#### **1.1.1 Legality**

There shall be documentation, which clearly demonstrates that the applicant producer group is or belongs to a legal entity. The legal entity must have been granted the legal right to carry out agricultural production and/or trading, and be able to legally contract with and represent the group members.

The group or legal entity must, as a group, be registered legally for example as a Cooperative, Producers Association, Packing Company, Trading Company, Farming Company, etc. (not consultancy companies, Non-Governmental Organisations, development agencies, agrochemicals distributor, etc).

This legal entity must have ultimate responsibility over the production, handling and ownership of the products, thus it is responsible for the compliance with the GLOBALGAP (EUREPGAP) standard and General Regulations within the GLOBALGAP (EUREPGAP) producer group. The legal entity will enter into a contractual relationship with GLOBALGAP (EUREPGAP) through the signature of the GLOBALGAP (EUREPGAP) Sub-Licence and Certification Agreement with a GLOBALGAP (EUREPGAP) approved CB, and becomes the sole holder of the GLOBALGAP (EUREPGAP) certificate.

#### **1.1.2 Structure**

The administrative structure of the producer group shall be documented and clearly identify the relationship between the producers and the legal entity.

#### **1.1.3 Contractual Documentation**

There shall be written signed contracts between each producer and the legal entity. The contracts shall include the following elements:

- (i) Name or fiscal identification of the producer
- (ii) Contact address

- (iii) Details of the individual production locations
- (iv) Commitment to comply with the requirements of the GLOBALGAP (EUREPGAP) standard
- (v) Agreement to comply with the group's documented procedures, policies and where provided, technical advice.
- (vi) Sanctions that may be applied in case of GLOBALGAP (EUREPGAP) and any other internal requirements not being met.

#### **1.1.4 Producer Register**

A register shall be maintained of all GLOBALGAP (EUREPGAP) member producers, and of all the applicable sites used for production in accordance with the GLOBALGAP (EUREPGAP) standard.

All these member producers in the producer register must be registered individually on the GLOBALGAP (EUREPGAP) database according to the requirements of the General Regulations PART I; 4.8 Registration.

The register shall at least contain the following information for each producer:

- (i) Name of producer
- (ii) Name of contact person
- (iii) Full address (physical and postal)
- (iv) Contact data (telephone number and e-mail and/or fax number)
- (v) Other ID (VAT Number, ILN, UAID, etc) if required for the country of production
- (vi) Product registered
- (vii) Growing/Production area and/or quantity for each registered product
- (viii) Certification Body(ies) if a producer makes use of more than 1 CB (according to General Regulations PART I; 4.4.1.vi and 4.4.2.vi)
- (ix) Internal audit date
- (x) Current GLOBALGAP (EUREPGAP) status (according to the statuses as indicated in Annex I.4)

*NOTE: Those producers of the legal entity who do not apply for GLOBALGAP (EUREPGAP) certification must be listed separately and will not be registered in the GLOBALGAP (EUREPGAP) database (unless they have applied for option 3 or 4). This list is for management purposes within the producer group, and the disclosure of its contents externally is not required, unless it is needed for clarification of any issues raised for example on the effectiveness of the producer group's Quality Management System. All data protection rules shall be published and observed.*

## **1.2 Management and Organisation**

### **1.2.1 Structure**

The producer group shall have a management structure and sufficient suitably trained resources to effectively ensure that the registered producers meet the requirements of GLOBALGAP (EUREPGAP) on their production locations. The organisational structure of the group shall be documented and shall include:

- (i) GLOBALGAP (EUREPGAP) management representative - person or department responsible for managing the implementation of GLOBALGAP (EUREPGAP) in the group.
- (ii) Internal inspector(s) – person(s) responsible for the internal inspections of each producer member of the group annually; complying with the GLOBALGAP (EUREPGAP) requirements set for an internal group inspector (Appendix III.1).
- (iii) Internal auditor(s) – person(s) responsible for the internal audit of the Quality Management System, complying with the GLOBALGAP (EUREPGAP) requirements set for an internal group auditor (Appendix III.2).
- (iv) Agricultural or livestock technical person/department – person(s) responsible for technical advice to the group.
- (v) Quality Systems Management (QMS) person/department – person(s) responsible for managing the QMS.

*NOTE: A group needs at least one internal auditor, who can cover the functions of internal group inspector and internal auditor (in case only one internal auditor who performs also the inspections, another person, identified in the QMS must approve the producer internal inspections; see Appendix III.2, 3.1.i and 3.4.2)*

### **1.2.2 Responsibility and Duties**

The duties and responsibilities of all personnel involved with the compliance of GLOBALGAP (EUREPGAP) requirements shall be documented, and an individual who holds a position of sufficient seniority and resources to serve as the overall responsible person will be nominated for maintenance of the GLOBALGAP (EUREPGAP) certification (see 1.2.1.i).

## **1.3 Competency and Training of Staff**

- (i) The group shall ensure that all personnel with responsibility for compliance with the GLOBALGAP (EUREPGAP) standard are adequately trained and meet defined competency requirements.
- (ii) The competency requirements, training and qualifications for key staff shall be documented and shall meet any defined competency requirements laid out in the GLOBALGAP (EUREPGAP) standard.
- (iii) Records of qualifications and training shall be maintained for all key staff (managers, auditors, inspectors, etc.) involved in compliance with GLOBALGAP (EUREPGAP) requirements to demonstrate competence.
- (iv) The internal auditor(s) and inspector(s) shall undergo training and evaluation, e.g. by documented shadow audits, to ensure consistency in their approach and interpretation of the standard.
- (v) Systems shall be in place to demonstrate that key staff is informed and aware of development, issues and legislative changes relevant to the compliance to the GLOBALGAP (EUREPGAP) standard.

## **1.4 Quality Manual**

- (i) The operating and quality management systems related to the GLOBALGAP (EUREPGAP) standard shall be documented and contained in a Quality Manual(s).
- (ii) Policies and procedures shall be sufficiently detailed to demonstrate the group's control of the principal requirements of the GLOBALGAP (EUREPGAP) standard.
- (iii) Relevant procedures and policies shall be available to the producer group registered members and key staff.
- (iv) The contents of the Quality Manual shall be reviewed periodically to ensure that it continues to meet the requirements of the GLOBALGAP (EUREPGAP) standard and those of the producer group. Any relevant modifications of the GLOBALGAP (EUREPGAP) standard or published guidelines that come into force must be incorporated into the Quality Manual within the time period given by GLOBALGAP (EUREPGAP).

## **1.5 Document Control**

### **1.5.1 Quality Management System (QMS) Documents**

All documentation relevant to the operation of the Quality Management System (QMS) for GLOBALGAP (EUREPGAP) compliance shall be adequately controlled. This documentation shall include:

- (i) The Quality Manual
- (ii) GLOBALGAP (EUREPGAP) operating procedures
- (iii) Work instructions
- (iv) Recording forms
- (v) Relevant external standards, e.g. the current GLOBALGAP (EUREPGAP) normative documents.

### **1.5.2 Quality Management System Document Control Requirements**

- (i) There shall be a written procedure defining the control of documents.
- (ii) All documentation shall be reviewed and approved by authorised personnel before issue and distribution.
- (iii) All controlled documents shall be identified with an issue number, issue date/review date and be appropriately paged.
- (iv) Any change in these documents shall be reviewed and approved by authorised personnel prior to its distribution. Wherever possible an explanation of the reason and nature of the changes should be identified.
- (v) A copy of all relevant documentation shall be available at any place where the QMS is being controlled.
- (vi) There shall be a system in place to ensure that documentation is reviewed and that following the issue of new documents, obsolete documents are effectively rescinded.

## **1.6 Records**

- (i) The group shall maintain records to demonstrate effective control of the GLOBALGAP (EUREPGAP) Quality Management System requirements and compliance with the requirements of GLOBALGAP (EUREPGAP) standard.
- (ii) Records from the QMS related to compliance of GLOBALGAP (EUREPGAP) requirements shall be kept for a minimum of 2 years.
- (iii) Records shall be genuine, legible, stored and maintained in suitable conditions and shall be accessible for inspection as required.
- (iv) Records that are kept on-line or electronically are valid. If a signature is required, this can be a password or electronic signature that ensures the unique reference and authorization of the person signing. If a written signature of the responsible person is needed then this must be present. The electronic records must be available during the CB inspections. Back-ups must be available at all times.

## **1.7 Complaint Handling**

- (i) The group shall have a system for effectively managing customer complaints.
- (ii) There shall be a documented procedure that describes how complaints are received, registered, identified, investigated, followed up and reviewed.
- (iii) The procedure shall be available to customers as required.
- (iv) The procedure shall cover both complaints to the group and against individual producers.

## **1.8 Internal Audits and Inspections**

Internal audit systems shall be in place both to assess the adequacy and compliance of the documented QMS and to inspect the producers and farms against the GLOBALGAP (EUREPGAP) standard.

### **1.8.1 Quality Management System Audit**

Internal auditor(s), complying with the GLOBALGAP (EUREPGAP) requirements set for an internal group auditor (Appendix III.2), will do the internal audit of the QMS.

- (i) The QMS for the GLOBALGAP (EUREPGAP) scheme shall be audited at least annually.
- (ii) Internal auditors shall be suitably trained and independent of the area being audited.
- (iii) The CB will evaluate the competence of the internal auditor during the external audit by checking compliance with Appendix III.2.
- (iv) Records of the internal audit plan, audit findings and follow up of corrective actions resulting from an audit shall be maintained and available.

*NOTE: It is permitted for the same person to initially develop the QMS within the group, and then undertake the required annual QMS audit, however the person responsible for the day-to-day ongoing management of the QMS is not allowed to undertake the required subsequent annual internal QMS audits (see Appendix III.2, 3.4.3).*

### 1.8.2 Producer and Production Location Inspections

Internal inspectors, complying with the GLOBALGAP (EUREPGAP) requirements set for an internal group inspector (Appendix III.1) will be responsible for carrying out the farm inspections.

- (i) Inspections shall be carried out at each registered producer and production location at least once per year against the GLOBALGAP (EUREPGAP) Control Points and Compliance Criteria, based on the GLOBALGAP (EUREPGAP) Checklist. All Major and Minor Musts as well as Recommended control points must be inspected in full.
- (ii) There shall be a process for the review of the inspection reports and producer status.
- (iii) New members of the group must always be internally inspected prior to them entering into the GLOBALGAP (EUREPGAP) registered producers list.
- (iv) The original inspection reports and notes shall be maintained and available for the CB inspection as required.
  
- (v) The inspection report shall contain the following information:
  - a) Identification of registered producer and production location(s)
  - b) Signature of the registered producer
  - c) Date
  - d) Inspector name
  - e) Registered products
  - f) Evaluation result against each GLOBALGAP (EUREPGAP) control point
  - g) All Major Musts in the Checklist must include details of what was verified in the comments section of the checklist, in order to enable the audit trail to be reviewed after the event.
  - h) Details of any non-compliances identified and time period for corrective action.
  - i) GLOBALGAP (EUREPGAP) status
- (vi) The internal auditor (or audit team; see Appendix III.2) will make the decision on whether the producer is compliant with the GLOBALGAP (EUREPGAP) requirements, based on the inspection reports presented by the internal inspector.

### 1.8.3 Non-Compliances and Corrective Action Systems

- (i) There shall be a procedure to handle non-compliances and corrective actions which may result from internal or external audits and/or inspections, customer complaints or failures of the QMS.
- (ii) There shall be documented procedures for the identification and evaluation of non-compliances to the QMS by the group or by its members.
- (iii) Corrective actions following non-compliances shall be evaluated and a timescale defined for action.
- (iv) Responsibility for implementing and resolving corrective actions shall be defined.

## 1.9 Product Traceability and Segregation

- (i) Product meeting the requirements of the GLOBALGAP (EUREPGAP) standard and marketed as such shall be traceable and handled in a manner that prevents mixing with non-GLOBALGAP (EUREPGAP) approved products.
- (ii) There shall be a documented procedure for the identification of registered products and to enable traceability of all product, both conforming and non-conforming to the applicable production sites. A mass balance exercise must be carried out to demonstrate compliance within the legal entity.
- (iii) For Fruit and Vegetables certification: the produce handling site shall operate procedures which enable registered product to be identifiable and traceable from receipt, through handling, storage and dispatch.
- (iv) Effective systems and procedures shall be in place to negate any risk of mis-labeling or mixing of GLOBALGAP (EUREPGAP) certified and non-GLOBALGAP (EUREPGAP) certified products.

### **1.10 Sanctions and Non-Conformances**

- (i) The group shall operate a system of sanctions and non-conformances with their producers, which meet the requirements defined in the GLOBALGAP (EUREPGAP) General Regulations.
- (ii) Contracts with individual producers shall define the procedure for sanctions including the levels of Warning, Suspension and Cancellation.
- (iii) The group shall have mechanisms in place to notify the GLOBALGAP (EUREPGAP) approved Certification Body immediately of Suspensions or Cancellations of registered producers.
- (iv) Records shall be maintained of all sanctions including evidence of subsequent corrective actions and decision-making processes.

### **1.11 Withdrawal of Certified Product**

- (i) Documented procedures shall be in place to effectively manage the withdrawal of registered products .
- (ii) Procedures shall identify the types of event which may result in a withdrawal, persons responsible for taking decisions on the possible withdrawal of product, the mechanism for notifying customers and the GLOBALGAP (EUREPGAP) approved Certification Body; and methods of reconciling stock.
- (iii) The procedure shall be capable of being operated at any time.
- (iv) The procedure shall be tested in an appropriate manner at least annually to ensure that it is effective and records of the test retained.

### **1.12 Subcontractors**

- (i) Procedures shall exist to ensure that any services subcontracted to third parties are carried out in accordance with the requirements of the GLOBALGAP (EUREPGAP) standard (see control point All Farm AF.3.6.1).
- (ii) Records shall be maintained to demonstrate that the competency of any subcontractor is assessed and meets the requirements of the standard.
- (iii) Subcontractors shall work in accordance with the group's QMS and relevant procedures and this shall be specified in service level agreements or contracts.

## **2 APPENDIX III.1 PRODUCER GROUP INTERNAL INSPECTOR QUALIFICATIONS**

### **2.1 Internal Producer Group Inspector**

- (i) Inspectors will be able to inspect a sub-scope once factual evidence (as described below) of their qualifications and experience have been verified for each sub-scope by the producer group. The GLOBALGAP (EUREPGAP) CB will audit compliance with the requirements as set out below during the external QMS audit.

### **2.2 Formal Qualifications**

#### **2.2.1 Post-high school diploma**

- (i) At least a post-high school diploma in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture) or an Agricultural high school qualification with 2 years of experience in the relevant sub-scope after qualification.

### **2.3 Technical Skills and Qualifications**

#### **2.3.1 Inspector Training**

- (i) One-day practical inspection course setting out basic principles of inspection.
- (ii) Two witness inspections (accompanying an audit, could be GLOBALGAP (EUREPGAP) or other) OR 2 shadow audits by the CB.
- (iii) If the group has more than one internal inspector, there must be records of shadow audits between them.

#### **2.3.2 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) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (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) **For Livestock and Aquaculture scopes:** Basic veterinary medicine and stockmanship training including animal health and welfare issues.

#### **2.3.3 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.

### **2.4 Key Tasks**

#### **2.4.1 GLOBALGAP (EUREPGAP) Farm Inspections**

- (i) Inspection of farms of the producer group to assess compliance with the GLOBALGAP (EUREPGAP) standard.
- (ii) To produce timely and accurate reports on such inspections (see 1.8.2.iv).

#### **2.4.2 Independence and Confidentiality**

- (i) Inspectors cannot inspect their own daily work.

**NOTE: The relevant CB shall have a complete and current list of all the producer group internal inspectors. These internal inspectors shall be approved by the CBs during the external inspections.**

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## **3 APPENDIX III.2 PRODUCER GROUP INTERNAL AUDITOR QUALIFICATIONS**

### **3.1 Internal Producer Group Auditor**

- (i) Internal auditors will be able to audit the Quality Management System of a group and approve the GLOBALGAP (EUREPGAP) registered members of the group (based on the internal inspection reports) once the producer group has verified their qualifications and experience. The GLOBALGAP (EUREPGAP) CB will audit compliance with the requirements as set out below during the external QMS audit.

*NOTE: Where the internal auditor does not have the necessary Food Safety and G.A.P. training (3.3.2 below), but only QMS training/experience, another person with these qualifications (and identified in the QMS) must form part of the “audit team” to do the approval of the farm inspections (key task 3.4.2)*

### **3.2 Formal Qualifications**

#### **3.2.1 Post-high school diploma**

- (i) At least a post-high school diploma in a discipline related to the scope of certification (Crops and/or Livestock and/or Aquaculture) or an Agricultural high school qualification or 2 year experience of Quality Management Systems with 2 years of experience in the relevant sub-scope after qualification.

### **3.3 Technical Skills and Qualifications**

#### **3.3.1 Auditor Training**

- (i) Practical knowledge of Quality Management Systems
- (ii) Completion of a short (2 days) internal auditor-training course related to QMS.

#### **3.3.2 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 or training in ISO 22000.
- (ii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (iii) **For Crop Scope:** Plant protection, fertilizer and IPM training either as part of formal qualifications, or by the successful completion of a formal course.
- (iv) **For Livestock and Aquaculture scopes:** Basic veterinary medicine and stockmanship training including animal health and welfare issues.

#### **3.3.3 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.

### **3.4 Key Tasks**

#### **3.4.1 Quality Management System Audits**

- (i) Auditing and assessment of the QMS of the producer group for compliance with the GLOBALGAP (EUREPGAP) standard (according to the QMS Checklist).
- (ii) To produce timely and accurate reports on such audits.

### **3.4.2 Approval of Farm Inspections**

- (i) The approval of the members of the group, based on inspection reports of the internal producer group inspector. (Refer to 3.1.i9)

### **3.4.3 Independence and Confidentiality**

- (i) Internal auditors cannot approve any producer inspections done by him/herself.
- (ii) Internal auditors cannot audit the QMS if he/she implemented or operates the QMS for the group.

**NOTE: The relevant CB shall have a complete and current list of all the producer group internal auditors. These internal auditors shall be approved by the CBs during the external audits.**

## **4 EDITION UPDATES REGISTER**

<b>General Regulation Version</b>	<b>Replaces</b>	<b>Replaced document obsolete</b>	<b>New document comes into force</b>	<b>Description of Modification</b>
3.0-1_2July07	3.0-Mar07	2 July 2007	2 July 2007	Clarification of 1. What is a Producer Group? Also see Annex III 1.
3.0-2_Sep07	3.0-1_2July07	30 Sep 2007	30 Sep 2007	Modification GLOBALGAP (EUREPGAP); Clarification of wording: 1.1.1; 3.4.3

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 “3.0” 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 “3.x”.