Quality Management System Checklist – All Scopes
(including Fruit and Vegetables sub-scope with produce handling section, if applicable)

ENGLISH VERSION 5.4-1-GFS

VALID FROM: 27 OCTOBER 2021
OBLIGATORY FROM: 27 JANUARY 2022

TABLE OF CONTENTS

PRODUCT HANDLING UNITS

AQUACULTURE:
Where a producer group or multisite company has central product handling facilities (one or more), each facility shall be inspected while in operation (in aquaculture there is no sampling of product handling units).
NOTE: For aquaculture post-harvest operations, sections AQ 11 to 15 shall be inspected individually for each product handling unit included in the certification scope, using the IFA Aquaculture checklist.

FRUIT AND VEGETABLES:
For the annual CB audit the square root of the total number of central produce handling units registered (those where the products of more than one producer is handled) shall be inspected while in operation. If there is only one central product handling facility, it shall be inspected every year while in operation. During internal inspections, every produce handling site shall be inspected.
For inspecting central produce handling unit(s), the PH tab in this checklist shall be used.
Where the produce handling takes place on the production sites of each producer member, the IFA checklist for Fruit and Vegetables sub-scope (AF+CB+FV) shall be used.

Note: You can change the size of a cell by using the ruler on the left hand side. Each row can be customized by shifting the lines between the numbers.

GENERAL INFORMATION

Organization name:	
GGN:	
Option 2	
Option 1 multisite with QMS	
Type of audit (internal audit, CB initial announced, CB unannounced 10 %, CB subsequent, other type):	
Total number of producer group members/production sites:	

Total number of producer group members/production sites approved internally for GLOBALG.A.P.:	
Total number of GLOBALG.A.P. certified producer group members/production sites as per latest certificate:	
Number of producers (sites, in case of Option 1 multisite with QMS) inspected during the last surveillance inspections:	
Has the applicant applied and received approval for the Flexible Distribution Rule according to the General Regulations Part II, Annex II.2?	

Product Handling	Yes	No	Comment
Is the product handling included in the GLOBALG.A.P. certification scope?			
Are there central product handling units (PHUs)?			
If yes, how many?			
Are there PHUs on the production sites?			
If yes, how many?			
Is product handling inspected while in operation?			
Notes on product handling:			
Are registered products/crops present during this audit?			
If yes, list products			
Has the harvest of the product(s) been seen during this audit?			
If yes, list products			
Is the harvest excluded for any of the products or for any of the producers/sites?			
if yes, list products or producers/production sites			
Do any of the producer members have parallel production or parallel ownership?			
if yes, list products and producer members			
Does the certificate holder buy certified products from non-members (other producers or traders)?			
If yes, list products			
Does the certificate holder buy non-certified products from non-members (other producers or traders)?			

If yes, list products	
Does the QMS operate an RMS? If yes, sheet 5. RMS shall be completed.	
If yes, list products.	
Is this GLOBALG.A.P. audit combined with any other standard's audit?	
If yes, which?	

Audit duration per day:	Start time	End time
Day 1		
Day 2		
Day 3		
Day 4		

FOOD SAFETY POLICY DECLARATION

A producer may use this template or any other format for compliance with AF 15.1

COMPANY NAME:	
MANAGER/OWNER NAME:	
DATE:	
SIGNATURE:	

We are committed to ensure that food safety is implemented and maintained throughout our production processes.
This is achieved by:

1. COMPLIANCE AND IMPLEMENTATION OF RELEVANT LEGISLATION
2. IMPLEMENTATION OF GOOD AGRICULTURAL PRACTICES AND CERTIFICATION AGAINST GLOBALG.A.P. INTEGRATED FARM ASSURANCE IN ITS LATEST VERSION
3. COMMITMENT TO MAINTAINING A FOOD SAFETY CULTURE
4. COMMITMENT TO PROVIDE THE RESOURCES NECESSARY FOR FOOD SAFETY

All of our staff has been trained in food safety and hygiene (see AF 3) and are strictly monitored to ensure it is continuously implemented.

The following person(s) have accountability for food safety

DURING PRODUCTION:

NAME(S):	
DESIGNATION:	
REPLACEMENT(S):	

If different, during harvesting (for crop production) to ensure that only safe products are harvested according to the standard:

NAME(S):	
DESIGNATION:	
REPLACEMENT(S):	

If different, during product handling to ensure that appropriate release procedures are followed according to the standard requirements:

NAME(S):	
DESIGNATION:	
REPLACEMENT(S):	

24-HOUR CONTACT INFORMATION IN THE EVENT OF A FOOD SAFETY EMERGENCY IS AS FOLLOWS:

TEL:

The implementation of GLOBALG.A.P. is based on identification of risks and hazards, and mitigating activities will be reviewed annually to ensure continuing suitability, adequacy, and effectiveness.

RULES FOR QUALITY MANAGEMENT SYSTEM (refer to General Regulations version 5 PART II)
(For OPTION 2 and OPTION 1 MULTISITES WITH QMS)
Yes = Full compliance with the requirements
No = Requirements are not fulfilled at all or only partially complied with

All contol points are Major Musts.

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
QM 1		**LEGALITY, ADMINISTRATION, AND STRUCTURE**			
QM 1 . 1		**Legality**			
	a)	Is there documentation available, which clearly demonstrates that the applicant is or belongs to a legal entity?			
	b)	Has the legal entity been granted the legal right to carry out agricultural production and/or trading, and be able to legally contract with and represent the producer members/production sites?			
	c)	Has the legal entity entered into a contractual relationship with GLOBALG.A.P. through the signature of the 'GLOBALG.A.P. Sublicense and Certification Agreement' in its latest version (available on the GLOBALG.A.P. website) with a GLOBALG.A.P. approved CB? **OR** Has the legal entity explicitly acknowledged the receipt and the inclusion of the 'GLOBALG.A.P. Sublicense and Certification Agreement' with the signature of the service contract/agreement with the CB? Has the CB handed over a copy of the 'GLOBALG.A.P. Sublicense and Certification Agreement' to the QMS?			
	d)	Does the legal entity not operate more than one QMS per crop and per country?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
QM 1 . 2		**Producers and Production Sites**			
QM 1 . 2	**1**	**Requirements for producer members in producer groups (N/A for Option 1 multisite operation).**			
(i)		Are there written signed contracts between each producer and the (group's) legal entity?			
		Do the contracts include following information:			
	•	Producer group name and legal identification?			
	•	Name and/or legal identification of the producer ?			
	•	Producer contact address?			
	•	Details of the individual production sites, including certified and non-certified products (the contract may refer to the producer group's internal register for this information)?			
	•	Details of area (crops) or tonnage (livestock and aquaculture) (the contract may refer to the producer group's internal register for this information)?			
	•	Producer commitment to comply with the requirements of the GLOBALG.A.P. Standard?			
	•	Producer agreement to comply with the group's documented procedures, policies, and where provided, technical advice?			
	•	Sanctions that may be applied in case of GLOBALG.A.P. and any other internal requirements not being met?			
	•	Signature of producer and group representatives.			
(ii)		Are the producer group registered members legally responsible for their respective production sites?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
(iii)		Do producers not market any products under their name with reference to the group's certificate? Are all products that are sold without reference to the certificate recorded in the group mass balance system? N/A for exceptional cases where the Flexible Distribution Rule has been implemented according to General Regulations Part II, Annex II.2).			
QM 1 . 2	**2**	**Requirements for production sites in multisites** (Applicable for a group member with multisite operation and for Option 1 multisite with QMS).			
(i)		Are all production sites owned or rented and under the direct control of the legal entity?			
(ii)		For production sites that are not owned by the legal entity, is there a signed document which includes a clear indication that the site owner does not have any responsibility or input or decision capacity regarding the production operations over the rented-out site?			
(iii)		Are there written contracts in force between each production site owner and the legal entity? Do the contracts include the following elements:			
	•	Certificate holder/producer member name and legal identification?			
	•	Name and/or legal identification of the site owner?			
	•	Site owner contact address (physical and postal)?			
	•	Details of the individual production sites (address,surface)?			
	•	Signature of both parties' representatives?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
(iv)		Is the certificate holder legally responsible for all the registered production, including placing the product on the market?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
QM 1 . 3		**Producer and Site Internal Register**			
(i)		Is there a register maintained of all contracted group member producers and/or of all the applicable sites (of the group member or of the Option 1 multisite operation) used for production in accordance with the GLOBALG.A.P. Standard?			
(ii)		If the group voluntarily issues a declaration to their members to indicate group membership, does the declaration comply with the minimum requirements as set out in the General Regulations Part II, Annex II.3?			
QM 1 . 3	**1**	**Requirements for producer groups** (N/A for Option 1 multisite operation)			
(i)		Does the register at least contain the following information for each producer:			
	•	Name of the producer?			
	•	Name of contact person?			
	•	Full address (physical and postal)?			
	•	Contact data (telephone number, e-mail and fax number, if available?			
	•	Other legal entity ID (VAT Number, ILN, UAID, etc.) where required for the country of production as published in the General Regulations Part I, Annex I.2?			
	•	Products registered?			
	•	Details of the individual production sites and their location, including certified and non-certified products?			
	•	Growing/production area and/or quantity for each registered product?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
	•	Certification body(ies) if a producer makes use of more than one CB?			
	•	Producer status (internal status as a result of the last internal inspection: approved, suspended, etc.)?			
	•	Date of internal inspection ?			
(ii)		Are those producers of the legal entity who do not apply to be included in the GLOBALG.A.P. group certification listed separately ? *NOTE: 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.*			
QM 1 . 3	**2**	**Requirements for Option 1 multisites with implemented QMS**			
(i)		Additionally, does the register contain the following information for each site:			
	•	Relation of the legal entity with the production site (ownership, rented, etc.)?			
	•	Instead of the producer status, is the production site status included in the internal register?			
QM 2		**MANAGEMENT AND ORGANISATION**			
	a)	Is the quality management system (QMS) in place sufficiently robust and does it ensure that the registered producer members or production sites comply in a uniform manner with the GLOBALG.A.P. Standard requirements?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
QM 2 . 1		**Structure**			
a)		Does the structure enable the appropriate implementation of the QMS across all registered producer members and production sites?			
b)		Does the applicant have a management structure and sufficient suitably trained resources (management and technical capacity) to effectively ensure that the requirements of GLOBALG.A.P. are met by all producers and at all production sites.? Do members of management annually conduct a documented management review and make necessary changes? The management review may be in the form of an annual staff meeting, where food safety resources, the status of actions from previous management reviews, external and internal changes that are relevant to the quality management system, and effectiveness of the quality management system are reviewed. Is evidence of this management review available and verified by the external CB auditor? Is the organizational structure of the group documented and includes individuals responsible for:			
	•	Managing the QMS which is independent from the sites and producers?			
	•	The internal inspections of each producer member and/or production sites annually (i.e. internal inspector)?			
	•	The internal audit of the QMS, and verifying the internal inspections (i.e. internal auditor)? Is there at least one person in the QMS structure (e.g. internal auditor) who is responsible and able to train the internal inspectors and producers?			
	•	Technical advice to the group?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
c)		Does the management give internal auditors and inspectors sufficient authority to make independent and technically justified decisions during the internal controls?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
QM 2 . 2		**Competency and Training of Staff**			
a)		Are the competency requirements, training and qualifications for key staff (those mentioned in 2.1 b) but also any other identified personnel) defined and documented? Do these requirements also apply to external consultants?			
b)		Does the management ensure that all personnel with responsibility for compliance with the GLOBALG.A.P. Standard are adequately trained and meet the defined competency requirements?			
	•	Is internal auditor competence (as set out in the General Regulations Part II, Annex II.1) checked by the management and reviewed by the CB?			
	•	Is internal inspector competence (as set out by the General Regulations Part II, Annex II.1) checked by the management and reviewed by the CB.?			
	•	Where the internal auditor does not have the necessary food safety and G.A.P. training, but only QMS training/experience, does another person with these qualifications (and identified in the QMS) form part of the “audit team” to perform the approval of the producers/production sites inspections?			
	•	Do technical advisors to the producer group members/company meet the requirements described in the applicable CPCC, depending on the scope of certification (e.g. CB 7.2.1, AQ 5.2.1)?			
c)		Are records of qualifications and training maintained for all key staff (managers, auditors, inspectors, etc.) involved in compliance with GLOBALG.A.P. requirements to demonstrate competence?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
d)		Do the internal auditor(s) and inspector(s), if they are more than one, undergo training and evaluation to ensure consistency (calibration) in their approach and interpretation of the standard (e.g. by documented shadow audits/inspections)?			
e)		Is there a system in place to demonstrate that key staff are informed and aware of development issues and legislative changes relevant to the compliance to the GLOBALG.A.P. Standard? Is there evidence of induction and annual refreshment trainings for key staff as defined above available? **Se eliminó la referencia a las normas legales**			
QM 3		**DOCUMENT CONTROL**			
a)		Is all documentation relevant to the operation of the QMS for GLOBALG.A.P. adequately controlled? Does the documentation include, but is not limited to:			
	•	The quality manual?			
	•	GLOBALG.A.P. operating procedures?			
	•	Work instructions?			
	•	Recording forms?			
	•	Relevant external standards, e.g. the current GLOBALG.A.P. normative documents?			
b)		Are policies and procedures sufficiently detailed to demonstrate compliance of the requirements of the GLOBALG.A.P. Standard?			
c)		Are policies and procedures available to the relevant staff and producer group registered members?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
d)		Is the content of the quality manual reviewed periodically to ensure that it continues to meet the requirements of the GLOBALG.A.P. Standard and those of the applicant?			
e)		Are relevant modifications of the GLOBALG.A.P. Standard or published guidelines that come into force incorporated into the quality manual within the time period given by GLOBALG.A.P.?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
QM 3 . 1		**Document Control Requirements**			
	a)	Is there a written procedure defining the control of documents?			
	b)	Is all documentation reviewed and approved by authorised personnel before issue and distribution?			
	c)	Are all controlled documents identified with an issue number, issue date, review date, and appropriately paged?			
	d)	Are any changes in these documents reviewed and approved by authorised personnel prior to its distribution? Wherever possible, is the explanation of the reason and nature of the changes given?			
	e)	Is a copy of all relevant documentation available at any place where the QMS is being controlled?			
	f)	Is there a system in place to ensure that documentation is reviewed and that following the issue of new documents, obsolete documents are effectively rescinded?			
QM 3 . 2		**Records**			
	a)	Does the applicant (group or the Option 1 multisite operation) maintain records to demonstrate effective control and implementation of the QMS, quality manual, and compliance with the requirements of the GLOBALG.A.P. Standard?			
	b)	Are records kept for a minimum of 2 years?			
	c)	Are all records genuine, legible, stored and maintained in suitable conditions, and accessible for inspection as required?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
d)		Records that are kept online or electronically: If a signature is required in electronic records, is there a password or electronic signature available that ensures the unique reference and authorization of the person signing? If a written signature of the responsible person is needed, is this present? Are the electronic records available during the CB inspections and are back-ups available at all times?			
QM 4		**COMPLAINT HANDLING**			
a)		Does the applicant (group or the Option 1 multisite operation) have a system for effectively managing customer complaints? Is the relevant part of the complaint system available to the producer members?			
b)		Is there a documented procedure that describes how complaints are received, registered, identified, investigated, followed up, and reviewed?			
c)		Is the procedure available to customers as required?			
d)		Does the procedure cover both complaints to the applicant and against individual producers or sites?			
QM 5		**INTERNAL QUALITY MANAGEMENT SYSTEM AUDIT**			
a)		Is the QMS for the GLOBALG.A.P. scheme audited at least annually?			
b)		Do internal auditors comply with the GLOBALG.A.P. requirements set in Annex II.1?			
c)		Are the internal auditors independent of the area being audited?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
	(i)	Is the person responsible for the day-to-day ongoing management of the QMS not allowed to undertake the internal QMS audits? It is however permitted for the same person to initially develop the QMS and then undertake the required internal annual QMS audit.			
d)		Are records of the internal audit, audit findings, and follow up of corrective actions resulting from audit maintained and available?			
e)		Is the completed QMS checklist with comments for every QMS control point available on-site for review by the CB auditor during the external audit?			
f)		Has the central management (producer group or multisite company) completed and signed the 'Food Safety Policy Declaration'? Is the signed 'Food Safety Policy Declaration' attached to the QMS checklist? In case the 'Food Safety Policy Declaration' is not signed at QMS level, has each producer member completed and signed the 'Food Safety Policy Declaration' and is it attached to the internal inspection checklists? Completion and signature of the 'Food Safety Policy Declaration' is a commitment to be renewed annually for each new certification cycle.			
g)		Where the internal audit is not performed in one day but continuously over a 12-month period, is there a pre-defined schedule in place? (N/A for the initial external audit.)			
QM 6		**INTERNAL PRODUCERS AND PRODUCTION SITES INSPECTIONS**			
a)		Are inspections carried out at each registered producer (and corresponding production sites) or production site at least once per year against all the relevant GLOBALG.A.P. Control Points and Compliance Criteria?			
b)		Does internal inspections timing follow the rules defined in general and scope specific rules?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
c)		Internal inspectors, comply with the requirements set in the General Regulations Part II, Annex II.1?			
d)		Are internal inspectors independent of the area being inspected and are not inspecting their own daily work?			
e)		Are new members of the group and new production sites of the Option 1 multisite always internally inspected and approved prior to them entering into the internal GLOBALG.A.P. register?			
f)		Are the original inspection reports and notes maintained and available for the CB inspection?			
g)		Does the inspection report contains the following information:			
	•	Identification of registered producer and production site(s)?			
	•	Signature of the registered producer or production site responsible?			
	•	Date of the inspection?			
	•	Inspector name?			
	•	Registered products?			
	•	Evaluation result against each GLOBALG.A.P. control point?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
	•	Does the checklist include details of what was verified in the comments section for the: 1. Major Musts control points that are found to be compliant 2. Major Musts and Minor Musts control points that are found to be non-compliant 3. Major and Minor Musts control points that are found to be non-applicable (unless a checklist is issued by GLOBALG.A.P. that pre-determines which control points and compliance criteria shall be commented on)? This is needed to enable the audit trail to be reviewed after the event.			
	•	Details of any non-compliances identified and time period for corrective action?			
	•	Inspection result with calculation of compliance level?			
	•	Duration of the inspection?			
	•	Name of Internal auditor who approved the checklist?			
h)		Does the internal auditor (or audit team; see GR II, 2.2 b)) make the decision on whether the producer or site is compliant with the GLOBALG.A.P. requirements, based on the inspection reports presented by the internal inspector?			
i)		In case there is only one internal auditor who also performs the internal inspections, does another person, e.g. management representative identified in the QMS, approve the internal inspections?			
j)		Where the internal inspections take place continuously over a 12-month period, is there a pre-defined schedule in place? (N/A for the initial external audit.)			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
QM 7		**NON-COMPLIANCES, CORRECTIVE ACTIONS, AND SANCTIONS**			
a)		Is there 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?			
b)		Are there documented procedures for the identification and evaluation of non-compliances to the QMS of the group/Option 1 multisite operation or to its producer members/production sites?			
c)		Are the corrective actions following non-compliances evaluated and a timescale defined for action?			
d)		Are the responsibilities for implementing and resolving corrective actions defined?			
e)		Does the QMS operate a system of sanctions and non-conformances with their producers or production sites that meet the requirements defined in the GLOBALG.A.P. General Regulations Part I? In case of contractual non-conformances (e.g. not complying with one of the QMS internal policies),does the QMS decide the corresponding sanctions?			
f)		Does the applicant have mechanisms in place to notify the GLOBALG.A.P. approved certification body immediately of suspensions or cancellations of registered producers or production sites?			
g)		Are records maintained of all sanctions including evidence of subsequent corrective actions and decision-making processes?			
QM 8		**PRODUCT TRACEABILITY AND SEGREGATION**			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
a)		Is there a documented procedure for the identification of registered products and to enable traceability of all products, both conforming and non-conforming to the applicable production sites? Has a mass balance exercise been carried out, at least anually, per product, to demonstrate compliance within the legal entity (see points e) to k))?			
b)		Are products meeting the requirements of the GLOBALG.A.P. Standard and marketed as such, handled in a manner that prevents mixing them with non-GLOBALG.A.P. approved products? This can be done via physical identification or product handling procedures, including the relevant records.			
c)		Are there effective systems and procedures in place to negate any risk of mis-labeling of GLOBALG.A.P. certified and non-GLOBALG.A.P. certified products? Are GLOBALG.A.P. products entering the process (either from producer members/production sites or from external sources) immediately identified with the GGN or any other reference that is clearly explained in the company policy and provides a unique reference to the certification status? Is this reference used on the smallest individually identified unit?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
d)		In case of parallel production/parallel ownership, does the QMS ensure that all final ready-to-be-sold products (either from farm level or after product handling), originating from a certified production process are correctly identified with a GGN? In case of Option 2, it can be the GGN of the group, the GGN of the group member who produced the product, or both GGNs. In case group members pack and label product, the producer group may require from those members to include the GGN of the group, with or without the GGN of the member producer. In case of Option 1 multisite, is it the GGN of the individual producer? Is the GGN used on the smallest individually packed unit, regardless if it is a final consumer packaging or not? Is the GGN not used to label non-certified products? N/A only when there is a written agreement available between the applicant and its client not to use the GGN on the ready to be sold product. This can also be a client's own label specification where a GGN is not included.			
e)		Is there a final documented check to ensure correct product dispatch of certified and non-certified products?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
f)		Does all transaction documentation (sales invoices, other sales related, dispatch documentation, etc.) related to sales of certified product include the GGN of the certificate holder and a reference to the GLOBALG.A.P. certified status? This is not obligatory in internal documentation. Positive identification is enough (e.g. "GGN_GLOBALG.A.P. certified <product name>"). Indication of the certified status is obligatory regardless if the certified product is sold as certified or not. This cannot be checked during the initial (first ever) audit because the producer group/company is not certified yet and cannot make a reference to the GLOBALG.A.P. certified status before the first positive certification decision. N/A only when there is a written agreement available between the producer group/company and its client not to identify the GLOBALG.A.P. status of the product and/or the GGN on the transaction documents.			
g)		Are procedures established, documented, and maintained appropriately to the scale of the operation, for identifying incoming certified and non-certified products from members of the group or sites of the Option 1 multisite producer or purchased from different sources (i.e. other producers or traders)? Do records include: • Product description? • GLOBALG.A.P. certification status? • Quantities of product(s) incoming/purchased? • Supplier details? • Copy of the GLOBALG.A.P. certificates, where applicable? • Traceability data/codes related to the incoming/purchased products? • Purchase orders/invoices received by the organization being assessed? • List of approved suppliers?			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
h)		Are sales details of certified and non-certified products recorded, with particular attention to quantities delivered/sold as certified and descriptions provided?			
i)		Are quantities (including information on volumes or weight) of certified and non-certified incoming, outgoing and stored products recorded and a summary maintained so as to facilitate the mass balance verification process? Do the documents demonstrate the consistent balance between certified and non-certified input and the output? Is the frequency of the mass balance verification defined and appropriate to the scale of the operation (but it is done at least annually per product)? Are documents to demonstrate mass balance clearly identified? No N/A.		X	
j)		Do the PHUs included in the QMS certification scope operate procedures which enable registered products to be identifiable and traceable from receipt, through handling, storage and dispatch?			
k)		Are conversion ratios calculated and available for each relevant handling process? Are all generated product waste quantities recorded?			
l)		Is this section audited both internally and externally also at PHU level, while PHUs are in operation?			
QM 9		**WITHDRAWAL OF CERTIFIED PRODUCT**			
a)		Are there documented procedures in place to effectively manage the withdrawal of registered products?			
b)		Do the procedures identify the types of event which may result in a withdrawal, persons responsible for taking decisions on the possible withdrawal of products, describe the mechanism for notifying customers and the GLOBALG.A.P. approved certification body and methods of reconciling stock?			

Nº			Control Points	Complies (yes/no)	N/A	Justification/Comments
	c)		Is the procedure capable of being operated at any time?			
	d)		Is the procedure tested in an appropriate manner at least annually to ensure that it is effective? Are records of the test retained?			
QM	**10**		**SUBCONTRACTORS**			
	a)		Are there procedures to ensure that any services subcontracted to third parties are carried out in accordance with the requirements of the GLOBALG.A.P. Standard (see control point AF 5.1)?			
	b)		Are records maintained to demonstrate that the competency of any subcontractor is assessed and meets the requirements of the standard?			
	c)		Do subcontractors work in accordance with the applicant's QMS and relevant procedures and is this specified in service level agreements or contracts?			
QM	**11**		**REGISTRATION OF ADDITIONAL PRODUCERS OR PMUS TO THE CERTIFICATE**			
	a)		If new producers/production sites are added to the list of approved producers/production sites, are internal approval procedures in accordance wiht the General Regulations Part II being met?			
	b)		Has the group immediately updated the CB on any addition or withdrawal of producers or production sites to/from the list of approved producers?			
QM	**12**		**LOGO USE**			

Nº		Control Points	Complies (yes/no)	N/A	Justification/Comments
a)		Does the producer group/company use the GLOBALG.A.P. word, trademark or logo and the GGN according to the General Regulations and the 'GLOBALG.A.P. Sublicense and Certification agreement'? Are the GLOBALG.A.P. word, trademark, or logo never placed on the final product, on the consumer packaging, or at the point of sale? NOTE: The certificate holder can use any and/or all in business-to-business communication. The GLOBALG.A.P. trademark may be used on Compound Feed Manufacturing (CFM) certified feed, on GLOBALG.A.P. certified plant propagation material, on IFA certified aquaculture inputs (e.g. ova, seedlings, etc.), and on IFA certified livestock inputs (e.g. chicks) that are used as inputs for the production of the final products (as listed in the GLOBALG.A.P. product list), are not intended to be sold to final consumers, and will not appear at the point of sale to final consumers.			
b)		Are the GLOBALG.A.P. word, trademark, or logo not in use during the initial (first ever) audit?			

INTERNAL AUDITOR AND INSPECTOR QUALIFICATIONS AND RESPONSIBILITIES

(For OPTION 2 and OPTION 1 MULTISITES WITH QMS)

* Reference to General Regulations Version 5 Annex II.1

Yes = Full compliance with the requirements

No = Requirements are not fulfilled at all or only partially complied with

All contol points are Major Musts.

N°	Control Points	Complies (yes/no)	N/A	Justification/Comments
QM A	**INTERNAL AUDITOR AND INSPECTOR QUALIFICATIONS AND RESPONSIBILITIES**			
1	**KEY TASKS**			
QM A 1 1	**Inspectors:**			
a)	Do the inspectors undertake inspections of farms (productionsites within a multisite or those of members of a producer group) to assess compliance with the certification requirements?			
b)	Do internal inspectors not perform auditors' tasks?			
c)	Do internal inspectors produce timely and accurate reports on such inspections?			
QM A 1 2	**Auditors:**			
a)	Do internal auditors audit the QMS of the producer group or multisite to assess compliance with the certification requirements?			
b)	Do internal auditors approve the producer members of the group or production sites of the multisite based on inspection reports of the internal inspectors? Are the internal auditors not approving reports of inspections done by themselves?			
c)	Do internal auditors produce timely and accurate reports on such audits?			

N°	Control Points	Complies (yes/no)	N/A	Justification/Comments
2	**QUALIFICATION REQUIREMENTS**			
QM A 2 .1	**Formal Qualifications**			
QM A 2 .1 . 1	Do internal inspectors have 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; **OR** any other high school qualification with 3 years of sector-specific experience (e.g. farm management, including owner operators, in the relevant products, commercial consultant in the relevant product, field experience relevant to specific products) and participation in educational opportunities relevant to their scope of certification?			
QM A 2 .1 . 2	Do internal auditors have 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**; OR** any other highschool qualification with 2 years of experience in quality management systems and 3 years of experience in the relevant sub-scope after qualification?			

N°		Control Points	Complies (yes/no)	N/A	Justification/Comments
QM A 2 .2		**Technical Skills and Qualifications**			
QM A 2 .2 . 1		**Inspector Training**			
		Does sign-off of internal inspectors only occur as a result of:			
	(i)	A one-day practical inspection course setting out basic principles of inspection; AND			
	(ii)	Observing 2 CB or internal inspections by an already qualified inspector, either GLOBALG.A.P. or other, AND 1 succesful shadow inspection by the internal auditor, by a qualified internal inspector or by the CB?			
QM A 2 .2 . 2		**Auditor Training**			
	(i)	Are evidences available regarding the internal auditor's practical knowledge of quality management systems?			
	(ii)	Did the internal auditor completed an internal auditor-training course related to QMS (min. duration 16 hours)?			
QM A 2 .2 . 3		**Do internal inspectors and auditors comply with the following requirements regarding 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 the 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 Crops scope:** Plant protection, fertilizer, and IPM training either as part of formal qualifications, or by the successful completion of a formal course? These trainings should be given by third parties specialized in trainings on these topics. Trainings on product characteristics and handling operations can be internal.			

N°		Control Points	Complies (yes/no)	N/A	Justification/Comments
	(iv)	**For Aquaculture scopes:** Basic veterinary medicine and stockmanship training including animal health and welfare issues?			
	(v)	Do, in all cases, internal inspectors have practical knowledge about the products they are inspecting?			
QM A 2 .3		**Communication Skills**			
	a)	Do inspectors and auditors have “working language” skills in the corresponding native/working language? Does it include the locally used specialist terminology in this working language?			
	b)	Are exceptions to this rule clarified beforehand with the GLOBALG.A.P. Secretariat?			
2 .4		**Independence and Confidentiality**			
	a)	Do auditors and inspectors don't audit their own job? Is their independence controlled and ensured by the QMS (i.e. an internal inspector/auditor cannot evaluate his own operations or a producer he has also consulted in the last 2 years)?			
	b)	Do auditors and inspectors strictly observe the producer group’s/company’s procedures to maintain the confidentiality of information and records?			

PRODUCE HANDLING

(For OPTION 2 or for OPTION 1 MULT-SITES WITH QMS)

* Reference to **HYGIENE IN HARVEST AND POST-HARVEST (PRODUCT HANDLING) ACTIVITIES OF IFA - FRUIT AND VEGETABLES MODULE CHECKLIST**

NOTE: the Minor Musts under FV 5 become Major Musts when inspected centrally (produce handling facility is used for more than one producer). There is currently only one exception for FV 5.7.3, which is a Minor Must control point. However, the group may still be compliant if this point is non-compliant.

Yes = Full compliance with the requirements

No = Requirements are not fulfilled at all or only partially complied with

This section is only relevant for the FRUIT AND VEGETABLES sub-scope and when central produce handling is applicable.

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5	**HYGIENE IN HARVEST AND POST-HARVEST (PRODUCT HANDLING) ACTIVITIES**					
	This section is only applicable to central produce handling in Option 2 and Option 1 multisite with QMS.					
FV 5.1	**Principles of Hygiene (Refer to 'Annex FV 1 GLOBALG.A.P. Guideline: Microbiological Hazards During Growing and Harvest')**					

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.1.1	Has a hygiene risk assessment been performed for the harvest, pre- and post-farm gate transport process, and post-harvest activities including product handling? 	There is a documented hygiene risk assessment covering physical, chemical (incl. allergens) and microbiological contaminants, spillage of bodily fluids (e.g. vomiting, bleeding), and human transmissible diseases, customized to the products and processes. It shall cover all harvest and product handling activities carried out by the producer, as well as personnel, personal effects, equipment, clothing, packaging material, transport, vehicles, and product storage (also short-term storage at farm). Activities during storage and transport shall prevent cross-contamination of produce from agricultural inputs, cleaning agents, or personnel who come directly or indirectly into contact with other sites, animals, or produce. The risk assessment shall define what workers should do with products that fall to the ground or are dropped, excluding produce that grows in the ground (carrots, potatoes, etc.) The hygiene risk assessment shall be tailored to the activities of the farm, the crops, and the technical level of the business and be reviewed every time risks change and at least annually. No N/A.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.1.2	Are there documented hygiene procedures and instructions for the harvest and post-harvest processes including product handling (also when they take place directly on the field, orchard, or greenhouse) designed to prevent contamination of crop, crop production areas, food contact surfaces, and harvested product? 	Based on the risk assessment, there are documented hygiene procedures for the harvesting and post-harvesting processes. The effectiveness of the hygiene procedures in eliminating food safety risks shall be measured. The procedures shall include - evaluating whether workers are fit to return to work after illness. - housekeeping, cleaning, and disinfection, with descriptions of how these activities are implemented, maintained, and monitored.	Major Must			
FV 5.1.3	Are the hygiene procedures and instructions for the harvest and post-harvest activities, including product handling, implemented?	The operation shall nominate the farm manager or other competent person as responsible for the implementation of the hygiene procedures by all workers and visitors. When the risk assessment determines that specific clothing (e.g. smocks, aprons, sleeves, gloves, footwear. See Annex FV 1, 5.4.2) shall be used, it shall be cleaned when it becomes soiled to the point of becoming a risk of contamination, and shall be effectively maintained and stored. Visual evidence shows that no violations of the hygiene instructions and procedures occur. No N/A. Applicable for harvest, handling on field, handling in facility, and storage/cooling.	Major Must		X	

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.1.4	Have workers received specific training in hygiene before harvesting and handling produce?	There shall be evidence that the workers received specific induction and annual training regarding the hygiene procedures for the harvesting and product handling activities. Workers shall be trained using written (in appropriate languages) and/or pictorial instructions to prevent physical (e.g. snails, stones, insects, knives, fruit residues, watches, mobile phones, etc.), microbiological and chemical contamination of the product during harvesting. Training records and evidence of attendance shall be available. Applicable for harvest, handling on field, handling in facility, and storage/cooling.	Major Must			
FV 5.1.5	Are signs that communicate the primary hygiene instructions to workers and visitors, including at least instructions to workers, to wash their hands before returning to work clearly displayed?	Signs with the main hygiene instructions shall be visibly displayed in the relevant locations and include clear instructions that hands shall be washed before handling produce. Workers handling ready to eat products shall wash their hands prior to start of work, after each visit to a toilet, after handling contaminated material, after smoking or eating, after breaks, prior to returning to work, and at any other time when their hands may have become a source of contamination. Applicable for harvest, handling on field, handling in facility, and storage/cooling.	Major Must			

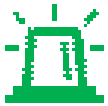
Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.1.6	Are smoking, eating, chewing and drinking confined to designated areas segregated from growing areas and products?	Smoking, eating, chewing, and drinking are confined to designated areas away from crops awaiting harvest and are never permitted in the produce handling or storage areas, unless indicated otherwise by the hygiene risk assessment. (Drinking water is the exception). Applicable for harvest, handling on field, handling in facility, and storage/cooling.	Major Must			
FV 5.1.7 NEW	Are vehicles used for transport of harvested produce and/or packed product and any equipment used for loading, cleaned, and maintained where necessary according to risk?	Farm vehicles used for loading and transport of harvested produce and/or packed products are cleaned and maintained so as to prevent produce contamination (e.g. soil, dirt, animal manure, spills, etc.).	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.2	**Sanitary Facilities**					
FV 5.2.3	Do workers handling the product on the field or in a facility have access to clean toilets and hand-washing facilities in the vicinity of their work?	Hand washing facilities, containing non-perfumed soap, water to clean and disinfect hands, and hand-drying facilities shall be accessible and near to the toilets (as near as possible without the potential for cross-contamination). Workers shall wash their hands prior to start of work, after each visit to a toilet, after using a handkerchief/tissue, after handling contaminated material, after smoking, eating, or drinking, after breaks, prior to returning to work, and at any other time when their hands may have become a source of contamination. When handling takes place in a facility, toilets shall be maintained in a good state of hygiene, and shall not open directly onto the produce handling area, unless the door is self-closing. Applicable for handling on field and handling in facility.	Major Must			
FV 5.2.4	Are the harvest containers used exclusively for produce and are these containers, the tools used for harvesting and the harvest equipment appropriate for their intended use and cleaned, maintained and able to protect the product from contamination?	Reusable harvesting containers, harvesting tools (e.g. scissors, knives, pruning shears, etc.) and harvesting equipment (e.g. machinery) are cleaned and maintained. A documented cleaning (and, when indicated by the risk assessment, disinfection) schedule is in place to prevent produce contamination. Produce containers are only used to contain harvested product (i.e. no agricultural chemicals, lubricants, oil, cleaning chemicals, plant or other debris, lunch bags, tools, etc.). Applicable for harvest.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.2.5	Are there suitable changing facilities for the workers?	The changing facilities should be used to change clothing and protective outer garments as required. Applicable for harvest, handling on field, handling in facility, and storage/cooling.	Recom.			
FV 5.2.6	Are vehicles used for transport of harvested produce and/or packed product and any equipment used for loading, cleaned and maintained where necessary according to risk?	Farm vehicles used for loading and transport of harvested produce and/or packed products are cleaned and maintained so as to prevent produce contamination (e.g. soil, dirt, animal manure, spills, etc.). Applicable for harvest.	Major Must			
FV 5.3	**Water Quality**					
FV 5.3.1 	If ice, water, and/or steam is used during any operations relating to harvest or cooling, does it meet the microbial standards for drinking water, and is it handled under sanitary conditions to prevent produce contamination?	Any ice, water, and/or steam used in relation to harvest or cooling shall meet microbial standards for drinking water and shall be handled under sanitary conditions to prevent produce contamination. The only exception is in the case of cranberry fields that are harvested by flooding, where producers shall at a minimum guarantee that the water is not a source of microbiological contamination.	Major Must			
FV 5.3.2 	Is water not intended for use in food production, if available on site, managed to minimize food safety risks?	If water from an untested source (e.g. rain water collection, cisterns, etc.) is stored on site or near the handling area, it shall be labeled as not for food handling use. Workers shall be trained on what applications of the water are allowed (e.g. watering lawns, washing external windows, etc.).	Major Must			

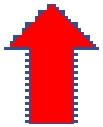
Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.4	**Packing and Storage Areas (N/A when there is no product packing and/or storing)**					
FV 5.4.1	Is harvested produce protected from contamination?	All harvested produce (regardless stored bulk or packed) shall be protected from contamination. In the case of produce packed and handled directly in the field, it shall all be removed from the field during the day (not stored on the field overnight in open-air conditions), in accordance with the harvest hygiene risk assessment results. Food safety requirements shall be complied with if produce is stored on a short time basis at the farm. Applicable for storage/cooling.	Major Must			
FV 5.4.2	Are all collection/storage/distribution points of packed produce, also those in the field, maintained in clean and hygienic conditions?	To prevent contamination, all on- and off-farm storage and produce handling facilities and equipment (i.e. process lines and machinery, walls, floors, storage areas, etc.) shall be cleaned and/or maintained according to a documented cleaning and maintenance schedule that includes defined minimum frequency. Records of cleaning and maintenance shall be kept. Applicable for handling on field, handling in facility, and storage/cooling.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.4.3	Are packing materials appropriate for use, and are they used and stored in clean and hygienic conditions so as to prevent them from becoming a source of contamination?	Packaging material used shall be appropriate for the food safety of the products packed. To prevent product contamination, packing materials (including re-useable crates) shall be stored in a clean and hygienic area. Applicable for handling on field, handling in facility, and storage/cooling.	Major Must			
FV 5.4.5	Are cleaning agents, lubricants, etc. stored to prevent chemical contamination of produce?	To avoid chemical contamination of produce, cleaning agents, lubricants etc. shall be kept in a designated secure area, away from produce. Applicable for handling in facility and storage/cooling.	Major Must			
FV 5.4.6	Are cleaning agents, lubricants, etc. that may come into contact with produce approved for application in the food industry? Are label instructions followed correctly?	Documented evidence exists (i.e. specific label mention or technical data sheet) authorizing use for the food industry of cleaning agents, lubricants etc. that may come into contact with produce. Applicable for handling on field, handling in facility and storage/cooling.	Major Must			
FV 5.4.7	Are all forklifts and other driven transport trolleys clean and well maintained and of a suitable type to avoid contamination through emissions?	Internal transport should be maintained in a manner to avoid produce contamination, with special attention to fume emissions. Forklifts and other driven transport trolleys should be electric or gas-driven. Applicable for handling in facility and storage/cooling.	Major Must 			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.4.8	Is rejected and contaminated produce not introduced in the supply chain and is waste material effectively controlled in a way that it does not pose a risk of contamination? 	Produce that poses a microbial food safety hazard is not harvested or is culled. Culled produce and waste materials are stored in clearly designated and segregated areas designed to avoid contamination of products. These areas are routinely cleaned and/or disinfected according to the cleaning schedule. Only daily accumulations of rejected produce and waste materials are acceptable. Applicable for handling on field, handling in facility, and storage/cooling.	Major Must			
FV 5.4.9	Are breakage safe lamps and/or lamps with a protective cap used above the sorting, weighing and storage area?	In case of breakage, light bulbs and fixtures suspended above produce or material used for produce handling are of a safety type or are protected/shielded so as to prevent food contamination. Applicable for handling on field, handling in facility, and storage/cooling.	Major Must			
FV 5.4.10	Are there written procedures for handling glass and clear hard plastic in place?	Written procedures exist for handling glass and/or clear hard plastic breakages, which could be a source of physical contamination and/or damage the product (e.g. in greenhouses, produce handling, preparation and storage areas). Applicable for harvest, handling on field, handling in facility, and storage/cooling.	Major Must			
FV 5.5	**Temperature, Humidity, Air and Compressed Gasses**					

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.5.1	Are temperature and humidity controls (where applicable) maintained and documented?	If produce is stored either on-farm or in a packinghouse, temperature and humidity controls (where necessary to comply with quality requirements and also for controlled atmosphere storage) shall be maintained and documented. Applicable for handling in facility, and storage/cooling.	Major Must			
FV 5.5.2 NEW	Are air and compressed gasses which could impact food safety regularly monitored, adequately stored, and handled in order to minimize food safety risks?	Testing of compressed air or gas systems shall be conducted at a frequency determined by the risk assessment, which may range from no testing to routine testing intervals. If the risk assessment determines that testing is necessary, testing shall be conducted at least annually.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.6	**Pest Control**					
FV 5.6.1	Is there a system for monitoring and correcting pest populations in the packing and storing areas?	Producers shall implement measures to control pest populations in the packing and storing areas appropriate to the farm condition. No N/A. Applicable for handling in facility and storage/cooling.	Major Must		X	
FV 5.6.2	Is there visual evidence that the pest monitoring and correcting process are effective?	A visual assessment shows that the pest monitoring and correcting process are effective. No N/A. Applicable for handling on field, handling in facility, and storage/cooling.	Major Must		X	
FV 5.6.3	Are detailed records kept of pest control inspections and necessary actions taken?	Monitoring is scheduled and there are records of pest control inspections and follow-up action plan(s). Applicable for handling on field, handling in facility, and storage/cooling.	Major Must			
FV 5.7	**Post-Harvest Washing (N/A when no post-harvest washing)**					
FV 5.7.1	Is the source of water used for final product washing potable or declared suitable by the competent authorities?	The water has been declared suitable by the competent authorities and/or a water analysis has been carried out at the point of entry into the washing machinery within the last 12 months. The levels of the parameters analyzed are within accepted WHO thresholds or are accepted as safe for the food industry by the competent authorities. Applicable for handling on field and handling in facility.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.7.2	If water is re-circulated for final product washing, has this water been filtered and are pH, concentration and exposure levels to disinfectant routinely monitored?	Where water is re-circulated for final produce washing (i.e. no further washing done by the producer before the product is sold), it is filtered and disinfected, and pH, concentration, and exposure levels to disinfectant are routinely monitored. Records are maintained. Filtering shall be done using an effective system for solids and suspensions that have a documented routine cleaning schedule according to usage rates and water volume. Where recording of automatic filter backwash events and changes in dosage rates by automated sanitizer injectors may be impossible, a written procedure/policy shall explain the process. Applicable for handling on field and handling in facility.	Major Must			
FV 5.7.3	Is the laboratory carrying out the water analysis a suitable one?	The water analysis for the product washing is undertaken by a laboratory currently accredited to ISO 17025 or its national equivalent or one that can demonstrate via documentation that it is in the process of gaining accreditation. Applicable for handling on field and handling in facility.	Major Must 			
FV 5.8	**Post-Harvest Treatments (N/A when no post-harvest treatments) Applicable for handling on field and handling in facility.**					
FV 5.8.1	Are all label instructions observed?	There are clear procedures and documentation available, (e.g. application records for post-harvest biocides, waxes and plant protection products) that demonstrate compliance with the label instructions for chemicals applied.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.8.2	Are all the biocides, waxes and plant protection products used for post-harvest protection of the harvested crop officially registered in the country of use?	All the post-harvest biocides, waxes and plant protection products used on harvested crop are officially registered or permitted by the appropriate governmental organization in the country of application. They are approved for use in the country of application and are approved for use on the harvested crop to which they are applied as indicated on the labels of the biocides, waxes and crop protection products. Where no official registration scheme exists, refer to 'Annex CB 3 GLOBALG.A.P. Guideline: Plant Protection Product Use in Countries that Allow Extrapolation') on this subject and the 'FAO International Code of Conduct on the Distribution and Use of Pesticides'.	Major Must			
FV 5.8.3	Is an up-to-date list maintained of post-harvest plant protection products that are used, and approved for use, on crops being grown?	An up-to-date documented list that takes into account any changes in local and national legislation for biocides, waxes and plant protection products is available for the commercial brand names (including any active ingredient composition) that are used as post-harvest plant protection products for produce grown on the farm under GLOBALG.A.P. within the last 12 months. No N/A.	Major Must		X	

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.8.4	Is the technically responsible person for the application of post-harvest plant protection products able to demonstrate competence and knowledge with regard to the application of biocides, waxes and plant protection products?	The technically responsible person for the post-harvest biocides, waxes and plant protection products applications can demonstrate a sufficient level of technical competence via nationally recognized certificates or formal training.	Major Must			
FV 5.8.5	Is the source of water used for post-harvest treatments potable or declared suitable by the competent authorities?	The water has been declared suitable by the competent authorities and/or within the last 12 months a water analysis has been carried out at the point of entry into the washing machinery. The levels of the parameters analyzed are within accepted WHO thresholds or are accepted as safe for the food industry by the competent authorities.	Major Must			
FV 5.8.6	Are the biocides, waxes and plant protection products used for post-harvest treatment stored away from produce and other materials?	To avoid the chemical contamination of the produce, biocides, waxes and plant protection products etc. are kept in a designated secure area, away from the produce.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.8.7	Are all records of post-harvest treatments maintained and do they include the minimum criteria listed below? • Identity of harvested crops (i.e. lot or batch of produce) • Location • Application dates • Type of treatment • Product trade name and active ingredient • Product quantity	The following information is recorded in all records of post-harvest biocide, wax, and plant protection product applications: • The lot or batch of harvested crop treated. • The geographical area, the name or reference of the farm, or harvested crop-handling site where the treatment was undertaken. • The exact dates (day/month/year) of the applications. • The type of treatment used for product application (e.g. spraying, drenching, gassing etc.). • The complete trade name (including formulation) and active ingredient or beneficial organism with scientific name. The active ingredient shall be recorded or it shall be possible to connect the trade name information to the active ingredient. • The amount of product applied in weight or volume per liter of water or other carrier medium No N/A.	Major Must			
	Are records of all post-harvest treatments kept and do they also include the following criteria:					
FV 5.8.8	Name of the operator?	The name of the operator who has applied the plant protection product to the harvested produce is documented in all records of post-harvest biocide, wax and plant protection product applications.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.8.9	Justification for application?	The common name of the pest/disease to be treated is documented in all records of post-harvest biocide, wax and plant protection product applications.	Major Must			
FV 5.8.10	Are all of the post-harvest plant protection product applications also considered under points CB 7.6?	There is documented evidence to demonstrate that the producer considers all post-harvest biocides and plant protection products applications under Control Point CB 7.6, and acts accordingly.	Major Must			
FV 5.9	**Environmental Monitoring**					
FV 5.9.1 NEW	Has a risk-based environmental monitoring program been established?	A risk-based approach shall be in place to define the microbiological environmental monitoring program which shall be established, implemented, and maintained to reduce the risk of food contamination. The environmental monitoring program may rely on water test results or may include additional activities such as swabbing for pathogens. This control point does not require swabbing for compliance.	Major Must			
FV 5.10	**Labeling**					
FV 5.10.1	Is product labeling, where final packing takes place, done according to the applicable food regulations in the country of intended sale and according to any customer specifications?	Where final packing takes place, product labeling shall follow the applicable food regulations in the country of intended sale and any customer specifications.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
FV 5.10.2	Where the risk assessment indicates potential food allergen cross-contamination, are the products labeled to identify them?	Where the risk assessment indicates potential cross-contamination, the product shall be labeled according to country of production and destination legislation regarding food allergens. Cross-contamination risk (potential and intentional) shall be considered where food allergens have, for example, been packed on the same line or using the same equipment. Harvesting and packing equipment and personal protective equipment shall also be considered (cross-reference with AF 1.2.1, AF 1.2.2, Annex AF 2, and FV 5.1.1).	Major Must			
FV 5.11	**Stock and Finished Product Management**					
FV 5.11.1 NEW	Are finished product, work in progress, and all other materials used in the correct order and within the allocated shelf life if applicable?	Finished product should be managed so that product is shipped and moved to customers in the correct order. A procedure shall be established, implemented, and maintained. The same first-in first-out procedure should apply to all purchased materials, work in progress, and finished products, ensuring use within the allocated shelf life if applicable.	Major Must			

ANNEX CB 5 GLOBALG.A.P. GUIDELINE: CB 7.6.3 MAXIMUM RESIDUE LIMIT EXCEEDANCE RISK

Reference to Annex CB 5 B) Mandatory Minimum Criteria of a Residue Monitoring System (RMS)

RMS - RESIDUE MONITORING SYSTEM
Notes and Instructions In the framework of GLOBALG.A.P. control point and compliance criterion CB 7.6.4 and based on the outcome of the risk assessment, residue analysis, or participation in a second- or third-party plant protection product (PPP) residue monitoring system is required. In order to ensure a harmonized interpretation and level of consistency across the residue monitoring systems used by producers, the below control points and compliance criteria have been established as the minimum requirements that all residue monitoring systems shall comply with in order to be considered compliant with the GLOBALG.A.P. requirements. The Residue Monitoring System is available to all certification options. NOTE: For Option 2, the internal register must identify which producer group's members/sites, including which GGNs, are covered under the RMS program. For Option 1 producers, participation in an RMS program must be evident at farm level; producers may show evidence of participation through program list, agreement, or other information as provided by the RMS operator. 1. The CB must provide the RMS evaluation including justification for all control points to the RMS operator/provider. 2. The RMS evaluation shall take place prior to or as close as possible to the first certification or annual re-certification inspection/audit of producers participating in the RMS program. 3. The RMS operator/provider may distribute the evaluation report to all RMS participant producers, directly to other CBs inspecting/auditing producer participants prior to additional producer inspections, or upload to a national/regional posting site for RMS programs, if available. For example, multiple CBs in a country or in a region may agree to publish the evaluated RMS with the help of the local National Technical Working Group (NTWG).

Definition of first-, second-, and third-party sampling:
1. First-party sampling: When producers (Option 1) or producer group members (Option 2 member) take the product sample from their own production. For IFA certification, first-party sampling (self-sampling) is acceptable, but an RMS cannot be based on first-party sampling.

2. Second-party sampling body: The sampling organization is a second-party sampling body if it is a separate, but identifiable part of an organization that is involved in production, supply, purchase, and/or ownership of the products sampled by the RMS (e.g. the option 2 QMS runs an RMS for its members; a customer's sampling program for its supplier, an independent laboratory runs an RMS). Second-party sampling bodies supply sampling services only to their related organization. A second-party sampling body may form a part of a user or supplier organization, or an intermediate or end customer of the products sampled.

3. Third-party sampling body: The sampling organization is a third-party sampling body if it is a separate organization that is not involved in production, supply, purchase, or ownership of the products sampled (e.g. an independent company, an inspection body, or a CB runs an RMS). It shall demonstrate that it does not have common ownership with the sampled producer, nor have common ownership appointees on the boards (or equivalent) of the organizations, is not directly reporting to the same higher level of management, does not have contractual arrangements, informal understandings, or other means that may have an ability to influence the outcome of the sampling.

If an RMS uses different combinations of the above, it shall be classified according to the lower level (e.g. if an RMS is using partly second- and partly third-party sampling, it shall be classified as a 2nd party sampling RMS).

When a CB publishes its evaluated RMS, the following needs to be included as a minimum:
1. Residue monitoring system name
2. Certification body performing the evaluation
3. Sampling type (second-party sampling / third-party sampling)
4. Link or contact details where to get information on producers/GGNs under the scope of the RMS
5. Territorial scope of activity (i.e.: country)
6. Date of evaluation and validity (valid from and valid to date)
Multiple CBs in a country or in a region may agree to publish the evaluated RMS with the help of the local National Technical Working Group (NTWG).

General Information	Justification/Comment
Operator/provider of RMS:	
RMS responsible person:	
RMS sample type (second- or third-Party):	
Link or contact details where to get information of producers/GGNs under the scope of the RMS:	
Scope (products, etc.):	
Territorial scope of activity (i.e.: country):	
Total number of participating producer members:	
Certification body and auditor:	
Evaluation date and validity (valid from and valid to date):	
Audit duration per day (in hours):	

Residue Monitoring System Evaluation Checklist

Yes = Full compliance with the requirements
No = Requirements are not fulfilled at all or only partially complied with

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
B 1	**Basic Requirements**					
1.1	Does the RMS demonstrate that maximum residue levels (MRLs) information is available for the country/countries of destination for all products included in the RMS program?	The objective of the residue monitoring system is to provide evidence that the use of plant protection products by producers complies with the MRLs in the country of destination of the produce.	Major Must			
1.2	Is there evidence that the RMS operates independently from the participating producer(s)?	The system shall be independent from the participating producer(s). A producer group as defined by GLOBALG.A.P. is allowed to operate its own monitoring system.	Major Must			
1.3	Is a register maintained identifying all participating producers and producer information or other available documented evidence with producer data (e.g. contract)?	The operator of the monitoring system shall keep current data of the participating producers. This data shall at a minimum include producer name, identification code or GGN where available, address, and crop specifications (i.e. product and area).	Major Must			
1.4	Are signed agreements available between the RMS operator and each participating producer?	The RMS operator and the participating producer shall have a mutual agreement on service conditions (e.g. a signed application form). These conditions shall specify rights and duties regarding the usage of the monitoring system.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
1.5	Is documentation available, which clearly demonstrates the scope of the RMS program per producer and per GLOBALG.A.P. registered crop?	Registration is producer- and crop-specific.The producer needs to arrange other sampling means for those products not included in the RMS and the CB needs to evaluate that during the inspection accordingly.	Major Must			
B 2	**Risk Assessment**					
2.1	Does the RMS operator have a written risk assessment to determine if the registered products will be compliant with the MRLs in the country/countries of destination?	A risk assessment shall be carried out by the operator of the RMS, not by each producer participating in it.	Major Must			
2.2	Does the risk assessment appropriately reflect the production conditions of the participating producers and take all relevant factors into consideration?	The risk assessment shall take all relevant factors into consideration (e.g. crop/product, climatic conditions, history, active ingredients (AI), size of company and number of production sites, continuous harvest, country of production, plant protection product (PPP) registration restrictions, country of destination, MRLs, etc.). Reference to sources (data) as evidence for an adequate risk analysis is required. The most critical period and locations should be determined for each crop.	Major Must			
2.3	Based on the risk assessment, is the determined sampling frequency sufficient considering the extent of the products and production practices (active ingredients, sample timing, post-harvest applications, continual sampling, etc.)?	The sampling frequency (number of samples to be taken per crop per season) shall be based on this risk analysis and clearly described. (CB 7.6.4 and this same Annex CB 5 above).	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
2.4	Does the RMS determine the analysis methods and is the range of active ingredients to be analyzed defined on the basis of a crop-specific risk assessment?	The analysis method to be used by the laboratories shall be determined. The range of active ingredients to be analyzed by the laboratory shall be defined based on a crop-specific risk assessment. The risk assessment shall take into consideration: • PPPs that could have been applied on the crop; • PPPs actually applied; • Any other contaminants (e.g. persistent environmental residues).	Major Must			
2.5	Is there an annual monitoring plan based on the annual risk assessment?	The risk assessment shall be carried out annually and result in an annual monitoring plan that includes the products, number of participants, number of samples, period of sampling, and type of analysis.	Major Must			
B 3	**Sample Taking**					
3.1	Are correct sampling procedures followed?	Sampling shall take place according to the instructions of the EU Directive 2002/63/EC or other applicable local regulations. Where these do not exist, ISO 7002 ('Agricultural Products'), ISO 874 ('Fresh Fruit and Vegetables'), or Codex Alimentarius CAC /GL 33-1999 shall be followed.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
3.2	Are records of sampling maintained and traceable back to the producer and production site where samples are from?	Inert bags shall be used which shall be identified correctly (CB 7.6.5 and Annex CB 5). Samples shall be traceable to individual producers. Preferably, the sampling location shall also be recorded (e.g. lot number, field number, greenhouse number, etc.). Mixed or pool of samples that contains sampled materials from more producers in sample is not allowed.	Major Must			
3.3	Do RMS sampling procedures and records demonstrate samples are taken at or as close to harvest as possible?	Sampling shall take place from harvestable or harvested produce.	Major Must			
B 4	**Testing Results**					
4.1	Is the laboratory used for residue sampling accredited by a competent authority to ISO 17025 or equivalent standard?	The laboratory that carries out the produce analysis shall be ISO 17025 accredited for the relevant testing methods (e.g. GCMS, LCMS). See CB 7.6.6 and Annex CB 5).	Minor Must			
4.2	Are the test results compared to the MRL requirements of country(ies) of destination?	The test results shall be compared with the applicable legislation (country of production and/or country of destination).	Major Must			
4.3	Are procedures in place and complied with for the RMS Operator to communicate analysis results to the sampled producer?	The test results shall always be reported in writing to the producer concerned. Original analysis results shall be available to the sampled producer.	Major Must			
4.4	Are the analysis results traceable to the farm/location?	Test results shall be traceable to the farm concerned. Tests carried out by the producer's client are only valid if they are traceable to the producer.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
B 5	**Plan of Action**					
5.1	Is a documented action plan in place in the event of an MRL exceedance for the product country(ies) of destination?	Producers shall have a procedure (action plan) for situations when MRLs are exceeded or use of illegal/not approved plant protection products is detected. This procedure can be part of AF 9.1 'Recall/Withdrawal Procedure'.	Major Must			
5.2	Does the producer keep records of all actions carried out in connection with incidences related to plant protection product residues?	Producers shall keep records of all actions carried out in connection with incidences related to plant protection product residues.	Major Must			
5.3	Does the RMS inform the producer and the CB in case of an exceedance of the legal limit?	The RMS shall inform the producer and the CB in case of an exceedance of the legal limit. This shall not lead to an automatic sanctioning of the producer; however, the CB shall investigate each case.	Major Must			
B 6	**Records**					
6.1	Are the records of the RMS kept for a minimum of 2 years?	Records (e.g. test results, correspondence with producer and, if applicable, actions taken because of non-compliances) shall be kept for a minimum of 2 years.	Major Must			

Nº	Control Points	Compliance Criteria	Level	Complies (yes/no)	N/A	Justification/Comments
6.2	Are records in place for meeting the RMS requirements?	Records shall include: i. System documentation including the risk assessments; ii. Annual update of the risk assessments; including the determination analysis method, the list of active ingredients to be analyzed; iii. The annual monitoring plan; iv. Analysis reports; v. Records of follow up actions; vi. Communication with producers; vii. Annual summary of the result.	Major Must			
6.3	Are RMS procedures and records available during the audit or made available during the producer inspection?	Producers do not need to keep the records on the farm but they shall be available during the audit (e.g. made available by the RMS operator on request).	Major Must			

Summary and Conclusion						
1. Inspection of Producer Group Members/Production Sites						
1.1 List of inspected producers/production sites						
Use additional sheets if required						
N°	**Date**	**Name of Producer/Production Site**	**Modules Covered**	**Announced/ Surveillance**	**List Non-Compliances per Inspected Producer/Production site.**	**CB Auditor/ Inspector**
1 **2** **3** **4** **5** **6** **7** **8**						
2. Acceptance of Report by Auditee						
Date		**Name of Responsible Person (Auditee)**	**Signature**			
3. Name and Signature of the Auditor						
Date		**Name of Auditor**	**Signature**			
Status of the report (e.g. final, not final - waiting for corrections, others):						
Annexes to this report (e.g. non conformance forms):						
4. Review of the Audit/Inspection Report by CB Technical Reviewer						
Date		**Name of Certifier/Reviewer**	**Signature**			

VERSION/EDITION UPDATE REGISTER

New Document	Replaced Document	Date of Publication	Description of Modifications
160630_GG_IFA_QMS_CL_V5_0-2_en	150804_GG_IFA_QMS_CL_V5-0_en	1 July 2016	Contents: site(s) changed to unit(s); QMS 1.3.1 – numbering corrected; QMS 6 – numbering corrected; QMS 10 a) – reference corrected; PH - FV 5.8.2 – reference corrected.
160725_GG_IFA_QMS_CL_V5_0-2_en	160630_GG_IFA_QMS_CL_V5_0-2_en	25 July 2016	FV 5.1.1 CC – one word added to second paragraph; FV 5.1.6 CC – one word added to second paragraph; FV 5.4.5 CC – text deleted; FV 5.5.1 CC – text deleted;
170630_GG_IFA_QMSCL_PH_V5_1_protected_en	160725_GG_IFA_QMSCL_PH_V5_0-2_protected_en	1 July 2017	QMS, QM 2.2 a) – reference corrected; QMS, QM 8 d) – change of wording; PH – text added to Note above table; FV 5.7.3 – level change from Recom. to Minor Must
170707_GG_IFA_QMSCL_PH_V5_1_protected_en	170630_GG_IFA_QMSCL_PH_V5_1_protected_en	7 July 2017	QMS, QM 8 d) – correction to be aligned with General Regulations Part I and Part II
190201_GG_IFA_QMSCL_PH_V5_2_protected_en	170707_GG_IFA_QMSCL_PH_V5_1_protected_en	1 February 2019	General Informaiton – question added, start and end time of audits added Food Safety Policy Declaration and Inspection Notes – layout changed for better readability QM 1.2.1 (iii) – updated according to General Regulations Part II QM 1.3(ii) – new clause FV 5.1.1 – text added for clarification FV 5.2.6 – modification of CPCC FV 5.7.2 CC – text added for clarification FV 5.9 – two new control points and compliance criteria added

New Document	Replaced Document	Date of Publication	Description of Modifications
190321_GG_IFA_QMSCL_PH_V5_2-1_protected_en	190201_GG_IFA_QMSCL_PH_V5_2_protected_en	21 March 2019	Cover – revision update General Information – RMS and Annex II.2 added RMS Tab – RMS Checklist added
200221_GG_IFA_QMSCL_PH_V5_3-GFS_protected_en	190321_GG_IFA_QMSCL_PH_V5_2-1_protected_en	21 February 2020	2.1 b) – added text on management review
200930_GG_IFA_QMSCL_PH_V5_4-GFS_protected_en	200221_GG_IFA_QMSCL_PH_V5_3-GFS_protected_en	30 September 2020	2.1 b) – clarification added 2.1 d) – clarification added to first bullet point 2.2 b) – clarification added to first and second bullet point 2.2 d) – clarification added 2.2 e) – removed reference to legal regulations 3.2.a) – clarification added 11 d) – clarification for high-risk products added Annex II.1, 2.2.3 iv – removed reference to livestock FV 5.1.1 – clarifying language added FV 5.1.2 – clarifying language added FV 5.1.7 – new control point (former FV 5.2.6 in v5.3-GFS) FV 5.3.1 – clarifying language added FV 5.3.2 – new control point FV 5.4.7 – changed to Major Must FV 5.4.8 – clarifying language added FV 5.5 – section title modified FV 5.5.2 – new control point FV 5.7.3 – changed to Major Must FV 5.9 – new section, numbering after section 5.9 changed FV 5.9.1 – new control point FV 5.11 – new section FV 5.11.1 – new control point

New Document	Replaced Document	Date of Publication	Description of Modifications
211027_GG_IFA_QMSCL_PH_V5_4-1-GFS_protected_en	200930_GG_IFA_QMSCL_PH_V5_4-GFS_protected_en	27 October 2021	Food Safety Policy Declaration - text added

If you want to receive more information on the modifications in this document, please contact the GLOBALG.A.P. Secretariat at translation_support@globalgap.org

When the changes do not introduce new requirements to the standard, the version will remain “5.0” and an edition update shall be indicated with “5.0-x”. When the changes do affect compliance with the standard, the version name will change to “5.x”. A new version, e.g. V6.0, V7, etc., will always affect the accreditation of the standard.