

APPLICATION INFORMATION

A. Benchmark Assessment Team and Date

Certification programme information	
Certification programme Name(s)	GLOBALG.A.P. IFA version 5.2 for crops sub-scope HOP Produce Handling Assurance (PHA) Standard Produce Safety Assurance (PSAS) Standard
Certification programme owner name and address	GLOBALG.A.P. c/o FoodPLUS GmbH Spichernstrasse 55, 50672 Cologne, GERMANY
Certification programme owner name, email, contact number	FoodPLUS GmbH Dr. Möller, Kristian moeller@globalgap.org +49 221 57776 -776
Date of previous application if application	
Benchmark Leader name and contact details	Katharine Smithers katharinesmithers@hotmail.com
GFSI Technical Manager name	Giovanna Ordonez
Observers name	none
Interpreter's name (if applicable)	none
Date of this office assessment	7-8/11/2019
Language (e.g. English or other)	English

B. Benchmark Assessment Scopes

GFSI Scopes of Recognition		Scopes of Recognition Applied For	Final Valid Scopes of Recognition
AI	Farming of Animals		
AI	Farming of Fish		
BI	Farming of Plants	X	
BII	Farming of Grains and Pulses		
C	Animal Conversion		
D	Pre-process Handling of Plant Products	X	
E I	Processing of Perishable Animal Products		

E II	Processing of Perishable Plant Products		
E III	Processing of Perishable Animal and Plant Products (Mixed Products)		
E IV	Processing of Ambient Stable Products		
FI	Production of Feed		
L	Production of (Bio) Chemicals		
M	Production of Food Packaging		

EXECUTIVE SUMMARY AND RECOMMENDATIONS TO THE BOARD

A. Summary of Assessment

Results of the self-assessment and office visit.

The GFSI assessment was conducted to evaluate the GLOBAL.G.A.P. certification program for compliance GFSI Benchmarking Requirements version 7.2 –for the following additional standards:

- IFA version 5.2 for crops sub-scope HOP
- Produce Handling Assurance (PHA) Standard
- Produce Safety Assurance (PSAS) Standard

Self-assessments were submitted for GFSI Part III only, as the standards were following the Requirements for the Management of Programmes (Part II), as this had already been through the recognition process.

A conference call to discuss the findings of the review was conducted on 18th October 2019.

During the conference call, The PHA document review was discussed, the HOP was discussed to a limited amount as there were several areas where additional references were required, and this was also the case to a greater extent for the Produce Safety Assurance standard.

The desktop reviews continued to be completed and updated prior to the office assessment. In conduction with the additional standards to be recognised the update from version 7.1 to 7.2 for the already recognised standards occurred, with a desktop review. (The update in version for recognised schemes were reported separately)

An agenda was sent and accepted by the CPO. The office visit was conducted on 7-8 November 2019 by the BL and with the GFSI TM in attendance. The office visit as detailed above included the update from version 7.1 to 7.2. At the end of day 1 as GLOBAL.G.A.P. confirmed that as no certificates had been issued for the PSAS standard, the CPO confirmed that they would remove their application for this standard.

The office assessment achieved the objective of verifying compliance to the GFSI Benchmarking Requirements Part II, with the exception of the five nonconformities raised and three nonconformities raised to GFSI Part III. One non conformity was raised against the application process. It is noted that one of the nonconformities was raised with the CPO after the office assessment on 15th November 2019 after further advice from the GFSI senior Technical Manager. It was also confirmed after the office visit, that as no certification bodies had been accredited for the PHA standard, that the benchmarking recognition would stop at this stage.

The findings (list of issues raised) were signed by all three parties CPO, BL and GFSI TM. (with the exception of the nonconformity raised on 15/11/19).

The findings are summarised by:

- 10 certificates had not yet been issued in the HOP scheme.
- The requirement to inform GFSI TM of updates to scheme and standard requirements
- The requirement for a management review for multi sites, and that no sampling should occur for multi sites with high risk products.
- The acceptance of non-CPO audits as part of the approval process for auditors.

Considering the type of findings, the timelines for the submission of the CAP was confirmed for 15 days.

The CPO when responding to the findings raised a number of comments. These comments were provided to the Technical Committee for review. This resulted with the CPO being requested to provide a corrective action plan by the 20th December 2019. The CPO complied with this request. The corrective action plan was reviewed and accepted by the Benchmark leader on 8th January 2020. The responses were presented to the Technical committee on 10th January 2020. At this meeting the TC requested that the publication of draft documents was completed by 22nd February 2020. The CPO confirmed that this timeline would be met, by sending a letter of acknowledgment of the date of publication on their website.

Results of the stakeholder consultation.

Placeholder

- 1) Placeholder
- 2) Placeholder

Placeholder:

- > Placeholder
- > Placeholder

B. Recommendations to the GFSI Board

Placeholder.

Placeholder

- 1) Placeholder
- 2) Placeholder

RESULTS OF ASSESSMENT AND OFFICE VISIT

A. Executive Summary

GLOBAL.G.A.P. is a certification program that is GFSI recognised for: IFA version 5.2 for crops -fruit and Vegetable and Aquaculture. The IFA HOP 5.2 sub-scope was the standard that was reviewed for recognition during the benchmarking process.

According to the figures extracted from the database at the time of the audit there were 18 HOP certificates that had been issued to the previous version of the standard. There were 2 accredited certification bodies. 15 Auditors had been approved to audit the standard. Accreditation Bodies are members of the International Accreditation Forum (IAF) members and signatories to the Multilateral Recognition Arrangement (MLA). The CPO has signed memorandums of understanding with the International Accreditation Forum (IAF).

The development of the standard included the North American User Group. The standard had been approved by the Technical Committee. The minutes of the meeting were available for review and the process of development could be tracked

GLOBAL.G.A.P. has a robust Integrity Program, and although the HOP standard has limited certificate numbers compared to over 51,000 certificates in the IFA scope for Fruit and Vegetables, it could be demonstrated that it had been included in the Integrity Program. CBs are rated according to their performances and the outcome of this assessment is available on the CPO database. The ABs also obtain the Integrity Program assessment reports from GLOBAL.G.A.P.

Auditors are registered in a Database. Records were provided for the auditors to demonstrate the required qualifications. A demonstration of process of for auditors to undertake the GFSI Knowledge exam was provided during the assessment. 65 auditors had completed the exam.

The certification protocol is mainly described in General Regulation Part I –General requirements. According to the scheme approach, producers may apply to two different options: Option 1 –Individual Certification or Multisite without implementation of a Quality Management System (QMS) and Option 2 Group or Multisite (including the implementation of a QMS).

In the typical certification scheme, all the audits are announced, and additional unannounced audits are conducted on 10% minimum of the total number of audits. All certification programme documents are available on the website as free download

The on-site audit duration was seen to comply with the GFSI requirements, and annual audits are required.

The generic HACCP study that was established and the technical requirements were based on the outcome of those studies, for the IFA program for crops was planned to be expanded to include HOPS and this was verified post the office visit.

Strengths of the CPO were noted to include the integrity program which continues to provide confidence in the certificates issued and the number verification audits that the integrity team on certified sites.

B. Time and Location Details

	Location	People present GFSI, consultant, CPO. Names and roles	Date and time
Outline of pipeline for work to be completed	Remote Call	Katharine Smithers, Benchmarking Leader Giovanna Ordonez GFSI Technical Manager Raina Spencer Director of Producer Solutions Elme Coetzer- Boersma, Chief Standards Officer	3 rd September 2019
Self-assessment desktop review	Remote Assessment	Katharine Smithers, Benchmarking Leader	3/09/19 – 6/11/19
Feedback calls	Remote Conference	Katharine Smithers, Benchmarking Leader Raina Spencer Director of Producer Solutions	18/10/19
Office visit	Köln	Katharine Smithers Benchmarking Leader Giovanna Ordonez GFSI Technical Manager Raina Spencer Director of Producer Solutions Elme Coetzer- Boersma, Chief Standards Officer Andras Fekete Chief Integrity Officer Valentin Radoslavov CB Administration Team Anne Kafzylk CB Compliance and QA Gabride Jahn Management Systems Georgios Kimourtzaks Compliant Manager	7-8/11/19

List of issues raised

GFSI Benchmarking requirement part	Clause	Non conformity	Partly / no	Action from CPO	Recommendation from Benchmark leader	Decision from GFSI technical manager
Where the certification programme owner makes any changes to the standard or other defined normative documents that are relevant to the recognition of the benchmarking status, these changes shall be brought to the attention of the GFSI Technical Manager	1.1.14	The system for informing GFSI did not include the Technical Manager at GFSI	P	<p>GLOBALG.A.P. has developed a new policy document entitled "Working Instruction – Communication Standard Updates and New Developments." Section 3.2 3.2 Release of final communication</p> <p>Agreed and finalized text shall then be shared by the project manager on publication of the documents with the following departments for release to the various user groups: o CSO</p> <p>o (-> information to the Global Food Safety Initiative technical team)</p> <p>Please see attachment called "Working Instruction – Communication Standard Updates and New Developments."</p>	The updated WI includes the GFSI Team KJS Closed 5/12/19	Approved to move forward with public consultation.
The Certification Programme Owner shall ensure that Certification Bodies undertaking audits against a GFSI	2.2.6	The accreditation schedules did not include PHA (no certification bodies - have yet to be accredited.) There are	P	GFSI has ruled to cease the benchmarking process for PHA, as one of the CBs is still in the process of accreditation.	No further action at this time	No further actions.

recognised food safety Certification Programme have the named Certification Programme included in their scope of accreditation		records that accreditation has been applied for.				
The central function shall be subject to management review in accordance with Certification Programme requirements and shall be itself subject to internal audit.	MSS 2.6	The requirement for a management review was not included in the requirement. (Internal audit was covered)	No	<p>MSS 2.6 – We propose the following wording as updates for this finding -</p> <p>""Annual management review: members of management shall annually conduct a management review, make necessary changes and document it. 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. Evidence of this management review shall be available and verified by the external CB auditor."</p> <p>Also note that the QMS Checklist control point 2.1 B had the following wording added ""Members of management shall annually conduct a management review, make necessary</p>	<p>3rd Review Proposed Actions acceptable GFSI have said the document will be published in March 2020 KJS 8/01/20</p> <p>2nd comments - the comments are related to Management Review seem to limit the requirements of the review to the structure and resource requirements. For MR's they normally cover a) the status of actions from</p>	<p>After review from the Technical Committee it has been agreed that the actions will be published on February 22nd, as per letter of Acknowledgement from GLOBALG.A.P.</p>

				<p>changes, and document it. 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</p> <p>We accept this and we'll implement the requirement of management review, but without changing the version or edition because we feel that it is included but not mentioned explicitly. This will be published through an obligatory interpretation document to the CBs and producers to be mandatory from June 2020. This implementation time is according to our standard setting procedures.</p>	<p>previous management reviews;</p> <p>b) changes in external and internal issues that are relevant to the quality management system;</p> <p>c) information on the performance and effectiveness of the quality management system, including trends in:</p> <ol style="list-style-type: none"> 1) customer satisfaction and feedback from relevant interested parties; 2) the extent to which quality objectives have been met; 3) process performance and conformity of products and services; 	
--	--	--	--	---	--	--

					<p>4) nonconformities and corrective actions; 5) monitoring and measurement results; 6) audit results; 7) the performance of external providers; d) the adequacy of resources; e) the effectiveness of actions taken to address risks and opportunities (see 6.1); f) opportunities for improvement. I am not requesting that all of these are covered but the wording suggests the review will be limited to resource. Further information</p>	
--	--	--	--	--	---	--

					<p>required, for the plan to be accepted KJS 7/01/19.</p> <p>. To accept the corrective action a copy of the obligatory interpretation document to the CBs and producers is required. Further evidence required. As with all findings and new scopes this will need to be able to be verified before HOPS can be recommended 5/12/19 16/12/19</p>	
High risk sites shall be included in the yearly audit plan. (were sampling is allowed)	MSS 2.4	There was no requirement for high risk sites to be included in the yearly audit plan when sampling was allowed for multi sites. (IFA FV and hop subscope applicable.)	P	In the General Regulations Crops Rules, Section 4.1.2 was updated with the following language "(ii) In an Option 1 multisite with QMS or Option 2 scenario, producers and/or sites with high food safety risks products shall be included in an annual inspection schedule. No sampling can take place	2nd review The planned wording is acceptable, confirmation required for the once the document is published KJS	After review from the Technical Committee it has been agreed that the actions will be published on February 22 nd , as per letter of

				<p>and the products need to be inspected annually.</p> <p>High risk products are those products with elevated food safety risk including,, but are not limited to:</p> <ul style="list-style-type: none"> • fresh herbs, leafy greens, lettuce, romaine, spinach, arugula/rocket, • berries <p>cantaloupe melons</p> <p>Wording in Section 4.2 was updated to include this statement "Sampling is not applicable for product handling sites handling high risk products."</p> <p>General Regulation Part I, Section 5.2 contains a table describing audit frequency for the QMS, and this wording was added to each applicable box "(Sampling is not applicable for high risk products)." General Regulations Part I, Section 5.2.3 d) had the following wording added "High risk products, however, shall be considered in the annual inspection plan and no sampling is applicable (in other words, all high food safety risk products shall be inspected annually not only the square root)" and Section 5.2.3 e) iii) now states "</p> <p>High food safety risk products, however, shall be considered in the annual inspection plan and no sampling</p>	<p>7/01/20.</p> <p>The Technical Committee is going to be presented the information on 12/12/19 16/12/19 Please see</p>	<p>Acknowledgement from GLOBALG.A.P.</p>
--	--	--	--	--	---	--

				is applicable." Document will be published on March 1, 2020		
	HACC P B1.1- 1.4	For the HOP sub-scope The review process and link to the Generic HACCP Food Safety Plan for crops was not evident	P	<p>GLOBALG.A.P. will be publishing the HACCP document on our website before the first week of January 2020 and will provide Katharine with the final copy for her review. The updated version is currently undergoing formatting and final approval with our publication team</p> <p>We will issue an updated version of our HACCP document to specifically reference the hop sub-scope. Please see the attached draft, with track changes showing how hop sub-scope references were included in the HACCP table. Many of the HACCP points were already covered in the All Farm and Crops Base section. Emphasis was added where necessary.</p>	<p>2nd Review HACCP has been published CLOSED KJS 7/01/20. Draft copy of generic HACCP has been provided. Proposed corrective actions are acceptable. To close a copy of the published document to be provided. Actions acceptable KJS 5/12/19</p>	
The standard shall require that a risk-based environmental monitoring programme be in place.	FSM D 27	For the HOPS sub scope there was not a requirement for that a risk-based environmental monitoring programme be in place.	N	<p>This has been fixed and a new version sent to Katharine.</p> <p>Added a new control point, which will trigger a new hop sub-scope version: HO 4.4.6 Where applicable, has a risk-based environmental monitoring</p>	<p>2nd review - Added as a Major. CLOSED KJS 7/01/20 The level of Control Point HO 4.4.6 has</p>	Approved to move forward with Public Consultation.

				program been put in place? When deemed appropriate by the individual risk assessment, a risk-based environmental monitoring program should be supported with appropriate testing, documentation, and procedures. This may include water testing, equipment sanitation testing, etc. This is not a requirement for handling facility swabbing, and may be based on individual risk assessments.	not been added. Subject to this being added (Major) the proposed action is acceptable. 5/12/19	
Use of non-approved suppliers shall be acceptable in an emergency situation provided the facility has been assessed and the product meets the specification.	FSM BI 14.4	For the HOPS sub-scope there is no requirement to cover use of non-approved suppliers shall be acceptable in an emergency situation provided the facility has been assessed and the product meets the specification	P	Added HO 1.3.1 new control point. Please see updated hop sub-scope checklist attached. GLOBALG.A.P. is of the understanding that the non-approved supplier requirement has been modified from GFSI Version 8.0. In light of this, we would prefer to not include it in our IFA hop sub-scope version 5.2, only to have to take it out again in a few months.	2nd review wording was added to the control point CLOSED KJS 7/01/20. In version 8 this is covered under FSM 13.2.1. Please detail how this requirement is addressed. 16/12/19 Please see Technical Committees letter	Approved to move forward to Public Consultation
10 certificates have to be issued to the version of the benchmark standard.	Application details	5 certificates have been issued for HOPS sub scope version 5.2.	P	10 certificates have been achieved. Raina already sent Katharine the list of hop V 5.2 certificates as a database	10 certificates have been provided CLOSED KJS 7/01/20	Approved to move forward to Public Consultation

				<p>download, demonstrating completion of this finding.</p> <p>GLOBALG.A.P. has submitted 9 certificates for the IFA hop subscope version 5.2. As 9 additional certificates have been accepted in our system, we will submit the final ten certificates for full compliance shortly.</p> <p>The 10th and rest of the 5.1 accredited and valid certificates that are in the process of renewing certifications (the cycle) have shown that the standard is operating for more than 12 months.</p>	<p>Proposed corrective action acceptable 5/12/19. Can be closed once 10 certificates are in place.</p>	
<p>The Certification Programme Owner shall assure that Certification Bodies have a programme for Auditing Skills Assessment. This should include as a minimum that auditors will be assessed on their performance in a combination of ten audit days and five audits in accordance with the Certification Body's written programme and as a prerequisite to meeting</p>	2.3.3	<p>The auditing skills requirement allowed a variety of management system audits including QMS, EMS and OSHAS to be included in the count for minimum audits and audit days. Rather than GLOBALG.A.P. audits.</p>	P	<p>The General Regulations Part III Annex III Part 1 -Section 3.4 d) has been updated to read "d) The CB shall have a program for Auditing Skills Assessment. This should include as a minimum that inspector will be assessed on their performance in a combination of ten inspection days and five inspections in accordance with the CB's written program and as a prerequisite to meeting applicable requirements of the GLOBALG.A.P. standard. The Auditing Skills Assessment includes at least one witness inspection (as listed under 3.4. c), and the rest may be done by further witness inspections on-site or by document review. The sign-off process may only be concluded after successful</p>	<p>3rd Review Confirmed GG auditors. Proposed action acceptable 8/01/20 KJS</p> <p>2nd Review - I wanted to double check that the 'inspections / audits in accordance with the CB's written program would be GLOBALG.A.P. inspections /audits. KJS 7/01/20 The</p>	<p>After review from the Technical Committee it has been agreed that the actions will be published on February 22nd, as per letter of Acknowledgement from GLOBALG.A.P.</p>

applicable requirements of the GFSI recognised Certification Programme				<p>Auditing Skills Assessment consisting of a minimum of ten inspection days and five inspections. After the initial successful witness inspection, but before the final sign-off, the conducted inspections may be registered for the inspector-in-training and the producer may be certified." In reference to auditor qualifications, which are separated from inspector qualifications in the GLOBALG.A.P. system, General Regulations Part III Annex 3 Part 2-Section 3.4 d) reads "The CB shall have a program for Auditing Skills Assessment. This should include as a minimum that auditors will be assessed on their performance in a combination of ten audit days and five audits in accordance with the CB's written program and as a prerequisite to meeting applicable requirements of the GLOBALG.A.P. standard. The Auditing Skills Assessment includes at least one witness audit (as listed under 3.4. c), and the rest may be done by further witness audits on-site or by document review. The sign-off process may only be concluded after successful Auditing Skills Assessment consisting of a minimum of ten audit days and five audits. After the initial successful</p>	<p>Technical Committee is going to be presented the information on 12/12/19 16/12/19</p>	
--	--	--	--	---	--	--



				witness audit, but before the final sign-off, the conducted audits may be registered for the auditor-in-training and the producer/producer group may be certified. Yes, the inspections and audits are in reference to only GLOBALG.A.P. certificates, because these are the only standards that we certify against. .		
--	--	--	--	---	--	--

Signed for the certification programme owner

Signed – benchmark leader

signed for GFSI

Name and position

Name and position

Name and position

RESULTS OF PUBLIC STAKEHOLDER CONSULTATION

A. Executive summary

Overview.

Placeholder

1) Placeholder

2) Placeholder

Placeholder:

> Placeholder

> Placeholder

c. List of issues raised

GFSI Benchmarking requirement part	Clause	Non conformity	Answer from CPO	Recommendation from Benchmark leader	Decision from GFSI technical manager

Placeholder.

Placeholder

- 1) Placeholder
- 2) Placeholder

ANNEX I – Final assessment spreadsheet