

# GFSI Assessment Report



# Application information

## Assessment team and date

Certification programme / <del>Standard</del> * Name(s)	GLOBALG.A.P. Integrated Farm Assurance Fruit and Vegetables version 5.4-GFS Integrated Farm Assurance Aquaculture version 5.4-GFS
Certification programme / <del>Standard</del> * owner name and address	GLOBALG.A.P. c/o FoodPLUS GmbH Spichernstrasse 55, 50672 Cologne, GERMANY
Certification programme / <del>Standard</del> * owner name, email, contact number	FoodPLUS GmbH Dr. Elmé Coetzer-Boersma <a href="mailto:coetzer@globalgap.org">coetzer@globalgap.org</a> +49 221 57776 -776
Date of previous application if application	
Benchmark Leader name and contact details	Katharine Smithers
GFSI Technical Manager name	Giovanna Ordonez (pre office assessment) Marie-Claude Quentin
Observers name	None
Interpreter's name (if applicable)	None
Date of this office assessment	21-22/07/21
Language (e.g. English or other)	English

\* Cross as appropriate

## Scopes including in this application

GFSI Scopes		Scopes applied for
AI	Farming of Animals for Meat/ Milk/ Eggs/ Honey	
AII	Farming of Fish and Seafood	X
BI	Farming of Plants (other than grains and pulses)	X
BII	Farming of Grains and Pulses	
BIII	Pre-process Handling of plant products	X
CO	Animal Conversion	
CI	Processing of perishable animal products	
CII	Processing of Plant Perishable Products	
CIII	Processing of Animal and Plant Perishable Products (Mixed Products)	
CIV	Processing of Ambient Stable Products	
D	Production of Feed	
E	Catering	
FI	Retail / Wholesale	

FII	Food Broker / Agent	
H	Provision of Food Safety Services	
G	Provision of Storage and Distribution Services	
I	Production of Food Packaging	
JI	Hygienic Design of Food Buildings and Processing Equipment (for building constructors and equipment manufacturers)	
JII	Hygienic Design of Food Buildings and Processing Equipment (for building and equipment users)	
K	Production of (Bio) Chemicals (Additives, Vitamins, Minerals, Bio-cultures, Flavourings, Enzymes and Processing aids)	

# EXECUTIVE SUMMARY AND RECOMMENDATION TO THE BOARD

## Executive summary

The GFSI assessment was conducted to evaluate the GLOBAL.G.A.P. certification programme for compliance to the GFSI Benchmarking Requirements version 2020.1

- Integrated Farm Assurance All Farm Base – Crop Base - Fruit and Vegetables version 5.4-GFS
- Integrated Farm Assurance All Farm Base - Aquaculture version 5.4-GFS

Both of the IFA standards as version 5.3-GFS had been previously approved in the benchmark process. GLOBALG.A.P. had been proactive in updating their standards and scheme regulations to encompass the GFSI requirements, the changes from the previous version were limited to the updates in the GFSI benchmarking requirements. This was due to GLOBALG.A.P. currently being part way through a review of the IFA standards which will result in them being reissued to version 6. Early this year two standards, Produce Handling Assurance (PHA) and Harmonized Produce Safety (HPSS), were both successfully benchmarked. These were processed earlier than the IFA standards for market demand. For IFA F&V 5.4-GFS there have been 19 certificates issued and 24 approved Certification Bodies and IFA AQ V5.4-GFS 8 certificates issued and 6 approved certification bodies. For previous versions of the standard there are over 150 approved Certification bodies and over 40,000 certificate holders

worldwide for IFA F&V, and 19 approved Certification bodies and over 300 certificate holders worldwide for IFA AQ.

GLOBALG.A.P.'s roots began in 1997 as EUREPGAP, an initiative by retailers belonging to the Euro-Retail Produce Working Group, changing its name in 2007. Financial and legal ownership and responsibility for FoodPLUS GmbH is held by the EHI Retail Institute via its 100% subsidiary EHI-Verwaltungsgesellschaft mbH. The EHI Retail Institute also operates the European Retail Academy, a global network of research institutes linked to retail activities and topics. GLOBALG.A.P. standards and implementation are developed and defined by various Technical Committees, Focus Groups and the Certification Body Committee. National Technical Working Groups support the work of the committees on a local level. Head Office is in Germany with offices and team members worldwide. The Integrity program has been established for many years and provides an oversight from the CIPRO team with 9 members.

A desktop review was undertaken in January 2021, which was formally reviewed with GLOBALG.A.P. in mid-February 2021, with the office assessment concluding the assessment part of the process on 21-22 July 2021. The delay between the desktop review and office assessment was to allow GLOBALG.A.P. to obtain a sufficient number of certified organisations to be sampled including an option 2 certificate to allow verification of the multisite sampling process. Although not raised as a nonconformity during the benchmarking process; the stakeholder consultation for version 5.4 was briefer than the normal process, for a GLOBALGAP standard. This was due to limited changes in this revision and the full review that is currently being progressed for version 6 of the standard. One non-conformity was for Part II which related to short notice periods for unannounced audits and 5 non-conformities related to Part III. These were clauses that had been highlighted during the desktop review and GLOBALG.A.P. presented their proposed corrective actions at the office assessment, which were confirmed after the assessment. GLOBALG.A.P. were proactive throughout the process, and ensured that the established integrity program covered the new version of the standards.

## Recommendation to the GFSI Board

# RESULTS OF ASSESSMENT AND OFFICE VISIT

## Time and location details

	Location	People present GFSI, consultant, CPO. Names and roles	Date and time
Self-assessment review	Remote	Katharine Smithers	2 days completed 3/02/21
Review calls	Remote – Teams	CPO Raina Spence -Director of Producer Solutions Cornelia Wenhold. Snr Technical Expert (Standards & Technical) Andras Fekete, Vice President, Chief Integrity Officer Valentin Radoslavov - Junior Manager / Certification Body Compliance & Integrity Giovanna Ordonez GFSI Senior Technical Manger Katharine Smithers- BL	18/02/21 4 Hours
Office visit	Remote -Teams	CPO Raina Spence -Director of Producer Solutions Cornelia Wenhold. Snr Technical Expert (Standards & Technical) Andras Fekete, Vice President, Chief Integrity Officer Valentin Radoslavov - Junior Manager / Certification Body Compliance & Integrity Marie-Claude Quentin GFSI Senior Technical Manger Katharine Smithers- BL	21-22/07/21 4 hrs each day

## Overview

GLOBALG.A.P.'s roots began in 1997, financial and legal ownership and responsibility for FoodPLUS GmbH is held by the EHI Retail Institute via its 100% subsidiary EHI-Verwaltungsgesellschaft mbH. GLOBALG.A.P. standards and implementation are developed and defined by various Technical Committees, Focus Groups and the Certification Body Committee. National Technical Working Groups support the work of the committees on a local level. Head Office is in Germany with offices and team members worldwide. The Integrity program has been established for many years and provides an oversight from the CIPRO team with 9 members.

The schemes are offered worldwide. For IFA F&V 5.4 there have been 19 certificates issued and 24 approved Certification Bodies and IFA AQ 8 certificates issued and 6 approved certification bodies. All approved 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).

74 F&V and 3 AQ auditors had been approved to audit the standards. During the office assessment records were verified for 5 client files, with 4 different auditors. There have been no complaints within these schemes' version, however the process was reviewed for the previous version and met the benchmarking requirements.

## General compliance, strengths and weaknesses

The programmes were in line with GFSI requirements with the exception of the six non-conformities raised during the desktop review. No new nonconformities were recorded during the office assessment, and GLOBALG.A.P. provided planned actions to address these during the office assessment. One of the strengths continues to be the robust Integrity Programme, run by CIPRO team with 9 members, where in the past six months 15 certification bodies office visits were undertaken, and 18 producer assessments completed.

Due to the schemes being republished there were limited numbers of certificates to verify the process. The version 5.4 stakeholder consultation had been reduced due to the update from version 5.3-GFS being limited to the GFSI benchmarking, and with version 6 currently under revision.

# Changes made to the certification programme following the GFSI assessment

IFA v5.4-GFS General Regulations Part I  
Food Safety Declaration Policy  
IFA v5.4-GFS Checklist (FV and AQ)  
IFA v5.4 FV-GFS - AF 6.2.1  
IFA v5.4-GFS AQ module CPCC 7.1.2

## List of findings

Element reference	Non-conformity	Partly / no	Corrective action	Recommendation from Benchmark leader	Decision from GFSI technical manager
	Part II				
5.6	48 hours' notice was allowed to be given to Producer /producer groups for unannounced audits	P	<p>The following documentation amended in order to align with this requirement:</p> <p>IFA v5.4-GFS General Regulations Part I: 5.1.2.2 ; 5.2.2.2 ; 5.2.3 (g)</p> <p>Removal of the allowance of a (48-hour) notice period in advance of an unannounced audit</p>	<p>Corrective action acceptable.</p> <p>Confirmation of published and implementation date required for closure</p> <p>KJS 6/08/21</p>	Acceptable corrective action plan, implementation to verify.
	Part III				
BII /BIII /All FSM 2	Evidence of the senior management's commitment did not include food safety culture.	P	<p>The following documentation amended in order to align with this requirement:</p> <p>Food Safety Declaration Policy</p>	<p>Corrective action acceptable.</p> <p>Confirmation of published and implementation</p>	Acceptable corrective action plan, implementation to verify.



			<p>Include reference to Food Safety Culture</p> <p>This document forms part of the IFA v5.4 Checklist (FV and AQ) and is referenced within the IFA v5.4 standard CPCC AF 15.1. Completion thereof a mandatory pre-requisite of the standard.</p>	<p>date required for closure</p> <p>KJS 6/08/21</p>	
BII /BIII /All FSM 12	The requirement for resources needed to establish, implement, maintain, review and improve the Food Safety Management System was not identified and assigned.	P	<p>The following documentation amended in order to align with this requirement:</p> <p>Food Safety Declaration Policy</p> <p>Include reference to Provision of Resources</p> <p>This document forms part of the IFA v5.4 Checklist (FV and AQ) and is referenced within the IFA v5.4 standard CPCC AF 15.1. Completion thereof a mandatory pre-requisite of the standard.</p>	<p>Corrective action acceptable.</p> <p>Confirmation of published and implementation date required for closure</p> <p>KJS 6/08/21</p>	Acceptable corrective action plan, implementation to verify.
All GMP 12.1	The requirement for a procedure shall be established, implemented and maintained for the collection, storage and	P	The following documentation amended in order to align with this requirement:	Corrective action acceptable.	

	disposal of waste material, including waste water and drainage, was not assigned as a major clause requirement and would not be required to be met before certification		IFA v5.4-GFS FV - AF 6.2.1 Upgrade the CPCC from a Minor to a Major Must	Confirmation of published and implementation date required for closure KJS 6/08/21	
All FSM 13.5	Specific provisions shall be in place for the procurement of feed from approved, certified sources. Where a 12-month grace period was given it did not meet the requirement before certification can be gained	P	Technical Newsletter to inform CBs and stakeholders of the elimination of the reference to '12 months' in IFA v5.4-GFS AQ module CPCC 7.1.2 and include reference to certified feed as per FSM 13.5	Corrective action acceptable. Confirmation of published Technical Newsletter and implementation date required for closure KJS 6/08/21	Acceptable corrective action plan, implementation to verify.
All FSM 14.1.4	Specifically, procedures and systems shall be established, implemented and maintained to ensure identification of input feed and feed additives, including, as a minimum, the name and address of the producer, lot or batch number.	P	Technical Newsletter to inform CBs and stakeholders of the elimination of the reference to '12 months' in IFA v5.4-GFS AQ module CPCC 7.1.2 and include reference to certified feed as per FSM 14.1.4.	Corrective action acceptable. Confirmation of published Technical Newsletter and implementation	Acceptable corrective action plan, implementation to verify.

	Specifically, procedures and systems shall be established, implemented and maintained to ensure identification of any veterinary medication purchases and treatment. Where a 12-month grace period was given it did not meet the requirement before certification can be gained			date required for closure KJS 6/08/21	
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# RESULTS OF THE PUBLIC STAKEHOLDER CONSULTATION

## List of findings – public stakeholder consultation

			Answer	Recommendation from Benchmark leader	Decision from GFSI technical manager