GLOBALG.A.P.

Control Points and Compliance Criteria
Integrated Farm Assurance

ALL FARM BASE

English Version
Final Version 4.0_Mar2011

Valid from: 1 March 2011

Obligatory from: 1 January 2012

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Nº	Control Point	Compliance Criteria	Level
AF	**ALL FARM BASE**		
	Control points in this module are applicable to all producers seeking certification as it covers issues relevant to all farming businesses.		
AF. 1	**SITE HISTORY AND SITE MANAGEMENT**		
	One of the key features of sustainable farming is the continuous integration of site-specific knowledge and practical experiences into future management planning and practices. This section is intended to ensure that the land, buildings and other facilities, which constitute the fabric of the farm, are properly managed to ensure the safe production of food and protection of the environment.		
AF. 1.1	**Site History**		
AF. 1.1.1	Is a reference system for each field, orchard, greenhouse, yard, plot, livestock building/pen, and/or other area/location used in production established and referenced on a farm plan or map?	Compliance must include visual identification in the form of a physical sign at each field/orchard, greenhouse/yard/plot/livestock building/pen or other farm area/location, or a farm plan or map that could be cross-referenced to the identification system. No N/A.	Minor Must
AF. 1.1.2	Is a recording system established for each unit of production or other area/location to provide a record of the livestock/aquaculture production and/or agronomic activities undertaken at those locations?	Current records must provide a history of GLOBALG.A.P production of all production areas. No N/A.	Major Must
AF. 1.2	**Site Management**		
AF. 1.2.1	Is there a risk assessment available at the initial inspection for all sites registered for certification? During subsequent inspections, a risk assessment for new or existing production sites where risks have changed (this includes rented land) is available. Does this risk assessment show that the site in question is suitable for production, with regards to food safety, the environment, and animal health where applicable?	A risk assessment is needed at the initial inspection to determine if the site is appropriate. The risk assessment must be reviewed annually and take into account risks that have changed or when new sites are used. Risk assessments must take into account site history and impact of proposed enterprises on adjacent stock/crops/ environment (see AF Annex 1 Risk Assessment for basic information and AF Annex 2 for specific information on what must be covered).	Major Must

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AF.1.2.2	Has a management plan been developed which establishes strategies to minimize the risks identified in the risk assessment (AF.1.2.1)?	A management plan addresses the risks identified in AF.1.2.1 describes the strategies, which justify that the site in question is suitable for production.	Minor Must
AF. 2	**RECORD KEEPING AND INTERNAL SELF-ASSESSMENT/INTERNAL INSPECTION**		
	Important details of farming practices should be recorded and records kept.		
AF. 2.1	Are all records requested during the external inspection accessible and kept for a minimum period of time of two years, unless a longer requirement is stated in specific control points?	Producers must keep up-to-date records for a minimum of two years. At least three months prior to the date of external inspection or from the day of registration, new applicants must have full records that reference each area covered by the registration with all of the agronomic activities related to GLOBALG.A.P documentation required of this area. For Livestock these records must go back at least one rotation before the initial inspection. No NA.	Minor Must
AF. 2.2	Does the producer or producer group take responsibility to conduct a minimum of one internal self-assessment or producer group internal inspection, respectively, per year against the GLOBALG.A.P Standard?	There is documented evidence that in Option 1: an internal self-assessment has been completed under the responsibility of the producer; Option 2: an internal inspection of every member of the group and an internal QMS audit have been conducted under the responsibility of the producer group. No N/A.	Major Must
AF. 2.3	Are effective corrective actions taken as a result of non-conformances detected during the internal self-assessment or internal producer group inspections?	Necessary corrective actions are documented and have been implemented. No N/A.	Major Must

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AF. 3	**WORKERS HEALTH, SAFETY AND WELFARE**		
	People are key to the safe and efficient operation of any farm. Farm staff and contractors as well as producers themselves stand for the quality of the produce and for environmental protection. Education and training will help progress towards sustainability and build on social capital. This section is intended to ensure safe practices in the work place and that all workers both understand, and are competent to perform their duties; are provided with proper equipment to allow them to work safely; and that, in the event of accidents, can obtain proper and timely assistance.		
AF. 3.1	**Health and Safety**		
AF. 3.1.1	Does the producer have a written risk assessment for hazards to worker health and safety?	The written risk assessment can be a generic one but it must be appropriate for conditions on the farm. The risk assessment must be reviewed and updated when changes (e.g. new machinery, new buildings, new plant protection products, modified cultivation practices, etc.) occur. Examples of hazards include but are not limited to: moving machine parts, power take-off (PTO), electricity, excessive noise, dust, vibrations, extreme temperatures, ladders, fuel storage, slurry tanks, etc. No N/A.	Minor Must
AF. 3.1.2	Does the farm have written health and safety procedures addressing issues identified in the risk assessment of AF.3.1.1?	The health and safety procedures must address the points identified in the risk assessment (AF.3.1.1) and must be appropriate for the farming operations. They could also include accident and emergency procedures, and contingency plans, dealing with any identified risks in the working situation, etc. The procedures must be reviewed annually and updated when the risk assessment changes.	Minor Must
AF. 3.1.3	Have all workers received health and safety training?	Workers can demonstrate competency in responsibilities and tasks through visual observation. There must be evidence of instructions and training records. The producer may conduct the health and safety training if training records, and/or training material are available (i.e. need not be an outside individual who conducts the training). No N/A.	Minor Must

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AF. 3.2	**Hygiene**		
AF. 3.2.1	Does the farm have a written risk assessment for hygiene?	The written risk assessment for hygiene issues covers the production environment. The risks depend on the products produced and/or supplied. The risk assessment can be a generic one but it must be appropriate for conditions on the farm and must be reviewed annually and updated when changes (e.g. other activities) occur. No N/A.	Minor Must
AF. 3.2.2	Does the farm have documented hygiene instructions for all workers?	The hygiene instructions are visibly displayed: provided by way of clear signs (pictures) and/or in the predominant language(s) of the workforce. At a minimum, the instructions must include: - the need for hand cleaning; - the covering of skin cuts; - limitation on smoking, eating and drinking to designated areas; - notification of any relevant infections or conditions, this includes sign of illness (e.g. vomiting; jaundice, diarrhea) whereby these workers shall be restricted from direct contact with the product and food-contact surfaces; - the use of suitable protective clothing. No N/A.	Minor Must
AF. 3.2.3	Have all persons working on the farm received annual basic hygiene training according to the hygiene instructions in AF.3.2.2?	Both written and verbal training are given as an introductory training course for hygiene. All new workers must receive this training and confirm their participation. All instructions from AF.3.2.2 must be covered in this training. All workers, including the owners and managers, must annually participate in the farm's basic hygiene training.	Minor Must
AF. 3.2.4	Are the farm's hygiene procedures implemented?	Workers with tasks identified in the hygiene procedures must demonstrate competence during the inspection and there is visual evidence that the hygiene procedures are implemented. No N/A.	Major Must
AF. 3.3	**Training**		
AF. 3.3.1	Is there a record kept for training activities and attendees?	A record is kept for training activities including the topic covered, the trainer, the date and attendees. Evidence of the attendance is required.	Minor Must

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AF. 3.3.2	Do all workers handling and/or administering veterinary medicines, chemicals, disinfectants, plant protection products, biocides and/or other hazardous substances and all workers operating dangerous or complex equipment as defined in the risk analysis in AF.3.1.1 have certificates of competence, and/or details of other such qualifications?	Records must identify workers who carry out such tasks, and show proof of competence, certificates of training, and/or records of training with proof of attendance. No N/A.	Major Must
AF. 3.4	**Hazards and First Aid**		
AF. 3.4.1	Do accident and emergency procedures exist; are they visually displayed, and are they communicated to all persons associated with the farm activities?	Permanent accident procedures must be clearly displayed in accessible, and visible location(s). These instructions are available in the predominant language(s) of the workforce and/or pictograms. The procedures must identify, the following - farm's map reference or farm address - contact person(s) - an up-to-date list of relevant phone numbers (police, ambulance, hospital, fire-brigade, access to emergency health care on site or by means of transport, electricity and water and gas supplier). Examples of other procedures that can be included: - location of the nearest means of communication (telephone, radio) - how and where to contact the local medical services, hospital and other emergency services. (WHERE did it happen? WHAT happened?, HOW MANY injured people?, WHAT kind of injuries? WHO is calling?) - location of fire extinguisher; - emergency exits; - emergency cut-offs for electricity, gas and water supplies; and - how to report accidents or dangerous incidents.	Minor Must
AF. 3.4.2	Are potential hazards clearly identified by warning signs?	Permanent and legible signs must indicate potential hazards (e.g. waste pits, fuel tanks, workshops, access doors of the plant protection product / fertilizer / any other chemical storage facilities as well as re-entry intervals, etc.). Warning signs must be present and in the predominant language(s) of the workforce and/or pictograms. No N/A.	Minor Must
AF. 3.4.3	Is safety advice for substances hazardous to worker health available/accessible?	When required to ensure appropriate action, information (e.g. website, telephone number, material safety data sheets, etc.) is accessible.	Minor Must

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AF. 3.4.4	Are first aid kits present at all permanent sites and in the vicinity of fieldwork?	Complete and maintained first aid kits (i.e. according to local recommendations must be available and accessible at all permanent sites and available for transport (tractor, car, etc.) to the vicinity of the work.	Minor Must
AF. 3.4.5	Are there always an appropriate number of persons (at least one person) trained in first aid present on each farm whenever on-farm activities are being carried out?	There is always at least one person trained in first aid (i.e. within the last 5 years) present on the farm whenever on-farm activities are being carried out. As a guideline: one trained person per 50 workers. On-farm activities include all activities mentioned in the relevant modules of this standard.	Minor Must
AF. 3.5	**Protective Clothing/Equipment**		
AF. 3.5.1	Are workers, visitors, and subcontractors equipped with suitable protective clothing in accordance with legal requirements and/or label instructions and/or as authorized by a competent authority?	Complete sets of protective clothing, which enable label instructions and/or legal requirements and/or requirements as authorized by a competent authority to be complied with are available on farm, utilized and in a good state of repair. To comply with label requirements or operations of the farm, this may include some of the following: rubber boots or other appropriate footwear, waterproof clothing, protective overalls, rubber gloves, face masks, appropriate respiratory equipment (including replacement filters), ear and eye protection devices, life-jackets, etc. as required by label or operations on farm.	Major Must
AF. 3.5.2	Is protective clothing cleaned after use and stored so as to prevent contamination of the personal clothing?	Protective clothing is clean and there is a cleaning schedule adapted according to the type of use and degree of potential contamination. Cleaning the protective clothing and equipment includes separate washing from private clothing. Wash re-usable gloves before removal. Dirty and damaged protective clothing and equipment and expired filter cartridges must be disposed of appropriately. Single-use items (e.g. gloves, overalls, etc.) must to be disposed of after one use. All protective clothing and equipment including replacements filters, etc. must be stored outside of the plant protection products/storage facility and physically separated from any other chemicals that might cause contamination of the clothing or equipment. No N/A.	Major Must

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AF. 3.6	**Worker Welfare**		
AF 3.6.1	Is a member of management clearly identifiable as responsible for workers' health, safety and welfare?	Documentation is available that demonstrates that a clearly identified, named member of management has the responsibility for ensuring compliance with and implementation of existing, current and relevant national and local regulations on workers health safety and welfare.	Major Must
AF 3.6.2	Do regular two-way communication meetings take place between management and workers? Are there records from such meetings?	Records show that the concerns of the workers about health, safety and welfare are being recorded in meetings planned and held at least once a year between management and workers and that these discussions can take place openly (i.e. without fear of intimidation or retribution). The auditor is not required to make judgments about the content, accuracy or outcome of such meetings.	Recom.
AF 3.6.3	Do workers have access to clean food storage areas, designated rest areas, hand washing facilities, and drinking water?	Hand washing facilities, potable drinking water, a place to store food and a place to eat must be provided to the workers.	Minor Must
AF 3.6.4	Are on-site living quarters habitable and have the basic services and facilities?	The on farm living quarters for the workers are habitable and have a sound roof, windows and doors, and the basic services of running water, toilets, and drains. In case of no drains, septic pits can be accepted if compliant with local regulations.	Minor Must

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AF. 4	**SUBCONTRACTORS**		
AF. 4.1	When the producer makes use of subcontractors, is all the relevant information available on farm?	Subcontractors must carry out an assessment (or the producer must do it on behalf of the subcontractors) of compliance against the GLOBALG.A.P Control Points relevant to the services provided on farm. Evidence of compliance with the applicable control points must be available on farm during the external inspection and the subcontractor must accept that GLOBALG.A.P approved certifiers are allowed to verify the assessments through a physical inspection where there is doubt. The producer is responsible for observance of the control points applicable to the tasks performed by the subcontractor by checking and signing the assessment of the subcontractor for each task and season contracted. Where the subcontractor has been assessed by a 3rd party certification body, which is GLOBALG.A.P approved, the producer shall receive a report from the subcontractor with the following info: 1) Date of assessment, 2) Name of the Certification Body, 3) Inspector name, 4) Details of the subcontractor, 5) report that lists the responses to the relevant Control Points and Compliance Criteria. In the case where product handling is subcontracted, the certification body that inspects the producer must still inspect the relevant control points (refer to relevant scope specifications).	Minor Must
AF. 4.2	Are all subcontractors and visitors made aware of the relevant procedures on personal safety and hygiene?	There is evidence that the relevant procedures on personal health, safety and hygiene are officially communicated to visitors and subcontractors (e.g. relevant instructions are in a visible place where all visitors or subcontractors can read them).	Minor Must
AF. 5	**WASTE AND POLLUTION MANAGEMENT, RECYCLING AND RE-USE**		
	Waste minimization should include: review of current practices, avoidance of waste, reduction of waste, re-use of waste, and recycling of waste.		

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AF. 5.1	**Identification of Waste and Pollutants**		
AF. 5.1.1	Have possible waste products and sources of pollution been identified in all areas of the business?	Possible waste products (e.g. paper, cardboard, plastic, oil, etc.) and sources of pollution (e.g. fertilizer excess, exhaust smoke, oil, fuel, noise, effluent, chemicals, sheep-dip, feed waste, algae produced during net cleaning, etc.) produced by the farm processes have been listed.	Minor Must
AF. 5.2	**Waste and Pollution Action Plan**		
AF. 5.2.1	Is there a documented farm waste management plan to avoid and/or reduce wastage and pollution and does the waste management plan include adequate provisions for waste disposal?	A comprehensive, current, documented plan that covers wastage reduction, pollution and waste recycling is available. Air, soil, water, noise and light contamination must be considered along with all products and sources identified in the plan.	Recom.
AF. 5.2.2	Has all litter/waste been cleared up?	Visual assessment that there is no evidence of waste/litter in the immediate vicinity of the production or storage buildings. Incidental and insignificant litter and waste on the designated areas are acceptable as well as the waste from the current day's work. All other litter and waste has been cleared up, including fuel spills.	Major Must
AF. 5.2.3	Provided there is no risk of disease carry-over, are organic wastes composted on the farm and utilized for soil conditioning?	Organic waste material is composted and used for soil conditioning. Composting method ensures that there is no risk of disease carry-over.	Recom.
AF. 6	**ENVIRONMENT AND CONSERVATION**		
	Farming and environment are inseparably linked. Managing wildlife and landscape is of great importance; enhancement of species as well as structural diversity of land and landscape features will benefit from the abundance and diversity of flora and fauna.		

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AF. 6.1	**Impact of Farming on the Environment and Biodiversity (cross-reference with AB.10 Aquaculture Module)**		
AF. 6.1.1	Does each producer have a management of wildlife and conservation plan for the enterprise that acknowledges the impact of farming activities on the environment?	There must be a written action plan that aims to enhance habitats and maintain biodiversity on the farm. This can be either an individual plan or a regional activity, if the farm is participating in or covered by such. The action will include knowledge of integrated pest management practices, nutrient use of crops, conservation sites, water supplies, the impact on other users, etc.	Minor Must
AF. 6.1.2	Has the producer considered how to enhance the environment for the benefit of the local community and flora and fauna and is this policy compatible with sustainable commercial agricultural production and does it strive to minimize environmental impact of the agricultural activity?	There should be tangible actions and initiatives that can be demonstrated 1) by the producer either on the production site or 2) by participation in a group that is active in environmental support schemes looking at habitat quality and habitat elements. There is a commitment within the conservation plan to undertake a base line audit of the current levels, location, condition etc. of the fauna and flora on farm so as to enable actions to be planned. Within the conservation plan there is a clear list of priorities and actions to enhance habitats for fauna and flora where viable and increase bio-diversity on the farm.	Recom.
AF. 6.2	**Unproductive Sites**		
AF. 6.2.1	Has consideration been given to the conversion of unproductive sites (e.g. low lying wet areas, woodlands, headland strip or areas of impoverished soil, etc.) to conservation areas for the encouragement of natural flora and fauna?	There should be a plan to convert unproductive sites and identified areas that give priority to ecology into conservation areas where viable.	Recom.
AF. 6.3	**Energy Efficiency**		
AF. 6.3.1	Can the producer show monitoring of on farm energy use?	Energy use records exist. The producer is aware of where and how energy is consumed on the farm and through farming practices. Farming equipment shall be selected and maintained for optimum consumption of energy. The use of non-renewable energy sources should be kept to a minimum.	Recom.

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AF 7	**COMPLAINTS**		
	Management of complaints will lead to an overall better production system.		
AF. 7.1	Is there a complaint procedure available relating to issues covered by the GLOBALG.A.P Standard and does this procedure ensure that complaints are adequately recorded, studied, and followed up including a record of actions taken?	A documented complaint procedure is available to facilitate that all received complaints relating to issues covered by GLOBALG.A.P are recorded and followed up. Actions taken with respect to such complaints are documented. No N/A.	Major Must
AF. 8	**RECALL/WITHDRAWAL PROCEDURE**		
AF. 8.1	Does the producer have documented procedures how to manage/initiate withdrawal/recall of certified products from the marketplace and are they tested annually?	The producer must have access to documented procedures which identify the type of event that may result in a withdrawal/recall, persons responsible for making decisions on the possible withdrawal/recall of product, the mechanism for notifying customers and the GLOBALG.A.P Certification Body (if a sanction was not issued by the CB and the producer or producer group withdrew/recalled the products out of free will) and methods of reconciling stock. The procedures must be tested annually to ensure that they are effective. This can be a mock test. This test has to be recorded.	Major Must
AF. 9	**FOOD DEFENSE (not applicable for Flowers and Ornamentals)**		
AF. 9.1	Is there a risk assessment for food defense and are procedures in place to address identified food defense risks?	Potential threats to food security in all phases of the operation shall be identified and assessed. Food security risk identification shall assure that all input is from safe and secured sources. Information of all employees and subcontractors must be available. Procedures for corrective action shall be in place in case of intentional threat.	Major Must
AF. 10	**GLOBALG.A.P STATUS**		
AF. 10.1	Do all transaction documentation include reference to the GLOBALG.A.P Status (certified/ not certified)?	Transaction documentation (e.g. sales invoices) and, where appropriate, other documentation include the GLOBALG.A.P Status of the product. No N/A.	Major Must

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AF. 10.2	Do all producers have agreements in place to prevent misuse of their GGN by their direct customers?	Producers shall have an agreement in place with their direct customers (packers, exporters, importers, etc.) that their GGN will not be misused and that the customer will follow best practices in traceability and labeling, (e.g. not label other producers' products with the producer's GGN nor mix the producer's certified product with other non-certified product, which are then labeled with the producer's GGN). No N/A.	Minor Must
AF. 11	**LOGO USE**		
AF. 11.1	Is the GLOBALG.A.P (EUREPGAP) word, trademark or logo and the GGN (GLOBALG.A.P Number) used according to the GLOBALG.A.P General Regulations and according to the Sublicense and Certification Agreement?	The producer/producer group shall use the GLOBALG.A.P (EUREPGAP) word, trademark or logo and the GGN (GLOBALG.A.P Number) according to the General Regulations Annex 1 and according to the Sublicense and Certification Agreement. The GLOBALG.A.P (EUREPGAP) word, trademark or logo shall never appear on the final product, on the consumer packaging, or at the point of sale, but the certificate holder in business-to-business communications can use any and/or all.	Major Must
AF. 12	**TRACEABILITY AND SEGREGATION obligatory when producer is registered for Parallel Production/Parallel Ownership**		
AF. 12.1	**Parallel production and/or ownership** (**only** applicable where certified and non-certified products are produced and/or owned by one legal entity.		
AF. 12.1.1	Is there an effective system in place to identify and segregate all GLOBALG.A.P certified and non-certified products?	A system must be in place to avoid mixing of certified and non-certified products. This can be done via physical identification or product handling procedures, including the relevant records. No N/A.	Major Must

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AF. 12.1.2	Is there a system to ensure that all final products originating from a certified production process are correctly identified?	All final, ready to be sold (either from farm level or after product handling), products shall be identified with a GLN where the product originates from a certified process. No N/A. Option 1 producers with parallel production (not buying from external sources) shall use the sub-GLN of the certified PMU to label the certified product. The sub-GLN of the non-certified PMU may be used to label the non-certified product. Option 1 producers that buy non-certified product (with parallel ownership) shall assign two sub-GLNs to the PHU: one shall be used to label certified finished product and the other one may be used to label the non-certified finished product. Option 2 = the GGN of the group shall be used to label certified product.	Major Must
AF. 12.1.3	Is there a final check to ensure correct product dispatch of certified and non-certified products?	The check shall be documented to show that the certified and non-certified products are dispatched correctly. No N/A.	Major Must
AF. 12.1.4	Do all transaction documents include the sub-GLN of the certificate holder and reference to the GLOBALG.A.P certified status?	Transaction documentation (sales invoices, other sales related, dispatch documentation, etc.) related to sales of certified-product shall include the sub-GLN of the certificate holder and shall contain a reference to the GLOBALG.A.P certified status. No N/A.	Major Must

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AF.12.1.5	Are appropriate identification procedures in place and records for identifying products purchased from different sources?	Procedures shall be established documented and maintained, appropriately to the scale of the operation, for identifying certified and non-certified products from different sources (i.e. other producers or traders) Records shall include: - Product description - GLOBALG.A.P certified status. - Quantities of product(s) purchased - Supplier details - Copy of the GLOBALG.A.P Certificates where applicable – Traceability data/codes related to the purchased products, - Purchase orders/invoices received by the organization being assessed - List of approved suppliers. No N/A if no purchasing of products.	Major Must
AF. 12.1.6	Are all sales details of certified and non-certified products recorded?	Sales details of certified and non-certified products shall be recorded, with particular attention to quantities sold and descriptions provided. The documents must demonstrate the consistent balance between certified and non-certified input and the output. No N/A.	Major Must
AF.12.1.7	Are all details of certified and non-certified product quantities recorded and summarized?	Quantities (including information on volumes or weight) of certified and non-certified produced, incoming, outgoing and stored product must be recorded and a summary maintained so as to facilitate the mass balance verification process. No N/A.	Major Must
AF.12.1.8	Are conversion ratios and/or loss (input-output calculations of a given production process) during handling calculated and controlled?	Conversion ratios shall be calculated and available for each relevant handling process. All generated product waste quantities shall be recorded. No N/A.	Major Must

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ANNEX AF.1 GLOBALG.A.P GUIDELINE | RISK ASSESSMENT - GENERAL

Introduction to Risk Assessment

In the GLOBALG.A.P IFA Standard a number of risk assessments are required in order to facilitate food safety, workers health and safety, and environmental protection. This guidance document provides assistance to producers.

Five Steps to Risk Assessment

A risk assessment is an important step in protecting the products, workers and business, as well as complying with GLOBALG.A.P Requirements and the law. A risk assessment helps you to focus on those risks that really matter in the workplace – the ones with the potential to cause real harm. In many instances, straightforward simple, effective, and inexpensive measures can readily control risks (e.g. ensuring spillages are cleaned up promptly so product cannot be contaminated).

It is not expected that you eliminate all risks, but you are expected and required to protect your products and workers as far as is 'reasonably practicable'.

This is not the only way to do a risk assessment; there are other methods that work well, particularly for more complex risks and/or circumstances. However, we believe this method provides a straightforward approach for most producers. Workers and others have a right to be protected from harm caused by a failure to take reasonable control measures. Accidents and ill health can ruin lives and affect the business too if output is lost or you have to go to court. Producers are legally required to assess the risks in their workplace so that a plan to control the risks can be put in place.

What is Risk Assessment?

A risk assessment is simply a careful examination of what, in your work, could cause harm to the product, environment and/or workers, so that you can evaluate whether or not you have taken sufficient precautions or should do more to prevent harm.

Don't overcomplicate the process. In many enterprises, the risks are well known and the necessary control measures are easy to apply. Check that you have taken reasonable precautions to avoid contamination and/or injury.

When thinking about your risk assessment, remember:

- a **hazard** is anything that may cause harm, such as chemicals, electricity, working from ladders etc.;
- the **risk** is the chance, high or low, that somebody could be harmed by these and other hazards, together with an indication of how serious the harm could be.

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How to Assess the Risks in Your Enterprise

Step 1: Identify the hazards.
Step 2: Decide who/what might be harmed and how.
Step 3: Evaluate the risks and decide on precautions.
Step 4: Record the work plan/findings and implement them.
Step 5: Review the assessment and update if necessary.

Step 1 Identify the Hazards

First, you need to identify how product, environment, and/or workers could be harmed. Here are some tips to help identify the ones that matter:

- Walk around the workplace and look at what could reasonably be expected to cause harm (e.g. situations, equipment, products, practices, etc.).
- Ask the workers (if applicable) or their representatives what they think. They may have noticed things that are not immediately obvious to you.
- Check manufacturers' instructions or data sheets for chemicals and equipment as they can be very helpful in identifying the hazards and putting them in their true perspective.
- Review prior incidence and accident records – as these often help to identify less obvious hazards. Remember to think about long-term hazards to health (e.g. high levels of noise or exposure to harmful substances) as well as (food) safety hazards.

Step 2 Decide Who/What Might Be Harmed and How

For each hazard, you need to be clear about who or what might be harmed; this will help to identify the best way of managing the risk.

Remember:

- Some activities have particular requirements, (e.g. harvesting).
- Extra thought will be needed for some hazards, especially in situations where individuals (e.g. cleaners, visitors, contractors, maintenance workers, etc.) may not be in the workplace all the time.

Step 3 Evaluate the Risks and Decide on Precautions

Having spotted the hazards, you then have to decide what to do about them. The law requires you to do everything 'reasonably practicable' to protect people from harm. You can work this out for yourself, but the easiest way is to compare what is being done against what are already defined as good practice.

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So first, look at what you are already doing, think about what controls you have in place and how the work is organized. Then compare that with the good practices and see if there's more you should be doing to bring yourself up to standard. During your evaluation process, consider the following:

- Can I get rid of the hazard altogether?
- If not, how can I manage the risks so that harm is unlikely?

When managing risks, if possible, apply the principles below, if possible in the following order:

- Try a less risky option (e.g. switch to using a less hazardous chemical);
- Prevent access to the hazard (e.g. by guarding);
- Organize the work/tasks to reduce exposure to the hazard ;
- Issue personal protective equipment (e.g. clothing, footwear, goggles, etc.); and
- Provide welfare facilities (e.g. first aid and washing facilities for removal of contamination).

Improving health and safety need not cost a lot. For instance, placing a mirror on a dangerous blind corner to help prevent vehicle accidents is a low-cost precaution considering the risks. Failure to take simple precautions can cost you a lot more if an accident does happen.

Involve staff (if applicable), so that you can be sure that what you propose to do will work in practice and won't introduce any new hazards.

Step 4 Record the Findings and Implement Them

Putting the results of the risk assessment into practice will make a difference when looking after food safety, workers health and safety, and your business.
Writing down the results of the risk assessment, and sharing them with your staff, encourages you to complete the implementation.
When writing down the results, keep it simple, (e.g. contamination at harvest: hand-washing facilities at the field).

It is not expected that the risk assessment be perfect, but it must be suitable and sufficient. You need to be able to show that:

- A proper check was made;
- You asked who or what might be affected;
- You dealt with all the significant hazards,
- The precautions are reasonable and the remaining risk is low; and
- You involved your staff or their representatives (where applicable) in the process.

A good plan of action often includes a mixture of different responses such as:

- Temporary solution until more reliable controls can be put in place;

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- Long-term solutions to those risks most likely to cause accidents or ill health;
- Long-term solutions to those risks with the worst potential consequences;
- Arrangements for training employees on the primary risks that remain and how these risks are to be controlled;
- Regular checks to make sure that the control measures stay in place; and
- Clearly defined responsibilities – who will lead on what action and by when.

Remember, prioritize and tackle the most important things first. As you complete each action, tick it off your work plan.

Step 5 Review the Risk Assessment and Update if Necessary

Few enterprises stay the same. Sooner or later, you will bring in new equipment, substances and/or procedures that could lead to new hazards. It makes sense, therefore, to review what you are doing on an ongoing basis. Every year, formally review where you are with respect to recognized good practices, to make sure you are still improving, or at least not sliding back.

Look at your risk assessment again:

- Have there been any changes?
- Are there improvements you still need to make?
- Have your workers spotted problems?
- Have you learned anything from incidences or near misses?
- **Make sure your risk assessment stays up to date.**

When you are running a business, it's all too easy to forget about reviewing your risk assessment – until something has gone wrong and it's too late. Why not set a review date for this risk assessment now? Write it down and note it in your diary as an annual event.

During the year, if there is a significant change, don't wait. Check the risk assessment and, where necessary, amend it. If possible, it is best to think about the risk assessment when you're planning a change – that way there is more flexibility.

Source: Five Steps to Risk Assessment, Health and Safety Executive; www.hse.gov.uk/pubns/indg163.pdf

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ANNEX AF.2 GLOBALG.A.P GUIDELINE | RISK ASSESSMENT – SITE MANAGEMENT

Control Point AF 1.2.1

Is there a risk assessment available at the initial inspection for all sites registered for certification? During subsequent inspections, a risk assessment for new or existing production sites where risks have changed (this includes rented land) is available. Does this risk assessment show that the site in question is suitable for production, with regards to food safety, the environment, and animal health where applicable?

Compliance Criteria AF 1.2.1

A risk assessment is needed at the initial inspection to determine if the site is appropriate. The risk assessment must be reviewed annually and take into account risks that have changed or when new sites are used. Risk assessments must take into account site history and impact of proposed enterprises on adjacent stock/crops/ environment (see AF Annex 1 Risk Assessment for basic information and AF Annex 2 for specific information on what must be covered).

If the answer to any of the 3 questions in the flow diagram pictured below is yes, a risk assessment is needed.

Factors to consider (note: this is not an exhaustive list of factors):

Legislation:
Local regulations should be checked first to verify legal compliance.

Prior Use of Land:
1. Previous crops: for example, cotton production typically involves heavy use of residual herbicides that can have long-term effects on cereal and other vegetable crops.
2. Industrial or military use: for example former vehicle parks may have considerable petroleum contamination.
3. Landfill or mining sites: may have unacceptable waste in their subsoil that can contaminate subsequent crops may be subject to sudden subsidence endangering persons working on the land.
4. Natural vegetation: might harbor pests, diseases, and/or weeds.

Soil:
The risk assessment should cover structural suitability for intended use, structural susceptibility to erosion; and chemical suitability for intended crops.
Erosion: The risk assessment should determine if there are, or could be, losses of topsoil by water/wind that may affect crop yields, and/or affect land and water downstream.
Drainage patterns: Liability to flooding and/or erosion
Wind exposure: Excessive wind speeds can cause crop losses

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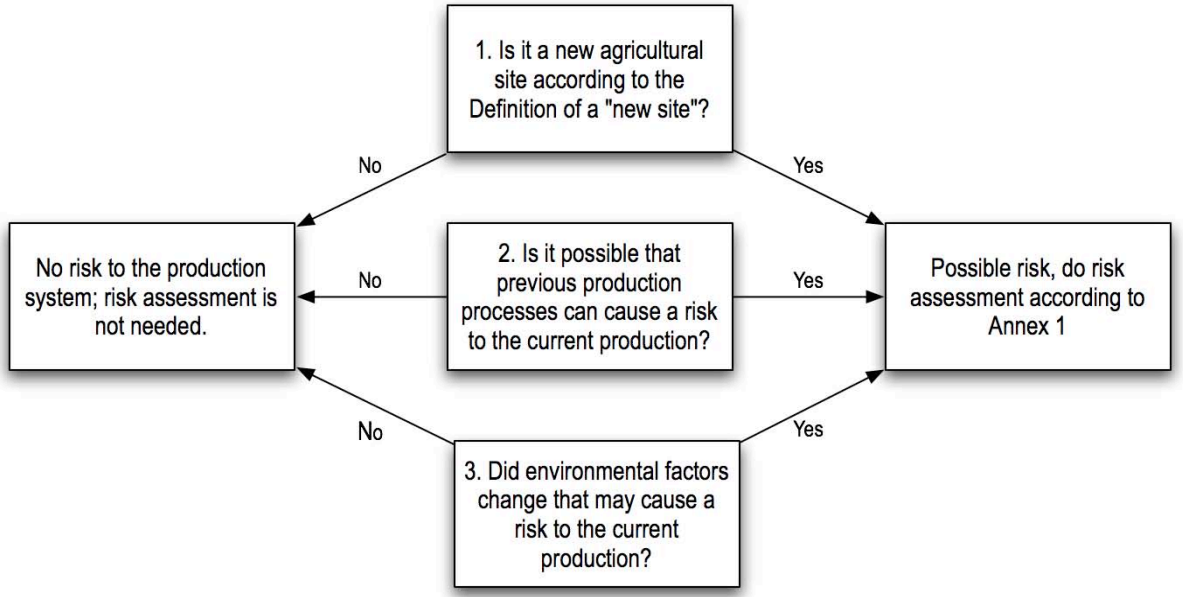

Water:
Water quality: 1. To be determined by the local authority to be fit for purpose or if there is no local standard, then results from appropriate laboratories, capable of performing chemical and/or microbiological analyses up to ISO 17025 level, or equivalent standard, must be available to show that irrigation water quality complies with the criteria as set out in Table 3, p39 of the WHO Health Guideline for the use of wastewater in Agriculture and Aquaculture. (see WHO Technical Report Series 778, 1989 Table 3 at end of document). 2. Drinking water quality: WHO Guidelines for Drinking-water Quality; 3rd Ed, Incorporating the first and second addenda, Vol. 1 2008 (see Table 7.7 Guideline values for verification of microbial quality at the end of the document).
Availability: Adequacy throughout the year, or at least the proposed growing season.
Authorization to use: Assurance of the predicted quantities required by the crop; rights of other users; local laws or customs may recognize other users whose needs may pre-empt agricultural use at times; environmental impact; while legal, some extraction rates could adversely affect flora and fauna associated with or dependent on the water source.
Flooding: unintentional flooding – microbiological and chemical contamination.

Other impacts:
1. Dust, smoke and noise problems caused by operation of agricultural machinery
2. Contamination of downstream sites by silt-laden or chemical-laden runoff

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3. Spray drift
4. Insects attracted by crops, waste products and/or operations using manure
5. Depredations by pests from nearby natural or conservation areas
6. Smoke, fumes and/or dust from nearby industrial or transport installations including roads with heavy traffic
7. Theft by inhabitants of nearby communities
8. Adjacent farming activities
9. Availability of adequate transport to markets
10. Availability of adequate labor
11. Availability of inputs

WHO Technical Report Series 778, 1989. Health guidelines for the use of wastewater in agriculture and aquaculture.
Table 3. Recommended microbiological guidelines for wastewater use in agriculture[a]

Category	Reuse condition	Exposed groups	Intestinal nematodes[b] (arithmetic mean no. or eggs per liter[c])	Fecal coliforms (geometric mean no. per 100ml[c])	Wastewater treatment expected to achieve the required microbiological quality
A	Irrigation of crops likely to be eaten uncooked, sports field, public parks [d]	Workers, consumers, public	≤ 1	≤ 1000 [d]	A series of stabilization ponds designed to achieve the microbiological quality indicated, or equivalent treatment.
B	Irrigation of cereal crops, industrial crops, fodder crops, pasture and trees [e]	Workers	≤ 1	No standard recommended	Retention in stabilization ponds for 8-10 days or equivalent helminth and fecal coliform removal.
C	Localized irrigation of crops in category B if exposure of workers and the public does not occur.	None	Not applicable	Not applicable	Pre-treatment as required by the irrigation technology, but not less than primary sedimentation.

[a] In specific cases, local epidemiological, socio-cultural and environmental factors should be taken into account, and the guidelines modified accordingly
[b] *Ascaris* and *Trichuris* species and hookworms
[c] During the irrigation period
[d] A more stringent guideline (≤ 200 fecal coliforms per 100ml) is appropriate for public lawns, such as hotel lawns where there is direct human contact.
[e] In the case of fruit trees, irrigation should cease two weeks before the fruit is picked, and NO fruit should be picked off the ground. Sprinkler irrigation should NOT be used.

WHO Guidelines for Drinking-Water Quality, 2008.
Table 7.7 presents guideline values for verification of microbial quality of drinking-water. Individual values should not be used directly from the tables. The guidelines values should be used and interpreted in conjunction with the information contained in these Guidelines and other supporting documentation. A consequence of variable susceptibility to pathogens is that exposure to drinking- water of a particular quality may lead to different health effects in different populations. For guideline derivation, it is necessary to define reference

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populations or, in some cases, to focus on specific sensitive subgroups. National or local authorities may wish to apply specific characteristics of their populations in deriving national standards.

Table 7.7 Guideline values for verification of microbial quality[a] (see also Table 5.2) (pp142-144)

Organisms	Guideline value
All water directly intended for drinking *E.coli* or thermotolerant coliform bacteria[bc]	Must not be detectable in any 100-ml sample
Treated water entering the distribution system E.*coli* or thermotolerant coliform bacteria[b]	Must not be detectable in any 100-ml sample
Treated water in the distribution system E.*coli* or thermotolerant coliform bacteria[b]	Must not be detectable in any 100-ml sample

[a] Immediate investigative action must be taken if *E.coli* are detected.
[b A]lthough *E.coli* is the more precise indicator of faecal pollution, the count of thermotolerant coliform bacteria is an acceptable alternative. If necessary, proper confirmatory tests must be carried out. Total coliform bacteria are not acceptable indicators of the sanitary quality of water suppliers, particularly in tropical areas, where many bacteria of no sanitary significance occur in almost all untreated supplies.
[c] It is recognized that in the great majority of rural water supplies, especially in developing countries, faecal contamination is widespread, especially under these conditions, medium term targets for the progressive improvement of water supplies should be set.

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