GENERAL REGULATIONS

Part III – Certification Body Rules

ENGLISH VERSION 5.2

VALID FROM: 1 SEPTEMBER 2023
OBLIGATORY FROM: 1 JANUARY 2024

TABLE OF CONTENTS

1 LICENSE AND CERTIFICATION AGREEMENT 4

2 CERTIFICATION BODY APPROVAL PROCESS 4

2.1 CB Approval by GLOBAL S.L.P 4

2.2 Extension of Scopes, Sub-scopes, Approved Modified Checklists, and Benchmarked Schemes 6

2.3 Termination of Approval 7

3 OPERATIONAL REQUIREMENTS 7

3.1 General Requirements 7

3.2 Training and Qualification of Staff 8

3.3 CB Certification Data Communication with GLOBAL S.L.P 9

3.4 Independence, Impartiality, Confidentiality, and Integrity of CB 9

4 PRODUCER REGISTRATION AND ACCEPTANCE 10

4.1 General 10

4.2 Producer Registration 10

5 ASSESSMENT PROCESS 11

5.1 Option 1 Producers 11

5.2 Announced Inspections 11

5.3 Option 2 Producer Groups and Option 1 Multisites with QMS 12

5.4 Unannounced Inspections (Option 1 only) and Audits (QMS only) 15

5.5 Inspection of Product Handling Units (Option 2 and Option 1 Multisites with QMS) 16

5.6 External Inspections and Audits of Approved Modified Checklists (AMC)/Equivalent Schemes 16

6 CERTIFICATION PROCESS 16

6.1 General 16

6.2 Inspection Duration 18

6.3 Producer Non-Conformance and Sanctions 18

6.4 Paper Certificate Requirements 18

7 TRANSFER BETWEEN CERTIFICATION BODIES 19

8 CERTIFICATION BODY SANCTIONS 20

8.1 General Rules 20

8.2 Types of Non-Conformances 21

9 INTEGRITY PROGRAM (CIPRO) 22

9.1 Brand Integrity Program 22

9.2 Certification Integrity Program 22

9.3 Sanction Steps for Certification Bodies 24

ANNEX III.1: GLOBAL S.L.P. CB INSPECTOR QUALIFICATIONS (OPTIONS 1 AND 3) 28

1 GLOBAL S.L.P. SUB-SCOPE INSPECTOR 28

2 FORMAL QUALIFICATIONS AND WORK EXPERIENCE 28

3 TECHNICAL SKILLS AND QUALIFICATIONS 28

4 KEY TASKS 30

ANNEX III.2: GLOBAL S.L.P. CB AUDITOR QUALIFICATIONS (OPTION 1 MULTISITE WITH QMS, OPTIONS 2 AND 4) 32

1 GLOBAL S.L.P. SUB-SCOPE AUDITOR 32

2 FORMAL QUALIFICATIONS AND WORK EXPERIENCE 32

3 TECHNICAL SKILLS AND QUALIFICATIONS 32

4 KEY TASKS 35

VERSION/EDITION UPDATE REGISTER 36

1 LICENSE AND CERTIFICATION AGREEMENT

a) The 'GLOBAL S.L.P. License and Certification Agreement' establishes the rights and obligations of the GLOBAL S.L.P. Secretariat as the GLOBAL S.L.P. system co-coordinator and of the certification body (CB) as the neutral organization for auditing, inspection, certification and licensing activities within the framework of the GLOBAL S.L.P. system.

b) The 'GLOBAL S.L.P. License and Certification Agreement', including its updates, shall be accepted and signed by the CB as part of the application procedure to become and to remain a GLOBAL S.L.P. approved CB and to be listed as such on the GLOBAL S.L.P. website.

c) The 'GLOBAL S.L.P. License and Certification Agreement', the 'GLOBAL S.L.P. Sublicense and Certification Agreement', and the General Regulations complement each other and GLOBAL S.L.P. approved CBs shall continuously comply with all.

2 CERTIFICATION BODY APPROVAL PROCESS

2.1 CB Approval by GLOBAL S.L.P.

2.1.1 Provisional Approval

a) The CB shall complete the steps listed below before carrying out any GLOBAL S.L.P.inspections/audits, issuing any GLOBAL S.L.P. (Option 1, Option 2, or benchmarked) certificates and before provisional approval can be granted.

(i) The applicant CB shall register in the GLOBAL S.L.P. Database and send a completed application form in English and pay an evaluation fee (according to the latest version of the 'GLOBAL S.L.P. Fee Table') to the GLOBAL S.L.P. Secretariat for initiating the approval process.

(ii) After the positive evaluation of the application and before provisional approval, the applicant CB shall complete the following steps:

1. Sign the 'GLOBAL S.L.P. License and Certification Agreement'
2. Pay the annual CB license fee (according to the latest version of the 'GLOBAL S.L.P. Fee Table')

(iii) After provisional approval, but before conducting any GLOBAL S.L.P. inspection oraudit, the applicant CB shall complete the following steps:

1. Receive Database access from the GLOBAL S.L.P. Secretariat.
2. Register all auditors, inspectors, reviewers and relevant staff in the GLOBAL S.L.P. Database.
3. Have all the auditors, inspectors and reviewers complete the necessary GLOBAL S.L.P. online exams for the General Regulations and for the Control Points and Compliance Criteriain the relevant sub-scope(s).
4. Pay the relevant training fees per registered auditor/inspector/reviewer according to the latest version of the 'GLOBAL S.L.P. Fee Table'.

b) As a condition for provisional approval, the applicant CB intending to certify Option 1 producersshall have at least one inspector (for producer inspections) *and* one auditor (for the Certification Committee) who have passed the necessary online exam for the applied sub- scope and scope respectively as well as the General Regulations.

Applicant CBs wanting to certify Option 2 producer groups or Option 1 multisite producers withQMS shall have at least one auditor (for QMS audits) *and* at least a second auditor (for the Certification Committee and audit review) who have passed the necessary online exam for the applied sub- scope and scope respectively and the QMS auditor (mandatory) training.

c) The CB shall nominate a GLOBAL S.L.P. Scheme Manager (according to point 3.2 a)).

d) The CB shall nominate an in-house trainer (according to point 3.2 c)) and complete or at leastregister for the in-house trainer training of the relevant scope(s).

e) The CB intending to certify a benchmarked standard shall show proof of approval by the scheme or standard owner.

Note: CBs previously approved by GLOBALG.A.P. for any Livestock sub-scope are automatically considered provisionally approved.

2.1.2 Final Approval

The CB shall complete the steps below before the final approval:

a) As a condition for final approval, the provisionally approved CB shall have at least one in- house trainer (according to point 3.2 c)) who has completed the required training available forthe applied sub-scope.
b) CBs shall continually register all auditors and inspectors in the GLOBAL S.L.P. Database.
c) The registered auditors and inspectors shall complete the necessary GLOBAL S.L.P. online exams for the General Regulations and for the Control Points and Compliance Criteria in the relevant sub-scope when it is available in their working language.
d) CBs planning to certify Option 2 or Option 1 multisite with QMS shall have at least 2 auditors complying with the auditor qualification requirements as defined in Annex III.2 including the mandatory QMS auditor training.
e) CBs shall pay the relevant training fees per registered auditor/inspector according to the latestversion of the 'GLOBAL S.L.P. Fee Table'.

Note: CBs previously approved by GLOBALG.A.P. for any Livestock sub-scope are automatically considered approved.

2.2 Extension of Scopes, Sub-scopes, Approved Modified Checklists, and BenchmarkedSchemes

a) GLOBAL S.L.P. approved CBs that want to extend their *scope* of GLOBAL S.L.P. certificationshall follow all steps and requirements mentioned in 2.1.
b) GLOBAL S.L.P. approved CBs that want to extend their *sub-scope* of certification within a scope, shall have a minimum of 1 inspector or auditor who complies with specific GLOBAL S.L.P. inspector or auditor sub-scope requirements (Annexes III.1 and III.2 respectively). A formal application shall be sent to the GLOBAL S.L.P. Secretariat.
c) The precondition for scope or sub-scope extension (provisionally approved status) is the availability of an in-house trainer for the new sub-scope(s). In the absence of trainingopportunity, the CB at least has to register for the next upcoming training. The provisional approval shall be withdrawn where the CB does not attend or fail the applicable in-house training.
d) GLOBAL S.L.P. approved CBs willing to extend their approval to an AMC or benchmarked scheme - within the same scope and sub-scope- shall send an application request to the GLOBAL S.L.P. Secretariat.

2.3 Termination of Approval

In case a CB requests the termination of the 'GLOBAL S.L.P. License and Certification Agreement', thefollowing actions shall be taken:

a) The CB shall send a formal termination request to the GLOBAL S.L.P. Secretariat.
b) The CB shall inform all clients that the re-certification has to be carried out by another CB.
c) There is no need for the CB to modify or update anything in the GLOBAL S.L.P. Database. If the products are not re-accepted for the next cycle, once the current certificate expires, the new CB will be able to accept the GSN of the producers and re-certify.
d) From a specific date onwards, the CB shall be blocked in the GLOBAL S.L.P. Database andcannot register new clients or re-issue and extend their valid certificates.
e) The CB shall contact the Customer Support Team for any changes such as modification ofexisting certificates, shortening of the certificate validity, changing of the access rights of existing producers, amendments in the master data, complaints, etc.
f) The CB shall be listed on the GLOBAL S.L.P. website until their last certificate expires. A comment shall be added that the CB cannot contract/certify producers and will terminate itsGLOBAL S.L.P. approval on a specific date.
g) It shall be decided by GLOBAL S.L.P. if the certification body license fee applies for the currentand/or following year and whether any further training shall be attended.

3 OPERATIONAL REQUIREMENTS

3.1 General Requirements

a) All the points described in the General Regulations shall be accepted and included in the relevant operational document of the CB for GLOBAL S.L.P. certification of all scopes, sub- scopes and approved modified checklists. This requirement for approved modified checklists is fulfilled by the compliance with the relevant sub-scope requirements.
b) The CB shall pay the annual certification license and certificate fee.
c) The CB is responsible for communicating to its GLOBAL S.L.P. registered clients all relevant updates, as well as the date of first application and grace period of any new GLOBAL S.L.P. versions of normative documents.
d) GLOBAL S.L.P. shall be entitled to participate, upon prior notice and at its own cost, in inspections or audits carried out by CBs.
e) Certification bodies shall immediately inform GLOBAL S.L.P. of changes in personnel relevant for the management of the GLOBAL S.L.P. scheme (e.g. change of the Scheme Manager, in- house trainer, etc.) and of all changes that may affect their function as an independent CB.
f) Certification bodies shall actively cooperate with GLOBAL S.L.P. during management of complaints related to the CB or to the producers contracted by the CB.

3.2 Training and Qualification of Staff

a) Every CB approved by the GLOBAL S.L.P. Secretariat shall nominate one contact person, called the GLOBAL S.L.P. *S*cheme Manager, who will be the representative of the CB beforethe GLOBAL S.L.P. Secretariat. This person:
   (i) Shall be fluent in English.
   (ii) Shall at least qualify as a GLOBAL S.L.P. inspector (see requirements for GLOBAL S.L.P. inspectors in Annex III.1) for one of the approved sub-scopes.
   (iii) Shall be committed to assist in any harmonization activities performed by the GLOBAL S.L.P. Secretariat.
   (iv) Shall be available in-house; i.e. not hired occasionally by the CB, and be part of the operational and/or management decision-making process of the CB.
   (v) Shall be responsible for returning to the GLOBAL S.L.P. Secretariat the requestedsigned reception of any communication requiring written receipt.
   (vi) Shall be responsible for communication and administration of users within theGLOBAL S.L.P. system.
   (vii) Shall respond to GLOBAL S.L.P. operational enquiries as required in the communication. If the GLOBAL S.L.P. Scheme Manager is not available, a substitute shall assume these responsibilities.
   (viii) Shall distribute all communication received from the GLOBAL S.L.P. Secretariat to all CB staff involved in GLOBAL S.L.P. activities in all countries.
   (ix) Shall attend the annual Scheme Manager (update) meeting. This is a yearly task of theCB. If the Scheme Manager changes in the middle of the year, attendance of the SMUmeeting is not required again for that same year. If the Scheme Manager is on medicalleave (e.g. maternity), the CB may send another competent GLOBAL S.L.P. representative.
   (x) The Scheme Manager may be the same person as the in-house trainer.
b) In order to carry out GLOBAL S.L.P. inspections and audits, the CB shall employ/contract onlyinspectors and auditors that fulfill the GLOBAL S.L.P. requirements (see Annex III.1 and III.2 respectively). Every inspector/auditor has to fulfill all sub-scope specific requirements (i.e. it isnot permitted to send 2 people to an audit/inspection to complete among them the competence of one auditor or one inspector).
c) All finally approved CBs shall have a sub-scope and version (i.e. IFM Version 5) specifically trained CB in-house trainer, who shall be responsible for ensuring that all their registered GLOBAL S.L.P. auditors and inspectors comply with the requirements set in Annex III.1 and Annex III.2. This person:
   (i) Needs to have passed the CB in-house trainer training exam for the relevant sub-scopeand version. Failing any part of the exam twice will require re-attending a GLOBAL S.L.P. CB in-house training course and successfully passing the exam.
   (ii) Shall be available in-house; i.e. not hired occasionally by the CB. The person may be the same person as the Scheme Manager and the CB may have more than one in- house trainer covering different standards or sub-scopes.
   (iii) Shall comply with at least inspector qualification requirements for the respective sub- scope.
   (iv) Shall be responsible for training all the respective GLOBAL S.L.P. auditors and inspectors (based on GLOBAL S.L.P.)
   (v) Shall complete the required training within 3 months in case of a change in personnel. If this is

not feasible, the new person shall register within 3 months for an upcoming course.

d) Only auditors complying with the auditor qualification requirements as defined in Annex III.2, including the mandatory QMS auditor training may carry out QMS audits (Option 2 or Option1 multisite with QMS).

e) Every inspector and auditor shall complete the GLOBAL S.L.P. online tests (including examsof the updates) within 3 months after their release provided they are available in the inspector's/auditor's working language. The in-house trainer(s) shall monitor the genuinenessand the completeness of the process. New inspectors shall complete the online trainings for the relevant sub-scopes before being signed-off. If inspectors/auditors are working for more than one CB, the online training and exam for the respective sub-scope needs to be completed only once, but the inspectors/auditor need to be registered with each CB they are working with. In-house trainers do not need to pass the online exam for the sub-scopes for which they have already passed the in-house training (IHT) exam.

f) GLOBAL S.L.P. reserves the right to ask for the proof of qualification of the inspectors and auditors approved by the CB. In the case that the CB is not able to submit such proof, and/or the inspectors and auditors do not comply with the qualification requirements, GLOBAL S.L.P. reserves the right to block those persons in the GLOBAL S.L.P. Database.

g) The CB shall carry out a GLOBAL S.L.P. witness assessment and/or re-inspection for each ofits GLOBAL S.L.P. inspectors/auditors at least once every 4 years to verify competence.

h) The CB shall verify, record, and monitor the requirements set for inspector/auditor qualification including requirements for initial training and for maintenance of competency.

i) The CB shall have in place a system for the on-going calibration and training of its inspectorsand auditors. The CB shall carry out annual internal refreshing/update training to inspectors/auditors. Records of those trainings shall be maintained.

j) After successful examination, the in-house trainers of the GLOBAL S.L.P. associate memberCBs have the possibility to become GLOBAL S.L.P. approved public trainers. This requires aseparate application. These in-house trainers do not need to pass an extra training/examination for this purpose. A list of train the public trainers is listed on the GLOBAL S.L.P. website.
Note: All relevant auditors, inspectors, Scheme Managers, and In House Trainers, previously approved by GLOBALG.A.P. for any Livestock sub-scope are automatically considered approved.

3.3 CB Certification Data Communication with GLOBAL S.L.P.

a) The objective is to "know at any point in time, instantly and worldwide":
   (i) The present status and status history
   (ii) The certified products, per
   (iii) Area/volume, for
   (iv) Each unique producer (legal entity), in
   (v) All schemes and options (per product), with
   (vi) Central validation of certificates by market participants (online validation tool), and
   (vii) Audit/inspection and compliance details

b) Therefore, the CB data communication with GLOBAL S.L.P. shall:
   (i) Ensure that as soon as the CB has made the certification decision, no certificate isissued before the product status is updated to "certified" in the GLOBAL S.L.P. Database
   (ii) Ensure that as soon as a sanction has been issued, the producer's status shall be changed in the GLOBAL S.L.P. Database to the relevant status (time between issuing the sanction and updating the Database shall not exceed more than one working day)
   (iii) Ensure that the status of all other producers shall be sufficiently updated so as to ensurethat the status of a producer on the GLOBAL S.L.P. Database is up-to-date.
   (iv) Ensure availability of immediately accessible information on all audit and inspection details (including those of the unannounced inspections and audits) as well as details for each certificate.

3.4 Independence, Impartiality, Confidentiality, and Integrity of CB

a) The GLOBAL S.L.P. approved CB shall be structured to ensure separation of activities that may cause a conflict of interest. All CB personnel shall operate at high levels of professional integrity, be free from commercial, financial or other pressures that might affect their judgment, and are expressly forbidden from promoting any goods or services during evaluation activities.

b) The CB shall have procedures in place to ensure that the same inspector does not inspect a produce

(Option 1) for 4 consecutive years (regardless of whether it is an announced or unannounced inspection/audit). Under Option 2, the auditor in the audit team shall rotate (no more than 4 consecutive years to audit the same group QMS). However, the inspectors in the audit team may remain the same.

c) *Confidentiality:* Information relating to the applicant producer, including details of products and processes, evaluation reports, and associated documentation, shall be treated as confidential(unless otherwise required by law). No information shall be released to third parties without the prior consent of the applicant producer unless stated otherwise in the General Regulationsor the 'GLOBAL S.L.P. Sublicense and Certification Agreement'.

d) The CB shall establish measures and procedures to prevent bribery and corruption at all levelsof its organization.

4 PRODUCER REGISTRATION AND ACCEPTANCE

The GLOBAL S.L.P. certification granting procedure shall be clearly identified in the CB operational documentation and shall follow the GLOBAL S.L.P. General Regulations.

4.1 General

a) All production sites to be certified shall be registered in the GLOBAL S.L.P. Database (when available).

b) The product scope is linked to the location where that product is produced. Products producedin a non-registered location cannot be certified, and likewise products that are not registered but are grown on a registered location cannot be certified.

c) Only producers or producer groups may apply to register their production process for GLOBAL S.L.P. certification.

d) A certificate and sublicense are issued to the registered producer, for production sites where the products are produced (and packed or handled if applicable) and for the products declared.

e) Only the legal certificate holder (i.e. the legal entity that is indicated on the certificate) may market products with reference to a GLOBAL S.L.P. certificate. Members of a producer groupare not legal certificate holders. Thus, they shall not market any products under their name with reference to the group certificate. All products that are sold without reference to the certificate shall be recorded in the group mass balance system.

4.2 Producer Registration

a) The CB and producer shall agree to 'Service of Notice' terms, which shall include a commitment by the CB to confirm the receipt of formal application for (first) registration within28 calendar days after the CB has received the unique GLOBAL S.L.P. Number (GSN) from the GLOBAL S.L.P. Database.

b) Each CB sets up and explains to its prospective clients its own detailed fee structure, which should specify the relevant GLOBAL S.L.P. fees. Each CB invoice to producers/producer groups, or an accompanying document to each invoice, shall clearly identify the GLOBAL S.L.P. registration fee.

c) The CB shall explain to its prospective clients that the payment of the relevant GLOBAL S.L.P.inspection and certification fee does not guarantee the issuing of the certificate.

d) If a producer or producer group that has previously had a GSN applies for registration, the CBshall act according to the GLOBAL S.L.P. procedure for transfer between certification bodies as set out in section 7 below.

e) If a producer or producer group wishes to change to a new CB, the accepting CB shall as a first step for all applicants carry out a search in the GLOBAL S.L.P. Database to verify the status before any further actions are taken.

f) If a producer or producer group uses the services of more than one CB, each CB shall conductthe respective inspections (Option 1) and QMS audit (Option 1 multisite with QMS or Option 2) independently.

(i) If one of the CBs issues a sanction, all CBs operating with that producer or producer group have the obligation to communicate with each other, regarding the scope and, ifappropriate, details of actions to be taken across all CBs.

(ii) The communication of a sanction to all CBs operating with that legal entity is an obligation

which the producer or producer group shall undertake, but can also be madeby GLOBAL S.L.P. directly to the CBs involved.

(iii) The communication between CBs shall include all relevant details, but the sanction issued shall be valid and all relevant CBs shall observe this.

g) The CB shall establish and implement procedures for collecting data updates of the accepted producers, such as production site or product area changes and inclusion/de-listing ofmembers within a producer group.

4.2.1 Registration Data Requirements

The CB shall:

a) Record during registration all the information requested in the General Regulations Part I Annex I.2 'GLOBAL S.L.P. Registration Data Requirements'.

b) Ensure that all producer members approved by a producer group QMS and included in the producer group internal register shall be registered individually on the GLOBAL S.L.P. Database according to the requirements of the 'General Regulations Part I', Annex I.2. This information shall be kept up-to-date at all times.

c) Keep the GLOBAL S.L.P. Database updated accordingly. This information shall be updated regularly whenever thereis a change.

4.2.2 Data Access Rules

a) The CB shall inform the producer or the producer group about and explain the 'Data Access Rules' document available on the website.

b) The CB shall inform the producer or the producer group and explain any changes to the 'DataAccess Rules' document when applicable.

c) Data access rights shall be defined and signed by the producer/producer group duringregistration with the CB. The data owner is responsible for granting and determining the level of rights for data access. The data owner, however, can transfer the responsibility to other users (e.g. certification body).

d) *Data Protection:* Within the framework of the GLOBAL S.L.P. system, only parties to the system, as previously defined, shall be authorized to view the data (e.g. the producer, CB, GLOBAL S.L.P., market participants, the public, etc.). In addition, the producer can offer personal data to trading partners who have been previously authorized by the producer, or theproducer may instruct a third party to do so. This authorization can be revoked online at any time. Any further access to the producer's personal data is illegal and is prevented by the operator of the database in accordance with the EU General Data Protection Regulation (GDPR), the Spanish Data Protection Act (LOPD), and any further applicable local laws and regulations

GLOBAL S.L.P. will keep the applicant's/producer's certification history in its Database for a minimum of 5 years.

5 ASSESSMENT PROCESS

5.1 Option 1 Producers

5.1.1 See Section 5.1 in General Regulations Part I.

5.2 Announced Inspections

(i) The CB may divide the announced inspections into 2 modules: An off-site module and an on-site module. Both modules have to be performed by the same auditor/inspector.

(ii) The off-site evaluation methodology shall be validated by the CB before putting it into practice and shall be part of the yearly management review.

(iii) The inspection of the off-site module shall be conducted no more than 4 weeks before the on-site module. It consists of a desk review of documentation sent by the producer to the CBbefore the on-site inspection. The CB shall schedule a date as deadline for the producer to submit the documents to be evaluated off-site. That date will also trigger the period of 28 days to conduct the on-site assessment.

(iv) Documentation that can be assessed off-site by the CB includes the following: Self- assessment, 'Food Safety Policy Declaration', risk assessments, procedures required in several CPCC, veterinary health plan, analysis programs (frequency, parameters, locations), analysis reports, licenses, list of medicines used, proof of lab accreditation, certificates or inspection reports of subcontracted

activities, and medicine application records.

(v) Evaluation of control points off-site shall be recorded in the inspection checklist through sufficient comments for the specific control points. Comments shall be supplied for all MajorMusts and all non-compliant and not applicable Minor Must control points unless otherwise indicated in the 'Guideline for Inspection Methodology', if available.

(vi) Date, time, and duration of the off-site and on-site modules of each inspection shall be recorded by the inspector and signed by the auditee.

(vii) The on-site module is conducted after this technical review of the producer's documentation,to verify the information and the way the production process works on-site and to inspect theremaining content of the checklist that was not evaluated off-site.

(viii) In case non-conformances are found during the whole assessment process (off-site and on-site modules together), the countdown to the deadline for closing them begins with the on- site closing meeting.

(ix) This system does not reduce the overall inspection duration (see requirements regarding inspection duration in scope-specific rules), but it will allow more efficient use of time on-site.The duration of the on-site module shall never be shorter than 2 hours.

5.3 Option 2 Producer Groups and Option 1 Multisites with QMS

5.3.1 External QMS Audits of Option 2 Producer Groups and Option 1 Multisites (with Implemented QMS)

a) The evaluation process shall involve a sampling of the components to assess compliance withthe standard and enable certification. All documentation, sites, personnel, and operations that are declared by the group or multisite organization to be relevant and pertinent to the setting up and administration of the QMS as described in General Regulations Part II shall be evaluated.

b) The evaluation process is designed to establish that the QMS and administrative structure meet the criteria and that the internal audits and inspections of producers/production sites meet the requirements of the GLOBAL S.L.P. scheme.

c) The evaluation process is divided into 2 elements:
   (i) Audit of the QMS

d) Inspection of a sample of registered producers/production/handling sites (see General Regulations Part I 5.2) The CB shall send the audit plan to the management of the applicant prior to the audit.

e) The QMS audit shall be undertaken at the central office/administrative center of the producergroup or multisite company and at the central product handling facility/facilities.

f) The evaluation process of the requirements included in General Regulations Part II shall takeat least 6 to 8 hours, depending on the size of the producer group/multisite company and shallinclude:
   (i) Opening meeting with management.
   (ii) Review of all relevant documentation.
   (iii) Evaluation of records.
   (iv) Review of internal audits and inspections conducted.
   (v) Review of mass balance exercise.
   (vi) Discussion/interviews with key staff.
   (vii) Closing meeting including review of non-conformances and non-compliances identified

g) Evaluation of all internal inspector and auditor qualifications shall be carried out before first certification. In subsequent audits the CB shall re-evaluate annual requirements and qualification of new inspectors and auditors and may also re-evaluate files checked in previous seasons.

h) As part of the QMS audit, the results of the external and internal audits and inspections shall be compared to assess whether the applicant's internal controls are appropriate.

i) The final report and result can only be concluded after both the QMS and the minimum sampleof producer members/production sites are evaluated.

5.4.1.1 Off-Site Module

(i) The CB may divide the announced audits into 2 modules: The off-site module and the on- site module. Both modules have to be performed by the same auditor.

(ii) The off-site evaluation methodology shall be validated by the CB before putting it into practiceand shall be part of the yearly management review.

(iii) The inspection of the off-site module shall be conducted not more than 4 weeks before the on-site module. It consists of a desk review of documentation sent by the QMS to the CB before the audit.

The CB shall schedule a date as deadline for the QMS to submit the documents to be evaluated off-site. That date shall trigger the period of 28 days to conduct the on-site assessment.

(iv) Documentation that can be assessed off-site by the CB includes the following: Internal audit,internal register of approved producer members/production sites, 'Food Safety Policy Declaration', risk assessments, procedures required in General Regulations Part II, residue analysis reports, licenses, list of medicines used, proof of lab accreditation and certificates or inspection reports of subcontracted activities.

(v) Evaluation of QMS requirements off-site shall be recorded in the QMS checklist through sufficient comments regarding the evidences reviewed.

(vi) Date, time, and inspection duration of the off-site and on-site modules of each audit shall berecorded by the auditor.

(vii) Inspection of the on-site module is conducted after the technical review of the QMSdocumentation, to verify the information and the way the management system works on-site (e.g. internal inspections, traceability, segregation, and mass balance, central producthandling units, etc.) and to audit the remaining content of the QMS checklist that was not evaluated off-site.

(viii) In case non-conformances are found during the whole assessment process (off-site and on-site modules together) the countdown to the deadline for closing them begins with the on- site closing meeting.

(ix) This system does not reduce the overall audit duration (see requirements regarding audit duration in 5.4.1 f)), but it does allow more efficient use of time on-site. The duration of the on-site module shall never be shorter than 3 hours.

5.3.2 External Inspection of Producer Group Members and/or Production Sites

5.4.2.1 Annual Inspection:

a) The final selection and communication to the QMS of which producers/sites to inspect shall normally be carried out by the CB after the QMS audit (both off-site and on-site modules), using criteria based on the group/company structure and defined in a sampling procedure, which is risk-based. The notification shall normally not exceed 48 hours (2 working days) perproducer.

b) Certification bodies may, based on justifiable criteria, increase the verification rate of the total numbers of registered producers/production sites. The producer group/company has the rightto appeal such a decision. Reasons for an increase could arise from any of the following:
   (i) Failure to comply with significant QMS and/or product handling requirements affecting the producer members' compliance
   (ii) Customer complaints; e.g. illegal pesticide residue detection
   (iii) Significant inconsistencies between the internal audit/inspection reports and the CB inspection/audit findings
   (iv) The possible need to determine if the NC is structural or not
   (v) Number of products

c) Producers shall be classified by production type, within the respective sub-scope. These mayinclude, but are not limited to the following examples:
   (i) Housed livestock.
   (ii) Open-field livestock.

   Example 1a: If a group of producers (64 in total) is being inspected for GLOBAL S.L.P. for dairy and all production takes place in the open field, the square root of all producers (8) would be thesample size.

   Example 1b: If, however, within that group of 64 producers, 16 produce dairy indoors, the squareroot of that small group of producers (4) would also be inspected, as they have a different production type. The square root of the 48 (64-16) and the square root of the 16 (4) means that a total of 7 + 4 = 11 producers will be inspected.

d) The minimum sample size is the square root of registered producers per sub-scope and production type. The square root shall be rounded upwards to the next whole number if thereare any decimals. During the inspection of each of these selected producers/sites, all the products shall be inspected.

e) The producer selection shall aim to cover all producer members/sites of the producergroup/company throughout the years, taking into consideration risk factors, new producers and random selection. Unless there is a particular reason (higher risk, special status of the member, number of products, previous inspection results, multisite member, etc.) the subsequent assessment shall normally not include producers/sites already sampled during previous assessments. Producers that move from one

group to another shall have a higher possibility of being included in the sample of producers chosen by the CB.

Example 1: An applicant has 4 registered production sites, and the CB, after the QMS audit, setsthe square root as the sample. Therefore, 2 sites (√4) shall be inspected at this initial inspection.

Example 2: A group has a total of 64 producers of which 48 seek certification for the sub-scope cattle and sheep, 25 seek certification for the sub-scope poultry and 9 seek certification for the sub-scope fruit and vegetables. The minimum sample size including each sub-scope will be √48
+ √ 25 + √9 = 7 + 5 + 3 = 15 producers to be inspected externally by the CB.

f) The scope of the inspection of the producers selected in the sample shall be complete. This shall cover:
- All products registered for certification that they grow
- All types of production (see d)
- All sub-scopes for which they are registered

Inspections carried out on members/sites in which more than one production type or sub-scope is evaluated count as one inspection for each sub-scope or production type.

Example 1: Multiple production type:
A producer group has 53 tomato producers. 28 grow in greenhouses only, 17 grow in the openair only, 8 grow both in greenhouses and the open air.
The minimum size of sample would be:
- Open air: 17+8= 25=>√ =5 (minimum number of producers)
- Covered: 28+8=36 =>√ =6 (minimum number of producers)

However, the minimum total number of producers: 8 (√53)

IMPORTANT: Criteria for the selection of growers for the inspection explained in f) shall alwaysbe considered.

g) In case a producer member operates a mulitisite with a QMS, it shall be merged with the central QMS of the group, as there can be only one QMS for the group. In cases of multisitesin a group situation, the producer member with the sites shall be taken into account for calculating the sample size and not the number of sites. The CB shall inspect the square rootof the sites of that member during the external audit if that member is chosen as part of the sample. However, during internal inspections all the sites of a producer member must be inspected.

Example: In a group of 25 members, one member classifies as a member with multiple sites (4),The CB shall inspect 5 members (square root of 25). If the multisite member is chosen as one ofthe 5 members, 2 (square root of 4) of his sites will be inspected. In total 6 sites for the group willbe inspected).

5.4.2.2 Surveillance Inspections for Producers in Option 2 and/or Production Sites in Option 1Multisites:

a) Annual inspections and surveillance inspections shall be carried out during 2 separate visits that shall be a minimum of 30 days apart from each other.

b) The final selection and communication to the QMS of which producers/sites to inspect shall normally not exceed 48 hours (2 working days) per producer.

5.4 Unannounced Inspections (Option 1 only) and Audits (QMS only)

a) The selection of the 10 % shall not only take into account total numbers, but shall also be calculated and carried out based on risk assessment and considering factors such asgeography, legislation (where several jurisdictions are covered by the CB), scope, compliance history, etc.

b) The 10 % shall be calculated for a 12-month period. The number of unannounced inspectionsand audits per 12-month period shall reflect 10 % of the certificates issued without QMS included and with QMS included, respectively. So, 10% of the annual certificates will be issued after unannounced inspections/audits.

c) The 10 % shall be distributed among the countries where the CB has certificate holders and itshall be representative of the countries.

d) The calculation of the 10 % shall be carried out per scope.

e) There shall be a minimum of one inspection or audit per year and scope; i.e. if the CB has ≤10Option 1 certified producers, at least one producer shall be inspected, and/or if the CB has ≤10 Option 2 certificate holders, at least one shall be audited annually.

f) CBs with only one Option 2 certified producer group shall perform an unannounced QMS auditat least every 2 years.

g) Program assessments may count towards the number of unannounced inspections or audits per

year. The CB shall carry out the follow-up of the non-conformances found during that Certification Integrity Program assessment.

5.5 E Inspection of Product Handling Units (Option 2 and Option 1 Multisites with QMS)

a) The CB shall inspect central product handling units (i.e. less than one product handling unit per producer group member/production site), using the combined QMS and product handlingchecklist made available by GLOBAL S.L.P.

b) Where the product handling does not take place centrally, but on the production sites of eachproducer member, this factor shall be taken into account when determining the sample of producers to be inspected. In this case, the CB shall use the normal IFM checklist per inspectedproducer.

c) For the internal inspections, every product handling unit shall be inspected.

5.6 External Inspections and Audits of Approved Modified Checklists (AMC)/EquivalentSchemes

a) **Benchmarking:** The scheme applying for benchmarking is assessed for equivalence by comparing content and performance criteria with GLOBAL S.L.P. Refer to the 'BenchmarkingRegulations' for more information.

b) **Scheme rules:** For AMC (approved modified checklists) the GLOBAL S.L.P. General Regulations apply. For equivalent schemes, see the corresponding scheme General Regulations.

c) **Benchmark validation:** The individual producer/producer group will be the certificate holder once certified. For validating certification, all legal entities shall be registered in the GLOBAL S.L.P. Database.

d) **GLOBAL S.L.P. approved CBs:** All certification carried out within a full benchmarked standard shall be carried out by CBs approved by GLOBAL S.L.P. or by the corresponding scheme owner.

e) **Frequency:** The applicant scheme shall ensure verification of producers according to the rulesfor Option 1 and of producer groups/multisites with a QMS according to the rules for Option 2.

6 CERTIFICATION PROCESS

6.1 General

a) The person who makes the certification decision or at least one member of the certification committee of the CB shall comply with auditor qualifications as set out in Annex III.2 for the scope the certificate is being issued for. In case the certification decision is related to Option 1and does not include a QMS, the CB still needs to have one person of the certification decisioncommittee complying with auditor qualification. This person, however, does not need to attendand pass the mandatory QMS auditor training or to have 10 days experience in managementsystems audits.

b) Each CB shall be responsible for the information filed: any documentation related to GLOBAL S.L.P. procedures or GLOBAL S.L.P. clients shall be made available to GLOBAL S.L.P. on request.

c) In case of an Option 1 multisite with no QMS, all production sites where a registered product is produced shall be inspected before the certificate can be issued (if not, it is parallel production). In case of an Option 1 multisite with QMS implemented, rules for adding new sitesare explained in General Regulations Part II 11. 'Registration of Additional Producers or Production Sites to the Certificate'.

d) On completion of the full evaluation process, a full written report will be produced which summarizes the evaluation activity undertaken (date of the inspection, sites and facilities inspected, and duration of inspection/audit), provides objective evidence and information on how the producer or the producer group complies with the requirements of the standard, andwhere applicable, lists any non-compliances and/or non-conformances identified.

e) The producer/producer group representative shall sign or confirm the inspection and audit outcome (including at least the scope of the inspection/audit, the result in % of compliance forthe different levels of control points, list of findings, and duration) during the closing meeting. A documented or electronic confirmation by the producer is equal to the 'signature' of the producer.

f) Compliance is indicated with a "Yes" (for compliant), "No" (for not compliant), and "N/A" (for not applicable). Control points that are indicated as "No N/A" cannot be answered as "not applicable". In exceptions in which the control point is not applicable, the answer shall be givenas "Yes" with a clear justification.

g) Comments shall be recorded according to the 'Inspection Method and Justification Guideline'to enable the audit trail to be reviewed after the event and shall include details of evidences checked during the inspection. If there is no 'Inspection Method and Justification Guideline' published for a given sub-scope or standard, it is *obligatory to provide comments* for *all* the complied, non-compliant, and not applicable Major Musts and QMS control points as well as to all non-compliant and not applicable

Minor Must control points inspected/audited in all external inspections/audits (by CB) and internal inspections/audits. For the self-assessments(Option 1), it is *obligatory to provide comments* for *all* the non-compliant and not applicable Major Must and Minor Must control points and compliance criteria. Comments and evidences,such as which document(s) were sampled, workers interviewed, etc., shall be site- and product-specific and included in the checklist to ensure that all the control points have been properly assessed for all applicable sites and products.

h) For producer groups and multisite producers with QMS the evaluation report format shall be based on the QMS checklist. The evaluation report shall form the basis by which a decision can be made on the award of a certificate to the group.

i) The CB report shall contain the following:
   (i) All points listed in the 'Inspection Notes' section of the official GLOBAL S.L.P. checklist
   (ii) Scope of the inspection/audit: company, site, PHU, and product information according to the Annex I.2. Products, production quantity, sites/members, country of destination, handling, and harvest included or excluded, product attributes, etc. shall be included.
   (iii) Calculation of the total applicable Major Must, Minor Must, and Recommendation controlpoints, and % of the Minor Must non-conformances
   (iv) List of non-compliances, non-conformances, and follow up actions. This includes the relevant control point, the observation of what has been non-complied/conformed, evidence of non-fulfillment of the requirement, deadline for corrective action, descriptionof the corrective action by the producer, reference to objective evidence of implementation of the corrective action, evaluation result of the corrective action(open/closed), and the relevant dates of these actions.
   (v) Conclusion of compliance or not
   (vi) Certifier/reviewer(s) name

j) Stage of the report, e.g. preliminary or final. The CB may further define different report stages.The fully completed inspection/audit checklist including all applicable control points, comments/justification per control point (where required) and the objective evidence ofimplementation of the corrective action shall be available. It is not necessarily part of the finalreport but must be available on request.

k) Date of certification decision may be recorded in other places/system of the CB, not necessarily in the report.

l) Copies of the report, the objective evidences of implementation of the corrective actions, or the fully completed inspection/audit checklist shall only be provided to other parties if the applicant provides access by written authorization except to the regulatory authorities when requested according to the applicable national legislation.

m) The CB report (e.g. audit report, corrective action report, etc.) must be protected or otherwise controlled to prevent unauthorized modification or tampering prior to distribution.

6.2 E Inspection Duration

a) The inspection report shall include a recording of the inspection duration.

b) A sufficient inspection duration shall allow the auditor/inspector to have an opening meeting with the farm management (re-confirm the scope, etc.), inspect all applicable control points, inspect all products of the inspection scope; visit all production, storage, processing, and othercritical locations (e.g. water source), inspect the used machinery, interview personnel, evaluate the records, complete the checklist with sufficient comments and present the results to the producer right after the inspection has finished.

c) Additional requirements and guidance on the minimum inspection duration are described in the respective scope-specific rules.

6.3 Producer Non-Conformance and Sanctions

See also General Regulations Part I, 6.4 'Sanctions'.

a) All corrections and corrective actions shall be assessed; with clarification provided to show whether the action(s) taken and evidence provided are sufficient to close the non- conformance.

b) Evidence of the resolution of non-conformances can be provided in the form of documentary evidence and/or photographic evidence as appropriate. Evidences shall be filed and shall be made available to GLOBAL S.L.P. on request.

c) There may be occasions where demonstration of the resolution of a non-conformance can only be confirmed by a further site visit. Where this is required, a charge may result.

d) All non-conformances with the QMS shall be resolved *before* a certificate can be issued.

e) Satisfactory corrective actions shall be completed to achieve the approval level on a producersand/o

production site level *before* a certificate can be issued to the group or company.

f) Lifting of a sanction: A sanction will not run out with the cycle but stays with the GSN until suchtime that the non-conformance is closed.

6.3.1 Open Non-Conformance

The status “open non-conformance” cannot be given to producer group members’ products.

6.4 Paper Certificate Requirements

a) After a positive certification decision, the CB shall issue a certificate according to the latest version of the GLOBAL S.L.P. certificate template.

b) The paper certificate may only be issued based on the information available at that time in theGLOBAL S.L.P. Database for that unique GSN.

c) A list of all the producers, production sites, and PHUs to which the certificate relates shall be issued in an appendix referred to in the certificate. The CB shall keep this list up-to-date.

d) GLOBAL S.L.P. CBs or their subcontracted parties may issue communications other than thecertificate related to the producer status (registered, audited, etc.) as long as it is clear that it is not a certificate and it contains the sentence: The actual GLOBAL S.L.P. status of this producer is always displayed in the database.

7 TRANSFER BETWEEN CERTIFICATION BODIES

a) This explains how to proceed when producers that are found in the GLOBAL S.L.P. Databasechange from the original GLOBAL S.L.P. approved CB [hereinafter referred to as the “outgoingCB”] to another GLOBAL S.L.P. approved CB [hereinafter referred to as the “accepting CB”]. The objective is to assure the maintenance of the integrity of GLOBAL S.L.P. certificates issued by one CB and to guarantee that a producer’s history within GLOBAL S.L.P. is addressed in the review process when entering into contract with a GLOBAL S.L.P. CB.

b) These are the minimum requirements for the transfer of producers found in the GLOBAL S.L.P.Database (and, where applicable, their corresponding certificates) between CBs working withGLOBAL S.L.P. CBs may implement procedures or actions, which are more stringent than those contained herein, provided that a producer’s or producer group’s freedom to choose a CB is not unduly or unfairly constrained.

c) Only producers and producer groups registered in the Database may change CBs. Allproducers shall first resolve any outstanding sanction(s) before being able to transfer to a newCB. In case a sanctioned producer wants to change CB and the certification cycle has alreadyexpired, as an exception, the outgoing CB can lift the non-conformance of an expiredcertificate without having received evidences of corrective actions. But, in this case, the outgoing CB shall ensure that the accepting CB is fully aware of the cause of the non- conformance.

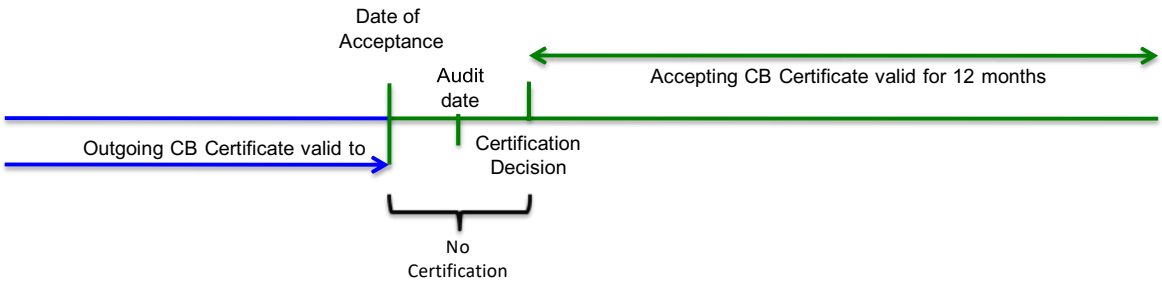
d) The accepting CB shall keep the existing GSN of the transferred producer or producer group.Double registration is not allowed (i.e. one producer or producer group can have only one GSN even if the same producer or producer group is affiliated with more than one CB).

e) The accepting CB shall close the registration process, including entering into a sublicense and certification agreement with the producer/producer group before accepting the transfer. The transfer of producers between CBs can take place when a producer’s or producer group’s certificate has expired and also if there is no binding service contract between the producer and the outgoing CB.

f) The producer or producer group shall apply for certification for the next cycle to another CB (“accepting CB”).

g) The outgoing CB may shorten the validity of the issued certificate.

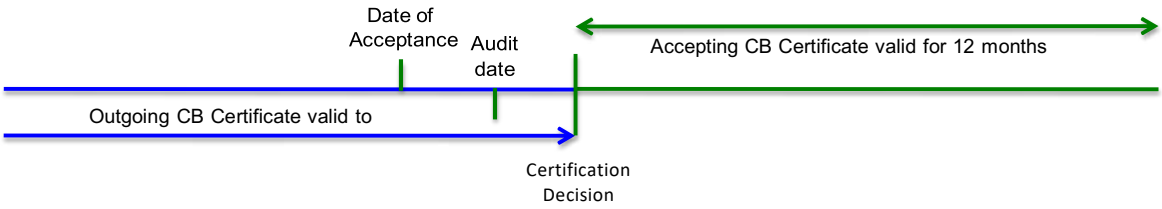
h) If the “Date of Acceptance” (signing of the ‘GLOBAL S.L.P. Sublicense and Certification Agreement’) and “Date of Audit” are *after* the outgoing CB’s certificate expiry date, there will be a period when the producer does not have a valid certificate.



i) If, however, the "Date of Acceptance" (signing of the 'GLOBAL S.L.P. Sublicense and Certification Agreement') and perhaps also the "Date of Audit" are *before* the outgoing CB's certificate expiry date, the certification decision can only take effect as soon as the certificate expires. In this case, the certification cycle of the producer will remain the same as before.

j) The outgoing CB remains responsible until its certificate expires. The producer may sign a 'GLOBAL S.L.P. Sublicense and Certification Agreement' with the accepting CB while under contract with the outgoing CB. The 'GLOBAL S.L.P. Sublicense and Certification Agreement'is binding for the accepting CB only once the outgoing CB has released the producer's GSN in the GLOBAL S.L.P. Database.

k) If, during the validity of the certificate issued by the outgoing CB, the accepting CB detects non-conformities that are not closed after 28 days, the accepting CB shall inform the outgoingCB about the non-conformities detected so that it can take appropriate follow-up actions.



Note 1: If the certification decision is made *after* the outgoing CB certificate has expired, even if the "Dates of Acceptance" and audit were before the expiration date, there will be a period when the producerwill not have a valid certificate.
Note 2: In case of transfer, the registration of products in the Database might not be finalized before the inspection and the certification decision might not be taken within 28 days.

Rules for transfer during the extension period of a valid certificate:

1) The certificate validity may be extended beyond 12 months (for a maximum period of 4 months) only if there is a valid reason, which shall be recorded. Here are the only reasonsthat are considered valid:

   a) The CB wants to schedule the on-site inspection/audit after the certificate has expired in order to observe a certain part of the production process, because it has not been seen in the previous inspection/audit, because it is considered to be a high- risk process in terms of product safety, or in order to be able to see a newly added product, process, or new or particular member of a producer group.

   b) The CB needs to be able to extend some certificates because of resource restraints.

   c) The CB was not able to conduct the on-site inspection/audit and/or the producer was not able to receive the CB inspection/audit due to circumstances beyond their control (force majeure): e.g., natural disaster, political instability in the region, epidemic, or unavailability of the producer due to medical reasons.

   d) For the validity extension, the CB which issued the current valid certificate reaccepts the product in the GLOBAL S.L.P database for a full next cycle within the original validity period of the certificate.

The certification cycle in this case remains the same as if the certificate had been extended.

2) The CB shall always have a signed complete application form and a signed certification contract before an extension is granted.

Note: If the CB or the producer wants to extend a certificate's validity, the CB has to a) have a written confirmation by the producer for the extension and b) clearly communicate that this action does not allow a change of the CB for the upcoming cycle.

3) The full registration and certification fee for the next cycle shall be paid by the producerto CB 1 (the CB which issued the current valid certificate) once the extension starts.

4) The producer shall be re-inspected during that extension period.

5) The producer cannot change the CB in the cycle subsequent to the one for which theextension was granted.

6) If the producer wants to change CBs, the inspection/audit by the new CB2 was performed during the certificate extension period (extension is by CB1), and CB2 did not ask for termination from CB1 before the inspection/audit, then the producer cannot change and must stay with CB1 for the upcoming certification cycle.

7) Exception to 7) is given only if the outgoing CB1 explicitly asks for termination of the extension and authorizes GLOBAL S.L.P. to transfer the GGN to the new CB2. GLOBAL S.L.P. will process only those transfer requests coming from the outgoing CB1which extended the certificate validity. It is entirely the decision of the outgoing CB1 to release the client under a valid contract.

8) If transfer is granted, the certificate validity issued by the new CB2 shall be 12 months minus the extension period given by the outgoing CB1. The new CB2 shall ask the outgoing CB1 or the producer for the previous certificate, in order to know the original certification cycle.

9) If a certificate that was not extended expires and the subsequent inspection/audit (to be performed by the same CB) takes place within 12 months of the expiration date, a new certification cycle should start.

10) If the certificate has been expired for longer than 12 months, the CB shall apply the rulesfor initial (first) inspection/audit.

8 CERTIFICATION BODY SANCTIONS

8.1 General Rules

a) The GLOBAL S.L.P. Board defines the types and levels of sanctions described here.

b) Appeals against a sanction proposed by the GLOBAL S.L.P. Secretariat or by the Integrity Surveillance Committee (ISC; see below) shall be received within 5 working days after the receipt of sanction notification. The ISC or the GLOBAL S.L.P. Secretariat evaluates the appeals. The second appeal against a re-confirmed sanction by the ISC follows the arbitrationprocedure as described in the 'GLOBAL S.L.P. License and Certification Agreement' and in the 'Equivalent Certification System Owner Agreement'.

c) GLOBAL S.L.P. has established an Integrity Surveillance Committee (ISC), which decides on the sanctions as outlined in this document, based on a case-by-case approach.

d) The ISC consists:

(i) Issue sanctions as defined in section 9.3 of this document.

(ii) Request additional/extra integrity assessments of CBs.

(iii) Decide that the sanctioned CB has to pay the cost of the assessment or re-assessmentvisit(s). The rate of any assessment visit and the necessary travel time is EUR 1000 perday including travel costs. If an assessment visit is planned to exceed 3 days, the ISC shall approve.

(iv) Pronounce fines.

(v) Require the CB to reimburse the costs directly linked to the investigation and sanctioning process of a particular case. The burden of proof of the amount of costs lieswith the GLOBAL S.L.P. Secretariat.

(vi) Advise the GLOBAL S.L.P. Secretariat to cancel the contract with the CB concerned

(vii) Request that particular inspectors/auditors who have not performed according to the GLOBAL S.L.P. General Regulations repeat the online exam in the presence of a GLOBAL S.L.P. Secretariat representative. The CB shall cover the additional exam feeand other expenses.
(viii) Request that particular inspectors/auditors attend a GLOBAL S.L.P. approved training course. The CB shall cover participation, exam fees, and other expenses.
(ix) The ISC may directly suspend a CB inspector/auditor based on the outcome of one or more integrity assessments and forbid the person to carry out any inspection/audit in the GLOBAL S.L.P. system.

e) By default, sanctions are applicable to the CB as a whole. The ISC may limit the sanctions to scope, sub-scope level or to a geographical area only.
f) Sanctioning steps 1 to 5 (see section 9.3 below) are not necessarily consecutive (e.g. it is possible for a CB after receiving a first warning due to incomplete database entries, to receivea Red Card and jump to step 4 immediately due to the Certification Integrity Program result).
g) Sanctions will be communicated to the concerned equivalent certification system owner (ECSO) or to the owner of the approved modified checklist (AMC).
h) In case of a CB suspension, the CB is not allowed to issue new certificates. The ISC's decision shall take into consideration the reason of the suspension to determine whether existing certificates issued by the CB are still valid and shall consider issuing a Red Card.
i) The ECSO can ask GLOBAL S.L.P. to carry out additional integrity assessments beyond the ones already initiated by GLOBAL S.L.P. GLOBAL S.L.P. may charge a separate fee for thoseadditional assessments.

8.2 E Types of Non-Conformances

2 types of non-conformances can lead to sanctioning of CBs.

8.2.1 E Contractual Non-Conformances

Contractual non-conformances are at hand in the case that CBs are not in compliance with contracts signedwith GLOBAL S.L.P. These may include, but are not limited to:

a) Misleading or false communication on GLOBAL S.L.P. certification and logo use.
b) Refusal to sign the 'GLOBAL S.L.P. License and Certification Agreement' and anyamendments after a period set by the GLOBAL S.L.P. Secretariat.
c) Neglecting to pay any of the GLOBAL S.L.P. fees (e.g. CB license fee, training fee, certificationlicense fee, producer registration fee).
d) Confirmed fraud.

8.2.2 Standard or General Regulations Non-Conformances

a) General Regulation or Standard non-conformances are at hand in the case that the CBs do not comply with the rules set out in the General Regulations or do not interpret the Control Points and Compliance Criteria according to the GLOBAL S.L.P. rules. Examples of such non-conformances include but are not limited to:
   (i) Not participating in annual compulsory CB trainings.
   (ii) Not following the online training requirements.
   (iii) Incomplete or late upload of certification data.
   (iv) Unreliable registration and audit data.
   (v) No response to GLOBAL S.L.P. official communication and/or complaints.
   (vi) Confirmed fraud.
   (vii) Not applying approved National Technical Working Group (NTWG) guidelines, unlessjustified and communicated to the GLOBAL S.L.P. Secretariat.
   (viii) Conflict of interest (e.g. consultancy and certification).
   (ix) Delay or non-application of producer sanctions.
   (x) Inadequate internal training.
   (xi) Not complying with the scope of the external inspections.
   (xii) Not obeying CB operational requirements and deadlines, such as not responding tocorrective actions or delaying of issuance of certificates.
b) The GLOBAL S.L.P. Secretariat shall be responsible for addressing these types of non-conformances.

9 INTEGRITY PROGRAM (IPRO)

The Integrity Program consists of 2 pillars:

a) Brand Integrity Program (BIPRO) (e.g. contractual issues, database, logo use, administrative requirements, complaint management, etc.)
b) Certification Integrity Program (CIPRO) (e.g. inspection, audit or certification performance ofthe CB, etc.)

The sanctioning procedures are illustrated in a flow chart at the end of the document.

9.1 Brand Integrity Program

The following non-conformances fall under the Brand Integrity Program:

a) Non-conformances as defined in 8.2. The ISC may be requested to judge the CB immediately, e.g. 8.2.2a (vi) 'confirmed fraud'.
b) Repeated incomplete or missing registration in the GLOBAL S.L.P. Database as defined in section 9.3 'Sanctioning Steps for Certification Bodies'
c) Any outstanding payment of invoices accepted by the CB that has not been settled within 3 months after the second written warning by the GLOBAL S.L.P. Secretariat will result in a RedCard, and finally in step 5, a contract cancellation.
d) Incomplete or wrong database entries and/or issued certificates.
e) The sanction level derived from database entries will be re-set (annulled) in case the CB doesnot exceed the threshold (5 GSNs or 1 % of the total number of GSNs registered under a CB,whichever is higher) within 12 months after the latest sanction or after the start of the monitoring process.

9.2 Certification Integrity Program

The Certification Integrity Program is risk based and consists of 2 kinds of assessments:

a) Office assessments to check CB certification performance.
b) Producer assessments or witness CB assessments to check CB inspection and auditperformance.

9.2.1 Evaluation and Classification of Assessment Results

a) Each assessment is documented in a Certification Integrity Program assessment report. A representative of each assessed site (producer, producer group, or CB office) shall sign the assessment report.
b) Each Certification Integrity Program assessment report is sent to the CB, to the ECSO/AMCO. CBs and ECSO/AMCO shall use these reports as management feedback for their continuous improvement processes.
c) Evidence from one or more classified Certification Integrity Program assessment report and the failure of the CB to demonstrate improvement from previous assessments are the basis for GLOBAL S.L.P. to propose an overall performance classification of the CB to the ISC. TheCB will be informed about their proposed performance classification and shall be given the opportunity to respond in a written statement within 14 (fourteen) days after notification. The ECSO/AMCO shall be notified by GLOBAL S.L.P.
d) ISC decision-making is based on *all* the following:
   (i) The individual assessment reports presented by the GLOBAL S.L.P. Secretariat taking into consideration all previous assessments.
   (ii) The proposed performance classification by GLOBAL S.L.P.
   (iii) The CB's written statement (feedback).
e) The assessment reports submitted to the ISC are anonymous and shall not disclose the nameof the CB(s) involved.
f) The GLOGALG.A.P. Secretariat may request a summary of follow-up measures, but notnecessarily require a corrective action plan on each case.
g) In case the CB representative is present and accepts the assessment findings, the integrity assessor can decide that the CB can book this integrity assessment as an unannounced inspection/audit under the 10 % rule.
h) The CB is expected to follow-up the findings of the integrity assessment and ensure that the producer complies with the certification requirements.

9.2.1.1 Classification

Classification #1

(i) Definition:

Unacceptable performance, which puts the overall competency of the CB in question: Serious infringements of the GLOBAL S.L.P. or an equivalent standard's rules are observed. These include, but are not limited to, objective evidence for:

- Deliberate and/or repeated ignorance or negligence of the GLOBAL S.L.P. or an equivalent standard's regulations
- Misuse of the GLOBAL S.L.P. or an equivalent standard's license
- One or more serious technical failures in the inspection/audit process
- A large number of minor technical failures in the inspection/audit process
- Verified fraud

(ii) Procedure

a) Further assessment(s) can be planned to investigate whether it was an isolated incidentor a general way of working, but one single assessment can also result in classification#1.
b) The CB is put forward to the ISC immediately and implements corrections/corrective actions on the farm and CB levels immediately.
c) The CB reports its immediate remedial action to the GLOBAL S.L.P. Secretariat and where applicable to the ECSO/AMCO.

Classification #2

(i) Definition

a) Very poor performance, which implies serious and immediate improvement measures by the CB: A number of assessments raise serious doubts and concerns.
b) Deliberate mismanagement is suspected, but objective evidence of fraud was not found.Actual (i.e. not only potential, but actually present) food safety danger has not been identified during the inspection/audit.

(ii) Procedure

a) The CB shall immediately verify corrections/corrective actions on a farm level.
b) New assessments (re-assessments) shall be scheduled to verify the effectiveness ofthe corrective measures within a maximum of 10 months.
c) The CB is put forward to the ISC.
d) The CB shall be put forward to the ISC immediately in any cases where a potential foodsafety risk has not been identified by the CB.

Classification #3

(i) Definition

Inadequate performance, which requires the CB to improve performance and implement improvement measures. The result of a number of assessments raises some concerns.

(ii) Procedure

a) New assessments (re-assessments) shall be scheduled to verify the effectiveness ofthe corrective measures within a maximum of 15 months.
b) If no improvement is observed, the CB shall be put forward to the ISC.

Classification #4

The CB's performance is acceptable. No systematic and serious non-conformances have been found. A few incidences detected that do not affect the integrity of the process. The CBdisplays a good performance. No specific re-assessments are scheduled, but the CB remainsa part of the random surveillance program and may receive further integrity assessments.

Classification #5

Good performance, without incidences detected. The CB has shown a high level of implementation of the GLOBAL S.L.P. requirements. Low priority is given to schedule subsequent assessments, but the CB remains a part of the random surveillance program andmay receive further integrity assessments.

9.3 Sanction Steps for Certification Bodies

a) The sanctions, as set out in table 9.3, are applicable to all CBs in violation of the rules andwhere a non-conformance (similar to those in 8.2.2) has been observed.
b) The penalty shall depend on the severity of the non-conformance or the recurrence of non-conformance.
c) GLOBAL S.L.P., and the equivalent standard owner shallwork closely together with the ISC.

Table 9.3 Sanction Steps for Certification Body Non-conformances

	Sanctioning Steps	Decision Maker
Step1	**1st Warning**	**GLOBAL S.L.P. Secretariat and/or the Integrity Surveillance Committee**
Step2	**2nd Warning**	**GLOBAL S.L.P. Secretariat and/or the Integrity Surveillance Committee**
Step3	**Yellow Card**	**Integrity Surveillance Committee** (Published on the GLOBAL S.L.P.website)
Step4	**Red Card**	**Integrity Surveillance Committee** (Published on the GLOBAL S.L.P. website. CB is not allowed to (re-)issue new certificates untilfurther notice)
Step5	**Contract Cancellation**	**Proposed by the Integrity Surveillance Committee** (Published on the GLOBAL S.L.P. website. Cancellation of the 'GLOBAL S.L.P. License andCertification Agreement')

* Note: Sanctioning steps 1 to 5 are not necessarily consecutive.

9.3.1 Step 1 – 1st Warning

a) Decided by the ISC or by the GLOBAL S.L.P. Secretariat. A 1st Warning that is due to Brand Integrity Program non-conformances can be followed by a 2nd Warning without the approval of the ISC.
b) The 1st Warning can be issued:
   (i) Where non-conformances with the standard rules as defined in the General Regulationsare detected.
   (ii) Where the CB does not react to or does not report on written requests by the GLOBAL S.L.P. Secretariat. Where the number of incomplete or wrong database entries and/or issued certificates reached 5 GLOBAL S.L.P. Numbers (GSN) or 1 % of the total number of GSNs registered under a CB, whichever is higher.
c) The CB shall pay partially or fully for the number of re-assessment days proposed by the ISC.

9.3.2 Step 2 – 2nd Warning

a) Decided by the ISC or by the GLOBAL S.L.P. Secretariat.
b) The 2nd Warning can be issued:
   (i) Where the 1st Warning has not been closed after the indicated deadline
   (ii) Where the CB does not react to or does not report on repeated written requests by theGLOBAL S.L.P. Secretariat.
   (iii) Where the number of incomplete or wrong database entries and/or issued certificatesagain reached 5 GLOBAL S.L.P. Numbers (GSN) or 1 % of the total number of GSNsregistered under a CB, whichever is higher.
c) The CB shall pay partially or fully for the number of re-assessment days proposed by the ISC.

9.3.3 Step 3 – Yellow Card

a) Judged and decided by the ISC and implemented by the GLOBAL S.L.P. Secretariat. The Yellow Card is published on the GLOBAL S.L.P. website and the GLOBAL S.L.P. members are informed.
b) A Yellow Card can be lifted by the ISC when the GLOBAL S.L.P. Secretariat has verified the effectiveness of the improvement during one or more verification (re)assessments and foundit to be satisfactory.
c) The CB shall pay partially or fully for the number of re-assessment days proposed by the ISC.
d) A Yellow Card can be issued:
   (i) For the period when the CB implements improvement measures due to the CertificationIntegrity Program assessment results. The timeframe for improvement is stipulated by the ISC but shall not exceed 12 months. GLOBAL S.L.P. schedules a follow-up assessment to evaluate improvement.
   (ii) Where improvements observed in a re-assessment are not sufficient.
   (iii) Where no reaction follows written requests by the GLOBAL S.L.P. Secretariat after step2 – 2nd Warning.
   (iv) Where after step 2 – 2nd Warning the number of incomplete or wrong database entriesand/or issued certificates again reaches 5 GSNs or 1 % of the total number of GSN registered under a CB, whichever is higher.

9.3.4 Step 4 – Red Card

a) Judged and decided by the ISC and implemented by the GLOBAL S.L.P. Secretariat. The RedCard is published on the GLOBAL S.L.P. website and the GLOBAL S.L.P. members are informed.
b) Temporarily full or partial prohibition of the use of the GLOBAL S.L.P. license is imposed, i.e.the CB is not allowed to issue new or re-issue certificates until further notice.
c) The ISC may lift this sanction only if confidence in the reliability of the CB's operation can be reassured.
d) The CB will pay for the verification (re)assessments.
e) A Red Card can be issued (non-exhaustive list):
   (i) Where CB performance does not show sufficient improvement during further repeatedre-assessments
   (ii) Where a Yellow Card has not been closed after the indicated deadline
   (iii) Where after step 3 – Yellow Card the number of incomplete or wrong database entriesand/or issued certificates again reaches 5 GSNs or 1 % of the total number of GSN registered under a CB, whichever is higher.

f) The CB being issued the Red Card shall inform (by means of a written letter) all its producersabout the right to require the CB to annul the 'GLOBAL S.L.P. Sublicense and Certification Agreement' within 5 business days of the loss of GLOBAL S.L.P. approval. Following a producer request, the CB shall allow and facilitate the producer transfer to another CB. In casethe CB fails to do so, GLOBAL S.L.P. shall inform the producers using the contact details registered in the GLOBAL S.L.P. Database and release the GSN in the GLOBAL S.L.P. Database on the producer's request to allow a producer transfer to another CB.

9.3.5 Step 5 – Contract Cancellation

a) Judged and proposed by the ISC, decided and implemented by the GLOBAL S.L.P. Secretariat. Contract cancellation is published on the GLOBAL S.L.P. website and the GLOBAL S.L.P. members are informed.
b) Cancellation of the 'GLOBAL S.L.P. License and Certification Agreement' shall be imposed forat least 2 years.
c) The ECSO is responsible for enforcing this sanction on the CBs operating a GLOBAL S.L.P. equivalent scheme.
d) The CB that has lost its GLOBAL S.L.P. approval shall inform (by means of a written letter) allits producers about the right to require the CB to annul the 'GLOBAL S.L.P. Sublicense and Certification Agreement' within 5 business days of the loss of GLOBAL S.L.P. approval. Following a producer request, the CB shall allow and facilitate the producer transfer to anotherCB. In case the CB fails to do so, GLOBAL S.L.P. shall inform the producers using the contactdetails registered in the GLOBAL S.L.P. Database and release the GSN in the GLOBAL S.L.P.Database on the producer's request to allow a producer transfer to another CB.

e) Contract cancellation can follow in the following cases (non-exhaustive list):
   (i) In cases of verified fraud
   (ii) Where a Red Card sanction could not be lifted after the agreed deadline
   (iii) Bankruptcy

ANNEX III.1: GLOBAL S.L.P. CB INSPECTOR QUALIFICATIONS (OPTIONS 1 AND 3)

1 GLOBAL S.L.P. SUB-SCOPE INSPECTOR

a) Inspectors will be able to inspect a sub-scope on the farm level once the CB has verified factualevidence (as described below) of their qualifications and experience for each sub-scope.

2 FORMAL QUALIFICATIONS AND WORK EXPERIENCE

a) At least a post high school (post-secondary education) diploma or equivalent (minimum courseduration of 2 years) in a discipline related to the scope of certification: Livestock.
AND
A minimum of 2 years' experience gained after finishing post high school studies and overall 3 years' experience in the Livestock industry
OR

b) A post high school (post-secondary education) diploma with a minimum duration of 2 years ina food related discipline
AND
A minimum of 4 years industry experience either in a practical capacity on farm/site or in a technical production management role in the relevant scope of certification

3 TECHNICAL SKILLS AND QUALIFICATIONS

3.1 Inspector Training

One-day practical inspection course setting out basic principles of inspection.

3.2 Food Safety, G.A.P. Training, and Work Experience

a) Training in HACCP principles either as part of formal qualifications or through the successful completion of a formal course based on the principles of the Codex Alimentarius (the formal course may be an internal training by the CB). The minimum training duration shall be 8 hours.Duration and content shall be indicated on the evidence available for this requirement (coursecertificate, evidence of training included in formal qualifications, etc.).

b) Food hygiene training either as part of formal qualifications or through the successful completion of a formal course (the formal course may be an internal training by the CB). The formal course duration shall be a minimum of 8 hours. Duration and content shall be indicatedon the evidence available for this requirement (course certificate, evidence of training includedin formal qualifications, etc.). The food hygiene training course shall cover: site management,water, fertilizer, equipment, facilities and personal hygiene, and it shall also include practical case studies. Already approved inspectors have a one-year transition period after the publication of GLOBAL S.L.P. IFM Version 5 to complete this training.
Both trainings in points a) and b) can be taken together in the same formal course (minimum duration 16 hours).
A food hygiene course is not required for Flowers and Ornamentals and/or Plant PropagationMaterial inspectors.

c) GLOBAL S.L.P. online training, with the successful completion of all online tests and the respective updates within 3 months after release in the inspector's language

d) Basic veterinary medicine and stockman ship training including animal health and welfare issues. The experience required shall involve work in the respective scope and may have been gained simultaneously for more than one scope and/or sub-scope/group according to the table below:

If an inspector has 3 or more years'working experience in:	It is possible to inspect the following sub-scopes/groups:
Ruminants (CS, DY, CYB)	CS, DY, CYB
PG	PG
PY	PY, TY
TY	PY, TY

To audit/inspect an additional specific sub-scope/group within a scope, proof of a formal course of production practices and sub-scope/group specific working experience (i.e. one year working experience or 10 days witness assessments) are required.

The formal courses can be part of the formal qualifications(degree/diploma) or can be separate courses that were taken by the inspector. The inspector shall presentproof of qualification. If it was part of the degree/diploma, it shall be in the syllabus of the course. If it was acquired separately, there shall be a separate certificate, which shows that a course that covered these issues was completed (including an exam).

3.3 Communication Skills

a) "Working language" skills in the corresponding native/working language. This shall include thelocally used specialist terminology in the respective working language.
b) Exceptions to this rule shall be discussed with and confirmed in writing beforehand by the GLOBAL S.L.P. Secretariat.

3.4 Initial Training Before Sign-Off by the CB

a) The CB shall put a training program in place customized to the candidate/trainee.
b) The applicant inspector shall take part as an observer in a minimum of one Option 1 produceror one Option 2 producer group member inspection of the relevant sub-scope. In case the CB takes over (hires) an approved (for the currently valid version) inspector, the rule "to observe a minimum of one Option 1 producer or one Option 2 producer group memberinspection of the relevant sub-scope'' does not apply.
c) The CB shall witness a minimum of one inspection of an Option 1 producer or an Option 2 producer group member by an already qualified inspector or auditor respectively per sub- scope.
d) The CB shall use the GLOBAL S.L.P. witness assessment tool (when made available).
e) For the CB's first inspector the CB's internal procedures apply.
f) As a minimum requirement, the CB shall verify competence in the following topics:
   - Technical knowledge in a given sub-scope.
   - Ability to identify food safety risks/food hazards.
   - Ability to evaluate the HACCP system and identify/challenge critical control points.
   - Up-to-date knowledge of basic veterinary medicine and stockmanship, including health and welfare requirements
   - Ability to carry out traceability checks and mass balance analyses.
   - Wherever the control point refers to local legislation, knowledge of the relevant requirements.
   - Having the sufficient communication and behavioral skills as to be able to conduct an inspection/audit.
   - "Working language" skills in the corresponding native/working language.

Note: Auditors/Inspectors previously approved by GLOBALG.A.P. for any Livestock sub-scope are automatically considered provisionally approved for the corresponded sub-scope.

3.5 Maintenance of Competency

a) The CB shall have in place a procedure to ensure maintenance of competency.
b) Witness inspections/audits shall be acceptable to maintain competency.

c) Exceptions to this rule, e.g., if the CB does not have a total of 5 clients, shall be discussed withand confirmed in writing beforehand by the GLOBAL S.L.P. Secretariat.
d) The CB shall carry out a GLOBAL S.L.P. witness inspection and/or re-inspection for each ofits GLOBAL S.L.P. inspectors at least once every 4 years to verify competence.
e) These requirements do not apply for those Scheme Mangers who do not carry out inspections.
f) If it is not possible to maintain competency from one year to the other, 3.4 shall apply.

3.6 Rotation of the inspector

a) The CB shall have procedures in place to ensure that the same inspector does not inspect a producer (Option 1) for 4 consecutive years (regardless of whether it is an announced or an unannounced inspection).
b) Under Option 2 and Option 1 multisite with QMS, the auditor in the audit team shall rotate (nomore than 4 consecutive years to audit the same QMS). However, the inspector(s) in the auditteam may remain the same.
For example, inspector #1 inspects a producer in years 1, 2, 3 and 4; in year 5 another inspector (inspector #2) has to do the annual inspection. In years 6, 7, 8 and 9 the inspector #1 *may* do 4 consecutive inspections again. This also applies for the group member inspections.
c) When the CB has only one inspector in a given country/region, exceptions may be given case-by-case. The exemption period shall last for 12 months.

4 KEY TASKS

4.1 GLOBAL S.L.P. Farm Inspections

a) Inspection of farms (either a producer, a production site of a multisite company or a producermember of a producer group) to assess compliance with the GLOBAL S.L.P. Standard. This may include shadow inspection of the internal inspectors of producer groups or Option 1 multisites with QMS.
b) To produce timely and accurate reports on such inspections in accordance with ISO 17065 and GLOBAL S.L.P. timelines and system requirements.

4.2 General

a) To maintain up-to-date files of all quality policies, procedures, work instructions, anddocumentation issued by the CB.
b) To keep abreast of developments, issues and legislative changes pertaining to the scope inwhich inspections are carried out. To carry out any other tasks the CB may assign, outside the scope of GLOBAL S.L.P. as longas these activities do not contradict ISO 17065 principles or any stipulation set down by GLOBAL S.L.P. General Regulations.

4.3 Independence and Confidentiality

a) Inspectors are not permitted to carry out any activities that may affect their independence or impartiality, and specifically are not permitted to accept bribes and to have carried out consultancy activities in the last 2 years for the producers they are performing inspections on.Training is not considered to be consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain, i.e. the trainer cannot provide company-specific solutions.
b) Inspectors shall strictly observe the producer's and the CB's procedures to maintain the confidentiality of information and records.

ANNEX III.2: GLOBAL S.L.P. CB AUDITOR QUALIFICATIONS (OPTION 1 MULTISITE WITH QMS, OPTIONS 2 AND 4)

1 GLOBAL S.L.P. SUB-SCOPE AUDITOR

a) Auditors will be able to audit quality management systems of all sub-scopes once the CBhas verified factual evidence (as described below) of their qualifications and experience for at least one sub-scope. Producer and production site inspections however need sub-scope-specific qualifications.

2 FORMAL QUALIFICATIONS AND WORK EXPERIENCE

a) At least a post high school (post-secondary education) diploma or equivalent (minimum course duration of 2 years) in a discipline related to the scope of certification.
AND
A minimum of 2 years' experience gained after finishing the respective post high school studies and overall 3 years' experience in the Livestock industry
OR

b) A post high school (post-secondary education) diploma with a minimum duration of 2 yearsin a food-related discipline AND
A minimum of 4 years' industry experience either in a practical capacity on farm/site or in a technical production management role in the relevant scope of certification

3 TECHNICAL SKILLS AND QUALIFICATIONS

3.1 Lead Assessor Training

a) Practical auditing experience of minimum 10 days in management systems (e.g.: ISO 9000, ISO 14000, ISO 22000, OSHAS 18000), BRC Food, IFS Food, previousGLOBAL S.L.P. Option 2 or Option 4, producer group audits of organic growers or others).This does not include witnessing or observing of audits, but includes being witnessed or observed as auditor-in-training.

b) Successful completion of a lead assessor training course based on ISO 19011 principles that shall have a minimum duration of 37 hours, and shall be externally recognized by theindustry. The certificate shall specify the course content and duration. Successful completion shall be indicated on the certificate.

c) The lead assessor training course shall cover applicable standards on quality auditing, auditing techniques, focus of the audits (psychological aspects and communication), and reporting, and it shall also include a practical case study.

3.2 Food Safety, G.A.P. Training, and Work Experience

a) Training in HACCP principles, either as part of formal qualifications or through thesuccessful completion of a formal course based on the principles of the Codex Alimentarius(the formal course may be an internal training by the CB). The training duration shall be aminimum of 8 hours. Duration and content shall be indicated on the evidence provided forthis requirement (course certificate, evidence of training included in formal qualifications, etc.). The course duration for auditors only approved for Flower and Ornamentals and/or Plant Propagation material may be shorter.

b) Food hygiene training, either as part of formal qualifications or through the successful completion of a formal course (the formal course may be an internal training by the CB). Successful completion of a food hygiene training course with a minimum duration of8 hours. Duration and content shall be indicated on the evidence provided for this requirement (course certificate, evidence of training included in formal qualifications, etc.).The food hygiene training course shall cover site management, water, fertilizer, equipment,facilities, and personal hygiene, and it shall also include practical case studies. Already approved auditors have one-year transition period after the publication of GLOBAL S.L.P.IFM Version 5 to complete this training.
Both trainings in points a) and b) can have been completed together in the same formal course (minimum duration 16 hours). A food hygiene course is not required for Flowers and Ornamentals and/or Plant Propagation Material auditors.

c) GLOBAL S.L.P. online training, with the successful completion of all online tests and the respective updates within 3 months after release of the training in the inspector's language.

d) Basic veterinary medicine and stockman ship training including animal health and welfare issues.

To audit/inspect an additional specific sub-scope/group within a scope, proof of a formal course of production practices and sub-scope/group-specific working experience (one year working experience or 10 days witness assessments) are required.

The formal courses can be part of the formalqualifications (degree/diploma) or can be separate courses that were taken by the auditor. The auditor shall present proof of qualification. If it was part of the degree/diploma, it shall be in the syllabus of the course. Or, if it was acquired separately, then there shall be a separate certificate,which shows that a course that covered these issues was completed (including an exam).

3.3 Communication Skills

a) "Working language" skills in the corresponding native/working language. This shall includethe locally used specialist terminology in this working language.

b) Exceptions to this rule shall be discussed beforehand with the GLOBAL S.L.P. Secretariat.

3.4 Initial Training Before Sign-Off by the CB

a) The CB shall put a training program in place that is customized to the candidate/trainee.

b) The applicant auditor shall take part as an observer in a minimum of one Option 1 produceror one Option 2 producer group member inspection of the relevant sub-scope and one audit by an already qualified inspector or auditor respectively. In case of CFM auditors, theobservation of a QMS audit is not applicable.
In case the CB takes over (hires) an approved (for the currently valid version) auditor, therule ''to observe a minimum of one Option 1 producer or one Option 2 producer group member inspection of the relevant sub-scope'' does not apply.

c) The CB shall witness a minimum of one inspection of an Option 1 producer or an Option 2producer group member per sub-scope and one QMS audit by the applicant auditor. An inspector or auditor can witness the inspection, but only an auditor can witness the audit. In case of CFM auditors, being witnessed during a QMS audit is not applicable.

d) The CB shall use the GLOBAL S.L.P. witness assessment tool (when made available).

e) For the CB's first auditor the CB's internal procedure shall apply.

f) The QMS auditor shall attend a GLOBAL S.L.P. QMS auditor training and pass the exam for each new standard version. In case of CFM auditors, this requirement is not applicable.

g) As a minimum requirement, the CB shall verify competence in the following topics:
- Technical knowledge in a given sub-scope
- Ability to identify food safety risks/food hazards
- Ability to evaluate the HACCP system and identify/challenge critical control points
- Up-to-date knowledge of basic veterinary medicine and stockmanship, includinghealth and welfare requirements
- Ability to carry out traceability checks and mass balance analyses
- Wherever the control point refers to local legislation, knowledge of the relevant requirements
- Having the sufficient communication and behavioral skills as to be able to conductan inspection/audit
- "Working language" skills in the corresponding native/working language

3.5 Maintenance of Competency

a) The CB shall have in place a procedure to ensure that annually every inspector/auditor conducts at least 5 inspections/audits or 10 inspection/audit days, at a number of differentproducers, against each GLOBAL S.L.P. standard (e.g. IFM (including all sub-scopes and PSS), CoC, CFM, etc.), AMC, or fully benchmarked scheme, to maintain scheme knowledge and to stay registered in the GLOBAL S.L.P. Database.

b) Witness inspections/audits shall also be acceptable to maintain competency.

c) Exceptions to this rule, e.g., if the CB does not have a total of 5 clients, shall be discussedwith and confirmed in writing beforehand by the GLOBAL S.L.P. Secretariat.

d) These requirements are not valid for those auditors whose main task it is to be part of the certification body decision-making committee.
e) The CB shall carry out a GLOBAL S.L.P. witness audit and/or re-audit for each of itsGLOBAL S.L.P. auditors at least once every 4 years to verify competence.
f) If it is not possible to maintain competency from one year to the other, 3.4 shall apply.

3.6 Rotation of the auditor

a) The CB shall have procedures in place to ensure that the same auditor does not inspect aproducer (Option 1) for 4 consecutive years (regardless of whether it is an announced or an unannounced audit).
b) Under Option 2 and Option 1 multisite with QMS, the auditor in the audit team shall rotate(no more than 4 consecutive years to audit the same QMS). However, the inspector(s) in the audit team may remain the same. For example, auditor #1 audits a group QMS in years1, 2, 3, and 4; in year 5 another auditor (auditor #2) has to do the annual audit. In years 6,7, 8, and 9 the auditor #1 *may* do 4 consecutive audits again. This also applies for group member inspections.
c) When the CB has only one auditor in a given country/region, exceptions may be given case-by-case. The exemption period shall last for 12 months.

4 KEY TASKS

4.1 GLOBAL S.L.P. QMS Audits

a) Auditing and assessment of the quality management system of producer groups and Option 1 multisites where a QMS is implemented for compliance with the GLOBAL S.L.P. Standard according to the QMS checklist, available on the GLOBAL S.L.P. website.
b) To produce timely and accurate reports on such audits in accordance with ISO 17065 requirements and GLOBAL S.L.P. timelines and system requirements.

NOTE: An auditor qualified in the scope of Fruit and Vegetables can audit the QMS of a group seeking certification for Pigs, however this auditor cannot conduct any farm inspections of the pigproducers.

4.2 GLOBAL S.L.P. Farm Inspections

a) Inspection of farms (either producer or production sites (Option 1) or producers in producergroups (Option 2)) to assess compliance with the GLOBAL S.L.P. Standard. This may include shadow inspection of the internal inspectors of producer groups or Option 1 multisites with QMS.
b) To produce timely and accurate reports on such inspections in accordance with ISO and GLOBAL S.L.P. timelines and system requirements.

4.3 General

a) To maintain up-to-date files of all quality policies, procedures, work instructions and documentation issued by the CB.
b) To keep abreast of developments, issues, and legislative changes pertaining to the scopein which audits are carried out.
c) To carry out any other tasks the CB may assign outside the scope of GLOBAL S.L.P. so long as these activities do not contradict EN 45011 or ISO/IEC Guide 17065 principles or any stipulation set down by the GLOBAL S.L.P. General Regulations.

4.4 Independence and Confidentiality

a) Auditors are not permitted to take ultimate certification decisions regarding own audits or inspections they have carried out themselves.
b) Auditors are not permitted to carry out any activities that may affect their independence or impartiality, and specifically are not permitted to accept bribes and to have carried out consultancy activities in the last 2 years for the producers they are performing inspectionson. Training is not considered to be consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain, i.e. the trainer cannot provide company-specificsolutions.

c) Auditors shall strictly observe the producer's and the CB's procedures to maintain the confidentiality of information and records.

VERSION/EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of Modifications
190201_GG_Part-III_V5_2_en	190201_GG_Part-III_V5_2_en	25 August 2023	GLOBALG.A.P. LIVESTOCK transition into GLOBAL S.L.P.

If you want to receive more information on the modifications in this document, please contact the GLOBAL S.L.P. Secretariat at translation_support@globalslp.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".

Copyright

© Copyright: GLOBAL S.L.P. c/o DEFHESA SMARTPLUS SL Calle Neptuno 1 45111 Cobisa, Spain. Copying anddistribution permitted only in unaltered form.