GLOBALG.A.P.

INTEGRATED FARM ASSURANCE
ALL FARM BASE | AQUACULTURE MODULE / CHAIN OF CUSTODY

CONTROL POINTS AND COMPLIANCE CRITERIA

ENGLISH VERSION 4.0
EDITION 4.0-2_MAR2013

VALID FROM: MARCH 2013
OBLIGATORY FROM: JUNE 2013

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Nº	Control Point	Compliance Criteria	Level
AF	**ALL FARM BASE**		
	Control points in this module are applicable to all producers seeking certification as it covers issues relevant to all farming businesses.		
AF 1	**SITE HISTORY AND SITE MANAGEMENT**		
	One of the key features of sustainable farming is the continuous integration of site-specific knowledge and practical experiences into future management planning and practices. This section is intended to ensure that the land, buildings and other facilities, which constitute the fabric of the farm, are properly managed to ensure the safe production of food and protection of the environment.		
AF 1.1	**Site History**		
AF 1.1.1	Is a reference system for each field, orchard, greenhouse, yard, plot, livestock building/pen, and/or other area/location used in production established and referenced on a farm plan or map?	Compliance must include visual identification in the form of a physical sign at each field/orchard, greenhouse/yard/plot/livestock building/pen or other farm area/location, or a farm plan or map that could be cross-referenced to the identification system. No N/A.	Minor Must
AF 1.1.2	Is a recording system established for each unit of production or other area/location to provide a record of the livestock/aquaculture production and/or agronomic activities undertaken at those locations?	Current records must provide a history of GLOBALG.A.P. production of all production areas. No N/A.	Major Must
AF 1.2	**Site Management**		
AF 1.2.1	Is there a risk assessment available at the initial inspection for all sites registered for certification? During subsequent inspections, a risk assessment for new or existing production sites where risks have changed (this includes rented land) is available. Does this risk assessment show that the site in question is suitable for production, with regards to food safety, the environment, and animal health where applicable?	A risk assessment is needed at the initial inspection to determine if the site is appropriate. The risk assessment must be reviewed annually and take into account risks that have changed or when new sites are used. Risk assessments must take into account site history and impact of proposed enterprises on adjacent stock/crops/ environment (see AF Annex 1 Risk Assessment for basic information and AF Annex 2 for specific information on what must be covered).	Major Must
AF 1.2.2	Has a management plan been developed which establishes strategies to minimize the risks identified in the risk assessment (AF 1.2.1)?	A management plan addresses the risks identified in AF 1.2.1 describes the strategies, which justify that the site in question is suitable for production.	Minor Must
AF 2	**RECORD KEEPING AND INTERNAL SELF-ASSESSMENT/INTERNAL INSPECTION**		
	Important details of farming practices should be recorded and records kept.		

Nº	Control Point	Compliance Criteria	Level
AF 2.1	Are all records requested during the external inspection accessible and kept for a minimum period of time of two years, unless a longer requirement is stated in specific control points?	Producers must keep up-to-date records for a minimum of two years. At least three months prior to the date of external inspection or from the day of registration, new applicants must have full records that reference each area covered by the registration with all of the agronomic activities related to GLOBALG.A.P. documentation required of this area. For Livestock these records must go back at least one rotation before the initial inspection. No NA.	Minor Must
AF 2.2	Does the producer or producer group take responsibility to conduct a minimum of one internal self-assessment or producer group internal inspection, respectively, per year against the GLOBALG.A.P. Standard?	There is documented evidence that in Option 1: an internal self-assessment has been completed under the responsibility of the producer; Option 2: an internal inspection of every member of the group and an internal QMS audit have been conducted under the responsibility of the producer group. No N/A.	Major Must
AF 2.3	Are effective corrective actions taken as a result of non-conformances detected during the internal self-assessment or internal producer group inspections?	Necessary corrective actions are documented and have been implemented. No N/A.	Major Must
AF 3	**WORKERS HEALTH, SAFETY AND WELFARE**		
	People are key to the safe and efficient operation of any farm. Farm staff and contractors as well as producers themselves stand for the quality of the produce and for environmental protection. Education and training will help progress towards sustainability and build on social capital. This section is intended to ensure safe practices in the work place and that all workers both understand, and are competent to perform their duties; are provided with proper equipment to allow them to work safely; and that, in the event of accidents, can obtain proper and timely assistance.		
AF 3.1	**Health and Safety**		
AF 3.1.1	Does the producer have a written risk assessment for hazards to worker health and safety?	The written risk assessment can be a generic one but it must be appropriate for conditions on the farm. The risk assessment must be reviewed and updated when changes (e.g. new machinery, new buildings, new plant protection products, modified cultivation practices, etc.) occur. Examples of hazards include but are not limited to: moving machine parts, power take-off (PTO), electricity, excessive noise, dust, vibrations, extreme temperatures, ladders, fuel storage, slurry tanks, etc. No N/A.	Minor Must

Nº	Control Point	Compliance Criteria	Level
AF 3.1.2	Does the farm have written health and safety procedures addressing issues identified in the risk assessment of AF 3.1.1?	The health and safety procedures must address the points identified in the risk assessment (AF 3.1.1) and must be appropriate for the farming operations. They could also include accident and emergency procedures, and contingency plans, dealing with any identified risks in the working situation, etc. The procedures must be reviewed annually and updated when the risk assessment changes.	Minor Must
AF 3.1.3	Have all workers received health and safety training?	Workers can demonstrate competency in responsibilities and tasks through visual observation. There must be evidence of instructions and training records. The producer may conduct the health and safety training if training records, and/or training material are available (i.e. need not be an outside individual who conducts the training). No N/A.	Minor Must
AF 3.2	**Hygiene**		
AF 3.2.1	Does the farm have a written risk assessment for hygiene?	The written risk assessment for hygiene issues covers the production environment. The risks depend on the products produced and/or supplied. The risk assessment can be a generic one but it must be appropriate for conditions on the farm and must be reviewed annually and updated when changes (e.g. other activities) occur. No N/A.	Minor Must
AF 3.2.2	Does the farm have documented hygiene instructions for all workers?	The hygiene instructions are visibly displayed: provided by way of clear signs (pictures) and/or in the predominant language(s) of the workforce. At a minimum, the instructions must include: - The need for hand cleaning; - The covering of skin cuts; - Limitation on smoking, eating and drinking to designated areas; - Notification of any relevant infections or conditions, this includes sign of illness (e.g. vomiting; jaundice, diarrhea) whereby these workers shall be restricted from direct contact with the product and food-contact surfaces; - The use of suitable protective clothing. No N/A.	Minor Must
AF 3.2.3	Have all persons working on the farm received annual basic hygiene training according to the hygiene instructions in AF 3.2.2?	Both written and verbal training are given as an introductory training course for hygiene. All new workers must receive this training and confirm their participation. All instructions from AF 3.2.2 must be covered in this training. All workers, including the owners and managers, must annually participate in the farm's basic hygiene training.	Minor Must

Nº	Control Point	Compliance Criteria	Level
AF 3.2.4	Are the farm's hygiene procedures implemented?	Workers with tasks identified in the hygiene procedures must demonstrate competence during the inspection and there is visual evidence that the hygiene procedures are implemented. No N/A.	Major Must
AF 3.3	**Training**		
AF 3.3.1	Is there a record kept for training activities and attendees?	A record is kept for training activities including the topic covered, the trainer, the date and attendees. Evidence of the attendance is required.	Minor Must
AF 3.3.2	Do all workers handling and/or administering veterinary medicines, chemicals, disinfectants, plant protection products, biocides and/or other hazardous substances and all workers operating dangerous or complex equipment as defined in the risk analysis in AF 3.1.1 have certificates of competence, and/or details of other such qualifications?	Records must identify workers who carry out such tasks, and show proof of competence, certificates of training, and/or records of training with proof of attendance. No N/A.	Major Must
AF 3.4	**Hazards and First Aid**		
AF 3.4.1	Do accident and emergency procedures exist; are they visually displayed, and are they communicated to all persons associated with the farm activities?	Permanent accident procedures must be clearly displayed in accessible and visible location(s). These instructions are available in the predominant language(s) of the workforce and/or pictograms. The procedures must identify, the following - Farm's map reference or farm address - Contact person(s) - An up-to-date list of relevant phone numbers (police, ambulance, hospital, fire-brigade, access to emergency health care on site or by means of transport, electricity and water and gas supplier). Examples of other procedures that can be included: - Location of the nearest means of communication (telephone, radio) - How and where to contact the local medical services, hospital and other emergency services. (WHERE did it happen? WHAT happened? HOW MANY injured people? WHAT kind of injuries? WHO is calling?) - Location of fire extinguisher; - Emergency exits; - Emergency cut-offs for electricity, gas and water supplies; and - How to report accidents or dangerous incidents	Minor Must

Nº	Control Point	Compliance Criteria	Level
AF 3.4.2	Are potential hazards clearly identified by warning signs?	Permanent and legible signs must indicate potential hazards (e.g. waste pits, fuel tanks, workshops, access doors of the plant protection product / fertilizer / any other chemical storage facilities as well as re-entry intervals, etc.). Warning signs must be present and in the predominant language(s) of the workforce and/or pictograms. No N/A.	Minor Must
AF 3.4.3	Is safety advice for substances hazardous to worker health available/accessible?	When required to ensure appropriate action, information (e.g. website, telephone number, material safety data sheets, etc.) is accessible.	Minor Must
AF 3.4.4	Are first aid kits present at all permanent sites and in the vicinity of fieldwork?	Complete and maintained first aid kits (i.e. according to local recommendations must be available and accessible at all permanent sites and available for transport (tractor, car, etc.) to the vicinity of the work.	Minor Must
AF 3.4.5	Are there always an appropriate number of persons (at least one person) trained in first aid present on each farm whenever on-farm activities are being carried out?	There is always at least one person trained in first aid (i.e. within the last 5 years) present on the farm whenever on-farm activities are being carried out. As a guideline: one trained person per 50 workers. On-farm activities include all activities mentioned in the relevant modules of this standard.	Minor Must
AF 3.5	**Protective Clothing/Equipment**		
AF 3.5.1	Are workers, visitors, and subcontractors equipped with suitable protective clothing in accordance with legal requirements and/or label instructions and/or as authorized by a competent authority?	Complete sets of protective clothing, which enable label instructions and/or legal requirements and/or requirements as authorized by a competent authority to be complied with are available on farm, utilized and in a good state of repair. To comply with label requirements or operations of the farm, this may include some of the following: rubber boots or other appropriate footwear, waterproof clothing, protective overalls, rubber gloves, face masks, appropriate respiratory equipment (including replacement filters), ear and eye protection devices, life-jackets, etc. as required by label or operations on farm.	Major Must

Nº	Control Point	Compliance Criteria	Level
AF 3.5.2	Is protective clothing cleaned after use and stored so as to prevent contamination of the personal clothing?	Protective clothing is clean and there is a cleaning schedule adapted according to the type of use and degree of potential contamination. Cleaning the protective clothing and equipment includes separate washing from private clothing. Wash re-usable gloves before removal. Dirty and damaged protective clothing and equipment and expired filter cartridges must be disposed of appropriately. Single-use items (e.g. gloves, overalls, etc.) must to be disposed of after one use. All protective clothing and equipment including replacements filters, etc. must be stored outside of the plant protection products/storage facility and physically separated from any other chemicals that might cause contamination of the clothing or equipment. No N/A.	Major Must
AF 3.6	**Worker Welfare**		
AF 3.6.1	Is a member of management clearly identifiable as responsible for workers' health, safety and welfare?	Documentation is available that demonstrates that a clearly identified, named member of management has the responsibility for ensuring compliance with and implementation of existing, current and relevant national and local regulations on workers health safety and welfare.	Major Must
AF 3.6.2	Do regular two-way communication meetings take place between management and workers? Are there records from such meetings?	Records show that the concerns of the workers about health, safety and welfare are being recorded in meetings planned and held at least once a year between management and workers and that these discussions can take place openly (i.e. without fear of intimidation or retribution). The auditor is not required to make judgments about the content, accuracy or outcome of such meetings.	Recom.
AF 3.6.3	Do workers have access to clean food storage areas, designated rest areas, hand washing facilities, and drinking water?	Hand washing facilities, potable drinking water, a place to store food and a place to eat must be provided to the workers.	Minor Must
AF 3.6.4	Are on-site living quarters habitable and have the basic services and facilities?	The on farm living quarters for the workers are habitable and have a sound roof, windows and doors, and the basic services of running water, toilets, and drains. In case of no drains, septic pits can be accepted if compliant with local regulations.	Minor Must

Nº	Control Point	Compliance Criteria	Level
AF 4	**SUBCONTRACTORS**		
AF 4.1	When the producer makes use of subcontractors, is all the relevant information available on farm?	Subcontractors must carry out an assessment (or the producer must do it on behalf of the subcontractors) of compliance against the GLOBALG.A.P. Control Points relevant to the services provided on farm. Evidence of compliance with the applicable control points must be available on farm during the external inspection and the subcontractor must accept that GLOBALG.A.P. approved certifiers are allowed to verify the assessments through a physical inspection where there is doubt. The producer is responsible for observance of the control points applicable to the tasks performed by the subcontractor by checking and signing the assessment of the subcontractor for each task and season contracted. Where the subcontractor has been assessed by a 3rd party certification body, which is GLOBALG.A.P. approved, the producer shall receive a report from the subcontractor with the following info: 1) Date of assessment, 2) Name of the Certification Body, 3) Inspector name, 4) Details of the subcontractor, 5) report that lists the responses to the relevant Control Points and Compliance Criteria. In the case where product handling is subcontracted, the certification body that inspects the producer must still inspect the relevant control points (refer to relevant scope specifications).	Minor Must
AF 4.2	Are all subcontractors and visitors made aware of the relevant procedures on personal safety and hygiene?	There is evidence that the relevant procedures on personal health, safety and hygiene are officially communicated to visitors and subcontractors (e.g. relevant instructions are in a visible place where all visitors or subcontractors can read them).	Minor Must
AF 5	**WASTE AND POLLUTION MANAGEMENT, RECYCLING AND RE-USE**		
	Waste minimization should include: review of current practices, avoidance of waste, reduction of waste, re-use of waste, and recycling of waste.		
AF 5.1	**Identification of Waste and Pollutants**		
AF 5.1.1	Have possible waste products and sources of pollution been identified in all areas of the business?	Possible waste products (e.g. paper, cardboard, plastic, oil, etc.) and sources of pollution (e.g. fertilizer excess, exhaust smoke, oil, fuel, noise, effluent, chemicals, sheep-dip, feed waste, algae produced during net cleaning, etc.) produced by the farm processes have been listed.	Minor Must

Nº	Control Point	Compliance Criteria	Level
AF 5.2	**Waste and Pollution Action Plan**		
AF 5.2.1	Is there a documented farm waste management plan to avoid and/or reduce wastage and pollution and does the waste management plan include adequate provisions for waste disposal?	A comprehensive, current, documented plan that covers wastage reduction, pollution and waste recycling is available. Air, soil, water, noise and light contamination must be considered along with all products and sources identified in the plan.	Recom.
AF 5.2.2	Has all litter/waste been cleared up?	Visual assessment that there is no evidence of waste/litter in the immediate vicinity of the production or storage buildings. Incidental and insignificant litter and waste on the designated areas are acceptable as well as the waste from the current day's work. All other litter and waste has been cleared up, including fuel spills.	Major Must
AF 5.2.3	Provided there is no risk of disease carry-over, are organic wastes composted on the farm and utilized for soil conditioning?	Organic waste material is composted and used for soil conditioning. Composting method ensures that there is no risk of disease carry-over.	Recom.
AF 6	**ENVIRONMENT AND CONSERVATION**		
	Farming and environment are inseparably linked. Managing wildlife and landscape is of great importance; enhancement of species as well as structural diversity of land and landscape features will benefit from the abundance and diversity of flora and fauna.		
AF 6.1	**Impact of Farming on the Environment and Biodiversity (cross-reference with AB.10 Aquaculture Module)**		
AF 6.1.1	Does each producer have a management of wildlife and conservation plan for the enterprise that acknowledges the impact of farming activities on the environment?	There must be a written action plan that aims to enhance habitats and maintain biodiversity on the farm. This can be either an individual plan or a regional activity, if the farm is participating in or covered by such. The action will include knowledge of integrated pest management practices, nutrient use of crops, conservation sites, water supplies, the impact on other users, etc.	Minor Must
AF 6.1.2	Has the producer considered how to enhance the environment for the benefit of the local community and flora and fauna and is this policy compatible with sustainable commercial agricultural production and does it strive to minimize environmental impact of the agricultural activity?	There should be tangible actions and initiatives that can be demonstrated 1) by the producer either on the production site or 2) by participation in a group that is active in environmental support schemes looking at habitat quality and habitat elements. There is a commitment within the conservation plan to undertake a base line audit of the current levels, location, condition etc. of the fauna and flora on farm so as to enable actions to be planned. Within the conservation plan there is a clear list of priorities and actions to enhance habitats for fauna and flora where viable and increase bio-diversity on the farm.	Recom.

Nº	Control Point	Compliance Criteria	Level
AF 6.2	**Unproductive Sites**		
AF 6.2.1	Has consideration been given to the conversion of unproductive sites (e.g. low lying wet areas, woodlands, headland strip or areas of impoverished soil, etc.) to conservation areas for the encouragement of natural flora and fauna?	There should be a plan to convert unproductive sites and identified areas that give priority to ecology into conservation areas where viable.	Recom.
AF 6.3	**Energy Efficiency**		
AF 6.3.1	Can the producer show monitoring of on farm energy use?	Energy use records exist. The producer is aware of where and how energy is consumed on the farm and through farming practices. Farming equipment shall be selected and maintained for optimum consumption of energy. The use of non-renewable energy sources should be kept to a minimum.	Recom.
AF 7	**COMPLAINTS**		
	Management of complaints will lead to an overall better production system.		
AF 7.1	Is there a complaint procedure available relating to issues covered by the GLOBALG.A.P. Standard and does this procedure ensure that complaints are adequately recorded, studied, and followed up including a record of actions taken?	A documented complaint procedure is available to facilitate that all received complaints relating to issues covered by GLOBALG.A.P. are recorded and followed up. Actions taken with respect to such complaints are documented. No N/A.	Major Must
AF 8	**RECALL/WITHDRAWAL PROCEDURE**		
AF 8.1	Does the producer have documented procedures how to manage/initiate withdrawal/recall of certified products from the marketplace and are they tested annually?	The producer must have access to documented procedures which identify the type of event that may result in a withdrawal/recall, persons responsible for making decisions on the possible withdrawal/recall of product, the mechanism for notifying customers and the GLOBALG.A.P. Certification Body (if a sanction was not issued by the CB and the producer or producer group withdrew/recalled the products out of free will) and methods of reconciling stock. The procedures must be tested annually to ensure that they are effective. This can be a mock test. This test has to be recorded.	Major Must

Nº	Control Point	Compliance Criteria	Level
AF 9	**FOOD DEFENSE (not applicable for Flowers and Ornamentals)**		
AF 9.1	Is there a risk assessment for food defense and are procedures in place to address identified food defense risks?	Potential threats to food security in all phases of the operation shall be identified and assessed. Food security risk identification shall assure that all input is from safe and secured sources. Information of all employees and subcontractors must be available. Procedures for corrective action shall be in place in case of intentional threat.	Major Must
AF 10	**GLOBALG.A.P. STATUS**		
AF 10.1	Do all transaction documentation include reference to the GLOBALG.A.P. status (certified/ not certified)?	Transaction documentation (e.g. sales invoices) and, where appropriate, other documentation include the GLOBALG.A.P. status of the product. Positive identification is enough on transaction documentation (e.g.: ‘‘GLOBALG.A.P. certified <product name>’’). Non-certified products do not need to be identified as ‘non-certified’. Indication of the certified status is obligatory regardless if the certified product was sold as certified or not. N/A only when there is a written agreement available between the producer and the client not to identify the GLOBALG.A.P. status of the product on the transaction documents.	Major Must

Nº	Control Point	Compliance Criteria	Level
AF 10.2	Do all producers have agreements in place to prevent misuse of their GGN by their direct customers?	Producers shall have an agreement in place with their direct customers (packers, exporters, importers, etc.) that their GGN, GLN or sub-GLN will not be misused and that the customer will follow best practices in traceability and labeling, (e.g. not label other producers' products with the producer's GGN, GLN or sub-GLN nor mix the producer's certified product with other non-certified product, which are then labeled with the producer's GGN, GLN or sub-GLN). The agreement of not misusing the producer's GGN, GLN or sub-GLN, can be: • an additional clause to any existing contract or agreement between the producer and their direct customers, • a letter issued by the customer where she/he declares that no misuse of GGN, GLN or sub-GLN will be done, • other solutions are also possible, like including such declaration (not misusing the producer's GGN, GLN or sub-GLN) on a purchase order where GLOBALG.A.P. certified product is demanded. N/A only when there is a written agreement available between the producer and the client not to use the GGN, GLN or sub-GLN on the ready to be sold product.	Minor Must
AF 11	**LOGO USE**		
AF 11.1	Is the GLOBALG.A.P. (EUREPGAP) word, trademark or logo and the GGN (GLOBALG.A.P. Number) used according to the GLOBALG.A.P. General Regulations and according to the Sublicense and Certification Agreement?	The producer/producer group shall use the GLOBALG.A.P. (EUREPGAP) word, trademark or logo and the GGN (GLOBALG.A.P. Number), GLN or sub-GLN according to the General Regulations Annex 1 and according to the Sublicense and Certification Agreement. The GLOBALG.A.P. (EUREPGAP) word, trademark or logo shall never appear on the final product, on the consumer packaging, or at the point of sale, but the certificate holder in business-to-business communications can use any and/or all.	Major Must

Nº	Control Point	Compliance Criteria	Level
AF 12	**TRACEABILITY AND SEGREGATION obligatory when producer is registered for Parallel Production/Parallel Ownership** Refer to GLOBALG.A.P. General Regulations Part I - Annex I.3 GLOBALG.A.P. Guideline on Parallel Production and Parallel Ownership		
AF 12.1	**Parallel production and/or ownership** (**only** applicable where certified and non-certified products are produced and/or owned by one legal entity.		
AF 12.1.1	Is there an effective system in place to identify and segregate all GLOBALG.A.P. certified and non-certified products?	A system must be in place to avoid mixing of certified and non-certified products. This can be done via physical identification or product handling procedures, including the relevant records. No N/A.	Major Must
AF 12.1.2	Is there a system to ensure that all final products originating from a certified production process are correctly identified?	All final ready to be sold products (either from farm level or after product handling) shall be identified with a GGN or a GLN or a sub-GLN where the product originates from a certified process. Where no GLN or sub-GLN is used: the GGN shall be used to identify the certified product. It can be the GGN of the (option 2) group, the GGN of the group member, both GGNs or the GGN of the individual (option 1) producer. The GGN must not be used to label non-certified product. Where GLN is used, it shall be used to identify only the certified product. In case the producers want to identify the non-certified product(s) as well, sub-GLNs shall be used; at least one for the certified and another for the non-certified products. A system shall be in place to ensure that all final products originating from different certified production processes (own production or purchased) are correctly identified and traceable. N/A only when there is a written agreement available between the producer and the client not to use the GGN, GLN or sub-GLN on the ready to be sold product.	Major Must
AF 12.1.3	Is there a final check to ensure correct product dispatch of certified and non-certified products?	The check shall be documented to show that the certified and non-certified products are dispatched correctly. No N/A.	Major Must

Nº	Control Point	Compliance Criteria	Level
AF 12.1.4	Do all transaction documents include the GGN, GLN or the sub-GLN of the certificate holder and reference to the GLOBALG.A.P. certified status?	Transaction documentation (sales invoices, other sales related, dispatch documentation, etc.) related to sales of certified-product shall include the GGN, GLN or the sub-GLN of the certificate holder and shall contain a reference to the GLOBALG.A.P. certified status. Positive identification is enough on transaction documentation (e.g.: ‘‘GGN_GLOBALG.A.P. certified <product name>’’). For the correct use of GGN, GLN or sub-GLN refer to AF12.1.2. N/A only when there is a written agreement available between the producer and the client not to use the GGN, GLN or sub-GLN on the ready to be sold product.	Major Must
AF 12.1.5	Are appropriate identification procedures in place and records for identifying products purchased from different sources?	Procedures shall be established documented and maintained, appropriately to the scale of the operation, for identifying certified and non-certified products from different sources (i.e. other producers or traders) Records shall include: - Product description - GLOBALG.A.P. certified status. - Quantities of product(s) purchased - Supplier details - Copy of the GLOBALG.A.P. Certificates where applicable - Traceability data/codes related to the purchased products, - Purchase orders/invoices received by the organization being assessed - List of approved suppliers. No N/A if purchasing of products.	Major Must
AF 12.1.6	Are all sales details of certified and non-certified products recorded?	Sales details of certified and non-certified products shall be recorded, with particular attention to quantities sold and descriptions provided. The documents must demonstrate the consistent balance between certified and non-certified input and the output. No N/A.	Major Must

Nº	Control Point	Compliance Criteria	Level
AF 12.1.7	Are all details of certified and non-certified product quantities recorded and summarized?	Quantities (including information on volumes or weight) of certified, non-certified, incoming, outgoing and stored product must be recorded and a summary maintained so as to facilitate the mass balance verification process. The frequency of the mass balance verification shall be defined and be appropriate to the scale of the operation, but It shall be done at least annually per product. Documents to demonstrate mass balance shall be clearly identified. No N/A.	Major Must
AF 12.1.8	Are conversion ratios and/or loss (input-output calculations of a given production process) during handling calculated and controlled?	Conversion ratios shall be calculated and available for each relevant handling process. All generated product waste quantities shall be recorded. No N/A.	Major Must

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

Introduction to Risk Assessment

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

Five Steps to Risk Assessment

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

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

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

What is Risk Assessment?

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

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

When thinking about your risk assessment, remember:

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

How to Assess the Risks in Your Enterprise

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

Step 1 Identify the Hazards

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

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

Step 2 Decide Who/What Might Be Harmed and How

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

Remember:

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

Step 3 Evaluate the Risks and Decide on Precautions

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

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

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

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

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

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

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

Step 4 Record the Findings and Implement Them

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

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

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

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

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

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

Step 5 Review the Risk Assessment and Update if Necessary

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

Look at your risk assessment again:

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

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

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

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

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

Control Point AF 1.2.1

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

Compliance Criteria AF 1.2.1

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

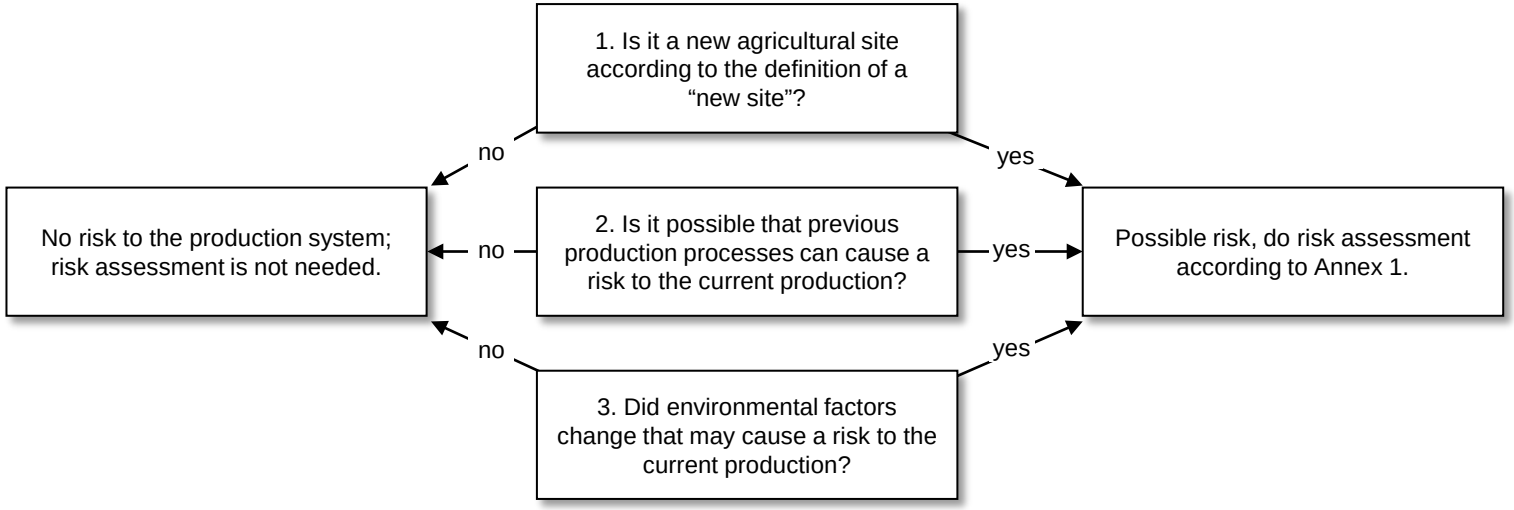
If the answer to any of the 3 questions in the flow diagram pictured below is yes, a risk assessment is needed.

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

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

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

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



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

Other impacts:
1. Dust, smoke and noise problems caused by operation of agricultural machinery
2. Contamination of downstream sites by silt-laden or chemical-laden runoff
3. Spray drift
4. Insects attracted by crops, waste products and/or operations using manure
5. Depredations by pests from nearby natural or conservation areas
6. Smoke, fumes and/or dust from nearby industrial or transport installations including roads with heavy traffic
7. Theft by inhabitants of nearby communities
8. Adjacent farming activities
9. Availability of adequate transport to markets

10. Availability of adequate labor
11. Availability of inputs

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

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

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

WHO Guidelines for Drinking-Water Quality, 2008.
Table 7.7 presents guideline values for verification of microbial quality of drinking-water. Individual values should not be used directly from the tables. The guidelines values should be used and interpreted in conjunction with the information contained in these Guidelines and other supporting documentation. A consequence of variable susceptibility to pathogens is that exposure to drinking- water of a particular quality may lead to different health effects in different populations. For guideline derivation, it is necessary to define reference populations or, in some cases, to focus on specific sensitive subgroups. National or local authorities may wish to apply specific characteristics of their populations in deriving national standards.

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

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

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

EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of Modifications
120206_gg_ifa_cpcc_af_v4_0-1_en	110301_gg_ifa_cpcc_af_eng_final_v4	6 February 2012	Modification GLOBALG.A.P to GLOBALG.A.P.; AF 12 – amendment "Reference to GR Annex I.3"; AF 12.1.5 – deleted “no”
130315_gg_ifa_cpcc_af_v4_0-2_en	120206_gg_ifa_cpcc_af_v4_0-1_en	15 March 2013	Control Point: AF 12.1.4 and Compliance Criteria: AF 10.1,10.2, 11.1, 12.1.2, 12.1.4, 12.1.7 - change of wording

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

When the changes do not affect the accreditation of the standard, the version will remain “4.0” and edition update shall be indicated with “4.0-x”. When the changes do affect the accreditation of the standard, the version name will change to “4.x”.

GLOBALG.A.P.

INTEGRATED FARM ASSURANCE | AQUACULTURE MODULE

CONTROL POINTS AND COMPLIANCE CRITERIA

ENGLISH VERSION 4.0
EDITION 4.0-2_MAR2013

VALID FROM: MARCH 2013
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CONTENTS

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INTRODUCTION AQUACULTURE MODULE

Principles

SITE MANAGEMENT
This section is intended to ensure that the land, aquaculture sites, buildings and other facilities, which constitute the farm are properly managed to ensure the safe and sustainable production of food.

CHEMICALS
Chemicals are defined as: Fuel, Detergents, Pesticides, Fungicides, Chemical Treatments, Disinfectants, Drugs, Medicines (all medicines except Medicated Feeds) and other chemicals (paints, preservatives, anti-foulants, lubricants, battery acids, etc.) used in and around the premises. Hazardous chemical: One or a combination of chemicals that may be a health or physical hazard to humans or to the environment (e.g.: combustible / unstable / irritant / explosive / water reactive / corrosive / flammable / toxic) as indicated in the product and safety data sheet.

FISH WELFARE, MANAGEMENT AND HUSBANDRY
Animal welfare, management, and husbandry practices are all essential to a sound performance within aquaculture. Meeting the physical, nutritional, and environmental requirements of the fish will result in reduced mortality, improved growth and good fish health.

MEDICINES
The key objectives are:
- Protect consumer health by ensuring the safety of food of animal origin
- Prevent or reduce the transfer of resistant micro-organisms from animals to humans and from animals to animals
- Comply with the ethical obligation and economic need to keep animals in good health
- Reduce unnecessary use of prophylactics

AQUACULTURE FEED
Feed must meet the nutritional requirements of the aquaculture species and maintain the recognized human health benefits from the aquaculture species. Captured fish, if used, should come from fisheries that adhere to the FAO Code of Conduct for Responsible Fisheries and be independently verified. The efficient use of fish meal/oil should be maximized.

ENVIRONMENTAL AND BIODIVERSITY MANAGEMENT
This section is intended to ensure good practice with regard to the management and protection of the direct environment and natural resources. Farms are to be built and managed in such a way that both environmental and ecological aspects are addressed in a responsible manner in ways that conserve biodiversity and existing ecosystem functions and recognize that other land uses, people and species depend upon these same ecosystems.
Environmental aspects are those impacts on the environment measurable by assessment of 'non biological indicators', either physical or chemical, e.g. discharge of chemicals, waste water and materials and the emission of noise, gases and heat; the use of energy and natural resources.
Biodiversity aspects are those impacts on the environment measurable by assessment of ‘biological indicators’; biomass and biodiversity. These may be the chance introduction of non-native species, the extinction of local species due to introduction of pathogens, or due to environmental impacts.

SAMPLING AND TESTING TECHNIQUES
Fish must be sampled and tested to monitor food safety and legality for the species produced on the farm. This is a tool for the producer to demonstrate Good Aquaculture Practices are well implemented and producing a safe and legal aquaculture species.

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HATCHERIES AND NURSERIES
Under GLOBALG.A.P. Certification, only fully domesticated livestock is recognized. This means that only forms of animal production may be certified where no genetic inputs derived from wild natural stocks is structurally required.

MANGROVES, PROTECTED AREAS AND OTHER HIGH CONSERVATION VALUE AREAS
New ponds, farms sites or related facilities are built according to national planning and legal frameworks in environmentally suitable locations, making efficient use of land and water resources and in ways that conserve biodiversity (including Protected Areas and RAMSAR sites), ecologically sensitive habitats (High Conservation Value Areas) and ecosystem functions, recognizing other land uses, people and species depend upon these same ecosystems.

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Nº	Control Point	Compliance Criteria	Level
	AQUACULTURE MODULE		
	Presently the word 'fish' within this module refers to all species mentioned in the GLOBALG.A.P. product list published on the GLOBALG.A.P. website. This product list will be extended for species based on demand.		
AB 1	**SITE MANAGEMENT**		
AB 1.1	**Legislative Framework**		
AB 1.1.1	Are farms operated in accordance with applicable legislation in relation to the GLOBALG.A.P. Standard?	The farm shall be able to present a written overview of all its activities combined with the applicable regulations to GLOBALG.A.P. Standard. 'Activities' include but are not limited to, land ownership and use, labor, environment, veterinary aspects, biosecurity, workers health & safety aspects. No N/A.	Major Must
AB 1.1.2	Is the farm management able to explain how they fulfill their legal obligations with respect to the Food Safety, Animal Welfare, Environmental and Workers Health & Safety Legislation applicable to their enterprise?	The farm management must be able to demonstrate awareness at interview of compliance with legislation as listed in AB 1.1.1. No N/A.	Major Must
AB 1.1.3	Are all aquaculture farms registered as such with the relevant competent authority as required by national legislation?	Registration documents are available. Examples may include: seabed leases and consents for discharge of effluent and license / concession from authority to grow a set tonnage of aquaculture products or allocation of feed quota. No N/A.	Major Must
AB 1.2	**Documentation**		
AB 1.2.1	Does the farm have a documented system available that covers all processes critical to food safety, legality and the requirements of this standard?	Documented procedures and work instructions are available on site demonstrating compliance with food safety, legality and the requirements of this standard. No N/A.	Major Must
AB 1.2.2	Does the farm have an organizational structure?	The organizational structure document is in place. No N/A.	Major Must
AB 1.2.3	Is there an appropriate internal audit procedure in place?	There is a documented internal audit procedure in place meeting the requirements defined in AF 2.	Minor Must
AB 2.	**REPRODUCTION**		
AB 2.1	**Broodstock Sources**		

Nº	Control Point	Compliance Criteria	Level
AB 2.1.1	Is there only domesticated broodstock used?	Hatcheries shall be able to demonstrate that all the broodstock is obtained through a breeding program. Use of wild caught broodstock is not permitted unless as part of a genetic improvement program supervised by a qualified fish biologist or veterinary surgeon.	Major Must
AB 2.1.2	Are broodstock prior to breeding screened and verified free of diseases potentially vertically transmitted?	Records and certificates must be in place.	Major Must
AB 2.1.3	Upon arrival at the hatchery, is imported broodstock held in quarantine until their disease status is verified prior to their transfer to other areas?	Quarantine records must be in place.	Major Must
AB 2.1.4	Are broodstock purchased from a GLOBALG.A.P. certified origin and certified according to official legislative requirements? (Maximum period of time: one year after first audit)	The records and certificates are available for inspection. Management is able to demonstrate awareness at interview. • Certification Audit: Suppliers should be GLOBALG.A.P. or GLOBALG.A.P. benchmarked scheme certified by the second audit. For initial compliance purposes, it is required that broodstock suppliers are registered on the GLOBALG.A.P. Database (as GLOBALG.A.P. broodstock) at the time of the fish farmer´s first GLOBALG.A.P. audit and be able to show proof of a Self-Assessment. The supplier should provide a letter of commitment to certification by next audit. • Subsequent Audit (second audit): Full compliance at subsequent audits of the Broodstock is required. • After this first year, any additional broodstock suppliers that start supplying the already certified GLOBALG.A.P. fish farmer, should have been registered on the GLOBALG.A.P. Database from the moment broodstocks are purchased, and demonstrate GLOBALG.A.P. certified status at the first External Audit after they started supplying.	Recom.
AB 2.1.5	Is there a breeding program in place aiming at stock improvement?	Monitoring records should be available.	Recom.
AB 2.2	**Broodstock Specification**		
AB 2.2.1	If an invasive method was used for marking the fish, are the fish anesthetized before conducting the procedure?	Records must show the use of anesthetics (if applied).	Minor Must
AB 2.2.2	Is farming of Genetically Modified – GM (transgenic) – fish prohibited?	Farmers must be able to show traceability to broodstock that is not from GM (transgenic) origin.	Major Must

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Nº	Control Point	Compliance Criteria	Level
AB 2.3	**Seedlings Sources** (Species specific: Ova, smolt, fry, fingerling, larvae, alevin, spat, nauplii and post larvae, others)		
AB 2.3.1	Is there only seedlings sourced from domesticated broodstock?	No wild captured seedlings fished stock is allowed. Passively collecting seedlings (e.g. natural spat settlement for shellfish; entrance of nauplii through inlet water) from the planktonic phase is allowed. Active collection methods (e.g. using nets) are not allowed. No N/A.	Major Must
AB 2.3.2	Does the farm comply with governmental regulations regarding the import of seedlings and can certificates demonstrate that they are specific pathogen free? Upon arrival at the hatchery, is imported seedlings held in quarantine until their disease status is verified prior to their transfer to other areas?	Records and certificates must be in place. No N/A.	Major Must
AB 2.3.3	Are seedlings purchased from a GLOBALG.A.P. certified supplier hatchery, and certified according to official legislative requirements? (Maximum period of time: one year after first audit)	The records and certificates must be available for inspection. Management must be able to demonstrate awareness at interview. • Certification Audit: Suppliers must be GLOBALG.A.P. or GLOBALG.A.P. benchmarked scheme certified by the second audit. For initial compliance purposes, it is required that seedlings suppliers are registered on the GLOBALG.A.P. Database (as GLOBALG.A.P. aquaculture seedlings) at the time of the fish farmer´s first GLOBALG.A.P. audit and must be able to show proof of a Self-Assessment. The supplier must provide a letter of commitment to certification by next audit. • Subsequent Audit (second audit): Full compliance at subsequent audits of the Seedlings supplier (whether internal or external) is required. • After this first year, any additional seedlings suppliers that start supplying the already certified GLOBALG.A.P. fish farmer, have to have been registered on the GLOBALG.A.P. Database from the moment seedlings are purchased, and must demonstrate GLOBALG.A.P. certified status at the first External Audit after they started supplying. No N/A.	Major Must
AB 2.3.4	Do seedling suppliers provide analytical test certificates of routine surveillance disease monitoring, at least for known diseases for the specific species?	Records must include information on sampling protocols, frequency and results.	Major Must
AB 2.4	**Hatchery Management**		

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Nº	Control Point	Compliance Criteria	Level
AB 2.4.1	Are documented procedures in place to prevent cross contamination through all production stages, including separate equipment?	Clear disinfection / bio-security documented procedures are available especially between the broodstock area and holding spaces of earlier life stages. Documents and infrastructure must be in place.	Major Must
AB 2.4.2	Is there a risk assessment in place that includes the need of incoming water disinfection?	A risk assessment is in place that includes consideration of the need of incoming water to be disinfected. If disinfection is required it must be carried out effectively.	Major Must
AB 2.4.3	Does the hatchery/farm have an effective and documented procedure to prevent accidental release of hatchery stock to the environment?	Documented procedures are in place.	Major Must
AB 2.4.4	Does the hatchery/farm have a system to register all disease occurrences?	A system to register all disease occurrences is in place. No N/A.	Major Must
AB 2.4.5	Does the hatchery keep records of established conditions from spawning, hatching, all the way to transferring to grow-out farms?	Hatcheries must be able to show records of conditions (e.g. temperature, water properties, light and manipulation).	Minor Must
AB 2.4.6	Are juveniles vaccinated according to minimum legal requirements as specified by local government veterinary authorities or as a minimum by those recommended by the VHP under AB 5.2.3?	The vaccination records must be available for inspection.	Major Must
AB 2.5	**Brood Fish Stripping (If brood fish are stripped, this should be done with the consideration of the animal's welfare.)**		
AB 2.5.1	Are fish anaesthetized during the stripping and sperm collection to avoid stress for the fish?	Anesthesia shall be used to avoid stress for the fish. Records of use shall be available for inspection.	Major Must
AB 2.5.2	Are anesthetics used, approved by the relevant competent authority for use in aquaculture and for the named species?	Documentation on applied anesthetics must be available. When no legislation available, reference to accepted industry practices must be in place.	Minor Must
AB 2.5.3	If egg release requires incision, is this only done when the fish is dead?	The standard operation procedure for egg release must be available for inspection.	Major Must
AB 2.6	**Feed at Hatcheries**		
AB 2.6.1	If the hatchery uses raw unpasteurized or live feed is this risk assessed and controlled?	A risk assessment is available to show that raw unpasteurized or live feed will not affect food safety and poses no risk to the farmed stock. Evidence of routine surveillance disease monitoring for pathogens must be in place and make part of the risk assessment. For compound feed used at hatchery level, refer to AB 8.1.2.	Major Must

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Nº	Control Point	Compliance Criteria	Level
AB 2.7	**Fingerling Movement (If done in containers)**		
AB 2.7.1	Is fingerling transportation density and water oxygenation controlled to a level that is suitable for the species to reduce mortality and stress?	The stocking density during transport will be set by legislation and/or determined by the nature of the transport. Inspection of stocking records must be in place. Water oxygenation is controlled during transport.	Minor Must
AB 3	**CHEMICALS**		
AB 3.1	**Chemical Storage**		
AB 3.1.1	Is a product inventory documented and readily available for all chemicals in store?	For all chemicals in store, there must be a documented, up to date record of the inventory including records of movements (use and supply). No N/A.	Major Must
AB 3.1.2	Are product and safety data sheet available for all chemicals?	For all chemicals, product- and safety data sheet must be available, which as a minimum describe chemical composition/ active ingredients, toxicity information, dosing and application method, required protective clothing for handling and emergency information and actions in case of operator contamination. No N/A.	Major Must
AB 3.1.3	Are chemicals stored in accordance with the label instructions, legislation (including refrigeration when required) and physically separated when risk of cross contamination, in a sound, secure, lockable, well ventilated, well lit location that is located away from other materials?	Chemicals must be stored in a secure lockable store and under conditions in accordance with label instructions and physically separated when risk of cross contamination. Compliance includes a visual assessment of the chemical store. No N/A.	Major Must
AB 3.1.4	Is there emergency information with corresponding facilities for workers to deal with accidents during handling (e.g. eye wash, plenty of clean water) where required?	Emergency information and facilities to deal with accidents during handling must be in place where required.	Minor Must
AB 3.1.5	Is the chemical store kept locked and access limited to workers with training (according to AF 3.3.2 and AB 4.1.1)?	The chemical store is locked at all times when not in use. No N/A.	Major Must
AB 3.1.6	Are all chemicals stored in their original packaging, which must be kept in a suitable condition to allow label instructions to be clearly identified?	All chemicals must be stored in well-maintained original packaging with readable labels. Small quantities for daily use may be put in suitable containers, labeled with the chemical name.	Major Must

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Nº	Control Point	Compliance Criteria	Level
AB 3.1.7	Is the chemical store able to retain spillage and are there emergency facilities to deal with accidental spillage?	The chemical storage facilities must be visually assessed to prove that they have retaining tanks or bunds equivalent to the volume of stored liquid, to ensure that there cannot be any leakage or contamination to the exterior of the store. The chemical storage facilities and all mixing areas must be equipped with a container of absorbent inert material i.e. sand, floor brush, dustpan and plastic bags, in a fixed location with a sign to be used in case of accidental spillage of concentrated chemicals. No N/A.	Major Must
AB 3.1.8	Are there facilities and equipment suitable for measuring and/or mixing of chemicals to assure safe and accurate dosage?	The chemical measuring/mixing areas have suitable equipment for accurate measuring and dosing of all chemicals in store, including measuring cups, jars, scales. Dosing equipment, where relevant, must be calibrated with documentary evidence at least within the last 6 months. The equipment must not be used for other purposes. No N/A.	Minor Must
AB 3.1.9	Is there suitable equipment available to prevent and to deal with operator contamination?	The chemical storage facilities and mixing areas must be assessed to prove they are sufficiently equipped to prevent and deal with operator contamination for all chemicals in store, including protective gloves, eye- protectors, face mask (where required), eye wash capability, running water, first aid kit and a clear accident emergency procedure. No N/A.	Minor Must
AB 3.2	**Empty Containers and Non-used Chemicals**		
AB 3.2.1	Are empty hazardous chemical containers not re-used?	There is evidence that empty hazardous chemical containers are not re-used in any form. Refill of smaller quantities is allowed, for the same chemical (refer to AB 3.1.6). No N/A.	Major Must
AB 3.2.2	Does storage and disposal of empty containers and non- used chemicals take place in a manner that avoids spillage and exposure to products, humans and animals?	The system used to store and dispose of empty chemical containers ensures that products, persons or animals cannot come in contact with the empty containers or chemical and that there is no risk of spill. No N/A.	Major Must
AB 3.2.3	Are unused chemicals disposed of by a legally approved chemical waste contractor or returned to the supplying company?	There are records that document that chemicals have been disposed of by officially authorized channels.	Major Must
AB 3.3	**Transport of Chemicals (refer to Principles – Chemicals)**		
AB 3.3.1	Are chemicals transported according to documented procedures?	Documented procedure for chemical transport is available and considers food safety, health & safety and environmental risks.	Major Must

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AB 4.	**OCCUPATIONAL HEALTH AND SAFETY**		
AB 4.1	**Training**		
AB 4.1.1	Does the person(s) responsible for decision-making in the use of chemicals (including medication and treatments) have appropriate training?	Evidence of training must be in place. No N/A.	Major Must
AB 4.1.2	Does the training outline the hygiene standards (based on hazard risk analysis) to be adopted by workers and visitors and subjects listed in the GLOBALG.A.P. Aquaculture Standard?	All workers must have read and reviewed and signed for the farm's Hygiene Standard (based on hazard risk analysis) which must cover subjects listed in the GLOBALG.A.P. Aquaculture Standard. Workers must be able to demonstrate awareness at interview. The training include the following: The need for hand cleaning; the covering of skin cuts with waterproof band aids; Confinement of smoking, eating and drinking to the appropriate areas; Notification of any relevant infections or conditions; The use of suitable protective clothing. No N/A.	Major Must
AB 4.2	**Health and Safety**		
AB 4.2.1	Do workers have access to toilets, eating facilities and potable water?	Sufficient toilets and a potable water source must be provided for each farm. No N/A.	Major Must
AB 4.2.2	Is all human waste from toilets collected and disposed of through sanitary sewage disposal systems without contamination of the operation area and not released directly into open water systems as untreated raw sewage?	The records of waste disposal and collection facilities for wastes must be in place (refer to AF 5.1.1).	Major Must
AB 4.2.3	Are diving operations carried out in accordance with relevant legislation or as a minimum in accordance with health and safety risk assessment?	The producer must be able to demonstrate that diving operations comply with the law or as a minimum in accordance with health and safety risk assessment. Records of all divers and dives must be in place.	Major Must
AB 5.	**FISH WELFARE, MANAGEMENT AND HUSBANDRY**		
AB 5.1	**Traceability at Farm**		
AB 5.1.1	Are fish traceable to the previous farm(s) and back to its origin, including identification of corresponding batch(es) of parent broodstock?	Fish must be traceable to the previous farm(s) and back to its origin including identification of corresponding batch(es) of ova and parents. Traceability records must be on site. No N/A.	Major Must

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AB 5.1.2	Are all fish movements within, to and from the farm recorded and traceable?	Traceability records must be on site. Records of all movements of fish for all stages in the life cycle must include where applicable: species, numbers, biomass, production unit ID.	Major Must
AB 5.1.3	Are all fish identified (on a batch level) to a specific batch throughout the growing period?	At each stage of the growth cycle, it must be possible to identify the composition of a batch from its inputs. No N/A.	Major Must
AB 5.1.4	In the initial phase (first audit) of application of this Standard, do the site records demonstrate compliance to the GLOBALG.A.P. Standard for the last three months?	Records must be in place for the last three months demonstrating compliance sufficient to achieve GLOBALG.A.P. Certification. No N/A.	Major Must
AB 5.1.5	In subsequent annual audits, on certified farms/hatcheries, have all fish spent their entire life on GLOBALG.A.P. approved farm(s)?	Movement traceability records must be in place to prove that all fish come from GLOBALG.A.P. approved farms for their whole life cycle.	Major Must
AB 5.2	**Fish Health & Welfare**		
AB 5.2.1	Where there is a legal requirement for certification, are fish or seedlings introduced to the farm, certified free from known diseases?	Fish or seedlings introduced to the farm must be certified according to legislative requirements on known diseases. Records must be on site.	Major Must
AB 5.2.2	Can farmers demonstrate both understanding of hygiene practices and implemented practices suitable to the farm?	A written Hygiene Plan, detailing the most important elements regarding fish health: - Water quality - Cleaning methods - Cleaning agents - Disinfectants - Application period - Application frequency exists and is implemented and recorded. Workers must be able to demonstrate awareness at interview. No N/A.	Major Must

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AB 5.2.3	Is a Veterinary Health Plan available, updated during last 12 months or for last production cycle and where the need of new drugs not previously included is the case, and signed off by a veterinarian?	A Veterinary Health Plan (VHP) must be in place at farm level. A veterinarian must sign off the VHP. The VHP needs to be updated annually or per production cycle if fish is at the farm for a shorter period than one year or when there is a need for update of any of the content of the VHP (i.e. inclusion of new drugs not previously included). The plan must include the following: Name and location of farm(s); Potential diseases, including preventive measures and disease mitigation; Medicines and treatments that may be used at the farm, including drug name, active substance, indication, supplier, administration route, dosage and pre- harvest withdrawal period. Vaccination protocols (when applicable); Parasite controls; Bio-security procedures; Screening program in place for relevant pathogens; Risk assessment of medicinal residues in relation to food safety issues; Action plan when the MRL in the country of production and/or destination has been exceeded; If applicable, records of routine assigned veterinarian visits are in place; Frequency and methods of removal of sick and disposal of dead animals; Other prevention plans where applicable (rotation of medicines to avoid resistance); Mechanism of informing disease breakouts and to whom. No N/A.	Major Must
AB 5.2.4	Are fish for restocking (or for stock movement) with "good health status" following established parameters?	All fish for restocking (or for stock movement) must show "good health status" following established parameters. Risk analysis of the common diseases of the species/location before moving to grow-on areas must be in place. No N/A.	Major Must
AB 5.2.5	Do all farms notify the relevant competent authority of any disease where required to do so by law and as a minimum as those stipulated by the O.I.E. (World Organization for Animal Health)?	Check that farms participate and has notified wherever required to do so. As a minimum the diseases stipulated as notifiable by the O.I.E. must be notified (http://www.oie.int). No N/A.	Major Must

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AB 5.2.6	Are fish stocks numbers, average weight and total biomass monitored on a regular basis on production unit level?	Fish stock numbers, average weight and total biomass must be monitored on a regular basis on a production unit level. Records for monitoring and documentation must be available.	Minor Must
AB 5.2.7	Does the farm have a system in place to assure that the amount of feed given is in accordance with the needs and appetite of fish stock in the production unit?	The farm must have a system in place to assure that the amount of feed given is in accordance with the needs and appetite of fish stock in the production unit. Feeding records must be present. Cross reference with AB 8.2.6.	Minor Must
AB 5.2.8	Does the farm operate according to maximum densities related to fish size, production stage and production system? Are the maximum densities based on legislative requirements or industry recognized practices, taking care of fish health & welfare aspects? Can the farm document that densities are not exceeded?	A maximum density related to fish size, production stage and production system must be defined. The maximum density must, as a minimum, be in accordance with legislative requirements. Where no legislative requirements exist the farm must prove that limits established are based on scientific documentation taking care of fish health & welfare aspects. Maximum densities shall not be exceeded. Stocking records must be in place to document compliance.	Major Must
AB 5.2.9	Is a risk assessment for animal welfare undertaken which includes farm, predatory and extraneous species present in the farm unit, taking into account the prior use of the land or site?	An up to date Risk Assessment on animal welfare must be present, which includes farm, predatory and extraneous species present in the farm unit. Cross–reference with AF 1.2.1 (All Farm). No N/A.	Major Must
AB 5.2.10	Has a risk assessment been undertaken to demonstrate that water quality does not compromise food safety and animal health & welfare?	A documented risk assessment must be in place covering all potential water pollution sources affecting food safety and animal health & welfare. No N/A.	Major Must
AB 5.2.11	Does the infrastructure of the facility ensure no contamination of intake water?	Intake and discharge must be controlled and independent from each other in order to avoid unwanted contamination of intake water. This aspect must be included in the risk assessment mentioned in AF 1.2.1.	Major Must
AB 5.2.12	Does the farm have a routine water quality-monitoring program based on a risk assessment taking into account the fish health and welfare?	The farm must have a risk based monitoring and control system for water quality in place. The risk assessment must include relevant water quality parameters and sampling points (including farm- or production unit level) to assure fish health and welfare of the fish, such as temperature, dissolved oxygen, carbon dioxide, dissolved nitrogen (saturation), pH, ammonia, nitrate, nitrite, suspended solids. Records for each site must be in place. Frequency is established by the risk assessment. No N/A.	Major Must
AB 5.2.13	Are fish treated and handled in such a way as to protect them from avoidable pain, stress, injury and disease, at all times?	Fish must at all times be treated and handled in such a way as to protect them from avoidable pain, stress, injury and disease. Workers must be able to demonstrate awareness at interview. No N/A.	Minor Must

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AB 5.2.14	Are all fish fasted prior to any handling and to any transport and slaughter, and is the maximum fasting time for fish welfare set and recorded?	A maximum fasting period required prior to any handling and to any transport and slaughter must be defined according to veterinary advice. Fasting records must be in place.	Minor Must
AB 5.3	**Treatments**		
AB 5.3.1	Do producers only use medicines and treatments that are approved by the relevant competent authority for use in aquaculture and for the named species? Is a list of all medicines that may be used available?	Producers can only use medicines and treatments that are approved by the relevant competent authority for use in aquaculture and for the named species. A list of all medicines that may be used at the farm must be available as part of the VHP. Cross reference with AB 5.4.1.	Major Must
AB 5.3.2	Do medicines applied do not contain one or more of the following compounds (but not limited)? Nitrofurans (or its derivates), Triarylmethane dyes (including, but not limited to Malachite green, Crystal violet and Brilliant green), Stilbenes (including, but not limited to Stilbene, Dienestrol, Diethylstilbestrol, Hexoestrol), Chloramphenicol, Nitroimidazoles (including, but not limited to Dimetridazole, Ipronidazole, Metronidazole) or ß- agonists (including, but not limited to Clenbuterol).	Medicines applied shall not contain one or more of the following compounds (but not limited): Nitrofurans (or its derivates), Triarylmethane dyes (including, but not limited to Malachite green, Crystal violet and Brilliant green), Stilbenes (including, but not limited to Stilbene, Dienestrol, Diethylstilbestrol, Hexoestrol), Chloramphenicol, Nitroimidazoles (including, but not limited to Dimetridazole, Ipronidazole, Metronidazole) or ß- agonists (including, but not limited to Clenbuterol). List of medicines used at the hatchery and/or the farm must be in place.	Major Must
AB 5.3.3	Are medicines used at the farm prescribed by a registered veterinarian or as minimum, according to national legislation? Is the application according to the instructions in the VHP?	Medicines used at the farm must be prescribed by a registered veterinarian or as minimum, according to requirements in national legislation. Application has to be carried out according to the instructions included in the VHP.	Major Must
AB 5.3.4	As top dressing and coating of feed at farm level is not recommended, and can only be carried out when required for medication, are all treatments and procedures used listed in the VHP and records kept?	Top dressing and coating activities at farm level should be avoided. Only when justified, this practice follows medication listed under the VHP. Records for this practice shall include: - Target with justification, as recommended on the VHP; - Responsible person for prescription; - Responsible person for application; - Active ingredient and product name; - Concentrations used and mixing procedures following label instructions; - Application procedure; - Withdrawal times.	Major Must

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AB 5.3.5	Is the farmer able to demonstrate compliance regarding Maximum Residue Limits (MRL´s) in the market where the farmed products are intended to be traded (domestic or international)?	The farmer (or the farmer's customer) must have available a list of current applicable MRLs for the market(s) where farmed product is traded in (whether domestic or international). The MRLs will be identified by either demonstrating communication with clients confirming the intended market(s), or by selecting the specific country(ies) (or group of countries) where farmed products are intending to be traded in, and presenting evidence of compliance that meets the current applicable country(ies') MRLs. Where a group of countries is targeted for trading in, the farmer must comply with the strictest current applicable MRLs.	Major Must
AB 5.3.6	Are neither natural nor synthetic hormones nor antibiotic agents used with the purpose of a growth promoting effect? Are antibacterial agents only applied following the diagnosis of an infectious disease?	Hormones and antibacterial agents shall not be used to promote growth. Antibacterial agents shall not be used prophylactically but only applied where an infectious disease problem is diagnosed. No N/A.	Major Must
AB 5.3.7	Are fish flesh residue analyses carried out based on the food safety risk analysis to verify compliance with MRLs for approved medicines and to verify no residues for non-approved substances? Are the analyses performed by an independent, ISO 17025 - accredited (or equivalent standard) laboratory? National surveillance and control program undertaken by the relevant competent authority may be used for documentation.	Fish flesh residue analyses need to be carried out based on the food safety risk analysis to verify compliance with MRLs for approved medicines and to verify no residues for non-approved substances. Analyses must be performed by ISO 17025 - accredited (or equivalent) independent laboratories (refer to sampling procedures section 7, AB 7.2). Where national surveillance and control programs operate but where corrective actions do not take place, evidence of independent regular accredited testing must be provided, or verified declarations of "non-use" are available. Records of independent regular accredited testing must be in place to back up 'non-use' declarations.	Minor Must
AB 5.3.8	Are unused medicines, medicines and medicated feed past their use-by date, empty medicine containers and empty medicated feed bags disposed of in a controlled manner and that will not result in subsequent misuse?	There shall be a documented procedure in place detailing methods of disposal (according to the manufacturer´s instructions and legal requirements, if applicable) and justification.	Major Must
AB 5.4	**Treatment Records**		

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AB 5.4.1	Do all farms maintain up to date legal medicine purchase and administration records including medicated feed?	Products in use/store must be recorded in accordance with standard requirements and records must be in place. For the Purchase Record: Date of purchase; Name of product; Quantity purchased; Batch number; Expiry date; Name of supplier. For the Administration Record: Batch number; Date administered; Identity of fish/group treated; Quantity or bio-mass of fish treated; Dosage and total quantity of medicine used; Date treatment finished; Date withdrawal period completed; Earliest date the fish are available for consumption; Name of the person (s) who administered the medicine by date.	Major Must
AB 5.4.2	Is the producer able to provide a complete history and current overview of fish treatments and application methods and that these are carried out according to national regulation and the VHP?	All fish treatments must be applied and recorded in conformance with applicable national regulation (see AB 5.4.1) and those listed in VHP.	Major Must
AB 5.4.3	Is there a system in place to identify batches of fish having received treatment, for which there is a required pre-harvest withdrawal period?	System must be in place at site to identify and prevent accidental harvesting of batches of fish that have received treatments and are in pre-harvest withdrawal period. Workers must be able to demonstrate awareness at interview.	Major Must
AB 5.4.4	Are pre-harvest withdrawal periods for relevant treatments, and for relevant production units, known and strictly adhered to?	There must be a written confirmation of the nature and the date of treatment and the date that the pre-harvest withdrawal period will be completed. Any fish subsequently sold to another farm before the pre-harvest period has expired, must be identifiable as such. Required withdrawal periods for production units that may be indirectly affected by treatment of another production unit (e.g. through feed spill, sharing the same waters) must be based on risk assessment and minimum in compliance with national legislation. Workers must be able to demonstrate awareness at interview on the above mentioned.	Major Must
AB 5.5.	**Vaccination**		
AB 5.5.1	Are all pumps, surfaces and equipment used in the vaccination process suitably designed and operated to avoid physical damage and to ensure minimal stress to the fish?	Equipment must be in place to prove the suitability to avoid physical damage and to ensure minimal stress to the fish.	Minor Must
AB 5.5.2	Does a documented procedure for vaccination exist and is it followed at all times?	Documented procedure for vaccination must be in place and workers must be able to demonstrate awareness at interview.	Major Must

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AB 5.5.3	Do farmers only use vaccines that are approved by the relevant competent authority, for use in aquaculture and for the named species? Is a list of all vaccines that may be used available?	Farmers can only use vaccines that are approved for use in aquaculture by relevant competent authority for the use in aquaculture and for the named species. A list of approved vaccines that may be used at the farm must follow the VHP and be available on site.	Major Must
AB 5.5.4	Whether the vaccination is done in-house or by contractors, are those performing the vaccination properly trained and are training records available to document their competence?	Training records must be in place to document competence level for operators carrying out fish vaccination.	Major Must
AB 5.6	**Mortality**		
AB 5.6.1	Is mortality inspection and removal from the production units done daily?	Dead fish should be removed from the production units daily. In special situations (e.g. bad weather, low/no mortality) weekly inspections/removals can be acceptable. Reason for deviation from daily removals must be documented. Mortality records must be available for inspection. No N/A.	Major Must
AB 5.6.2	Are all mortalities and cause of death recorded at production unit level?	Records for daily mortality and cause of death, when known, must be in place per production unit. Workers must show awareness of fish health status/ mortality causes at interview. No N/A.	Minor Must
AB 5.6.3	Does the farm have a system for dead fish removal, storage and disposal that ensures that environmental aspects and risk of pathogen and disease spread to own stock and wild fish species are not compromised and minimum according to national legislation?	Dead fish must be removed, intermediately stored and disposed of in a way that ensures that environmental aspects and risk of pathogen and disease spread to own stock and wild fish species are not compromised and minimum as required by national legislation. Farm records must be in place to show protocols for dead fish removal, storage and disposal. No N/A.	Major Must
AB 5.6.4	Does the farm have a contingency plan to deal with mass mortalities, at a minimum in accordance with legal requirements where such exist?	The farm must have a contingency plan to be able to deal with mass mortalities. The plan must comply with legal requirements where these exist. Workers must be able to demonstrate awareness at interview. No N/A.	Major Must
AB 5.7	**All Pens in Water Bodies**		
AB 5.7.1	Do the nets never touch the bottom of the water body?	The records of depths measurements must demonstrate that nets never touch the bottom of the water body.	Major Must

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AB 5.7.2	Are all nets in use individually identifiable and maintained in good condition? Is the integrity of the nets visually inspected on a regular basis and after any special event (e.g. storms) to ensure that any damage that may lead to risk of fish escapes are identified and corrected? Is net strength tested yearly?	Records must be kept for each net documenting age, condition, types and dates of treatments/ handling, location, net inspection records, divers observations (when applicable) and records of corrective actions that have been taken according to results of monitoring operations.	Major Must
AB 5.7.3	Is the recorded net mesh size appropriate for the size of fish to prevent escapes and risk of injuries to the fish?	Records of net mesh measures must be in place. Net mesh size must be appropriate for the fish size to prevent escapes and risk of injuries to the fish.	Major Must
AB 5.8	**Ponds**		
AB 5.8.1	Is the “all in all out” policy implemented, including fallowing periods where ponds are retained empty?	The fallowing dates for sites empty and restocked records must be defined and available for inspection. Workers must be able to demonstrate awareness at interview.	Minor Must
AB 5.8.2	In pond farming, are vegetative buffer zones and habitat corridors maintained?	Vegetative buffer zones and habitat corridors are maintained to minimize the effect of site operations on the environment. Consideration shall be given to the creation of vegetative buffer zones and habitat corridors when they are not already in place.	Minor Must
AB 5.8.3	Is sewage or manure not used as fertilizer?	No treated or untreated sewage waters and animal manure are used on the farm.	Major Must
AB 5.8.4	When pond rearing is based on, or complemented with inorganic fertilization, are records kept of fertilizers added to the pond, and quantities, throughout the operation period?	Records of fertilizer added to pond and quantities throughout operation period must in place.	Major Must
AB 5.8.5	Do farms control sediments in ponds and canals?	Records of inspection must be in place.	Minor Must
AB 5.8.6	Is dredged sediment disposed of according to legal requirements, where they exist, or in a manner that does not have a detrimental impact following the EMP (see AB 10.1.5)?	Records of disposal must be in place.	Major Must
AB 5.9	**Biosecurity (In addition to Food Defense requirements of All Farm module)**		
AB 5.9.1	According to risk assessment, are documented procedures in place to prevent cross contamination?	Bio-security documented procedures are in place according to risk assessment. Workers must be able to demonstrate awareness at interview. No N/A.	Major Must
AB 5.9.2	Where used, are harvest containers disinfected before re-use and transfer to the growing sites?	Records of daily cleaning must be in place where applicable.	Major Must

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AB 5.9.3	For all machinery and equipment (including filters), is a record kept of details of cleaning and disinfecting?	Records of daily cleaning and disinfecting must be in place where applicable.	Major Must
AB 5.9.4	Are vehicles and boats (including all transport systems and associated equipment) used for transporting fish or aquaculture feed, whether owned by the producer or contractors, inspected for cleanliness and disinfection according to risk assessed documented procedures and any necessary corrective action taken?	The risk assessment must specify the required cleaning and disinfection and records of inspection and corrective actions must in place. No N/A.	Major Must
AB 5.9.5	Is there a separation or disinfection of equipment, workers and vehicles between operating fish farm sites to reduce transfer of diseases?	Documented procedures for disinfection must be in place. No N/A.	Major Must
AB 5.9.6	Does the infrastructure support quarantine procedures for site or farm in case of an infectious disease outbreak?	When an infectious disease breaks out the infrastructure must support the quarantine documented procedures. No N/A.	Major Must
AB 5.9.7	Are farms maintained in a clean and hygienic condition?	Farms must be kept in a clean and hygienic condition to reduce risk of disease- and pathogen spread between operation areas and/or units. No N/A.	Major Must
AB 5.9.8	Is there a disinfection procedure and /or appropriate fallowing period in place between harvests and re-stocking?	Documented procedures and records of disinfection and/or appropriate fallowing periods must be in place.	Minor Must
AB 5.9.9	Is all equipment in direct or indirect contact with the fish constructed of materials that do not hinder proper cleaning and disinfection?	Equipment in direct or indirect contact with the fish must be constructed of materials that do not hinder proper cleaning and disinfection. The site must be assessed for all equipment in direct contact with the fish.	Major Must
AB 5.9.10	Where this is the responsibility of the farmer, is harvesting and transport undertaken in a way that does not compromise food safety?	Documented harvest and transport hygiene records (and temperature, where applicable) must be in place.	Major Must
AB 5.10	**Condition of Boats**		
AB 5.10.1	Are all vessels licensed by the relevant authority, and have appropriate safety equipment aboard where applicable?	The valid licenses records must be available for inspection.	Major Must
AB 5.11	**Machinery and Equipment**		

Nº	Control Point	Compliance Criteria	Level
AB 5.11.1	Are all equipment and systems designed, installed and operated to minimize the risk of compromising fish health or risk of fish escapes?	All equipment and systems must be designed, installed and operated to minimize risk of compromising fish health and welfare and to prevent risk of fish escapes. Where appropriate pen structures and moorings must be inspected according to a documented schedule based on risk assessment. Routine maintenance and occasional repair procedures must be actioned and recorded.	Major Must
AB 5.11.2	For all machinery and equipment (including filters) critical to ensure good fish health and welfare, is a record kept of the following; Details of maintenance and calibration; Details of calibration testing and monitoring equipment (e.g. oxygen probes)?	For machinery and equipment critical to ensure good fish health and welfare, records to document appropriate maintenance and calibration must be in place. No N/A.	Major Must
AB 5.11.3	Where fish welfare is dependent upon automatic systems/ equipment (e.g. oxygen level, pump pressure), are the systems equipped with alarms in case of failure and are these tested on a regular basis?	Where fish health and welfare can be compromised in case of system/equipment failure, these equipment/ systems shall be equipped with alarms. Records of alarm testing must be in place.	Major Must
AB 5.11.4	Where risk assessments show that oxygen levels could drop below the minimum for species welfare, are oxygen supplementation systems available and maintained in good repair?	Oxygenation must be available for the peak stocking density at lowest predictable oxygen levels. A spare oxygen supplementation system is available in case of failure of the principal system. For closed recirculation systems, equipment to saturate water in O_2 is necessary due to the high density of fish.	Minor Must
AB 6.	**HARVESTING**		
AB 6.1	**Method of Packing / Dispatch**		
AB 6.1.1	For transportation to the Product Handling Unit – PHU/processing station, are fish transported in clean conditions (containers or pipes), which prevent contamination during handling? Are lids secured to prevent loss of fish and leakage during handling?	All sites must be available for inspection. Cleaning records must be available for inspection. Workers must be able to demonstrate awareness at interview. No N/A.	Major Must
AB 6.1.2	Is the temperature of product reduced as quickly as possible, post kill, towards the temperature of melting ice?	Working instructions must ensure appropriate cooling. The temperature records must be made available for inspection.	Major Must
AB 6.1.3	If ice comes in contact with the product, is it initially manufactured from potable water according to applicable legislative requirements and transported in hygienic containers?	Records of ice supply, the verification of water quality used in ice manufactured and transport conditions of ice must be in place.	Major Must
AB 6.2	**Labelling / Traceability of Harvested Fish**		
AB 6.2.1	Is traceability of the harvested fish maintained up to the process line?	The farm records for all stocks must be available for inspection. No N/A.	Major Must

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AB 6.2.2	Is traceability of a batch of fish possible from the packing case back to the broodstock?	Traceability records through life cycle must demonstrate that all origins and movements are traceable, and be available for inspection.	Major Must
AB 6.2.3	Do geographical coordinates identify the farm?	Geographical coordinates must identify all sites where the actual aquatic operation takes place. The coordinates should refer to the centre of the production site (smaller sites; <1 ha.) or the corners of the contours of the larger production sites (> 1 ha.). The coordinates (degrees and minutes latitude and longitude) must be with an accuracy of two decimals in the geographical minutes (e.g. 15º 22,65' N ; 22º 43,78' E) using the WGS-84 coordinate system. The geographical data shall be stored in the GLOBALG.A.P. Database as soon as this service is available. No N/A.	Major Must
AB 7.	**SAMPLING AND TESTING**		
AB 7.1	Is the sampling program based on likely contaminants, residues and substances for the type of aquaculture practiced and has analysis of these risks been incorporated into the Veterinary Health Plan (VHP, see AB 5.2.3)?	List of substances to be analyzed based on local/national legislation, requirements given by customer(s) and on the Veterinary Health Plan, annual as a minimum and sampled at harvest. No N/A.	Major Must
AB7.2	Is the laboratory used for testing accredited to ISO 17025 standard or proof of successful participation in proficiency ring testing?	Testing as required according to point AB 7.1 must be carried out by a laboratory accredited to ISO 17025, or have proof of successful participation in proficiency ring testing. Compliance for accreditation must be documented either on the letter headings or copies of accreditation that the laboratories used have been accredited, or are in the process of accreditation to the applicable scope by a competent national authority to ISO 17025 or have proof of successful participation in proficiency ring testing.	Major Must
AB 7.3	Are laboratory test results traceable to the specific batch?	The laboratory test results must be traceable to the specific batches. No N/A.	Major Must
AB 8	**FEED MANAGEMENT**		
AB 8.1	**General**		
AB 8.1.1	Do all fish stocks receive a diet, which is suitable for the species farmed?	Documentation of the used feed must demonstrate its application.	Major Must

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AB 8.1.2	Has compound feed been manufactured by and obtained from a recognized source?	The actual Compound Feed Manufacturing - CFM production locations where the feed is sourced from (whether internal or external), must be certified against the: (i) GLOBALG.A.P. CFM Standard or (ii) A standard that has been successfully benchmarked against the GLOBALG.A.P. CFM Standard or (iii) An ISO/IEC Guide 65 or ISO/IEC 17021:2006 accredited feed scheme (*) within 12 months of the aquaculture producer registration with GLOBALG.A.P. This requirement also applies for hatcheries. For compound feed recognized through option iii), a letter stating the origin of fishmeal and fish oil must be present at the farm level, including country, species and confirmation no IUCN Redlist species are included in this raw material (refer to GLOBALG.A.P. Compound Feed Manufacturing - CFM Standard criteria, under section "Feed Ingredients Specifications and Risk Assessment"). The CFM production locations must be registered in the GLOBALG.A.P. Database (by first aquaculture producer audit) with a GLOBALG.A.P. Number that will link it to the aquaculture producer. (*) ISO/IEC Guide 65 (same as EN 45011): General requirements for (certification) bodies operating PRODUCT certification system. ISO/IEC 17021:2006 (former EN 45012): Conformity assessment – Requirements for bodies providing audit and certification of MANAGEMENT SYSTEMS.	Major Must
AB 8.1.3	Are protein and fat elements NOT obtained from the same fish species?	Feed records must be in place and they must demonstrate source from different species, unless proven that legislation (in the countries of production and destination) allows this practice.	Major Must
AB 8.2	**Feed Records**		
AB 8.2.1	Are batches of fish feed traceable from the feed manufacturer to the batch of fish?	Batches of feed from feed manufacturer must be traceable to batches of fish. System or documentation must be in place.	Major Must
AB 8.2.2	Are documentary records (for example invoices) of feed suppliers from whom compound feeds and other animal feed materials have been purchased kept for two years or one year longer than the life cycle of the species farmed, whichever is longer? Do these records include the type of feed, quantity, source and date of delivery?	Records for fish feed must be in place for purchased feed for the past two years or one year longer than the life cycle of the species farmed, whichever is longer.	Major Must

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AB 8.2.3	Do fish farms obtain from their feed suppliers a declaration of constituents for each compound diet and supplement fed to their stock and records of them are kept for two years or one year longer than the life cycle of the species farmed, whichever is longer?	Labels / invoices / statements specifying constituents must be in place and kept for two years or one year longer than the life cycle of the species farmed, whichever is longer. Compound Feed used on farms has to be obtained from a GLOBALG.A.P. approved source.	Minor Must
AB 8.2.4	Do fish farms have a list of all antibiotics, pigments, antioxidants, immune stimulants, probiotics and other additives utilized in feed?	Detailed records must be in place for all additives utilized in feed. Feed used on farms has to be obtained from a GLOBALG.A.P. approved source. Detailed records must be in place for: - Additives used in normal feeds (such as vitamins, minerals and pigments); - Additives used in special feeds (immune stimulants, probiotics) - Antibiotics.	Major Must
AB 8.2.5	Is all feed used, consumed before the shelf life expires?	Feed whose shelf life has expired must not be used. Feed in store must be assessed to assess expiry dates on labels.	Major Must
AB 8.2.6	Are means taken to avoid over-feeding?	Records for feed conversion rates and efficient use of feed monitor systems must be in place.	Minor Must
AB 8.2.7	Are samples of feed taken either by the farming company or the feed manufacturer held from batches used within four months of harvest for reference? Are they clearly labeled with feed batch number details for a period of not less than six weeks post date of sale?	Evidence that samples are taken and kept for analysis in a correct way must be in place. Workers must be able to demonstrate awareness at interview.	Major Must
AB 8.3	**Storage of Aquaculture Feeds**		
AB 8.3.1	Is specific feed for different species clearly identified?	The site and records must be assessed to prove of feedstuffs for different species.	Major Must
AB 8.3.2	Are feeds, including all medicated feeds, stored and handled in accordance with good practice and manufacturer instructions to minimize any risk of contamination?	Proper training and instructions for storing and handling must be in place and implemented for regular and medicated feeds (separated for different species and for parallel production, when applicable).	Major Must
AB 8.3.3	Is there a separate bin/compartment present to contain and deal with excess medicated feed and flush feed?	There must be a separate bin/compartment in place.	Major Must
AB 8.3.4	Are medicated feeds kept in separate, clearly labeled and identified bulk storage or bags?	The site and records must be in place to prove that there is no cross-contamination between medicated and non-medicated feed. Clear labeling/identification.	Major Must

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AB 9.	**PEST CONTROL**		
AB 9.1	Does the farm control the risk of pest infestation in buildings and other facilities to prevent infestation?	Monitoring records of identified risk locations and preventive measures must be in place and available. The location of all pest control measures is identified on a plan/diagram of the site and includes all operations. No N/A.	Major Must
AB 10.	**ENVIRONMENTAL AND BIODIVERSITY MANAGEMENT**		
AB 10.1	**Environmental Management**		
AB 10.1.1	Is there a waste management system in place?	Waste and other disposal must be gathered and distributed to a dedicated location. This location is part of the Environmental Risk Assessment (ERA). Cross-reference with AF 5.2.1 (All Farm). No N/A.	Major Must
AB 10.1.2	Is all litter and waste collected and disposed of according to legislation? Is plastic and paper wastes NOT burnt or left in the environment?	The records of disposal through the correct legal routes must be in place.	Major Must
AB 10.1.3	Is the producer committed to a formal Environmental and Biodiversity Policy, including the element of continuous improvement (supported by codes of practice, management protocols, management practices, record keeping and regulatory compliance certificates)?	The Environmental and Biodiversity Policy documents and records must be in place. Workers must be able to demonstrate awareness at interview.	Minor Must

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AB 10.1.4	Is a continuously updated biodiversity-inclusive environmental impact assessment (EIA) and risk assessment (ERA) in place?	A biodiversity-inclusive Environmental Impact Assessment (EIA) and Environmental Risk Assessment (ERA) must be done, which must be updated following relevant changes in the farm operations with respect to veterinary or environmental threats. Legal compliance of all issues must be demonstrated. Please refer to AB Annex I - Examples EIA-ERA and respective EMPs and AB Annex 2 - Biodiversity in Environmental Impact Assessment. The preparation of the ERA shall be accomplished by competent persons whereby a documented motivation of their competence should be available. Minimum requirements for EIA are for instance, but not restricted to, following processes that are inherent to regular farming: - Effluent BOD/COD load - Effluent Kjeldahl Nitrogen nitrate and nitrite load - Effluent phosphorus load - Effluent suspended solids load - Disposal of solid wastes and litter - Use of all chemical compounds (see definition) - Emission of light, sound and vibrations - Emission of exhaust gases (e.g. generator sets) - Abstraction and discharge of ground water with respect to volume and analysis - Use of energy derived from fossil energy (eg. diesel) of indirect (e.g. electricity form municipal net) - Visual hinder of farming activities Minimum requirements for Environmental Risk Assessment (ERA) are for instance, but not restricted to, following processes that do not occur during regular farming, but may incidentally happen in the course of an accident: – Accidental spill during storage and handling of chemicals and fuels – Emissions resulting from fire and fire extinguishing – Release of farmed animals, including seedlings (eggs, larvae, others) - Salinization of ground water and fresh water bodies - Temporary exceeding of water discharge limits No N/A.	Major Must
AB 10.1.5	Is an Environmental and biodiversity Management Plan (based on the Environmental and biodiversity Impact Assessment of AB 10.1.4 and the Risk Assessment mentioned in AF 1.2.1) developed, setting out strategies to minimize all effects on environment?	An effective Environmental and biodiversity Management Plan must be in place. This must incorporate a regular environmental monitoring. The records of disposal and emission must demonstrate legal compliance. No N/A.	Major Must

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AB 10.1.6	Is there a sampling program in place to monitor the impact of the farming activity on the benthic fauna and sediment and is this carried out at least once per production cycle?	The benthic biodiversity of the recipient water body (where net pens of farm effluents are located) should not be significantly negatively affected. The monitoring of benthic biodiversity, chemical indicator and possible accumulation of chemical residues in the sediment should take place. With regards to chemical indicator, samples should be taken to measure a) % of organic matter (by loss of ignition(LOI) or by organic carbon) in top 2cm of the sediment and b) Redox potential where samples taken at 1cm intervals between 5 and 10cm depth.	Recom.
AB 10.1.7	Does the design and construction of site support the biodiversity plan?	The biodiversity plan or program must be included in the Biodiversity Risk Assessment mentioned under AB 10.1.4. No N/A.	Major Must
AB 10.1.8	Have the competent authorities and local communities been informed when salinization of ground water takes place?	Documented evidence must be available that the competent authorities and local communities have been informed when salinization takes place.	Minor Must
AB 10.2	**Predator Control**		
AB 10.2.1	Subject to Risk Assessment results, predator nets may be required. Are there nets of a size that restricts access to fish stocks and not of a size to allow entanglement?	Predator nets shall not allow entanglement.	Minor Must
AB 10.2.2	Subject to Risk Assessment results, is there in place a regular net and predator net checking system used to reduce negative interaction with wildlife?	The records and management system for nets must be in place to prove that they exist and operate to reduce negative interactions with wildlife.	Minor Must
AB 10.2.3	Are predator controls implemented so as to prevent unnecessary wildlife destruction by the use of preventative measures or scaring devices? If used, are anti-predator methods used in accordance with relevant legislation and codes of practice?	An effective predator control plan must be in place. Predator control records (mortalities, species, dates) must be present. Documented anti predator methods must be in place.	Major Must
AB 10.2.4	Where destruction of predators is unavoidable, is this within the constraints of legislation?	Legal permit allowing destruction of predators (stating numbers and species) shall be present. Producers shall record bird and mammal mortalities.	Major Must
AB 10.3	**Escapes**		
AB 10.3.1	Does the ERA (see AB 10.1.4) records all escaped fish for the previous twelve months?	Records of escaped fish and confirmation that they have all been reported to the authorities for all sites must be in place. No N/A.	Major Must

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AB 10.3.2	Does the EMP (see AB 10.1.5) include a Contingency Plan and a standard operating procedure to avoid escape of farmed stock into the sea or local fresh water course?	The EMP includes a Contingency Plan. Procedures to avoid escapes must be in place. No N/A.	Major Must
AB 10.3.3	Are precautions in place to prevent erosion of dams or channels that could lead to subsequent escapes?	Precautions are taken and an action plan is in place to prevent erosion and subsequent escapes.	Major Must
AB 10.3.4	Are canals, embankments and sheeting constructed in such a way that the adverse effect of high flood levels is limited?	The infrastructure must be calculated for high flood levels. Additional infrastructure to prevent escapes is part of the preventive measures.	Major Must
AB 10.4	**High Conservation Value Areas**		
AB 10.4.1	Has the farm site or related facilities not been established within a designated national Protected Area (PA), PAs with IUCN categories Ia through to IV, or areas defined under international conventions (such as RAMSAR or World Heritage)? If within PA IUCN category V or VI, consent of PA management required.	There is evidence that the farm site or related facilities are not within a Protected Area (PA). ANNEX III: *The World Database on Protected Areas (WDPA) is the most complete compilation of protected areas data available. The 'WDPA Consortium 2006 web-download', contains the 2006 version of the World Database on Protected Areas (WDPA). This web-download includes all the GIS and attributes data for designated national protected areas with IUCN categories Ia through to VI, designated national protected areas without an IUCN Category, and areas defined under international conventions and agreements. The datasets are available as free downloads at: http://www.unep-wcmc.org/wdpa/. Evidence to include: Geographic Location provided at registration. If present within PA category V or VI, auditor to contact PA authorities to establish if farm is in line with management objectives of PA. Information made public. See AB Annex 3 the Contracting Parties in order of their accession - Ramsar Convention on Wetlands*. No N/A.	Major Must
AB 10.4.2	Has the new pond, farm site or related facilities NOT been established (before April 2008) in areas that were previously within a mangrove ecosystem, within the natural inter-tidal zone, or a High Conservation Value Area.	If built after April 2008, there is evidence that the area was NOT previously part of a mangrove ecosystem, within the natural inter-tidal zone, or a High Conservation Value Area (Values 1-4) before April 2008. Evidence to be checked within biodiversity inclusive EIA, and to include: Record of land use/status and habitat types prior to farm building, presence of IUCN Red list species, remote sensing/satellite imagery. Information made public. No N/A.	Major Must

Nº	Control Point	Compliance Criteria	Level
AB 10.4.3	Farms established between May 1999 and April 2008 within mangroves, the natural inter-tidal zone or a High Conservation Value Area must show evidence that they are in the process of being retired, rehabilitating the area and if necessary compensating surrounding communities. From the date of first certification, a maximum of 3 years shall take the process to be completed, after which it is removed and new locations (if any, outside these areas) are considered for certification.	There is written Rehabilitation Plan containing at least objective, time frame, means, activities, expected output and financing and compensation provision in agreement with local communities. Evidence of recent funding of rehabilitation (plans) is available. Information made public. Background: Convention on Wetlands (Ramsar) - Resolution VII.21 entitled “Enhancing the conservation and wise use of intertidal wetlands”, adopted at 7th Meeting of the Conference of the Contracting Parties to the Convention on Wetlands, San José, Costa Rica, 10-18 May 1999. Article 15: “Contracting Parties to suspend the promotion, creation of new facilities, and expansion of unsustainable aquaculture activities harmful to coastal wetlands...“	Major Must
AB 10.4.4	Do farms within inter-tidal, mangrove and High Conservation Value areas improve the environment through management and restoration, retiring non-compliant ponds and increasing productivity of remaining farm areas above the inter-tidal zone?	There is written Restoration Plan containing at least objective, means, activities, expected output and financing and compensation provision in agreement with local communities. Evidence of recent funding of restoration (plans) is available. When operations in mangroves or inter-tidal areas.	Major Must
AB 10.4.5	Were mangroves removed for allowable purposes?	The removal of mangrove vegetation is only allowed for channels or piping for sites above the inter-tidal areas, and when official permits of the public sector have been granted and when a rehabilitation plan is part of the permit.	Major Must
AB 10.4.6	Is the dredged sediment from canals, watercourses and ponds to maintain their depth properly contained and located to prevent the salinization of soil and groundwater and not cause other ecological nuisances as placing it in mangrove or other sensitive areas?	Dredged sediment, from canals, watercourses and ponds to maintain their depth, is properly contained and located. Disposal of solids waste (sludge) is done according to legislation. When no legislation is in place, the solids are gathered and disposed of in a separate and controlled area subject to the EIA/EMP. The dump is constructed to prevent the salinization of soil and groundwater and not cause other ecological nuisances as placing it in mangrove or in other sensitive areas.	Major Must
AB 10.4.7	Is there a Rehabilitation Plan for when operation at site within mangroves or other sensitive ecosystems finishes?	There is a written Rehabilitation Plan for when operations in mangroves or other sensitive ecosystems finish, containing at least objective, means, activities, expected output and financing.	Major Must
AB 11.	**WATER USAGE AND DISPOSAL (Cross-reference with the Environmental Management Plan - AB 10.1.5)**		
AB 11.1	**General**		

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AB 11.1.1	Does water abstraction and discharge meet the requirements set by the competent authority?	The records of discharge licenses and abstraction rights for each site, plus abstraction amounts taken over twelve months must be in place.	Major Must
AB 11.1.2	Is inlet / outlet water quality in compliance with existing applicable local regulations? Where no such regulations exist, are there facilities for effluent treatment available in order to minimize polluting the open water and inlet treatment to promote fish welfare?	The sampling results, sampling plan and records of appropriate corrective actions following evaluation must be available for inspection. On-site assessment of the facilities.	Major Must
AB 11.1.3	If required by the authorities, does the farm have an environmental or biological parameter as a guideline for the surrounding water (environmental assimilative capacity)?	The Environmental Impact Assessment must be assessed for each site. N/A if the authorities do not require the parameter.	Major Must
AB 11.1.4	Is water quality monitored of the discharged water and/or the recipient water body in view of the EIA of holding facilities?	The records of water monitoring must be available.	Major Must
AB 11.1.5	Is the aspect of suspended solids in the recipient water body especially addressed in the EIA/EMP and in the farm infrastructure?	Within the EIA/EMP, the aspect of release and management of suspended solids in the recipient water body must be explicitly implemented.	Minor Must
AB 11.1.6	Is fresh ground water or potable water not used to lower the salt concentrations?	Well water or potable water should not be used to lower salt concentration of pond water.	Recom.
AB 11.2	**Effluent**		
AB 11.2.1	Are local limits in accordance with legislation as implemented and enforced by the relevant competent authority? Does every operator have a consent to discharge, and is able to demonstrate compliance with the consent conditions?	It is the responsibility of producers or producer organizations to ensure any process does not result in unacceptable enrichment of recipient water (nitrate and phosphate for example). Farm management must be able to demonstrate compliance and knowledge of legislation at interview. The records of discharge consents, which are valid and operating within limits at each site, must be in place. No N/A.	Major Must
AB 11.2.2	Subject to risk assessment, is organic waste stored in an appropriate manner to reduce the risk of contamination of the environment?	Documented procedures are in place to assure that the storage of organic wastes is only in designated areas and do not impose a risk on the environment surface water. No N/A.	Major Must

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AB 12	**POST HARVEST - MASS BALANCE AND TRACEABILITY** (PERFORMED BY SAME LEGAL ENTITY OR OWNERSHIP AS THE FARM)		
AB 12.1	**DOCUMENTED CONTROL SYSTEM**		
	The organization is expected to show the assessor documentary evidence of compliance with all controls relevant to mass balance, traceability and legal food safety requirements. This must include written procedures.		
AB 12.1.1	Does the organization control all critical activities where mixture of GLOBALG.A.P. and non-GLOBALG.A.P. products could occur?	There are documented procedures and work instructions for all critical activities where mixture of GLOBALG.A.P. and non-GLOBALG.A.P. products could occur.	Major Must
AB 12.1.2	Does the organization have a food safety system in place?	If the organization has been certified against one of the GFSI recognized post-farm gate standards (http://www.mygfsi.com) covering the scope of the operations, this point is compliant. If not certified, the organization should have a Codex Alimentarius HACCP based food safety system documented and implemented. No N/A.	Major Must
AB 12.2	**CONFIRMATION OF INPUTS**		
	The organization assessed shall ensure that all products considered as GLOBALG.A.P. certified are derived from GLOBALG.A.P. certified sources, independent of product status, whether they are purchased or subject of process outsourcing.		
AB 12.2.1	Are the inputs from GLOBALG.A.P. certified sources clearly identified as such?	All inputs from GLOBALG.A.P. certified sources are fully traceable through the documentation provided. This will include reference to the GLOBALG.A.P. Number - GGN sources. GLOBALG.A.P. ONLINE VALIDATION: By entering the GGN on the GLOBALG.A.P. website (https://database.globalgap.org) the following information will be displayed: CB registration number, certification body, scheme, product status and certificate validity. It is the responsibility of the company applying for GLOBALG.A.P. Certification to ensure that the certificate numbers provided are correct and current. No N/A.	Major Must
AB 12.3	**SEPARATION AND/OR DEMARCATION OF CERTIFIED AND NON-CERTIFIED INPUTS**		
	The organization has identified and controlled all activities where there is a risk of mixing GLOBALG.A.P. certified with non-certified product.		

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AB 12.3.1	**Documentation**		
AB 12.3.1.a	Are appropriate identification procedures in place for identifying incoming and outgoing products from different sources?	Procedures shall be established, documented and maintained, appropriate to the scale of the operation, for identifying incoming products from different sources.	Major Must
AB 12.3.1.b	Are records kept of all GLOBALG.A.P. certified and non-certified products?	Records shall be maintained of all GLOBALG.A.P. certified and non-certified product including information on volumes or weight.	Major Must
AB 12.3.2	**Identification**		
AB 12.3.2.a	Are all products originating from GLOBALG.A.P. certified and non-certified sources clearly identified at all stages of the flow of materials to enable traceability to their certified origin?	All products originating from GLOBALG.A.P. certified and non-certified sources must have a clear identification enabling traceability to their certified origin. Identification of certified origin must be possible at any stage of the flow of materials.	Major Must
AB 12.3.2.b	Have all finished goods labeled with a GGN and if appropriate, all raw materials, work in progress and labeled with a unique traceable identification number or mark?	All finished goods shall be labeled with a GGN. Where appropriate, raw materials, work in progress goods shall carry a unique identification number or mark. From this mark it is possible to trace the material to a GLOBALG.A.P. endorsed source.	Recom.
AB 12.3.3	**Segregation**		
AB 12.3.3.a	Are production runs of certified and/or non-certified products segregated?	Production runs of certified and/or non-certified products are segregated physically or in time.	Major Must
AB 12.4	**SECURE PRODUCT LABELLING**		
AB 12.4.1	Is the use of the GLOBALG.A.P. trademark according to the GLOBALG.A.P. rules?	GLOBALG.A.P. trademark use shall be used in accordance with the rules laid down by GLOBALG.A.P., and submitted to the responsible certification body (CB) for verification before use.	Major Must
AB 12.5	**IDENTIFICATION OF CERTIFIED OUTPUTS**		
	The organization shall ensure that all certified products sold or leaving the processing outsourced are clearly identifiable as such.		
AB 12.5.1	Are procedures and work instructions in place to ensure that only certified products are dispatched to fill orders for certified products?	Procedures and work instructions shall be developed and implemented to ensure that only certified products are dispatched to fill orders for certified products. No N/A.	Major Must

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AB 12.5.2	Do all sales documents include the GGN of the certificate holder and reference to the GLOBALG.A.P. certified status?	Sales invoices and, where appropriate, other documentation related to sales of certified material shall include the GGN of the certificate holder and shall contain a reference to the GLOBALG.A.P. certified status. No N/A.	Major Must
AB 12.6	**RECORDS AND DATA**		
AB 12.6.1	**Data Maintenance**		
	The organization shall ensure that all records relevant to maintaining secure mass balance and traceability are adequately prepared, used and maintained.		
AB 12.6.1.a	Does the organization establish and maintain the necessary procedures?	The organization shall establish and maintain procedures for the identification, collection, indexing, filing, storage, maintenance and disposition of all records relevant to mass balance and traceability, appropriate to the size and complexity of the operation. As a minimum this shall include information on which records are stored, and for how long. No N/A.	Major Must
AB 12.6.1.b	Is the retention time for the records maintained for a minimum of three years?	Retention times for records relevant to mass balance and traceability are defined to be at least 3 years. NA for the first three years of certification.	Major Must
AB 12.6.1.c	Are all records in place and legible?	All records shall be in place and legible. No N/A.	Major Must
AB 12.6.1.d	Do all records include the appropriate information?	Records shall include, as appropriate: - Purchase records including purchase orders, contracts, invoices and list of approved suppliers goods inwards notes and records of receipt inspections - Stock records of raw materials and finished product, including where appropriate annual stock taken results - Production records - Sales orders received and invoices issued by the organization being assessed. No N/A.	Major Must
AB 12.6.2	**Mass balance**		
	The organization shall be able to justify mass-balance calculations using measured yields from processing and accurate input / output weights.		
AB 12.6.2.a	Are all incoming products accurately recorded and regularly summarized to facilitate a mass balance audit?	All input weights of GLOBALG.A.P. certified products are recorded and a summary is compiled at least every 3 months. No N/A.	Major Must

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AB 12.6.2.b	Are conversion ratios used to calculate a mass balance based on measured process yields?	The conversion ratios used to calculate a mass balance are based on recorded process yield measurements verified at least every 3 months. No N/A.	Major Must
AB 12.6.2.c	Are sales of GLOBALG.A.P. certified product recorded and summarized to allow a mass balance calculation that shows consistency between input and output of certified product?	The sales of GLOBALG.A.P. certified product are recorded and summarized to facilitate a comparison with inputs of certified product in the same period. A mass balance calculation shows consistency between purchases and sales of certified product after allowing for process yields.	Major Must
AB 13.	**POST HARVEST – OPERATIONS** (PERFORMED BY SAME LEGAL ENTITY OR OWNERSHIP AS THE FARM)		
AB 13.1	**Fish welfare in holding facilities, including live wellboat transfer, and/or prior to slaughter**		
	Minimizing stress of the fish immediately prior to slaughter is necessary to prevent welfare problems and to maintain product quality.		
AB 13.1.1	Do all staff responsible for the reception of fish for harvest have appropriate training in fish welfare and the operation of live holding systems?	Staff must be able to demonstrate competence at interview. Training records and certificates, for each member of staff with allocated functions or jobs must be assessed.	Major Must
AB 13.1.2	Is the condition of the fish monitored regularly prior to transfer to the point of harvest? Is unnecessary stress of the fish avoided?	Records of monitoring must be assessed.	Major Must
AB 13.1.3	Is the oxygen level of the holding areas controlled and recorded?	Document and records are on the site the control the oxygen level.	Minor Must
AB 13.1.4	Are fish holding facilities, **including live fish wellboats**, NOT contaminated by blood water, factory effluent and/or spillage or discharge from marine traffic?	Fish holding facilities, **including live fish wellboats**, must NOT be contaminated. The records of bloodwater and effluent disposal must be in place and collection facilities assessed. The environmental risk assessment (refer to AB 10.1.4) must also include fuel spillage risk at fish holding facilities.	Major Must
AB 13.2	**Mortalities in holding facilities, including wellboats, and/or prior to slaughter**		
AB 13.2.1	Does the organization have a plan to monitor and record trends in mortality?	Site plans and records must be assessed.	Minor Must
AB 13.2.2	For the legal disposal of large-scale mortalities, is there a contingency /action plan in place in the event of a severe disease episode or mass mortality?	The Contingency/Action Plan must be assessed, and must comply with legal requirements where these exist. Staff must be able to demonstrate awareness at interview.	Minor Must
AB 13.2.3	Are all mortalities recorded on removal from the fish holding area and reasons for death recorded, where known?	Records for cause of death must be assessed.	Minor Must

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AB 13.3	**Escapes and Indigenous Species**		
AB 13.3.1	Are effective measures in place to ensure there is no escape of farmed stock into the local watercourse, or ingress of indigenous species into the fish holding areas?	The Contingency Plans and records of all escaped fish for the previous twelve months and confirmation that they have all been reported to the authorities for all sites must be assessed.	Major Must
AB 13.4	**Stunning and Bleeding**		
AB 13.4.1	Is the slaughter method used specified in the VHP and does it consider fish welfare?	The slaughter method used is specified in the VHP and considers fish welfare.	Major Must
AB 13.4.2	Are the stunning and bleeding (when applicable) methods compliant with legislation?	Stunning and bleeding (when applicable) methods are compliant with legislation.	Major Must
AB 13.4.3	Have all harvesting staff received fish welfare training in relation to the slaughter process, including specific training in the stunning and bleeding (when applicable) techniques?	Records of training in fish welfare in relation to the slaughter process including specific training in the stunning and bleeding (when applicable) techniques are in place.	Major Must
AB 13.4.4	Are fish effectively stunned prior to bleeding?	Fish are stunned using an effective stunning method, and immediately become unconscious. Monitoring procedures must be in place. Where effective automation technology is available percussive stunning and/or electro stunning must be employed.	Major Must
AB 13.4.5	When fish are bled, is this done immediately after stunning? Is the bleeding effective with a monitoring procedure in place?	Fish are bled immediately after stunning and remain unconscious while they bleed to death. Monitoring procedures must be in place to verify that no fish show signs of recovery.	Major Must
AB 13.5	**Blood Waters**		
AB 13.5.1	Are all waste blood waters collected and treated before disposal, causing no veterinary or environmental threat?	All blood water must be contained for onward disposal. Treatment must ensure no veterinary or environmental threat. Check collection and disposal records.	Major Must
AB 13.6	**DEPURATION**		
AB 13.6.1	For bivalves molluscs supplied directly to the consumer, are they depurated?	Farms producing bivalve molluscs to be supplied directly for human consumption carry out depuration according to legal requirements or industry standards, in accordance with the requirements of Codex Alimentarius. Records of depuration time and parameters measurement of successful depuration must be in place.	Major Must

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Nº	Control Point	Compliance Criteria	Level
AB 14.	**SOCIAL CRITERIA**		
AB 14.1	Has the GRASP Module been assessed and made accessible via the GLOBALG.A.P. Database?	The GRASP Module has been assessed and accessible to customer via GLOBALG.A.P. Database. All control points of social criteria should be audited and commented before uploading checklist into database.	Recom.

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Aquaculture Base ANNEX I:

Examples of Environmental Impact Assessment (EIA), Environmental Risk Assessment (ERA) and respective Environmental Management Plans (EMPs)

Table A Example of Environmental Impact assessment (EIA) combined with the environmental Management plan (EMP) (Impacts inherent to farming operations) (Levels 4-7 in stages of Impact Assessment)

	Impact	**Applicable law**	**Working instruction**
1	Dispose of empty food bags	Municipal license	Dispose weekly on municipal dump
2	Discharge of sludge	Province regulation on coastal protection 2003.	Use settling pond; clean every two months.
3	Dispose settled sludge	Municipal license; Directive on Fertilizers in Agriculture	200 ton/year of sludge can be brought to the rubber tree farms; excessive must be brought to municipal dump.
4	Use of electricity	no	Only use paddle wheels in accordance with working instruction on oxygen in ponds.
5	Exhaust gases generator	E.g. Governmental regulation 23/568 on exhaust gases.	Yearly check on engine adjustment by dealer
6	Pesticides for weed control	Use only admitted products and follow working instructions.	E.g. Only use “Herbclean” according to working instructions once a month.
7	Use of diesel fuel	no	Generator only uses Diesel. See 3 and 4.
8	Noise of the generator to surrounding neighbors	Municipal permit; agreement with neighbors.	Keep doors of generator housing closed. Use ventilator at high room temperatures.

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Table B Example of Environmental Risk Assessment (ERA) combined with the environmental Management plan (EMP) (realistic risks associated with farming operations)

	Risk	Applicable law	Preventive actions
1	Empty food bags blow with the wind	Municipal license	Close the container every time.
2	Sludge floating instead of settling; discharge into nature.	Province regulation on coastal protection 2003.	Stop discharge and clean settling pond.
3	Excessive sludge production	no	Assess pond biomass; recalculate feeding regime.
4	Leakage of fluid chemicals from the storage room	Municipal license	All fluids to be stored on dedicated storage devices.
5	Diesel spilled into the ground	Municipal license	Diesel storage in approved tank on concrete floor; filling only under supervision

Table C Example of Biodiversity Impact assessment. (Impacts inherent to farming operations)

	Impact	Ecological consequence	Mitigation
1	Conversion of natural habitats	Loss of: fish breeding ground; endangered species habitat;	Consider alternative sites
2	Nutrient/ organic matter/sludge release to surrounding ecosystem	Additional growth of weed and algae; oxygen depletion of bottom (dependant on tidal flow to avoid concentrations build up).	Settlement ponds; limiting water exchange
3	Infiltration of seawater in the ground	Salinization of ground water; Change in vegetation on site and downstream towards the sea	No use of ground water for ponds; yearly monitoring of surrounding ground water.
4	Release of pathogens	Endangering native species	Prevention of escapes; effluent handling.

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Table D Example of biodiversity Risk Assessment and management plan (realistic risks to biodiversity associated with farming operations)

	Impact	Ecological consequence	Mitigation
1	Fish or shrimp may escape	Introduction of unwanted species or pathogens threatening native species.	Prefer native species. Utmost precautions should be in place to prevent escapes.
2	The settling pond with sludge is flooded by e.g. storm or spring tide	Significant change in habitat in recipient water	Dikes should be of above average height.
3	Release of large quantities of chemicals	Damage to aquatic life in recipient water	Adequate storage; avoid excessive chemical stocks

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Aquaculture Base Annex II - Biodiversity in Environmental Impact Assessment [1]

Introduction

The Convention on Biological Diversity defines biodiversity as “the variability among living organisms from all sources including, amongst others, terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part; this includes diversity within species, between species and of ecosystems.”

Biodiversity in more simple terms is the variety of life on earth at all levels, from genes to worldwide populations of the same species; from communities of species sharing
the same small area of habitat to worldwide ecosystems.

Environmental Impact Assessment provides opportunities to ensure that biodiversity values are recognized and taken into account in decision-making. Importantly, this involves
a participatory approach with people who might be affected by a proposal (those living in or around site), which is also a key indicator as to the quality and credibility of the assessment.

[1] For key reference documents see International Association of Impact Assessment (IAIA): http://www.iaia.org

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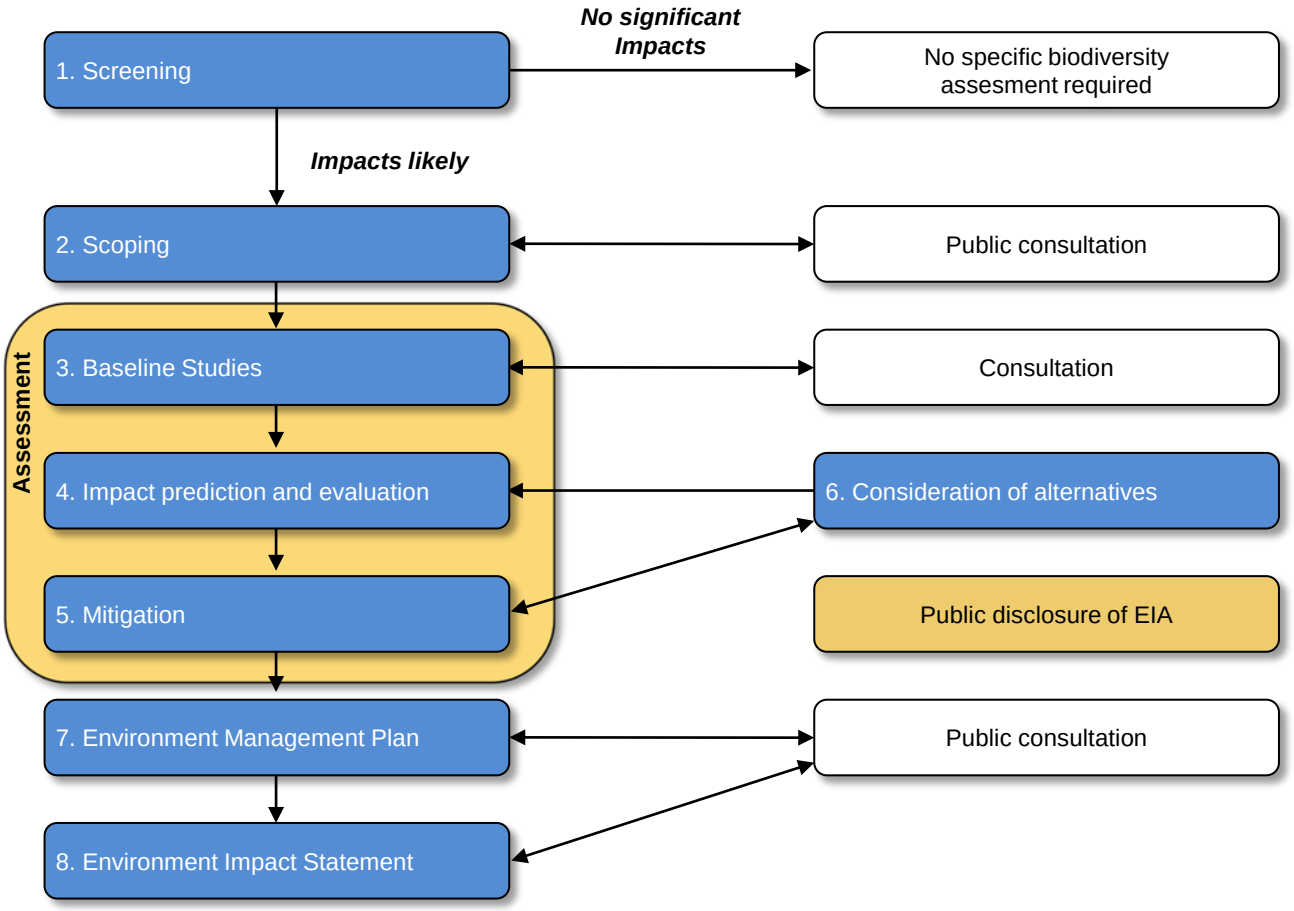
Figure A: An overview of the principal stages of an EIA relevant to biodiversity



Operating principles

1. Screening - to determine whether or not a proposal should be subject to EIA and, if so, at what level of detail. Use biodiversity inclusive screening criteria to determine whether important biodiversity resources may be affected. Biodiversity screening "triggers" for IA should include:

- Potential impacts on protected areas and areas supporting protected species.
- Impacts on other areas that are not protected but are important for biodiversity (see High Conservation Value Areas box below).
- Activities posing a particular threat to biodiversity (in terms of their type, magnitude, location, duration, timing, reversibility).
- Areas that provide important ecosystem services including indigenous people's territories, wetlands, fish breeding grounds, soils prone to erosion or acidification,
  relatively undisturbed or characteristic habitat, flood storage areas, groundwater recharge areas, etc.

Encourage development of a biodiversity screening map indicating important biodiversity values and ecosystem services. If possible, integrate this activity with the development of a National Biodiversity Strategy and Action Plan (NBSAP) and/or biodiversity planning at sub-national levels (e.g. Coastal Zone Management Plans in regions, local authorities, towns) to identify conservation priorities and targets.

Areas of High Conservation Value are those that:

- Support endemic, rare, declining habitats/species/genotypes.
- Support genotypes and species whose presence is a prerequisite for the persistence of other species.
- Act as a buffer, linking habitat or ecological corridor, or play an important part in maintaining environmental quality.
- Have important seasonal uses or are critical for migration.
- Support habitats, species populations, ecosystems that are vulnerable, threatened throughout their range and slow to recover.

- Support particularly large or continuous areas of previously undisturbed habitat.
- Act as refuge for biodiversity during climate change, enabling persistence and continuation of evolutionary processes.
- Support biodiversity for which mitigation is difficult or its effectiveness unproven including habitats that take a long time to develop characteristic biodiversity.
- Are currently poor in biodiversity but have potential to develop high biodiversity with appropriate intervention.

2. Scoping and 3. Baseline study - to identify the issues and impacts that are likely to be important and to establish terms of reference for EIA. Use scoping as an opportunity to raise awareness of biodiversity concerns and discuss alternatives to avoid or minimize negative impacts on biodiversity.

It is good practice to produce a scoping report for consultation. This should address the following issues (on the basis of existing information and any preliminary surveys or discussions):

1. The type of project, program, plan or policy, possible alternatives and a summary of activities likely to affect biodiversity
2. An analysis of opportunities and constraints for biodiversity (include "no net biodiversity loss" or "biodiversity restoration" alternatives)
3. Expected biophysical changes (in soil, water, air, flora, fauna) resulting from proposed activities or induced by any socioeconomic changes
4. Available information on baseline conditions
5. Likely biodiversity impacts associated with the proposal in terms of composition, structure and function
6. Biodiversity services and values identified in consultation with stakeholders and anticipated changes in these (highlight any irreversible impacts)
7. Possible measures to avoid, minimize, or compensate for significant biodiversity damage or loss, making reference to any legal requirements
8. Proposed IA methodology and timescale

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4. Impact prediction and evaluation. Address biodiversity at all appropriate levels and allow for enough survey time to take seasonal features into account.
Focus on processes and services which are critical to human well-being and the integrity of ecosystems. Explain the main risks and opportunities for biodiversity.

Questions to ask:
At the gene level, to what extent will the proposal have significant effects on:

- Opportunities for species populations to interact, e.g., by increasing habitat fragmentation and isolation?
- Risk of extinction?

At the species level, to what extent will the proposal:

- Affect species identified as priorities in NBSAPs and/or sub national biodiversity plans (e.g. Red list Species)?
- Increase the risk of invasion by alien species?

At the ecosystem level, to what extent will the proposal:

- Change the amount, quality or spatial organization of habitat?
- Damage ecosystem processes and services, particularly those on which local communities rely?

Finally:

- If habitats will be lost or altered, is alternative habitat available to support associated species populations?
- Are there opportunities to consolidate or connect habitats?

Take an ecosystem approach and involve relevant stakeholders (including local communities). Consider the full range of factors affecting biodiversity. These include direct drivers
of change associated with a proposal (e.g., land conversion and vegetation removal leading to loss of habitat—a key driver of biodiversity loss, emissions, disturbance, introduction
of alien and genetically modified species, etc.); and indirect drivers of change which are harder to quantify, including demographic, economic, socio-political, cultural and technological processes or interventions. Evaluate impacts of alternatives with reference to the baseline situation. Compare against thresholds and objectives for biodiversity. Use NBSAPs,
sub-national biodiversity plans and other conservation reports for information and objectives. Take into account cumulative threats and impacts resulting either from repeated
impacts of projects of the same or different nature over space and time, and/or from proposed plans, programs or policies.

5. Mitigation
Remedial action can take several forms, i.e., avoidance (or prevention), mitigation (including restoration and rehabilitation of sites), and compensation.
Apply the “positive planning approach,” where avoidance has priority and compensation is used as a last resort measure.
Avoid “excuse”-type compensation. Look for opportunities to positively enhance biodiversity. Acknowledge that compensation will not always be possible; there will still be cases
where it is appropriate to say “no” to development proposals on grounds of irreversible damage to biodiversity.

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6. Review and decision-making
A specialist with appropriate expertise should undertake peer review of environmental reports with regard to biodiversity, where biodiversity impacts are significant.
Depending on the level of confidentiality of public decision-making, consideration should be given to the involvement of affected groups and civil society.
Avoid pitting conservation goals against development goals; balance conservation with sustainable use for economically viable, and socially and ecologically sustainable solutions.
For important biodiversity issues, apply the precautionary principle where information is insufficient and the no net loss principle in relation to irreversible losses associated
with the proposal.

7. Environmental Management Plan (incl. monitoring, evaluation and auditing plans)
It is important to recognize that all prediction of biodiversity response to perturbation is uncertain, especially over long time frames. Management systems and programs, including clear management targets (or Limits of Acceptable Change (LC)) and appropriate monitoring, should be set in place to ensure that mitigation is effectively implemented,
unforeseen negative effects are detected and addressed, and any negative trends are detected. Provision is made for regular auditing of impacts on biodiversity.
Provision should be made for emergency response measures and/or contingency plans where upset or accident conditions could threaten biodiversity.

8. Environmental Impact Statement
One of the most effective ways to ensure that an EIA process is fair and credible is through full and public stakeholder engagement, with all affected and interested parties,
and public disclosure of Environmental Impacts Statements.

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Aquaculture Base Annex III - The Ramsar Convention on Wetlands
Contracting Parties in order of their accession:

1	Australia	21.12.1975	32	Mauritania	22.02.1983	61	Croatia	25.06.1991
2	Finland	21.12.1975	33	Austria	16.04.1983	62	Slovenia	25.06.1991
3	Norway	21.12.1975	34	Algeria	04.03.1984	63	Romania	21.09.1991
4	Sweden	21.12.1975	35	Uruguay	22.09.1984	54	Chad	13.10.1990
5	South Africa	21.12.1975	36	Ireland	15.03.1985	55	Sri Lanka	15.10.1990
6	Iran, Islamic Republic of	21.12.1975	37	Suriname	22.11.1985	56	Guatemala	26.10.1990
7	Greece	21.12.1975	38	Belgium	04.07.1986	57	Bolivia	27.10.1990
8	Bulgaria	24.01.1976	39	Mexico	04.11.1986	58	Burkina Faso	27.10.1990
9	United Kingdom	05.05.1976	40	France	01.12.1986	59	Panama	26.11.1990
10	Switzerland	16.05.1976	41	USA	18.04.1987	60	Ecuador	07.01.1991
11	Germany	26.06.1976	42	Gabon	30.04.1987	61	Croatia	25.06.1991
12	Pakistan	23.11.1976	43	Niger	30.08.1987	62	Slovenia	25.06.1991
13	New Zealand	13.12.1976	44	Mali	25.09.1987	63	Romania	21.09.1991
14	Russian Federation	11.02.1977	45	Nepal	17.04.1988	64	Ukraine	01.12.1991
15	Italy	14.04.1977	46	Ghana	22.06.1988	65	Liechtenstein	06.12.1991
16	Jordan	10.05.1977	47	Uganda	04.07.1988	66	Zambia	28.12.1991
17	Serbia (succ. SFR/Yugoslavia)	27.04.1992	48	Egypt	09.09.1988	67	Peru	30.03.1992
18	Senegal	11.11.1977	49	Venezuela	23.11.1988	68	Costa Rica	27.04.1992
19	Denmark	02.01.1978	50	Viet Nam	20.01.1989	69	China	31.07.1992
20	Poland	22.03.1978	51	Malta	30.01.1989	70	Indonesia	08.08.1992
21	Iceland	02.04.1978	52	Guinea-Bissau	14.05.1990	71	Argentina	04.09.1992
22	Hungary	11.08.1979	53	Kenya	05.10.1990	72	Bangladesh	21.09.1992
23	Netherlands	23.09.1980	54	Chad	13.10.1990	73	Czech Republic	01.01.1993
24	Japan	17.10.1980	55	Sri Lanka	15.10.1990	74	Slovakia	01.01.1993
25	Morocco	20.10.1980	56	Guatemala	26.10.1990	75	Guinea	18.03.1993
26	Portugal	24.03.1981	57	Bolivia	27.10.1990	76	Trinidad and Tobago	21.04.1993
27	Tunisia	24.03.1981	58	Burkina Faso	27.10.1990	77	Papua New Guinea	16.07.1993
28	Canada	15.05.1981	57	Bolivia	27.10.1990	76	Trinidad and Tobago	21.04.1993
29	Chile	27.11.1981	58	Burkina Faso	27.10.1990	77	Papua New Guinea	16.07.1993
30	India	01.02.1982	59	Panama	26.11.1990	78	Brazil	24.09.1993
31	Spain	04.09.1982	60	Ecuador	07.01.1991	79	Honduras	23.10.1993

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80	Armenia	06.11.1993	109	Belize	22.08.1998	138	Equatorial Guinea	02.10.2003
81	Lithuania	20.12.1993	110	Thailand	13.09.1998	139	Lesotho	01.11.2004
82	Estonia	29.07.1994	111	Congo	18.10.1998	140	Marshall Islands	13.11.2004
83	Philippines	08.11.1994	112	Colombia	18.10.1998	141	Mozambique	03.12.2004
84	Turkey	13.11.1994	113	Madagascar	25.01.1999	142	Samoa	06.02.2005
85	Malaysia	10.03.1995	114	El Salvador	22.05.1999	143	Myanmar	17.03.2005
86	Comoros	09.06.1995	115	Lebanon	16.08.1999	144	Seychelles	22.03.2005
87	The FYR of Macedonia	08.09.1995	116	Cambodia	23.10.1999	145	Sudan	07.05.2005
88	Paraguay	07.10.1995	117	Belarus (succeeded)	25.08.1991	146	Antigua and Barbuda	02.10.2005
89	Togo	04.11.1995	118	Sierra Leone	13.04.2000	147	Cape Verde	18.11.2005
90	Latvia	25.11.1995	119	Benin	24.05.2000	148	Rwanda	01.04.2006
91	Namibia	23.12.1995	120	United Republic of Tanzania	13.08.2000	149	Central African Republic	05.04.2006
92	Albania	29.03.1996	121	Libyan Arab Jamahiriya	05.08.2000	150	Barbados	12.04.2006
93	Congo, Democratic Rep. of	18.05.1996	122	Moldova	20.10.2000	151	Cameroon	20.07.2006
94	Cote d'Ivoire	27.06.1996	123	Nigeria	02.02.2001	152	Fiji	11.08.2006
95	Gambia	16.01.1997	124	Cuba	12.08.2001	153	Sao Tome and Principe	21.12.2006
96	Israel	12.03.1997	125	Azerbaijan	21.09.2001	154	Kazakhstan	02.05.2007
97	Malawi	14.03.1997	126	Cyprus	11.11.2001	155	Montenegro (succeeded)	03.06.2006
98	Botswana	09.04.1997	127	Tajikistan	18.11.2001	156	United Arab Emirates	29.12.2007
99	Bahamas	07.06.1997	128	Mauritius	30.09.2001	147	Cape Verde	18.11.2005
100	Georgia	07.06.1997	129	Bosnia and Herzegovina (succeeded)	01.03.1992	148	Rwanda	01.04.2006
101	Republic of Korea	28.07.1997	130	Uzbekistan	08.02.2002	149	Central African Republic	05.04.2006
102	Nicaragua	30.11.1997	131	Saint Lucia	19.06.2002	150	Barbados	12.04.2006
103	Monaco	20.12.1997	132	Dominican Republic	15.09.2002	151	Cameroon	20.07.2006
104	Jamaica	07.02.1998	133	Burundi	05.10.2002	152	Fiji	11.08.2006
105	Bahrain	27.02.1998	134	Kyrgyz Republic	12.03.2003	153	Sao Tome and Principe	21.12.2006
106	Mongolia	08.04.1998	135	Palau	18.02.2003	154	Kazakhstan	02.05.2007
107	Syria	05.07.1998	136	Djibouti	22.03.2003	155	Montenegro (succeeded)	03.06.2006
108	Luxembourg	15.08.1998	137	Liberia	02.11.2003	156	United Arab Emirates	29.12.2007

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EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of Modifications
120206_gg_ifa_cpcc_ab_v4_0-1_en	110314_GG_IFA_CPCC_AB_ENG_FINAL_V4	6 February 2012	Modification GLOBALG.A.P to GLOBALG.A.P.
130621_gg_ifa_cpcc_ab_v4_0-2_en	120206_gg_ifa_cpcc_ab_v4_0-1_en	21 June 2013	No modification in this module

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

When the changes do not affect the accreditation of the standard, the version will remain “4.0” and edition update shall be indicated with “4.0-x”. When the changes do affect the accreditation of the standard, the version name will change to “4.x”.

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GLOBALG.A.P.

CHAIN OF CUSTODY

CONTROL POINTS AND COMPLIANCE CRITERIA

ENGLISH VERSION 4.0
EDITION 4.0-2_MAR2013

VALID FROM: MARCH 2013
OBLIGATORY FROM: JUNE 2013

CONTENTS

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INTRODUCTION

Principles

GLOBALG.A.P. offers several benefits to producers:

1. Reducing Food Safety risks in Global Primary Production
   - Clear risk assessed HACCP based reference standard serving the consumer and farmer
   - Commitment to continuous improvement and transparency through consultation and adoption of technical communication platforms across the entire food chain

2. Reducing Cost
   - Avoiding the proliferation of buyer requirements, committed GLOBALG.A.P. retailer and food service members will shift their supply to GLOBALG.A.P. approved sources over time
   - Avoid excess regulatory burden by pro-active adoption by industry
   - Achieving global harmonization leading to a more level playing field
   - Farmers choose from certification bodies strictly regulated by GLOBALG.A.P.

3. Increasing the Integrity of Farm Assurance Schemes worldwide by
   - Defining and enforcing a common level of auditor competence
   - Defining and enforcing a common level of verification status report
   - Defining and enforcing a common level of action on non-compliances
   - Harmonizing interpretation of compliance criteria

Independent Verification:

Farmers receive their GLOBALG.A.P. approval through independent verification from a certification body that is approved by GLOBALG.A.P.

The scheme documents are:
1. GLOBALG.A.P. General Regulations, which sets out the rules by which the standard will be administered.
2. GLOBALG.A.P. Control Points and Compliance Criteria (CPCC) is the standard with which the farmer must comply, and which gives specific details on how the farmer complies with each of the scheme requirements.
3. GLOBALG.A.P. Checklist which forms the basis of the farmer external audit and which the farmer must use to fulfill the annual internal audit requirement.
4. GLOBALG.A.P. Chain of Custody (CoC) to ensure that any product bearing a GLOBALG.A.P. label or sold as GLOBALG.A.P. certified is produced from material that originates from certified GLOBALG.A.P. farms.
5. GLOBALG.A.P. Chain of Custody Checklist, which forms the basis of the external audit and must be used to fulfill the annual internal audit requirement.
As described in GLOBALG.A.P. General Regulations, this scheme is divided into Major Musts, Minor Musts and Recommendations.

All control points must be audited. The possible answers are: compliance (yes), non-compliance (no) or Not Applicable (N/A). The N/A verdict cannot be given to those control points where the Compliance Criteria specify No N/A.

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Legislation overrides GLOBALG.A.P. where relevant legislation is more demanding. Where there is no legislation (or legislation is not so strict), GLOBALG.A.P. provides a minimum acceptable level of compliance. **Legal compliance of all applicable legislation is not a condition for certification. The audit carried out by the GLOBALG.A.P. certification body is not replacing the responsibilities of public compliance agencies to enforce legislation.**

Disclaimer:

FoodPLUS GmbH and GLOBALG.A.P. approved certification bodies are not legally liable for the safety of the product certified under this standard.

Copyright:

Registration:

Please refer to the GLOBALG.A.P. General Regulations for instructions on registration and certification process.

Definitions:

For clarification on the definition of terms used within this document, please refer to GLOBALG.A.P. definitions published on the GLOBALG.A.P. website.

CHAIN OF CUSTODY

Guidance:

A traceability system is referred to the totality of data and operations that is capable of maintaining desired information about a product and its components through all or part of its production and utilization chain. All GLOBALG.A.P. certified products that changes legal ownership and/or are subject to handling activities/processing must be compliant with the GLOBALG.A.P. Chain of Custody (CoC) requirements to be sold with the GLOBALG.A.P. claim. If GLOBALG.A.P. certified products are subject to outsourced handling activities/processing, AF.4, AB.12 and AB.13 control points shall be audited or Product Handling Unit (PHU) may be CoC certified for products to be sold with the GLOBALG.A.P. claim.

Traceability systems contribute to the search for the cause of nonconformity and the ability to withdraw and/or recall products if necessary. The objective of these requirements is to ensure that any product sold as GLOBALG.A.P. certified is produced from material that originates from certified GLOBALG.A.P. farms.

Chain of Custody controls must therefore be implemented at all critical control points in the **process** under assessment. Critical control points are those where there is a significant risk of certified materials becoming mixed with uncertified materials, under either normal or abnormal operating conditions.

Unless otherwise stated in the specific section below, Chain of Custody controls always consist of an APPROPRIATE COMBINATION of segregation and identification, to ensure that certified and uncertified materials are not mixed.

The choice of a traceability system is influenced by regulations, product characteristics and customer expectations. A traceability system on its own is insufficient to achieve food safety. Therefore, compliance of control point 3.2 of the Control Points and Compliance Criteria section is a Major Must, no N/A.
Chain of Custody audits and internal-assessments must be done when **processing and relevant handling activities expected for GLOBALG.A.P. certified products** take place. GLOBALG.A.P. certified products and/or related operational records DO need to be present during the audit.

Sections 9 and 10, are intended for aquaculture products, and shall be audited where applicable.

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Nº	Control Point	Compliance Criteria	Level
	CHAIN OF CUSTODY		
CoC 1.	**SELF ASSESSMENT**		
CoC 1.1	Does the organization undertake a minimum of one self-assessment per year against the GLOBALG.A.P. Chain of Custody Standard and has the internal self-assessment been documented and recorded?	Documentary evidence that the GLOBALG.A.P. Chain of Custody internal self-assessment has been carried out annually at all sites and must be available on each site handling products of GLOBALG.A.P. certified farms origin.	Major Must
CoC 1.2	Are effective corrective actions taken as a result of internal self-assessment?	Effective corrective actions are documented and have been implemented.	Major Must
CoC 2.	**COMPLAINTS**		
CoC 2.1	Is there a complaint form available including issues of compliance with GLOBALG.A.P. Chain of Custody Standard?	A clearly identifiable document for complaints that includes issues of compliance with GLOBALG.A.P. Chain of Custody Standard is available on request. No N/A.	Major Must
CoC 2.2	Does the complaints procedure ensure that complaints are adequately recorded, studied and followed up including a record of actions taken?	There are documents of the actions taken with respect to complaints regarding GLOBALG.A.P. Chain of Custody Standard deficiencies found in products or services. No N/A.	Major Must
CoC 3.	**DOCUMENTED CONTROL SYSTEM**		
	The organization is expected to show the assessor documentary evidence of compliance with all controls relevant to the chain of custody and legal food safety requirements. This must include written Chain of Custody procedures.		
CoC 3.1	Does the organization control all critical activities where mixture of GLOBALG.A.P. and non-GLOBALG.A.P. products could occur?	There are documented procedures and work instructions for all critical activities where mixture of GLOBALG.A.P. and non-GLOBALG.A.P. products could occur. No N/A.	Major Must
CoC 3.2	Does the organization have a food safety system in place?	If the organization has been certified against one of the GFSI recognized post-farm gate standards (http://www.mygfsi.com) covering the scope of the operations, this point is compliant. If not certified, the organization should have a Codex Alimentarius HACCP based food safety system documented and implemented. For GLOBALG.A.P. Tea and Coffee Certification, N/A (refer to Sections TE 8 and CO 8 respectively, where all applicable control points must be compliant). No N/A.	Major Must

Nº	Control Point	Compliance Criteria	Level
CoC 4.	**CONFIRMATION OF INPUTS**		
	The organization assessed shall ensure that all products considered as GLOBALG.A.P. certified are derived from GLOBALG.A.P. certified sources, independent of product status, whether they are purchased or subject of process outsourcing.		
CoC 4.1	Are the inputs from GLOBALG.A.P. certified sources clearly identified as such?	All inputs from GLOBALG.A.P. certified sources are fully traceable through the documentation provided. This will include reference to the GLOBALG.A.P. Number - GGN sources. GLOBALG.A.P. ONLINE VALIDATION: By entering the GGN on the GLOBALG.A.P. website (https://database.globalgap.org) the following information will be displayed: CB registration number, certification body, scheme, product status and certificate validity. It is the responsibility of the company applying for GLOBALG.A.P. CoC Certification to ensure that the certificate numbers provided are correct and current. No N/A.	Major Must
COC 5.	**SEPARATION AND/OR DEMARCATION OF CERTIFIED AND NON-CERTIFIED INPUTS**		
	The organization has identified and controlled all activities where there is a risk of mixing GLOBALG.A.P. certified with non-certified product.		
CoC 5.1	**Documentation**		
CoC 5.1.1	Are appropriate identification procedures in place for identifying incoming and outgoing products from different sources?	Procedures shall be established, documented and maintained, appropriate to the scale of the operation, for identifying incoming products from different sources. No N/A.	Major Must
CoC 5.1.2	Are records kept of all GLOBALG.A.P. certified and non-certified products?	Records shall be maintained of all GLOBALG.A.P. certified and non-certified product including information on volumes or weight. No N/A.	Major Must
CoC 5.2	**Identification**		
CoC 5.2.1	Are all products originating from GLOBALG.A.P. certified and non-certified sources clearly identified at all stages of the flow of materials to enable traceability to their certified origin?	All products originating from GLOBALG.A.P. certified and non-certified sources must have a clear identification enabling traceability to their certified origin. Identification of certified origin must be possible at any stage of the flow of materials. No N/A.	Major Must

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CoC 5.2.2	Have all finished goods labeled with a GGN and if appropriate, all raw materials, work in progress and labeled with a unique traceable identification number or mark?	All finished goods shall be labeled with a GGN. Where appropriate, raw materials, work in progress goods shall carry a unique identification number or mark. From this mark it is possible to trace the material to a GLOBALG.A.P. endorsed source.	Recom.
CoC 5.3	**Segregation**		
CoC 5.3.1	Are production runs of certified and/or non-certified products segregated?	Production runs of certified and/or non-certified products are segregated physically or in time. No N/A.	Major Must
COC 6.	**SECURE PRODUCT LABELLING**		
CoC 6.1	Is the use of the GLOBALG.A.P. trademark according to the GLOBALG.A.P. rules?	GLOBALG.A.P. trademark use shall be used in accordance with the rules laid down by GLOBALG.A.P., and submitted to the responsible certification body (CB) for verification before use.	Major Must
CoC 6.2	When the GLOBALG.A.P. trademark or name is used, is this followed by the Chain of Custody certificate GGN of the user?	If the GLOBALG.A.P. trademark or name is used for marking of products which will be further processed under a subsequent GLOBALG.A.P. endorsed Chain of Custody Certificate, the responsible CB Chain of Custody certificate GGN shall be included.	Major Must
COC 7.	**IDENTIFICATION OF CERTIFIED OUTPUTS**		
	The organization shall ensure that all certified products sold or leaving the processing outsourced are clearly identifiable as such.		
CoC 7.1	Are procedures and work instructions in place to ensure that only certified products are dispatched to fill orders for certified products?	Procedures and work instructions shall be developed and implemented to ensure that only certified products are dispatched to fill orders for certified products. No N/A	Major Must
CoC 7.2	Do all sales documents include the GGN of the Chain of Custody certificate holder and reference to the GLOBALG.A.P. certified status?	Sales invoices and, where appropriate, other documentation related to sales of certified material shall include the GGN of the Chain of Custody certificate holder and shall contain a reference to the GLOBALG.A.P. certified status. No N/A	Major Must
COC 8.	**RECORDS AND DATA**		
CoC 8.1	**Data Maintenance**		
	The organization shall ensure that all records relevant to maintaining secure chain of custody are adequately prepared, used and maintained.		

Nº	Control Point	Compliance Criteria	Level
CoC 8.1.1	Does the organization establish and maintain the necessary procedures?	The organization shall establish and maintain procedures for the identification, collection, indexing, filing, storage, maintenance and disposition of all records relevant to Chain of Custody, appropriate to the size and complexity of the operation. As a minimum this shall include information on which records are stored, and for how long. No N/A	Major Must
CoC 8.1.2	Is the retention time for the records maintained for a minimum of three years?	Retention times for records relevant to Chain of Custody are defined to be at least 3 years. NA for the first three years of certification.	Major Must
CoC 8.1.3	Are all records in place and legible?	All records shall be in place and legible. No N/A	Major Must
CoC 8.1.4	Do all records include the appropriate information?	Records shall include, as appropriate: - Purchase records including purchase orders, contracts, invoices and list of approved suppliers goods inwards notes and records of receipt inspections - Stock records of raw materials and finished product, including where appropriate annual stock taken results - Production records - Sales orders received and invoices issued by the organization being assessed. No N/A	Major Must
CoC 8.2	**Mass balance**		
	The organization shall be able to justify mass-balance calculations using measured yields from processing and accurate input / output weights.		
CoC 8.2.1	Are all incoming products accurately recorded and regularly summarized to facilitate a mass balance audit?	All input weights of GLOBALG.A.P. certified products are recorded and a summary is compiled at least every 3 months. No N/A	Major Must
CoC 8.2.2	Are conversion ratios used to calculate a mass balance based on measured process yields?	The conversion ratios used to calculate a mass balance are based on recorded process yield measurements verified at least every 3 months. No N/A	Major Must
CoC 8.2.3	Are sales of GLOBALG.A.P. certified product recorded and summarized to allow a mass balance calculation that shows consistency between input and output of certified product?	The sales of GLOBALG.A.P. certified product are recorded and summarized to facilitate a comparison with inputs of certified product in the same period. A mass balance calculation shows consistency between purchases and sales of certified product after allowing for process yields.	Major Must

Nº	Control Point	Compliance Criteria	Level
COC 9	**TRANSPORT CONDITIONS FROM HARVESTING TO PROCESSING (SECTION 9 IS INTENDED FOR AQUACULTURE PRODUCTS, WHEN APPLICABLE)**		
CoC 9.1	**Method of Packing / Dispatch**		
CoC 9.1.1	For transportation to the Product Handling Unit – PHU/processing station, are fish transported in clean conditions (containers or pipes), which prevent contamination during handling? Are lids secured to prevent loss of fish and leakage during handling?	All sites must be available for inspection. Cleaning records must be available for inspection. Workers must be able to demonstrate awareness at interview. No N/A	Major Must
CoC 9.1.2	Is the temperature of product reduced as quickly as possible, post kill, towards the temperature of melting ice?	Working instructions must ensure appropriate cooling. The temperature records must be made available for inspection.	Major Must
CoC 9.1.3	If ice comes in contact with the product, is it initially manufactured from potable water according to applicable legislative requirements and transported in hygienic containers?	Records of ice supply, the verification of water quality used in ice manufactured and transport conditions of ice must be in place.	Major Must
CoC 9.2	**Labelling / Traceability of Harvested Fish**		
CoC 9.2.1	Is traceability of the harvested fish maintained up to the process line?	The farm records for all stocks must be available for inspection. No N/A.	Major Must
CoC 9.2.2	Is traceability of a batch of fish possible from the packing case back to the broodstock?	Traceability records through life cycle must demonstrate that all origins and movements are traceable, and be available for inspection. No N/A.	Major Must
COC 10	**POST HARVEST OPERATIONS (SECTION 10 IS INTENDED FOR AQUACULTURE PRODUCTS, WHEN APPLICABLE)**		
CoC 10.1	**Fish welfare in holding facilities, including live wellboat transfer, and/or prior to slaughter**		
	Minimizing stress of the fish immediately prior to slaughter is necessary to prevent welfare problems and to maintain product quality.		
CoC 10.1.1	Do all staff responsible for the reception of fish for harvest have appropriate training in fish welfare and the operation of live holding systems?	Staff must be able to demonstrate competence at interview. Training records and certificates, for each member of staff with allocated functions or jobs must be assessed.	Major Must
CoC 10.1.2	Is the condition of the fish monitored regularly prior to transfer to the point of harvest? Is unnecessary stress of the fish avoided?	Records of monitoring must be assessed.	Major Must
CoC 10.1.3	Is the oxygen level of the holding areas controlled and recorded?	Documented records are on site for the control of oxygen level.	Minor Must

Nº	Control Point	Compliance Criteria	Level
CoC 10.1.4	Are fish holding facilities, **including live fish wellboats**, NOT contaminated by blood water, factory effluent and/or spillage or discharge from marine traffic?	Fish holding facilities, **including live fish wellboats**, must NOT be contaminated. The records of bloodwater and effluent disposal must be in place and collection facilities assessed. The environmental risk assessment (refer to AB 10.1.4) must also include fuel spillage risk at fish holding facilities.	Major Must
CoC 10.2	**Mortality in holding facilities, including wellboats, and/or prior to slaughter**		
CoC 10.2.1	Does the organization have a plan to monitor and record trends in mortality?	Site plans and records must be assessed.	Minor Must
CoC 10.2.2	For the legal disposal of large-scale mortalities, is there a contingency /action plan in place in the event of a severe disease episode or mass mortality?	The contingency/action plan must be assessed, and must comply with legal requirements where these exist. Staff must be able to demonstrate awareness at interview.	Minor Must
CoC 10.2.3	Are all mortalities recorded on removal from the fish holding area and reasons for death recorded, where known?	Records for cause of death must be assessed.	Minor Must
CoC 10.3	**Escapes and Indigenous Species**		
CoC 10.3.1	Are effective measures in place to ensure there is no escape of farmed stock into the local watercourse, or ingress of indigenous species into the fish holding areas?	The contingency plans and records of all escaped fish for the previous twelve months and confirmation that they have all been reported to the authorities for all sites must be assessed.	Major Must
CoC 10.4	**Stunning and Bleeding**		
CoC 10.4.1	Is the slaughter method used specified in the VHP and does it consider fish welfare?	The slaughter method used is specified in the VHP and considers fish welfare.	Major Must
CoC 10.4.2	Are the stunning and bleeding (when applicable) methods compliant with legislation?	Stunning and bleeding (when applicable) methods are compliant with legislation.	Major Must
CoC 10.4.3	Have all harvesting staff received fish welfare training in relation to the slaughter process, including specific training in the stunning and bleeding (when applicable) techniques?	Records of training in fish welfare in relation to the slaughter process including specific training in the stunning and bleeding (when applicable) techniques are in place.	Major Must
CoC 10.4.4	Are fish effectively stunned prior to bleeding?	Fish are stunned using an effective stunning method, and immediately become unconscious. Monitoring procedures must be in place. Where effective automation technology is available percussive stunning and/or electro stunning must be employed.	Major Must

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CoC 10.4.5	When fish are bled, is this done immediately after stunning? Is the bleeding effective with a monitoring procedure in place?	Fish are bled immediately after stunning and remain unconscious while they bleed to death. Monitoring procedures must be in place to verify that no fish show signs of recovery.	Major Must
CoC 10.5	**Blood Waters**		
CoC 10.5.1	Are all waste blood waters collected and treated before disposal, causing no veterinary or environmental threat?	All blood water must be contained for onward disposal. Treatment must ensure no veterinary or environmental threat. Check collection and disposal records.	Major Must
CoC 10.6	**DEPURATION**		
CoC 10.6.1	For bivalves molluscs supplied directly to the consumer, are they depurated?	Farms producing bivalve molluscs to be supplied directly for human consumption carry out depuration according to legal requirements or industry standards, in accordance with the requirements of Codex Alimentarius. Records of depuration time and parameters measurement of successful depuration must be in place.	Major Must

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EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of Modifications
120615_gg_cpcc_coc_v4_0-1_en	110301_GG_IFA_CPCC_CoC_ENG_FINAL_V4	15 June 2012	Modification GLOBALG.A.P to GLOBALG.A.P.; CoC Guidance, first paragraph second sentence and Compliance Criteria of 10.1.3- small changes in wording
130315_gg _cpcc_coc_v4_0-2_en	120615_gg_cpcc_coc_v4_0-1_en	15 March 2013	No modification in this document

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

When the changes do not affect the accreditation of the standard, the version will remain “4.0” and edition update shall be indicated with “4.0-x”. When the changes do affect the accreditation of the standard, the version name will change to “4.x”.

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