文件修改记录
Document Modification Record

修订说明 Description of Revision	修订页数 Page(s) of Revision	修订日期 Revision Date	批准 Approved by
新增 New Addition	全部 All	2023-12-15	刘欢
增加人员管理相关要求 Add requirements related to auditor management	第 44-55 页 Page44-55	2024-05-13	刘欢
1.增加不通知检查选择企业的标准 Addition of criteria for selecting firms for no-notice inspections 2.增加认证证书在 GLOBALGAP 数据库中签发要求。 Increase the requirements for the issuance of certificates in the GLOBALGAP database. 3.增加 MSF323-21《不通知检查企业抽样记录表》 Addition of MSF 323-21, Sampling Record Form for Non-Notification Inspection of Businesses 4.附件 1 中其他人日数要求 Other day requirements in annex 1 5.增加 GLOBALGAP 组织管理架构 Addition of the GLOBALGAP organisational management structure	第 12-13 页 Page12-13 第 33 页 Page33 第 42 页 Page42 第 44 页 Page44 第 53 页 Page53	2024-08-02	刘欢

1. 目的、范围
Purpose and Scope

为确保中国质量认证中心（以下简称中心）及集团各地公司（以下简称各地公司）能够规范地全球良好农业规范（GLOBALGAP）,以下简称 G.A.P 业务，特制订本管理方案。本管理方案以补充中心现有质量手册和程序文件的形式提出全球良好农业规范认证第六版标准的特殊要求。

In order to ensure that the China Quality Certification Centre (hereinafter referred to as the Centre) and the Group's local companies (hereinafter referred to as the local companies) are able to carry out GLOBALGAP (hereinafter referred to as G.A.P. business in a standardized manner, the present Management Plan is hereby formulated. This management plan proposes the special requirements for GLOBALGAP IFA V6 Smart certification in the form of supplementing the Centre's existing quality manual and procedure documents.

本认证管理方案规定了实施 GLOBALG.A.P.认证的程序与管理的基本要求,是 CQC 从事 GLOBALG.A.P.认证活动的基本制度。本管理方案适用于所有与 GLOBALG.A.P.认证有关的活动，包括：申请及申请评审、现场审核/检查、认证决定及获证后监督。

The procedures and basic requirements for the implementation of GLOBALGAP certification are specified in this Certification Management Plan, which is the basic system for CQC to engage in GLOBALGAP certification activities. This management plan is applicable to all activities related to GLOBALGAP certification, including application and application review, on-site inspection/audit, certification decision and post certification supervision..

2. 职责
Responsibilities

1) 各分场所均可开展 GLOBALG.A.P.认证市场项目开发和客户服务，CQC 总部负责认证合同的签署。
Each branch site can carry out GLOBALG.A.P. certification market project development and customer service, and CQC headquarters is responsible for signing the certification contract.

2) CQC 总部负责 GLOBALG.A.P.认证项目申请的受理、评审、审核计划安排及具体项目审核任务下达、审核计划的批准、审核资料上报、材料初评。
CQC headquarters is responsible for GLOBALG.A.P. certification project application acceptance, evaluation, audit plan arrangements and specific project audit tasks issued, approval of the audit plan, audit information reported, the initial evaluation of materials.

3) 认证工作管理人员负责年度 GLOBALG.A.P.不通知检查的策划及实施。
The certification management personnel are responsible for the planning of annual unannounced audit of GAP certification, and each key site is responsible for the specific implementation.

4) 认证决定人员负责对认证材料进行评定。
The certification decision makers of the headquarters are responsible for evaluating the certification materials.

5) 中心主任负责证书的签发，证书的暂停、注销、撤销和恢复的批准。
The CQC director is responsible for issuing the certificate, and approving the suspension, cancellation,

revocation and resumption of the certificate.

3. 编制依据
Compilation Basis

1) GLOBALG.A.P. IFA General Regulations V6

2) GLOBALGAP IFA 6.0 系列标准
GLOBALGAP IFA V6 Smart standards

3) GLOBALG.A.P.相关文件

GLOBALG.A.P. Related Documents

4. 术语和定义
Terms and Definitions

《产品、过程和服务认证机构要求》（ISO/IEC 17065）、GLOBALG.A.P. IFA 通则 6.0 中术语和定义适用于本方案。

The terms and definitions in the Requirements for Certification Bodies for Products, Processes and Services (ISO/IEC 17065), GLOBALG.A.P. IFA General Principles 6.0 apply to this programme.

4.1 例行检查
Routine audit

为获得/保持认证资格而进行的每年一次的现场检查，如：初次检查、监督检查和再认证检查。

Annual on-site audit for obtaining/maintaining certification qualification, such as initial certification audit, Subsequent certification audit and re-certification audit.

4.2 非例行检查
Non-routine audit

为获得/保持认证资格而进行的除例行检查之外的现场检查，包括补充检查、验证检查、不通知检查等。

On-site audit other than routine audit to obtain/maintain certification qualification, including supplementary audit, verification audit, unannounced audit, etc.

4.3 严重不符合
Serious non-conformance

缺少或未能实施和保持适用的实施规则、认证标准和认证委托人质量管理体系文件的一个或多个要求，或根据获得的客观证据，足以怀疑认证委托人实施 GLOBALG.A.P.认证的可信性和能力的不符合。

Lack of or failure to implement and maintain one or more requirements of the applicable implementation rules, certification standards and quality management system documents of the certification applicant, or based on the objective evidence obtained, the non-conformance is sufficient for people to doubt the credibility and ability of the certification applicant to implement the GLOBALGAP certification.

4.4 轻微不符合

Minor non-conformance

单个或孤立地缺少或未能实施和保持认证通则和标准中某一项条款的要求，但其后果对认证委托人的质量管理体系尚未构成严重影响；或在实施中未执行或偏离实施规则和认证依据的要求，尚未造成严重后果或对消费者的可信度未造成严重影响；或违反认证机构有关文件要求，进而没有达到认可规范中某一条款的要求。

Individual or isolated lack of or failure to implement and maintain the requirements of a certain clause in the implementation rules and approval standards, the consequences of which have not seriously affected the quality management system of the certification applicant; or failure to implement or deviation from the requirements of the implementation rules and certification basis during the implementation, which has not caused serious consequences or had no serious impact on the credibility of consumers; or violation of the requirements of the relevant documents of the certification body, thus failing to meet the requirements of a certain clause in the approval specification.

5. 认证程序和要求
Certification Procedures and Requirements

5.1. 认证申请
Certification application

认证委托人向 CQC 申请 GLOBALG.A.P.认证，按要求填写《MSF 323-02 认证申请书》并提交对应文件。

The certification applicant applies to CQC for GLOBALGAP certification, fills in the *MSF323-02 Certification Application Form*, and submits the corresponding documents.

CQC 目前仅受理选项 1 且未建立 QMS 的申请人 GLOBALG.A.P.认证申请。

CQC currently only accepts applications for GLOBALG.A.P. certification for applications with Option 1 and without QMS.

5.1.1. 申请 GLOBALG.A.P.认证，认证委托人应至少具备以下条件：
To apply for GLOBALGAP certification, the certification applicant shall at least meet the following conditions:

(1) 能对生产过程和产品负法律责任，已取得国家公安机关颁发的居民身份证的自然人，或是在国家市场监督管理部门或有关机构注册登记的法人。

The certification applicant is a natural person who is legally responsible for the production process and products and has obtained the resident identity card issued by the national public security organ, or a legal person registered with the market supervision and administration authorities or relevant institutions.

(2) 已取得相关法规规定的行政许可（适用时）。

The certification applicant has obtained administrative license specified in relevant laws and regulations (if applicable).

(3) 认证委托人及其相关方生产、处理的产品符合相关法律法规、质量安全卫生技术标准及规范的基本要求。

The products produced and processed by the certification applicant and its related parties meet the basic requirements of relevant laws and regulations, quality, safety and health technical standards and specifications.

(4) 申请认证的产品种类应在 GLOBALGAP 最新产品目录内，并且在 CQC 授权开展业务范围之内。
The product categories applied for certification should be within the latest catalogue of GLOBALGAP and within the scope of business authorized by CQC.

(5) 认证委托人及其相关方在过去一年内未出现产品质量安全重大事故及滥用或冒用 GLOBALG.A.P.标志宣传的事件。
The certification applicant and its related parties have not had any major product quality and safety accidents or misused or illegally used the certification mark of GLOBALGAP in the past year.

(6) 认证委托人及其相关方一年内未被认证机构撤销过认证证书。
Certificates of the certification applicant and its related parties have not been revoked by the certification body within one year.

(7) 未列入国家信用信息严重失信主体相关名录。
The certification applicant is not included in the relevant list of seriously untrustworthy subjects of national credit information.

(8) 认证委托人一年内未受到与食品安全相关的“行政处罚”

The certification applicant has not received “administrative penalty” within one year and is not under “administrative penalty” without effective rectification.

5.1.2. 认证委托人应至少向 CQC 提交以下文件和资料：
The certification applicant shall submit the following documents and data at least to CQC:

(1) 认证委托人的合法经营资质文件和（或）行政许可证明文件（适用时）复印件，如营业执照、许可证明、土地使用权证明及租赁合同等。

Copies of legal business qualification documents and (or) administrative license certificates (if applicable) of the certification applicant, such as business license, license certificate, land use right certificate and lease contract.

对于认证委托人无直接土地使用权的生产场所，应提交文件证明产品所有权属于认证委托人且出租方不得干预所出租生产场所的生产操作。同时，认证委托人应与生产场所使用权所有者签署书面合同，合同至少应包含如下要素：

For production sites that are not owned by the legal entity, there shall be a signed document which includes a clear indication that the site owner does not have any responsibility and input or decision-making capacity for the production operations at the rented-out site. There shall also be written contracts in force between each production site owner and the legal entity that include the following elements:

• Certificate holder name and legal identification

证书持有人名称和法人名称

• Name and legal identification of the production site owner

场所所有者的名称和法人名称

• Production site owner's contact address

场所所有者的联系地址

• Details of the individual production sites

各个生产场所的详细信息。

• Signature of both parties' representatives

双方代表的签字。

(2) 认证委托人填写的《MSF323-02 认证申请书》及对应的文件。
MSF323-02 Certification Application Form filled in by the certification applicant and other corresponding documents.

(3) 认证委托人及其 GLOBALG.A.P.生产、处理、储藏的基本情况。
Basic information of the certification applicant and its GAP in production, handling and storage.

(4) 认证委托人良好农业规范种植规范性文件或良好农业规范管理体系文件（适用时）。
GAP planting/breeding normative documents or GAP management system documents of the certification applicant (if applicable).

(5) 认证委托人的产品消费国家/地区名单及其残留限量要求。
List of the product consumption country/region of the certification applicant and their residue limit requirements.

(6) 农场行政位置图、平面布局图、地块/圈舍分布图（含供排水管网图等）及场区周边环境图。
Administrative location map, plane layout map, plot/shed distribution map (including water supply and drainage pipe network map, etc.) of the farm and the surrounding environment map of the site.

(7) 农场基地有关环境证明材料（土壤/底泥、大气、水质等检测报告），或"环评"和"安评"批复文件复印件（必要时）。
Relevant environmental certification materials of the farm base (soil/sediment, atmosphere, water quality and other testing reports), or copies of approval documents of "environmental assessment" and "safety assessment" (if necessary).

(8) 产品种类描述，育种、生产和收获/出栏过程简图及污染物的排放示意图。
Description of product category, schematic diagram of breeding, production and harvest/slaughter process, and schematic diagram of pollutant emission.

(9) 获得其它认证机构颁发的认证证书复印件（如有）。
Copies of certificates issued by other certification bodies (if any).

(10) 对果蔬类产品不进行农产品处理的声明（如果不进行产品处理）。
Statement of fruit and vegetable products not subject to agricultural product handling (if not handled)

(11) 保证执行 GLOBALG.A.P.生产标准和法规的声明。
A statement guaranteeing the implementation of GLOBALGAP production standards and regulations.

(12) 产品可能销售或出口的消费国家/地区的声明。
A statement of the consumer country/region where the product may be sold or exported.

(13) 同意根据《GLOBALG.A.P.数据访问规则》公开相关信息的声明。
A statement agreeing to disclose relevant information in accordance with the *Implementation Rules for China Good Agricultural Practice Certification* and the *GLOBALG.A.P. Data Access Rules*.

5.2. 申请评审
Application review

对符合要求的认证委托人，认证工作管理人员应根据 GLOBALG.A.P.依据、程序等要求，在收到完整资料后 14 日内完成对申请材料的评审，并做出是否受理的决定，填写《MSF323-04 GLOBALG.A.P.认证申请评审表》，保存评审记录，以确保认证要求规定明确，形成文件并易于理解，认证机构和认证委托人之间在理解上的差异得到解决，对于申请的认证范围，认证委托人的工作场所和任何特殊要求，认证机构均有能力开展认证服务。
For applications from qualified certification applicants, the certification management personnel shall finish the review of the application materials within 14 days after receiving the complete materials, make a decision on whether to accept the application or not, fill in the *MSF323-04 GLOBALGAP Application Review Form*, and keep the review records as required by the GAP certification basis and procedures, so as to ensure that the certification requirements are clear, documented, and understood, the differences in understanding between the certification body and the certification applicant have been removed, and the certification body has the capability to provide certification services for the scope of the certification application, the certification applicant's workplace and any special requirements.

申请材料齐全、符合要求的，予以受理认证申请；对不予受理的，应书面通知认证委托人，并说明理由。
If the application materials are complete and meet the requirements, the certification application shall be accepted; If it is not accepted, the certification applicant shall be notified in writing with reasons explained.

认证工作管理人员应根据申请资料首先判断认证委托人资质是否齐全、有效。根据企业组织架构、生产场所所有权形式等信息判断是选项 1 还是选项 2。对于选项 1 企业，不管其是否建立了质量管理体系，每个生产区域都不能作为独立的法人实体进行运作。CQC 目前仅受理选项 1 且未建立 QMS 的申请人 GLOBALG.A.P.认证申请。
The certification management personnel shall first judge whether the qualification of the certification applicant is complete and effective based on the application materials; and determine whether Option 1 or Option 2 applies based on information such as the enterprise organizational structure and the ownership form of the production site. For Option 1 enterprises, each production area cannot operate as an independent legal entity, regardless of whether they have established a quality management system. CQC currently only accepts applications for GLOBALG.A.P.

certification for applications with Option 1 and without QMS.

认证工作管理人员应根据专业知识判断申请认证的产品是否在认证目录内，归属那个模块，从而确定认证依据的标准。应对 CQC 认证检查资源进行分析，确定是否属于授权开展的认证领域，该领域是否已经通过认可，是否有相应的检查资源和检测资源，从而做出能否受理的决定。

The certification management personnel shall judge that the products under certification application are in the certification directory and belong to corresponding module according to their professional knowledge, so as to determine the standards for certification. The CQC certification and audit resources shall be analyzed to determine whether they belong to the authorized certification field, whether the field has been recognized, and whether there are corresponding audit resources and testing resources, so as to make a decision on whether the application can be accepted.

现场检查人日判定主要参考附表 1。人日数和种植种类或员工数量正相关，但是和申请认证类型，生产加工场所数量也有一定关系，具体参考附表 1。

Refer to Schedule 1 for man-day judgment of on-site audit. The number of man-days is positively correlated to the Type of planting or the number of employees, but it is also somehow related to the type of certification application, whether a QMS is established, and the number of production and processing sites. Refer to Schedule 1 for details.

对于变更申请，企业应提交《MSF323-03 全球良好农业规范认证变更申请书》，认证工作管理人员首先应判定证书是否在有效期之内。根据变更内容判断是否需要补充现场检查。对于获证组织的名称、注册地址变更，不涉及生产场所、处理场所的变更，可不需要补充现场检查。

For the change application, The certified organization should submit the *MSF323-03 GLOBALGAP Certification Change Application.* The certification management personnel is required to first determine whether the certificate is within the validity period, and then judge whether supplementary on-site audit is required according to the change contents. For the change of the name and registered address of the certified organization, if the change of the production site and processing site is not involved, supplementary on-site audit is not required.

对于扩大认证范围（包括产品范围和生产范围）的变更，根据规则要求，应全面评价所有申请认证产品的生产过程，再次颁发证书前应验证所有适用控制点的符合性。

For the change of expanding the scope of certification (including product scope, site scope and production scope), it is required to comprehensively evaluate the production process of all products under certification application, and verify the conformity of all applicable control points before reissuing the certificate.

对于增加生产场所的变更，在证书有效期内，增加超所数量不能超过已有场所数量的 10%。

5.3. 签订合同
Contract signing

申请评审过后，应与认证委托人签订《MSF323-11 GLOBALG.A.P 认证合同》，合同签订后方可安排现场检查。

After application review, *MSF323-11 GLOBALGAP Certification Contract* shall be signed with the certification applicant, and on-site audit can be arranged only after the contract is signed.

申请 GLOBALGAP 认证的，应同时将认证合中所涉及的《许可和认证子协议（Sublicense and Certification agreement）》发送给认证委托人。如认证委托人申请使用消费者标识（GGN logo），还应同时签署《GGN 标识许可协议（GGN Label Logo License Agreement）》。

For application of GLOBALGAP certification, the *Sublicense and Certification Agreement* involved in the certification contract shall also be sent to the certification applicant. If the GGN Label Logo is applied by the certification applicant, it is also necessary to sign the *CGN Label Logo License Agreement*.

5.4. 注册
Registration

认证工作管理人员应确保认证委托人按照 GLOBALG.A.P.认证通则的要求进行注册。认证委托人的同一产品只能选择一个认证选项，并在同一家认证机构注册，不同的产品可以分别选择不同的认证选项和在不同认证机构注册，但认证委托人位于不同国家的生产场所或组织成员应分开注册。

The certification management personnel shall ensure that the certification client is registered in accordance with the requirements of the GLOBALG.A.P. General Rules for Certification. For the same product of the certification applicant, only one certification option is allowed to be selected and registered in the same certification body. Different products can have different certification options and register in different certification authorities, but the production sites or organization members of the certification applicant in different countries should be subject to separate registration.

对于 GLOBALGAP 认证，通过申请评审后，总部认证工作管理人员应及时在 GLOBALGAP 网站为其注册，获得 GGN 号。GGN 号是认证委托人身份的唯一标识，与其认证状态无关。未注册前，不得对其实施现场检查。

After the application review is passed for GLOBALGAP, the certification management personnel of the headquarters shall timely conduct registration on the GLOBALGAP website and obtain the GGN number. GGN number is the only identification of the identity of the certification applicant, independent of its certification status. Before registration, it is not allowed to conduct on-site audit.

在注册期间，将定义认证范围。在此过程中，认证委托人会匹配相应的标准（P&Cs）和盖普通则。它们将适用于审核过程。在每次认证检查首次会上，认证机构将根据注册时定义的认证范围检查生产商用于自我评估/内部审核的检查表是否正确。

During registration, the producer defines the scope of certification. In doing so, the producer generates a customized set of P&Cs and corresponding GLOBALG.A.P. GR which will apply to the audit process. During each CB audit's opening meeting, the CB shall check that the checklist used by the producer for the self-assessment/internal audit is correct according to the certification scope defined during registration.

5.5. 审核策划
Audit planning

认证审核内容应以三年为周期策划：

CB audit content shall be organized in a three-year cycle:

- 第一次 认证审核：所有要求都包含在适用的检查表中建立质量管理体系 (QMS)组织和农场）。
- First CB audit (for version 6): All requirements included in the applicable checklists (for QMS and farm audits)

- 监督（第 2 年）：审核要点，如检查表中所确定（建立质量管理体系(QMS 组织和农场）
- Subsequent CB audit (year 2): Operational items as identified in the applicable checklists (for QMS and farm audits)

- 监督（第 3 年）：审核要点，如检查表中所确定（建立质量管理体系(QMS)组织和农场）
- Subsequent CB audit (year 3): Operational items as identified in the applicable checklists (for QMS and farm audit)

- 再认证审核：适用检查表中包含的所有要求（用于建立 QMS 的组织和农场审核），与初次 检查相同
- Recertification audit: All requirements included in the applicable checklists (for QMS and farm audit), same as initial CB audit

对受理通过的企业，认证工作管理人员应根据企业申请认证产品种类、场所范围、路途，审核人天数提前进行策划，现场检查应安排在申请认证产品的生产的高风险阶段。

For the enterprises with applications accepted, the certification management personnel shall plan in advance according to the product type, site scope, distance, and the number of audit man-days related to certification application. The on-site audit should be arranged at the high-risk stage of the production and processing of the products under application.

5.5.1. 初次认证检查策划
Initial certification audit planning

对于作物类产品，初次检查应在产品的收获期进行，当包含农产品处理过程时，也应同时实施检查。

For plant products, the initial certification audit shall be carried out during the harvest period of the products. When the agricultural product handling process is involved, the audit shall also be carried out. For livestock, poultry, aquatic products and bee products, they should be in the breeding state during the initial certification audit. For formula feed products, they should be in production status during on-site audit. For CoC certification, on-site audits should be arranged during the handling, processing, storage and/or other related activities of agricultural products.

对于 GLOBALGAP 认证，认证检查不应安排在收获前进行。认证工作管理人员应核实认证委托人是否保留了与收获相关的控制点符合性证据，并且确保注册前已经收获/屠宰/加工的产品不能被认证。

For GLOBALGAP certification, Certification audits shall not be arranged before harvest. The certification management personnel shall verify whether the certification applicant has maintained the evidence of compliance with the control points related to harvest, and ensure that the products that have been harvested/slaughtered/processed before registration cannot be certified.

当认证委托人申请一种以上作物的认证，且作物的收获期不同时，可根据作物生产和采收的相似性及其风险程度进行作物分类，即：对于生产和采收过程及风险程度相似的作物可归为一类。对于同类作物，可以

选择在其中一种作物的收获期间实施现场检查，其余同类作物可以在验证所有控制点符合后增加到证书中。
When the certification applicant applies for certification of more than one crop, and the harvest dates of the crops are different, the crops can be classified according to the similarity of crop production, harvest and risk level, that is, the crops with similar production, harvest processes and risk levels can be classified into one category. For similar crops, on-site audits can be carried out during the harvest of one of the crops, and other similar crops can be added to the certificate after conformance of all control points is verified.

5.5.2. 再认证检查策划
Re-certification audit planning

后续或再认证检查应在证书有效期内进行，检查时间窗口可安排在证书到期前 4 个月内进行。由于未在生产季节等特殊原因无法实施再认证审核/检查时，获证组织在证书有效期内可向 CQC 申请证书延期，最多不超过 4 个月。再认证检查可在证书延期之内安排，但两次再认证检查之间的最小时间间隔不能小于 6 个月。在证书的原有效期内，再认证申请被 CQC 受理，签署认证合同确保下一个认证周期接受认证检查，此种情况下方可进行证书延期。
The Subsequent or re-certification audit shall be carried out within the validity period of the certificate, and the audit window can be within 4 months before the expiration of the certificate. If re-certification inspection/audit cannot be carried out due to special reasons such as not being in the production season, the certified organization may apply to CQC for certificate extension within the validity period of the certificate, and such extension shall not exceed 4 months at most. The re-certification audit can be arranged within the extension of the certificate, but the minimum time interval between two re-certification audits cannot be less than 6 months. If, within the original validity period of the certificate, the re-certification application is accepted by CQC and the next certification cycle starts, the certificate can be extended only.

对于选项 1，当认证范围包括产品处理时，应每年对农产品处理场所进行检查，并根据风险评估的结果确保每两年至少一次在有农产品处理现场时（不应仅是储藏）进行检查。风险评估应考虑是否进行产品包装、已知的与申请认证产品相关的食品安全事件等。当认证范围不包括农产品处理时，应每两年至少安排一次在作物收获期间实施检查。当包括多种作物时，根据作物分类原则，每类作物至少选择一种作物在收获期实施检查。应在记录中明确所选择检查时间和频次的理由。
For Option 1, when the scope of certification includes product handling, the agricultural product handling sites should be audited annually, and based on the results of risk assessment, the audit should be conducted at least once every two years when there is an agricultural product handling site (instead of storage site only). The risk assessment shall take whether to carry out product packaging, the known food safety events related to the products under certification application, and the key review requirements proposed by CNCA into consideration. When the scope of certification does not include the handling of agricultural products, the audit shall be arranged at least once every two years during the harvest of crops. When multiple crops are under application, at least one crop of each type shall be selected for audit during harvest according to the crop classification principle. The reason for the selected audit time and frequency shall be specified in the record.

5.5.3. 不通知检查策划
Unannounced audit planning

每年一月份，认证工作管理人员应完成本年度不通知检查策划，根据上一年度的发证数量、获证产品、认证选项等抽取一定数量的获证组织进行不通知检查。不通知检查的策划应遵守以下要求。

Before the end of the first quarter of each year, the certification management personnel shall complete the annual unannounced audit plan, and select a certain number of certified organizations for unannounced audit according to the number of certificates issued, certificated products, certification options, etc. of the previous year. The planning of unannounced audit shall comply with the following requirements.

(1) 不通知检查抽样应综合考虑认证范围的总体数量、地理位置、产品类型、历史检查情况等因素。

Sampling in unannounced audit shall take the overall number, geographical location, product type, historical audit and other factors within the scope of certification into account.

(2) 应按照不低于 10%的比例对后续认证或再认证企业进行不通知检查。每个类别每年都应至少实施一次不通知检查。

Unannounced audit of subsequently certified or recertified enterprises shall be carried out at a rate of not less than 10 per cent. At least one no-notice inspection shall be carried out annually for each category.

(3) 实施不通知检查时应在 48 小时内告知证书持有人并提供检查计划。

The certificate holder shall be informed and the audit plan shall be provided within 48 hours when the unannounced audit is implemented.

(5) 不通知检查应结合年度监督检查或再认证检查进行，不通知检查发现的不符合项处理与通知检查要求一致。

The unannounced audit shall be carried out in conjunction with the annual subsequent inspection or re-certification inspection, and the treatment of non-conformities found by the non-notification inspection shall be consistent with the requirements of the notification inspection.

(6) 不通知检查还要考虑合格评定反馈问题、国家监督抽查结果、多个产品、多个场所等因素。

Factors such as feedback of conformity assessment, results of spot checks by national supervision and administration authorities, multiple products and multiple sites shall also be considered in unannounced audits.

列入不通知检查的企业主要考虑以下因素：

The following factors are the main considerations for businesses included in the no-notice inspections:

(1) 综合考虑认证范围的总体数量、地理位置、产品类型、历史检查情况等因素；

Consider the overall number of certification scopes, geographic locations, product types, historical inspections, and other factors;

(2) 未在产品收获期内检查的获证组织；

Certified organisations that have not inspected their products during the harvest period;

(3) 多个产品、多个场所的获证组织；

Certified organisations with multiple products and multiple sites;

(4) 合格评定反馈问题较多的获证组织；

Certified organisations with more problematic conformity assessment feedback;

(5) 国家监督抽查结果不合格的获证组织或抽检易出问题的产品；

Certified organisations with unqualified results from national supervision and sampling or products prone to problems from sampling;对获证产品与安全标准要求的符合性存在质疑的获证组织；

(6) 有足够信息表明企业因生产场所变更组织机构、生产条件、质量管理体系等，已影响产品质量一致性和符合性的获证组织。

Certified organisations that have sufficient information to show that changes in organisational structure, production conditions, quality management system, etc., due to changes in the production site have affected the consistency and conformity of product quality.

认证工作管理人员完成不通知检查策划后，应填写 MSF323-21《不通知检查企业抽样记录表》

After the certification work manager completes the no-notice inspection planning, he should fill in MSF323-21 "Sampling Record Form for No-Notice Inspection Enterprises".

5.5.3 非例行检查策划
Non-routine audit planning

如获知认证委托人发生（但不限于）以下情况，认证工作管理人员应依据合同通知认证委托人实施非例行检查：

After knowing the following (but not limited to) situations of the certification applicant, the certification management personnel shall notify the certification applicant to carry out non-routine audit according to the contract:

1） 政府部门对其实施处罚；
Punishments are imposed by government authorities;

2） 持证人的运作发生了重大变动或发生了其他可能影响认证资格的变更（包括人员变动较频繁的情况等）；
The operation of the certificate holder has undergone significant changes or other changes that may affect the certification qualification (including frequent personnel changes);

3） 对认证委托人有重大投诉（特别是被媒体披露）；
Major complaints are filed against the certification applicant (especially disclosed by the media);

4） 发生影响动物福利/环境保护/员工职业健康安全/产品质量/食品安全的重大事故。
Major accidents that affect animal welfare/environmental protection/occupational health and safety of employees/product quality/food safety occur.

5） 其它情况。
Other situations.

5.6. 检查任务书
Audit assignment

认证工作管理人员应提根据所申请产品对应的认证范围，在 CQC 农食认证系统中，委派具有相应资质和能力的检查员组成检查组。
The certification management personnel should be mentioned in accordance with the scope of certification corresponding to the product applied for, in the CQC agri-food certification system, assigned with the appropriate qualifications and capabilities of the inspector to form an inspection team.

对同一认证委托人不能连续 4 年（含 4 年）委派同一检查员实施检查（含例行检查与非例行检查）。
For GLOBALGAP, the on-site audit can be performed by a auditor, and the same auditor cannot be assigned to the same certification applicant for routine audit for 4 consecutive years (including 4 years).

检查组组成应能够满足已确定的检查人天数要求(技术专家、翻译人员、观察员、实习检查员和见证检查员的工作时间不计入检查人天数)；
The composition of the audit team shall be able to meet the determined requirements for audit man-days (the working hours of technical experts, translators, observers and trainee auditors are not included in the audit man-days);

除翻译人员、观察员外，所有成员应为 CQC 聘用的具有相应资格的人员；结合检查，若检查组长不具备某个（些）领域的资格，可指定另具备资格的检查员担任分组长；
Except for translators and observers, all members shall be qualified personnel employed by CQC; in combination with the audit, if the audit team leader does not have the qualification in a (some) field(s), another qualified auditor can be appointed as the branch team leader;

除观察员外，所有检查组成员不存在可能影响检查公正性的威胁，特别是在最近两年内未参与过认证委托人相关管理体系的咨询或其他可能影响公正性的活动。所选择的翻译人员也不应对检查产生不正当影响；
Except for the observers, all members of the audit team have no threat that may affect the impartiality of the audit, especially they have not participated in the consulting of the certification applicant's relevant management system or other activities that may affect the impartiality in the last two years. The translator selected shall not have undue influence on the audit;

实习检查员的数量不得超过同一检查组检查员的总数；
The number of trainee auditors shall not exceed the total number of auditors at the same audit team;

认证工作管理人员应至少在现场检查 5 日前将《MSF323-05 GLOBALG.A.P.认证检查通知》传送至申请人，就检查时限、现场检查涉及的场所、拟派出的检查组组成等信息与认证委托人进行沟通。认证委托人如有异议，应在 2 日内反馈至认证工作管理人员。如无异议，认证委托人应及时将推荐实施现场检查的具体时间反馈至认证工作管理人员，以便认证工作管理人员与检查组长联系确认具体的检查事宜，做出必要的安排，以保证检查组按时实施现场检查。

The certification management personnel shall send the *MSF 323-05 GLOBALGAP Certification Audit Notice Certification Audit* to the applicant at least 5 days before the on-site audit, and communicate with the certification applicant about the audit time limit, the sites involved in the on-site audit, the composition of the audit team to be dispatched and other information. If the certification applicant has any objection, such objection shall be reported to the certification management personnel within 2 days. If there is no objection, the certification applicant shall provide timely feedback on the specific time recommended for on-site audit to the certification management personnel, so that the certification management personnel can contact the on-site audit leader to confirm the specific audit matters and make necessary arrangements to ensure that the audit team will carry out on-site audit on time.

认证工作管理人员应至少在检查开始前 5 日通过 CQC 农食认证信息系统向检查组长下发检查任务

The certification management personnel shall issue the inspection task to the inspection team leader through the CQC Agri-Food Certification Information System at least 5 days before the start of the inspection.

5.7. 检查计划

Audit plan

检查组长应按照任务书的规定安排拟检查的产品、部门、过程、场所，编制《MSF323-06 全球良好农业规范认证检查计划》，应于现场检查开始前至少 5 日将检查计划发送给认证委托人确认。如认证委托人有不同意见及合理理由，检查组长应对计划予以调整，必要时认证工作管理人员可对检查组组成进行调整。

After the documents pass the review, the audit team leader shall arrange the products, departments, processes and sites to be audited according to the provisions of the assignment, prepare the *MSF323-06 GLOBALGAP Certification Audit Plan*, and send the audit plan to the certification applicant for confirmation at least 5 days before the on-site audit. If the certification applicant has different opinions and reasonable grounds, the audit team leader shall adjust the plan. If necessary, the certification management personnel can adjust the members of the audit team.

认证工作管理人员应对检查计划进行评审并签字确认。对于选项 1，检查计划应保证对所有的注册场所进行现场检查，应覆盖所有申请认证产品的生产和（或）处理场所。

The certification management personnel shall review the audit plan and sign for confirmation. For Option 1, the audit plan shall ensure on-site audit of all registered sites, and shall cover all production and/or processing sites of products under certification application;

5.8. 认证检查

认证机构的认证检查应以三年为一个周期进行策划。初次认证时，应全面评价所有申请认证产品的生产过程,颁发证书前应验证所有适用的控制点是否符合要求。证书中不能包括尚未收获的作物，注册前已经收获的产品不能被认证。后续认证时（第 2 年、第 3 年检查），应根据检查表中确定的检查内容验证适用的控制点是否符合要求。再认证检查时检查表中适用的条款与初次检查相同。认证委托人可根据自身条件，选择现场检查或者远程检查+现场检查的模式。

The certification body's certification audit should be planned on a three-year cycle. At the time of initial certification, the production process of all products applying for certification should be comprehensively evaluated, and all applicable control points should be verified for compliance with the requirements prior to the issuance of certificates. Certificates cannot include crops that have not yet been harvested, and products that have

been harvested prior to registration cannot be certified. At the time of subsequent certification (2nd and 3rd year inspections), applicable control points shall be verified for compliance with the requirements based on the inspections identified in the checklist. The terms applied in the checklist at the re-certification inspection are the same as at the initial inspection. The certification principal may choose the mode of on-site inspection or off-site inspection + on-site inspection according to its own conditions.

5.9. 现场检查模式
On-site audit

5.9.1. 通用要求
General requirements

检查组长应根据认证委托人的生产规模、农业生产的复杂性和产品的安全风险程度等因素，策划现场检查用时，以确保检查的充分性和有效性。

The audit team leader shall plan the on-site audit time according to the production scale of the certification applicant, the complexity of agricultural production, the safety risk level of products and other factors to ensure the adequacy and effectiveness of the audit.

通常对于农业生产经营者（选项 1）的现场检查不少于 3 小时，只有一种或少数作物、工人较少且没有产品处理的单个场所检查时间也不应少于 3 个小时。

Generally, the on-site audit for producer (Option 1) shall not be less than 3 hours, and the audit time for an individual producer with only one or several kind(s) of crops, a few workers and no product handling shall not be less than 3 hours either.

检查组长应当根据认证产品的风险程度，来判定是否需要实施相应的抽样检验，以验证认证产品符合我国相关法律法规要求和产品消费国家/地区的要求。如现场检查需要抽取样品进行检验，则应按照制定的抽样程序和方案实施，委托具备法定资质的检测机构进行样品检测。

The audit team leader shall determine whether it is necessary to carry out corresponding sampling audit according to the risk level of the certified products, to verify that the certified products meet the requirements of relevant laws and regulations of China and the product consumption country/region. If the on-site audit requires sampling for audit, it shall be implemented according to the sampling procedures and plans formulated, and a legally qualified testing institution shall be entrusted to carry out sample testing.

检查组长根据认证委托人提供的产品消费国家/地区名单及其残留限量要求，进行风险评估，以确定是否需要实施必要的产品检测，也可根据需要适当增加产品消费国家/地区的检测项目。

The audit team leader shall conduct risk assessment according to the list of the product consumption country/region and their residue limit requirements provided by the certification applicant to determine whether necessary product testing is required, and may also appropriately increase the test items of the product consumption country/region as required.

检查组应用“是”，“否”，“不适用”来表示控制点的符合性与适用性，所有适用的控制点（包括主要必须、次要必须和推荐）都应审核/检查。对于检查表的符合性一栏标记为“全部适用”的控制点，应全部进行检查和评述，当出现控制点不适用的例外情况时，应回答为“是”并标明合理的理由。

The audit team shall use “Yes”, “No” and “Not Applicable” to indicate the conformance and applicability of P&Cs.

All applicable P&Cs (including Major musts, Minor musts, and Recommendations) should be audited/inspected.For the P&Cs marked as “all applicable” in the conformance column of the checklist, all shall be audited and commented. In case of exceptions where the P&Cs are not applicable, the answer shall be “yes” and reasonable grounds shall be indicated.

在审核/检查中应收集对每个控制点的审核/检查证据，以确保后续过程可以对审核发现进行追踪，检查证据应包括检查期间所涉及的各种细节。无论是外部审核/检查，还是内部审核/检查，所有符合的、不符合的和不适用的主要控制点和次要控制点，都必须给出说明。例如抽查了哪个文件，面谈了哪些员工/农户等的评述与证据应具体到特定的场所和产品，并且应在检查表中注明这些信息，以证明审核/检查恰当的评价了针对所有场所和产品的全部控制点。

During the inspection/audit, the inspection/audit evidence of each P&C shall be collected to ensure that the audit findings can be tracked in the subsequent process. The audit evidence shall include various details involved in the audit. Whether it is external inspection/audit or internal inspection/audit, all conforming, nonconforming and inapplicable Major must P&Cs and Minor must P&Cs must be described. For example, which document is spot checked, and which employees/farmers are interviewed, comments and evidence should be specific to specific sites and products, and information should be specified in the checklist to demonstrate that all control points for all sites and products are properly evaluated by the inspection/audit.

在整个审核/检查过程结束时，检查组完成《MSF323-09 全球良好农业规范认证检查报告》。报告应叙述现场审核/检查情况，就审核/检查证据、审核/检查发现和审核/检查结论逐一进行描述。对识别出的不符合项，应用写实的方法准确、具体、清晰的描述，以易于认证委托人理解。不得用概念化的、不确定的、含糊的语言表述不符合项。审核/检查报告应当随附必要的证据或记录，包括文字、照片或摄像等音视频资料。检查组应通过审核/检查记录等书面文件提供充分信息对认证委托人执行标准的总体情况做出评价，对是否通过认证提出意见建议，但不应对认证委托人是否通过认证做出最终结论。

At the end of the whole inspection/audit process, the audit team shall complete the *MSF323-09 GLOBALGAP Certification Audit Report*. The report shall describe the on-site inspection/audit, and the inspection/audit evidence, inspection/audit findings and inspection/audit conclusions one by one. The identified non-conformances shall be accurately, specifically and clearly described as it is to facilitate the understanding of the certification applicant. Non-conformances shall not be expressed in conceptual, uncertain and vague language. The inspection/audit report shall be attached with necessary evidence or records, including text, photos or video materials such as video and audio. The audit team shall provide sufficient information through written documents such as inspection/audit records to evaluate the overall situation of the certification applicant's implementation of the standard, and make suggestions on whether the applicant has passed the certification, but shall not make a final conclusion on whether the applicant has passed the certification.

5.9.2. 首次会议
Opening meeting

在现场检查开始，检查组应签署《MSF323-07 全球良好农业规范认证检查员声明》。

At the beginning of the on-site inspection, the inspection team shall sign the *MSF323-07 GLOBALGAP Certification Auditor Declaration*

检查组长主持召开与认证委托人管理层、相关部门或过程负责人的首次会议。参加会议的人员应在《MSF323-08 首末次会议签到表》上签字。

The audit team leader shall hold the opening meeting with the certification applicant's management, relevant departments or process leaders. The participants shall sign on the *MSF323-08 Sign in Form for the Opening and Closing Meetings*.

首次会议由检查组组长在现场检查前主持召开，一般 30 分钟为宜，会议内容至少包含但不限于以下内容：

The opening meeting shall be held by the leader of the audit team before the on-site audit. Generally, a meeting duration of 30 minutes is preferred. The contents of the meeting shall at least include but not limited to the following:

a） 介绍检查组成员和组织有关人员；
Introduction to members of the audit team and relevant personnel of the organization;

b） 确认检查的目的、范围和依据的文件；
Documents confirming the purpose, scope and basis of the audit;

c） 介绍检查的方式和程序；
Introduction to the audit methods and procedures;

d） 落实检查组所需资源和设施（如陪同人员等）；
Preparation of resources and facilities required by the audit team (such as accompanying personnel);

e） 建立双方正式沟通渠道；
Establishment of formal communication channels between both parties;

f） 确认检查计划的各项安排；
Confirmation of the arrangements of the audit plan;

g） 澄清有关的问题；
Clarification of relevant issues;

h） 有关保密和自律的承诺与声明。
Commitment and statement on confidentiality and self-discipline.

i） 确认认证委托人用于自我评估/内部审核的检查表是否正确。

Confirm that the checklist used by the certification principal for self-assessment/internal audit is correct.

5.9.3. 收集和验证信息
Collection and verification of information

检查组成员按照检查计划的安排（遇有临时情况需要改变检查计划的，应征得检查组长的同意，并与认证工作管理人员沟通），抽样收集并验证与检查目的、范围、准则有关的信息，从而形成检查证据。每位检查员可将各自的检查情况记录在各自的《检查表》中。

The members of the audit team shall sample, collect and verify the information related to the purpose, scope and

criteria of the audit according to the arrangement of the audit plan (in case of temporary circumstances, the change of the audit plan shall be approved by the audit team leader and communicated with the certification management personnel), to establish audit evidence. Each auditor can record his/her own audit in his/her own *Checklist*.

检查过程中检查组应按计划进行内部沟通和与认证委托人沟通。根据沟通情况，必要时检查组长可重新分派检查组成员的工作并通报认证委托人。

During the audit, the audit team shall carry out internal communication and communication with the certification applicant as planned. According to the communication, if necessary, the audit team leader can reassign the work of the audit team members and notify the certification applicant.

检查组现场检查过程至少应包括：

The on-site audit process of the audit team shall at least include:

a） 对质量管理体系的检查（适用时）；
Audit of the quality management system (if applicable);

b） 对生产管理单元、产品处理单元的生产、处理过程、平行所有权和相关场所的检查，如生产单元存在平行所有权，必要时也应对其非 GAP 部分进行检查；
Audit of the production, handling, parallel production, parallel ownership and relevant sites of the production management unit and product handling unit, and audit of the non-GAP parts when necessary, if the production unit has parallel production or parallel ownership;

c） 对生产、处理管理人员、内部检查员、操作者、技术员的访谈；
Interviews with production and processing management personnel, internal auditors, operators and technicians;

d） 按照检查表的格式，对认证标准规定的内容进行逐一模块检查；
Audit of the contents specified in the certification standard module by module according to the format of the checklist;

e） 对认证产品的产量与销售量的汇总核算；
Summarize and calculate the output and sales volume of certified products;

f） 对产品和认证标志追溯体系、包装标识情况的评价和验证；
Evaluation and verification of product and certification mark traceability system and packaging marks;

g） 对内部检查（或检查）和持续改进的评估；
Evaluation of internal audit (or audit) and continuous improvement;

h） 对产地和生产加工环境质量状况的确认，并评估对 GAP 生产、加工的潜在污染风险；
Confirmation of the environmental quality of the place of origin and production and processing, and assessment of the potential pollution risks to GAP production and processing;

i） 产品抽样（适用时）；
Product sampling (if applicable);

j） 对上一年度提出的不符合项采取的纠正和/或纠正措施进行验证(适用时)。
Verification of the correction and/or corrective actions taken for the non-conformances proposed in the previous year (if applicable).

当可获得的检查证据已表明检查目的无法实现，或显示存在紧急和重大的风险（例如安全风险）时，检查组长应向认证委托人和认证工作管理人员报告，确定解决方案（如重新确认或修改检查计划、改变检查目的或检查范围，或终止检查等）并执行。检查组长应向认证工作管理人员报告执行结果。
Where the available audit evidence has shown that the audit purpose cannot be achieved, or there are urgent and significant risks (such as security risks), the audit team leader shall report to the certification applicant and certification management personnel to come up with the solution (such as reconfirm or modify the audit plan, change the audit purpose or scope, or terminate the audit) and implement it. The audit team leader shall report the implementation results to the certification management personnel.

认证检查过程中若出现以下情况之一，检查组有权终止现场检查：
The audit team has the right to terminate the on-site audit in case of any of the following circumstances during the certification audit:

a） 认证委托人故意隐瞒、欺骗检查组，提供虚假信息，不诚信的；
The certification applicant intentionally conceals or deceives the audit team, provides false information and is dishonest;

b） 未建立控制体系或建立的控制体系未有效实施的；
The control system has not been established or has not been effectively implemented;

c） 生产或处理过程使用了禁用物质或者受到禁用物质污染的；
Use the prohibited substances or those polluted by the prohibited substances during the production or handling;

d） 产地（基地）环境质量不符合认证要求的；
The environmental quality of the place of origin (base) does not meet the certification requirements;

e） 认证委托人拒不配合现场检查的，导致现场无法正常实施的；
The certification applicant refuses to cooperate with the on-site audit, which leads to the failure of normal implementation of on-site audit;

f） 出现人为不可抵抗力，导致现场无法正常实施的；
Force majeure occurs, which leads to the failure of normal implementation of on-site audit;

g） 其他严重不符合《良好农业规范认证实施规则》和 GAP 认证标准要求，且无法纠正的。
Other serious non-conformance to the *Implementation Rules for Good Agricultural Practice Certification* and GAP certification standards, which cannot be corrected.

5.9.4. 确定和记录检查发现
Identification and recording of audit findings

检查过程中检查员可初步确定检查发现并在《检查表》中做出判定（对可能构成不符合的，应对相关信息详细记录）。最终的判定，特别是不符合，应由检查组长领导检查组在内部沟通会上确认。如发现有不符合，相应的检查员应出具《MSF323-10 不符合项报告》。

During the audit, the auditor can preliminarily determine the audit findings and make a judgment in the *Checklist* (for those that may constitute non-conformance, the relevant information shall be recorded in detail). The final judgment, especially the non-conformance, shall be confirmed by the audit team led by the audit team leader at the internal communication meeting. If any non-conformance is found, the corresponding auditor shall issue a *MSF323-10 Non-conformance Report*.

5.9.5. 准备检查结论
Preparation of audit conclusion

检查组长在末次会议前，应组织检查组内部沟通会，内容包括：

Before the closing meeting, the audit team leader shall organize an internal communication meeting of the audit team, including:

a） 对照检查目的审查检查发现和检查中收集的任何其他适用的信息，并考虑检查过程中内在的不确定性，对检查结论（包括对认证的推荐建议）达成一致；
Review the audit findings and any other applicable information collected in the audit for the audit purpose, and reach an agreement on the audit conclusions (including recommendations for certification) taking the inherent uncertainties in the audit process into account;

b） 适用时，确定不符合项的跟踪方式。跟踪方式分为书面和现场两种，没有发现严重不符合项，且可以通过见证材料证实纠正和纠正措施计划或其实施情况时，可选择书面跟踪；其他情况下，通常应选择现场跟踪；
If applicable, determine the tracking method of non-conformances. There are two ways of tracking: written and on-site. When no serious non-conformances are found and the correction and corrective action plans or their implementation can be verified by witness materials, written tracking can be selected; and in other cases, on-site tracking should generally be selected;

c) 确认检查方案的适宜性，或识别任何所需要的修改（例如范围、检查时间或日期、不通知检查、能力）。
Confirm the suitability of the audit plan, or identify any required modifications (such as scope, audit time or date, unannounced audit, capability).

检查组在各类检查中对认证的建议类型如下：

The audit team suggests the following types of certifications in various audits:

a) 初次认证检查、再认证检查：
Initial certification audit and re-certification audit:

未发现不符合项，推荐认证/再认证；

If no non-conformances are found, certification/re-certification is recommended;

发现有不符合，如认证委托人在不多于 28 天的时间内，对不符合采取了经检查组评审、接受并证实

有效的纠正和纠正措施（对一般不符合能够提出经检查组评审并接受的纠正和纠正措施计划也可），推荐认证/再认证；初次认证时，认证委托人超过 28 天未完成不符合项整改，检查员应通知认证工作管理人员，由认证工作管理人员对在 GLOBALGAP 信息系统中将企业设置为开放不符合，如果 90 天内企业仍未完成整改，将不予推荐认证。

Found to have non-conformity, if the certification principal in no more than 28 days, the non-conformity to take the inspection team to assess, accept and prove effective corrective and corrective measures (for general non-conformity can be proposed by the inspection team to assess and accept the corrective and corrective measures plan can also be), recommended for certification / re-certification; the initial certification, the certification principal for more than 28 days has not been completed in non-conformity rectification, the inspector shall notify the Certification work management personnel, A review by the certification process manager of the setting of the organization as open non-compliant in the GLOBALGAP information system. if the enterprise still has not completed the rectification within 90 days, will not be recommended for certification.

注：对于再认证项目不符合项的整改除满足上述要求外，应给认证评定留有足够的时间，确保在证书到期前能够完成认证决定。

Note: In addition to meeting the above requirements, the rectification of the non-conformances of the re-certification program should allow for enough time of the certification evaluation to ensure that the certification decision can be completed before the certificate expires.

发现以下情形，不予推荐认证（严重不符合项）：

In case of any of the following circumstances, the certification will not be recommended (serious non-conformances):

---体系出现系统性失效。如某一关键控制点重复出现的失效现象，而又未能采取有效的纠正措施加以消除，形成系统性失效；

---Systemic failure of the system. If the repeated failure of a key control point fails to be eliminated by taking effective corrective actions, a systematic failure will occur;

---体系运行区域性失效。如某一部门或场所的全面失效现象，或者各层次各部门出现失效，且没有纠正措施；

---Regional failure of the system. If a department or site fails completely, or all departments at all levels fail without corrective actions taken;

---造成严重的或潜在严重的质量/环境/员工健康安全/食品安全后果；

---Causing serious or potentially serious quality/environment/employee health and safety/food safety consequences;

---组织违反法律法规或其他要求的食品安全行为较为严重；

---The organization seriously violates laws, regulations or other requirements on food safety;

---一般不符合项没有按期纠正；

---General non-conformances are not corrected on schedule;

---违反检查准则的同类一般不符合项数量太多，而造成的系统性失效等；
---Systematic failure caused by too many general non-conformances of the same type that violate the audit criteria;

---对其投诉和分析或任何其他信息表明认证委托人不符合认证要求。
---The complaint and analysis or any other information indicates that the certification applicant does not meet the certification requirements.

b) 不通知检查、证书变更检查、非例行检查：
Unannounced audit, certificate change audit and non-routine audit:

未发现不符合项，推荐保持认证；
If no non-conformances are found, certification maintenance is recommended;

发现有不符合，如认证委托人在不多于 28 天的时间内，对不符合采取了经检查组评审、接受并证实有效的纠正和纠正措施（对一般不符合能够提出经检查组评审并接受的纠正和纠正措施计划也可），推荐保持认证；
When any non-conformance is found, if the certification applicant has taken corrections and corrective actions for the non-conformance reviewed, accepted and verified by the audit team within 28 days (for general non-conformances, it is also possible to propose correction and corrective action plans reviewed and accepted by the audit team), certification maintenance is recommended;

若检查中发现以下情形，暂停（或不予推荐变更）认证（严重不符合项）：
If the following conditions are found in the audit, the certification (serious non-conformance) shall be suspended (or not recommended for change):

---体系出现系统性失效。如某一关键控制点重复出现的失效现象，而又未能采取有效的纠正措施加以消除，形成系统性失效；
---Systemic failure of the system. If the repeated failure of a key control point fails to be eliminated by taking effective corrective actions, a systematic failure will occur;

---体系运行区域性失效。如某一部门或场所的全面失效现象，或者各层次各部门出现失效，且没有纠正措施；
---Regional failure of the system. If a department or site fails completely, or all departments at all levels fail without corrective actions taken;

---造成严重的或潜在严重的质量/环境/员工健康安全/食品安全后果；
---Causing serious or potentially serious quality/environment/employee health and safety/food safety consequences;

---组织违反法律法规或其他要求的食品安全行为较为严重；
---The organization seriously violates laws, regulations or other requirements on food safety;

---一般不符合项没有按期纠正；

---General non-conformances are not corrected on schedule;

---违反检查准则的同类一般不符合项数量太多，而造成的系统性失效等；
---Systematic failure caused by too many general non-conformances of the same type that violate the audit criteria;

---对其投诉和分析或任何其他信息表明认证委托人不符合认证要求。
---The complaint and analysis or any other information indicates that the certification applicant does not meet the certification requirements.

在正式召开末次会议前，检查组长还宜与认证委托人沟通，包括检查结论、商定对不符合的后续措施的安排、征求认证委托人意见并请其确认（必要时，说明未解决的问题及可能对检查结论的影响），未解决的分歧点应在未来的检查报告中加以记录。
Before the closing meeting is officially held, the audit team leader should also communicate with the certification applicant on the audit conclusion, agreeing on the arrangements for the follow-up actions for non-conformances, soliciting the opinions of the certification applicant and asking them for confirmation (if necessary, explain the unresolved problems and the possible impact on the audit conclusion). The unresolved differences should be recorded in the future audit report.

如果需要进行全面或部分的补充检查，或需要形成文件的证据（在将来的不通知检查中予以确认），以验证纠正和纠正措施的有效性，检查组应告知受认证委托人。
If a comprehensive or partial supplementary audit is required, or documentary evidence is required (to be confirmed in future unannounced audit) to verify the effectiveness of corrections and corrective actions, the audit team shall inform the certification applicant.

5.9.6. 末次会议
Closing meeting

检查组长主持召开与认证委托人管理层、相关部门或过程负责人的末次会议，会议内容可根据认证委托人对检查过程的熟悉程度调整。参加会议的人员应在《GLOBALG.A.P.认证检查签到表》上签字。
The audit team leader shall hold the closing meeting with the certification applicant's management, relevant departments or process leaders. The contents of the meeting may be adjusted according to the certification applicant's familiarity with the audit process. Participants of the meeting shall sign on the *Good Agricultural Practice (GAP) Certification and Audit Attendance Form*.

末次会议内容至少包含但不限于以下内容：
The contents of the closing meeting shall include but not be limited to the following:

a） 感谢认证委托方对本次现场检查的配合；
Thank the certification applicant for its cooperation in this on-site audit;

b） 重申检查目的、范围和依据；
Reaffirm the purpose, scope and basis of audit;

c） 重审有关保密和自律的承诺与声明；

Review of commitment and statement on confidentiality and self-discipline;

d） 介绍本次现场检查情况；
Introduce the on-site audit;

e） 宣读不符合项报告；
Read out the Non-conformance Report; and

f） 对现场检查的简要总结。
A brief summary of the on-site audit.

3 检查组长在末次会议上重点应报告检查发现（特别是使认证委托人理解不符合项）和检查结论并征求认证委托人意见。认证委托人与检查组对检查发现或结论的任何分歧意见应得到讨论并尽可能获得解决，若仍存在不能解决的分歧，应在检查报告中记录。
At the closing meeting, the audit team leader shall focus on reporting the audit findings (especially making the certification applicant understand the non-conformances) and audit conclusions and soliciting the opinions of the certification applicant. Any differences between the certification applicant and the audit team on the audit findings or conclusions shall be discussed and resolved as far as possible. If there are still unresolved differences, they shall be recorded in the audit report.

若检查中遇到有可能影响检查结论、可靠性的不确定因素和（或）障碍，也应在末次会议上说明，并记录在检查报告中。这可能包括（但不限于）：
If uncertain factors and/or obstacles that may affect the audit conclusion and reliability are encountered during the audit, they shall also be explained at the closing meeting and recorded in the audit report. This may include (but is not limited to):

1) 检查过程中检查人员身体不适，导致的检查不充分；
During the audit, the auditor isn't feeling well, resulting in inadequate audit;

2) 因相关人员不在、相关场所关闭等原因，某些检查证据未能充分收集；
Some audit evidences are not properly collected due to the absence of relevant personnel and the closure of relevant sites;

3) 双方配合不好，影响到检查的效率和充分性；
Poor cooperation of both parties affects the efficiency and sufficiency of audit;

4) 由于保密、不可抗力或其他原因，某个（些）单元、场所、过程未能充分检查；
Due to confidentiality, force majeure or other reasons, a (some) unit(s), site(s) or process(s) cannot be properly audited;

5.9.7. 证书内容确认
Certificate content confirmation

现场检查结束，检查组长应与认证委托人确认发证信息，填写检查报告，认证委托人应确认检查报告中与证书相关信息是否正确，检查组长对以上信息签字确认。后期若涉及发证信息的变更，检查组应与认证工

作管理人员沟通确认。
At the end of the on-site inspection, the head of the inspection team shall confirm the licensing information with the certification commissioner, fill in the inspection report, the certification commissioner shall confirm the correctness of the information related to the certificate in the inspection report, and the head of the inspection team shall sign the above information to confirm. In case of changes in the information related to the issuance of certificates at a later stage, the inspection team shall communicate with the certification management personnel for confirmation.

5.9.8. 跟踪不符合
Tracking of non-conformances

认证委托人在规定的时间内提交有关纠正和纠正措施（或纠正和纠正措施计划）后，检查组长应评审以确定其是否可以接受并告知认证委托人。对于需要现场验证的不符合项，检查组长应及时和认证工作管理人员联系沟通，以便与认证委托人商定具体日期并安排实施。
After the certification applicant submits relevant corrections and corrective actions (or correction and corrective action plans) within the specified time, the audit team leader shall review them to determine whether they are acceptable and then inform the certification applicant. For non-conformances requiring on-site verification, the audit team leader shall timely contact and communicate with the certification management personnel, so as to negotiate specific dates with the certification applicant and put into effect.

若不符合项的纠正和纠正措施未能在规定的期限内被接受（严重不符合项的纠正和纠正措施还应被验证有效），检查组长应修改检查报告中的推荐意见，并在“与末次会议上提供给认证委托人信息的差异说明”一栏目中说明原因，并再次将报告提交给认证委托人。
If the corrections and corrective actions for non-conformances are not accepted within the specified time limit (the corrections and corrective actions for serious non-conformances shall also be verified to be effective), the audit team leader shall modify the recommendations in the audit report, explain the reasons in the column “Explanation of differences from the information provided to the certification applicant at the closing meeting”, and submit the report to the certification applicant again.

5.9.9. 调整检查方案
Adjustment of audit plan

适用时，检查组长提出对下次检查的建议。认证工作管理人员应在检查组长协助下，根据本次检查掌握的信息，对该项目本认证周期内的后续的检查进行再策划（在确定不通知检查、再认证检查等检查的间隔时间时，应考虑认证委托人解决本次检查中识别的任何需关注问题所需的时间）。
If applicable, the audit team leader shall propose suggestions for the next audit. The certification management personnel shall, with the assistance of the audit team leader and based on the information obtained in this audit, re-plan the subsequent audit of this project in this certification cycle (when determining the interval of unannounced audit, re-certification audit and other audits, the time required for the certification applicant to solve any problems requiring attention identified in this audit shall be considered).

5.9.10. 检测报告评价

Evaluation of testing report

检查组现场对认证委托人提供的基地环境、投入品等相关检测报告的完整性、有效性进行评价。检测报告中检测项目应覆盖该产品已使用植保产品。

The audit team evaluates on site the integrity and effectiveness of the testing reports related to the base environment and inputs provided by the certification applicant. The test items in the test report should cover the product has been used plant protection products.

5.9.11. 产品抽样

Product sampling

如现场检查或后续跟踪检查需要抽取样品进行检验，检查组应根据认证委托人提供的产品消费国家/地区名单及其残留限量要求，结合实际情况，进行风险评估，确定检测项目，现场抽取样品，应委托中心签约实验室进行样品检测。

If the on-site audit or follow-up audit requires taking samples for audit, the audit team shall, according to the list of the product consumption country/region and their residue limit requirements provided by the certification applicant, and conduct risk assessment and determine the test items in combination with the actual situation. When samples are taken on site, the audit team shall entrust the laboratory contracted by CQC to conduct sample testing.

5.10. 现场检查+远程审核模式

根据客户要求，认证检查可分为两部分组成，采取现场检查+远程审核两个过程进行，此类检查两个过程必须由同一名（组）检查员实施。

According to the customer's requirements, the certification inspection can be divided into two parts, taking off-site inspection + on-site audit two processes to carry out, such inspection two processes must be carried out by the same auditor.

远程检查实施的时间不得早于现场检查时间 28 天。远程检查由在现场检查之前生产者提交给认证机构的文件进行书面审核组成。认证机构应指定生产者提交用于远程审核文件的最后期限。该日期也将启动实施为期 28 天的现场检查的倒计时。

The off-site stage shall be conducted no more than four weeks (28 days) before the on- site stage. It shall consist of a desk review of documentation sent by the producer to the CB before the on-site stage. The CB shall schedule a date as deadline for the producer to submit the documents to be evaluated off-site. That date shall also trigger the period of four weeks to conduct the on-site stage.

可通过远程审核进行检查的文件包括：自我评估、食品安全政策声明、风险评估、相关控制点中要求的程序、兽医健康计划、分析程序（频率、参数、地点）、分析报告、许可、使用过的药品清单、使用过的植保产品清单、实验室认可证明、分包活动的证书或检查报告和植保产品/化肥/药品应用记录。这些文件可以通过访谈和远程审核来验证。

Documentation that may be audited off-site by the CB auditor includes, for example, the self-assessment, risk assessments, procedures required in various P&Cs, animal health plan, analysis programs (frequency, parameters, locations), analysis reports, licenses, list of medicines used, list of plant protection products used, proof of laboratory accreditation, certificates or assessment reports of subcontracted activities, and plant protection product/fertilizer/medicine application records. The documentation may be supported by interviews and a remote CB audit of the facilities.

远程审核应对特定控制点进行的充分评述，并记录在检查表中。除非在检查方法指南中有另外的要求，应对所有主要必须控制点和所有不满足和不适用的次要必须控制点进行评述。

The off-site stage shall be recorded in the audit checklist through sufficient comments for the specific P&Cs.

Comments shall be supplied for all Major Must and all noncompliant and nonapplicable Minor Must P&Cs unless otherwise indicated in the guideline for audit methodology, if available.

检查员应记录远程审核和现场检查的日期、时间和持续时间，并由被审核方签字确认。

Date, time, and duration of the off-site and on-site stages of each CB audit shall be recorded by the CB auditor and signed or specifically confirmed by email by the producer.

现场检查应在远程审核之后进行，包括对清单剩余内容、生产过程、注册场所/PHU 的现场认证审核，以及对远程审核阶段已完成信息的验证。现场阶段应至少包括检查良好农业规范和食品安全相关要求以确定合规性。

The on-site stage shall be conducted after the off-site stage and consists of an on-site CB audit of the remaining content of the checklist, the production process, the registered sites/PHUs, and the verification of the information already reviewed off-site. The on-site stage shall include, at minimum, the inspection of good agricultural practices and food safety-related requirements to determine compliance.

如果在整个评估过程（远程审核和现场审核）中发现不符合项，当审核结果由生产者签名或通过电子邮件确认后，在召开现场末次会议后将开始关闭不符合项最后期限倒计时。

If non-conformances are found during the entire CB farm audit process (off-site and on- site stages together), the countdown to the deadline for closing them begins with the on- site closing meeting, when the audit result is signed or specifically confirmed by email by the producer.

使用此种模式不能减少认证审核的总时长，但是可以使得现场检查时间得到更有效利用。现场检查的时长永远不得少于两小时。

This system does not reduce the overall CB audit duration (see requirements regarding CB audit duration in scope-specific rules) but allows more efficient use of time on-site. The duration of the on-site stage shall never be shorter than two hours.

此种方式进行认证审核在使用信息技术工具(ICT)时，应按照 IAF MD4:2022 及 GLOBALG.A.P.通则 认证机构要求 7.6 条款及 CQC 程序文件的要求进行。

Certification audits conducted in this manner shall be conducted in accordance with IAF MD4:2022 and GLOBALG.A.P. General Rules for Certification Body Requirements, clause 7.6, and the CQC Procedure Document when using Information Technology Tools (ICT).

5.11. 材料上报
Submission of materials

检查组应在不符合项关闭（如有)后的 5 日内将《MSF323-01 上报文件清单》中相应的检查材料整理并提交给认证工作管理人员,全部检查材料提交齐全后，认证工作管理人员初评合格后，将所有适用的检查材料按顺序整理、编号后上报。

The audit team shall sort out the corresponding audit materials in the *MSF323-01 List of Submitted Documents on Good Agricultural Practice Certification On-site Audit Results* and submit them to the certification management personnel within 5 days after the closure of the non-conformances (if any). After all the audit materials have been submitted, the certification management personnel shall sort out, number and submit them after the preliminary assessment.

5.12. 认证评定
Certification Review and Decision

GLOBALG.A.P.的评定包括复核和认证决定，复核和认证决定过程在 CQC 农食认证系统中做出。复核和认证决定由 CQC 聘用的认证决定人员完成，必要时由农食产品认证专业工作组及相关技术专家组成评定组

集体评定。

GLOBALGAP evaluation includes Review and certification decision, The review and certification decision process is made in the CQC Agri-Food Certification System. The Review and certification decisions shall be made by the certification decision makers employed by CQC, and if necessary, the evaluation team composed of the professional working group for certification of agricultural product and food and relevant technical experts shall make a collective evaluation.

5.12.1. 复核

Review

复核过程由中心聘用的认证决定人员进行。复核由至少一名未参与评价过程的 CQC 聘用的认证决定人员实施，对检查材料相关的所有信息和结果进行复核。复核应在对产地环境质量、现场检查和产品检测评估的基础上进行，复核重点内容包括：

The review process is conducted by the Reviewer employed by CQC. The Review shall be carried out by at least one certification decision makers employed by CQC who has not participated in the evaluation process, and all information and results related to the audit materials shall be Reviewed. The Review shall be carried out on the basis of the environmental quality of the place of origin, on-site audit and product testing and evaluation, and the key contents of the Review include:

1） 认证委托人的资质是否合法、有效；
Whether the qualification of the certification applicant is legal and effective and meets the requirements of the *Detailed Rules for the Implementation of Good Agricultural Practice Certification*;

2） 认证产品是否列入《GLOBALG.A.P.认证目录》中；
Whether the certified products are listed in the *Catalogue of Good Agricultural Practice Certification*;

3） 检查组成员是否具备相应的资格和专业；
Whether members of the audit team have relevant qualification and specialty;

4） 检查时间及检查涉及的范围是否满足规则的规定；
Whether the audit time and scope are as required in rules;

5） 检查计划是否覆盖标准要求的条款；
Whether the audit plan covers the terms required in standards;

6） 检查员是否完成了计划确定的所有检查活动；
Whether the auditor carries out all audit activities determined in the plan;

7） 检查记录是否真实、有效；
Whether the audit record is true and effective;

8） 检查的产品是否具有相应的生产方式；
Whether the audited products follow corresponding production methods;

9）生产场所环境质量是否符合规定的要求；

Whether the environmental quality of the production site meets the specified requirements;

10）生产活动及管理体系是否符合认证标准的要求及运行状况是否稳定；
Whether the production activities and management system meet the requirements of the certification standards and whether their operation is stable;

11）不符合整改是否符合要求；
Whether the rectification of non-conformances meets the requirements;

12）是否对产品的投入物作出分析和评价；
Whether the inputs of the product are analyzed and evaluated;

13）是否对所生产产品的安全质量有效性作出评判；
Whether the safety and quality effectiveness of the products are evaluated;

14）是否对产品的认证状态、认证等级作出正确结论；
Whether correct conclusions have been made on the product certification status and certification class;

15）检测报告中有关内容与抽样通知单是否一致（适用时）；
Whether the relevant contents in the testing report are consistent with the sampling notice (if applicable);

16）检测实验室是否具备相应资质；
Whether the testing laboratory is qualified;

17）产品检测报告显示的检测项目是否满足标准要求；
Whether the test items shown in the product testing report meet the standard requirements;

18）产品检测项目是否覆盖该产品禁用药物和已用的药物；
Whether the product test items cover the prohibited drugs and used drugs of the product;

5.12.2. 认证决定
Certification decision

应基于对现场检查、产地环境质量和产品检测结果等综合评估的基础上做出认证决定。认证决定应由一个人或一组人完成。复核和认证决定可由同一个人或同一组人完成。认证决定人员根据评价、复核以及其他相关的所有信息做出认证决定，重点内容包括：
The certification decision shall be made on the basis of the comprehensive assessment of on-site audit, environmental quality of the place of origin and product testing results. The certification decision shall be made by one person or a group of people. The Review and certification decisions can be completed by the same person or group of people. The certification decision makers shall make the certification decision according to the evaluation, Review and all other relevant information, with the key contents including:

(1) 材料是否具备齐全性和充分性
Whether the materials are complete and sufficient;

(2) 文件版本是否正确

Whether the document version is correct;

(3) 是否进行了有效的申请评审；
Whether a valid application review has been carried out;

(4) 反馈的检查员现场表现是否符合要求；
Whether the auditor's on-site performance meets the requirements according to the feedback;

(5) 申请人在认证过程中是否履行了应尽的责任和义务；
Whether the applicant has fulfilled its due responsibilities and obligations in the certification process;

(6) 当地对农兽药等的管理是否有效；
Whether the local management of agricultural and veterinary drugs is effective;

(7) 复核结果是否存在问题；
Whether there are problems in the Review results;

(8) 是否接到与认证有关的其他信息（如投诉等）；
Whether other information related to certification has been received (such as complaints); and

(9) 是否存在其他影响发证的情况。
Whether there are other conditions affecting the issuance of certificates.

5.12.3. 认证委托人至少满足以下条件，方可批准认证：
The certification applicant can only approve the certification if at least the following conditions are met:

(1) 申请人具有合法经营资质，并在认证过程中履行了应尽的责任和义务；
The applicant possesses legal business qualification and has fulfilled its due responsibilities and obligations in the certification process;

(2) 生产场所环境质量符合规定的要求；
The environmental quality of the production site meets the specified requirements;

(3) 申请人满足 GLOBALGAP 认证通用要求和标准所有适用条款的要求；
The applicant meets the requirements of all applicable provisions of the General Requirements and Criteria for GLOBALGAP Certification

(4) 生产活动及管理体系（适用时）符合认证标准的要求；或者生产活动、管理体系（适用时）及其他相关信息不完全符合认证标准的要求，检查员组提出了整改要求，申请人已经在规定的期限内完成整改、或已经提交整改措施并有能力在规定的期限内完成整改可以满足认证要求的，经过验证后可通过评定。
Production activities and management system (if applicable) meet the requirements of certification standards; or if the production activities, management system (if applicable) and other relevant information fail to properly the requirements of the certification standards, the audit team has proposed rectification requirements, and the applicant has completed rectification within the specified period, or has submitted rectification measures and is able to complete rectification within the specified period, after which the

certification requirements can be met, and the applicant can pass the evaluation after verification.

(5) 文件齐全；
Complete documents;

(6) 申请人缴纳了有关认证费用。
The applicant has paid the relevant certification fees.

5.12.4. 发生以下情形之一者，不能批准认证。
Under any of the following circumstances, the certification cannot be approved.

(1) 对于农业生产经营者组织，未建立管理体系，或建立的管理体系未有效实施；
For producer groups, no management system has been established, or the established management system has not been properly put into effect;

(2) 控制点符合数没有达到相应的级别认证的要求；
The compliance number of control points does not meet the requirements of corresponding certification class;

(3) 未按照认证机构规定的时间完成整改、或提交整改措施；所提交的整改措施未满足认证要求。
Failure to complete rectification or submit rectification measures within the time specified by the certification body; and the submitted rectification measures do not meet the certification requirements.

(4) 未能履行认证合同中约定申请人应履行的责任和义务；
Failure to perform the responsibilities and obligations of the applicant specified in the certification contract;

(5) 检查组在审核/检查结束或不符合项关闭后，未能及时上报检查材料，导致合格评定人员无法按照实施规则要求，在 28 日内作出认证决定的；
The audit team fails to report the audit materials in time after the inspection/audit is completed or the non-conformance is closed, resulting in that the conformity assessment personnel cannot make a certification decision within 28 days according to the requirements of the implementation rules;

(6) 上报的检查材料不清晰、不完整、与实际不符的；
The submitted audit materials are unclear, incomplete and inconsistent with the actual situation;

(7) 有证据表明，申请人涉嫌欺骗、不诚信的；
Evidence shows that the applicant is suspected of cheating or dishonesty;

(8) 其它不符合 GAP 标准和实施规则要求的事项。
Other non-conformances to GAP standards and implementation rules.

认证决定人员应根据现场审核结果，并结合其他有关信息进行综合评价，做出认证评定。符合所有认证要求的，应颁发认证证书。存在不符合项的，应通过 CQC 农食认证信息系统，反馈给相应的认证工作管理人员和检查组长，整改后再评审，直到满足 5.12.3 的要求。出现 5.12.4 规定的情况之一，不能满足认证要求的，应发送《MSF323-12 全球良好农业规范认证不予发证通知书》告知认证委托人其不能通过认证的原

因。

The certification decision makers shall make a certification evaluation based on the on-site audit results and other relevant information. If all certification requirements are met, certification certificates shall be issued. In case of any non-conformance, it is required to fill in the *GAP Certification Evaluation Feedback*, which shall be submitted to the corresponding certification management personnel and the audit team leader. It shall be reviewed again after rectification, and *GAP Certification Evaluation Form* shall be filled in until the requirements of 5.12.3 are met. If one of the circumstances specified in 5.12.4 fails to meet the certification requirements, the certification applicant shall be informed by *MSF323-12 GLOBALGAP non-issuance Notice* of the reason why it fails to pass the certification.

初次认证评定工作应在收到完整上报材料后 10 个工作日内完成，没有反馈的直接报中心主任签发，有反馈的，收到反馈材料后 5 个工作日内完成评定工作。

The initial certification evaluation shall be completed within 10 working days after receiving the complete report materials. If there is no feedback, it shall be directly reported to the CQC director for approval. If there is feedback, it shall be completed within 5 working days after receiving the feedback materials.

认证评定完成后，1 个工作日内，相关人员应及时通过 GLOBALG.A.P.信息系统签发证书。

The relevant personnel shall obtain the certification certificate number within 2 days after the completion of the certification evaluation through the agricultural product and food system of the CNCA in a timely manner.

5.13. 证书制作
Certificate issuance

(1) 完成认证决定后，认证工作人员应在 GLOBALG.A.P.数据库（https://database.globalgap.org/）中核对证书信息，并进行电子证书签发。

Upon completion of the certification decision, the certification staff shall verify the certificate information in the GLOBALG.A.P. database (https://database.globalgap.org/) and proceed with the electronic certificate issuance.

(2) 在 GLOBALG.A.P.数据库中签发后，由综合业务部制作纸质证书

After issuance in the GLOBALG.A.P. database, paper certificates are produced by the Integrated Operations Department.

(3) 评定过程中，出现 5.12.4 所描述的情形，经评定不能颁发认证证书的，填写《不予批准认证通知书》，并书面通知认证委托人。

If the situation described in 5.12.4 occurs in the assessment process, and the certification certificate cannot be issued after assessment, it is required to fill in the *Notice of Unapproval of Certification* and notify the certification applicant in writing.

5.14. 归档
Archiving

认证业务活动完成后应及时归档，档案至少保存 5 年。

After the completion of certification business activities in key sites, they shall be archived in a timely manner, the *Certification Archiving Data Handover Form* shall be filled in, and the file shall be kept for at least 5 years.

5.15. 证后监督
Post certification supervision

获得 GLOBALG.A.P.认证证书后的管理活动包括对证书持有人是否持续有效符合标准、使用认证证书和标志的情况进行有效跟踪审核/检查，对不能符合认证要求的应采取适当的处罚措施。

After the GAP certificate is issued, the management activities include the effective follow-up inspection/audit of whether the certificate holder continues to effectively comply with the standards, and the use of the certificate and logo. Appropriate punishment measures shall be taken for those who fail to meet the certification requirements.

5.15.1. 不通知检查
Unannounced audit

5.15.1.1. 通用要求
General requirements

(1) 不通知检查抽样应综合考虑认证范围的总体数量、地理位置、产品类型、历史检查情况等因素。
Sampling in unannounced audit shall take the overall number, geographical location, product type, historical audit and other factors within the scope of certification into account.

(2) 作物种植、畜禽养殖、水产养殖和蜜蜂养殖应按类别分别按 10%的比例进行抽样。每个类别每年都应至少实施一次不通知检查。
Crop planting, livestock and poultry breeding, aquaculture and bee breeding should be sampled at a portion of 10% by category. Each category should be subject to an unannounced audit at least once a year.

(3) 应提高初次认证未在收获期进行检查的证书持有人的抽查几率。
It is necessary to improve the probability of spot check for certificate holders who have not been audited during the harvest period in the initial certification.

(4) 实施不通知检查时应在 48 小时内告知证书持有人并提供检查计划。
The certificate holder shall be informed and the audit plan shall be provided within 48 hours when the unannounced audit is implemented.

(5) 不通知检查应结合再认证检查实施，不通知检查发现的不符合项处理与通知检查要求一致。
The unannounced audit can only be carried out for the Level 1 and Level 2 control points applicable to the standard. The handling of non-conformances found in the unannounced audit is consistent with the requirements of the announced audit.

5.15.1.2. 选项 1（不含实施质量管理体系的多场所农业生产经营者）
Option 1 (excluding multisite producers implementing quality management system)

(1) 应每年至少对不少于该类证书年度发证数量 10%的证书持有人实施不通知检查。
At least 10% of the holders of such certificates issued annually shall be subject to an unannounced audit.

(2) 当发放的该类认证证书数量少于 10 张时，不通知检查数量不得少于 1 家。
When the number of such certificates issued is less than 10, the number of holders subject to unannounced audits shall not be less than 1.

5.15.2. 暂停
Suspension

暂停分为自我声明的暂停和认证机构实施的暂停。暂停适用于认证范围内的部分或全部产品，但对于同一产品不能被部分暂停，只能被全部暂停。暂停期间，证书持有人禁止使用认证标志、证书或其他任何与良好农业规范有关的文件。应依据证书持有人整改结果，确认是否解除暂停。
Suspension is divided into self-declared suspension and suspension initiated by the certification body. The suspension is applicable to some or all products within the scope of certification. However, it cannot be suspended in part but in whole for the same product. During the suspension, the certificate holder is prohibited from using the certification mark, certificate or any other document related to GAP. The suspension shall be confirmed according to the rectification results of the certificate holder.

(1) 自我声明的暂停
Self-declared suspension

证书持有人难以满足标准要求和（或）在规定期限内无法完成整改，证书持有人可向我中心申请暂停认证范围内的部分或全部产品（在认证机构处罚期内的证书持有人不适用）。该暂停不能延迟再认证日期，我中心同时在 GLOBALG.A.P.信息系统中作出相应处置。整改期限由发出声明的证书持有人确定，报中心批准，并在认证机构解除暂停前关闭。
If the certificate holder is difficult to meet the standard requirements and/or cannot complete the rectification within the specified period, the certificate holder can apply to CQC for suspension of some or all products within the scope of certification (the certificate holder within the punishment period of the certification body is not applicable). The suspension will not delay the re-certification date, and CQC will make corresponding disposal in the China Food and Agricultural Product Certification Information System. The rectification period shall be determined by the certificate holder issuing the statement and submitted to CQC for approval, and the involved site will be closed before the suspension is lifted by the certification body.

(2) 认证机构实施的暂停
Suspension initiated by the certification body

出现下列情况之一时，我中心将对认证委托人所持证书做暂停处置。
In the event of one of the following cases, CQC will suspend the certificate held by the certification applicant.

a. 未在规定期限内实施不符合项的有效整改；
Failure to implement effective rectification of non-conformances within the specified period;

b. 再认证或不通知检查期间发现的不符合对食品安全、环境和员工安全存在严重威胁时；
Non-conformances found during re-certification or unannounced audit pose a serious threat to food safety, environment and employee safety;

c. 无正当理由拒绝接受不通知检查的；
Refusing to accept the unannounced audit without justified reasons;

d. 认证证书的持有人未按规定使用 GLOBALG.A.P.认证证书和 GLOBALG.A.P.认证标志的；
The licensee fails to use the GAP certificate and GAP certification mark as specified;

e. 逾期未交纳认证费用的；
The certification fee fails to be paid as scheduled;

f. 有证据标明，获证企业生产活动不满足国家相关法规、标准、实施规则的要求，但不需要立即撤销证书的；
There is evidence showing that the production activities of the certified enterprise fail meet the requirements of relevant national regulations, standards and implementation rules, while the certificate does not need to be revoked immediately;

g. 其它需要暂停的情况。
Other conditions that need suspension.

当获证组织发生 5.15.2 条件之一时，由体系认证事业部提出暂停认证的建议或申请，提交《MSF323-20 全球良好农业规范认证暂停认证证书审批单》，报中心主任批准。经中心主任批准后，体系认证事业部向获证组织发出《MSF323-14 全球良好农业规范认证暂停认证证书通知书》。
If one of the conditions in 5.15.2 occurs to the certified organization, the System Certification Division shall make a proposal or application for suspension of certification and submit *MSF323-20 GLOBALGAP Certification Suspension Approval Form* to the CQC director for approval. After being approved by the CQC director, System Certification Division will issue a *MSF323-14 GLOBALGAP Certificate Suspension Notice* to the certified organization.

在暂停证书 10 个工作日内将暂停认证证书的获证组织名单和原因，向社会公布。
Within 10 working days after the suspension of the certificate, the name list and reasons of the certified organization whose certificate has been suspended shall be reported to the State Administration of Market Regulation/the CNCA and the certification regulatory authority where the organization is located, and shall be published to the public.

5.15.3. 撤销
Withdrawal

出现下列情况之一时，应撤销认证证书：
The certificate shall be revoked in any of the following cases:

a. 有证据表明农业生产经营者/农业生产经营者组织存在欺诈和诚信问题；
There is evidence that the producer/producer group has fraud and credit problems;

b. 获证产品药物残留限量不符合我国和消费国家/地区的要求；
The drug residue limit of the certified product does not meet the requirements of China and product consumption countries/regions;

c. 证书持有人存在合同方面的不符合。
The licensee has non-conformances in terms of the contract;

d. 获证产品质量不符合国家相关法规、标准强制要求或者被检出禁用物质的；
The quality of the certified product does not meet the mandatory requirements of the relevant national laws, regulations and standards or the banned substances are detected;

e. 虚报、瞒报获证所需信息的；
The information required for obtaining the certificate is misrepresented or concealed;

f. 超范围使用认证证书和认证标志的；
Certification certificates and certification marks are used beyond the scope;

g. 产地（基地）环境质量不符合认证要求的；
The environmental quality of the place of origin (base) does not meet the certification requirements;

h. 认证证书暂停期间，认证委托人未采取有效纠正或者（和）纠正措施的；
The certification applicant fails to take effective corrections or (and) corrective actions during the suspension of the certification certificate;

i. 对相关方重大投诉未能采取有效处理措施的；
Failure to take effective measures to deal with major complaints from interested parties;

j. 获证组织因违反国家农产品、食品安全管理相关法律法规，受到相关行政处罚的；
The certified organization is under relevant administrative punishment due to violation of relevant national laws and regulations on agricultural products and food safety management;

k. 获证组织不接受认证监管部门、认证机构对其实施监督的；
The certified organization does not accept the supervision of the certification regulatory authority or certification body;

l. 认证监管部门责令撤销认证证书的；
The certification regulatory authority orders the revocation of the certification certificate;

m. 其他需要撤销认证证书的。
Other certificates that need to be revoked.

获证组织发生 5.15.3 条件之一时，由体系认证事业部提出撤销认证的建议或申请，填写《MSF323-13 撤销认证证书审批单》，经合格评定委员会评议后做出决定，报中心主任批准。经中心主任批准后，体系认证事业部向获证组织发出《MSF323-17 撤销认证证书通知》。在撤销证书 10 个工作日内将撤销认证证书的获证组织名单和原因，向国家认监委和该组织所在地认证监管部门报告，并向社会公布；体系认证事业部监督获证组织将撤销的 GLOBALG.A.P.认证证书交回 CQC。

If one of the conditions in 5.15.3 occurs to the certified organization, the System Certification Division shall make a proposal or application for revocation of certification, fill in the *MSF323-13 Approval Form for Revocation of Certification Certificate*, make a decision after review by the conformity assessment committee, and submit it to

the CQC director for approval. After being approved by the CQC director, System Certification Division will issue a *MSF323-17 Notice on Revocation of Certificate* to the certified organization. Within 10 working days after revocation of the certificate, the System Certification Division is required to report the name list and reasons of the certified organization whose certificate has been revoked to the CNCA and the local certification regulatory authority where the organization is located, and publicize them to the public; and supervise the certified organization to return the revoked GAP certification certificate and unused marks to CQC or supervise the certified organization to destroy the remaining marks and product packaging with GAP certification marks. If necessary, the certified organization is required to recall the corresponding batch of products with GAP certification mark and report to CQC.

证书撤销后，合同自动解除，证书持有人禁止使用与 GLOBALG.A.P.相关的文件、证书、认证标志等。自证书撤销之日起 12 个月后才能再次向认证机构提出认证申请。

After the certificate is revoked, the contract will be automatically terminated, and the certificate holder will be prohibited from using documents, certificates, certification marks, etc. related to GAP. The certification application can be submitted to the certification body again after 12 months from the date of revocation of the certificate.

5.15.4. 认证证书的恢复
Restoration of certificate

认证证书被撤销后，不能以任何理由予以恢复。被暂停证书的获证组织，需认证证书暂停期满且完成不符合项纠正或（和）纠正措施并经认证机构确认后方可恢复认证证书。

After the certificate is revoked, it cannot be restored for any reason. The certified organization whose certificate has been suspended can resume the certificate only after the expiration of the suspension period of the certificate, the completion of the non-conformance corrections or (and) corrective actions and the confirmation by the certification body.

暂停期内，若获证组织实施了有效的纠正措施，经书面或现场验证通过后，由合格评定委员会评定纠正或纠正措施材料，做出恢复认证证书的决定，提交《MSF323-15 全球良好农业规范认证恢复认证证书审批单》

报中心主任批准。体系认证事业部发出《MSF323-16 GLOBALG.A.P.认证恢复认证证书通知》，恢复其认证证书持有资格，并网上公布恢复信息；如需重新换发或者变更证书的，证书有效期按原证书有效期执行。

During the suspension period, if the certified organization has implemented effective corrective actions, after the written or on-site verification is passed, the conformity assessment committee will evaluate the correction or corrective action materials, make a decision to resume the certificate, submit *MSF323-15 GLOBALGAP Certificate Recovery Approval Form* and report to the CQC director for approval. System Certification Division issues the MSF323-16 *Notice of GAP Certificate Restoration*, restores the qualification of holding the certification certificate, and publishes the restoration information online; and if it is necessary to renew or change the certificate, the validity period of the certificate shall be subject to that original certificate.

6. 认证证书及标志
Certificate and Mark

6.1. GLOBALG.A.P.认证证书应至少包括以下基本信息：

The GAP certificate shall at least include the following basic information:

(1) 注册号
Registration No.;

(2) 证书编号
Certificate No.;

(3) 良好农业规范认证标志
GAP certification mark;

(4) 认证机构名称和标识
Name and identification of certification body;

(5) 认可机构的名称和/或标识（如果认证机构获得认可）
Name and/or identification of the accrediting body (if the certification body is accredited);

(6) 证书持有人的名称和地址
Name and address of certificate holder;

(7) 注册成员/场所名称、地址和产品。如果获证的是农业生产经营者组织，应在证书或附件中列出农业生产经营者组织的所有注册成员的名称、地址和产品。如果获证的是多场所的农业生产经营者，应在证书或附件中列出农业生产经营者的所有场所名称、地址和产品。
Name, address and product of the registered member/site. If the certified organization is an producer group, the name, address and products of all registered members of the producer group shall be listed in the certificate or attachment. If the certified organization is a multisite producer group, the name, address and products of all sites of the producer group shall be listed in the certificate or attachment.

(8) 如果存在平行生产/平行所有权，应标明。
If there is parallel production/parallel ownership, it shall be indicated;

(9) 认证选项和认证级别
Certification options and grades;

(10) 认证产品范围
Scope of certified products;

(11) 如果果蔬产品未经处理或不包括收获，应标明。
If the fruit and vegetable products are not treated or the harvest is not included, it shall be indicated;

(12) 认证依据及版本号
Certification basis and version number;

(13) 发证日期：总部做出认证决定的日期
Issuing date: the date when the headquarters makes the certification decision; and

(14) 证书生效日期和截止日期

Effective date and expiration date of the certificate. \

6.2. 认证证书和认证标志的使用

Use of certificate and certification mark

(1) 认证证书和认证标志的使用应符合《认证证书和认证标志管理办法》的规定。
The use of certificates and certification marks shall comply with the provisions of the *Measures for the Administration of Certificates and Certification Marks*.

(2) 证书持有人可在认证产品或其销售包装、产品宣传材料、商务活动中使用认证标志。
The certification mark may be used by the certificate holder in the certified product or its sales package, product publicity materials and business activities.

(3) 认证标志使用时可以等比例放大或缩小，但不允许变形、变色。
The certification mark can be enlarged or reduced in equal proportion when used, but mark deformation or discoloration is not allowed.

(4) 在使用认证标志时，应在认证标志下标注注册号。
When the approval mark is used, the registration number shall be marked under the approval mark.

(5) 证书持有人应对认证证书和认证标志的使用和展示进行有效的控制。
The certificate holder shall effectively control the use and display of the certificate and certification mark.

(6) 证书持有人不得利用认证证书或认证标志混淆认证产品与非认证产品误导公众。
The certificate or certification mark shall not be used by the certificate holder to confuse the certified products with non-certified products or mislead the public.

(7) 当证书持有人的法人实体发生变化（如农场所有人、单位性质改变等）时，不得将认证证书从一个法人实体转让到另一法人实体。这种情况下要求对新的法人实体实施初次检查。
In case of any change of the legal entity of the certificate holder (such as the farm owner, the nature of the unit, etc.), the certificate cannot be transferred from one legal entity to another. In this case, an initial certification audit of the new legal entity is required.

7. 信息报告 Information Report

相关工作人员应根据职责，按照 GLOBALG.A.P.认证通则及其他相关文件的要求，及时将相关信息向 GLOBALG.A.P.秘书处报告。
Relevant staff shall, according to their duties, report relevant information to the GLOBALG.A.P. General Rules for Certification and other relevant documents to the GLOBALG.A.P. Secretariat in a timely manner.
相关工作人员应该按照 AOH 上传规则（见盖普在线审核数据上传规则）将审核/检查和符合标准情况的细节上传到在线审核系统中（AOH）。
Relevant staff should upload details of audits/inspections and compliance status into the online audit system (AOH) in accordance with the AOH upload rules (see Gap Online Audit Data Upload Rules).

8. 认证收费 Certification Fee

按照 MSF323-19 全球良好农业规范认证收费标准收取费用。

Fees are charged in accordance with the fee schedule in the MSF323-19 *GLOBALGAP Fee Schedule.*

9. 认证范围和分类
Scope and Classification of Certification

GLOBALG.A.P.R 认证范围包括产品范围、场所范围和生产范围。良好农业规范认证产品范围应在 GLOBALGAP 最新产品目录内，并且在 CQC 授权开展业务范围之内。场所范围包含注册产品的所有生产场所和处理场所。生产范围指按照良好农业规范标准管理的初级产品的生产过程，不包括野生动物的猎取及野生植物的采集。生产范围包括收获与处理和平行所有权。

The scope of GAP certification includes product scope, site scope and production scope. The scope of products for GAP certification shall be included in the catalogue of GAP product certification published by the CNCA and/or the latest catalogue of GLOBALGAP products, and fall within the scope of business authorized by CQC. See the *Catalogue of Good Agricultural Practice Certification* and *GLOBALGAP_Product_List_en* for details. The site scope includes all production sites and processing sites of registered products. The production scope refers to the production process of primary products managed in accordance with GAP, excluding the hunting of wild animals and the collection of wild plants. The production scope includes harvesting and processing, parallel production and parallel ownership.

10. 相关文件
Relevant Documents

GAP 认证活动所涉及的文件和记录管理、保密管理、申投诉、内部审核、管理评审、持续改进、人员管理等按照中心管理体系认证相关程序文件的规定执行。

The management of documents and records, confidentiality management, complaint application, internal audit, management review, continuous improvement, personnel management, etc. involved in the GAP certification activities shall be implemented in accordance with the provisions of the relevant procedure documents of the CQC's management system certification.

11. 相关记录表格
Relevant Record Forms

11.1. MSF323-01 全球良好农业规范认证现场检查结果上报文件清单
MSF323-01 List of Submitted Documents on GAP Certification On-site Audit Results

11.2. MSF323-02 全球良好农业规范认证申请书
MSF323-02 GAP Certification Application

11.3. MSF323-03 全球良好农业规范认证变更申请书
MSF323-03 GLOBALGAP Certification Change Application

11.4. MSF323-04 全球良好农业规范认证申请评审表
MSF323-04 GLOBALGAP Application Review Form

11.5. MSF323-05 全球良好农业规范认证检查通知
MSF323-05 GLOBALGAP Certification Audit Notice

11.6. MSF323-06 全球良好农业规范认证检查计划
MSF323-06 GLOBALGAP Certification Audit Plan

11.7. MSF323-07 全球良好农业规范认证检查员声明

MSF323-07 GLOBALGAP Certification Auditor Declaration

11.8. MSF323-08 全球良好农业规范认证首末次会议签到表
MSF323-08 Sign-in Form for the Opening and Closing Meetings on GLOBALGAP Certification

11.9. MSF323-09 全球良好农业规范认证检查报告
MSF323-09 GLOBALGAP Certification Audit Report

11.10. MSF323-10 全球良好农业规范认证检查不符合报告
MSF323-10 GLOBALGAP Certification Non-conformance Report

11.11. MSF323-12 全球良好农业规范认证不予发证通知书

MSF323-12 GLOBALGAP non-issuance Notice

11.12. MSF323-13 全球良好农业规范认证撤销认证证书审批单

MSF323-13 GLOBALGAP Certificate Withdrawal Approval Form

11.13. MSF323-14 全球良好农业规范认证暂停认证证书通知书
MSF323-14 GLOBALGAP Certificate Suspension Notice

11.14. MSF323-15 全球良好农业规范认证恢复认证证书审批单
MSF323-15 GLOBALGAP Certificate Recovery Approval Form

11.15. MSF323-16 全球良好农业规范认证恢复认证证书通知书
MSF323-16 GLOBALGAP Certificate Recovery Notice

11.16. MSF323-17 全球良好农业规范认证撤销认证证书通知单
MSF323-17 GLOBALGAP Certificate Withdrawal Notice

11.17. MSF323-18 全球良好农业规范认证合同

MSF323-18 GLOBALGAP Certification Contract

11.18. MSF323-19 全球良好农业规范认证收费标准
MSF323-19 GLOBALGAP Fee Schedule

11.19. MSF323-20 全球良好农业规范认证暂停认证证书审批单

MSF323-20 GLOBALGAP Certification Suspension Approval Form

11.20. MSF323-21《不通知检查企业抽样记录表》

MSF323-21 Sampling Record Form for No-Notice Inspection Enterprises

11.21. MSF323-22 GLOBALG.A.P.认证人员清单

List of GLOBALG.A.P. certified personnel

附件 1.现场检查人日判定标准
Schedule 1. Determination Criteria of On-site Audit Man-days

1、作物种植 Plant

类别 categories	数量 quantities			
产品种类数量 Number of product categories	≤3	≤5	≤10	>10
现场检查人日 Number of on-site inspection person-days	3	4	5	每增加 5 种产品，按 0.5 人日逐级累加，直至 6 人日 0.5 person-days for each additional 5 products, cascading up to 6 person-days

2、GRASP 附加模块

员工总数	1-25	26-100	100-300	>300
现场检查人天数	1	1.5	2	按 0.5 人日逐级累加，直至 6 人日
员工总数=由认证委托人直接支付工资、由劳务中介或现场分包方支付工资的人员的总数（包括季节性工人、兼职工和临时工、非直接雇佣工人及现场分包方和独家供应商）				

注：

1. 未建立质量管理体系的选项 1、单个生产场所（如种植场所、农产品加工处理场所）、单个模块的人日数参照以上标准。Option 1 for not establishing a quality management system, individual production sites (e.g., planting sites, agricultural product processing and handling sites), and the number of person-days for individual modules with reference to the above criteria.

2. 若检查员不在现场完成检查报告，现场检查人日可减少 0.5-1 人日。If the inspector is not on site to complete the inspection report, the number of on-site inspection person-days may be reduced by 0.5-1 person-day.

3. 总检查人日数应在现场检查人日的基础上增 1 人日（包括如编制检查计划、不符合整改、信息系统上报等内容）。The total number of inspection person-days should be increased by one person-day on top of the number of on-site inspection person-days (including, for example, preparation of inspection plans, rectification of non-conformities, information system reporting, etc.)

4. 多个场所的，每增加 1 个场所应增加 0.5-1 人日现场检查时间。

In the case of multiple sites, 0.5-1 person days of on-site inspection time shall be added for each additional site.

5. 多个处理单元的，每增加一个处理单元，增加 0.5-1 人日。

For multiple processing units, add 0.5-1 person days for each additional processing unit.

6. 生产过程中存在分包活动，现场检查确认需要验证分包方的，根据距离远近，风险高低可以增加 1-2 人日。

If there are subcontracting activities in the production process and on-site inspection confirms the need to verify the subcontractor, 1-2 man-days can be added depending on the distance and risk level.

7. 丘陵、山区或偏远地区生产场所比较分散的企业在上述基础上可根据实际路途情况增加 0.5－2 人日。

Enterprises with more dispersed production sites in hilly, mountainous or remote areas may add 0.5-2 person-days on top of the above, depending on the actual road conditions.

8. 非国语地区或国家，根据实际情况现场检查可增加 1-2 个人日。

For non-Chinese-speaking regions or countries, on-site inspections can be increased by 1-2 person-days depending on the actual situation.

9. 未包含农产品处理的作物（如水果、蔬菜、茶叶等），根据实际情况（如生产场所、产品风险等）可减少 0.5 人日。

Crops that do not include the handling of agricultural products (e.g., fruits, vegetables, tea, etc.) may be reduced by 0.5 person-days, depending on the actual situation (e.g., production site, risk of the product, etc.).

10. 补充检查或其他临时增加的检查，可根据检查的要求酌情确定人日，但单一现场人日数不得少于 0.5 人日/次。

No-notice inspections, supplemental inspections, or other ad hoc additions may be made on a discretionary basis to determine man-days based on the requirements of the inspection, provided that the number of man-days at a single site is not less than 0.5 man-days per inspection.

11. 申请不同模块时，每增加一个模块，应增加 0.5 人日。

When applying for different modules, 0.5 person days should be added for each additional module.

12. 若基地之间交通超过 2 小时，应增加 0.5-1 人日，且应检查计划中注明不同基地交通时间。

If the travelling time between bases is more than 2 hours, 0.5-1 additional person day should be added and the travelling time between bases should be indicated in the inspection mission statement and inspection plan.

13. 再认证检查，可减少 0.5-1 人日。

Recertification inspections could be reduced by 0.5-1 person days.

14. 其他情况：初审企业可增加 0.5-1 人日文件评审时间；转板审核可增加 0.5-1 人日文件评审时间。

In other cases: 0.5-1 person-day additional time for document review for enterprises in the first instance; 0.5-1 person-day additional time for document review for conversion audits.

15. 示例：委托人申请不含质量管理体系的苹果和水稻的种植，分为 5 个种植场所，2 个苹果加工厂，2 个水稻处理场所。计算过程如下：3+（5-1）*0.5+（2-1）*0.5=5.5

Example: The client applies for the cultivation of apples and rice without quality management system, which is divided into 5 cultivation sites, 2 apple processing plants, and 2 rice handling sites. The calculation process is as follows: 3+(5-1)*0.5+(2-1)*0.5=5.5

附件 2

全球良好农业规范 GLOBALG.A.P 认证人员聘用和专业要求

GLOBALG.A.P Certified Personnel Employment and Professional Requirements

GLOBALG.A.P.认证审核员管理使用 GLOBALGAP 信息系统（CB-AT）进行，所有审核员应在 GLOBALG.A.P.系统中提交相应材料，经内训师审核提交至 GLOBALG.A.P 审核后，才能聘用为 GLOBALGAP 审核员。

GLOBALG.A.P. certified auditor management is carried out using the GLOBALGAP information system (CB-AT), and all auditors should submit the appropriate materials in the GLOBALG.A.P. system, and submit them to the GLOBALG.A.P for audit after review by the in-house trainer, in order to be employed as a GLOBALGAP auditor.

一、 聘用条件

I. Employment Conditions

序号 S/N	身份 Identity	聘用条件（同时具备） Employment Conditions (Simultaneously)
1	实习检查员 Trainee	1）通过由内训师组织的 GLOBALG.A.P.标准培训； 1) Pass GLOBALG.A.P. standard training organized by internal trainers; 2）具有农业领域（作物、畜禽或水产）专科（含）以上学历，且在农业领域 3 年以上工作经历或具有食品科学领域专科（含）以上学历且在农业领域 4 年以上工作经历； 2) Hold a college degree or above in the field of agriculture (crops, livestock or aquatic products), with more than 3 years of working experience in the field of agriculture, or a college degree or above in the field of food science, with more than 4 years of working experience in the field of agriculture; 3）通过 HACCP 或食品安全管理体系认证培训； 3) Pass training of HACCP or food safety management system certification; 4）通过中国有机或中国良好农业规范产品认证培训； 4) Pass the certification training of China Organic Product or ChinaG.A.P.; 5）通过上岗培训考核。

		5) Pass the induction training and assessment.
2	检查员 Auditor	1）具有 GLOBALG.A.P.检查员注册资格; 1) Have the registration qualification of GLOBALG.A.P. auditor; 2）通过 GLOBALG.A.P.组织的考试（如果可能）; 2) Passed the examination organised by GLOBALG.A.P. (if possible) 3）通过上岗培训考核。 3) Pass the induction training and assessment.
3	认证工作管理人员 Certification Management Personnel	1）CQC 总部/分场所聘用的专职工作人员; 1) Full-time personnel employed by CQC Headquarters/local branches; 2）具有国家承认的农食相关专业专科（含）以上学历；或具有至少 2 年农食专业相关工作经历; 2) Have a nationally recognized college degree (or above) in the specialty related to agricultural product and food; or have at least two years of working experience related to agricultural product and food specialty; 3）通过由内训师组织的 GLOBALG.A.P.标准培训; Pass GLOBALG.A.P. standard training organized by internal trainers; 4）通过上岗培训考核。 4) Pass the induction training and assessment.
4	认证决定人员（复核人员） Certification Decision Maker（Reviewer）	1）CQC 总部/分场所聘用的专职工作人员; 1) Full-time personnel employed by CQC Headquarters/local branches; 2）具有或曾经具有 GLOBALG.A.P.检查员注册资格 3 年以上; 2) Have or had the registration qualification as a GLOBALG.A.P. auditor for more than 3 years; 3）通过上岗培训考核。 3) Pass the induction training and assessment.
5	认证实施规则/方案制定人员 Certification Implementation Rule or Scheme	1）具有 GLOBALG.A.P.检查员注册资格; Have the registration qualification of GLOBALG.A.P. auditor; 2）具备 GLOBALG.A.P.内训师资格 2）Preparation for GLOBALG.A.P. IHT qualification

	Maker	3）通过上岗培训考核。 3) Pass the induction training and assessment.
6	内审员 Internal Auditor	1）CQC 总部/分场所聘用的专职工作人员； 1) Full-time personnel employed by CQC Headquarters/local branches; 2）具有 GLOBALG.A.P.检查员注册资格； 2) Have the registration qualification of GLOBALG.A.P. auditor; 3）通过上岗培训考核。 3) Pass the induction training and assessment.
7	现场见证人员 On-site Witness	1）具有 GLOBALG.A.P.检查员注册资格三年以上或具有内训师资格； 1) At least three years of registration as a GLOBALG.A.P. Auditor or qualification as an in-house trainer; 2）通过上岗培训考核。 Pass the induction training and assessment.
8	培训指导与管理人员（内训师） Training Guidance and Management Personnel（IHT）	1）具有 GLOBALG.A.P.检查员注册资格； 1) Have the registration qualification of GLOBALG.A.P. auditor; 2）通过 GLOBALG.A.P.组织的内训师考试； 2) Pass the internal trainer examination organized by GLOBALG.A.P.; 3）通过上岗培训考核。 3) Pass the induction training and assessment. 4）CQC 总部/分场所聘用的专职工作人员； 4) Full-time personnel employed by CQC Headquarters/local branches;

二、上岗考核培训内容

II. Induction Assessment Training

1. 各类认证人员均需通过上岗培训考核，并提交《产品认证人员上岗培训考核记录表》(MSF09-07)，方可办理聘用手续；

1. All types of certification personnel are required to pass the induction training and assessment and submit the *Induction Training and Assessment Record for Product Certification Personnel*

(MSF09-07) before the employment procedures are handled;

2. 通用培训内容包括（不限于）：通用的认证认可法律法规；管理体系手册；认证人员管理要求、行为规范、保密要求。

2. The general training includes (but is not limited to): common certification and accreditation laws and regulations; management system manuals; certification personnel management requirements, code of conduct, and confidentiality requirements.

3. 各类人员除掌握上述 2 通用培训内容外，针对不同认证人员，还应掌握以下内容（不限于）：

3. In addition to the content mentioned in the above Item 2, various certification personnel should also master the following (but not limited to):

序号 S/N	聘用身份 Position	培训内容 Training Content
1	实习检查员/检查员 Trainee /Auditor	GLOBALG.A.P.相关标准；GLOBALG.A.P.认证通则；GLOBALG.A.P.产品认证目录；GLOBALG.A.P.认证管理方案；认证检查相关程序文件等 GLOBALG.A.P. related standards; GLOBALG.A.P. certification general rules; GLOBALG.A.P. product certification catalog; GLOBALG.A.P. certification management plan; certification audit related procedure documents, etc.
2	认证工作管理人员 Certification Management Personnel	GLOBALG.A.P.认证通则；GLOBALG.A.P.产品认证目录；GLOBALG.A.P.认可文件；GLOBALG.A.P.认证管理方案；认证受理相关程序文件等 GLOBALG.A.P. certification general rules; GLOBALG.A.P. product certification catalog; GLOBALG.A.P. approval documents; GLOBALG.A.P. certification management plan; certification acceptance related procedure documents, etc.
3	认证决定/复核人员 Certification Decision Maker/Reviewer	GLOBALG.A.P.相关标准；GLOBALG.A.P.认证通则；GLOBALG.A.P.产品认证目录；GLOBALG.A.P.认可文件；GLOBALG.A.P.认证管理方案；认证决定/复核相关程序文件等 GLOBALG.A.P. related standards; GLOBALG.A.P. certification general rules; GLOBALG.A.P. product certification catalog; GLOBALG.A.P. approval documents; GLOBALG.A.P. certification management plan; certification decision/review related procedure documents, etc.
4	认证实施规则/方案	GLOBALG.A.P.认证通则；GLOBALG.A.P.产品认证目录；

	制定人员 Certification Implementation Rule or Scheme maker	GLOBALG.A.P.认证管理方案等 GLOBALG.A.P. certification general rules; GLOBALG.A.P. product certification catalog; GLOBALG.A.P. certification management plan, etc.
5	内审员 Internal Auditor	GLOBALG.A.P. 相关标准；GLOBALG.A.P. 认证通则；GLOBALG.A.P.产品认证目录；GLOBALG.A.P.认证管理方案；内审相关程序文件等 GLOBALG.A.P. related standards; GLOBALG.A.P. certification general rules; GLOBALG.A.P. product certification catalog; GLOBALG.A.P. certification management plan; internal audit related procedure documents, etc.
6	现场见证人员 On-site Witness	GLOBALG.A.P. 相关标准；GLOBALG.A.P. 认证通则；GLOBALG.A.P.产品认证目录；GLOBALG.A.P.认证管理方案；CQC 现场见证要求等 GLOBALG.A.P. related standards; GLOBALG.A.P. certification general rules; GLOBALG.A.P. product certification catalog; GLOBALG.A.P. certification management plan; CQC on-site witness requirements, etc.
7	培训指导与管理人员（内训师） Training Guidance and Management Personnel (Internal Trainer)	GLOBALG.A.P. 相关标准；GLOBALG.A.P. 认证通则；GLOBALG.A.P.产品认证目录；GLOBALG.A.P.认证管理方案；认证通则中对内训师的要求等 GLOBALG.A.P. related standards; GLOBALG.A.P. certification general rules; GLOBALG.A.P. product certification catalog; GLOBALG.A.P. certification management plan; requirements for internal trainers in the certification general rules, etc.

三、聘用材料清单

III. List of Employment Materials

序号 S/N	聘用身份 Position	学历证明 Academic Qualifications	审核员/检查员行为准则 MSF MSF09-01 Code of Conduct for Auditors/Inspectors	公正性与保密声明 MSF MSF09-02 Declaration of Impartiality and Confidentiality	GLOBALG.A.P.在线考试通过证明 GLOBALG.A.P. Online Exam Passing Certificate	产品认证人员上岗培训考核记录表 MSF MSF09-07 The Assessment Table of Onboard Training for Production Certification Personnel
1	实习检查员 Trainee	√	√	√		√
2	检查员 Auditor	√	√	√	√	√
3	认证工作管理人员 Certification Management Personnel	√	√	√		√
4	认证决定/复核人员 Certification Decision Maker/Reviewer	√	√	√		√
6	认证实施规则/方案制定人员 Certification Implementation Rule or Scheme Maker	√	√	√		√
7	内审员 Internal auditor	√	√	√		√
8	现场见证人员 On-site Witness	√	√	√		√

9	培训指导与管理人员（内训师） Training Guidance and Management Personnel/Internal Trainer	√	√	√		√

注：一人聘用GLOBALG.A.P.多个身份，相同资料可只提交一次。

Note: If one person seeks for employment of multiple positions of GLOBALG.A.P., the same data can only be submitted once.

备注：

Remarks:

1.专业工作经历包括：

1. Professional working experience includes:

a) 相关食品农产品的生产、加工组织中的技术、检验或质量管理工作经历；

a) The working experience of technology, inspection or quality management in the production and processing organizations of related food and agricultural products;

b）相关食品农产品的监管、检验机构中的技术、检验工作经历；

b) The technology or inspection working experience in the supervision and inspection institutions of related food and agricultural products;

c）相关食品农产品的科研、教学机构中的教学、研究工作经历；

c) The working experience of teaching or research in the scientific research and teaching institutions of related food and agricultural products;

2. 对于申请人有偏离评价准则的情况，体系认证事业部可采取专家面谈、专业考试、专家现场验证等方式对其专业能力进行跟踪、评价。

2. In case an applicant deviates from the evaluation criteria, the System Certification Department may track and evaluate the applicant's professional competence by expert interview, specialty examination and on-site expert verification.

3. 检查员（初次注册/扩专业）需获得专业能力现场见证评价：专业能力现场见证时，被见证人应作为组长接受见证，见证评价人不应为检查组成员，见证评价人应对被见证人进行公正、客观的评价并填写《有机/GAP 检查员专业能力现场见证评价表》(MSF09-08)。

3. Auditors (initial registration/specialty expansion) need to obtain on-site witness evaluation of

professional competence: when witnessing on-site professional competence, the witnessed should accept the witness, and the witness evaluator should not be a member of the inspection team. Witnesses should conduct fair and objective evaluations and fill in the *Organic/GAP Auditor Professional Competence On-Site Witness Evaluation Form* (MSF09-08).

四、专业代码表

List of Specialty Codes

领域 Field	大类专业名称 Name of A Broad Specialty	小类专业名称 Name of A Particular Specialty
全球良好农业规范认证 GLOBALG.A.P.	植物 Plant	果蔬 Fruit and Vegetable
		大田 CC
		茶叶 Tea
		花卉 Flower
		植物繁殖材料 Plant Propagating Material
	农场社会责任风险评估附加 Risk Evaluation of Social Liabilities for Farms (additional)	
	麦当劳附加 McDonald's (additional)	

附件 3

GLOBALG.A.P.认证管理组织架构图

GLOBALG.A.P. Certification Management Organisation Chart