

# GLOBALG.A.P.



## SUCCESS FACTORS FOR OPTION 2 IMPLEMENTATION

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## INTRODUCTION

The experience of certified smallholder groups has shown that GLOBALG.A.P can open opportunities to their businesses. Once certified, smallholder groups (referred to as Option 2 in GLOBALG.A.P) are recognized by buyers as certified producers, just as the other certified producers around the world.

Experience of smallholders in developing countries has also shown that they have the ability to implement the standard and become certified. Challenges such as low levels of literacy and lack of resources can be overcome when the standard is communicated in a way that can be easily understood. Smallholders in these circumstances are able to grasp the importance of Good Agriculture Practices (GAPs), the essence of the standard and to apply it in their own context and in their own ways.

The purpose of this document is to provide a practical guide to the key factors to take into consideration when implementing GLOBALG.A.P Option 2, especially among smallholders and small farmers. The sixteen factors described in this manual have been practically tested to help towards the successful implementation of GAP amongst smallholders.

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**SUCCESS FACTOR 1****INITIAL SENSITIZATION**

It is critical that all stakeholders involved in the supply chain are well informed and aware of the steps towards certification, time commitment and the potential costs required for certification. When producers or buyers are not aware of the time and financial commitment it takes, it becomes very difficult for them to go through the whole process of implementation and to reach certification. GLOBALG.A.P implementation requires commitment, and the stakeholders need to be well aware and determined to make it to the final step.

Some initiatives or development projects make the mistake of involving groups of producers into the training program with neither the producers nor the buyers being aware of the time and financial commitment it takes to be GLOBALG.A.P certified. In such a situation, the following are common problems that the implementation encounters:

- Producers start to complain that the time they spend on training is too much.
- Producers are not prepared to pay for the necessary cost of implementation, such as protective clothing and storage facilities.
- Producers may stop attending the training sessions
- Producers may not be paying attention during the training and may not implement what they have been trained to do.
- First buyers are not willing to support any of the cost.
- First buyers are not willing to technically support the farmers in implementation.

The tables on the next pages show some examples of the ways the required commitment can be presented to the stakeholders. The example contains the necessary steps towards certification. It is recommended to prepare such a document during the sensitization phase to clearly inform and prepare the stakeholders.

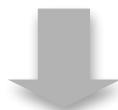
**TABLE 1: STEPS TOWARDS GLOBALG.A.P OPTION 2 CERTIFICATION**

Step 1: Training + Follow-up of training				
Expected duration: 2 months (depends on available resources and on how organized the group is before start-up)				
Farmer training			QMS training	
Participants			Participants	
<b>Members of the group:</b>			<b>QMS Representative (QMR):</b> <ul style="list-style-type: none"> <li>• QMR can be appointed within the group when there is a competent person.</li> <li>• If not, QMR can be a manager of an exporter, an aggregator, etc.</li> <li>• Extension agents can also participate in the training to provide technical support to the QMR</li> </ul>	
Content of the training	Who can be the trainer?	Training material	Content of the training	Training material
<b>GAP</b>	Any technically competent trainer (project staff, extension agents, exporters, aggregator, etc)	GLOBALG.A.P Integrated Farm Assurance CPCC, Smallholder Guides	<b>Legal status</b>	"GLOBALG.A.P Smallholder QMS Set-up Guide" (in development)
<b>Recordkeeping</b>	Any technically competent trainer	Recordkeeping form templates (e.g. those in Smallholder Guides)	<b>Producer register</b>	
<b>Pesticide Handling</b>	Any technically competent trainer	GLOBALG.A.P Integrated Farm Assurance CPCC, GLOBALG.A.P Smallholder Guide	<b>Management structure</b>	
<b>First-aid</b>	Qualified First-aid trainer	N/A	<b>QMS Manual</b>	
<b>Hygiene</b>	Any technically competent trainer	Posters on farm hygiene and on harvesting, any other	<b>Document control</b>	
			<b>Traceability system</b>	
			<b>Complaint handling</b>	
			<b>Contract</b>	
			<b>Internal inspections &amp; audit</b>	
			<b>Sanctions</b>	

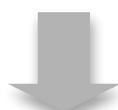
**TABLE 1: STEPS TOWARDS GLOBALG.A.P OPTION 2 CERTIFICATION (Cont.)**

<b>Internal inspector training</b>		
<b>Content of the training</b>	<b>Who needs to be trained?</b>	<b>Who is the trainer?</b>
<ul style="list-style-type: none"> <li>• Basic principles of inspection</li> <li>• HACCP principles</li> <li>• Food hygiene (GLOBALG.A.P General Regulations Appendix III.1)</li> </ul>	<ul style="list-style-type: none"> <li>• One or more person(s) from the group (depends on the size of the group)</li> <li>• Extension agents (if they are committed to support the group in this capacity)</li> </ul>	<p>Qualified person from a Certification Body or a formal training institution</p>

<b>Internal auditor training</b>		
<b>Content of the training</b>	<b>Who needs to be trained?</b>	<b>Who is the trainer?</b>
<ul style="list-style-type: none"> <li>• QMS</li> <li>• Basic principles of auditing</li> <li>• HACCP principles</li> <li>• Food hygiene (GLOBALG.A.P General Regulations Appendix III.2)</li> </ul>	<ul style="list-style-type: none"> <li>• One or more person(s) from the group (depends on the size of the group)</li> <li>• Extension agents (if they are committed to support the group in this capacity)</li> </ul>	<p>Qualified person from a Certification Body or a formal training institution</p>

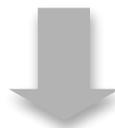


<b>Step 2: Implementation of QMS</b>			
<p>Expected duration: 2 weeks (depends on how fast the implementation takes place) (depends on available resources)</p>			
<b>Member level</b>		<b>Group level</b>	
<p>What to be done</p>	<ul style="list-style-type: none"> <li>• Explaining to the members the group policies developed at the QMS training</li> <li>• Members implementing the policies on farm level</li> <li>• Signing a contract with each member</li> </ul>	<p>What to be done</p>	<ul style="list-style-type: none"> <li>• Actions to be taken at the group level, according to what had been decided at the QMS training</li> <li>• Conducting residue analyses</li> <li>• Conducting the test of the withdrawal procedures, etc.</li> </ul>

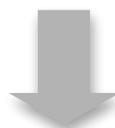


**TABLE 1: STEPS TOWARDS GLOBALG.A.P OPTION 2 CERTIFICATION (Cont.)**

<b>Step 3: Internal inspections and audit + Corrective actions</b>			
Duration: continuously (depends on the number of farms, the number of internal inspectors, and how fast corrective actions take place)			
<b>Member level</b>		<b>Group level</b>	
What to be done	Internal inspections on every farmer member of the group	What to be done	Internal audit of the QMS
GLOBALG.A.P documents to be used	GLOBALG.A.P Checklist: All Farm, Crops Base&Fruit and Vegetables	GLOBALG.A.P documents to be used	GLOBALG.A.P QMS Checklist
By whom	Internal inspector(s)	By whom	Internal auditor
What to be inspected	<ul style="list-style-type: none"> <li>• Every member's farm(s)</li> <li>• Farm-level records</li> </ul>	What to be audited	<ul style="list-style-type: none"> <li>• QMS Manual</li> <li>• Group-level documents (e.g. policies) and records</li> </ul>



<b>Step 4: External inspections and audit + Corrective actions</b>			
<b>Farm inspections</b>		<b>QMS audit</b>	
Expected Duration: Depends on size of farms, number of farms and distances among farms (2 to 4 per day)		Expected Duration: One day for the audit.	
GLOBALG.A.P documents to be used	GLOBALG.A.P Checklist: All Farm, Crops Base & Fruit and Vegetables	GLOBALG.A.P documents to be used	GLOBALG.A.P QMS Checklist
By whom	Internal inspector(s)/auditor from the Certification Body	By whom	External auditor from a Certification Body
What to be inspected	<ul style="list-style-type: none"> <li>• Sample of the members (square root)</li> <li>• Farm-level records</li> </ul>	What to be audited	<ul style="list-style-type: none"> <li>• QMS Manual</li> <li>• Group-level documents (e.g. policies) and records</li> </ul>



**CERTIFICATION**

**TABLE 2: COSTS AND INVESTMENTS**

<b>Member level</b>			
<b>Costs</b>	<b>Details</b>	<b>Who covers the cost</b>	<b>Recurring cost annually</b>
Protective clothing	Gloves, boots, overall, filtered mask, etc	Member <sup>1</sup>	X (These need to be replaced when worn out/expired)
Chemical store	Size depends on the quantities kept, if stored by member	Member <sup>2</sup>	
Handwashing facility and toilet on farm	Sophistication depends on the crop, geography, etc	Member	
Documentation	Farm-level records	Member <sup>3</sup>	X (Printing of templates)

<sup>1</sup> These can also be supplied by on group level

<sup>2</sup> Only if the farmer member stores PPP on farm

<sup>3</sup> The templates can also be supplied to each member of the group

<b>Group level</b>			
<b>Costs</b>	<b>Details</b>	<b>Who covers the cost</b>	<b>Recurring cost annually</b>
Documentation	Policies, procedures, templates	Group	X
Soil analysis	One Minor Must	Group (or buyer)	
Irrigation water analysis	Three Minor Musts – critical to maintain 95% compliance with Minor Musts	Group (or buyer)	
Chemical store	When PPPs are stored on group level	Group	
Incinerator (where applicable)	For the disposal of empty PPP containers	Group	
Residue analysis	Results must be available per farmer member. 3 <sup>rd</sup> party monitoring system is best option	Group, or aggregator, or buyer	X (Analyses must be performed every year)
GLOBALG.A.P registration fee	Nominal fee per farmer member depending on farm size (see GLOBALG.A.P Fee Table)	Group, or aggregator, or buyer	X
External inspections/audit	Depends on the Certification Body, number of farms, etc.	Group, or aggregator, or buyer	X

**TABLE 3: TIME COMMITMENT**

Theme	Detail	Who needs to spend time	Estimated time required	Recurring annually
<b>GAP</b>	Participation in training	Member	1 day	
	Implementation	Member and workers	Continuously	X
<b>Recordkeeping</b>	Participation in training	Member	1 day	
	Writing records of all farm activities (as required by CPCC)	Member	Depends on skills	X
<b>Plant protection product handling</b>	Participation in the training	Member and worker(s) who handle PPPs	1 day	
	Implementation	Member and worker(s)	Depends on farm situation	
<b>First aid</b>	Participation in the training	Member or	0.5 to 1 day	(at least every 5 years)
<b>Hygiene</b>	Participation in the training	Members and all workers	1 hour to 0.5 day	
<b>Internal inspection</b>	Undergoing the inspection	Every member	1 day	X
	Corrective actions	Member	Depends on type	X
<b>External inspection</b>	Undergoing the inspection	Some members (square root of the total)	0.5 to 1 day	X (50% of sample 2x per year)
	Corrective actions	Some members	Depends on type	X
<b>Development of the QMS</b>	Participation in the QMS training	QMS Representative (QMR)	2 to 3 days (depends on the technical competence of the participants)	
	Preparing required documents	QMR	Depends on the technical competence of the QMR	X (reviewed annually)
	Writing the QMS manual	QMR	Depends on the technical competence of the QMR, the complexity of the group (members, products, geography, etc)	X (reviewed annually)

**TABLE 3: TIME COMMITMENT (Cont.)**

Theme	Detail	Who needs to spend time	Estimated time required	Recurring annually
<b>Internal QMS audit</b>	Undergoing an audit	QMR	1 day	X
	Corrective actions	QMR	Depends on the type	X
<b>External audit</b>	Undergoing an audit	QMR	1 day	X
	Corrective actions	QMR	Depends on type	X

<b>Participation in internal inspector training</b>	Basic training to fulfill requirements	Internal inspector(s)	1 to 1.5 days	
<b>Internal inspections</b>	Conducting inspections and report writing	Internal inspector(s)	0.5 to 1 day per farmer member	X (annual inspections)
	Follow-up on corrective actions	Internal inspector(s)	Depends on the type and amount	X

<b>Participation in internal auditor training</b>	Basic training to fulfill requirements	Internal auditor	2 to 4 days	
<b>Internal audits</b>	Conducting audit and report writing	Internal auditor	1 to 2 days	X
	Follow-up on corrective actions	Internal auditor	Depends on type and amount	X
<b>Approval of farm inspections</b>	Based on internal inspection reports	Internal auditor	Depends on amount of members	X

**SUCCESS FACTOR 2**
**IDENTIFYING FINANCIAL SUPPORT**

From the very beginning of the implementation process, it is important to involve the buyers and aggregators who could be of support for the smallholder groups. Potential financial support could come from exporters, processors, traders, etc. who are interested in having the producer groups certified so that they can source certified produce from them. With some external support, it may become possible for the groups to reach the certification.

Buyers may offer to sponsor the cost of inspection. They may support the cost of construction of some infrastructure, such as chemical storage, toilet, renovation of packhouse etc. The buyers may agree to cover the cost of residue analysis. In some cases, the buyers' business partners, i.e. supermarkets, are conducting residue analysis and may be able to send the result to the buyers. When the residue analysis

represents sufficient sampling of produce from the particular producer group, the group may not need to conduct its own residue analysis, which relieves a big financial burden of implementation from the producers.

Therefore, the potential supporters need to be definitely brought to the table during the initial sensitization meeting. It is not sufficient only to talk to the producers and seek their commitment. Where producers find it difficult to invest, there should be other ways to cover the cost. The buyers are often most likely to support some of the cost, since they are interested in keeping the producers certified and sourcing the certified produce from them.

Development project is another source of funding, which often support producer groups to be certified. They tend to cover all the cost of training, residue analysis and inspection. When development projects take over the biggest financial responsibilities, the implementation tends to go well only in existing groups/projects. The moment when the project ends, the whole initiative may collapse due to the financial constraint. It does not mean that development projects should not finance the implementation. They need to clearly differentiate the first-year cost (one-time investment) and recurring cost (every-year payment), and communicate them to the producers and their buyers. How they are going to continue covering the recurring cost after the end of the project needs to be already clear and defined before the project starts the intervention. When nobody is willing or capable of financing the recurring cost every year, the certification could be achieved only for the first year, and may easily be lost once the project ends.

### **SUCCESS FACTOR 3**

### **IDENTIFYING TECHNICAL SUPPORT**

Some standard requirements may be technically challenging for smallholders, especially if they are illiterate or lowly educated. Although the producers need to take an active role in the whole implementation process, technical support can be provided from outside sources. For example, extension agents or procurement officers of exporters or other buying companies are most of the time technically competent and closely connected to the producers. They are often in the position of being able to technically support the producers so that they can more easily understand the training content and implement it better.

Among the various training requirements, producers often find QMS (Quality Management System) training difficult, since it involves a lot of technical concepts, such as risk assessment, management plan, policy, procedure, sanction, document control, etc. These concepts are often foreign to the producers, and they may find it difficult to write their own QMS manual. In cases where producers do not have enough capacity to write a QMS manual on their own, outside help should be requested.

The internal inspector needs to meet the criteria set by GLOBALG.A.P General Regulations, and some of the criteria are difficult for producers to meet. For

example, internal inspectors need to have a post-high school diploma in horticulture, which is a criterion that many farmers cannot meet. When nobody in the group is qualified to be an internal inspector or an internal auditor, a technically competent person who can fulfill the role must be identified. A person may offer technical support with or without charge. Involving a consultant usually involves a high charge that producer groups cannot afford. Agricultural extension agents could be helpful, but they may get transferred to a different duty station.

It is recommended to have an internal inspector within a group. It allows groups to be independent from the external support, which is not guaranteed to continue.

**SUCCESS FACTOR 4****MAKING THE DECISION**

After understanding the time and cost involved, and knowing the external financial support and technical support available, the producer group needs to evaluate whether it is possible or worthwhile going for GLOBALG.A.P certification. They may realize that the time and cost are beyond their capacity. They may realize that they may get certified for the first year with a project support, but would not be able to maintain the certificate from the following year.

In some cases, GLOBALG.A.P certification is a pre-requisite to join the supply chain. Certain high value markets do not accept any produce that is not GLOBALG.A.P certified or at least in the process of certification. The absence of a certificate means no business opportunity and producer groups have no choice but to opt for certification in order to join the market force.

When the existing buyers are strongly demanding a GLOBALG.A.P certificate they may discontinue the business relationship when a certificate is not obtained. In such case, the time and cost of being certified should be reevaluated, as the loss of business costs more.

**SUCCESS FACTOR 5****DEFINING TRAINING MODULES**

Training modules need to be defined and prepared well to avoid duplication and to achieve maximum efficiency and effectiveness in a shortest possible time. Each training session should allow the participants to meet the training requirement stipulated in GLOBALG.A.P CPCC.

In order to efficiently meet the training requirement, training requirement of more than one CPCC may be put together into one training module. For example, a module on pesticide handling can start with IPM principles, and continue with safe use and handling of agrochemicals, recordkeeping, calibration of application machinery etc. A module on hygiene can contain basic hygiene, hygiene at harvesting and hygiene at post-harvest handling.

The following table lists the training requirements:

Topic	Corresponding CPCC
Safe use of agrochemicals	AF.3.2.2
Use of dangerous or complex equipment	AF.3.2.2
Health and safety training	AF.3.2.3
First-aid training	AF.3.2.4
Basic hygiene instructions	AF.3.2.6
Fertilizer application recommendations	CB.5.2.2
IPM principles	CB.7.1
Pesticide application recommendations	CB.8.1.6
Maintenance and calibration of machinery	CB.5.4.1 & CB.8.4.1
Hygiene during harvesting	FV.4.3.2
Hygiene during produce handling	FV.5.2.1

## **SUCCESS FACTOR 6**

## **IDENTIFYING TRAINING PARTICIPANTS**

In order to maximize the efficiency of training, it is helpful to clearly identify the participants for each training session offered. People should not be called in for a training that is not required for them, and nobody should be left out from training that he/she is supposed to attend. Some training is only required for those who conduct certain activities (e.g. farmers or workers handling PPPs). On the other hand, some training is required for all workers on the farm, e.g. basic hygiene training for all workers on the farm.

The following table shows who should participate in each of the training topics.

Topic	Who should participate
Safe use of agrochemicals	Everyone who handles agrochemicals
Use of dangerous or complex equipment	Everyone who deals with these equipment
Health and safety training	Management as well as workers
First-aid training	Sufficient number to always have at least one trained person present at work. Can be at group or farm level*.
Basic hygiene instructions	Everyone
Fertilizer application recommendations	Technically responsible person. Can be at group or farm level*.
IPM principles	Technically responsible person. Can be at group or farm level*.
Pesticide application recommendations	Technically responsible person. Can be at group or farm level*.
Maintenance and calibration of machinery	Technically responsible person. Can be at group or farm level*.
Hygiene during harvesting	All harvest workers

<b>Topic</b>	<b>Who should participate</b>
Hygiene during produce handling	All workers involved in packing

\* Whether training takes place on farm or group level depends on the group size, complexity of the group and agreements within the group.

**SUCCESS FACTOR 7**

**IDENTIFYING TRAINERS OR TRAINING INSTITUTIONS**

Delivery of training needs to be done by a qualified person. However, it does not mean that external consultants have to be used. Adequate trainers can often be found or trained locally within the community. For example, training of farmers could be conducted by agricultural extension agents, staff of a produce buying company, group leaders, lead farmers in communities or by technical staff of a development project.

There are several advantages in identifying trainers locally within the farming community:

- They can speak the same language as the workers and farmers, whereas a consultant or trainer from outside may not be able to speak the local language.
- They can use locally common expressions and terms that the farmers can understand, as opposed to technical terms that farmers may not understand that well.
- They understand the local situation and level of understanding of the workers and farmers. They are therefore, more likely to come up with locally adapted and suitable ways to comply with the standard.
- Their daily rate would be lower than that of a consultant, and might even be for free depending on the situation and relationship with the group.
- They have greater availability and can probably be of assistance to the group on a needs basis.
- If they have a local interest, it is more likely that they would like to see the project succeed and follow up with more training and help with implementation.

Among the various training topics to be conducted, note that First Aid training needs to be conducted by a person who holds an official certificate as a First Aid trainer and can issue an official First Aid training certificate. It is unlikely to find an official First Aid trainer in a local community. It might be necessary to bring in a qualified trainer (nurse, clinic sister, etc.) or send a local person for training to become a qualified trainer.

The quality and the effectiveness of the training conducted must be evaluated. At the end of the training, an evaluation sheet can be distributed for the participants to fill out. By collecting feedback from the participants, the performance of each trainer, for each training session, can be evaluated. When a trainer keeps on receiving negative

evaluation from the participants, such trainer should be replaced. The Monitoring of progress (Success factor 14) will also give an indication of the success of the training and whether more training on any specific topic is needed.

**SUCCESS FACTOR 8****SELECTING COMPETENT TECHNICAL  
STAFF**

GLOBALG.A.P Group certification requires that a management team be established within the group. GLOBALG.A.P management team consists of GLOBALG.A.P Management Representative (GMR), QMS responsible person (QMR), internal inspector(s) and internal auditor(s). Among these roles, the two roles that require a significant level of training are an internal inspector/ auditor and a QMR. Those who are selected to fulfill those roles need to go through highly technical training.

As the group selects the group's internal inspector(s)/auditor(s) and a QMR, it should be kept in mind that the selected persons should be literate and technically competent. In some cases, the chairman of the group is not always the most technically competent person, and he or she should not be automatically selected to be an internal inspector or a QMS responsible. The group should carefully select a person who can duly fulfill the role.

In the case of internal inspector(s)/auditor(s), there is an educational background requirement, in addition to training requirement. Post-high school diploma in horticulture is necessary to become an internal inspector/ auditor. When a group does not have a person who meets that criterion, the group is obliged to seek for an appropriate person outside the group. The potential external support may be obtained from a procurement officer, an agricultural extension agent or others.

When the group can only identify one person who is technically competent, or even none, seeking external support would become necessary. For example, one internal inspector could be selected from the members and be trained, and another internal inspector could be identified externally in addition to share the workload. A member from the group could participate in the QMS training together with an external person, such as an agricultural extension agent, who would be able to support the member develop a QMS manual for the group.

A sufficient number of internal inspectors to conduct all internal inspections in a 12-month period must be available. For a group of 100 or more members, at least 2 internal inspectors should be appointed.

**SUCCESS FACTOR 9**

**INTERNAL INSPECTOR & AUDITOR  
TRAINING**

Internal inspectors/ auditors have to meet a strict qualification requirement stipulated in the standard. Following is a summary of the requirement.

<b>General requirements</b>	
Post-high school diploma in discipline related to crop production <b>or</b> an Agricultural high school qualification with 2 years experience <b>or</b> (only for auditors) experience in QMS with 2 years experience.	
Training in HACCP principles	
Training in food hygiene	
Plant protection, Integrated Pest management and fertilizer training	
Working language skills	
<b>Inspector</b>	<b>Auditor</b>
One-day practical inspection course	Practical knowledge of QMS
Two witness inspections or 2 shadow inspections	Two-day internal auditing course

Training can be obtained by participating in existing training courses. However, those existing training courses may not be offered very frequently or could have a very high participation fee. The duration of the training may be too long. For example, HACCP training could be a university course that lasts for several months.

When a suitable existing training course, which is offered at the right timing, affordable and has a reasonable duration, cannot be found, the alternative is to organize an internal training program.

GLOBALG.A.P requires training to be official, but that does not mean that the training needs to be delivered by an institution or by a company. What is important is that the trainer is qualified and that the course content is sufficient to comply with the requirements. For example, an approved GLOBALG.A.P auditor can be considered sufficiently qualified to conduct an internal training for inspectors. Important is that records must be kept of all training sessions, the trainer, the date, topics covered and the attendees.

If there are other groups in the vicinity, resources can be combined to train inspectors and auditors. This alleviates the cost factor.

**SUCCESS FACTOR 10**

**DOCUMENTATION AT GROUP LEVEL**

Allocating more responsibilities on documentation to the group management can significantly reduce the burden of implementation upon each member. Conducting risk analyses and writing policies, management plans, work instructions etc. are often challenging for smallholders with a low literacy level or

small farmers with limited resources. Documenting as many items as possible at the group level is a critical strategy to overcome the difficulties that the members would face otherwise. For example, since there is a QMS that must be followed by all members, risks involved for all the members should be more or less the same and risks assessments can be done once at the group level. Where needed, each member can customize the group's risk assessment result to reflect the situation on farm. In this way, each member does not need to conduct a risk assessment from scratch. Policies, procedures, work instructions and management plans can also be dealt at the group level. The group can develop common policies, procedures, work instructions, management plans, etc. which apply to all the members of the group.

Certain documents, such as complaint handling procedure, product withdrawal procedure, traceability system and documentation on quality control, would naturally need to be handled by the group, as the group would be selling the produce collectively under the certificate. However, each member must have access to complaint handling procedures in case of internal complaints against the group.

Among the requirements of the All Farm Base, Crops Base and Fruit and Vegetables modules, the following documentation requirements can be done collectively as a group, instead of having each member develop them individually. This excludes general policies regarding record-keeping, mass balance etc that are explained in the GLOBALG.A.P General Regulations Part III. This is not an exhaustive list, more policies, procedures and work instructions may be added and conversely, it might be decided that some must be developed at farm level instead.

DOCUMENT	CONTROL POINT
<b>All Farm Base</b>	
Risk assessment for new sites and when risks have changed	AF.2.2.1
Management plan to mitigate identified risks	AF.2.2.2
Risk assessment for safe and healthy working conditions	AF.3.1.1
Health, safety and hygiene policy and procedures	AF.3.1.2
Training records (templates of records)	AF.3.2.1
Hygiene instructions	AF.3.2.5
Procedures for visitors and subcontractors (health, safety and hygiene)	AF.3.2.8
Accident and emergency procedures	AF.3.3.1
Information on hazardous substances (data sheets, etc.)	AF.3.3.3
Identification of sources of waste and pollution	AF.4.1.1
Waste management plan	AF.4.2.1
Environmental conservation plan	AF.5.1.1
Complaint procedure	AF.6.1
Recall procedure to manage withdrawal of product	AF.7.1
<b>Crops Base</b>	
Traceability system	CB.1.1

DOCUMENT	CONTROL POINT
<b>All Farm Base</b>	
Policy/Records on use of Genetically Modified Organisms	CB.2.5.2
Template for fertilizer application records	CB.5.3
Template for fertilizer and PPP stock inventory	CB.5.5.1, 8.7.14
Risk assessment for use of organic fertilizer	CB.5.6.2
Water management plan	CB.6.2.2
Templates for irrigation/fertigation water usage records	CB.6.2.3
Risk assessment for irrigation water	CB.6.3.2
List of PPPs used	CB.8.1.4
Template for PPP application records	CB.8.2, 8.3
Template for records of maintenance of equipment	CB.5.4.1, 8.4.1
Template for records of disposal of surplus application mixtures	CB.8.5
<b>Fruit and Vegetables</b>	
Templates for justification of soil fumigation and records	FV.2.1
Templates for records of substrate sterilization	FV.2.2
Hygiene risk analysis at harvesting	FV.4.1.1
Hygiene procedures	FV.4.1.2
Hygiene instructions	FV.4.1.4
Procedures for inspection process	FV.4.2.2, 5.5.1
Hygiene risk assessment for produce handling	FV.5.1.1
Hygiene procedures	FV.5.1.2
Policies, work instructions about hygiene	FV.5.2.3-5, 5.3.2
Polices and work instructions for rejected produce	FV.5.4.5
Glass and hard plastic handling procedures	FV.5.4.7
Documentation on quality control	FV.5.5
Procedures and records for pest control	FV.5.6

**SUCCESS FACTOR 11**
**CENTRALIZATION OF OPERATIONS**

Centralizing the operation of the production activities as much as possible at the group level can further reduce the workload on the members. For example, the group may have a technical manager who makes decisions on fertilizer and pesticide applications for each member. The group could have a spraying team or a harvesting team who conducts spraying activities or harvesting activities for all members. The more work is allocated to the group, the less work and the less responsibilities the members need to handle individually, which would reduce the risk of having non-compliances.

However, it requires the group's technical staff to have high management capacity and a high level of commitment. When a group is recently formed the group tends to be rather decentralized, and each member conducts his/her own activities. When a group has a longer history and is more developed, it has a capacity to handle more activities at the group level. The group may have paid

staff, which manages some of the activities for the members. Therefore, the degree to which the operation can be centralized depends on the financial and technical capacity of the group. As the group develops and matures, more and more activities should be conducted by the group to reduce the workload of the members and to manage the risk centrally

The degree of centralization depends on the financial and technical capacity of the members. When the members are financially and technically competent enough to handle many activities on their own, they may prefer to stay independent. In that case, the group may choose to stay decentralized. However, when the members do not have financial or technical capacity to conduct the activities on their own, it may be necessary for the group to take up the responsibilities from the onset. For example, if the members cannot afford to prepare their own storage of fertilizers and chemicals, the group may decide to construct one collectively, which may be shared by the members. If the members are not competent enough to conduct the maintenance and calibration of machinery, a technical person of the group may conduct this activity for all the members.

The following are the activities that could potentially be carried out and maintained centrally by the group.

<b>All Farm Base</b>
Record-keeping
Training of workers
<b>Crops Base</b>
Producing or purchasing or propagation material
Soil maps
Decision making on fertilizers
Fertilizer application
Record-keeping of fertilizer applications
Storing fertilizers
Irrigation/Fertigation management
Decision-making on plant protection products (PPP)
Record-keeping of PPP applications
Residue analyses
Storing of PPPs
Disposal of empty containers
Disposal of obsolete products
Maintenance and calibration of all machinery
<b>Fruit and Vegetables</b>
Soil fumigation

Substrate management
Harvesting
Produce handling

**SUCCESS FACTOR 12****PARTICIPATORY DEVELOPMENT OF QMS**

The development of a Quality Management System (QMS) is a crucial requirement of GLOBALG.A.P Option 2 certification, but is one of the most technically challenging tasks for smallholder groups. Many groups do not have a person who is technically competent enough to write a Quality Manual for the group by themselves.

A mistake that may be made by projects is to hire an external consultant to write a Quality Manual for the group. A consultant often comes up with a very long technical document with excellent policies, procedures and work instructions that fully meet the compliance criteria. However, these are sometimes too complex for the group to implement, or are simply not suitable for the reality of the group. There could be a contradiction between what the Quality Manual says and what an inspector sees in reality.

Such a Quality Manual may serve to pass the audit for the first time, but nobody in the group would be able to update the document to maintain it for the following years. Once the project funding finishes and the consultant ceases to serve the group, the Quality Manual would be abandoned, which could lead to the group's loss of certification.

What is critical for the group to be certified and to maintain certification in the long run is to come up with a Quality Management System that is as simple, and as suitable as possible to their reality. The policies, procedures and work instructions that it contains should be addressing the standard requirement, but should be realistic and implementable for the group and its members. The Quality Manual should be written in non-technical words that the group members could read, understand and implement.

A consultant or other external persons may help the development of QMS, but the Quality Management Responsible person (QMR) of the group should be fully involved in the development of the QMS so that he/she can update and maintain the document each year. The QMR should also ensure that all that is written in the Quality Manual is implemented in reality.

An example of a GLOBALG.A.P QMS Training program is available separately.

**SUCCESS FACTOR 13****WAYS OF COMPLIANCE**

The cost of implementation can be brought down through various innovative ways of complying with the standard. By reading the standard carefully and by understanding the essence of each control point, the group can come up with ideas to address the control point sufficiently within the smallholder or small farmer context. The key is to

read the standard carefully and understand the essence of the control points. The group should not be constrained by what big farms are implementing to meet the criteria. When the operation is on a big-scale and complex, the way they have to address the criteria would also become more complicated. When looking at the smallholder and small farmer context, where the operation is much simpler and may involve less risk than big farms, the ways to address the risks can also be simpler and less costly.

## **SUCCESS FACTOR 14**      **MONITORING THE PROGRESS**

GLOBALG.A.P implementation process takes time, but it should not drag on. When it takes too long, the momentum and motivation of the members and technical staff of the groups start to go down. In a successful case, a group should be able to go through initial sensitization, all training sessions, follow-ups, internal inspections and corrective actions in three months, and be ready for external inspections by a Certification Body. There could be unexpected challenges or obstacles that delay the implementation and the process could take up to a year. But it should not drag more than a year. If it is taking too long, it could be a sign that the intervention is not going well. Any of the already-mentioned key factors of implementation could be missing in such case.

For each stage of implementation, a timeline should be set to conduct the process in a timely manner and to move on to the next step. Timeline is to provide an idea on how long each step is supposed to take, and you should always take into account individual circumstances and conditions of each group. However, it helps to evaluate whether the implementation is going smoothly or there is some problem to be addressed.

A whole process of implementation should be divided to several steps. For each step of implementation, there should be a timeline and benchmarks. Benchmarks could be expressed in the form of a checklist, so that a person can fill in whether each benchmark has been met or not.

For example, the very first step of implementation would be an initial sensitization for the stakeholders. From the sensitization meeting to the decision making by the stakeholders to go for certification or not, it should not take longer than two weeks. If all key stakeholders (top representatives of the groups and those who could provide financial or technical support) are present in the meeting, the final decision could even be made on the very day of sensitization.

When the group decides to go for certification, a short checklist could be used evaluate whether the process has been completed well or not. Below is an example of such a checklist.

<b>Initial sensitization</b>					<b>Timeline</b>		
					<b>(Max. 2 weeks)</b>		
<b>Criteria</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Remarks</b>			
1	Has the group management clearly understood the steps, cost and time commitment required for implementation and certification?						
2	Does the group have enough financial competency or external financial support identified?						
3	Does the group have a valid reason to be certified? Will the certification benefit the group?						
4	Does the group have enough members opting for certification to justify the cost of implementation and certification?						
5	Will the group be able to stay certified in the long run?						

A checklist for monitoring the implementation process does not need to be as detailed as a GLOBALG.A.P Checklist. It should be a simple one-page sheet that a person can fill out very quickly. The purpose is not to conduct a thorough internal inspection on the state of the farms or the farmer group, but to monitor the degree of implementation to see whether the group can move on to the next step or not. For example, by using a simple checklist of a table of content the development of the Quality Manual can be monitored. Whether the content of the Quality Manual meets the standard or not will need to be evaluated carefully during the internal audit. See below a checklist on the table of content of a Quality Manual.

<b>Quality Management System Manual Development</b>					<b>Timeline</b>		
					<b>(Max. 2 months)</b>		
<b>Content</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>	<b>Remarks</b>			
1	Contract document template						
2	Contract signed by members						
3	Farmer register completed						
4	Membership application procedure						
5	Management structure						
6	Responsibilities and qualifications of personnel						
7	Document and record control						
8	Internal audits and inspections						
9	Complaint handling						
10	Traceability						
11	Sanctions						

12	Withdrawal of product				
13	Subcontractors (if any are used)				
14	Site management				
15	Hygiene				
16	Health, Safety and Welfare Policy				
17	Waste and Pollution Management Plan				
18	Environmental Conservation Policy				
19	Propagation Material				
20	Soil Management				
21	Fertilizer use				
22	Irrigation				
23	Plant protection				
24	Harvesting				
25	Produce handling (if applicable)				

Other points may also be included. The content depends on the group and the way it is set up.

### **SUCCESS FACTOR 15**

### **CHOOSING A CERTIFICATION BODY**

Cost of inspection charged by a Certification Body (CB) is a significant part of the project, and is a recurring cost to be paid every year. Choosing a CB whose charge is affordable is critical to make the certification financially sustainable for the group in a long run. The inspection fee can vary significantly from a CB to CB. A comparison of quotations obtained from various CBs is important. Fees could also differ due to different ways of calculation. For example, some CBs calculate the Option 2 inspection cost by simply counting the number of man-days. Other CBs calculate the Option 2 inspection cost with the content of inspection (QMS audit and number of sample farmers to be inspected).

If not many CBs are available in the country or no CB is available, CBs in other countries will have to be used. The cost, including the flight and accommodation of the inspector and auditor will have to be evaluated. When an inspector and auditor from another country or region are contracted, bringing in more groups into inspection as one batch can lower the cost. The cost can then be shared among many groups.

A list of the GLOBALG.A.P approved CBs that can be contacted to obtain quotations are available on the GLOBALG.A.P website: [www.globlagap.org](http://www.globlagap.org) > services > Certification Body > Approved Certification Bodies.

#### **DISCLAIMER**

This document provides guidance on how smallholders can comply with the standard in simple and effective ways. This is not a normative document that prescribes what to be done on smallholder farms, but is a guidance document to provide examples, tips and suggestions for implementation.