

EUREPGAP

General Regulations Integrated Aquaculture Assurance

Version 2.1 June 05

Valid from: 1st June 2005

CONTENTS	Page N°
1. EUREPGAP TERMS OF REFERENCE	3
2. SCOPE OF THIS DOCUMENT	3
3. OBJECTIVES	4
4. FARMER CERTIFICATION PROCESS FLOWCHART	5
5. INTRODUCTION	6
6. RULES.....	10
7. COMPLIANCE LEVELS FOR EUREPGAP CERTIFICATION.....	12
8. OPTIONS AND VERIFICATION FOR EUREPGAP CERTIFICATION.....	12
9. RIGHTS AND OBLIGATIONS OF EUREPGAP APPLICANTS.....	14
10. EUREPGAP CERTIFICATE GRANTING PROCESS	15
11. NON-CONFORMANCES.....	21
12. SANCTIONS.....	22
13. SANCTIONS AND NON-COMPLIANCES APPLICATION	24
14. NOTIFICATION OF SANCTIONS, NON-COMPLIANCES AND APPEALS.....	25
15. HARMONISATION PROCEDURE	26
16. APPENDIX 1: REQUIREMENTS FOR EUREPGAP INTEGRATED AQUACULTURE ASSURANCE AUDITOR	27
17. APPENDIX 2: REQUIREMENTS FOR EUREPGAP INTEGRATED AQUACULTURE ASSURANCE INSPECTOR.....	29
18. APPENDIX 3: REQUIREMENTS FOR INTERNAL FARMER GROUP INSPECTOR.....	31
19. APPENDIX 4: CERTIFICATE CONTENTS.....	32
1. ANNEX 1: TRADEMARK, LOGO AND REGISTRATION N° USE.....	1
2. ANNEX 2: FARMER GROUP (Option 2) QUALITY MANAGEMENT SYSTEMS.....	1
3. ANNEX 3: GUIDELINE FOR EVALUATION OF QUALITY MANAGEMENT SYSTEMS IN FARMER GROUPS (OPTION 2)	1
4. ANNEX 4: SUBCONTRACTORS.....	1
5. ANNEX 5: APPROVED EUREPGAP CB REQUIREMENTS	1
6. ANNEX 6: TRANSFER AND CERTIFICATION STATUS RECOGNITION BETWEEN CBs.....	1
7. ANNEX 7: EUREPGAP PRODUCT LIST.....	1
8. ANNEX 8.2: CURRENT LANGUAGE EDITIONS AND STATUS	1
9. ANNEX 9: EUREPGAP NON-COMPLIANCES RECORD SHEET	1
10. ANNEX 10: EUREPGAP DEFINITIONS	1
11. <i>Annex 11.0: CHAIN OF CUSTODY IAA</i>	1
12. ANNEX 12.1: INTEGRATED AQUACULTURE ASSURANCE EDITION UPDATES AND VALID VERSION REGISTER	1

1. EUREPGAP TERMS OF REFERENCE

“The Global Partnership for Safe and Sustainable Agriculture”

To respond to Consumer Concerns on Food Safety, Animal Welfare, Environmental Protection and Worker Health, Safety and Welfare by:

- 1.1 Encouraging adoption of commercially viable Aquaculture Assurance Schemes, which promote the minimisation of agrochemical and medicinal inputs, within Europe and Worldwide
- 1.2 Developing a Good Aquaculture Practice Framework for benchmarking existing Assurance Schemes and Standards including traceability.
- 1.3 Providing guidance for continuous improvement and the development and understanding of best practice.
- 1.4 Establishing a single, recognised framework for independent verification.
- 1.5 Communicating and consulting openly with consumers and key partners, including producers, exporters and importers.

2. SCOPE OF THIS DOCUMENT

This document explains the structure of certification to EUREPGAP Standard for *Integrated Aquaculture Assurance (IAA)*, and the procedures that should be followed in order to obtain and maintain Certification. It details the duties and rights of the EUREPGAP Secretariat, Certifiers and Farmers applying for Certification.

This document shares many parts with the General Regulations of other Standards managed by EUREPGAP. These parts are written in standard form, whereas those bodies of text (not titles) that are applicable only to the *Integrated Aquaculture Assurance* scope are in *italics*.

The scope of *Integrated Aquaculture Assurance* standard covers *the production destined for human consumption of aquaculture products. The scope extends as far as offloading at point of processing (slaughter)*.

Under Integrated Aquaculture Assurance standard, when off-shore sites, a “site” must cover the following:

Site/farm- a cluster of cages/net pins kept together within a smaller area at a named and defined location, managed by a group of staff from an on-shore facility. The cages/net pins at a site could have common support facilities (feed storage, chemical storage, etc. on a floating barge or on-shore facilities). The site is regarded as one unit in terms of following period and in- and output. It is the minimum unit that may be EurepGAP certified. All life cycle of fish included in this site must be included (batch base), from egg to final aquaculture product.

The scope of the EUREPGAP Chain of Custody for IAA covers all activities off farm (trading, storing, collecting, transport and processing) to the point of final customer selling to the end-consumer of EUREPGAP certified products.

This is a EUREPGAP normative document.

3. OBJECTIVES

3.1 EUREPGAP scheme principles are based on the EUREPGAP Terms of Reference and specifically on the following concepts:

3.1.1 Food Safety:

The standard is based on Food Safety criteria, derived from the application of generic HACCP principles.

3.1.2 Environment Protection

The standard consists of Environmental Protection, Good Aquaculture Practices, which are designed to minimise negative impacts of Aquaculture Production on the Environment.

3.1.3 Occupational Health, Safety and Welfare:

The standard establishes a global level of occupational health and safety criteria on farms, as well as awareness and responsibility regarding socially related issues; however it is not a substitute for in-depth audits on Corporate Social Responsibility.

3.1.4 Animal Welfare (where applicable):

The standard establishes a global level of animal welfare criteria on farms.

3.2 EUREPGAP is a global Scheme and Reference for Good Agricultural/Aquacultural Practice, which is managed by the EUREPGAP Secretariat.

3.3 FoodPLUS is a non-profit, industry owned and governed organisation that legally represents the EUREPGAP Secretariat, registered at the following address: Spichernstrasse 55, D-50672 Köln (Cologne) – Germany.

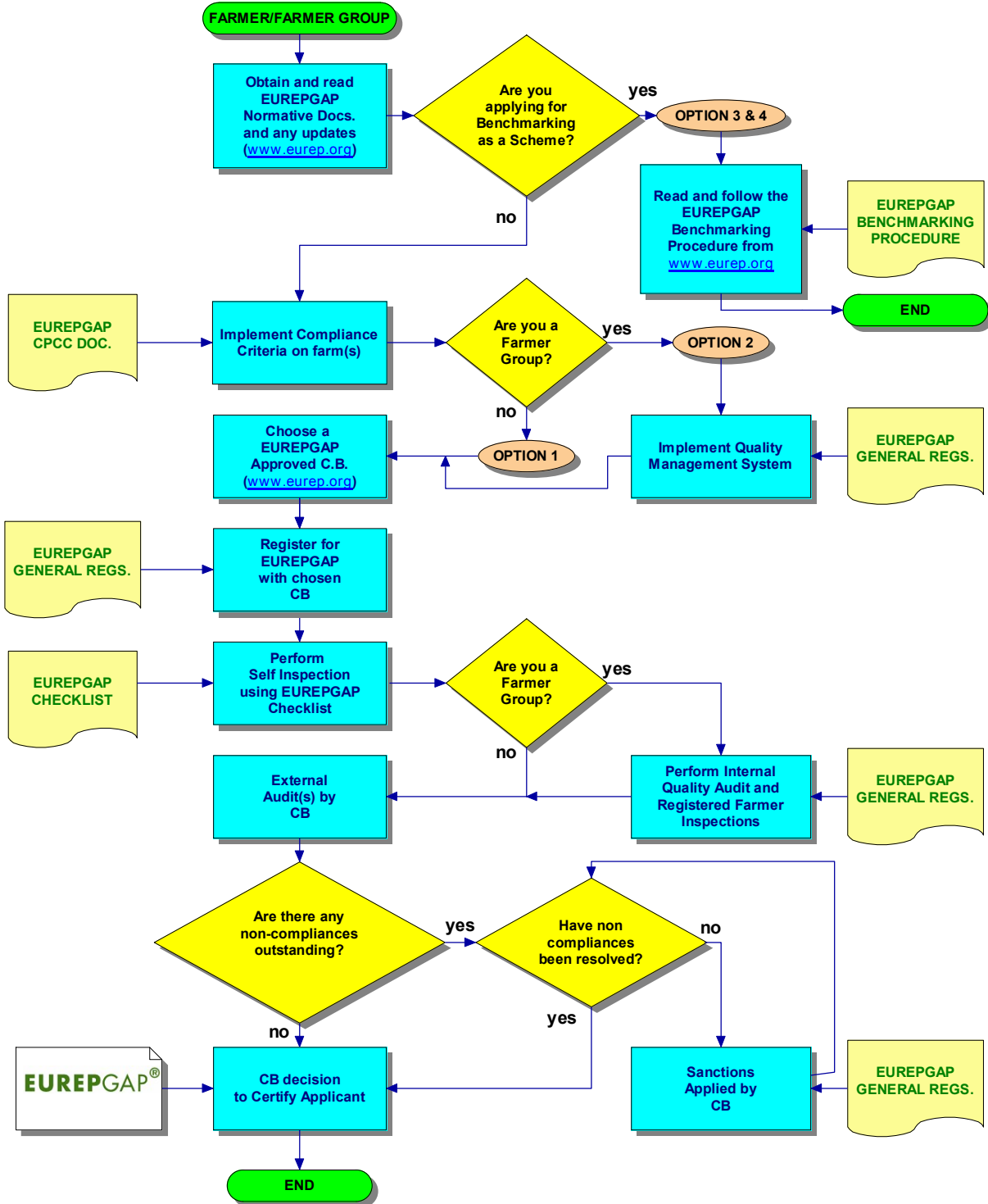
3.4 The objective of this document is to explain and regulate the operation of the EUREPGAP Scheme and the interaction between the Certification Bodies (from now on CBs), the Registered Farmer or Farmer Group, the schemes seeking equivalence acceptance and the EUREPGAP Secretariat.

3.5 EUREPGAP provides the standards and framework for Independent, recognised Third Party Certification of Farm Production Processes based on (EN45011/ISO Guide 65). (Certification of the production process – of these products ensures that only those that reach a certain level of compliance with established Good Aquaculture Practices set out in the EUREPGAP normative documents are certified).

3.6 The Scheme covers the whole aquaculture production process of the certified Product, from egg stage (Identification and Traceability of Stock control points) to non-processed end product (No manufacturing, slaughtering or processing is covered). The objective of EUREPGAP certification is to form part of the verification of Good Practices in the whole production chain. *The **Chain of Custody for IAA** covers all activities once products are sold off the farm to the point of final customer selling to the end-consumer, of EUREPGAP certified products.*

3.7 Participation is voluntary and based on objective criteria. EUREPGAP is not discriminatory to Certification Bodies and/or Farmers.

4. FARMER CERTIFICATION PROCESS FLOWCHART



5. INTRODUCTION

5.1 Structure

This document is composed of:

5.1.1 Main Body

It describes the basic steps and consideration involved for the Applicant Farmer to obtain and maintain EUREPGAP Certification and Approval, and the role and relationship of Farmers, EUREPGAP and CBs.

5.1.2 Appendices:

A set of appendices go into further detail and constitute a reference in specific areas and complement the main body, which together form the General Regulations as such. These Appendices are always normative.

5.1.3 Annexes:

A set of Annexes that provide additional information, giving specific guidance and references. Annexes are Documents that exist for clarification, they maintain their own identity and may be modified and referred to independently.

5.2 Reference Documents (excluding those annexes mentioned below)

- (i) EUREPGAP Sub-Licence Agreement Contract.
- (ii) *EUREPGAP Control Points & Compliance Criteria, Integrated Aquaculture Assurance*
- (iii) *EUREPGAP Checklist for Integrated Aquaculture Assurance*
- (iv) EUREPGAP Benchmarking Cross Reference Document
- (v) EUREPGAP Benchmarking Procedure
- (vi) EN 45011 / ISO Guide 65 General Requirement for bodies operating product certification systems
- (vii) ISO/IEC 17020:2004 General Criteria for the operation of various types of bodies performing inspection
- (viii) ISO/IEC 17025 General requirements for the competence of testing and calibration laboratories
- (ix) ISO 19011 Guidelines for quality and/or environmental management systems auditing

5.3 Annexes:

N°	Name	Code Ref.
1	Trademark, Logo and Registration Number Use	IAA 1.0 GR A1-x*
2	Farmer Group Quality Management Systems	IAA 1.0 GR A2-x
3	Guidelines for CB evaluation of Quality Management Systems	IAA 1.0 GR A3-x
4	Subcontractors	IAA 1.0 GR A4-x
5	Approved EUREPGAP CB commitments	IAA 1.0 GR A5-x
6	Transfer between CBs	IAA 1.0 GR A6-x
7	EUREPGAP Product list	IAA 1.0 GR A7-x
8	Current Language Editions and Status	IAA 1.0 GR A8-x
9	EUREPGAP Non-Compliances Record Sheet	IAA 1.0 GR A9-x
10	EUREPGAP Definitions	IAA 1.0 GR A10-x
11	<i>Chain of Custody</i>	IAA 1.0 GR A11-x
12	<i>Integrated Aquaculture Assurance Edition Updates & Valid Version Register</i>	IAA 1.0 GR A12-x

* x is the latest annex edition update number, refer to Annex 11 for up to date information.

5.4 Other languages

The English language edition of this and other EUREPGAP Documents are the original editions. EUREPGAP Documents will be translated into other languages. Once published, these official EUREPGAP documents will be the only ones that may be used for EUREPGAP Certification in that language. Translated documents will be identified as having normative status once a EUREPGAP Technical Working Group proposes it and only after a thorough translation review by the Group and approval by the TSC (this forms part of the EUREPGAP Technical Working Groups Terms of Reference). Until they reach normative status, the sentence “please refer to the English version in case of doubt” will be written on each sheet of the translated documents, in the respective language.

Accreditation may be sought and obtained by Certifiers in other languages only against documents with normative status recognised in this way. For a list of the current language editions of EUREPGAP documents and their status refer to Annex 8.

5.5 Official Communications Updates

From time to time EUREPGAP will issue CBs with edition updates to this General Regulations document or its annexes, which will be added into Annex 11 for reference. These updates will be sent to all EUREPGAP Approved CBs as official communications, and will form part of the normative document and must therefore be followed. Each update will state the dates that the updates come into force of the update and the date that the previous edition becomes obsolete.

5.6 Abbreviations used

- (i) CB: Certification Body
- (ii) CPCC: Control Points and Compliance Criteria
- (iii) CP: Control Point
- (iv) GPS: Global Positioning System
- (v) N^o: Number.
- (vi) IAF: International Accreditation Forum
- (vii) MLA: Multilateral Agreement
- (viii) TSC: Technical and Standards Committee EUREPGAP

5.7 Definitions

Refer to annex 10

5.8 Introduction of Version:

This normative document comes into force on the *1st of June 2005* and will be introduced as described below:

- | | |
|---|---------------------------|
| (i) Publication date: | 1 st June 2005 |
| (ii) Can be certified from: | 1st June 2005 |
| (iii) Last certification date for Version 1.0 Oct 2004: | 31st May 2005 |
| (iv) Latest expiry Version 1.0 Oct 2004 Certificates: | 31st May 2006 |
| (v) Farmers may apply for ver. 2.1 June 2005 with CBs from: | 1st June 2005 |
| (vi) Farmers may not apply for ver. 1.0 Oct 2004 after: | 31st May 2005 |

5.9 Version Handling:

5.9.1 Document Names:

Version means the name of the EUREPGAP normative document. The Versions of normative documents within EUREPGAP are consecutive, thus Version "1.1" "Oct" "04" can be sectioned out and understood reading the values as follows: "edition n°." "edition update n°" "month of update" - "year of Introduction".

The "." between the edition n° and the edition update n° may be expressed as a "-" in certain cases such as file names in order to enable web-based application. For the current General Regulations Version, the edition number starts at 1, the edition update number starts at 1.

A code appears on the right at the top of each document identifying it within the EUREPGAP context, thus "IAA" "1.1" "GR" means "Integrated Aquaculture Assurance" "Edition 1.1" "General Regulations". – this code may be used especially to identify the context of the Annexes.

5.9.2 Annexes

Annexes may be modified independently of the rest of the normative document, identifying the latest update by changing the Annex Edition number in a similar way as the Normative Document Version, thus Annex names are for example "A" "10" "0", this means that this is "Annex" "10" – "Edition 0".

5.9.3 Edition Updates:

Each EUREPGAP normative document edition may be updated at different intervals as the need to modify their content may arise, therefore for example General Regulations Version 1.1-Oct04 that applies to the most current CPCC could be named with a different edition update n°.

Annex edition n°s are consecutive and independent from the General Regulation Edition update n°s, for example General Regulations Version 1.1-Oct04 may contain Annex A10-2. If the GR Version were to change to 1.2-Nov 05 for example, (and the content of Annex A 10-2 is not modified), then the annex would remain as Annex A10-2. If on the other hand the content of the Annex A 10-2 were modified, then it would be re-named A10-3, the next consecutive number after 2. Complete new Versions are edited at regular, announced dates (once every so many years).

6. RULES

6.1 These General Regulations establish the rules applicable to CBs approved by EUREPGAP Secretariat to the scope of EUREPGAP Integrated Aquaculture Assurance, for granting, maintaining and removing EUREPGAP Integrated Aquaculture Assurance certification. Certificate holder can be any of the following:

6.1.1 *Individual Farmer applying for EUREPGAP Certification*

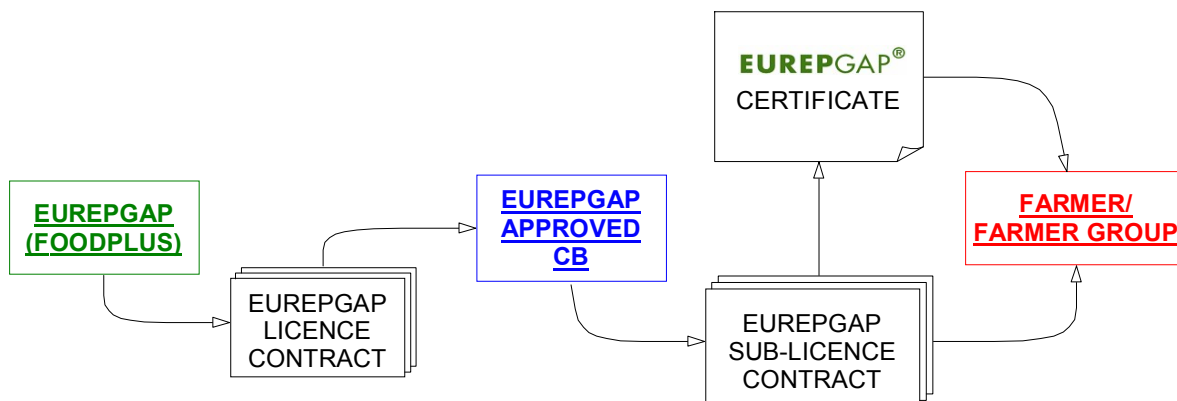
6.1.2 *Farmer Group applying for EUREPGAP Certification*

6.1.3 *Individual Farmer that is working under a Scheme that has successfully benchmarked to EUREPGAP*

6.1.4 *Farmer Group that is working under a Scheme that has successfully benchmarked to EUREPGAP*

6.2 EUREPGAP issues licences to approved CBs, who are thus empowered to issue certificates of compliance to the EUREPGAP standard.

6.3 The certificate is the document that a Farmer holds to show he has been certified, and the licence is a contractual relationship that EUREPGAP and the Farmer or Farmer Group enter into by means of a Sub-licence Agreement signed between the Farmer and the EUREPGAP Approved CB.



6.4 The Sub-licence agreement is published by EUREPGAP in different languages – only the official EUREPGAP translation may be used for the languages in which it is available.

6.5 EUREPGAP is a registered trade mark. The use of this registered trademark is regulated by the EUREPGAP Secretariat, specified in the Trademark and Logo Use Guidelines, (refer to Annex 1)

6.6 The **normative documents that conform the EUREPGAP Scheme** are the following:

6.6.1 *EUREPGAP General Regulations:*

Provides instructions as to how the Certificate can be applied for, obtained and maintained and the rights and responsibilities involved, with annexes that go into further detail.

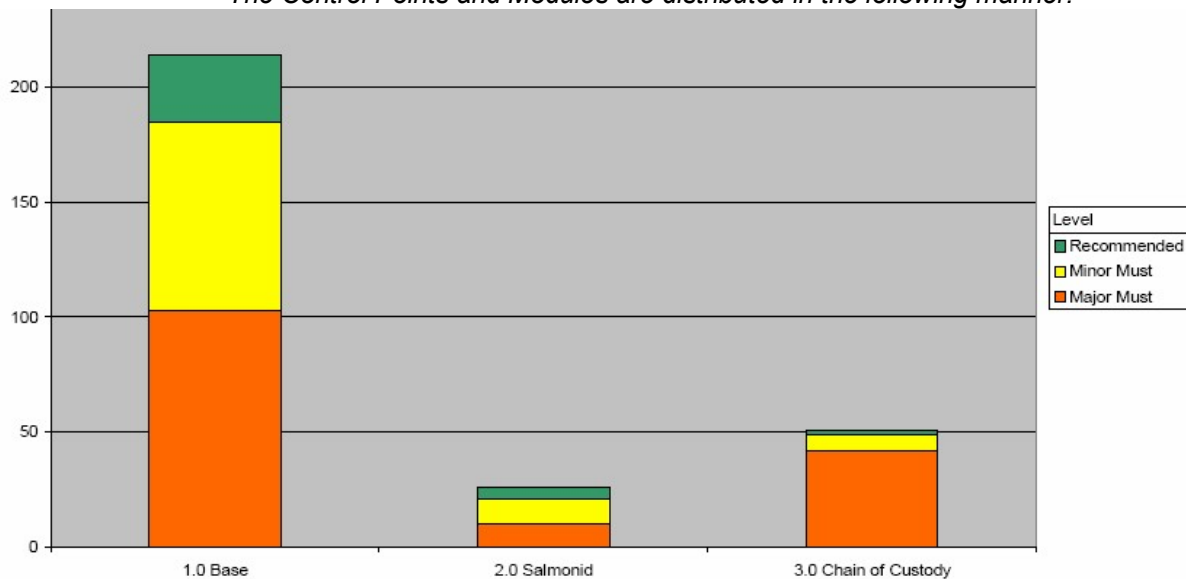
6.6.2 EUREPGAP Control Points and Compliance Criteria:

Contains all the Control Points and Compliance Criteria that must be followed by the Applicant Farmer/Farmer Group and which are audited to verify compliance. This document is divided into Modules, listing for each fish species the control points and the compliance criteria accepted. The compliance level for each control point is indicated in the column to the right of the compliance criteria in the table, on the same row as the Compliance Criteria text, and can be Major, Minor or Recommended.

The Modules within EUREPGAP IAA are separated into “Species” (Salmonids) and “Base” (All Aquaculture). The Species are the Certificate Scope applied for. The Base module is automatically coupled to the Species module(s) according to the choice of Species Module applied for – i.e. the certification of Salmon automatically involves the certification audit of the All Aquaculture Module. It is not possible to certify the Species Module without also verifying the applicable Base Module(s).

For more information on the structure and modular approach, please read the introduction at the beginning of the CPCC document.

The Control Points and Modules are distributed in the following manner:



6.6.3 EUREPGAP Checklist:

Contains the Control Points and is a tool for inspecting and evaluating compliance.

- 6.7 Excerpts of these normative documents may be published from time to time by EUREPGAP, but these do not constitute normative documents in their own right.
- 6.8 **In addition to these Normative Documents**, Guidelines for dealing with general interpretation and application of Control Points within the CPCC Integrated Aquaculture Assurance **and** Guidelines dealing with specific geographic and cultural differences may be approved and issued by the *TSC Integrated Aquaculture Assurance*, with support from the recognised EUREPGAP Regional or National Technical Working Groups. These Guidelines will also define their scopes of application (general application scope or specifically defined Geographic areas and/or product groups respectively). Transition and implementation rules will be set within the guidelines, and application is mandatory for all CBs and Farmers /

Farmer Groups operating within the defined application scopes of the Guidelines.

7. COMPLIANCE LEVELS FOR EUREPGAP CERTIFICATION

7.1 Compliance with EUREPGAP *Integrated Aquaculture Assurance* consists of three types of control points, that the applicant is required to undertake in order to obtain EUREPGAP recognition; MAJOR MUSTS, MINOR MUSTS and RECOMMENDATIONS, and must be fulfilled as follows: (See also chapters 11 & 12 of this document, Sanctions and Non-compliances).

7.1.1 MAJOR MUSTS:

100% compliance of all Applicable Major Must Control Points is compulsory.

7.1.2 MINOR MUSTS:

90% compliance of all applicable Minor Must Control Points is compulsory for each applicable module. For the sake of calculation, the following formula will apply.

$$\left\{ \begin{array}{l} \text{(Total number of} \\ \text{Minor Must} \\ \text{Control Points)} \end{array} \right. - \left\{ \begin{array}{l} \text{(Not Applicable} \\ \text{Minor Musts Control} \\ \text{Points} \\ \text{Scored on the farm)} \end{array} \right\} \times \frac{10}{\%} = \left\{ \begin{array}{l} \text{(Total Minor Must} \\ \text{Control Point Non} \\ \text{compliance} \\ \text{allowable)} \end{array} \right.$$

7.1.3 RECOMMENDATIONS:

No minimum percentage of compliance is set.

7.2 All Control Points in the CPCC must be audited, including the RECOMMENDATIONS.

7.3 Control Points that are indicated as "No N/A" in the Compliance Criteria field, unless specifically indicated in the respective Compliance Criteria text, must be audited and may not be justified as being "non applicable". Exceptions can only be granted by the EUREPGAP Technical and Standards Committee for IAA and will be published by EUREPGAP as an annex to the CPCC.

8. OPTIONS AND VERIFICATION FOR EUREPGAP CERTIFICATION

Farmers can achieve EUREPGAP certification under any one of the four Options described below.

8.1 OPTION 1: Individual Certification

Individual Farmer applies for EUREPGAP certificate

8.1.1 Farmer internal self-inspection:

- (i) A completed internal self-inspection based on the EUREPGAP Checklist must be available on site for review by the external inspector during the external inspection process.
- (ii) The internal self-inspection must be carried out at least once a year. This internal self-inspection will be carried out under the responsibility of the Individual Farmer.

8.1.2 External verification by EUREPGAP approved CB:

- (i) A minimum of one announced external inspection carried out by the EUREPGAP approved CB per annum of the registered farm and all the applicable IAA module sites.
- (ii) The granting CB (or its subcontracted agent, refer to Annex 5) will carry out an additional minimum of 10% unannounced inspections per annum among all certified Farmers it has registered under Option 1. External CB Farm inspections can be carried out either by a EUREPGAP Inspector or a EUREPGAP Auditor (see Appendix 1 and 2 respectively).
- (iii) The external inspection reports will be prepared in accordance with the requirements of EN 45011/ ISO Guide 65.

8.2 OPTION 2: Group Certification

Farmer Group (or, optionally, a single multi-site operation) applies for EUREPGAP Group Certificate

8.2.1 Internal Management and Control System:

- (i) A **Quality System** including a written control and procedures manual implementing EUREPGAP Integrated Aquaculture Assurance must be in place that guarantees all internal inspections are undertaken in a competent way, and that there is a traceability system which enables the EUREPGAP certified product to be segregated from non-certified product, and enables it to be traced back to the farm or group of farms where it originated. (Annexes 2 and 3).
- (ii) **Central Administration and Management:** All registered members and farms/sites must be operating under the same management and control and sanctions system, which is centrally administered, audited and subject to central management review.
- (iii) **Contract Duration:** The Farmer Group must contract the Farmers it registers for EUREPGAP certification for the period of at least one whole year.
- (iv) **Internal Audit procedures:** All Farmer Group farms registered under EUREPGAP must have internal audit procedure(s) that establish an annual inspection of each registered farmer as a minimum.

8.2.2 Farmer Internal self-assessment inspection:

- (i) A completed internal self-assessment based on the EUREPGAP Checklist must be available on each Registered Farm *and* for review by either the internal or the external inspector during the inspection process.
- (ii) The internal self-inspection must be carried out at least once a year. This internal self-inspection will be carried out by each registered member of the Farmer Group.

8.2.3 Farmer Group internal inspection:

- (i) A minimum of one internal inspection per annum of each registered farm within the Farmer Group must be carried out by qualified staff within the Farmer Group or subcontracted to an external verification body different from the verification body responsible for the external verification on which certification decisions are taken.
- (ii) This annual internal inspection must be based on the EUREPGAP Checklist.

8.2.4 External verification by EUREPGAP approved CB:

- (i) Audit of the Internal Quality Management and Control System occurs once before certification, subsequent Audits will be repeated annually. This "System Check" will

demonstrate whether the Quality System in place is operating correctly, according to the criteria set out in Annex 2.

- (ii) External Inspection is annual and selection is made by taking a random sample that as a minimum is the square root of the total number of EUREPGAP registered farmers within the Farmer Group.
- (iii) The granting CB (or its subcontracted agent, refer to Annex 5) will carry out an additional minimum of 10% unannounced audits/inspections per annum among all certified Farmer Groups it has registered under Option 2. Rules for sampling the farms to be inspected within the selected farmer groups are as set out in point (ii) above. See also Annex 3 for further guidelines. External CB Farm inspections can be carried out either by a EUREPGAP Inspector or a EUREPGAP Auditor (see Appendix 1 and 2 respectively).
- (iv) The external inspection reports will be prepared in accordance with the requirements of EN 45011/ ISO Guide 65.
- (v) Additional Guidelines on verification of Option 2 certification which must be followed are specified in Annex 3.

8.3 OPTIONS 3 and 4 (Benchmarking):

Option 3: Individual Farmer applies for EUREPGAP benchmarked scheme Certificate

Option 4: Farmer Group applies for EUREPGAP benchmarked scheme Certificate

8.3.1 Requirements of Applicant Scheme to achieve Benchmarking:

- (i) **Benchmarking:** The Scheme applying for Benchmarking (Applicant Scheme) is assessed for equivalence by comparing content and performance criteria against EUREPGAP. Refer to the EUREPGAP Benchmarking Procedure in its latest version.
- (ii) **Scheme Rules:** All registered Farmers/sites/farms licenced/certified are operating under the Applicant Scheme rules.
- (iii) **EUREPGAP Approved CBs:** All certification carried out within the Applicant Scheme must be done by EUREPGAP Approved CBs that must be accredited to EN 45011 or ISO 65 to the scope of the Applicant scheme and also to the EUREPGAP General Regulations of *Integrated Aquaculture Assurance*.
- (iv) **Frequency of CB verification:** the Applicant Scheme must ensure verification of Individual Farmers according to rules for OPTION 1 and of Farmer Groups according to rules for OPTION 2.

9. RIGHTS AND OBLIGATIONS OF EUREPGAP APPLICANTS

9.1 Farmer and Farmer Group Obligations

- (i) The **Certificate holder is responsible** for Compliance of the Certified Products to the EUREPGAP Standard within the declared extent of the certificate scopes.
- (ii) Applicant Farmers or Farmer Group **must register with a CB** as the first step towards obtaining a EUREPGAP certificate. The registration process must be finished before the first CB inspection/audit.
- (iii) A registered Farmer or Farmer Group that changes CB must **communicate the previous Registration Number(s)** assigned to him by the CB he has left (and any previous CB he has registered with under EUREPGAP) to the CB he applies to.
- (iv) A Farmer or Farmer Group **may not register** an application for certification **with more than one EUREPGAP Approved CB at a time**.

- (v) Registered Farmers are responsible for **communicating data updates** to CBs according to the internal procedures of each CB, such as farm or Product area changes and inclusion/de-listing of members within a Farmer Group.
- (vi) Farmers must **commit themselves to following the requirements** established in this General Regulations Document, including payment of the registration fee established by EUREPGAP, and declare this in a signed document held by the CB.
- (vii) Farmers take responsibility for any **Subcontractors** employed, who must comply with the relevant EUREPGAP Control Points. Refer to Annex 4: Subcontractors.
- (viii) Farmers applying for EUREPGAP **must include all of the applicable Farm sites** where the *Product* which they are seeking Certification for is *produced* or *transported from* under their ownership.

9.2 Farmer and Farmer Group Rights

- (i) CB and Applicant will agree on **Service of Notice terms**, which must include a commitment by the CB to confirm the receipt of formal application for Registration within 14 calendar days, and to confirm first Certification within 28 calendar days after the audit or after the closure of any outstanding non-conformances.
- (ii) Any **complaints or appeals** against CBs will follow the CB's own complaints and appeals procedure which each CB must have and communicate to all its clients. In case the CB does not respond satisfactorily, the complaint can be addressed to the EUREPGAP Secretariat using the EUREPGAP complaints form and procedure, which will be made available to the plaintiff on request.
- (iii) A farmer may **change the CB** that he is registered and certified with, either voluntarily or if a situation arises where a CB that has previously been approved by EUREPGAP should become not approved (through sanctions enforcement, bankruptcy or other reasons). Refer to ANNEX 6 for clarification.
- (iv) **Confidentiality:** EUREPGAP and EUREPGAP Approved CBs will treat any information relating to the Applicant Farmer or Farmer Group including details of products and processes, evaluation reports and associated documentation as confidential (unless otherwise required by law). No information is released to third parties without the prior written consent of the Applicant except where stated otherwise in this General Regulations document.

10. EUREPGAP CERTIFICATE GRANTING PROCESS

Please refer to the flowchart in point 10.2. The following steps must be followed before certification can be granted:

10.1 Registration

All relevant documentation concerning the Farmer/Farmer Group applying for EUREPGAP certification must be recorded. This registration process must include:

- (i) **Option applied for (1, 2, 3 or 4)**
- (ii) **Modules to be covered by the certification applied for.**
- (iii) **Identification** (name and surname of applicant, as well as company name, where applicable)
- (iv) **Full address** of the Farmer/Farmer Group with contact person and telephone-fax number.
- (v) **Clear location** of all the farm/farms, stock numbers, and applicable sites being certified, including *products/animals grown/reared* and specifying which of these

products are seeking certification. It is the responsibility of the CB to have fully identified all the land area and sites for which the certificate is issued. **When a unique location number with map reference is not available, the Unique Area ID (based on GPS) must be provided.**

- (vi) **Trade marks** under which Farmer or Farmer Group commercialise the product to be certified.
- (vii) **Signed declaration of commitment** to follow the requirements established in this General Regulations Document, including payment of the current registration fee as established by EUREPGAP.
- (viii) **Previous Registration Number(s)** of Applicant if applicable.
- (ix) Agreement by the Farmer on the **disclosure of information** relative to the certification (see 10.8).

Additional voluntary information that the Farmer / Farmer Group may provide EUREPGAP include:

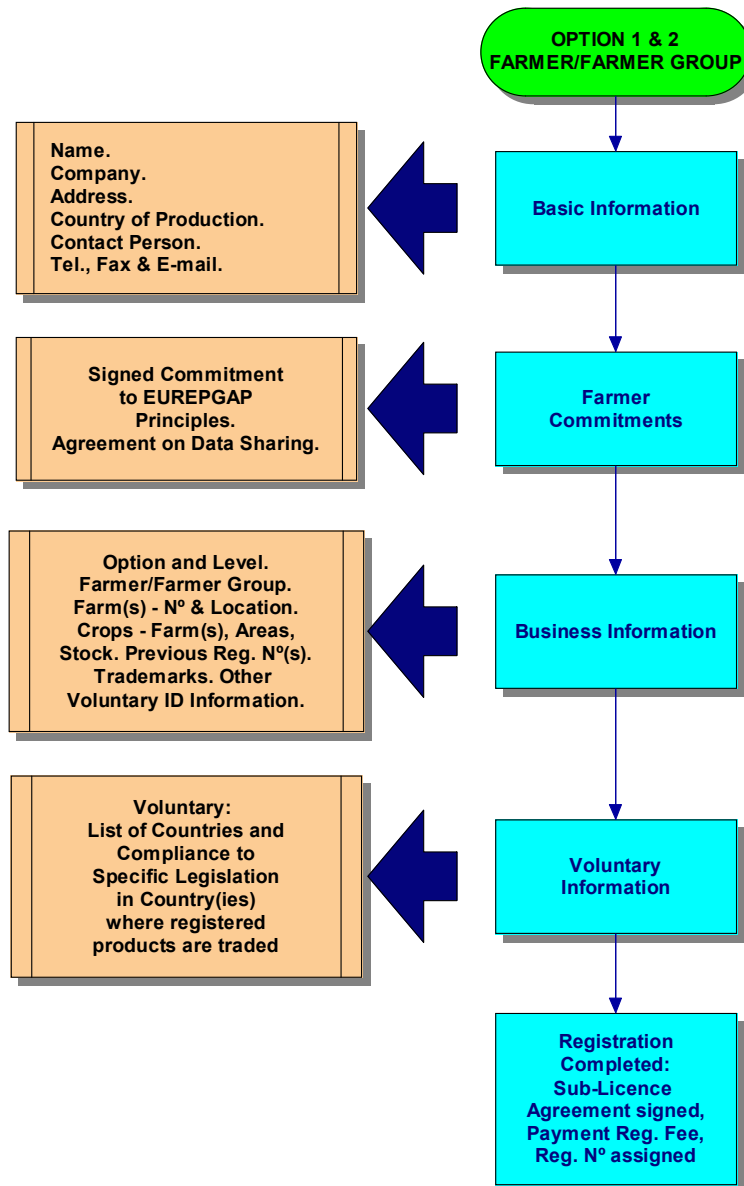
- (x) EAN Global Location Number (GLN^o);
- (xi) Unique Area ID. as defined by EUREPGAP (e.g. based on GPS);
- (xii) Government or other official farm registration data.
- (xiii) A declaration that covers, for each *Product*, all **countries the Farmer is intending to trade** his *products* in.
- (xiv) Countries of destination legislation compliance declaration. Covers the country(ies) where the Certified *Products are* intended to be traded in **and** where the Farmer/Farmer Group can demonstrate to the CB that the applicable *specific* applicable legislation in the country(ies) of destination is complied with.

As a final result of acceptance of the registration **the accepting CB will provide:**

- (xv) **Sub-licence Agreement** between CB and Farmer/Farmer Group must be signed
- (xvi) The assignment by the CB of a permanent **Registration Number**.
- (xvii) The CB will charge the Farmer/Farmer Group the current **registration fee** as established by EUREPGAP, based on the number of farms registered.

These requirements for registration may be gathered in a single document which may be attached to the **Sub-Licence Agreement** signed between the CB and the Farmer/Farmer Group. For communication of this data to EUREPGAP by the CB, see Annex 5.

10.2 Flow Chart of Registration Process



10.3 Inspection and Certification Process

- (i) As detailed in 8.1, 8.2 and 8.3 for Options 1, 2 and 3 & 4 respectively.
- (ii) Guidelines issued by the EUREPGAP TSC *Integrated Aquaculture Assurance* as mentioned in point 6.8 of this General Regulations document will be followed by CB and Farmer/Farmer Group if applicable.
- (iii) **Verification:** Inspection frequencies, reporting procedures and certification scopes are described under chapter 8 of this General Regulations Document. The registered farm and sites within that farm unit must be visited as part of the inspection activities.

10.4 Inspection Timing:

- (i) **Inspections:** The registered *species* must be present on the farm at the time of the inspection.
- (ii) Inspection may take place at any time (taking into consideration the requirement set out in the point above) chosen by the Certification Body within any 12 month period; i.e. once the first 12 months after the first audit/inspection has transpired, an inspection/audit would then be carried out within the following 12 months to verify continued compliance to the standard.
- (iii) Granting: The official granting of certification will include a certificate that will state all data as detailed in Appendix 4, and the signature by both parties of the EUREPGAP sub-licence agreement in the respective language, if available from EUREPGAP.
- (iv) No new products may be added to the certificate without an inspection taking place prior to issuing the certificate, where the products to be added are inspected.
- (v) All products certified (as defined in Annex 8) must be subjected to an inspection prior to issuing the certificate.

10.5 Validity of EUREPGAP certificate

- (i) Certificate granting is conditional on compliance by the Applicant Farmer/Farmer Group with all applicable requirements set out in this General Regulations document.
- (ii) A EUREPGAP certificate will be issued by EUREPGAP Approved CBs. The validity of the certificate will be of a maximum 3 years, subject to any sanctions (see Sanctions section) or cancellations and re-registration annually in accordance with the scope described.
- (iii) When issuing or re-issuing a certificate, the date of issue/re-issue that appears on the Certificate will be the date on which the CB audits the farm in the case where no non-conformances are raised during the inspection process. If non-conformances were raised during the verification process, then the date of issue that appears on the Certificate will be the **date when the certification decision is made by the Certification committee.**
- (iv) The service contract between the CB and Farmer/Farmer Group may have an initial duration of up to 3 years, with subsequent renewal or extension for periods of up to 3 years.
- (v) For guidelines on Use of Trademark, Logo and Certificate contents, refer to Annex 1 and Appendix 4 respectively.

10.6 Granting Scopes

These scopes are **cumulative, not alternative**. Only Farmers or Farmer Groups may apply for EUREPGAP certification. (Chain of Custody must be audited for all cases, and the certificate issued to the farmer)

10.6.1 Product scope:

- (i) Certificate and sub-licence is issued to the registered Farmer or Farmer Group, on the farms registered and products declared (according to the published EUREPGAP product list see Annex 7).
- (ii) In Option 2, the Registered Farmer/Farm can receive a letter of conformity from the Farmer Group, but is not allowed to refer to the EUREPGAP Certificate of the Farmer Group without the Farmer Group's consent.

10.6.2 Location scope:

- (i) All areas of production and *sites* of the registered products on the EUREPGAP registered Farms **MUST** comply with EUREPGAP.

10.6.3 Production scope:

- (i) The scope of the certification covers the ***producing of the products at least up to and including the harvest and transport to point of offloading, at point of processing (slaughter)***, even if ownership of the product changes before leaving the farm.

10.6.4 Chain of Custody:

- (i) *The Chain of Custody scope covers all activities once products are sold off the farm and its legal ownership over the product is taken over by a different party (trading, storing, collecting, transport and processing to the point of final customer selling to the end-consumer) of EUREPGAP certified products, consisting of an APPROPRIATE COMBINATION of segregation and identification, to ensure that certified and uncertified materials are not mixed.*
- (ii) *Product processing remains outside EUREPGAP scope.*

10.7 Maintaining EUREPGAP certification

- (i) The registration of the Farmer/Farm or Farmer Group and the proposed *Products* for the relevant scopes must be re-confirmed with the CB annually.
- (ii) The full checklist and verification process must be completed by the inspector annually for the process of certification to be carried out.

10.8 Disclosure of Information

10.8.1 Disclosure of Farmer / Farmer Group Data to the Public

The certificate holder must agree with the CB that the following information will be communicated to EUREPGAP, who will make it publicly available as long as the Certificate status remains "Certified".

- (i) Registration Number of the Certificate
- (ii) Type of organisation (Farmer or Farmer Group)
- (iii) Scheme Name and Version
- (iv) Option chosen
- (v) Country of production
- (vi) Scope of Certificate; *Product*.
- (vii) Certification Body name
- (viii) Date of latest CB inspection
- (ix) Date of Certificate Validity

10.8.2 Disclosure of Farmer / Farmer Group Data to EUREPGAP members

The certificate holder can agree in writing with the CB that the following information will be communicated to EUREPGAP, who will make it available to EUREPGAP Members on the basis of assigned access rights:

Basic information:

- (i) Name, Address and Trade name of Farmer/Farmer Group and contact e-mail
- (ii) Certification Status i.e. partially or wholly suspended, cancelled
- (iii) Where applicable Product Custody declaration, covering all registered product

Additional voluntary information:

- (iv) EAN UCC Global Location Number; Unique Area ID. as defined by EUREPGAP (e.g. based on GPS); Government or other official farm registration data.
- (v) Countries of destination legislation compliance declaration. (See point 10.1 xiv)

10.8.3 Disclosure of Farmer / Farmer Group Data to EUREPGAP exclusively

The certificate holder must agree with the CB that the following information will be communicated to EUREPGAP, who will not make it available and keep it confidential, for the purpose of generating overall statistics and internal EUREPGAP quality system checks:

- (i) Production Area per Product, on an individual farm basis (also within a Farmer Group).
- (ii) Inspector/Auditor name.

11. NON-CONFORMANCES

All Certification Bodies (for all Options) and Farmer Groups under Options 2 and 4 must have in place a system for identifying the non-compliances described below.

Wherever a non-conformance is detected in a “species” module, the sanctions applied will only apply to that “species” module. However when a non-conformance is detected in a “base” module, the sanctions will affect all “species” modules.

Chapters 11, 12, 13 and 14 of this General Regulations document must be read together in order to gain a complete understanding of the EUREPGAP sanctioning process. For the purposes of better understanding, read the following definitions:

Non-Compliance: A EUREPGAP Control Point in the checklist is not fulfilled according to the Compliance Criteria.

Non-Conformance: A EUREPGAP rule that is necessary for obtaining the certificate (such as having 90% of Minor Must Control Points complied with) is infringed.

Three types of non-conformances exist within EUREPGAP, Major, Minor or Contractual. They cover Control Points compliance and Contractual issues, as detailed below:

11.1 Major Must Non-Conformances

11.1.1 Non-Compliance with a “100% Major Must rule”

If a Major Must is detected and verified by the CB as not having been complied with by the Farmer / Farmer Group, who has not put in place suitable corrective actions, **not declared it to customer(s) and CB**, Immediate Complete Suspension of the certificate for a period of up to 6 months is imposed. If the non-compliance of the same Major Must Control Point is found to have been repeated in subsequent audits/inspections, Cancellation of the certificate is imposed.

If a non-compliance of a Major Must is detected at one farmer in a farmer group, the CB must initiate further investigation, and may increase sample size (to a maximum of 4 times the square root of farmers), to determine the seriousness of the non-compliance within the farmer group, and decide accordingly whether the certificate has to be suspended, or if only the one farmer has to be suspended for a period of up to 6 months.

11.1.2 Non-Compliance with a “100% Major Must” following advance notification:

If the certified Farmer / Farmer Group declares a non compliance with a Major Must by communicating it to direct customer(s) and to the CB, before it is **detected externally by the CB**, and puts in place suitable corrective actions to avoid the re-occurrence of this Non-compliance, then an Immediate Partial Suspension of the certificate is imposed, whose extent is agreed with the CB. The extent of this immediate partial suspension can be limited to a clearly identified, traceable part of a crop or product (field, greenhouse, animal or batch) where there is a clear and identifiable traceability system on farm that permits identification of that extent.

11.2 Minor Must Non-Conformances

11.2.1 Non-Compliance with a “90% Minor Must rule”

If more **than 10% of applicable Minor Musts** are not complied with, a Deferred Suspension of certificate is imposed. Where required, corrective action must be

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verified by the CB (by site visit or by other form of documented verification) within a maximum period of 28 calendar days.

11.3 Contractual Non-Conformances

11.3.1 *Minor Contractual Non-Conformance*

Non-compliances of minor issues agreed in the contract between the CB and the Farmer/Farmer Group will lead to a Warning. The time allowed for correction will be agreed by the CB and the Farmer/Farmer Group. The CB will request written evidence of compliance. The maximum Corrective Action submission period that a CB may itself agree will be 28 calendar days.

11.3.2 *Technical Contractual Non-Conformance*

Non-compliance of any of the agreements signed in the contract between the CB and the Farmer/Farmer Group or any issue found during the inspection that leads to technical doubts about the Farmer/Farmer Group's **way of proceeding** will lead to an Immediate Complete Suspension.

Immediate Complete Suspension will be imposed when the Farmer/Farmer Group has not fulfilled the requests of a previous Warning within the date agreed, payment has not been made of the contracted agreements, or when any modifications, changes or adjustments officially announced by EUREPGAP and communicated by the CB to the Farmer/Farmer Group have not been followed.

11.3.3 *Major Contractual Non-Conformance*

Non-compliance of any of the agreements signed in the contract between the CB and the Farmer/Farmer Group **that objectively shows mismanagement** on EUREPGAP related procedures at Farmer/Farmer Group level will lead to Cancellation of the Contract. Bankruptcy of the Farmer/Farmer Group or a change in the legal ownership of the farm sites will lead to a cancellation of the Contract.

12. SANCTIONS

All Certification Bodies (for all Options) and Farmer Groups (for Options 2 and 4) must have in place a penalty procedure based on the sanctions described in this chapter.

Three types of Sanction exist within EUREPGAP: Warning, Suspension and Cancellation. They apply to non-compliances of Control Points and to Contractual issues.

12.1 Warning

12.1.1 *Penalty:*

A time period is given for resolving the cause of the Sanction, after which if the Warning has not yet been lifted, an Immediate Complete Suspension is imposed.

12.1.2 *Duration:*

The time allowed for correction will be agreed between the CB and the Farmer/Farmer Group, up to a maximum corrective action submission period of 28 calendar days from the date of the Warning.

12.2 Suspension

12.2.1 *Penalty:*

The Farmer/Farmer Group will be prevented from using EUREPGAP Logo/Trademark, licence/certificate or any other type of document that has any relation to EUREPGAP, for a certain period of time.

12.2.2 *Duration:*

The period of time will be set by the CB, and will have a maximum validity of 6 months. After this period has expired, sanctions which have not been resolved will result in Cancellation of the certificate and of the contract between the CB and the Farmer/Farmer Group.

12.2.3 *Lifting of Suspension:*

Suspensions will be held until there is written / visual evidence that proves that the non-compliance the suspension originated from has been resolved. The CB will decide to do an announced or unannounced audit/inspection, or increase surveillance, for verification on the Farmer/Farmer Group's expenses.

12.2.4 *Type of Suspension:*

- (i) **deferred:** Sanction procedures will not be enforced until 28 calendar days after the date that the sanction was imposed, to allow time for resolution of the non-compliance the suspension originated from. Once 28 calendar days have elapsed without resolution, the sanction imposed will be an Immediate Complete Suspension.
- (ii) **immediate** (suspension is immediate), which can be either:
 - a. **partial:** Only certain part(s) of the Certified Product(s) scope is/are Suspended.

or

- b. **complete:** The Certificate is withdrawn altogether for a period of time.

12.3 Cancellation

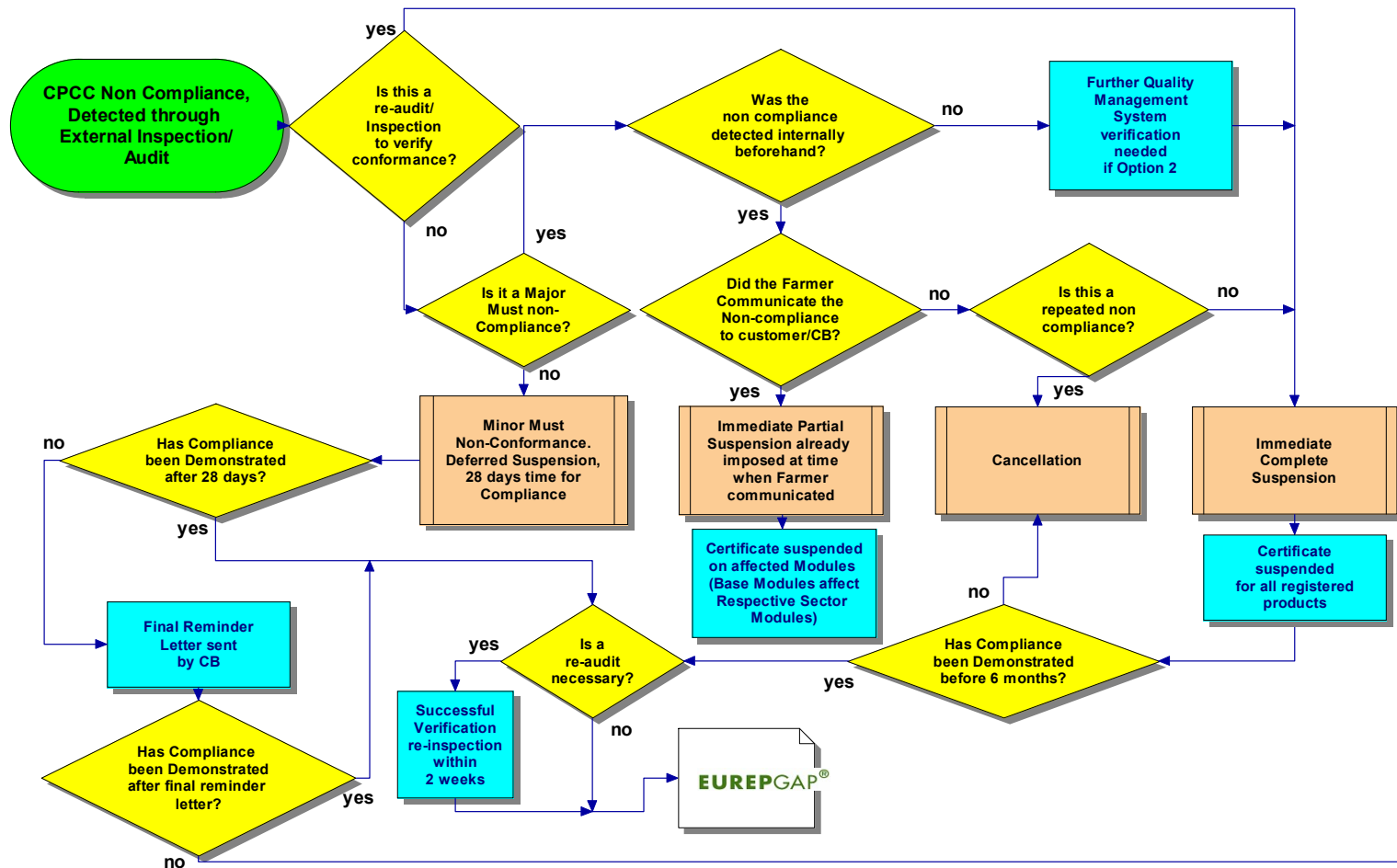
12.3.1 *Penalty:*

Cancellation of the contract will result in the total prohibition of the use of any licence/certificate, Logo/Trademark, device or document that could relate to EUREPGAP.

12.3.2 *Duration:*

A Farmer/Farmer Group that has had the certificate cancelled may not re-submit for certification with EUREPGAP until 12 months after the date of cancellation.

13. SANCTIONS AND NON-COMPLIANCES APPLICATION



14. NOTIFICATION OF SANCTIONS, NON-COMPLIANCES AND APPEALS

14.1 Immediate communication to EUREPGAP

- 14.1.1 All Immediate Suspensions must be immediately communicated to the EUREPGAP Secretariat, forwarding the Registration Number and trademark as well as products sanctioned, by the CB or by the Farmer/Farmer Group.
- 14.1.2 See Annex 9 which sets out the details required for notification of an immediate Suspension.

14.2 Decisions on Warnings and Suspensions

- 14.2.1 Both Warnings and Suspensions will be decided by the CB Certification Committee (or equivalent decision making department).
- 14.2.2 Upon finding that a Farmer or Farmer Group no longer conforms to the EUREPGAP Standard, the Inspector will report this to his CB and to the Certified Farmer or Farmer Group, detailing the non-compliances identified during the inspection. This will lead to immediate or deferred suspension.

14.3 Farmer Resolution of Non-compliances

- 14.3.1 The Certified Farmer or Farmer Group must either resolve the non-conformances communicated or appeal to the CB in writing against the non-conformances, explaining the reasons for the Appeal.
- 14.3.2 Where a deferred suspension has been imposed, if the non-compliances are not resolved within the permitted time scale, the Certified Farmer or Farmer Group will be sent a final reminder by the CB. The final reminder must be answered by the farmer within 7 calendar days, and the CB may give the Farmer a grace period of up to 14 calendar days to satisfactorily demonstrate compliance of the outstanding non-conformance.
- 14.3.3 If the non-conformances are still not resolved after this final reminder, answering time and grace period, which must never exceed 28 days in total, the Certified Farmer or Farmer Group will be immediately suspended.

14.4 Lifting of Immediate Suspension

- 14.4.1 If the Farmer or Farmer Group that has been immediately suspended (either partial or completely) notifies the CB that the non-conformances is compliances are resolved before 6 months have elapsed, the respective suspension will be lifted, subject to satisfactory documentary evidence being provided, or for certain non-compliances conformances subject to a satisfactory re-inspection, to verify compliance.

14.5 Non Conformances still Outstanding after 6 months


- 14.5.1 If after 6 months have passed since the Farmer or Farmer Group was suspended and the suspension has not been lifted, his/her registration and certification will be Cancelled. A fresh application will then be needed if the Farmer or Farmer Group wishes to re-join the scheme, after 12 months have elapsed since the date of cancellation.
- 14.5.2 Suspension /Cancellation of the Farmer/Farmer Group and registration number does not necessarily mean the suspension of the trademark under which the Farmer or Farmer Group has been hitherto selling his products.

14.6 Sanctioning of CBs

- 14.6.1 The EUREPGAP Technical and Standards Committee for *Integrated Aquaculture Assurance* reserves the right to sanction CBs based on evidence of an improper procedure, following the Certification and Licence Agreement signed between the EUREPGAP Approved CB and EUREPGAP. This may include the immediate notification to the responsible Accreditation Body and withdrawal of EUREPGAP approval.

15. HARMONISATION PROCEDURE

- 15.1 EUREPGAP Compliance Criteria interpretation is solely set and decided by the EUREPGAP Technical and Standards Committee for Integrated Aquaculture Assurance and made public only through EUREPGAP official communications (See Appendix 4).
- 15.2 EUREPGAP approved CBs may propose recommendations for consideration by EUREPGAP, by sending it through the CB EUREPGAP Scheme Manager to the EUREPGAP Secretariat, who will in turn address it to the EUREPGAP Technical and Standards Committee for *Integrated Aquaculture Assurance*. This can be done at any time or at the EUREPGAP CB Workshops held for the purpose of maintaining compliance criteria harmonised, and to which the EUREPGAP approved CB is committed to sending a qualified member of staff at least annually.
- 15.3 The EUREPGAP Technical and Standards Committee for *Integrated Aquaculture Assurance* will consider the recommendations proposed and decide whether to incorporate them into the EUREPGAP Control Points and Compliance Criteria or other Normative Document. Only when the recommended criteria have been approved, this information will be made public incorporating it into a new edition of EUREPGAP Control Points and Compliance Criteria or as Technical Guidelines (as set out in 10.3 ii) to the latest approved version, for notification of updates see Annex 11.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Appendix: 1 Page: 27 of 32
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16. APPENDIX 1: REQUIREMENTS FOR EUREPGAP INTEGRATED AQUACULTURE ASSURANCE AUDITOR

16.1 EUREPGAP Species Module Auditor

- (i) Auditors will be able to audit a species module once their qualifications and experience have been verified for each species module scope by the CB as set out below.
- (ii) Where no qualifications are held, the sector module auditor must have achieved certification from a EurepGAP authorised Certification Body that has ISO 17024 accreditation (operating certification systems of persons).

16.2 Formal Qualifications:

16.2.1 Post-high school diploma

- (i) At least a post high school diploma or equivalent (minimum course duration of 2 years) must have been obtained in a discipline related to the sector scope of the certification (Integrated Aquaculture Assurance) such as life sciences.

16.3 Technical Skills and Qualifications:

16.3.1 Lead Assessor training:


- (i) Practical auditing experience (minimum 15 days).
- (ii) Lead Assessor training course based on ISO 19011 principles, that must have a minimum duration of 37 hours, and which must be recognised by one of the Accreditation Bodies as defined in Annex 5, point 5.1.4.
- (iii) Lead Assessor training course must cover: applicable standards on Quality Auditing, Auditing Techniques, focus of the audits (Psychological aspects and communication) and reporting, it must also include a practical case study.

16.3.2 Food Safety and GAP training:

- (i) Passing training provided by the CB on the respective standard
- (ii) Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of Codex Alimentarius.
- (iii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (iv) Basic Veterinary medicine and stockmanship training including animal health and welfare issues.
- (v) A minimum of 2 year's experience gained after finishing academic studies mentioned in point 16.1.1, post-graduate and 3 years overall experience in the sector scope. This shall involve work in the production of Aquaculture sector.

16.3.3 Communication Skills

- (i) English language skills suitable for negotiations and communication with EUREPGAP bodies.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE	Code Ref: IAA 2.1 GR Version: 2.1-June05 Appendix: 1 Page: 28 of 32
	ENGLISH VERSION	

- (ii) “Working language” skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- (iii) Exceptions to this rule must be consulted beforehand with the EUREPGAP Secretariat.

16.4 Key Tasks

16.4.1 EUREPGAP Farmer Group Audits

- (i) Auditing and assessment of the Quality Management System of Farmer Groups for compliance with the EUREPGAP Standard.
- (ii) To produce timely and accurate reports on such audits in accordance with the report format agreed with EUREPGAP.

16.4.2 EUREPGAP Farm Inspections


- (i) Inspection of farms (of either Farmers or Farmer Groups) to assess compliance with the EUREPGAP Standard.
- (ii) To produce timely and accurate reports on such inspections in accordance with the report format agreed with EUREPGAP.

16.4.3 General

- (i) To maintain up to date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- (ii) To keep abreast of developments, issues and legislative changes pertaining to the sectors in which audits are carried out.
- (iii) To carry out any other tasks the CB may assign, outside the scope of EUREPGAP, so long as these activities do not contradict EN45011 / ISO 65 principles or any stipulation set down by EUREPGAP in this General Regulations document.

16.4.4 Independence and Confidentiality

- (i) Auditors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not carry out consultancy or training activities for the Farmer or Farmer Groups on whom they perform audits.
- (ii) Auditors must strictly observe the Company’s procedures to maintain the confidentiality of information and records.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June 05 Appendix: 2 Page: 29 of 32
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17. APPENDIX 2: REQUIREMENTS FOR EUREPGAP INTEGRATED AQUACULTURE ASSURANCE INSPECTOR

17.1 EUREPGAP Species Module Inspector

- (i) Inspectors will be able to inspect a species module once their qualifications and experience have been verified for each species module scope by the CB as set out below.
- (ii) Where no qualifications are held, the sector module auditor must have achieved certification from a EurepGAP authorised Certification Body that has ISO 17024 accreditation (operating certification systems of persons).

17.2 Formal Qualifications:

17.2.1 Post-high school diploma

- (i) A least a post high school diploma or equivalent (minimum course duration of 2 years) must have been obtained in a discipline related to the sector scope of the certification (Integrated Aquaculture Assurance) such as life sciences.

17.3 Technical Skills and Qualifications:

17.3.1 Auditor training:


- (i) 1 day Practical inspection course setting out basic principles of inspection.

17.3.2 Food Safety and GAP training:

- (i) Passing training provided by the CB on the respective standard
- (ii) Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of Codex Alimentarius.
- (iii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (iv) Basic Veterinary medicine and stockmanship training including animal health and welfare issues.
- (v) A minimum of 2 years 's experience gained after finishing academic studies mentioned in point 17.1.1, and 3 years overall experience the sector scope. This shall involve work in the production of Aquaculture sector.

17.3.3 Communication Skills

- (i) Working language skills in the corresponding native/working language. This must include the locally-used specialist terminology in this working language.
- (ii) Exceptions to this rule must be consulted beforehand with the EUREPGAP Secretariat.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE	Code Ref: IAA 2.1 GR Version: 2.1-June 05 Appendix: 2 Page: 30 of 32
	ENGLISH VERSION	

17.4 Key Tasks

17.4.1 *EUREPGAP Farm Inspections*

- (i) Inspection of farms (of either Farmers or Farmer Groups) to assess compliance with the EUREPGAP Standard.
- (ii) To produce timely and accurate reports on such inspections in accordance with the report format agreed with EUREPGAP

17.4.2 *General*

- (i) To maintain up to date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- (ii) To keep abreast of developments, issues and legislative changes pertaining to the sectors in which audits are carried out.
- (iii) To carry out any other tasks the CB may assign, outside the scope of EUREPGAP, so long as these activities do not contradict EN45011 / ISO 65 or any stipulation set down by EUREPGAP in this General Regulations Document.

17.4.3 *Independence and Confidentiality*

- (i) Inspectors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not carry out consultancy or training activities for the Farmer or Farmer Groups on whom they perform audits.
- (ii) Inspectors must strictly observe the Company's procedures to maintain the confidentiality of information and records.

EUREPGAP®	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Appendix: 3 Page: 31 of 32
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18. APPENDIX 3: REQUIREMENTS FOR INTERNAL FARMER GROUP INSPECTOR

18.1 Formal Qualifications:

18.1.1 Post-high school diploma

- (i) A least a post high school diploma or equivalent (minimum course duration of 2 years) must have been obtained in a discipline related to the sector scope of the certification (Integrated Aquaculture Assurance) such as life sciences.
- (ii) Where no qualifications are held, the internal farmer group inspector must have undergone a competence evaluation set by the CB, that involves an interview that verifies experience of at least 5 years and practical knowledge in the respective sector, inspection attitude, and must have undergone training in the standard, as well as a minimum of 2 witness inspections must be performed in the respective sector. These requirements are additional to those set out below in the Technical skills and Qualifications.

18.2 Technical Skills and Qualifications:

18.2.1 Auditor training:


- (i) 1 day Practical inspector course setting out basic principles of inspection/auditing.

18.2.2 Food Safety and GAP training:

- (i) Passing training provided by the CB on the respective standard
- (ii) Training in HACCP principles either as part of formal qualifications or by the successful completion of a formal course based on the principles of Codex Alimentarius.
- (iii) Food hygiene training either as part of formal qualifications or by the successful completion of a formal course.
- (iv) Basic Veterinary medicine and stockmanship training including animal health and welfare issues.
- (v) A minimum of 1 year's experience gained after finishing academic studies mentioned in point 18.1.1. This shall involve work in the production of Aquaculture sector.

18.2.3 Communication Skills

- (i) Working language skills in the corresponding native/working language. This must include the locally-used specialist terminology in this working language.
- (ii) Exceptions to this rule must be consulted beforehand with the EUREPGAP Secretariat.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Appendix: 4 Page: 32 of 32
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19. APPENDIX 4: CERTIFICATE CONTENTS


19.1 The EUREPGAP Certificate shall contain the following information:

19.1.1 Basic Information

- (i) EUREPGAP Logo (only once the issuing CB has been accredited)
- (ii) Issuing CB and CB Logo
- (iii) Name and/or logo of Accreditation Body of issuing CB
- (iv) Trading Name (not trademark), Name and address of Certificate holder
- (v) Name and address of Farm(s) Certified. Where the certificate is of a Farmer Group, an appendix will form part of the Certificate which will detail all the farms covered within the Farmer Group.
- (vi) EUREPGAP registration number
- (vii) Certificate number

19.1.2 Scope of EUREPGAP Certificate

- (i) Product scope (*Integrated Aquaculture Assurance*),
- (ii) Product scope (as in EUREPGAP list, see Annex 7)
- (iii) *EUREPGAP Integrated Aquaculture Assurance Version 2.1 June 2005 (or later version of the CPCC Integrated Aquaculture Assurance that compliance has been verified to).*
- (iv) *EUREPGAP Chain of Custody for IAA scope (if appropriate)*
- (v) Date of First Certification
- (vi) Date of Certificate issue (last update)
- (vii) Statement: "This certificate is valid until suspended or cancelled, through sanction or non-re-registration, please check status of this certificate with EUREPGAP. www.eurep.org

	<p style="text-align: center;">GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE</p> <p style="text-align: center;">ENGLISH VERSION</p>	<p>Code Ref: IAA 2.1 GR Version: 2.1-June05; Annex: 1; A1-0 Page: 1 of 2</p>
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1. ANNEX 1: TRADEMARK, LOGO AND REGISTRATION N° USE

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)

The EUREPGAP trademark, logo and/or registration number as defined in this document may never appear on the product, consumer packaging of the product, or at the point of sale.

1.1 EUREPGAP Trademark

The EUREPGAP Trademark is the word “EUREPGAP” in capitals, black colour Arial Font with no text effects (no bold, italics or underlining) and maximum height of 10 millimetres.

The use of EUREPGAP Trademark can be used until the next-to-last package for final consumer. This rule applies only to EUREPGAP certified product under the Integrated Aquaculture Assurance Standard plus the Chain of Custody for this same scope. No EUREPGAP Trademark can be used on package for final consumer.

1.2 EUREPGAP Logo

1.2.1 Specifications

The EUREPGAP logo must always be obtained from EUREPGAP, this will ensure that it contains the exact corporate colour and format, as below:



1.2.2 Use of EUREPGAP logo

The EUREPGAP Secretariat makes use of the EUREPGAP Logo, and licences its restricted use to the following organisations:

- (i) EUREPGAP Associate, Retailer and Supplier Members, who may use it only in relation to membership claims and only in business to business communication,
- (ii) Accredited EUREPGAP Approved Certification Bodies, for promotion of their Accredited EUREPGAP Certification activities in business to business communication and on the Accredited EUREPGAP Certificates issued by them.
- (iii) Any other organisation, based on individual agreements, such as EUREPGAP approved Trainers, publications, etc.


1.3 EUREPGAP Registration N°

1.3.1 Specifications

- (i) The EUREPGAP trademark (see point 1.1 of this Annex), followed by a space and then the designated Certification Body name (in its short form as agreed between the CB and the EUREPGAP Secretariat: “CB Short name”), followed by a space, followed by the Registration number of the Farmer or Farmer Group, as issued by the Certification Body.

1.3.2 Examples:

- (i) “EUREPGAP Cert 12345-12”

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05; Annex: 1; A1-0 Page: 2 of 2
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- (ii) "EUREPGAP Cert 123-FR-01"


1.3.3 Explanation:

"EUREPGAP[SPACE][CB Short name as in Agreement between EUREPGAP Secretariat and CB][SPACE][Reg. N° as assigned by CB, in alphanumeric format, without any spaces]"
Further variations of usage can be agreed upon with EUREPGAP Secretariat.

1.3.4 Use of EUREPGAP Registration Number

The use of the full EUREPGAP Registration N° with reference to the Certified product and/or the certified organisation is restricted to holders of accredited EUREPGAP Certificates, which can only appear on the following items:

- (i) Accredited Certificates and copies.
- (ii) Business to business communication.
- (iii) Pallets that only contain accredited EUREPGAP certified products, may in addition to the full EUREPGAP reg. N°, have a separate EUREPGAP Trademark sign to a maximum height of 100 millimetres (all other trademark conditions must be as set out in point 1.1 of this annex) only when by nature of the label or the material that it is fixed to there is no possibility that it will appear at the point of sale.
- (iv) Boxes or crates or other non-retail consumer packaging, only where the holders of an accredited EUREPGAP Certificate sells the product to another EUREPGAP Certificate holder.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 2; A2-0 Page: 1 of 6
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2. ANNEX 2: FARMER GROUP (Option 2) QUALITY MANAGEMENT SYSTEMS

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)

2.1 Administration and Structure

2.1.1 Legality

There shall be documentation which clearly demonstrates that the applicant Farmer Group is a legal entity.

2.1.2 Structure:

The administrative structure of the Farmer Group shall be documented and clearly identify the relationship between the Farms/Farmers and the Farmer Group

2.1.3 Contractual Documentation

There shall be written signed contracts between each Farmer/Farm and the Farmer Group. The contracts shall include the following elements:


- (i) Name or fiscal identification of the Farmer/Farm
- (ii) Contact address
- (iii) Individual farm location
- (iv) Commitment to comply with the requirements of the EUREPGAP standard
- (v) Agreement to comply with the Farmer Group documented procedures, policies and where provided, technical advice.
- (vi) Sanctions which may be applied in case of EUREPGAP requirements not being met.

2.1.4 Farmer Register

A register shall be maintained of all EUREPGAP Farmers/Farms included within the Farmer Group scheme and of all sites used for production in accordance with the EUREPGAP standard.

The register shall contain the following information for each Farmer/Farm:

- (i) Name or fiscal identification of the Farmer/Farm and site
- (ii) Contact address
- (iii) Individual farm and site location
- (iv) Registered product (species/subspecies) produced at the registered production sites.
- (v) Rearing area for each registered product
- (vi) Internal audit date
- (vii) Current EUREPGAP status

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 2; A2-0 Page: 2 of 6
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2.2 Management and Organisation

2.2.1 Structure

The Farmer Group shall have a management structure and sufficient suitably trained resources to effectively ensure that the requirements of EUREPGAP are met by the registered farms. The organisational structure of the Farmer Group shall be documented and shall include:

- (i) EUREPGAP Management Representative
- (ii) Internal Audit individual/department
- (iii) Livestock Technical individual/department
- (iv) Quality Systems Management individual/department

2.2.2 Responsibility and duties


The duties and responsibilities of all personnel involved with the EUREPGAP Quality system shall be documented, and there shall be a nominated individual with sufficient seniority and resources with overall responsibility for maintenance of the EUREPGAP system.

2.3 Competency and Training of Staff

- 2.3.1 The Farmer Group shall ensure that all personnel with responsibility for compliance with the EUREPGAP standard are adequately trained and meet defined competency requirements.
- 2.3.2 The competency requirements, training and qualifications for key staff shall be documented and shall meet any defined competency requirements laid out in the EUREPGAP standard.
- 2.3.3 Records of qualifications and training shall be maintained for all key staff to demonstrate competence.
- 2.3.4 Where more than one internal auditor is used there shall be a program of training and evaluation of the internal auditors e.g. by shadow audits to ensure consistency of standards and approach.
- 2.3.5 Systems shall be in place to demonstrate that key staff is informed and aware of developments, issues and legislative changes relevant to the operation of the EUREPGAP standard.

2.4 Quality Manual

- 2.4.1 The operating and quality management systems related to the EUREPGAP standard shall be documented and contained in a Quality Manual(s).
- 2.4.2 Policies and procedures shall be sufficiently detailed to demonstrate the Farmer Group's control of the principal requirements of the EUREPGAP standard.
- 2.4.3 Relevant procedures and policies shall be available to registered members and key staff.
- 2.4.4 The contents of the Quality Manual shall be reviewed periodically to ensure that this continues to meet the requirements of the EUREPGAP standard and Farmer Group.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 2; A2-0 Page: 3 of 6
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2.5 Document Control

2.5.1 *Quality Management System Documents:*

All documentation relevant to the operation of the Quality Management System for EUREPGAP shall be adequately controlled. This shall include:


- (i) The Quality Manual
- (ii) EUREPGAP Operating Procedures
- (iii) Work instructions
- (iv) Recording forms
- (v) External standards e.g. the EUREPGAP Standard.

2.5.2 *Quality Management System document control requirements:*

- (i) There shall be a written procedure defining the control of documents.
- (ii) All documentation shall be reviewed and approved by authorised personnel before issue and distribution.
- (iii) All controlled documents shall be identified with an issue number, issue date/review date and be appropriately paged.
- (iv) Any change in these documents shall be reviewed and approved by authorised personnel prior to its distribution. Wherever possible an explanation of the reason and nature of the changes should be identified.
- (v) A copy of all relevant documentation shall be available at any place where the Quality Management System is being controlled.
- (vi) There shall be a system that ensures that documentation is reviewed and that following the issue of new documents, obsolete documents are effectively rescinded.

2.6 Records

- 2.6.1 The Farmer Group shall maintain records to demonstrate effective control of the EUREPGAP quality management system and compliance with the requirements of the EUREPGAP standard.
- 2.6.2 Records related to the EUREPGAP Quality systems shall be kept for a minimum of 2 years.
- 2.6.3 Records shall be genuine, legible, stored and maintained in suitable conditions and shall be accessible for inspection as required.
- 2.6.4 Records that are kept on-line or electronically, must be available during the inspections. Back-ups must be available at all times.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 2; A2-0 Page: 4 of 6
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2.7 Complaint Handling

- 2.7.1 The Farmer Group shall have a system for effectively managing customer complaints.
- 2.7.2 There shall be a documented procedure which describes how complaints are received, registered, identified, investigated, followed up and reviewed.
- 2.7.3 The procedure shall be available to customers as required.
- 2.7.4 The procedure shall cover both complaints to the Farmer Group and against individual Farmers and/or applicable Farms sites.

2.8 Internal Audit/Inspection

Internal audit systems shall be in place both to assess the adequacy and compliance of the documented quality system and to inspect farmers/Farms against the EUREPGAP standard.

2.8.1 Quality Systems Audit


- (i) The quality management system for the EUREPGAP scheme shall be audited at least annually.
- (ii) Internal Auditors shall be suitably trained and independent of the area being audited.
- (iii) Records of the internal audit plan, audit findings and follow up of corrective actions resulting from an audit shall be maintained and available.

2.8.2 Farmers/Farms Inspection

- (i) Inspections shall be carried out of each registered Farmer/Farm at least once per year against the EUREPGAP Control Points and Compliance Criteria, based on the EUREPGAP checklist. All Control Points within the must be inspected in full.
- (ii) There shall be a process for the review of the inspection reports and Farmers/Farms status.
- (iii) New members of the Farmer Group must always be inspected prior by the Farmer Group as part of the conditions for adding new members to the EUREPGAP registered farmer list.
- (iv) The original inspection reports and notes shall be maintained and be available for inspection as required.

The inspection report shall contain the following information:

- a. Identification of registered Farmer
- b. Signature of auditee (registered member)
- c. Date
- d. Inspector
- e. Registered products
- f. Evaluation result against each EUREPGAP Control point
- g. Details of any Non-compliances identified
- h. EUREPGAP status.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 2; A2-0 Page: 5 of 6
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2.8.3 Internal Inspector Requirements

- (i) Internal Inspectors shall meet the EUREPGAP Internal Farmer Group Inspector requirements as defined in appendix 3 of the General Regulations.
- (ii) Independence of internal inspector means that the inspector is able to take ultimate independent decisions regarding the compliance of the member farms/farmers within the Farmer Group, based on the internal inspection process and conclusions.

2.8.4 Non-Compliances and Corrective Action Systems

- (i) There shall be a procedure to handle non-compliances and corrective actions which may result from internal or external audits and/or inspections, customer complaints or failures of the Quality System.
- (ii) There shall be documented procedures for the identification and evaluation of non-compliances to the Quality System or operations.
- (iii) Corrective actions following a non-compliance shall be evaluated and a timescale defined for action.
- (iv) Responsibility for implementing and resolving corrective actions shall be defined.

2.9 Product Traceability and Segregation

- 2.9.1 Product meeting the requirements of the EUREPGAP standard and marketed as such shall be traceable and handled in a manner which prevents mixing with non-EUREPGAP approved products.
- 2.9.2 There shall be a documented procedure for the identification of registered products and to enable traceability of all product, both conforming and non-conforming product. A mass balance exercise must be carried out to demonstrate compliance.
- 2.9.3 Effective systems and procedures shall be in place to negate any risk of mislabelling or mixing of EUREPGAP registered and non- EUREPGAP approved products.

2.10 Sanctions and Non-Conformances

- 2.10.1 The Farmer Group shall operate a system of sanctions and non-conformances with their Farmers/Farms which meet the requirements defined in the EUREPGAP General Regulations.
- 2.10.2 Contracts with individual Farmers/Farms shall define the procedure for sanctions including the levels of Warning, Suspension and Cancellation.
- 2.10.3 The Farmer Group shall have mechanisms in place to notify the EUREPGAP approved Certification Body immediately of Suspensions or Cancellations of registered Farmers/Farms.
- 2.10.4 Records shall be maintained of all sanctions including evidence of subsequent corrective actions and decision making processes.

EUREPGAP [®]	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 2; A2-0 Page: 6 of 6
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2.11 Withdrawal of Certified Product


- 2.11.1 Documented procedures should be in place to effectively manage the withdrawal of registered products should this be required.
- 2.11.2 Procedures should identify the types of event which may result in a withdrawal, persons responsible for taking decisions on the possible withdrawal of product, the mechanism for notifying customers and the EUREPGAP approved Certification Body; methods of reconciling stock.
- 2.11.3 The procedure should be capable of being operated at any time.
- 2.11.4 The procedure should be tested in an appropriate manner at least annually to ensure that it is effective and records of the test retained.

2.12 Use of the EUREPGAP Trademark

- 2.12.1 Use of the EUREPGAP trademark on products shall be demonstrated to be under the controls of the Farmer Group and be in accordance with the EUREPGAP scheme requirements.
- 2.12.2 Where the EUREPGAP trademark logo is to be used on registered products there shall be a written procedure defining the conditions of use in accordance with the EUREPGAP General Regulations and any EUREPGAP approved Certification Body regulations on certification which may apply.
- 2.12.3 The use of the EUREPGAP trademark shall be controlled and a register maintained of the certified products, Farmers/Farms and trade names using the EUREPGAP trademark logo.
- 2.12.4 The use of the EUREPGAP trademark must follow stipulations set out in Annex 1 of these General Regulations at all times.

2.13 Subcontractors

- 2.13.1 Procedures shall exist to ensure that any services subcontracted to third parties are carried out in accordance with the requirements of the EUREPGAP standard. (Refer to Annex 4).
- 2.13.2 Records shall be maintained to demonstrate that the competency of any subcontractor is assessed and meets the requirements of the standard.
- 2.13.3 Subcontractors shall work in accordance with the Farmer Group Quality System and relevant procedures and this shall be specified in service level agreements or contracts.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 3; A3-0 Page: 1 of 4
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3. ANNEX 3: GUIDELINE FOR EVALUATION OF QUALITY MANAGEMENT SYSTEMS IN FARMER GROUPS (OPTION 2)

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)

3.1 Introduction

- 3.1.1 This document describes the systems and standards that shall be met by Farmer Groups in order to fulfil the requirements of Option 2 of the EUREPGAP standard for *Integrated Aquaculture Assurance*. This guideline must be followed by CBs performing external verification.
- 3.1.2 This document is based on the requirements for Farmer Groups seeking a certificate under Option 2 (as laid out in the EUREPGAP General Regulations and EN45011 / ISO Guide 65) which must be met by EUREPGAP approved CBs.

3.2 Scope

- 3.2.1 This Option 2 guideline document covers all documentation, sites, personnel and operations which are declared by the Farmer Group to be relevant and pertinent to the setting up and administration of the EUREPGAP Option 2 system.
- 3.2.2 The evaluation process will by necessity involve a sampling of these components to assess compliance with the standard and enable certification.


3.3 Evaluation Process

- 3.3.1 The evaluation process is designed to establish that the Farmer Group Quality systems and administrative structure meets the criteria for Option 2 and that the internal audits of Farmers/Farms meet the requirements for competency, independence and accuracy.
- 3.3.2 The evaluation process is therefore in two elements
 - (i) Audit of the Farmer Group Quality Management System.
 - (ii) Inspection of a sample of registered members.

3.4 Farmer Group Quality Management System Audit

- 3.4.1 The Quality audit or "System Check" will be undertaken at the central office of the Farmer Group or administrative centre for the Farmer Group scheme.
- 3.4.2 The audit will be undertaken using this Guideline.
- 3.4.3 The evaluation process will take one or more days and will include:
 - (i) Opening Meeting with Management
 - (ii) Review of all relevant documentation.
 - (iii) Evaluation of records.
 - (iv) Review of internal audits conducted on registered members.
 - (v) Discussions / interviews with key staff.
 - (vi) Closing Meeting including review of any non-compliances identified.

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	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 3; A3-0 Page: 2 of 4

3.5 Inspection of Registered Members


- 3.5.1 A sample of approved registered members will be inspected against all the Control Points of the applicable modules in the EUREPGAP Checklist.
- 3.5.2 The sample size will be determined by the type of products registered, result of the audit of the Quality Management System and the size of the Farmers/Farms.
- 3.5.3 A minimum inspection sample size will be based on the square root of the number of registered Farmers/Farms that have been registered.
- 3.5.4 Sample size calculation shall be based on the numbers of registered Farmers/Farms separated into each Product type.
- 3.5.5 Certification Bodies can at their discretion and based on justifiable criteria increase the verification rate up to a maximum of 4 times the square root of total numbers of registered Farmers/Farms.
- 3.5.6 The sample size will be confirmed on completion of the Quality Management Systems audit.

3.6 Audit and Inspection Frequency

- 3.6.1 Farmer Group Quality Management System Audits and Inspection of a sample of Farmers/Farms will be carried out annually.
- 3.6.2 The granting CB (or its subcontracted agent, refer to Annex 5) will carry out an additional minimum of 10% unannounced inspections per annum among all certified Farmers it has registered under Option 2. Rules for sampling the farms to be inspected in this way within the selected farmer groups are as set out in point 3.5 of this annex.

3.7 Non-Compliances

- 3.7.1 Any non-compliance identified during the evaluation will be discussed during the evaluation and documented at the end of the audit day.
- 3.7.2 Any non-compliance which show deliberate mismanagement of EUREPGAP related procedures will result in Immediate Complete Suspension of a certificate and notification to EUREPGAP Secretariat.
- 3.7.3 All non-compliances against the Quality Management System shall be resolved before a certificate can be issued to the Farmer Group. Satisfactory corrective actions must be completed to achieve approval level for any individual Farmers/Farms before the Farmers/Farms can be included on an approved list.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 3; A3-0 Page: 3 of 4
	ENGLISH VERSION	

3.8 Corrective Actions


- 3.8.1 Evidence of the resolution of non-compliances can be provided in the form of documentary evidence or photographic evidence as appropriate.
- 3.8.2 There may be occasions where demonstration of the resolution of a non-compliance can only be confirmed by a further site visit and where this is required a charge may result.
- 3.8.3 All corrective actions will be assessed, with clarification provided to show whether the action taken and evidence provided is sufficient to close the non-compliance.

3.9 Reports

- 3.9.1 At the end of each evaluation day any non-compliances identified will be summarised and confirmed in writing to allow corrective action to be implemented.
- 3.9.2 On completion of the full evaluation process a full written report will be produced which summarises the evaluation activity undertaken, provides information on how the Farmer Group complies with the requirements of the standard, and where applicable, lists any non-compliances identified.
- 3.9.3 The evaluation report format will be according to EN45011 / ISO Guide 65 and in a style which meets any particular customer's requirements. The evaluation report will form the basis by which a decision can be made on the award of a certificate to the Farmer Group.
- 3.9.4 A copy of the evaluation report will be provided to the Farmer Group (within 28 calendar days of completion of the evaluation process, which ends once all corrective actions have been received). Copies will only be provided to other parties if express written authorisation is provided by the Farmer Group.


3.10 Certification

- 3.10.1 Certificates of compliance to the EUREPGAP Option 2 standards are issued under the authority of the Certification Committee of the EUREPGAP approved Certification Body. A list of all sites to which the certificate relates shall be issued in an appendix referred to in the certificate, and this list of sites shall be kept up to date by the CB.
- 3.10.2 The decision to award a certificate is taken following a review of the evaluation report, any documentary corrective actions or follow up evaluation results undertaken to sign out deficiencies. The decision to award a certificate will be taken within 28 calendar days of completion of the evaluation process, (which ends once all corrective actions have been received), and will be notified in writing to the Farmer Group.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 3; A3-0 Page: 4 of 4
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3.11 Registration of Additional Farmers/Farms within the Farmer Group


- 3.11.1 New Farmers/Farms may be added (subject to internal approval procedures being met) to the list of registered Farmers/Farms during the period of validity of the Certificate. It is the responsibility of the Farmer Group to immediately update the CB on any addition or withdrawal of sites to/from the list of registered Farmers/Farms.
- 3.11.2 Up to 10% of new Farmers/Farms in one year may be added to the approved list by registering the Farmers/Farms with the EUREPGAP approved Certification Body without necessarily resorting to further verification by the EUREPGAP approved Certification Body.
- 3.11.3 Should the number of approved registered Farmers/Farms be increased by more than 10% in one year, further sample Farmers/Farms inspections (of the newly added farms/farmers) and/or a review of the Quality Management Systems must be required during that year for additional Farmers/Farms can be added to the approved list.
- 3.11.4 Regardless of the percentage by which the number of approved registered Farmers/Farms increases in one year, should the newly registered Farmers/Farms approved increase the area or number of livestock of previously approved registered *Products* by more than 10% in one year, further sample Farmers/Farms inspections (of the newly added farms/farmers) and/or a review of the Quality Management Systems must be required during that year for additional farms can be added to the approved list.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: : IAA 2.1 GR Version: 2.1-June05 Annex: 4; A4-0 Page: 1 of 1
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4. ANNEX 4: SUBCONTRACTORS

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)

- 4.1 Within the EUREPGAP context, subcontractors are those organisations/individuals contracted by the Farmer/Farmer Group to carry out specific tasks that are covered in the EUREPGAP Control Points and Compliance Criteria.
- 4.2 Subcontractors must be submitted to the same internal and external inspections that the Farmer/Farmer Group is, for those Control Points which apply to the tasks performed by them.
- 4.3 The subcontractor should be made aware by the Farmer/Farmer Group of the need for Compliance with EUREPGAP Control Points and Compliance Criteria.
- 4.4 The Farmer/Farmer Group is responsible for observance of the EUREPGAP Control Points applicable to the tasks performed by the Subcontractor.


	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 5; A5-0 Page: 1 of 3
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5. ANNEX 5: APPROVED EUREPGAP CB REQUIREMENTS

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)


5.1 CB Approval by EUREPGAP:

- 5.1.1 CBs must have sent an Application Form and had it approved by EUREPGAP.
- 5.1.2 The EUREPGAP Certification and Licence Agreement must have been signed.
- 5.1.3 CBs must have applied to an Accreditation Body for EN 45011 or ISO 65 to the relevant EUREPGAP Scope(s) or the relevant Benchmarked Scheme scope(s) within 28 calendar days of signing the EUREPGAP Certification and Licence Agreement, if they are not already accredited to the scope of EUREPGAP.
- 5.1.4 The Accreditation Body to which the CB applies must be part of either the European Accreditation (EA) multilateral agreement (MLA) on Product Certification, or members of International Accreditation Forum (IAF) which have been subject to a peer evaluation in the product certification field and have a positive recommendation in its report.
- 5.1.5 CBs must have obtained Accreditation within the set timeframe, which is set currently at 12 months after the date of application. This period can be extended for an additional time span if justified reasons that are acceptable to EUREPGAP are given by the CB explaining the delay.
- 5.1.6 Once Accreditation has been obtained, the CB must send a copy of the Accreditation certificate to EUREPGAP, stating clearly the extent of the accreditation scope(s).
- 5.1.7 CB must have sent a qualified inspector or auditor of the EUREPGAP scheme evaluation team to the annual compulsory EUREPGAP CB Workshop.
- 5.1.8 Registration fee must have been paid. There is a period of 60 days grace to pay the CB registration fee to EUREPGAP.
- 5.1.9 In order to grant a certificate with EUREPGAP Logo, the CB must be accredited to EN 45011 or ISO 65 with EUREPGAP Scope.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 5; A5-0 Page: 2 of 3
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5.2 CB Operational Requirements:

- 5.2.1 All the points described in the General Regulations document **MUST** be accepted and included in the relevant operational document of the CB for EN 45011 / ISO 65 EUREPGAP Certification, and be available for Accreditation Body evaluation (EN 45010 / ISO 61). Any Certification Body wishing to start granting EUREPGAP licences/certificates must comply with the requirements according to point 1 of this Annex.
- 5.2.2 The CB must include the requirement for following General or Specific Guidelines issued by EUREPGAP Technical Standards Committee for *Integrated Aquaculture Assurance* into its Certification System procedures pertaining to EUREPGAP Certification. (see point 6.8 of this EUREPGAP General Regulations *Integrated Aquaculture Assurance* Document).
- 5.2.3 EUREPGAP certification granting procedure must be clearly identified in the CB operational documentation, and must follow the EUREPGAP General Regulations, starting in the first place with Registration of the Applicant.
- 5.2.4 Each CB will be responsible for the information filed; documentation must be made available to EUREPGAP on request.
- 5.2.5 Every Certification Body approved by EUREPGAP Secretariat will nominate a contact person, called “EUREPGAP Scheme Manager”, who will be the representative of the CB before EUREPGAP Secretariat. This person must be committed to assist to the harmonisation activities performed by EUREPGAP Secretariat. This person will be responsible for returning to EUREPGAP Secretariat the requested signed reception of the latest approved copy of any communication requiring written receipt. The Scheme Manager is not necessarily auditor qualified, but must at least qualify as a EUREPGAP Inspector.
- 5.2.6 The person who makes the Certification decision or at least one member of the Certification Committee shall comply with the Auditor qualifications as set out in Appendix 1.
- 5.2.7 When a Farmer / Farmer Group that has previously had a EUREPGAP Registration N° applies for registration the CB must act according to the EUREPGAP procedure for *Transfer and/or Certification Status Recognition* between CBs, annex 6.
- 5.2.8 The CB is responsible for communicating updates, date of first application and grace period of any new EUREPGAP Versions of Normative Documents and any Edition Updates issued by EUREPGAP to their EUREPGAP registered Farmers/Farms.
- 5.2.9 There is a provision by EUREPGAP Secretariat to allow CBs that are not yet accredited to issue a limited number of non-accredited certificates during the application phase for accreditation. The maximum number of non-accredited certificates that the applicant CB may issue for Option 1 and Option 2 is 20, unless an increase is approved on an individual basis by the EUREPGAP TSC *Integrated Aquaculture Assurance*.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 5; A5-0 Page: 3 of 3
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5.3 CB Data Communication Requirements

CB must comply with requirements of data communication to EUREPGAP including the following:


- 5.3.1 The CB shall, on a monthly basis, update EUREPGAP on changes in Registration data, using the latest Master data format supplied by EUREPGAP.
- 5.3.2 Immediate communication by the CB (within 48 hours) of suspensions and cancellations as detailed in the sanctions procedure (using the format set out in Annex 9 of this document) and immediate (within 48 hours) electronic update (online) by the CB.
- 5.3.3 Annual statistics data covering aggregate information on non-compliances (*Mayor Must, Minor Must and Recommendations*). This information will be set out in a table stating compliance per control point, country and registered product(s).
- 5.3.4 CBs assume responsibility and liability on accuracy of registration data submitted by them.

5.4 CB Communication with EUREPGAP Certification Clients

- 5.4.1 CB must comply with communication requirements to clients seeking EUREPGAP certification within the following notice times:
 - (i) Registration receipt within 14 calendar days
 - (ii) First certification confirmation within 28 calendar days of completion of evaluation process
- 5.4.2 Farm inspections can only be subcontracted to an inspection body that must be ISO/IEC 17020:2004 accredited.
- 5.4.3 External auditor and inspector qualification: See Appendices 1 & 2 respectively.

5.5 Independence, Impartiality, Confidentiality and Integrity of CB:

- 5.5.1 In accordance with EN 45011 / ISO Guide 65, the EUREPGAP approved Certification Body must be structured to ensure **separation of activities** which could cause a conflict of interest. All Certification Body personnel must operate to high levels of professional integrity, be free from commercial, financial or other pressures, which might affect their judgment and are expressly forbidden from promoting any goods or services during evaluation activities.
- 5.5.2 **Confidentiality:** Information relating to the Applicant Farmer or Farmer Group including details of products and processes, evaluation reports and associated documentation will be treated as confidential (unless otherwise required by law). No information is released to third parties without the prior written consent of the Applicant unless stated otherwise in this document.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 6; A6-0 Page: 1 of 2
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6. ANNEX 6: TRANSFER AND CERTIFICATION STATUS RECOGNITION BETWEEN CBs

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)

6.1 Introduction

- 6.1.1 This annex provides guidance on the transfer of EUREPGAP certificates between CBs working with EUREPGAP.
- 6.1.2 The objective of this guidance is to assure the maintenance of the integrity of EUREPGAP certificates issued by one CB if subsequently transferred to another CB (defined as "Transfer between CB's").
- 6.1.3 The guidance states minimum requirements for the transfer of certificates. CBs may implement procedures or actions which are more stringent than those contained herein, provided that an organisations freedom to choose a CB is not unduly or unfairly constrained.

6.2 Transfer and/or Certification Status Recognition of Certification.

The transfer *and certification status recognition* of CB is defined as the recognition of an existing and valid EUREPGAP certificate, granted by one EUREPGAP Approved CB [hereinafter referred to as the "issuing CB"] by another EUREPGAP Approved CB [hereinafter referred to as the "accepting CB"] for the purpose of issuing its own Certification.


6.3 Minimum requirements

Accepting CBs must be accredited to the EUREPGAP *Integrated Aquaculture Assurance* scope.

6.4 Pre- Transfer and/or Certification Status Recognition Review


A competent person from the accepting CB shall carry out a review of the certification of the prospective client. This review should be conducted by means of both a paper enquiry and, normally a visit to the prospective client. The review should cover the following aspects:

- (i) Confirmation that the client's certified activities fall within the accredited scope of the accepting CB.
- (ii) The reason for seeking a transfer *or Certification Status Recognition*.
- (iii) That a valid EUREPGAP certificate, in terms of authenticity, duration, and scope of activities covered by EUREPGAP, is held in respect of the site or sites wishing to transfer *or have their Certification Status recognised*. If practical, the validity of and the status of outstanding nonconformities should be verified with the issuing CB unless it has ceased trading.
- (iv) A consideration of the last evaluation/re-evaluation reports, subsequent surveillance reports and any outstanding nonconformities arising. This consideration should also include any other available, relevant documentation regarding the certification process i.e. handwritten notes, checklists.
- (v) Complaints received and action taken.
- (vi) The stage in the current certification cycle. See point 6.5.4 of this annex.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 6; A6-0 Page: 2 of 2
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6.5 Certification

- 6.5.1 Transfer should normally only be of a current valid certificate but, in the case of a certificate issued by a CB that has ceased trading, or that has had its EUREPGAP Approval withdrawn, the accepting CB may, at its discretion, consider such a certificate for transfer on the basis described in this guidance.
- 6.5.2 Certificates which are known to have been suspended or to be under threat of suspension should not be accepted for transfer.
- 6.5.3 Outstanding non-compliances should be closed out, if practical, with the issuing CB, before transfer. Otherwise they should be closed out by the accepting CB.
- 6.5.4 If no further outstanding or potential problems are identified by the pre-transfer review a certificate, dated from the date of completion of the review, may be issued following the normal decision making process. The pattern of the previous certification regime should be utilised to determine the programme of on-going surveillance and re-evaluation unless, as a result of the review, the accepting CB has performed an initial or re-evaluation audit.
- 6.5.5 Where doubt continues to exist, after the pre-transfer review, as to the adequacy of a current or previously held certification, the accepting CB should, depending upon the extent of doubt, either:
 - (i) Treat the applicant as a new client, **or**
 - (ii) Conduct an evaluation concentrating on the identified problem areas
- 6.5.6 The decision as to the action required will depend upon the nature and extent of any problems found and should be explained to the organisation.


	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 7; A7-0 Page: 1 of 1
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7. ANNEX 7: EUREPGAP PRODUCT LIST

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)

Salmonids (Salmon, Trout)

Note: This list is indicative but not limiting, more *Products* are added as applications for certification are received. Please check in annex 11 that you have the latest valid edition of this annex.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 8; A8-2 Page: 1 of 1
	ENGLISH VERSION	

8. ANNEX 8.2: CURRENT LANGUAGE EDITIONS AND STATUS

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)

Document	Language	Version	Status	Name of Document
General Regulations	English	2.1-June05	Normative edition	EUREPGAP_GR_IAA_V2.1-June05.doc
CPCC	English	2.1-June05	Normative edition	EUREPGAP_CPCC_IAA_V2.1-June05.xls
Checklist (CL)	English	2.1-June05	Normative edition	EUREPGAP_CL_IAA_V2.1-June05.xls


- 8.1 Editions in languages other than English that have not yet been made official through approval by the TSC will have the sentence “please refer to the English edition in case of doubt” written on each sheet in the respective language.
- 8.2 This list refers to all EUREPGAP normative documents, and is updated in conjunction with Annex 11. This list refers only to the current valid Editions.

9. ANNEX 9: EUREPGAP NON-COMPLIANCES RECORD SHEET

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)

EUREPGAP/ Benchmarked Scheme	CB	CB Auditor Name	Date notified EUREPGAP	Date Non Conformity Identified by CB	Date Non Conformity occurred (if different)	Farmer Certificate Number	Farmer Name and Address	CPCC not complied with	Date Buyer Advised by Farmer


(The provision of this information by the CB is for immediate communication purposes only and does not substitute the regular information that should be supplied to EUREPGAP as stated in Annex 5.)

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 10; A10-0 Page: 1 of 6
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10. ANNEX 10: EUREPGAP DEFINITIONS

(This Annex forms part of the EUREPGAP General Regulations *Integrated Aquaculture Assurance* and may be referred to by other EUREPGAP documentation.)


- 10.1 Applicant Farmer or Farmer Group: Candidate for Certification that has applied or is in the process of applying for Certification by a EUREPGAP approved CB.
- 10.2 Approved Farmer (or Farmer Group): Applicant that has successfully applied and obtained a Certificate by a CB approved by EUREPGAP.
- 10.3 Active ingredient: In any pesticide product, the component that kills, or otherwise controls, target pests. Pesticides are regulated primarily on the basis of active ingredients
- 10.4 Assessment: Includes interview.
- 10.5 Audit: See ISO 9000:2000 A systematic and functionally independent examination to determine whether quality and food safety activities and results comply with planned procedures and whether these procedures are implemented effectively and are suitable to achieve objectives;
- 10.6 Benchmark: A measurable set of variables used as a baseline or reference in evaluating the performance of Quality Schemes.
- 10.7 Biodiversity: Assemblage of living organisms from all sources including terrestrial, marine and other aquatic ecosystems and the ecological complexes of which they are part.
- 10.8 Body of surface water: A discrete and significant element of surface water such as a lake, reservoir, a stream, river or canal, part of a stream, river or canal, a transitional water or a stretch of coastal water.
- 10.9 Buffer zone: The region near the border of a protected area; a transition zone between areas managed for different objectives.
- 10.10 Bund: A barrier on the surface of the soil to prevent runoff, spillage and soil erosion.
- 10.11 Bunded: That is surrounded by a Bund.
- 10.12 Calibration: Measurement of the uncertainty degree of the machinery used to apply any product. Set of operations that establish, under specified conditions, the relationship between values of quantities indicated by measuring instrument and the corresponding values realised by standards.
- 10.13 Certification: All those actions leading to the issuing of a certificate in terms EN45011 /ISO Guide 65 Product Certification
- 10.14 Certification Committee: Decision making person or group of persons within a CB that has the responsibility for making the final decision on whether an Applicant Farmer or Farmer Group become an Approved Farmer
- 10.15 Chain of Custody: An unbroken trail of acceptability that ensures the physical security of data, records and/or samples. Also: a process used to maintain and document the chronological history of the evidence.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 10; A10-0 Page: 2 of 6
	ENGLISH VERSION	

- 10.16 Compost: The controlled biological decomposition of organic material in the presence of air to form a humus-like material. Controlled methods of composting include mechanical mixing and aerating, ventilating the materials by dropping them through a vertical series of aerated chambers, or placing the compost in piles out in the open air and mixing it or turning it periodically.
- 10.17 Composting: The controlled biological decomposition of organic material in the presence of air to form a humus-like material. Controlled methods of composting include mechanical mixing and aerating, ventilating the materials by dropping them through a vertical series of aerated chambers, or placing the compost in piles out in the open air and mixing it or turning it periodically.
- 10.18 Consumer: An individual who buys products or services for personal use and not for manufacture or resale.
- 10.19 Contamination in storage sites: EU 19-12-2000/365 Regulation: Contamination arising from food, storage environment, and cleaning substances and pests
- 10.20 Corridor: (1) A linear strip of land identified for present or future location of transportation or utility rights-of-way within its boundaries. (2) A thin strip of vegetation used by wildlife and potentially allowing movement of biotic factors between two areas.
- 10.21 Critical Control Point (CCP): A point, step, or procedure at which control can be applied and a safety hazard can be prevented, eliminated, or reduced to acceptable levels
- 10.22 Critical defect: A deviation at a CCP which may result in a hazard
- 10.23 Critical limits: The maximum or minimum value to which a physical, biological, or chemical hazard must be controlled at a critical control point to prevent, eliminate, or reduce to an acceptable level the occurrence of the identified food safety hazard (adopted from Corlett, 1998 as the 1996 FSIS-USDA/1997 NACMCF definition).
- 10.24 Critical non-compliance: An incident that results in --
- 10.24.1 no confidence in the product compliance with quality and food safety requirements for export; or
- 10.24.2 no confidence that a Quality and Food Safety Management System is in place and being operated as per the company's procedures and immediately places export certification at risk;
- 10.25 Critical load: (1) Carrying capacity is the ability of eco-systems/the earth to bear environmental load without significant damage. The threshold is the critical load. (2) The maximum load that a given system can tolerate before failing.
- 10.26 Product: the scope of production covered by the EUREPGAP IAA Standard .
- 10.27 Customer: A customer is anyone who purchases products or services from a supplier.
- 10.28 Declaration: Written statement that covers the relevant subject, and which is signed by the Farmer/Farmer Group that makes the statement, and will be taken by the CB as evidence for verification of compliance to the applicable points.
- 10.29 Deviation: Failure to meet a critical limit


	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 10; A10-0 Page: 3 of 6
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- 10.30 Drainage basin: The area of land that drains water, sediment and dissolved materials to a common outlet at some point along a stream channel.
- 10.31 Documentation audit: A review by an auditing panel of the company's Quality and Food Safety Management System manual;
- 10.32 Environment: water, air, land, wild species of fauna and flora, and any interrelationship between them, as well as any relationship with living organisms;
- 10.33 Farm: A farm is an aquacultural production unit or group of agricultural production units, covered by the same operational procedures, farm management, and EUREPGAP decision making activities.
- 10.34 Farmer: Person or business representing the farm, (horticultural, agricultural or livestock, according to the relevant scope) who has legal responsibility for the products sold by that farming business.
- 10.35 Farmer Group: Group of farmers applying for certification with an internal procedure and internal control of 100 % of members that registered to the EUREPGAP requirements. (A Farmer Group may have members that are not EUREPGAP providing there is a system for segregation of these non-EUREPGAP Farmers in place according to Point 2.9 of Annex 2-0). It must have legal structure, contracts with each farmer, stating entry and exit requirements, stipulated suspensions, agreement to comply with EUREPGAP requirements for registered members. List of all members of the FARMER GROUP with registration status must be available. The FARMER GROUP must have a management representative with ultimate responsibility.
- 10.36 Food safety: The assurance that food will not cause harm to the consumer when it is prepared and consumed according to its intended use;
- 10.37 Groundwater: All water which is below the surface of the ground in the saturation zone and in direct contact with the ground of the soil.
- 10.38 Harvesting containers: Containers used for transporting product during harvest.
- 10.39 Harvesting tools: gloves, nets, etc.
- 10.40 Hazard: A biological, chemical, physical or any other property that may cause a product to be unsafe for consumption.
- 10.41 Individual Farmer: A Body or Person Responsible for on-farm production, who retains ownership of all the products covered in his EUREPGAP certificate, and is a Legally acting individual or organisation that represents the farm enterprise.
- 10.42 Inspection: Visual. The examination of food or systems for control of food, raw materials, processing and distribution, including in-process and finished product testing, in order to verify compliance to requirements; See also ISO 9000: 2000
- 10.43 Integrated farm management: An approach to farming which aims to balance production with economic and environmental considerations by means of a combination of measures including crop Product rotation, cultivations, appropriate crop Product varieties and careful use of inputs.
- 10.44 Manure organic fertilizer: non-proprietary organic fertilizer; Animal excreta collected with or


	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 10; A10-0 Page: 4 of 6
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without litter; used to enrich the soil.

- 10.45 Non-compliance: A EUREPGAP Control Point in the checklist is not fulfilled according to the Compliance Criteria Non-conforming: Means that a defined compliance level has not been conformed with.
- 10.46 Non-Conformance: A EUREPGAP rule that is necessary for obtaining the certificate (such as having 90% of Minor Must Control Points complied with) is infringed.
- 10.47 Overexploitation: The use of raw materials excessively without considering the long-term ecological impacts of such use.
- 10.48 Participant: synonymous with Approved Farmer or Farmer Group
- 10.49 Pollution prevention: The use of materials, processes, or practices to reduce, minimise, or eliminate the creation of pollutants or wastes. It includes practices that reduce the use of toxic or hazardous materials, energy, water, and/or other resources.
- 10.50 Potable water: water which meets the quality standards of drinking water such as those described in the WHO published Guidelines for the Safe Use of Wastewater and Excreta in Agriculture and Aquaculture
- 10.51 Preventive measure: Physical, chemical, or other factors that can be used to control an identified health hazard (adopted from Corlett, 1998).
- 10.52 Primary product: “Not processed” (See definition for processed product).
- 10.53 Processed product: When the structure of the product is altered in appearance or form
- 10.54 Product tracking is the capability to follow the path of a specified unit of a product through the supply chain as it moves between organisations. Products are tracked routinely for obsolescence, inventory management and logistical purposes. Within the context of EUREPGAP *Integrated Aquaculture Assurance* this means tracking product from the farmer to his immediate customer.
- 10.55 Product tracing is the capability to identify the origin of a particular unit and/or batch of product located within the supply chain by reference to records held upstream in the supply chain. Products are traced for purposes such as product recall and investigating complaints. Within the context of EUREPGAP *Integrated Aquaculture Assurance* this means tracing product from the farmer’s immediate customer back to the farmer and certified farm.
- 10.55.1 From the point of view of the user, traceability may be defined as following-up products in both a qualitative and quantitative manner within space and time.
- 10.55.2 From an information management point of view, implementing a traceability system within a supply chain involves systematically associating a flow of information with a physical flow. The objective is to be able to obtain pre-defined information concerning batches or groups of products (also pre-defined) at any given moment, using one or more key identifiers.
- 10.56 Record: A record is a document that contains objective evidence which shows how well activities are being performed or what kind of results are being achieved
- 10.57 Registered Product: The animal that produces the product that has been registered by the Farmer with the CB under EUREPGAP.


	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE ENGLISH VERSION	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 10; A10-0 Page: 5 of 6
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- 10.58 Registration: The process by which an Individual Farmer or Farmer Group starts the application process for Certification. Once a Farmer or Farmer Group has registered he becomes an Applicant Farmer or Farmer Group.
- 10.59 Registration Number: The number given to a Farmer or Farmer Group when he has completed the Registration.
- 10.60 Resolved: Positive Closure of a non-compliance.
- 10.61 Risk: An estimate of the likely occurrence of a hazard
- 10.62 Risk analysis: Means an estimate of the probability of the occurrence of a hazard or other non-conformity with regard to quality and food safety;
- 10.63 Robust wall: A non-flammable physical barrier that does not allow liquid, gaseous or dust contact to occur between the two sides.
- 10.64 Sanitised: Washed with a disinfectant. (Disinfection)
- 10.65 Scope: Scope can be defined by the following three concepts:
- 10.65.1 Product: Horizontal Scope, EUREPGAP Protocol
 - 10.65.2 Product: Refers to the official EUREPGAP Product list, within the EUREPGAP Product Scope
- 10.66 Chain integration: Includes different parts of the chain.
- 10.67 Self-Inspection: internal inspection of the registered product Product carried out by the Farmer on his farm using a checklist based on the EUREPGAP checklist.
- 10.68 Severity: The seriousness of a hazard.
- 10.69 Sewage sludge: The accumulated settled solids separated from various types of water either moist or mixed with liquid component as a result of natural or artificial processes.
- 10.70 Signature: Must be a personal, non-transferable, visible and infallible identifier of the person, which is recorded manually, either by handwriting or « pressing a button ». Password protection alone does not guarantee individual identification.
- 10.71 Subcontractor: Specific farm operations performed under contract between the farmer and the contractor. The contractor furnishes labor, equipment, and materials to perform the operation. Within the EUREPGAP context, subcontractors are those organisations/individuals contracted by the Farmer/Farmer Group to carry out specific tasks that are covered in the EUREPGAP Control Points and Compliance Criteria.
- 10.72 Suitable laboratory: Currently accredited to EN 17025 or can be demonstrated via documentation that it is in the process of gaining accreditation within a set time limit (2 years max.), or meets the demands for accreditation as evaluated by an external expert
- 10.73 Supplier: A supplier is a person or an organization that provides products or services to customers
- 10.74 Surface water: All waters on the surface of the Earth found in rivers, streams, ponds, lakes, marshes, wetlands, as ice and snow, and transitional, coastal and marine waters.

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 10; A10-0 Page: 6 of 6
	ENGLISH VERSION	

- 10.75 Sustainable water sources: Those water sources that are under a sustainable method of management. I.e. one that “ensure[s] the health of aquatic ecosystems and balance the water needs of the environment with the water needs for economic development and agricultural purposes”
- 10.76 System Check: Audit of the Internal Quality Management and Control System
- 10.77 Technically responsible person: Person responsible for taking technical decisions regarding the certified product. This can be for a specific area of responsibility or overall, and may either be the Farmer or an Adviser..
- 10.78 Toilet: Facility where the persons may defecate and urinate in a hygienic manner (including waste disposal) and poses no food safety contamination risk to surrounding field area whilst ensuring privacy of the person.
- 10.79 Traceability: the ability to retrace the history, use or location of a product (that is the origin of materials and parts, the history of processes applied to the product, or the distribution and placement of the product after delivery) by the means of recorded identification".
- 10.80 Validation audit: Means a comprehensive evaluation of the entire Quality and Food Safety Management system to ensure that the procedures as documented in the company's Quality and Food Safety Management System manual are implemented and are effective;
- 10.81 Verification audit: routine unannounced audits of the Quality and Food Safety Management System after approval to ensure that the Quality and Food Safety Management System in place is adequately maintained.
- 10.82 Verification of calibration: Recorded verification of the correct functioning of the machinery used to apply any product.
- 10.83 Verification: Confirmation by examination and provision of evidence that specified requirements have been met, providing a means for checking that the deviation between values indicated by a measured instrument and corresponding known values of a measured quantity are consistently smaller than the maximum allowable error defined in a standard or specification peculiar to the management of the measuring equipment.
- 10.84 Worker: Any person on the farm that has been contracted to carry out a task. This includes farm owners and managers.
- 10.85 Working language: language in which an audit/inspection can be carried out independently without a translator.

Note: This list of definitions indicative but not limiting; more definitions are added by EUREPGAP as the need arises, changing the numbering – the pre-established order is Alphabetic for the first letter of the term defined. Please check in annex 11 that you have the latest valid edition of this annex.

	<p style="text-align: center;">GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE</p> <p style="text-align: center;">ENGLISH VERSION</p>	<p>Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 11; A11-0 Page: 1 of 3</p>
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11. Annex 11.0: CHAIN OF CUSTODY IAA

11.1 Objective


- 11.1.1 *All companies in the supply chain who purchase (obtain legal ownership) aquaculture products certified under EurepGAP Integrated Aquaculture Assurance, and sell the product with the EUREPGAP claim, must comply with the Chain of Custody requirements. The objective of these requirements is to ensure that any product sold as EUREPGAP-certified is produced from material that originates from certified EUREPGAP IAA farms. This would include anybody that trades product but which has not been produced by themselves.*
- 11.1.2 *Chain-of-custody controls must therefore be implemented at all critical points in the process under assessment. Critical points are those where there is a significant risk of certified materials becoming mixed with uncertified materials, under either normal or abnormal operating conditions.*

11.2 Chain of Custody Declaration

- 11.2.1** *Signature of a declaration by the Chain of Custody participating company, stating that all necessary systems to assure that a proper segregation of non-EUREPGAP and EUREPGAP produce is guaranteed (A EUREPGAP Chain-of-Custody Declaration). **This declaration is a different document from the product custody declaration mentioned in 10.8.2.(iii) of this General Regulations.***

11.3 Registration

- 11.3.1 *All participants in the Marketing Chain that sell products with the claim to originate from a EUREPGAP certified or approved farm with the scope of that product will be required to register with EurepGAP directly online.*
- 11.3.2 *In order to be able to register online, an agreement to register (see 11.6) must be reached between the participant and one of the Certification Bodies on the EurepGAP webpage. The CB will grant a special access key (OKEY) to the participant, in order to be able to initiate this online registration process.*
- 11.3.3 *Any data updates must be communicated to EurepGAP.*
- 11.3.4 *As a result of filling in all the data, the participant will receive a EUREPGAP Registration Number from the CB, an automatically generated EurepGAP database number (used for tracking the participant's status).*
- 11.3.5 *The following data for the company and **all sites** must be provided in the online registration table:*
- (i) *Company Name*
 - (ii) *Address*
 - (iii) *Responsible Person*
 - (iv) *Contact details*
 - (v) *Scope(s) (Products handled)*
 - (vi) *EAN Location number (GS1) (Voluntary)*
 - (vii) *Geographically coded number (UPID) (voluntary)*

	GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE	Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 11; A11-0 Page: 2 of 3
	ENGLISH VERSION	

11.4 Chain of Custody Procedures


- 11.4.1 *Accessing the EurepGAP Chain of Custody checklist and filling it out online as a self-assessment.*
- 11.4.2 *The completed Chain of Custody Checklist self-assessment must be printed and signed by the company.*
- 11.4.3 *Access to the signed declaration and self-assessment on demand to customers and to EUREPGAP Secretariat must be provided.*
- 11.4.4 *The declaration and the self assessment can be made visible to market participants online that are individually assigned by the signing company (see below "Linking up with customers")*
- 11.4.5 *Each business partner of the signing company has the right to receive a copy of the signed declaration and self-assessment on demand.*
- 11.4.6 *EUREPGAP has full access to the completed online self-assessment and the signatory will be visited once annually by a CB that must be chosen by the company from the EurepGAP website, where the authorised companies are listed, to verify the existence of the signed declaration and compliance (in a non-accredited inspection)*
- 11.4.7 *As a result of the annual inspection, the company will hold a non-accredited Chain of Custody EurepGAP certificate, issued by the Certification Body, which will include a Certificate Number printed on it issued by EurepGAP.*

11.5 Customer linking up with suppliers (voluntary)

- 11.5.1 *A unique EUREPGAP Customer Key is used to be able to ask suppliers to open up information to their clients. Each participant in the Chain of custody will have an own customer key (Information key - IKEY) to transmit to suppliers for this purpose with the right to access certificate content and checklist, and search functions.*
- 11.5.2 *The IKEY can be obtained from EurepGAP/FoodPlus directly, against a charge per login account. In order to obtain the own IKEY, the participant can ask for this option directly at registration or at any other time should he so wish.*

11.6 Supplier Linking up with customers

- 11.6.1 *The customer presents the EUREPGAP IKEY to the supplier*
- 11.6.2 *The IKEY is entered into the system to make customer visible*
- 11.6.3 *The customer is selected to grant access and chain of custody "visibility rights"*
- 11.6.4 *The customer-specific access and visibility rights can be managed by the supplier.*

	<p style="text-align: center;">GENERAL REGULATIONS INTEGRATED AQUACULTURE ASSURANCE</p> <p style="text-align: center;">ENGLISH VERSION</p>	<p>Code Ref: IAA 2.1 GR Version: 2.1-June05 Annex: 11; A11-0 Page: 3 of 3</p>
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11.7 Pricing

11.7.1 *Registration: 5 € per registration and per site with checklist per year, plus 20 € per certificate issued.*

11.7.2 *A completed internal self-inspection based on the EUREPGAP Checklist must be available on site for review by the external inspector during the external inspection process.*

11.8 Auditing Qualifications

The minimum requirements for auditing the Chain of Custody for the Aquaculture scope are the Requirements for Integrated Aquaculture Assurance Auditor (please refer to section 16, Appendix 1).

12. ANNEX 12.1: INTEGRATED AQUACULTURE ASSURANCE EDITION UPDATES AND VALID VERSION REGISTER

General Reg. Version	Replaces	Replaced doc. obsolete	Comes into force	Description of Addition/ Modification
2.1 June 05	1.0 Oct 04	1 st June 2005	1 st June 2005	update EUREPGAP Version edition based on IFA TSC review; addition of Chain of Custody scope
2.0 March 05	-	-	-	Draft version used for CB Workshop March 2005
2.1 Jun 05 (update 10May06)				- clarification of "site" under: "2. Scope of this document" - text added in 10.1.v - text added in 10.5(iii) regarding date of certificate - Annex 11: clarification under 11.2.1 Chain of custody declaration
CPC Version				
2.1 June 05	1.0 Oct 04	1 st June 2005	1 st June 2005	Upgrade of control points, correction of wording, incorporation of Chain of Custody
2.0 March 05	-	-	-	Draft version used for CB Workshop March 2005
Checklist Version				
2.1 June 05	1.0 Oct 04	1 st June 2005	1 st June 2005	Upgrade of control points, correction of wording, incorporation of Chain of Custody
2.0 March 05	-	-	-	Draft version used for CB Workshop March 2005
Gen. Reg. Annex Ed.				
8.1	8.0	18 Oct 04	18 Oct 2004	Edition version update
8.2	8.1	01 June 05	01 June 05	Edition version update

- 12.1 Updates will be sent to the CB EUREPGAP Scheme Managers, who must sign them and distribute them internally and to all registered and applicant farmers/farms.
- 12.2 The updates registered in this table are those that cover issues of the General Regulations, its annexes (separately specified), CPC documents and their Technical Guidelines, and EUREPGAP Checklist.

12.3 Annexes will only be mentioned if they have had edition updates since Edition of Version 1.0-Oct04 of the General Regulations.

12.4 This list is updated in conjunction with Annex 8, CURRENT LANGUAGE EDITIONS AND STATUS.