

# JGAP General Regulations

Japan Good Agricultural Practices

## Agricultural Products 2022



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## Introduction

Japan GAP Foundation (JGF) develops and administers JGAP in an evenhanded manner and discloses highly transparent information on that process. In addition, through the development and administration of JGAP, JGF aims to contribute to the sustainable development of Japanese agriculture and food-related industries.

These regulations stipulate the basics of the certification program. Furthermore, to ensure the reliability of certification, the regulations stipulate compliance and appropriate management of organizational systems for organizations associated with JGAP certification, and matters to be implemented to maintain and manage the competence of credible auditors.

JGAP has been developed as methods to address farm operation, food safety, livestock hygiene, environmental conservation, occupational safety, respect for human rights and animal welfare, and to achieve appropriate farm management. JGAP aims to practice appropriate farm management practices in the interests of consumers (food safety), production infrastructure (environmental conservation, livestock hygiene, and animal welfare) and workers (occupational safety, respect for human rights).

JGAP-certified farms and groups can prove that they practice sustainable agriculture by describing and disclosing details of their efforts by recording them and having them reviewed in accordance with the certification rules. The introduction of JGAP makes it possible to visualize Good Agricultural Practices, establish stable agricultural management, and earn the trust of buyers and consumers.

JGAP is not just an initiative for the agricultural production phase; it builds partnerships with all buyers and consumers related to the supply chain to help shape a sustainable society.

# 1 Scope of Application

## 1.1. General

JGAP General Regulations stipulate the general management of JGAP, and prescribe the requirements concerning the related parties stipulated herein, including JGF, which is the administrative body of JGAP, as well as farms and groups, certification bodies, accreditation bodies, training organizations and the like.

## 1.2. Certification Program

The JGAP certification program ("the Certification Program," hereafter) covers agricultural and livestock production. These regulations stipulate the Certification Program for JGAP agricultural production, which includes a certification process based on ISO/IEC17065.

## 1.3. Disclaimer

Neither JGF nor any certification bodies nor any accreditation bodies bare any legal responsibility for the produce sold by certified farms or groups.

# 2 Reference documents

- (1) ISO/IEC17000:2020 (Conformity assessment - Vocabulary and general principles)
- (2) ISO/IEC 17067:2013(Conformity assessment - Fundamentals of product certification and guidelines for product certification schemes)
- (3) ISO/IEC 17011:2017 (Conformity assessment - General requirements for accreditation bodies accrediting conformity assessment bodies)
- (4) ISO/IEC 17065:2012(Conformity assessment - Requirements for bodies certifying products, processes and services)
- (5) ISO 19011:2018 (Guidelines for auditing management systems)
- (6) IAF Mandatory Document for the Audit and Certification of a Management System Operated by a Multi-Site Organization - Issue 2 (IAF MD1:2018)
- (7) IAF Mandatory Document for the Use of Information and Communication Technology (ICT) for Auditing/Assessment Purposes - Issue 2, Version3(IAF MD 4:2022)
- (8) IAF Mandatory Document for the Collection of Data to Provide Indicators of Management System Certification Bodies' Performance - Issue 1(IAF MD15:2014)
- (9) IAF Mandatory Document - CRITERIA FOR EVALUATION OF CONFORMITY ASSESMENT SCGEMES - Issue 1(IAF MD 25:2022)

# 3 Definitions of Terms

The terms used in JGAP General Regulations and their definitions are as follows.

(1) GAP

Good Agricultural Practices (GAP) refers to the management standards to be observed by producers in the production process for produce, and the initiatives undertaken on that basis. GAP could refer to the singular "Good Agricultural Practice" or the plural "Good Agricultural Practices."

(2) JGAP

Japan Good Agricultural Practices (JGAP) is one of the GAP certification programs developed by JGF, and summarizes the role of good agricultural practices from the perspectives of farm operation, food safety, livestock hygiene, environmental conservation, occupational safety, respect for human rights and animal welfare, with the Japanese production environment in mind.

(3) ICT

Information Communication Technology (ICT) is the use of technology for gathering, storing, retrieving, processing, analysing and transmitting information. It includes software and hardware such as smartphones, handheld devices, laptop computers, desktop computers, drones, video cameras, wearable technology, artificial intelligence, and others.

(4) Integrity program

Activities to ensure the credibility of certification.

(5) Outsourcing

The subcontracting of some activities that are directly related to production processes subject to audit and certification to external entities. (See ISO 9000: 2015)

(6) Technical Committee

The Technical Committee of JGF is tasked with developing the General Regulations, the Control Points and Compliance Criteria for Farms, and the Control Points and Compliance Criteria for Group Administration. The members of Technical Committee are selected from among agricultural producers, government officials, academic experts and distribution professionals based on their expertise related to each subcommittee. Details are based on the Japan GAP Foundation: Technical Committee Regulations.

(7) Member farm

A unit of certification with a unified management structure (a management structure with a unified chain of command under the same manager whose shipments and the records within the scope of certification are consolidated). A farm, a communal processing site, communal fruit-sorting center, grain elevator or tea processing plant can all be considered sites.

(8) Crop

A plant being cultivated (growing) in a site. This is distinct from agricultural produce after harvest.

(9) Self-assessment

The process where a farm inspects and confirms its own farm management based on the JGAP Control Points and Compliance Criteria for Farms.

(10)Facility

Buildings, structures and equipment that are used for farm management. Facilities include warehouses, storages, produce handling facilities, etc.

(11)Product

Produce that is ultimately delivered from a farm or group to a recipient.

(12)Production process

A series of activities related to the scope of certification from cultivation to shipping.

(13)Produce

The collective name for agricultural produce, livestock and animal products that are subject to certification.

(14)Group

A group of producers or corporation operated under a single management system that has a representative and group administration, in which multiple member farms are gathered under the policies established by the group.

(15)Group management manual

A document that describes the procedures, rules and other matters necessary for managing the group and the member farms that comprise the group.

(16)Group administration

An administrative body that is set up within the group to govern the group under a single management system regarding the JGAP requirements.

(17)Internal audit

The process where an internal auditor and an assistant internal auditor inspect and verify the group administration and the management of the member farms that make up the group as a part of group management in accordance with the Group Management Manual designated to meet the requirements of the JGAP Control Points and Compliance Criteria for Farms and the JGAP Control Points and Compliance Criteria for Group Administration.

(18)Certification

Third party proof that the products and processes of a farm or group meet the certification criteria specified by the JGAP certification program. (See ISO/IEC 17065: 2012 and ISO/IEC 17000: 2020)

(19)Certified produce

A generic term for certified agricultural produce, certified livestock and certified animal products.

(20)Certified agricultural produce

Agricultural produce that meets criteria (a) through (c) below.

(a) Agricultural produce that is produced by a certified farm or group and shipped within the certificate validity period

(b) An item listed on the JGAP certificate

(c) When a produce handling process is involved, agricultural produce handled at a produce handling facility listed on the JGAP certificate

- (21) Certified group  
A group that has obtained JGAP certification.
- (22) Certified farm  
A farm that has obtained JGAP certification.
- (23) End of certification  
When certification is not continued and ends on the expiration date. (See ISO/IEC 17065: 2012)
- (24) Return of certification  
When ongoing certification is ceased without waiting for the expiration date.
- (25) Certification program  
A series of mechanisms and applicable regulations including development, training, education, operation, audit, certification and accreditation for specific regulations and procedures. JGF is the Certification Program Owner (CPO) with ultimate responsibility for the JGAP Certification Program.
- (26) Accreditation  
Third-party certification officially demonstrating that a certification body has the ability, impartiality and consistent operation to engage in JGAP certification work in accordance with ISO/IEC 17065 and the JGAP General Regulations. (See ISO/IEC 17000: 2020)
- (27) Farm  
An entity that produces items subject to certification and is responsible for the production processes for those items and the produce created.
- (28) Agricultural produce  
After a crop has been harvested from a site, it is referred to as "agricultural produce," distinguishing from a pre-harvested "crop." Agricultural produce includes food, food ingredients, feed ingredients, and raw materials for pharmaceuticals and quasi-pharmaceuticals. When seeds and seedlings are sold, those also fall under agricultural produce. In JGAP, agricultural produce is classified as fruits and vegetables, grains or tea. Note that agricultural produce does not include collected plants.
- (29) Produce handling facility  
A facility implementing produce handling processes, tea finishing processes or rice polishing processes (preparation work site, fruit sorting site, grain elevator, crude tea plant, warehouse, etc.).
- (30) Item  
A certification-based classification for an agricultural produce, livestock or an animal product registered in the JGF Standard Item Names List.
- (31) Parallel cultivation  
The cultivation of some of the same items as certified produce and some as non-certified produce on a single farm or constituent member farm.
- (32) Parallel handling

Handling non-certified produce by purchasing or outsourced work for the same item separately from certified produce in the produce handling process, tea finishing process or rice polishing process at a single farm or constituent member farm.

(33) Site

The smallest unit of land, greenhouses or factories where crops are cultivated and managed.

(34) Violation of regulations

A violation of the rules established based on the JGAP Control Points and Compliance Criteria for Farms or the JGAP Control Points and Compliance Criteria for Group Administration, or a violation of the JGAP General Regulations, committed by a farm or group.

(35) Review

Determining the appropriateness, validity or effectiveness of audit. (See ISO/IEC 17000: 2020)

## 4 Certification Program Owner

### 4.1. General

As Certification Program Owner, JGF is responsible for the administration of Certification Program, and is required to engage in activities in accordance with these regulations.

### 4.2. Development and Maintenance of the Certification Program

- (1) JGF must develop documents related to the Certification Program (Table 1), periodically review them based on the latest information and feedback from related parties, and make revisions as needed.
- (2) When making revisions to the JGAP General Regulations and the JGAP Control Points and Compliance Criteria, JGF must implement a public comment system and take into account feedback solicited on a broad basis.
- (3) When the JGAP General Regulations and the JGAP Control Points and Compliance Criteria has been approved, JGF must determine a date for them to go into effect, considering a period of time sufficient to disseminate and explain information about them to related parties.
- (4) The original versions of documents related to the Certification Program are in Japanese. Approval from the Technical Committee must be obtained when translating them into other languages. Audits can be carried out using approved translated editions. In the event of discrepancies between the original and a translated version, the original shall prevail.
- (5) JGF must notify related parties and post to its website regarding revisions or changes to the documents related to the Certification Program.

Table 1: Documents Related to the Certification Program

Document	Development	Approval
General Regulations	Technical	Board



	Committee	
Control Points and Compliance Criteria for Farms	Technical Committee	Board
Control Points and Compliance Criteria for Group Administration	Technical Committee	Board
Guidelines	Technical Committee	Board
Detailed Rules	Manager of the Administrative Office	Chairperson of the Technical Committee
JGAP Standard Item List	Manager of the Administrative Office	Chairperson of the Technical Committee
Technical Letters	Manager of the Administrative Office	Chairperson of the Technical Committee

#### 4.3. Management of Certification Data

- (1) JGF assigns registration numbers to farms and groups that have been reported by an certification body.
- (2) JGF reflects and manages registration information regarding certified farms and groups in a database system.
- (3) JGF publishes the names of certified farms and groups and their certified produce on its website.

#### 4.4. Integrity Program

JGF implements an integrity program to ensure the credibility of certification. The integrity problem includes at least the following activities and is implemented with the cooperation of accreditation bodies and certification bodies as needed.

- (1) Integrity Program for Accreditation Bodies
  - (a) Holding periodic meetings
  - (b) Accompanying accreditation audits
- (2) Integrity Program for Certification Bodies
  - (a) Holding periodic meetings
  - (b) Collecting and analyzing information on audit results
  - (c) Conducting office audits
  - (d) Witnessed assessments of auditors

#### 4.5. Management System

- (1) JGF must establish, implement and maintain a management system.
- (2) JGF must conduct an internal audit regarding the administration of the Certification Program based on the Internal Audit Regulations at least once a year and review its internal regulations.

#### 4.6. Handling of Complaints

JGF must post a complaint statement to its website based on the Complaint Handling Regulations and respond appropriately to complaints of the varieties (1) through (6) below.

- (1) Complaints about accreditation bodies
- (2) Complaints about certification bodies and auditors
- (3) Complaints about training organizations and training
- (4) Complaints about instructors
- (5) Complaints about certified farms and groups
- (6) Complaints about JGF and the Certification Program

#### 4.7. Communication

- (1) Regular contact and communication is maintained with contracted accreditation bodies, and it is ensured that accredited certification bodies are performing certification activities in accordance with the Certification Program, ISO/IEC 17065 and IAF MD documents applicable to product certification.
- (2) JGF ensures communication with accreditation bodies, certification bodies and other related external organizations.
- (3) Accreditation bodies are kept apprised of information about the Certification Program and the development of the Certification Program.

#### 4.8 Prohibitions

- (1) JGF must not engage in conformance certification or certification activities of the Certification Program.
- (2) JGF must not perform consulting related to the Certification Program.

## 5 Accreditation Bodies

### 5.1. Basic Requirements

Accreditation bodies that perform accreditation activities under the Certification Program must meet the following requirements.

- (1) Be an accreditation body that is an IAF member and MLA signatory.
- (2) Enter into an agreement with JGF to perform accreditation activities in accordance with the Certification Program.
- (3) Conduct accreditation activities consistent with ISO/IEC17011.
- (4) Engage in activities using the entire Certification Program including the documents related to the Certification Program published by JGF.

### 5.2. Accreditation Activities

- (1) Accreditation bodies must accredit certification bodies based on the following documents.
  - (a) ISO/IEC17065
  - (b) IAF MD documents that apply to product certification
  - (c) These regulations
  - (d) Documents related to accreditation activities designated by the accreditation body
- (2) Accreditation bodies must create plans for accreditation audits, and implement the accreditation services after informing certification bodies to that effect.
- (3) Accreditation bodies must issue accreditation certificates to accredited certification bodies. The scope of accreditation listed on an accreditation certificate must comply with the JGAP certification standards (including different editions).
- (4) Accreditation bodies must report the latest information about accreditation to JGF.
- (5) Accreditation bodies must engage in prior dialogue with certification bodies regarding the acquisition, temporary suspension or revocation of accreditation, and report the latest information about this to JGF.

### 5.3. Temporary Suspension or Revocation of Accreditation, or Narrowing of the Scope of Accreditation

When a certification body does not meet provisions 5.2(1)(a) through (d) of these regulations, an accreditation body must temporarily suspend or revoke its accreditation, or narrow the scope of the accreditation.

### 5.4. Complaints and Objections

Accreditation bodies must handle complaints and objections from farms, groups or certification bodies regarding accreditation activities according to their own established procedures, and inform the party who made the complaint or objection of their response.

## 6 Certification bodies

### 6.1. Basic Requirements

Certification bodies that perform JGAP certification activities must meet the following requirements.

- (1) Be a member of JGF and enter into a contract to perform certification activities based on the Certification Program.
- (2) Engage in certification activities in accordance with section 5.2(1) of these regulations, and obtain and maintain accreditation from an accreditation body contracted with JGF.
- (3) Engage in activities using the entire Certification Program including the documents related to the Certification Program published by JGF.
- (4) Provide the following information to JGF at all times
  - (a) Materials related to certification activities such as certification procedures and audit reports
  - (b) Procedures for handling complaints, objections and disputes
  - (c) A list of all certified farms and groups
- (5) Agree with JGF on appropriate measures to mitigate situations that may involve JGF in disputes.
- (6) Attend meetings and training sessions at the request of accreditation bodies and JGF.
- (7) Agree to be accompanied to an accreditation audit when deemed necessary by JGF.
- (8) Collect registration fees from certified farms and groups and pay to JGF.
- (9) Implement consistent controls regarding the setting of certification fees, quotations and invoicing.
- (10) Apply to JGF and undergo accreditation audit when desiring to expand the scope of accreditation.
- (11) Publicly disclose the scope of accreditation and clearly distinguish services that are beyond that scope. When the scope of the certification activities provided are broader than the accredited scope, ensure that such activities are clearly and consistently distinguished from the accredited scope.
- (12) Pay certification body registration fees to JGF.

### 6.2. Quality System

A certification body must operate an effective quality system based on ISO/IEC 17065 and the JGAP General Regulations. The quality system must be documented, and utilized by the personnel associated with the certification body. The certification body must appoint a staff member responsible for developing, implementing and maintaining the quality system. The appointed staff member must be responsible for reporting to management and reporting on the results of the quality system whose purpose is to make system improvements based on management reviews.

### 6.3. Management of Certification

- (1) The certification body must provide information in writing to farms and groups about the

implementation timing for maintenance and renewal audits, and maintain the stated certification cycle.

- (2) Following the certification of a farm or group, the certification body must report information on certification to JGF in based on the detailed regulations for certification work.
- (3) The certification body must promptly report to JGF in regarding the temporary suspension, revocation, return or end of certification, or the narrowing of the scope of accreditation. When certification is revoked or returned, the certification body must ask that the farm or group concerned return the relevant certificate.
- (4) The certification body must treat the information obtained from farm or group during certification activities as confidential information, and must not provide that information to third party without the permission of the farm or group concerned.
- (5) When JGAP Control Points and Compliance Criteria for Farms or the JGAP Control Points and Compliance Criteria for Group Administration has been revised, the certification body must inform certified farms and groups regarding the details of the revisions and the transition period that will be applied.

#### 6.4. Managing the Competence of Personnel

- (1) The certification body must ensure that all personnel responsible for management, operations, expertise and audit within the organization meets the level of competence required by the Certification Program.
- (2) The certification body must require that all personnel involved with the certification process sign a contract or written agreement that clearly pledges the following.
  - (a) To comply with the regulations of the certification body, with particular mention given to confidentiality and independence from commercial or personal interests.
  - (b) To declare any issues that relate to a personal conflict of interest.
- (3) The certification body must clearly document all requirements of ISO/IEC17065 that relates to personnel involved with the certification process, and make those requirements known to such personnel. Those requirements must include systems and procedures to ensure that auditors definitively satisfy the skills listed in the requirements of ISO/IEC17065.
- (4) The certification body must retain and maintain records concerning the qualifications, training and experience of all personnel involved with the certification process. All records must be dated. The records must contain at least the following.
  - (a) Name and address
  - (b) The person's relationship with the certification body, and the position they hold.
  - (c) Academic background and level of expertise
  - (d) Experience and training in fields that relate to the competence associated with the requirements of JGAP
  - (e) Details of performance evaluations
- (5) In order to review all information and results regarding audit, the certification body must appoint

at least one person to review audit results. The requirements for the competency of the person who reviews audit results must include an understanding of the JGAP General Regulations, JGAP Control Points and Compliance Criteria, audit reports and checklists (section 10.5 of these regulations).

- (6) The certification body must conduct training for auditors at least once a year. In addition, the certification body must have mechanisms in place to ensure the competency of all personnel associated with certification work including auditors, and endeavor to improve the competency of personnel.
- (7) The certification body must develop a system to periodically implement in person evaluations of auditors to ensure that contracted auditors deport themselves in a professional manner. The system must include an evaluation of the level of understanding of JGAP, record which of the following personal traits and behaviors a person possesses including those areas in which they excel or require improvement as needed, and incorporate education and training with respect to the areas that require improvement.
  - (a) Be ethical. In other words, be fair, trustworthy, honest, truthful and be sensible.
  - (b) Be broad-minded. In other words, be willing to consider other ways of thinking or perspectives.
  - (c) Be diplomatic. In other words, be able to deal with people well in order to achieve one's aims.
  - (d) Has observational skills. In other words, actively observe the state of physical surroundings and activities.
  - (e) Have keen perception. In other words, recognize situations and be able to understand them.
  - (f) Be adaptable. In other words, be able to easily adapt to different situations.
  - (g) Be persistent. In other words, be patient and focused on achieving objectives.
  - (h) Have decisiveness. In other words, be able to reach a conclusion in a timely manner based on logical reasoning and analysis.
  - (i) Be independent. In other words, be able to act independently and fulfill one's responsibilities while effectively interacting with other people.
  - (j) Be sincere. In other words, recognize the need for maintaining confidentiality, and comply with the code of conduct as an expert.
- (8) The certification body must report the names of contracted auditors to JGF.

#### 6.5. Cooperation with the Integrity Program

The certification body must cooperate with the integrity program implemented by JGF (section 4.4 of these regulations).

#### 6.6. Complaints, Objections and Disputes

- (1) The certification body must handle complaints or objections regarding its certification activities

from farms or groups according to its own established procedures, and inform the party who made the complaint or objection of their response.

- (2) At the request of an accreditation body or JGF, the certification body must submit records relating to complaints, objections or disputes concerning its certification activities that fall within the scope of accreditation.

#### 6.7. Temporary Suspension, Revocation or Return of Accreditation, or Narrowing of the Scope of Accreditation

When the possibility of any of the items (1) through (4) below arises, the certification body must respond with the cooperation of the accreditation body and JGF in order to minimize the impact on farms and groups. In addition, when the certification body has received a decision regarding item (1), (2) or (4) below from an accreditation body, or has itself made a determination regarding item (3) or (4) below, it must promptly inform JGF to that effect.

- (1) Temporary suspension of accreditation
- (2) Revocation of accreditation
- (3) Return of accreditation
- (4) Narrowing of the scope of accreditation

#### 6.8. Agreements with Farms and Groups

The certification body must make written agreements with farms and groups regarding the following.

- (1) That a farm or group is responsible for contacting the certification body when there are changes leading to modifications of the details of certification.
- (2) That a farm or group must promptly undergo an audit when a certification body conducts an audit other than maintenance audit or renewal audit as needed.
- (3) That when a certification body requests that a farm or group return their certificates for reasons such as the temporary suspension, revocation or return of certification, or the narrowing of the scope of certification, the farm or group concerned shall promptly comply.
- (4) A farm or group must report to the certification body regarding major violations associated with certification, and all product recalls and legal action that occur in relation to the farm or group, and to JGF via the certification body.
- (5) When performing an audit for group certification, that the sampling member farm may be added part way through audit when a non-conformance at some member farms impact the entire group.
- (6) The certification body will provide materials related to its certification activities such as audit reports to JGF.

#### 6.9. Registration of New Certification Bodies

A certification body that files a new application with JGAP to perform certification services ("pending certification body," hereafter), the registration must be performed according to the following.

- (1) The pending certification body shall indicate to JGF its intent to engage in certification activities under the Certification Program, receive an explanation regarding the Certification Program from JGF, and submit an application. JGF must verify the details of the application and make a determination as to the fundamental suitability of the applicant as a certification body.
- (2) The pending certification body shall obtain accreditation within one year of the date of the submission of an application to an accreditation body. If accreditation is not granted within one year, termination of the agreement between JGF and the pending certification body will be considered.
- (3) In the event of a delay, the pending certification body shall submit a plan aimed at obtaining accreditation to JGF, and obtain approval.
- (4) The number of certifications that a pending certification body can issue up until the time it obtains official accreditation shall be no greater than 20.

## 7 Auditor

### 7.1. Basic Requirements for Auditors

Auditors who will engage in certification activities under the Certification Program must meet the following requirements.

- (1) Engage in activities in accordance with documents related to the Certification Program, and the contract they have entered into with the certification body.
- (2) Obtain the latest information concerning the Certification Program, and engage in diligent study.

### 7.2. Types of Auditors

#### (1) Candidate auditor

A candidate auditor may perform an audit for the certification of an individual farm or perform an audit on the member farms that make up a group as part of group certification in the presence of an auditor or senior auditor.

#### (2) Auditor

An auditor may perform an audit for the certification of an individual farm or perform an audit on the member farms that make up a group as part of group certification. An auditor may perform a group administration audit in the presence of a senior auditor or in the presence of a person JGF deems to possess competency equivalent to that of a senior auditor.

#### (3) Senior auditor

A senior auditor may perform an audit for the certification of an individual farm, a group administration audit, or an audit on the member farms that make up a group as part of group certification.

### 7.3. Requirements for Auditors

Requirements for auditors who engage in certification activities under the Certification Program are



set forth in Detailed Regulations for the Registration of JGAP Auditors.

## 8 Farms and Groups

### 8.1. Obligations

- (1) Farms and groups must comply with documents concerning the Certification Program published by JGF.
- (2) Farms and groups must continually work on the requirements set forth in the JGAP Control Points and Compliance Criteria that fall within the scope of certification.
- (3) When a site is added after certification, the farm or group concerned must perform a self-assessment or internal audit regarding the additional site in the context of the JGAP Control Points and Compliance Criteria, in order to confirm that the additional site is compliant. Agricultural produce produced on a site added in this way can be treated as certified produce.
- (4) A farm or group must take responsibility to ensure that any outsourced work takes place in accordance with the JGAP Control Points and Compliance Criteria.
- (5) A farm or group must not simultaneously obtain certification from multiple certification bodies for the same applicable scope.
- (6) When providing a copy of its certificate to another party, a farm or group must provide the complete information including all attachments to the certificate.
- (7) In the following cases, a farm or group must contact the certification body.
  - (a) When changes have occurred to the matters listed on the certificate (section 10.12 of these regulations).
  - (b) When the contact details of the farm or group (name of the contact person, telephone number, email address, etc.) have changed.
- (8) When a farm or group is requested by a certification body to return its certificates for reasons such as the temporary suspension, revocation or return of certification, or the narrowing of the scope of certification, the farm or group must promptly comply.
- (9) When a farm or group has no intention to continue certification, even if the certification is still within its period of validity, the farm or group must promptly contact the certification body regarding return of certification.
- (10) When requested by a certification body, a farm or group shall promptly submit to an additional audit or an extraordinary audit.
- (11) When an accreditation body or JGF requests to be present for the audit performed by a certification body, a farm or group must allow this unless it has a valid reason.
- (12) A farm or group must consent to "Name of Certified Farm or Group," "Certified Produce" and other incidental information being published on the website of JGF after certification has been obtained.
- (13) A farm or group must pay the registration fees designated separately by JGF to the relevant certification body. Registration fees shall not be refunded for reasons such as the revocation

or return of certification, or removal from a group.

## 8.2. Rights

- (1) A farm or group may submit complaints or objections to a certification body (section 6.6 of these regulations).
- (2) A farm or group may submit complaints or objections to an accreditation body or JGF (sections 4.6 and 5.4 of these regulations).
- (3) A farm or group has the right to allow a third party to view the audit reports and related information created by the certification body in relation to the farm or group concerned.

# 9 Basics of the Certification Program

## 9.1. Documents Related to the Certification Program

Documents related to the Certification Program are as follows. Copyrights to the Certification Program rest with JGF and can be used by all related parties. Note that when derivative works are created from these documents, prior permission must be obtained from JGF.

### (1) JGAP General Regulations

These regulations, a document stipulating the basic rules and certification process for the Certification Program, and provisions pertaining to organizations, farms and groups associated with the Certification Program.

### (2) JGAP Control Points and Compliance Criteria for Farms

This document summarizes the management points that are common to a wide range of producers in terms of farm operation, food safety, livestock hygiene, environmental conservation, occupational safety, respect for human rights and animal welfare from the perspective of appropriate farm management. For agricultural produce, the JGAP Control Points and Compliance Criteria for Farms has versions for fruits and vegetables, grains and tea.

### (3) JGAP Control Points and Compliance Criteria for Group Administration

This document summarizes the points to be controlled by group administration in order to manage groups.

### (4) Guidelines

Documents that supplement the above documents (1) through (3).

### (5) Detailed Rules

Documents that stipulate provisions for each related body or party to supplement the JGAP General Regulations.

### (6) JGF Standard Item List

Document showing the names of items that are listed on JGAP certificates.

### (7) Technical Letter

Documents that explain item (1) through (4) above. These documents are published through JGF's website on an irregular basis to address items that attract a large number of inquiries from certification bodies, farms, groups and other related parties, and other items thought to require separate explanation.

#### 9.1.1. Start date of operation and handling of previous editions

- (1) The operation start date for an edition of JGAP Control Points and Compliance Criteria is the date from which applications for audit under that edition are accepted. Other documents are applicable from the operation start date, and previous versions are invalidated.
- (2) The application deadline for a first-time audit or renewal audit using a previous edition of the JGAP Control Points and Compliance Criteria as the certification standards is one year from when operation of the new edition starts, and an audit of the relevant farm or group must be conducted within 90 days of the application deadline.
- (3) A farm or group planning a maintenance audit after the latest edition of JGAP Control Points and Compliance Criteria have entered operation will generally undergo audit using the previous edition as the certification criteria, but is able to undergo an audit using the latest edition as the certification criteria. However, in this case, the JGAP certificate needs to be amended due to the version of audit criteria having changed.
- (4) For non-conformances identified during the application period of the previous edition of the JGAP General Regulations, even if the latest edition comes into effect during the corrective action period, the requirements of the previous edition are applied.

#### 9.2. Scope of the Certification Program

- (1) Certification only covers produce that has been produced by a farm or group.
- (2) The items covered by certification are the produce listed in the JGF Standard Item Name List. Items that are not found in the JGF Standard Item Name List are added when accepted by JGF upon application. The items that are certified can be limited to a subset of the items produced by a farm or group.
- (3) The scope of certification is specified by the combination of each item to be certified and each process (Table 2). However, a farm or group cannot obtain certification without including the cultivation and harvesting processes in the certification scope. In addition, when the tea finishing process is included in the certification scope for tea, the produce handling process must be included in the certification scope. Similarly, when the rice polishing process is included in the certification scope for grains, the produce handling process must be included in the certification scope.

Also note that for shipping, the certification scope runs to up to the completion of the handover of produce to the shipping destination (including consignment sales destinations).

- (4) Parallel cultivation is not allowed.
- (5) Parallel handling is allowed.

Table 2: Scope of Certification

Certification Criteria	Process	Description of the process
Fruits and Vegetables	Fruits and vegetables (cultivation and harvest process)	The process from the cultivation of fruits and vegetables (horticultural crops or aquatic plants) to their harvesting and transportation or shipping.
	Fruits and vegetables (produce handling process)	The process between harvesting and shipment, including post-harvest washing, rinsing, preparing, sorting, grading, packing and storing.
Tea	Tea (cultivation and harvesting process)	The process from the cultivation of tea to its plucking*, transportation and shipping. * Plucking: harvesting in the context of tea
	Tea (produce handling process)	The process from the preparation, processing and storage of unprocessed tea to its shipping
	Tea (tea finishing process)	The process from the manufacturing, package and storage of finished tea to its shipping
Grains	Grains (cultivation and harvest process)	The process from the cultivation of grains and legumes to their harvesting, transportation or shipping
	Grains (produce handling process)	The process from post-harvest drying, preparation, sorting, grading, packaging and storage to shipping,
	Grains (rice polishing process)	The process from the polishing, sorting, grading, packaging and storage of raw brown rice to its shipping

### 9.3. Types of Certifications

Under the Certification Program there is individual certification and group certification (Table 3). It is possible for a farm that has obtained individual farm certification to take part in a certified group at the same time. However, such a farm must submit to audit for both types of certification.

#### 9.3.1 Individual farm certification

When the following points (1) and (2) are met, individual certification applies.

- (1) When a farm is operated by a single management entity.
- (2) When a farm is under a unified management structure (single farm).

#### 9.3.2. Group certification

When the following points (1) through (3) are met, group certification applies. Note that group certification is applied to an entire group, and does not indicate that the individual member farms that make up a group are individually certified.

- (1) A group that is made up of multiple member farms that fall under difference management structures.
- (2) A group with a group administration body that manages all member farms that make up the group with a single management system.
- (3) Shipping is managed by the group administration.

Table 3: Types of Certification

	Individual certification	Group certification
Number of constituent sites (member farms)	One	Multiple
Group administration	No	Yes

#### 9.4. Certification Validity Period

- (1) JGAP certification is valid for two years.
- (2) The period of validity for initial certification is two years from the date that a certification body decides on certification (initial certification date).
- (3) The period of validity for renewal certification is fixed from the month and date when the initial certification expires and lasts for two years counting from the day following the expiry of the previous certification.
- (4) A farm or group that wishes to alter the certification expiry date can apply to the certification body to have it shortened, and can make adjustments by conducting an audit ahead of the scheduled renewal audit. Changes that extend the period of validity for a certification are not allowed.

#### 9.5. Types of Audit

##### 9.5.1 General

Audits include initial audits conducted to obtain certification, and maintenance audits or renewal audits conducted periodically to continue certification. In addition to these, additional audits and extraordinary audits may be conducted as needed. Audits must be conducted in accordance with the following.

- (1) For an initial audit, maintenance audit or renewal audit, all of the control points in the JGAP Control Points and Compliance Criteria are assessed as either "Compliant," "Non-compliant" or "Not applicable."

- (2) For an initial audit, maintenance audit or renewal audit, the produce handling process for at least one of the items subject to audit during the certification validity period must be inspected.
- (3) During an initial audit, maintenance audit or renewal audit, when there are multiple items subject to certification, as a general rule those items that have not been checked in previous audits are inspected on a priority basis.
- (4) The man-hours spent on an initial audit, maintenance audit or renewal audit are calculated according to section 9.6 of these regulations.
- (5) Audits must be conducted on consecutive days. However, when unavoidable due to the circumstances of a farm, group or the certification body (such as when the purpose of audit cannot be achieved by conducting an audit on consecutive days), an audit may be split. The audit interval shall be no greater than three months.
- (6) Costs related to audits are borne by the relevant farm or group.

#### 9.5.2. Initial audit

- (1) An initial audit is an audit conducted for the first time with the aim of assessing that the farm or group has an operating structure that meets the JGAP criteria.
- (2) As a general rule, a certification body confirms conformance at a site or facility for at least one item to be certified among items applied for the certification.

#### 9.5.3. Maintenance audit

- (1) A maintenance audit is conducted with the aim of assessing specifically how operation that meets JGAP criteria is being practiced by a farm or group between the time from initial audit or the last renewal audit to the next renewal audit.
- (2) The certification body must confirm conformance at a site or facility for at least one item to be certified among certified items. Selection of the inspected items and the audit timing for items must be determined based on risk assessment.
- (3) This must be implemented over a period from the certification date to six months before the period of certification expires.

#### 9.5.4. Renewal Audit

- (1) A renewal audit is an audit conducted with the aim of assessing that a farm or group continues to have an operating structure that meets the JGAP criteria, in light of previous audit results.
- (2) As a general rule, a certification body confirms conformance at a site or facility for at least one item to be certified among items applied for the certification.
- (3) A renewal audit must be conducted within six months of the period of certification expiring, and a determination on the renewal of certification must be made within the certification validity period. The renewal audit is conducted at an appropriate time, taking into account the timing of maintenance audits.

#### 9.5.5 Additional audit

- (1) In the following cases, a certification body can conduct an additional audit.
  - (a) When the conformance rate for Major Must items is 70% or lower as a result of an initial audit, maintenance audit or renewal audit
  - (b) When as a result of an initial audit, maintenance audit or renewal audit, an auditor determines that it is necessary to confirm that corrective actions have been taken on-site, and this determination is accepted by the certification body
  - (c) When necessary as a result of a review of certification results or a certification decision
  - (d) When deemed necessary by a certification body that has received an application in relation to post-certification changes described in section 10.12 of these regulations
  - (e) When it is found at the time of audit that the audit application details (section 10.2 of these regulations and the desired scope of certification (section 9.2 of these regulations) differ
- (2) An additional audit is generally conducted on-site.
- (3) The man-hours spent on the audit are calculated based on the purpose and details of the additional audit.

#### 9.5.6 Extraordinary audit

- (1) Irrespective of the audit frequencies stipulated in these regulations, in the following cases a certification body must consider conducting an extraordinary audit.
  - (a) When a serious event that could impact the credibility of certification has occurred
  - (b) When there is evidence or suspicion of an issue with compliance related to certification
  - (c) When there is evidence or suspicion of non-conformance on the part of a farm or group
- (2) An extraordinary audit is generally conducted on-site.
- (3) The man-hours spent on the audit are calculated based on the purpose and details of the extraordinary audit.
- (4) The timing of notification of an extraordinary audit are determined based on circumstances.

### 9.6. Man-hours Spent on Audits (Hours)

#### 9.6.1 Individual certification

- (1) Table 4 below gives the standard man-hours spent on audit for an initial audit, maintenance audit or renewal audit described in section 9.3.1. of these regulations.

Table 4: Standard Man-hours Spent on Audits for Individual Certification

Standard process	Standard man-hours spent on audit
Fruits and vegetables (cultivation and harvest process + produce handling process)	6 hours

Grains (cultivation and harvest process + produce handling process)	6 hours
Tea (cultivation and harvest process + produce handling process)	7 hours

- (2) Regarding the man-hours spent on audit, the certification body will determine an increase or decrease in the man-hours spent on audit based on a comprehensive consideration of elements including at least the following.
  - (a) Type of Audit
  - (b) Scope of Certification (Number of Items / Processes)
  - (c) Size of the Farm (site area, etc.)
- (3) When the man-hours required for audit are reduced based on the standard man-hours for audit, the reduction rate may be no greater than 50%.

#### 9.6.2. Group certification

##### 9.6.2.1 Group administration

- (1) The standard man-hours for audit is six hours.
- (2) Regarding the man-hours spent on audit, the certification body will determine an increase or decrease in the man-hours spent on audit based on a comprehensive consideration of elements including at least the following.
  - (a) Type of Audit
  - (b) Size of the Group
  - (c) Degree of division of roles between group administration and constituent member farms
- (3) When the man-hours required for audit are reduced based on the standard man-hours for audit, the reduction rate may be no greater than 50%.

##### 9.6.2.2 Single farm making up a group

- (1) The standard man-hours for audit is four hours.
- (2) Regarding the man-hours spent on audit, the certification body will determine an increase or decrease in the man-hours spent on audit based on a comprehensive consideration of elements including at least the following.
  - (a) Type of Audit
  - (b) Degree of division of roles between group administration and constituent member farms
- (3) When the man-hours required for audit are reduced based on the standard man-hours for audit, the reduction rate may be no greater than 50%.

#### 9.7 Criteria for Determining (Judging) Certification

Certification is granted when, as a result of an audit of a farm or group, that farm or group has taken corrective action to address identified non-conformances, and the following conformity has been



observed. A farm that has obtained certification is referred to as a "JGAP-certified Farm," and a group that has obtained certification is referred to as a "JGAP-certified Group."

(1) Individual certification

[JGAP Control Points and Compliance Criteria for Farms]

- 100% conformity with the applicable Major Must items
- At least 85% compliance with the applicable Minor Must items

(2) Group certification

[JGAP Control Points and Compliance Criteria for Group Administration]

- 100% compliance with the applicable items

[JGAP Control Points and Compliance Criteria for Farms]

- 100% conformity with the applicable Major Must items
- At least 85% compliance with the applicable Minor Must items

## 10 Management of Certification

### 10.1. Acceptance of Applications

A farm or group submits an audit application to a certification body that has been accredited by an accreditation body in accordance with these regulations. JGF does not allow JGAP certifications to be performed by any other bodies. A certification body may reject an application only when there is a valid reason.

### 10.2. Audit Application Form

The certification body shall prepare an audit application form that includes the following items, and the relevant farm or group shall fill in the required items in the form and submit its application.

- (1) Types of Certifications (Individual Farm Certification and Group Certification)
- (2) Types of Audits (Initial Audit, Maintenance Audit, Renewal Audit)
- (3) Desired timing of the audit
- (4) Name of the supervisor
- (5) The applicable certification criteria
  - (a) The edition of the JGAP Control Points and Compliance Criteria for Farms and the type of agricultural produce (fruits and vegetables, grains, tea)
  - (b) Edition of the JGAP Control Points and Compliance Criteria for Group Administration
- (6) Audit Criteria (when applicable)
- (7) Basic information about the farm or group
  - (a) Individual certification: The name of the farm, its address, the name of its representative, name of the farm manager, contact details
  - (b) Group certification: Name of the group; the name of its representative; name of group administration; its address and contact details; name of the manager of group administration; names, addresses and farm manager names of all of the member farms

that make up the group; information on new additions or removals to the member farms making up the group

- (8) Items to be certified (items included in the JGF standard item name list) and the form in which the items will be shipped (when applicable)

- (9) Information about farm sites

Names of the sites <sup>\*1, \*2</sup>, the certified items planted in each site and the state of the items at the desired timing for audit (scheduled to be planted, under cultivation, being harvested, etc.), and the area of each site

<sup>\*1</sup> For group certification, this information is listed for each member farm that makes up the group.

<sup>\*2</sup> Sites are to be given names based on the items planted in them and the classification required for management.

- (10) Information about produce handling facilities

The names and addresses of the produce handling facilities, the names and contact details of their managers, details of the work performed at the produce handling facilities

When produce handling work is outsourced, in addition to the above, the name of the management entity of the produce handling facility and the name of its manager

- (11) Information about warehouses and storage structures

Name (identifiable name), address, and the main items stored (agricultural chemicals, fertilizer, machinery, fuel, etc.)

- (12) Information about outsourcing

The scope of the work that is outsourced, the names, addresses and contact details of the subcontractors, and their third-party certification status

- (13) Information about workers

Whether a farm employs workers, if so their number and employment status (permanent or temporary), and whether foreign workers are employed

- (14) Information about conditions to be observed by the auditor when entering the farm

Information the applicant wishes to communicate to the auditor in advance for when they enter the farm (such as items which must not be brought in to the premises), and information the applicant wishes to obtain for the auditor in advance (clothing to be worn while on the farm, shoe sizes, and so on)

- (15) Confirmation that corrective actions with respect to a self-assessment (individual certification) or internal audit (group certification) have been completed

- (16) For individual certification, a document that clarifies each of the managers required by the JGAP Control Points and Compliance Criteria for Farms

- (17) For group certification, documents that show the organizational structure of the group, and materials showing the division of roles between group administration and member farms (division of roles table and group management manual, etc.)

### 10.3. Checking of Applications

A certification body must check applications including the details of the audit application form it receives.

### 10.4. Audit Plans

#### 10.4.1. General

- (1) The certification body must create an audit plan based on the audit application form and agree with the relevant farm or group only at least the following.
  - (a) The date of the audit
  - (b) The man-hours to be spent on the audit
  - (c) The scope of certification (what is to be audited)
- (2) The certification body must share information concerning means of transportation, accommodation and lunch with the farm or group in advance.
- (3) When the management structure of the farm or group is complicated and it is difficult to formulate an audit plan on the basis of the information in the audit application alone, the certification body may request additional materials (group management manual, etc.).

#### 10.4.2. Auditors

- (1) Certification bodies must appoint auditors that meet the requirements of these regulations. To ensure fairness, certification bodies must establish regulations concerning the appointment of auditors.
- (2) When a certification body forms a team of multiple audits to perform audits, it must appoint an audit team leader.
- (3) A certification body must confirm in advance that there are no conflicts of interest between an auditor and a farm or group they are to audit.
- (4) When a farm or group seeks the recusal of an appointed auditor for a valid reason such as a conflict of interest or risk concerning impartiality, the certification body must comply with the request.

#### 10.4.3. Audit plans for individual certification

- (1) When there are multiple sites at a single farm, sites considered appropriate for verifying the management state of the farm may be sampled for audit, and used as the basis for producing audit results.
- (2) When there are multiple produce handling facilities, in principle each facility should be audited.
- (3) If a subcontractor is not JGAP/ASIAGAP certified or has not undergone third-party certification acknowledged by JGF, the certification body must audit the outsourced work (including records of such work) in accordance with the risks posed.

#### 10.4.4 Audit plans for group certification

- (1) The certification body must first audit group administration. However, prior to an audit of group administration, a small number of member farms sampled may be audited as needed.
- (2) The certification body must develop a plan for the audit of the member farms that make up a group based on the following.
  - (a) Member farms tasked with cultivation and harvesting processes are sampled and the number of member farms sampled is more than the square root of the total number of member farms.
  - (b) When the same member farm is responsible for cultivation/harvesting processes and produce handling processes, the number of member farms sampled is more than the square root of the total number of such member farms.
  - (c) In principle, all member farms responsible for produce handling processes which are not included in item (b) above are also audited. However, if the work processes and activities of a member farm responsible for produce handling processes are similar, the number of member farms sampled can be more than the square root of the total number of member farms responsible for similar produce handling processes.
  - (d) The following factors are considered in the selection of the member farms to be audited.
    - Results of the internal audit of the member farm
    - Results of previous certification audits of the member farm
    - Changes that have occurred since the previous certification audit
    - The size of the member farm
  - (e) When, as a result of the audit application form submitted by the group or the results of verifying the previous audit results, there is an indication of special circumstances regarding the following factors, the number of member farms sampled will be increased.
    - Results of the internal audit of the member farm
    - Complexity of the group management manual or division of roles
    - Degree of risk posed by the items or processes involved
    - Differences in the work procedures followed by the member farm
    - Size of the member farm and its number of employees
  - (f) In the case of an initial audit and renewal audit, the audit of all member farms is to be completed in principle within one month of the implementation date for the group administration audit.
  - (g) If a subcontractor is not JGAP/ASIAGAP certified or has not undergone third-party certification acknowledged by JGF, the certification body shall audit the outsourced work (including records of such work) in accordance with the risks posed.
- (3) The certification body must document its procedures for determining the number of member farms sampled and the sampling selection process, and maintain records showing that the member farms to be audited were selected in accordance with those procedures.

#### 10.4.5. Remote audits

When a certification body uses information and communication technologies to conduct a remote audit, it must plan and implement the audit based on these regulations and the JGAP Remote Audit Guidelines.

#### 10.5. Implementing Audits

- (1) Certification bodies conduct audits based on audit plans.
- (2) Certification bodies carry out audits in accordance with the JGAP Control Points and Compliance Criteria for Farms or the JGAP Control Points and Compliance Criteria for Group Administration, as applicable.
- (3) Auditors record the audit results on a checklist <sup>\*1</sup> and create a list of non-compliant items<sup>\*2</sup> and audit report. After the audit is complete, the farm or group is provided with the list of non-compliant items and the audit report.

<sup>\*1</sup> The checklist lists the determination of "Compliant," "Non-compliant" or "Not applicable" for all control points in the Control Points and Compliance Criteria, and objective evidence for those determinations. When an item is deemed "Not applicable," it needs to be possible to demonstrate the justification for the determination.

<sup>\*2</sup> The list of non-compliant items must include clear and accurate information about the non-compliant items.

- (4) When multiple auditors form a team to conduct an audit, the audit shall be conducted based on the following.
  - (a) It is preferable that all auditors attend the meeting at the start of the audit and the meeting at the end of the audit.
  - (b) Before the start of the meeting at the end of audit, the audit team leader will check all non-compliant items found and represent the audit team in reporting on the audit results to the farm or group.
- (5) During an audit for group certification, the audit team leader disseminates the results of the group administration audit among team members and audits of the member farms making up the group are then conducted.
- (6) For an audit for group certification, the audit team leader reports the results of the audit for group certification to the group administration after the audits of all member farms are complete.
- (7) A group or farm may ask questions about audit results to an auditor. Persons taking part as observers may not speak to an auditor without their permission during an audit.

#### 10.6. Corrective Action on Non-Compliant Items and Verification

- (1) For items identified as non-compliant as a result of an audit, the farm or group must take appropriate corrective actions and submit a report on the corrective actions to the certification body. The certification body shall set a deadline for the submission of the report on corrective actions that is within four weeks of the audit date.

- (2) The certification body must verify the plans for corrective actions and the corrective actions taken. Verification can be performed through the submission of documents or photographs, or through the use of information and communication technology or additional audits, but the verification must be carried out in a way that is appropriate and effective by the person who conducted the audit. When an additional audit is conducted to confirm the details of corrective action, it should be conducted within eight weeks of the audit date.

#### 10.7. Review of Audit Results

The certification body must review audit results. A review must be conducted by a person who was not involved with the audit in question.

#### 10.8. Determining (Judging) Certification

- (1) In principle, a certification body must make a determination on certification within three months of the end of an audit.
- (2) To ensure that a determination on certification is made based on all information related to an audit, the review of the audit and other related information, one or more people must be appointed as certification decision makers. A determination of certification must be made by a person who was not involved in the audit in question.
- (3) When making a certification decision, the certification body must decide to award certification, require corrective action, or conduct additional audits.

#### 10.9. Prohibitions

- (1) Auditors, reviewers of audit results and certification decision makers must not compromise the impartiality of the process.
- (2) Auditors, reviewers of audit results and certification decision makers must not provide consulting services\* to an audited farm or group or engaged in sales activities including the sale of its products in the three years prior to the date of a certification decision, and must not engage in such activities for three years after.
  - ※ Consulting refers to the provision of JGAP-related advice or instruction specific to a farm or group. Working as an instructor providing education or training on general information to an unspecified audience is not considered to be consulting.

#### 10.10. Certificates

After a decision to certify a farm or group has been made, the certification body must promptly provide the farm or group a certificate that includes the following items (1) through (13). When there are changes to the items listed on a certificate, the certificate is amended.

- (1) JGAP certification logo
- (2) The name and address of the certification body, its logo, and the name of its manager
- (3) Individual certification: The name and address of the farm

Group certification: The name of the group, the address of the group administration, and the names and addresses of all its constituent member farms

- (4) The registration number issued by JGF
- (5) The date on which the certification was awarded (for initial certification, the initial certification date; for renewal certification, the renewal certification date)
- (6) The certification validity period
- (7) The date of issue of the certificate (including when changes were made to the information listed on the certificate)
- (8) Certification Criteria
  - JGAP Control Points and Compliance Criteria for Farms
  - JGAP Control Points and Compliance Criteria for Group Administration
- (9) Audit criteria (when the certification criteria and audit criteria differ)
- (10) The type of agricultural produce (fruits and vegetables, grains, or tea)
- (11) Certified items

As a general rule, the names of items listed in the JGF Standard Item Name List are used. If the form in which the items are shipped is specified, the relevant form is listed. For group certification, the names of items are listed for each member farm.

- (12) Scope of certification (process: Table 2 in section 9.2 of these regulations)

For group certification, the scope of certification is listed for each member farm.

- (13) Produce handling facilities

Names and addresses of produce handling facilities (when this includes produce handling facilities at subcontractors, the names of the management entities of such subcontractors are also listed)

## 10.11. Management of Farms and Groups

### 10.11.1 Reporting of certification

The certification body must retain information in accordance with the detailed regulations for certification work regarding the farms and groups to which it has awarded certification, and report that information to JGF.

### 10.11.2 Registration numbers

For an initial certification, the certification body submits the audit application form to JGF, and JGF provides a farm or group registration number to the certification body.

## 10.12. Post-certification Changes

- (1) When any of the following changes occur after certification, the farm or group concerned must submit an application for the changes to the certification body.
  - (a) When an item is added

- (b) When a produce handling facility is added
- (c) When a member farm within a group is added
- (d) When other changes to the items listed on the certificate occur
- (2) The certification body must respond as follows based on the details of the application.
  - (a) Document review or additional audit (section 9.5.5 of these regulations)
  - (b) Review of audit results
  - (c) Determination of certification
  - (d) Issuance of a certificate reflecting the changes
  - (e) Reporting to JGF

### 10.13. Temporary Suspension, Revocation, Return, End or Narrowing of the Scope of Certification

#### 10.13.1. Reporting

When a farm or group has voluntarily returned, ended or narrowed the scope of certification, or when a certification body has temporarily suspended, revoked or narrowed the scope of certification of a farm or group, the certification body must promptly report this to JGF.

#### 10.13.2. Handling the temporary suspension, revocation or narrowing of scope of certification

- (1) When any of the following circumstances apply to a farm or group, the certification body must consider and decide whether to temporarily suspend or revoke the farm or group's certification, narrow the scope of its certification, or continue with certification under certain conditions.
  - (a) When the farm or group has violated its agreement with the certification body
  - (b) When the farm or body has not paid the stipulated fees related to certification activities
  - (c) When, despite having been notified of a violation of regulations, the farm or group is unwilling to take the appropriate corrective action, or has not submitted a report on corrective action within three months of said notification.
  - (d) When, despite non-compliance in a Major Must item at a member farm that makes up a group having been discovered as a result of an internal audit, the group or the member farm concerned is unwilling to take the appropriate corrective action, or has not submitted a report on corrective action within three months of said discovery
  - (e) When a farm or group continually refuses to submit to extraordinary audits (section 9.5.6 of these regulations)
  - (f) When, despite the certification body having encouraged a farm or group to appropriately submit an audit application for the next audit, the farm or group did not submit or make known its intentions to submit an application, and an audit could not be conducted within the audit timing stipulated in section 9.5 of these regulations\*

\* If the due date for a maintenance audit has expired, certification is returned, and if the date of validity of certification has passed, the certification is ended. If a farm or group wishes to continue certification, it must undergo an initial audit for certification.

- (g) When it is determined that the audit results cannot be trusted due to an inappropriate



relationship with the auditor that conducted the audit

- (h) When there has been a betrayal of consumer trust due to inappropriate sales methods or otherwise, such as a violation of place of origin labeling or a violation concerning the use of the JGAP logo, or when laws and regulations related to agriculture, food, the environment, labor or otherwise have been violated and the farm or group concerned has been deemed unsuitable for certification
  - (i) When the bills of the farm or group are no longer honored, when it has been subject to disposition for delinquent payment of taxes and other public dues, when it has been subject to seizure or other compulsory execution, or when similar circumstances have arisen
- (2) When a certification body revokes the certification of a farm or group, it is preferable for it to provide a written warning to the farm or group in advance, but it may revoke certification immediately.
  - (3) When a farm or group receives a decision to have its certification temporarily suspended or revoked, or have the scope of its certification narrowed, it may not use the JGAP logo on the produce that falls under scope no longer certified.
  - (4) When the grounds for the revocation of certification involve malicious conduct on the part of a farm or group and involve social trust, the farm or group concerned may not re-apply for certification for a period of five years after the date of revocation. JGF will post the name of the farm or group concerned on its website and will take legal action such as filing a criminal complaint or claims for compensation as needed.

#### 10.13.3. Lifting of temporary suspension

- (1) To resolve a temporary suspension of certification, a certification body must respond through a process of audit, review of audit results and determination.
- (2) When a temporary suspension of certification is lifted, the certification body must make all the necessary corrections to the certificate, public information, and so on.

#### 10.14. Changing the Certification body

##### 10.14.1. When a farm or group wishes to change their certification body

- (1) A farm or group that wishes to change its certification body must indicate to its current certification body its intent not to continue certification with that body.
- (2) When certification is obtained from a new certification body, the certification granted by the previous certification body is voided.
- (3) A certification body must respond in one of the following ways. In either case, the certification determination date (date of initial certification or date of renewal certification) will be the date determined by the new certification body.
  - (a) When a farm or group submits a copy of the certificate furnished by the previous certification body and a set of audit report documents including lists of non-compliant

items, the application will be treated as a renewal certification.

- (b) When the documents described in item (a) are not submitted, or if the farm or group requests initial certification, the application will be treated as initial certification.

#### 10.14.2 When a change occurs due to circumstances of the certification body

- (1) When a certification body is no longer able to continue with certification activities due to circumstances such as the return, revocation or narrowing of its accreditation, the certifications of the farms and groups it has certified will continue through their respective periods of validity.
- (2) When undergoing audit by a new certification body, such a farm or group must submit its certificate.
- (3) Even when the next audit such a farm or group is scheduled to undergo is either a maintenance audit or renewal audit, by submitting previous audit documents (a set of audit reports) to the new certification body, the farm or group can undergo an audit that takes the previous audit into account.
- (4) After the necessary audit has been conducted, the period of validity of certification with the new certification body will maintain the previous period of validity.

## 11 Certification-related Labeling

### 11.1 The JGAP Logo

JGF owns the trademark rights to the JGAP logo.

### 11.2. Parties Able to Use the JGAP Logo

Only those parties that have submitted an application to JGF and have been licensed to use the JGAP Logo in accordance with these regulations and the separately prescribed Detailed Rules on the Use of the JGAP Logo may use the logo. However, JGF will not grant usage of the JGAP Logo to any of the following parties.

- (1) A party who, as uncovered by JGF through audits or otherwise, has engaged in improper conduct in relation to the use of the JGAP logo
- (2) A party who has had their license to use the JGAP logo revoked in the past five years
- (3) A party who, due to past violations of laws and regulations or otherwise, has been deemed unsuitable as a user of the logo by JGF

### 11.3 How to Use the JGAP Logo

For details on how to use the JGAP logo, follow the Detailed Rules on Use of the JGAP Logo.

### 11.4 Labeling Related to JGAP Certification Not Using the JGAP Logo

While it is possible to make representations concerning JGAP certification without using the JGAP Logo, in such cases, the representations must be made in a way that does not cause

misunderstanding as to the scope of certification or the items certified.

#### 11.5 Handling of Misleading Representation Concerning the JGAP Logo and JGAP Certification

In addition to these regulations and the Detailed Rules on Use of the JGAP Logo, a user of the JGAP Logo must observe the Trademark Act, the Unfair Competition Prevention Act, the Act Against Unjustifiable Premiums and Misleading Representations, and other relevant laws and regulations. If a user of the JGAP Logo has used the logo in violation of the designated provisions, JGF may take legal action against the user concerned, including obtaining an injunction against its use, claiming compensation for damages, or criminal prosecution.

## 12 Trainers

### 12.1 Types of JGAP Trainers

#### (1) JGAP Trainer

A JGAP trainer provides guidance, consultation, and advice and support about farm management practices to help a farm achieve appropriate and efficient farm management, and acquire or maintain JGAP certification.

#### (2) Senior JGAP trainer

A senior JGAP trainer helps a farm or group engage in appropriate and efficient farm management, helps develop a group management system, and provides advice and support for a farm or group to obtain or maintain JGAP individual farm certification or group certification.

### 12.2 Requirements for Trainers

The requirements for JGAP trainers stipulated in these regulations are set forth in the Detailed Rules for JGAP Trainers.

## 13 Training Organizations

### 13.1 Approval

- (1) JGF approves training organizations based on the Detailed Rules on Training Organization Approval.
- (2) An approved training organization may conduct training courses set by JGF within the scope for which it has been approved.

### 13.2 Obligations

- (1) Training activities must be conducted based on the Certification Program and any agreements entered into with JGF.
- (2) A training organization must subject to an approval audit conducted by JGF. When JGF determines that a matter impacting approval has occurred, a training organization must submit to an extraordinary audit.

- (3) A training organization must pay an approval registration fee stipulated separately.
- (4) Details of objections, complaints and disputes from students and other related persons concerning the approved training services, and the responses to those matters must be recorded, and reported at the request of JGF.
- (5) Approved training organizations must actively participate in training sessions or meetings as requested by JGF.

### 13.3 Rights

Training organizations may conduct training on the Certification Program within the approved scope, and may issue records certifying completion or successful passing of the training to students.

### 13.4 Revocation of Approval

If a training organization does not meet the provisions stipulated in section 13.2 of these regulations or grounds arise for JGF to determine that the training organization is unsuitable, its approval will be revoked. In principle, before approval is revoked JGF issues a written warning to the training organization concerned, but JGF may revoke approval immediately.

## 14 JGAP Certification Using Documents Relating to the Differences Between JGAP and Other Certification Programs

### 14.1 General

A farm or group can use "documents relating to the differences between JGAP and other certification programs" to omit audits regarding areas of overlap with other certification programs and JGAP, and obtain JGAP certification in an efficient manner.

### 14.2 Process Up to the Approval of "Documents Relating to the Differences between JGAP and Other Certification Programs"

- (1) The copyright holder of another certification program that wishes to obtain approval for "Documents Relating to the Differences between JGAP and Other Certification Programs" may submit an application to JGF with respect to such documents.
- (2) The Technical Committee will then review the "Documents Relating to the Differences between JGAP and Other Certification Programs" and determine whether to recommend the documents to the board of JGF.
- (3) If the Technical Committee determines that the documents can be recommended, the chairperson of the committee submits the recommendation to JGF's board.
- (4) The board of JGF approves "Documents Relating to the Differences between JGAP and Other Certification Programs."
- (5) JGF publishes "Documents Relating to the Differences between JGAP and Other Certification

Programs" and announces them on its website and elsewhere.

#### 14.3 Implementation of Certification

JGAP certification using "Documents Relating to the Differences between JGAP and Other Certification Programs (for farms, for group administration)" is implemented according to the following.

- (1) The certification body for the other certification program and the certification body for Certification Program must be the same.
- (2) Only a farm or group holding certification under the other certification program may undergo an audit using "Documents Relating to the Differences between JGAP and Other Certification Programs (for farms, for group administration)," hereafter referred to as a "differential audit."
- (3) At the time of applying for certification under the Certification Program, a farm or group wishing to undergo a differential audit shall submit documents (certificate) that allow their certification under the other certification program to be confirmed.
- (4) The JGAP certificate that is issued shall list "Documents Relating to the Differences between JGAP and Other Certification Programs (for farms, for group administration)" as the audit criteria with the edition.
- (5) As JGAP certification will expire when the expiration date of the certification under the other certification program passes, if the certification under the other certification program will expire within two years of the date of JGAP certification, the expiry date for the other certification program will be adopted as the expiry date for JGAP certification.
- (6) The certification body and the farm or group are required to respond in accordance with the Certification Program.

#### 14.4 Transitioning to Audit Using the JGAP Control Points and Compliance Criteria

A farm or group may transition from a differential audit to an audit using the JGAP Control Points and Compliance Criteria. In such cases, irrespective of the timing of audit, the date of certification renewal will be the date on which certification is decided, and the expiry date for the certification will be two years from the day following the renewal certification date.

## 15 Concurrent JGAP and ASIAGAP Certification

### 15.1 General

It is possible to obtain concurrent certification for the ASIAGAP certification program and JGAP certification program which are both run by JGF, depending on the audit criteria, scope of certification and certified items.

### Revision History

Issue Date	Operation Date	Version	Outline of Revisions, etc.
2007.05.15	2007.05.15	2nd Edition	Newly established
2007.06.22	2007.06.22	2.1 Edition	-
2007.11.15	2007.11.15	2.2 Edition	-
2008.11.13	2008.11.13	2.3 Edition	-
2010.03.31	2010.07.01	2010	-
2011.10.01	2011.10.01	2011	-
2013.04.01	2013.04.01	2013	-
2014.12.25	2015.04.01	2014	-
2016.05.27	2016.09.01	2016	-
2017.07.06	2017.08.01	2017	Separation of general regulations for JGAP and ASIAGAP
2022.11.14	2023.02.14	2022	<ul style="list-style-type: none"> <li>• Revision to overall chapter structure</li> <li>• Simple descriptions adopted and clear intent of requirements presented</li> <li>• Typefaces changed to universal design fonts.</li> <li>• Member farm concept adopted as units of audit</li> <li>• Chapter 6: Stipulated Detailed Regulations for the Registration of JGAP Auditors as registration requirements for JGAP auditors</li> <li>• 9.2: Organizing Production Processes</li> <li>• 9.6: Clarified requirements for calculating man-hours to be spent on audits</li> <li>• 9.7: Changed compliance rate of 85% on Minor Must-level control points when granting certification</li> <li>• 10.4.4: Organized details according to MD1</li> <li>• Chapter 12: Stipulated Detailed Rules for JGAP Trainers as registration requirements for JGAP trainers</li> </ul>

			<ul style="list-style-type: none"> <li>Deleted chapter on "Benchmarking between JGAP and other GAP schemes"</li> </ul>
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