

ASIAGAP

Asia Good Agricultural Practice

Control Points and Compliance Criteria (for Group Administration)

Ver.2.3



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1. How to use this document

This document is used for both ASIAGAP group audits.

2. Copyright

This document has been developed by the Japan GAP Foundation, and its copyright belongs to the Japan GAP Foundation. When any entity intends to produce a secondary document that derives from this original, the entity needs to have permission from the Japan GAP Foundation in advance.

3. Disclaimer

The Japan GAP Foundation and ASIAGAP certification bodies shall not be held legally responsible for the agricultural produce sold by the certified farms and groups.

4. Terms and definitions (See also the "ASIAGAP General Regulations")

Note: When laws are quoted, unless otherwise specified, Japanese laws have been quoted.

- (1) ASIAGAP Certified Farm Logomark : Registered trademark owned by the Japan GAP Foundation. It represents that group/farm achieves ASIAGAP requirements that include farm management, food safety, environmental conservation, worker safety, human rights, and welfare.
- (2) Outsourcing: Subcontracting activities to external entities that are directly related to agricultural production. Such activities include sowing, planting, agrochemical application, fertilizer application, skiffing, pruning, harvesting, plucking, and produce handling. agricultural residue analysis, equipment maintenance, infrastructure development, accounting, etc. are not included, as they are not part of the agricultural production process. In the case of a group, support of agricultural activities among the group members is not considered to be outsourcing.
- (3) Farm: A farm is a management entity that conducts the production of agricultural produce having legal ownership of the agricultural produce and has a unitary management system. A Farm consists of either single site or multiple sites.
- (4) Site: The unit administrated under one control system. Each unit is required to grapple with "Control Points and Compliance Criteria". Site can be farm, jointly owned tune up area or sorting plant, country elevator, unprocessed tea plant. Multiple site means that there are multiple numbers of sites separately located.
- (5) Group: Organization that consists of multiple sites that are under the policy fixed by the group, and that has a representative and a group administration. When one management entity has multiple sites, it shall have an administration office, and in the case of they manage the site. they shall be group.

- (6) Group Certification : ASIAGAP certificate to be provided to Group/farm which is audited and verified the conformity against "ASIAGAP Control Points and Compliance Criteria (for Group Administration) " and Control Points and Compliance Criteria (for Farms).
- (7) Certified produce: Agricultural produce that meets all the following criteria
 - a) Shipped from certified farm or group within the certificate validity period
 - b) Item that is listed on the ASIAGAP certificate
 - c) Handled in a produce handling facility that is listed on the ASIAGAP certificate (when there is a produce handling facility on the farm)
- (8) Violation of rules by the farm/group: When a farm or a group violates regulations that were defined based on "ASIAGAP Control Points and Compliance Criteria for Farms" and "ASIAGAP Control Points and Compliance Criteria for Group Administration" or violates "General Regulations."
- (9) Group/farm management manual: Manual that is indispensable for managing a producer group and includes the following contents:
 - a) Procedures for group governance that meet the "ASIAGAP Control Points and Compliance Criteria for Group Administration."
 - b) Procedures for site management under the responsibility of the group administration that meet the "ASIAGAP Control Points and Compliance Criteria for Farms."
 - c) Common procedures for site management under the responsibility of the group members that meet the "ASIAGAP Control Points and Compliance Criteria for Farms."
- (10) Group administration: An administrative body that is set up within a group to govern the organization based on the ASIAGAP requirements.
- (11) Internal audit: A producer group's internal auditor and internal auditor assistant check and verify the status of group members' farm management, based on the group/farm management manual. The results of the internal audits are reported to the group administrator and the group representative. ASIAGAP requires at least one internal audit per year.
- (12) Internal auditor: A person who governs the internal audit.

No	Level	Control Point	Compliance Criteria	Result	Comment
A. Management structure of the group					
1. Basic information of the group and allocation of responsibilities					
1.1	Major	Basic information of the group	<p>The following documented information of the group are maintained.</p> <p>(1) Name of the group</p> <p>(2) Name of the group administration</p> <p>(3) Address and contact method(s) of the group administration</p> <p>(4) Property rights of agricultural produce and management responsibilities between the group and the member site</p> <p>(5) Property rights of agricultural produce and management responsibilities between the group and its client</p>		
1.2	Major	Organizational structure of the group	<p>There is a documented organizational chart or a its described document that shows the following responsible personnel.</p> <p>(1) Representative of the group</p> <p>(2) Responsible personnel of the group administration</p> <p>(3) Responsible personnel of internal audits</p> <p>(4) Responsible personnel that required by the "ASIAGAP Control Points and Compliance Criteria for Farms" (if the group administration manages the farms)</p>		
1.2.1	Major	Management Review by Representative of the group	<p>(1) Representative of the group shall review the effectiveness of the group management system at least once a year. At the reviewing time, representative of the group shall understand the output of each internal audit, include control point 4.6.1. Instructions on improvements given to the responsible personnel include improvement of group management manual are recorded.</p> <p>(2) Output of management review and instructions for responsible personnel are documented and maintained</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
1.2.2	Major	Responsible personnel of the group administration and responsible personnel for internal audits	<p>(1) The responsible personnel of the group administration shall demonstrate his/her knowledge of group management system.</p> <p>(2) Responsible personnel for internal audits shall demonstrate to fit under the following conditions.</p> <p>1) Certificated group internal auditor.</p> <p>2) ensure that creation, monitoring, review, and improvement of internal audit programme.</p>		
1.3	Major	Information on the member sites	<p>The following information of the member farms is registered.</p> <p>(1) Site name, address, contact numbers and the name of the top management</p> <p>(2) Site manager</p> <p>(3) Address of the sites and facilities</p> <p>(4) Produce items that are and will be cultivated or handling items</p> <p>(5) The size of cultivation area for each item (only in the case for the farm)</p>		
2. Contract management					
2.1	Major	Contract between the group and the member sites	<p>The group administration has a contract with the group member sites. The contract includes the following contents.</p> <p>(1) The group administration's name, address, contact numbers, and the name of the group's representative</p> <p>(2) The site name, address, contact numbers, and the name of the top management</p> <p>(3) Agreement to follow the group's principles and instructions</p> <p>(4) Agreement regarding sanctions in case of a violation of the contract</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
2.2	Major	Contract between the group and the subcontractors	<p>The group administration has a contract with the subcontractors. The contract includes the following contents.</p> <p>(1) The group administration's name, address, contact numbers, and the name of the group's representative</p> <p>(2) The subcontractor's name, address, contact numbers, and the name of the representative of the subcontractor</p> <p>(3) Rules for food safety regarding the outsourced activity and process</p> <p>(4) Agreement to respect the rules established by the group administration defined in (3)</p> <p>(5) Agreement regarding sanctions in case of violation of the contract</p> <p>(6) Agreement to accept an external audit and a request for corrective actions if any non-compliance is identified</p> <p>In a case where it is unable to have a contract between a group administration and a subcontractor, the group administration can alternatively confirm the documents that the subcontractor disclosed to the public.</p>		
3. Group/farm management manual					
3.1	Major	Allocation of responsibilities between the group administration and the member sites	<p>There is a document that states location of responsibilities between the group administration and the member sites for each control point of the "ASIAGAP Control Points and Compliance Criteria for Farms."</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
3.2	Major	Requirements for group/farm management manual	<p>There is a group/farm management manual to operate the group, and the manual includes the following content.</p> <p>(1) Methods and procedures for the group administration to implement the "ASIAGAP Control Points and Compliance Criteria for Group Administration."</p> <p>(2) Methods and procedures for the group administration to implement the "ASIAGAP Control Points and Compliance Criteria for Farms," based on the allocation of responsibilities defined in Control Point 3.1.</p> <p>(3) Methods and procedures for the member sites to implement the "ASIAGAP Control Points and Compliance Criteria for Farms," based on the allocation of responsibilities defined in Control Point 3.1. When the methods and procedures for any control point are different for each farm, such control points are indicated in the manual.</p>		
3.3	Major	Understanding of the group/farm management manual	The responsible personnel of the group administration ensures that the group administration and the member sites understand the corresponding parts of the group/farm management manual.		
B. Implementation of the group/farm management manual and verification of the implementation status					
4. Internal audit					
4.1 Internal audit program					
4.1.1	Major	Internal audit program procedures	Internal audit program procedures have been established, and documented. The procedures have been established to fulfill at least Control Points 4.2 through 4.6, stipulating information such as the purpose of auditing, ensuring the resources of internal auditors and assistant auditors, frequency and timing of internal audits, planning and implementation of individual audits, audit reviews and input to management reviews.		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.1.2	Major	Internal audit program formulation	<p>"An internal audit program has been formulated in accordance with Control Point 4.1.1, and the program has been approved by a member (or members) of personnel responsible for the group administration.</p> <p>(1) The timing for internal audits to be carried out under the internal audit program has been determined such that the group administration, all sites, all produce-handling facilities and all applicable subcontractors (Ref. Control Point 4.5.1) undergo audits at least once a year.</p> <p>(2) The internal audit program includes mechanisms that enable internal audits to be conducted based on a new group/farm management manual (when the "ASIAGAP Control Points and Compliance Criteria for Farms" and/or the "ASIAGAP Control Points and Compliance Criteria for Group Administration" are updated to a new version, and a corresponding group/farm management manual is created and put into operation), even when less than one year has passed since the previous internal audit. In such cases, an internal audit may be conducted to audit only parts where there are differences between the previous manual and the new manual. Additionally, the internal audit based on the new manual must be complete prior to an audit by a certification body."</p>		
4.2 Preparation for Internal audit					
4.2.1	Major	Requirements of an internal auditor and an internal auditor assistant	<p>The internal auditors and the internal auditor assistants shall meet the following requirements.</p> <p>(1) Internal auditors:</p> <p>1) The latest "ASIAGAP General Regulation 12.1.2</p> <p>(2) Internal auditor assistants:</p> <p>1) The latest "ASIAGAP General Regulation 12.1.3</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.2.2	Major	Internal auditor competence checks	Responsible personnel of internal audits verify, once a year or more, and approve that internal auditors and internal auditor assistants have the competence to conduct appropriate audits. The results of these verifications and approvals are recorded. When necessary, responsible personnel of internal audits attend and oversee internal audits, and record the results. Where a member of responsible personnel of internal audits is also an internal auditor him or herself, his or her competence is verified by another internal auditor.		
4.2.3	Major	Internal audits without conflicts of interest	Internal auditors and internal auditor assistants do not audit their own work to ensure impartiality.		
4.2.4	Major	Calibration of internal audits	When multiple internal auditors and internal auditor assistants are conducting internal audits, there is a mechanism to calibrate the interpretation of the standard and audit methods among them, and the implementation of the calibration mechanism is recorded.		
4.2.5	Major	Internal audit plan	Responsible personnel of internal audits ensure that a concrete plan is formulated for each individual internal audit in accordance with the internal audit program, and that the plan is documented. The plan contains the purpose of the audit, auditing criteria, applicable scope, schedule, selection of internal auditors and internal auditor assistants, and key points to be checked.		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.3 Internal audit of the group administration					
4.3.1	Major	Implementation of an internal audit of the group administration	<p>(1) An internal audit of the group administration is conducted based on the group/farm management manual, in accordance with an internal audit plan as described under Control Point 4.2.5.</p> <p>(2) The record of internal audit results contains at least the following contents.</p> <ol style="list-style-type: none"> 1) Internal audit date 2) Name of the internal auditor and internal auditor assistant 3) Name of the responsible personnel of the group administration that is subjected to the internal audit 4) Non-compliances 5) Corrective actions requested 		
4.3.2	Major	Corrective actions by the group administration	The group administration must take the corrective actions requested, and the results of the implementation are recorded.		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.4 Internal audit of the sites					
4.4.1	Major	Implementation of internal audits of the sites	<p>(1) An internal audit for each member farm and produce handling facility is conducted based on the group/farm management manual, in accordance with an internal audit plan as described under Control Point 4.2.5.</p> <p>(2) The record of an internal audit results contains at least the following information.</p> <ol style="list-style-type: none"> 1) Name of the sites 2) Internal audit date 3) Name of the internal auditor and internal auditor assistant 4) Non-compliances 5) Corrective actions requested or sanctions for rule violations 		
4.4.2	Major	Corrective actions of the sites	The farm must take the corrective actions requested, and the results of the implementation are recorded.		
4.4.3	Major	Internal audit of a new member site	<p>(1) A group administration conducts an internal audit of a new member site before admitting it to the group.</p> <p>(2) If there are non-compliances identified, these must be corrected and recorded in a document.</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.5 Internal audit of the subcontractors					
4.5.1	Major	Implementation of internal audits of the subcontractors	<p>(1) An internal audit for each subcontractor is conducted, in accordance with an internal audit plan as described under Control Point 4.2.5, to verify whether or not it is following the rules in the contract document described under Control Point 2.2.</p> <p>(2) The result of an internal audit contains at least the following information.</p> <ol style="list-style-type: none"> 1) Name of the subcontractor 2) Internal audit date 3) Name of the internal auditor and internal auditor assistant 4) Non-compliances 5) Corrective actions requested or sanctions for rule violations <p>In cases where the subcontractor is already certified by ASIAGAP or another third-party certification scheme recognized by the Japan GAP Foundation, the group administration can alternatively confirm the subcontractor's certificate with its scope and validity, instead of conducting an internal audit.</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.5.2	Major	Corrective actions of the subcontractors	The subcontractor must take the corrective actions requested, and the results of the implementation are recorded.		
4.6 Verification of the internal audit results					
4.6.1	Major	Judgements regarding lateral implementation	Responsible personnel of internal audits verify nonconformities discovered in internal audits, judge whether it is necessary to apply corrective measures laterally within the group, and implement measures where necessary. Where a management decision is required, this is used as reference material for considerations in reviews by the representative of the group. A chain of records is kept, including the results of lateral implementation of measures within the group.		
4.6.2	Major	Verification of internal audits by a responsible personnel of internal audits	<p>(1) The responsible personnel of internal audits is aware of the following information regarding the internal audits conducted for group administration, member sites, and subcontractors.</p> <p>1) Internal audit date</p> <p>2) nonconformities and the results of the corrective actions</p> <p>(2) The responsible personnel of internal audits ensures that nonconformities and corrective actions applied with respect to them are verified. Where the responsible personnel of internal audits is an internal auditor, the results of internal audits conducted by that person are verified by another internal auditor.</p> <p>(3) The responsible personnel of internal audits verifies the nonconformities and the corrective actions, and reports the result of the verification to the responsible personnel of the group administration and to the representative of the group.</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.6.3	Major	Completion of internal audits	A responsible personnel of a group administration and a representative of a group confirm that all non-conformities have been corrected and internal audits have been completed.		
5. Sanctions for rule violations					
5.1	Major	Sanctions for rule violations	A group applies sanctions to a member farm for violation of the group/farm management manual, and records the measures applied.		
5.2	Major	Reporting to the certification body	If a member farm is suspended or expelled from the group due to the result of an internal audit, the group reports it to the certification body that has issued the ASIAGAP certificate.		
6. Traceability					
6.1	Major	Traceability within the group	A shipped produce can be traced back to the site of origin. It could be multiple farms, but never includes farms that did not ship the produce. Agricultural produce that is not shipped through a group administration shall not be shipped as certified produce.		
6.2	Major	Management of parallel handling within the group	When a group handles produce that has not been produced in a certified farm/group, the group demonstrates through records that certified produce is handled separately.		

No	Level	Control Point	Compliance Criteria	Result	Comment
6.3	Major	Reasonable quantity of certified produce	<p>A group confirms that the quantity of ASIAGAP certified produce is reasonable. For example, there are records which indicate that the verification was made with the following information</p> <p>(1) Size of a registered production area</p> <p>(2) Average yield for each unit area</p> <p>(3) Track record of crop yield</p>		
7. Handling complaints, abnormalities, and product recall					
7.1	Major	Handling complaints and abnormalities	<p>There are documented effective major incident management procedures for handling cases of complaints and abnormalities with regard to the group/farm or specific member farms or facilities, and the following points are clear in the document. Product abnormalities include serious nonconformities relating to the safety of harvested produce, as well as agricultural products and shipments under preparation.</p> <p>(1) Reporting to the person responsible for product management, in the case of complaints and abnormalities of products</p> <p>(2) Analysis of the situation and the impacts (including the decision regarding product recall)</p> <p>(3) Emergency responses (contacting clients that can be affected, consulting and informing relevant institutions, product recall, disposal of products with problems, etc.)</p> <p>(4) Investigation of causes</p> <p>(5) Corrective actions and their completion due dates</p> <p>(6) Reporting to the ASIAGAP audit and certification body, in case the illegalities are founded</p> <p>(7) Verification of the effectiveness of the corrective actions taken</p> <p>(8) The incident management procedures shall be regularly tested.</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
7.2	Major	Product recall	The records show that the farm handled complaints and abnormalities of products according to the procedures established in Control Point 7.1.		
7.3	Major	Product recall trial	(1) A group conducts a trial of the product recall procedures established in the Control Point 8.1 at least once a year, and records the result of the trial. (2) Based on the result, a group revises the product recall procedures.		
8. Use of the ASIAGAP logo					
8.1	Major	Supervision of the ASIAGAP logo by the group administration	The ASIAGAP certified farm logo is used under the control of the group administration.		
9. Documents and records management					
9.1	Major	Issuing of a group/farm management manual	The records demonstrate that the group/farm management manual is developed and revised by the following procedures. (1) The manual is developed by a responsible personnel of the group administration or by a responsible personnel of internal audits. (2) The Control Point 3.2 is verified by a person who meets the internal auditor requirements. (3) The manual is approved by a representative of the group.		
9.2	Major	Revision of a group/farm management manual	The group/farm management manual is revised at least once a year.		

No	Level	Control Point	Compliance Criteria	Result	Comment
9.3	Major	Management of the latest version of the group/farm management manual	<p>When the group/farm management manual is revised, the following procedures are conducted.</p> <p>(1) The old version and the new version are clearly identified.</p> <p>(2) The changes from the old version to the new version are explained to the contact personnel of the group administration and to the member farms.</p>		
9.4	Major	Records management	<p>The required records need to be stored for at least two years and be available for audits. For the first audit, there must be records of the past three months prior to the date of audit, except the records of activities that have not taken place during that corresponding period. After the first audit, the group continuously keeps records.</p>		

ASIAGAP

(Asia Good Agricultural Practice)

For Group Administration

Effective as of the 1st of November 2020

Guideline for sampling of member farms for agrochemical residue analysis (Fruits and Vegetables / Grains)

This guideline needs to be additionally applied for a ASIAGAP group inspection and certification of fruits and vegetables / grains, regarding the sampling method of member farms for agrochemical residue analysis that is requested in the Control Point 24.6.1 of the "ASIAGAP Control Points and Compliance Criteria for Farms Fruits and Vegetables / Grains".

1. Basic principles

Agrochemical residue analysis for ASIAGAP is to verify whether the farm is using agrochemicals in an appropriate manner, and is not to inspect a product for the purpose of acceptance of a certain product lot. Therefore, creating a sample by mixing produce from multiple farms is prohibited. For a selected farm for sampling, a sample needs to be taken from the produce that meets the criteria regarding active ingredients, harvest interval, and location, stated in the Control Point 24.6.1 (ASIAGAP Ver.1 or Ver.2 Fruits and Vegetables / Grains).

2. Target farms

All the member farms of the group should be potentially selected for sampling.

3. Sampling method

More than one farm needs to be selected from the highest and higher risk of agrochemical residue. When there is no specific farm with a higher risk, a sample farm can be randomly selected. When selecting farms, the farms should not know in advance whether they will be selected for agrochemical residue analysis. The following conditions determine the level of risk of agrochemical residue. (They are not in the order of importance.)

- a. A farm is planning to harvest the produce for sale in spite of agrochemical drift that occurred.
- b. A farm has been detected inappropriately using agrochemicals by the group administration, a certification body or an internal audit in the past year.
- c. A farm has recently joined the group, or a farm has recently added a new site.
- d. A farm where a responsible personnel for agrochemical management has been changed in the past year.
- e. A farm has never been sampled for an agrochemical residue analysis.
- f. A site of a farm has a risk of agrochemical residue in the soil. (e.g. A farm has buried agrochemicals in the past.)
- g. A farm cultivates a new crop on the site right after the harvest of the previous crop.

ASIAGAP

(Asia Good Agricultural Practice)

For Group Administration

Effective as of the 1st of November 2020

Guideline for sampling of member farms for agrochemical residue analysis (Tea)

This guideline needs to be additionally applied for a ASIAGAP group inspection and certification of tea, regarding the sampling method of member farms for agrochemical residue analysis that is requested in the Control Point 24.6.1 of the "ASIAGAP Control Points and Compliance Criteria for Farms Tea".

1. Basic principles

Agrochemical residue analysis for ASIAGAP is to verify whether the farm is using agrochemicals in an appropriate manner, and is not to inspect a product for the purpose of acceptance of a certain product lot. Therefore, creating a sample by mixing produce from multiple farms is prohibited. For a selected farm for sampling, a sample needs to be taken from the crude tea that has been manufactured from fresh leaves that meet the criteria regarding active ingredients, harvest interval, and location, stated in the Control Point 24.6.1 (ASIAGAP Ver.1 or Ver.2 Tea). When it is not possible nor willing to manufacture crude tea by usual method, fresh leaves can be dried using other methods to bring down the moisture level up to that of manufactured crude tea.

2. Target farms

All the member farms of the group should be potentially selected for sampling.

3. Sampling method

More than one farm needs to be selected from the highest and higher risk of agrochemical residue. When there is no specific farm with a higher risk, a sample farm can be randomly selected. When selecting farms, the farms should not know in advance whether they will be selected for agrochemical residue analysis. The following conditions determine the level of risk of agrochemical residue. (They are not in the order of importance.)

- a. A farm is planning to harvest the produce for sale in spite of agrochemical drift that occurred.
- b. A farm has been detected inappropriately using agrochemicals by the group administration, a certification body or in an internal audit in the past year.
- c. A farm has recently joined the group, or a farm has recently added a new site.
- d. A farm where a responsible personnel for agrochemical management has been changed in the past year.
- e. A farm has never been sampled for an agrochemical residue analysis.



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