

ASIAGAP

Asia Good Agricultural Practice

**Control Points and Compliance Criteria
(for Group Administration)**

Ver.2.1

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1. How to use this document

This document is used for both ASIAGAP Ver.1 and Ver.2 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 do not hold legal responsibility 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 logo: Registered trademark owned by the Japan GAP Foundation. It represents agricultural produce that has been produced by a farm or a group that 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. MRL 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) Group: Organization that consists of multiple farms that are under the principles and missions of the group, and that has a representative and a group administration.
- (4) Group inspection and certification: Inspection and certification of both the state of group governance by the group administration and the state of management of the agricultural production processes by member farms.
- (5) Compliance criteria: Criteria for objective judgment regarding good farm management. To be certified, a group needs to comply with all the applicable control points in the "ASIAGAP Control Points and Compliance Criteria for Group Administration."

- (6) 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)
- (7) 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.”
- (8) 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 farm management under the responsibility of the group administration that meet the “ASIAGAP Control Points and Compliance Criteria for Farms.”
 - c) Common procedures for farm management under the responsibility of the group members that meet the “ASIAGAP Control Points and Compliance Criteria for Farms.”
- (9) Group administration: An administrative body that is set up within a group to govern the organization based on the ASIAGAP requirements.
- (10) 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.

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 information of the group is documented.</p> <p>(1) Name of the group</p> <p>(2) Name of the group administration</p> <p>(3) Address and contact numbers of the group administration</p> <p>(4) Property rights of agricultural produce and management responsibilities between the group and the member farm</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 an organizational chart or a 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 for internal audits</p> <p>(4) Responsible personnel required by the "ASIAGAP Control Points and Compliance Criteria for Farms" (if the group administration manages the farms)</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
1.2.1	Major	Responsible personnel of the group administration and responsible personnel for internal audits	<p>The responsible personnel of the group administration can demonstrate his/her knowledge of (e) and the responsible personnel for internal audits can demonstrate his/her knowledge of (a) to (f) below.</p> <p>(a) Latest knowledge of GAP, including food safety and hygiene</p> <p>(b) Knowledge of risk assessment based on hazard analysis</p> <p>(c) Basic knowledge of agrochemicals, fertilizers, worker safety, and environmental conservation</p> <p>(d) Basic knowledge of human rights, welfare, and labor management</p> <p>(e) Knowledge of group management systems</p> <p>(f) Knowledge and competency of audits</p> <p>※ (a), (b), (c), (d) include understanding of the "ASIAGAP Control Points and Compliance Criteria for Farms."</p> <p>※ (e), (f) include understanding of the "ASIAGAP Control Points and Compliance Criteria for Group Administration."</p>		
1.3	Major	Information on the member farms	<p>The following information of the member farms is registered.</p> <p>(1) Farm name, address, contact numbers, top management</p> <p>(2) Farm manager</p> <p>(3) Address of the sites and facilities</p> <p>(4) Produce items that are and will be cultivated</p> <p>(5) The size of cultivation area for each item</p>		

No	Level	Control Point	Compliance Criteria	Result	Comment
2. Contract management					
2.1	Major	Contract between the group and the members	<p>The group administration has a contract with the group member farms. The contract includes the following contents.</p> <p>(1) The group administration, address, contact numbers, and the group's representative</p> <p>(2) The farm name, address, contact numbers, and 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>		
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, address, contact numbers, and the group's representative</p> <p>(2) The subcontractor's name, address, contact numbers, and 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>		

No	Level	Control Point	Compliance Criteria	Result	Comment
3. Group/farm management manual					
3.1	Major	Allocation of responsibilities between the group administration and the member farms	There is a document that states location of responsibilities between the group administration and the member farms for each control point of the "ASIAGAP Control Points and Compliance Criteria for Farms."		
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 farms 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 farms understand the corresponding parts of the group/farm management manual.		

No	Level	Control Point	Compliance Criteria	Result	Comment
B. Implementation of the group/farm management manual and verification of the implementation status					
4. Internal audit					
4.1 Internal auditor					
4.1.1	Major	Requirements of an internal auditor and an internal auditor assistant	The internal auditors and the internal auditor assistants meet the requirements of the latest "ASIAGAP General Regulations."		
4.1.2	Major	Internal audits without conflicts of interest	(1) When an internal auditor or an internal auditor assistant is related to the farm that is to be audited, the farm needs to be audited by another internal auditor or an internal auditor assistant who are not related to the farm. (2) When an internal auditor is part of the group administration, the internal audit of the group administration is conducted by another internal auditor that does not have the same duty. In case there is only one internal auditor, a self-assessment is accepted; however the external auditor must be informed of this before an audit.		
4.1.3	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.		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.2 Internal audit of the group administration					
4.2.1	Major	Implementation of an internal audit of the group administration	<p>(1) An internal audit of the group administration is conducted at least once a year using the checklist based on the group/farm management manual.</p> <p>(2) There is a documented implementation procedure of an internal audit of the group administration, and the result of an internal audit contains the following information.</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 		
4.2.2	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
4.3 Internal audit of the member farms					
4.3.1	Major	Implementation of internal audits of the member farms and produce handling facilities	<p>(1) An internal audit for each member farm is conducted at least once a year using the checklist based on the group/farm management manual.</p> <p>(2) There is a documented implementation procedure for internal audits of the member farms, and the result of an internal audit contains the following information.</p> <ol style="list-style-type: none"> 1) Name of the member farm 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 		
4.3.2	Major	Corrective actions of the member farms and produce handling facilities	The farm must take the corrective actions requested, and the results of the implementation are recorded.		
4.3.3	Major	Internal audit of a new member farm	<p>(1) A group administration conducts an internal audit of a new member farm 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
4.4 Internal audit of the subcontractors					
4.4.1	Major	Implementation of internal audits of the subcontractors	<p>(1) An internal audit for each subcontractor is conducted at least once a year to verify whether it is following the rules in the contract document of Control Point 2.2.</p> <p>(2) There is a documented implementation procedure for internal audits of the subcontractors, and the result of an internal audit contains 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 ASIAGAP Association, the group administration can alternatively confirm the subcontractor's certificate with its scope and validity, instead of conducting an internal audit.</p>		
4.4.2	Major	Corrective actions of the subcontractors	The subcontractor must take the corrective actions requested, and the results of the implementation are recorded.		

No	Level	Control Point	Compliance Criteria	Result	Comment
4.5 Verification of the internal audit results					
4.5.1	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 a group administration, member farms, and subcontractors.</p> <p>1) Internal audit date</p> <p>2) Non-conformities and the results of the corrective actions</p> <p>(2) The responsible personnel of internal audits verifies the non-conformities 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>		
4.5.2	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 farm of origin. It could be multiple farms, but never includes farms that did not ship the produce.		

No	Level	Control Point	Compliance Criteria	Result	Comment
6.2	Major	Management of parallel handling within the group	When a group handles produce that has not been produced in a certified farm, the group demonstrates through records that certified produce is handled separately.		
6.3	Major	Reasonable quantity of certified produce	A group confirms that the quantity of ASIAGAP certified produce is reasonable, using the following information. (1) Size of a registered production area (2) Average yield for each unit area (3) Track record of crop yield		
7. Handling complaints and abnormalities					
7.1	Major	Handling complaints and abnormalities	(1) There are documented procedures for complaints and abnormalities about a group, member farm, specific site, or produce handling facility, which contain how to receive, record, investigate their causes, resolve the problems, and verify the result of corrective actions. (2) When a group receives a complaint or an abnormality, the group follows the above documented procedures, and records its actions.		

No	Level	Control Point	Compliance Criteria	Result	Comment
8. Procedure for product recall					
8.1	Major	Product recall	<p>(1) There are documented procedures for product recall that include the following.</p> <ul style="list-style-type: none"> 1) Responsible personnel 2) Decision making criteria 3) Communication with clients and relevant institutions, such as a public health center, an agriculture and forestry office, a local agricultural cooperative, and the ASIAGAP certification body, which can be affected 4) Investigating the causes of the problem, resolving the problems, and verifying the result of corrective action 5) Recording the above actions taken <p>(2) When product recalls occur, the group follows the documented procedures, and records its actions.</p>		
8.2	Major	Product recall trial	<p>(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.</p> <p>(2) Based on the result, a group revises the product recall procedures.</p>		
9. Use of the ASIAGAP logo					
9.1	Major	Supervision of the ASIAGAP logo by the group administration	When the ASIAGAP logos are used, they are used under the supervision of the group administration, and are used only for certified produce.		

No	Level	Control Point	Compliance Criteria	Result	Comment
10. Documents and records management					
10.1	Major	Issuing of a group/farm management manual	<p>The records demonstrate that the group/farm management manual is developed and revised by the following procedures.</p> <p>(1) The manual is developed by a responsible personnel of the group administration or by a responsible personnel of internal audits.</p> <p>(2) The Control Point 3.2 is verified by a person who meets the internal auditor requirements.</p> <p>(3) The manual is approved by a representative of the group.</p>		
10.2	Major	Revision of a group/farm management manual	The group/farm management manual is revised at least once a year.		
10.3	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>		
10.4	Major	Records management	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.		

ASIAGAP

(Asia Good Agricultural Practice)

For Group Administration

Effective as of the 1st of August 2017

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 Ver.1 or Ver.2 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

- 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 August 2017

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 Ver.1 or Ver.2 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

- 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.

JGAP

Japan GAP Foundation

*Nihon nogyo kenkyujo Bldg. 4F, 3-29 Kioi-cho
Chiyoda-ku, Tokyo, 102-0094, Japan*

Tel: (81) 3 5215 1112, Fax (81) 3 5215 1113

URL: <http://jgap.jp>

E-mail: info@jgap.jp