



GLOBALG.A.P. Certification Body Sanction Catalog

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1 INTRODUCTION

This document describes those certification body (CB) non-conformances that are not detected during integrity assessments but during CB administration processes, stakeholder questions to Agraya GmbH, CB approvals, CB monitoring by Agraya GmbH, etc. This catalog applies to all GLOBALG.A.P. standards, add-ons, and benchmarked checklists but does not apply to benchmarked schemes unless the benchmarked scheme/checklist owner authorizes Agraya GmbH to apply this catalog.

In the case of a well-founded objection that results in a dispute, the case will be forwarded to the Integrity Surveillance Committee (ISC) for review and final decision.

2 TERMINOLOGY

For the sake of simplicity, in this document:

- Whenever the term “CB auditor” is used, it shall refer to a CB farm auditor, CB QMS auditor, or CB assessor depending on the relevant Option for certification, standard, or add-on.
- Whenever the term “CB audit” is used, it shall refer to a CB farm audit, CB QMS audit, or assessment depending on the relevant Option for certification, standard, or add-on.
- Whenever the term “certificate” is used, it shall refer to a certificate, proof of assessment, or letter of conformance.
- Whenever the term “producers” is used, it shall refer to persons (individuals) or businesses (companies, individual producers, or producer groups) that are legally responsible for the production processes and the products of the respective scope, sold by those persons or businesses, as well as to GLOBALG.A.P. Chain of Custody or Compound Feed Manufacturing companies.



3 LIST OF NON-CONFORMANCES

Non-conformance	Examples	Sanction	KPI
Misleading or false communication about GLOBALG.A.P. certification and/or logo use by a CB	CB issues a CB audit confirmation letter with the promise to issue a certificate soon; using a GLOBALG.A.P. Community Member logo when the CB is not a member CB; the CB advertises an activity the CB is not approved for or not covered by GLOBALG.A.P. (e.g., certifying the production process of recreational marijuana or chocolate to the Integrated Farm Assurance standard)	Agraya GmbH notifies the CB of the detected case. After the misuse is confirmed, the fine (€100) is imposed and the corrective actions shall be completed within five working days. If the corrective actions are not completed in time, a €500 fine is imposed and the correction must occur within the next five working days. If this deadline is missed, a temporary suspension applies (blocked access in the GLOBALG.A.P. IT platform and Red Card is issued); lifting of the temporary suspension is only possible after the €500 fine is paid and the corrective actions are sufficient. The accreditation body (AB) is informed at each step of the process.	Response speed and effectiveness measured under "Complaint Management"
Refusal to sign any obligatory contract with Agraya GmbH and/or any necessary contract amendments	Agraya GmbH license and certification agreement (LCA) not signed, Agraya GmbH sublicense and certification agreement (SLCA) amendment not signed within a period set by Agraya GmbH	A suspension applies after a deadline is set in the second reminder. This refers to the contract updates (e.g., a new version of the LCA) only. The AB is informed of the suspension.	N/A
Neglecting to pay any of the GLOBALG.A.P. fees	CB license fee, training fee, certification license fee, and/or producer registration fee not paid	Any outstanding payment of invoices accepted by the CB is subject to a first reminder four weeks after the invoice is issued. If the payment has not been received six weeks after the issuance of the pending invoice, a second reminder is sent. Eight weeks (56 days) after the invoice is issued a warning letter is sent.	Administrative Management See the latest version of document "Certification Bodies: Key Performance Indicators"



Non-conformance	Examples	Sanction	KPI
		In the event that the CB/VB fails to pay amounts invoiced within 56 days of receipt of the invoice, Agraya GmbH shall be entitled to charge the CB/VB interest on such overdue sum at the rate of nine (9) percentage points above the basic rate of interest (per annum as calculated and announced by the German Bundesbank in accordance with the specifications of the European Central Bank). Furthermore, in the event the CB/VB fails to pay amounts invoiced within 56 days of receipt of the invoice, the CB/VB undertakes to pay Agraya GmbH a contractual penalty in the amount of €50, unless the CB/VB can prove that the nonpayment was not culpable, or that the actual amount of damage incurred by Agraya GmbH is lower than the contractual penalty. Further claims of Agraya GmbH remain unaffected. Any interest for late payment (or any other compensation for damages resulting therefrom) paid by the CB/VB to Agraya GmbH shall be offset against the contractual penalty. If the invoice has not been settled within three months of the written warning sent by Agraya GmbH, the CB's approval status will be set to "suspended" (Red Card). If the suspension due to unpaid invoices exceeds six months, the contract with the CB will be canceled (see "GLOBALG.A.P. general regulations – Rules for certification bodies," section 11.3.5).	



Non-conformance	Examples	Sanction	KPI
		The AB is informed of the Red Card, or the temporary suspension or cancelation (whichever applies).	
Confirmed fraud	Faking CB audit report content: entering another CB auditor for the certification who did not conduct the CB audit, entering a wrong audit date, not reporting the actual audit date and duration, issuing certificates without auditing the registered scope, falsifying training certificates, etc.	Refer to “GLOBALG.A.P. general regulations – Rules for certification bodies,” section 11.2 (cf. the classification description). Further CB audits may be planned to investigate whether it was an isolated incident or a general way of working, but one single CB audit may also result in classification #1. The ISC is immediately notified of the case. The CB shall implement corrections/corrective actions on the farm and CB levels immediately. If it is shown that it is not an isolated incident but a systematic problem (e.g., there is evidence in more than one report), Agraya GmbH automatically – without ISC evaluation – issues a Red Card. The ISC escalates the suspension into contract cancellation. The CB reports its immediate remedial action to Agraya GmbH and, where applicable, to the benchmarked scheme/checklist owner. The AB is informed.	CIPRO



Non-conformance	Examples	Sanction	KPI
Not participating in annual or compulsory CB trainings	Scheme manager update (SMU) training, in-house trainer (IHT) update training	A CB is obliged to pay the SMU training participation fee and receives no reimbursement of accommodation costs in the following year; for IHT training or any other compulsory training, please refer to "GLOBALG.A.P. general regulations – Rules for certification bodies," section 5.2. If a CB does not attend an obligatory training for two years in a row, this CB receives a Red Card; the AB is informed.	CB Staff Qualification
Not following the auditor rotation, qualification, and/or training requirements	A CB auditor conducts a CB audit without passing the relevant obligatory online tests, provided that the tests are available in their working language; a CB auditor has not followed a mandatory online training.	The respective CB auditor is blocked in the GLOBALG.A.P. IT platform; the CB audit does not count if conducted before the online training and/or tests were passed. The CB audit that was conducted prior to the completed online training/test is invalid and the CB shall repeat the same CB audit again. No backdating of the test date in the GLOBALG.A.P. IT platform will take place. If a CB auditor completed the online training/test with another CB or passed the corresponding test during a "face to face" training and failed to register it in time with the corresponding CB (because of, e.g., a version change), Agraya GmbH will backdate the approval in the GLOBALG.A.P. IT platform (the date when a CB auditor passed the online training/test the first time) so that a certificate can be entered online. However, this case will be recorded for the KPI rating calculation.	CB Staff Qualification



Non-conformance	Examples	Sanction	KPI
		(If the CB actively asked Agraya GmbH for the recognition of CB auditor's competences before the CB audit took place, the case is not recorded on KPI.)	
Insufficient cooperation during complaint management	No response to official communications and/or complaints from Agraya GmbH	The CBs shall follow the given deadlines, defined in the specific formal requests from Agraya GmbH (e.g., emails from Complaint Management Officer). Please refer to "GLOBALG.A.P. general regulations – Rules for certification bodies," where the sanction steps are described in detail.	Complaint Management
Missing liability insurance		A notification via email shall be sent to inform the CB about the deadline of 10 working days to submit the missing evidence. 1. If a CB has not responded in 10 days, the first reminder is sent out. The deadline given to the CB is another 10 working days. 2. Should no proof of insurance arrive within this deadline, the second reminder with another 10 working days' deadline is sent, along with the information on the contractual obligation according to the LCA, which obliges a CB to have a valid insurance policy as long as it is approved by Agraya GmbH. The following warning procedure will start if no proof of insurance is provided. 3. After the end of the second reminder's deadline, a warning procedure (5 working days) is started as defined in "GLOBALG.A.P. general	N/A



Non-conformance	Examples	Sanction	KPI
		regulations – Rules for certification bodies.” 4. If after the second warning (another 5 working days) no valid proof of insurance is received from the CB, this is followed by a temporary suspension (Red Card) until the CB provides Agraya GmbH with valid proof of insurance. The AB is informed of the Red Card and temporary suspension.	
Missing CB approval	CB audits performed without CB approval for relevant scope/standard/product category/add-on	The conducted CB audit is invalid. The CB without official approval for the scope/product category and/or standard/add-on is fined €500; only an approved CB is allowed to repeat the CB audit.	Administrative Management
GRASP CB audit conducted in a country without a national interpretation guideline (NIG) without the prior approval of Agraya GmbH	A GRASP CB audit has been conducted in a country without an NIG.	The conducted GRASP CB audit is invalid. The CB without official approval for the add-on is fined €500; only a CB auditor who is approved to conduct CB audits in the country without an NIG for the CB is allowed to repeat the GRASP CB audit.	Administrative Management
Incomplete or late update of certification data	Certificates not updated within 28 days; issuance of paper certificates without prior registration in the GLOBALG.A.P. IT platform; sanctions not entered into the GLOBALG.A.P. IT platform in time; wrong product/incorrect quantity/incorrect certification scope certified in the GLOBALG.A.P. IT platform; etc.	If the percentage of such cases exceeds 5% of the total number of certificate holders for that CB, then the sanction applies following “GLOBALG.A.P. general regulations – Rules for certification bodies,” sections 11.3.1 b) (iii), 11.3.2 b) (iii), 11.3.3 b) (v), and 11.3.4 b) (v), along with a €100 fine for every sanction level reached. (If the correction requires the assistance of Agraya GmbH, an additional administrative fee applies.)	GLOBALG.A.P. IT platform management for missing items CB Audit Processing Time (compliance with timelines) for late/delayed actions.



Non-conformance	Examples	Sanction	KPI
Incomplete or late update of CB audit reports and checklists for standards/add-ons	Late update of the GLOBALG.A.P. IT platform with the required information, audit reports, aquaculture license holders without GRASP, etc.	The GLOBALG.A.P. normative documents require updating the report in the GLOBALG.A.P. IT platform within 28 days at the latest after the time period for corrective actions has expired (within 3 months of the initial or 28 days of the recertification CB audit). If a CB does not follow this rule and updates the CB audit report in the GLOBALG.A.P. IT platform after this time frame, Agraya GmbH imposes a fine of €150 on the CB. Payment of this fine will not extinguish the damages liability of the CB derived from the omission.	GLOBALG.A.P. IT platform management for missing items CB Audit Processing Time (compliance with timelines) for late/delayed actions.
Not implementing producer sanctions	A CB purposely does not sanction a producer.	The specific case may be detected via an integrity assessment and will be classified accordingly. It can also be detected by receiving a complaint from a third party or during complaint management by the CB. In this case an investigation is necessary. In severe instances (i.e., the CB purposely does not sanction a producer following the GLOBALG.A.P. general regulations/the SLCA/the LCA requirements), the ISC is immediately notified of this case. The CB shall implement corrections/corrective actions immediately.	Complaint Management, ISC



Non-conformance	Examples	Sanction	KPI
Impartiality breach	CB provides consultancy services to producers.	Agraya GmbH forwards those cases to the ISC and to the relevant AB immediately. This generally results in a Yellow Card or Red Card, but it also depends on the AB's resolution process.	N/A
CB and/or producers refusing integrity assessment on the planned days/week	Asking to change the week or to postpone the integrity assessment without clear important justification; not accepting another date suggestion for the same week	If the integrity assessment has to be rescheduled, it will no longer be considered a random monitoring assessment but a follow-up assessment. Therefore, the CB or producer (depending on the case) may be charged for the assessment days and the travel costs. The case will be forwarded to the ISC for not cooperating with the Agraya Integrity Program. Any date change and justification must be supported with evidence. The integrity assessment will not be scheduled during national holidays of the visited countries.	N/A

Note: Key performance indicators (KPIs) are defined in "Certification Bodies: Key Performance Indicators" in its current version.



VERSION/EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of modifications
250401_GG_CB_sanction_c atalog_v6_0_Apr25_en	220929_GG_CB_sanction_c atalog_v6_0_Sep22_en	1 April 2025	Terms “GLOBALG.A.P. IT systems” and “database” replaced with “GLOBALG.A.P. IT platform”
260901_GG_CB_sanction_c atalog_interim_final_v6_1_S ep26_en	250401_GG_CB_sanction_c atalog_v6_0_Apr25_en	1 September 2026	Entire document – - Terminological changes related to company name change to “Agraya GmbH” - Term “subsequent audit” replaced with “recertification audit” - Term “upload” replaced with “update” “CIPRO assessment” renamed to “integrity assessment” 1 – “Customer Support” replaced with “Agraya GmbH” - Added “CB monitoring from Agraya GmbH” 3 – - Adapted non-conformance for “not following the qualification and/or training requirements” to add reference to “auditor rotation” - Deleted reference to section 11.3 - Adapted former non-conformance “incomplete or late update of CB audit report and the checklist for GRASP” and related sanction to refer to all standards/add-ons - Adapted sanction and KPI for non-conformance “not implementing producer sanctions”





If you want to receive more information on the modifications in this document, please contact Agraya GmbH at standard_support@agraya.com.

If the changes do not introduce new requirements to the standard, the version will remain “5.0” and an edition update shall be indicated with “5.0-x”. If the changes do affect compliance with the standard, the version name will change to “5.x”. A new version, e.g., v6.0, v7.0, etc., will always affect the accreditation of the standard.

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