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WINNER
WATERSHED INITIATIVE FOR NATIONAL
NATURAL ENVIRONMENT RESOURCES

REPORT ON ASSESSING THE FEASIBILITY OF **GLOBALG.A.P** CERTIFICATION FOR HAITI'S WINNER BENEFICIARIES

August 4, 2012 – August 30, 2012



This farmer adopted WINNER's strategy to increase banana production by off-set spacing and intercropping rows of legumes and vegetable

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Disclaimer: The author's views expressed in this publication do not necessarily reflect the views of USAID or the US Government.

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Executive Summary

GLOBALG.A.P is a private standard, established by large European wholesalers and retail supermarkets to assure food product safety. The standard grew during the period when small corner grocery stores had to compete with ever larger supermarkets and their wholesalers. Fresh produce were no longer a monopoly of street vendors or corner grocery stores, but an international, interconnected cornucopia. This came as a result of increased consumer demand in food importing countries particularly for year-round fresh produce and for a greater variety of exotic fruits and vegetables. One way to control the quality of incoming fresh food items was to institute rigorous standards from the time agricultural inputs arrive at the farm, through production to when the produce leave the farm gate.

Move to fresh food standards: Northern hemisphere fresh produce importers found themselves handling increasingly larger quantities of fresh fruits and vegetables from Southern Hemisphere exporting countries. It was to be expected that quality and safety control measures required of fresh produce addressed a broad range of farm production activities. Quality and safety control measures were ascribed to a large number of specific “Control Points and Compliance Criteria” adapted to specific activities aggregated along lines of “All Farm Base” activities, “Crop-based” activities, and “Fresh Fruits and Vegetables.”¹ WINNER is only concerned with these three sets of “Control Points and Compliance Criteria (CPCC).” These CPCCs cover farm activity from seed procurement to packing crates to minimized pesticide residue levels, sanitary handling, safe irrigation water, reduce risks of contaminants reaching food storage, and complete hygienic conditions throughout for workers and the fresh food items.

GLOBALG.A.P standard introduced broader “Musts” to their list of control points, expanding CPCCs to social issues related to farm workers health, safety and welfare, emphasis on environmental and conservation involvement,² waste and pollution management, improved soil techniques and promoting farm-level composting.

Special certification option for Associations: During the consultancy, WINNER found that **GLOBALG.A.P** developed a special option that permitted small landholders to obtain certification if they did it through a legally constituted entity such as a cooperative or farmer association. The option is well adapted to WINNER’s Association of Champion Farmers (*Asosyasyon de Peyzan Chanpyon*) or APCs. A major task of the consultancy was to familiarize WINNER staff (Office and field) and APC representatives with **GLOBALG.A.P**’s production standard, demands and process to achieve GG certification. WINNER’s APC and member farmers wanting to attain GG certification need to arrange to meet 232 different Control Points and Compliance Criteria, and 11 documents that are expected to take seven to ten months to complete.

¹ **GLOBALG.A.P** also covers tea, coffee, flowers, livestock-based and aquaculture.

² Farms must establish a “management of wildlife and conservation plan, and implement it

First step; create a Quality Management System: Prior to working on meeting compliance to the CPCCs, interested APCs and members must go through a process to create and develop their own internal Quality Management System (QMS) and produce a manual specific to the APC. The Quality Management System provides the base for Association members to acquire the approach needed to implement the **GLOBALG.A.P** certification requirements.

The process to attain GLOBALG.A.P certification: Section 5 of the report covers the process and descriptions to attain **GLOBALG.A.P** certification as well as ANNEX A's Power Point summary. Both contain a flow chart of the process. Reading through the lengthy process brings to mind two worthy considerations: What are the advantages and disadvantages for small landholder farmers to reach GG certification? On the one hand, meeting certification reduces food safety risks and provides an incentive to adhere more rigorously to details either required or recommended by expanded Good Agricultural Practices. Disadvantages include the amount of time it will take for all producers to reach certification level estimated at seven to ten month from start to finish. Many of the standards are new activities for the farmer; these require training sessions, such as preparing a farm's risk assessment; it might not be a disadvantage step, but a time consumer and requires training. One of the most cumbersome is the requirement to keep detailed daily records of all activities taking place on the farm. There are also direct fees required of farmers and ACPs to register for joining the "certification process;" these are based on land size. Perhaps more painful is that once the farmer has reached certification, the whole process must be repeated annually, and through an association or cooperative. **GlobalG.A.P** certification is not for everyone.

Of equal consideration is a rough cost estimate, which is based on a total of 214 APC associations that WINNER presently works with. This represents an estimated 85,000 farmers. To reach 20% of APCs means WINNER must reach out to approximately 42 associations. Assume 5-10 members per APC are interested in Certification; total cost for GG Certified Trainers and Certifiers, registration costs for APCs and members totaled over a 10 month period will cost approximately \$270,000. **GLOBALG.A.P** certification must be renewed annually, but that should be reduced in future years as there is a reduced need of Certified **GlobalG.A.P** Trainers. Details and figures used for calculations are found in "Section 7: Cost of Acquiring **GLOBALG.A.P** Certification."

Recommendations: Three key recommendations include:

- a) The need to establish **GLOBALG.A.P** "Islands of excellence" in each WINNER region, preferably at the regional CRDDs, as these sites present excellent platforms to attract potential associations and members to visualize what **GLOBALG.A.P** preparations for certification encompasses. Processing CRDDs towards **GLOBALG.A.P** compliance will help set standards APC's can aspire to as active and tangible "islands of excellence." It is well understood that the CRDDs are places where activities and demonstrations are highly regarded by regional producers; they are recognized as learning zones and the quality of the staff correlates closely to the usefulness of their coaching. The CRDD's are venues that allow people to "see a process being put into place," and are more likely to achieve an "informed" visible, and accessible site to capture the **GLOBALG.A.P** certification process.

- b) Assign a WINNER **GLOBALG.A.P.** follow-up coordinator; preferably from the Bureau Central: Assign four Regional **GLOBALG.A.P** Coordinators for: Kenscoff, Duvier, Archaie, BasBoen. Look to using a highly motivated regional APCs that have worked preferably with each of the CRDDs; they will assume responsibility of pursuing a demonstrative successful GG certification of the CRDD. The list of Recommendations is found in Section 10 below.
- c) There is a measure of urgency in putting the **GLOBALG.A.P** certification process into place. In addition to the above recommendation that a follow-up **GLOBALG.A.P** coordinator be appointed from the Central Office, there is equally a need to launch the process in:
- a. Selecting the APCs associations in each region, and organizing a meeting of the selected APCs leaders to present **GLOBALG.A.P**'s 'must read' documents and PPT presentations so that a discussion and decisions can be made by an October deadline (suggested the 20th).
 - b. A review of the proposed Haiti/WINNER draft **GLOBALG.A.P** Certification Implementation Plan (see **Annex D** and as a 'separate document') to assess its compatibility with the recently prepared Annual Work plan.
 - c. The compilation of market sizes and periods during the year (provided by weeks according to a 52 week year) for the focus Mango and Green Banana producer APCs.

In the end, **GLOBALG.A.P** certification will be attractive by the small landholder farmer if the certification process is presented accurately (there is considerable amount of work; it will take time to reach all selected APCs; a great need for copious collaboration, some investment, and possible run-ups against robust regulations with unforgiving low tolerance for the smallest error.) What will tip the balance is the role of APCs manager and a few forward purchase contracts from mango/plantain importers in association with Haiti based export entities.

Context and Background

This consultancy took place within the context of USAID's emphasis on environmental sustainability and the conditionality in Haiti/WINNER contract modification #12, which states that:

*WINNER will promote the **GLOBALG.A.P.** guidelines with the aim that about 20% of the "Association Champion" would be certified by the end of the project life.³*

WINNER recruited a short-term consultant assigned to assess the feasibility of **GLOBALG.A.P.** certification for Haiti WINNER's Association of Champion Farmers (*Asosyasyon de Peyzan Chanpyon*) beneficiaries. The consultancy was conducted between August 1 and 31, 2012; twenty of those days were in the field.

³ Viz. AID-EPP-I-04-04-00020 Modification #12

What is GLOBALG.A.P?: It is the international Quality Management System in agricultural production. The **GLOBALG.A.P** standard serves as a practical manual applicable anywhere in the world, transferring consumer requirements into agricultural production.

GLOBALG.A.P standard is designed to reassure consumers:

- About how food is produced on farms through a severe hygienic assurance process that reduces, if not eliminates farm-based food health risks;
- Reduced use of chemical inputs;
- Includes sound soil management, including making and applying organic compost;
- Ensuring responsible approach to worker health, safety and welfare, and
- Environment conservation

GLOBALG.A.P is as well a private standard, established by large European wholesalers and retail supermarket associations to an integrated farm assurance level of food production safety. Globalization is in part the trigger that facilitated high levels of fresh food production in countries that were not traditionally fresh produce exporters. Many Southern Hemisphere countries (Chile, Kenya, Mexico, Costa Rica, Argentina) were able to respond not only to Northern Hemisphere consumers' demand shift from just seasonal once-a-year produce, but to a year-round availability of fresh fruits and vegetables, as well as their consumers' quest for a greater variety of fresh produce.

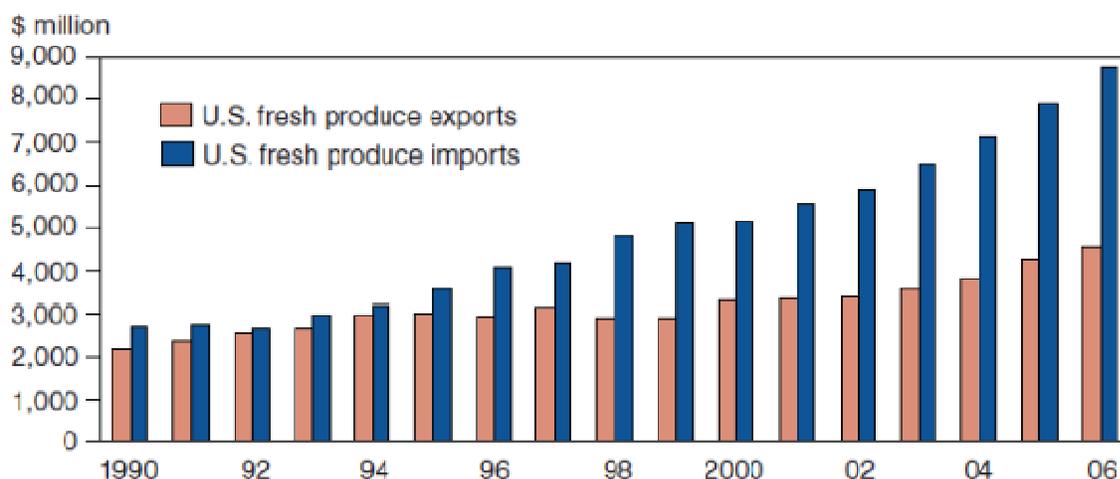
Not always being able to assure the quality of cultivation practices and hygienic handling of fruits and vegetables from overseas sources, food wholesalers, importers and supermarket chains in Northern Hemisphere countries established production and handling criteria that could be verified through regulatory health, hygienic, and pro-nature based agricultural production standards. Adherence to GG standards includes:

- Reduced use of chemical inputs;
- Promotes sound soil management practices, including producing and applying on-farm organic compost;
- Ensures responsible approach to workers' health and safety, and environment conservation involvement;

The graph below prepared by the U.S. Department of Agriculture's Economic Research Section provides clear markers of demand for fresh produce through importation into the US from the early 1990's to 2006, jumping from \$2.5 billion into \$8.7 billion. Part of the increase was due to advance technology in the packing, transport, cold chain and storage industry, however, the major cause of the import comes from consumers' increased demand that exceeded US farmers' capacity to produce.

GRAPH 1.1 Growth of US Fresh Produce Imports 1990-2006

Imports outpace exports in U.S. fresh produce trade



Source: Prepared by USDA, Economic Research Service, using data from USDA, Foreign Agricultural Service, *FASOnline* U.S. Trade Internet System: www.fas.usda.gov/ustrade/. The database containing U.S. agricultural trade draws on data from the U.S. Census Bureau, U.S. Department of Commerce.

Social, environment, health and sustainable agriculture: GLOBALG.A.P had its origins in “EurepGAP” standards, whose beginnings date back to the late 1990’s by members of the “Euro-Retailer Produce” (Eurep) Working Group. Their objective was to set food and farm standards the EU required of all fresh food produce sold in, or imported into EU countries. EurepGAP covered initially farm-based hygiene guidelines both at the production level and during harvest/post-harvest handling. Subsequently, other countries and regions felt the need to set import and local standards that would be at least equal to, or improved EurepGAP criteria.

GLOBALG.A.P Working Group: A broader representation of countries calling themselves “GLOBAL G.A.P Working Group” added new and additional farm and food standards that were referred to as “Control Points and Compliance Criteria.” Among new broader concerns added were social considerations

GLOBALG.A.P It is an aggregate of international agricultural standards confirmed by certification of all aspects of a fresh food production chain;

It covers all farm activities, from the time inputs arrive at the farm until the produce is out the farm gate. After that, if there is any processing, it must be HACCP certified.

directed to the well-being and protection of farm owners and workers, concerns for communities near-by to agricultural production, specific care to protect the environment, and finally, that farm practices were to respond to US and global concerns about the loss and global disappearance of arable soil; the Working Group saw the need for them to contribute to sustainable agricultural practices at the same level as popular concerns for health and food

safety standards. Bundled, the standards became internationally accepted global **Good Agricultural Practices**, shortened to the “**GLOBALG.A.P**” logo⁴, and abbreviated to “**GG**” for short.

GLOBALG.A.P certified produce are appreciated by fresh fruit wholesalers, processors and super-market retailers the world over. For clarification, **GLOBALG.A.P** is a B2B (Business to Business) standard, meaning that certified produce and products do not get a label visible to the consumer. However, fruit and vegetable buyers (wholesalers, importers, retailers) ask for, and prefer produce that are “**GLOBALG.A.P** certified.” **GLOBALG.A.P** is not just a name but a registered reference, copyright label that specifies high hygienic levels, secure and rigorously tracked as a safe food produce tagged by a well-guarded trade mark.

1. Objectives of Consultancy

The objectives of the **GLOBALG.A.P** consultancy were to :

- Introduce basic **GLOBALG.A.P** concepts to WINNER staff and the large number of agricultural producers regrouped among select Grower Associations;
- Demystify **GLOBALG.A.P** certification process and assess the requirements needed to achieve **GLOBALG.A.P** compliance.
- Conduct a review of the literature and specific **GLOBALG.A.P** certification documents; share these with Regional Directors, senior staff and select *Asosyasyon de Peyzen Chanpyon* who participated in focus groups and presentations at the Regional Offices.
- Conduct a gap analysis between WINNER small landholders’ farm and agricultural practices, and the Control Points and Compliance Criteria required to attain **GLOBALG.A.P** certification;
- Gather information about the degree of interest and commitment among *Asosyasyon de Peyzen Chanpyon* and their members relative to **GLOBALG.A.P** farm-level requirements
- Present an action plan going forward for *Asosyasyon de Peyzen Chanpyon (APC)* and their members interested to engage in the 7-10 month of adaptation period that should lead to **GLOBALG.A.P**’s certification.

⁴ The way “**GLOBALG.A.P**” is written is the registered logo and reference, protected by copyright. It specifies high hygienic production and handling levels, rigorously tracked for assurance by continuous verification and controls.

- Connect the coaching provided to farmers by WINNER’s extension agents to improve production, their ability to market high quality produce at premium prices, and to encourage farmers to align their farming practices to **GLOBALG.A.P’s** international standards well received worldwide;

2. Approach and Scope

The following is a summary of the consultancy’s approach and scope:

- Gathered up-dated information from early, and recently updated **GLOBALG.A.P** documents translated into French to facilitate use by farmer and associations to reach the level of conducting self or “internal” farm assessment prior to requesting a certification audit that can only be conducted by a GG licensed certification agent.
- Prepared two basic Power Point presentations; a detailed description of **GLOBALG.A.P’s** compliance criteria as well as details of the 7-10 month steps needed to reach **GLOBALG.A.P** certification in Annex A; and an introductory PPT defining principal components of the **GLOBALG.A.P** standard in French found in Annex B. Both PPTs cover highlights of **GLOBALG.A.P’s** key certification modules; generic All Farm Base (AF), more specific Crop Base (CB), and crop specific Fruits and Vegetables (FV).
- Met with Senior Staff, made initial presentation of **GLOBALG.A.P’s** tri-level certification modules and received feedback on how they perceive a **GLOBALG.A.P** initiative.
- Searched for ways **GLOBALG.A.P’s** certification mechanisms could be applied to Haiti’s multiple-parcel/multi-site farming, and the unusually high number of operational agricultural associations.
- Prepared a rough draft of appointments, focus groups sessions and meetings with WINNER’s regional and central office staff;
- Upgraded Power Point Presentations with the intent to encourage audiences to see and understand the advantages and downsides of participating in **GLOBALG.A.P’s** compliance process;
- Visited and gave presentations to small producers and producer groups constituted as focus groups in Regional and sub-Regional WINNER offices. The consultant’s short **GLOBALG.A.P** presentations were followed by discussions and questions sourced from a GG Check-List questionnaire. The approach used, results of discussions, replies to questions and a follow-up analysis were recorded in a gap analysis exercise that provided data useful to this report. The gap analysis can be found as a separate

document: “Gap analysis of WINNER’s select *Asosyasyon de Peyizan Chanpyon (APS)*” and as Annex E (inserting the gap analysis into Annex E has been challenging)

- Due to **GLOBALG.A.P.’s** registered private entity and clear regulation concerning ©copyright usage, none-certified GLOBALG.A.P trainers are not permitted to conduct official **GLOBALG.A.P** training. This regulation and the relatively short amount of time limited the scope of the consultancy to brief introductions of **GLOBALG.A.P** concepts and overall compliance requirements for WINNER farmer Associations, farmers and WINNER staff.
- Focused on **GLOBALG.A.P.’s** “Option 2” developed by GG as a “group” certification process that facilitates small landholder farmers to access, via membership ties to their APCs (they must be legally, government registered entities) to design and establish a signature internal “Quality Management System” for the APC’s interested in qualifying to register as candidate to attain **GLOBALG.A.P** certification; see section 4 below for the significance of “Option 2.”
- Discussed frequently with senior management issues and progress made during the course of the consultancy.

3. Group Certification as the Best Option

GLOBALG.A.P.’s Group Certification: GG compliance standards were originally oriented to towards large plantations. However, due to the large number of small landholders in many developing countries, **GLOBALG.A.P** developed an adaptive “smallholder option,” referred to as “Option 2.”⁵ It takes into consideration countries where production plots are small, non-contiguous and where land tenure is either weak or unreliable. This is the case for Haiti. Haiti’s precarious land tenure system makes it difficult to prove ownership of agricultural parcels and plots. It pushes small farmers to cultivate minor plots that they can lease for parts of the year, or individual fruit trees owned by a neighbor, relative or friend who gave the farmer permission to harvest from the trees in return for a fee. This “multi-plot farm” format is especially prevalent in the mango growing regions where there are few to no mango orchards.

For Haiti, group certification for farmer associations and cooperatives may offer the only possibility for them go through training to be certified **GLOBALG.A.P**. The economic viability of GG certification must be tested first against identification and reasonable certainty that attract

⁵ Option 2 is covered under Document #3: *General Regulations; Part II, Rule for Option2 & Option1, Multi-sites with QMS*, 13 pgs. The document establishes the requirements producer groups and multi-sites must comply with to achieve certification. These requirements need to be internally and externally assessed via the GLOBALG.A.P QMS Checklist to ensure completeness and effectiveness.

local or overseas demand-markets can and will order/purchase WINNER's **GLOBALG.A.P** certified targeted produces at premium prices.

This requires WINNER to review market studies and up-update them for targeted GG-certified produces; it is the first "go/no go" decision point for Associations of Champion Farmers and individual members.

WINNER sponsored *Asosyasons de Peyzen Chanpyon* (APCs) or cooperatives are recognized by **GLOBALG.A.P** as legally registered entities, and thus they and their members meet the basic eligibility criteria to register using the form and following the conditions of the "Sub-License and Certification Agreement (v3.0)"⁶. As such, they must decide whether they will participate in the **GLOBALG.A.P** certification process, and follow GG's "Options 2" or scrap it. Each entities' decision process will be made in accordance to their by-laws.

Individual association members are under no obligation to participate in up-grading their farm parcels to GG standards; if the individual member Champion Farmer decides to participate, they need to register with **GLOBALG.A.P.** through their association via www.globalgap.org. Individual members can just as easily decide not to participate; and that decision will not impact the Association's position vis-à-vis **GLOBALG.A.P.** However, once an individual member decide not to engage in the certification process, that producer is not permitted under any circumstances to sell, transfer or give any part of their production to a GG registered and certified member. Such an action can trigger a legal sanction against the individual and the associations or cooperative. It is important to note that a single legal entity (APC) can only operate one QMS per crop per country.⁷

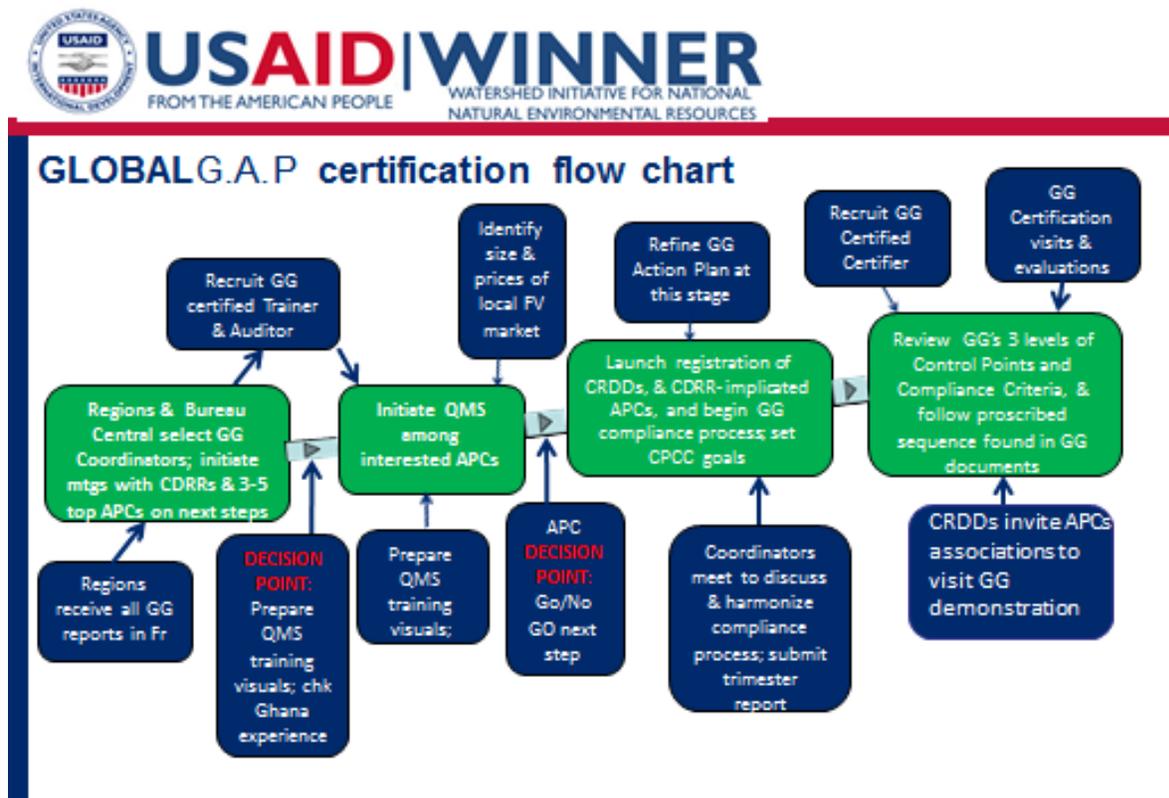
2. Smallholder Manual: **GLOBALG.A.P** developed a smallholder manual. The manual helps small producers to establish their internal control system. It includes operational procedures and recording forms to be used as templates for farmer groups. Therefore it is best used as a starting point for producer/Champion Farmer Associations (APC). Latest versions are continuously being tested in farmer groups worldwide and are publicly available, regrettably, only in English. The latest document. The first batch of GG certificates was issued based on guidance provided in the smallholder manual. It acts as a role model for other public private partnerships.

⁶ Doc #11 GLOBALGAP General Regulations Annex: I.5 Sublicense & Certification Agreement (V3.0). 6pgs.

⁷ See pg 3, I d:Doc:#3 110801_gg_gr ModalitésGénérales_partie 2(ii) Règes Relatives_Options 2_ifa_Fr_final_v4_Jan12_13 pgs

4. Process and description to attain GLOBALG.A.P Certification

The flow chart below is from the prepared Power Point presentation developed for the USAID and WINNER staff as stipulated in the consultant’s Scope of Work (Annex A). The follow-on narrative below provides a detailed description of the process.



Decision points:

Control Points and Compliance Criteria and Check-Lists: Since 2007, GLOBALG.A.P, the organization produced a series of documents that define GG standards through multiple “Control Points and Compliance Criteria (CPCC)” as they relate to agricultural production cycles. The documents set the compliance requirements for producers, producer groups and farmer associations. The actors must be in full compliance to the detailed Control Points and Compliance Criteria. CPCCs are divided into two required compliant levels: either a “Major Must,” a “Minor Must,” and a third category: “Recommended.” The first series of criteria “Major Must” requires 100% compliance; the second 95% compliance, and the third remains “preferable” recommendations.

Attaining GG certification is not complex, however, it requires commitment and time; a period between 7-10 months;

- Certification applies to associations/cooperatives such as *Asosyasyon des Peyizan Chanpyon* (APCs) and their interested member farmers;

- APC, project staff and interested parties need to initially review three introductory documents to help understand GLOBALG.A.P: these are in French:
 - #1 120328_gg_Introduction_ifa_Système Raisonne de Culture et..Frv4.0-1,16 pgs
 - #2. 120328_gg_Règels Générales_ifa_Partie (1)_i_Fr_v4_0-1, 42 pgs
 - #3.110801_gg_gr_ModalitesGenerals_partie2(ii)RèglesRelatives_Option#2_ifa_fr _ final_v4 Jan 12_13 pgs
- Document numbers #1, #2, #3 are part of the original 11 GG documents emailed to Senior staff including Regional Directors Sept 21 and 23, 2012)
- **GLOBALG.A.P** offers a group/association certification option: **DECISION POINT:**

Quality Management System (QMS) is required: Candidate APCs interested in registering to attain GG certification are required first to develop and create their own APC specific “Quality Management System (QMS); (*Système de Gestion de la Qualité.*” The APC either stops here or advance to QMS compliance.

- The first documents needed for this exercise is #6a below in French. The other two are useful but regrettably only available in English. The Ghana document is very useful; it contains some visuals that don’t need translation:
 - #6a.110930 GG IFA SystemeGestionQualite QMS ChkLst PH Producer Group FR V4 21 pgs
 - QMS Manual-Final-1 127pages Engl only useful how to book
 - GHANA Small Holders QMS Implementation Experience, 2008
- The QMS exercise is a self-directed and internally monitored creative process to design a framework for performing and accommodating APCs;
- A QMS will facilitate the next steps to Certification if the APCs decide to seek the **GG** certification path. QMS improves association-level collaboration for all other activities as well;
- **GLOBALG.A.P** Documents help APC’s to meet QMS goals;
- Writing and implementing a ‘QMS Manual’ completes the process of establishing an APC’s own internal QMS system. The APCs will submit their QMS manual to a **GLOBALG.A.P** auditor or certifier for review and approval.
- QMS training and creation requires six sessions, two hours each; thus it could be completed in six weeks if there was one weekly session. These sessions cover:
 - Session 1: Organizational Structure; Session 2: How to do a Risk Analysis; Session 3 Policies and Action Plan; Session 4: MRL and Residue Analysis; Session 5: Internal Inspection and Audit; and Session 6 Let’s complete the Manual!

Sub-license and Certification Agreement: If the decision is to move forward to the next step, the APC and/or individual APC member need to review is document #11:

- Once a Farmer association takes the decision to join GG certification process, it must agree to read through and sign:
 - Document #11, which is a **sub-license & certification agreement** form within the framework of **GLOBALG.A.P's** system. The document is a legal binding agreement that defines the participant as the “Interested Market Participant” within the framework of **GLOBALGAP** Groups seeking Certification.
 - The document must be signed between the certification body (CB), an independent entity from GLOBALG.A.P, and the contracting APC. The latter must be a legally registered entity recognized by the Haiti government as such.

The next steps are to interpret and implement three sets of module documents (or “scopes”); it is where the process gets a bit more complicate; each module/scope has a list of:

- **Control Points and Compliance Criteria (CPCC)** and an accompanied tracking **Check Lists (CL)**. These are:
 - a) **ALL FARM (AF)** Control Points and Compliance Criteria; there are 51; See Documents #4a and #4b
 - b) **Crop Base (CB)** Control Points and Compliance Criteria; there are 113; and See Documents #5a and #5b
 - c) **Fruits & Vegetables (FV)**, a sub-scope; Control Points and Compliance Criteria along with tracking Check Points; there are 70 CPCCs. See documents #8a and #8b
- **Total** Control Points and Compliance Criteria is: **233**; some are easy; others will take considerable time. Tackle them in order above: **a), b)** then **c)**!

Check-List (CL) are follow-up documents, each containing an action linked to a Control Point and Compliance Criteria. The Check-Lists are used for producer and/or APCs’ self-assessments during the producer’s up-grading process, preparing for certification audit and unannounced inspection by inspectors sent out by a Certification Body. The independent Certification Body (**CB**) uses the Check-list to determine if the producer has either met near 100% of all 233 CPCCs or not met the full list of compliance criteria, determines as “major musts” and “minor musts.”

For GG Certification, WINNER is focused on tree-crops (mangoes, plantain), which have the best chances to reach an export market, and ground crops (rice, beans, corn), as well as high value fresh vegetable. The contents of the three “scopes/sub-scope” listed above are:

- **The All Farm Base (AF)** compiles general activities performed during normal farming operations; maintain records of all on-farm activities; health, safety of workers; environment & conservation;
- **Crop-base (CB)** control points are more specifically addressing crop-related compliances; e.g.: traceability; soil management; use of fertilizer; irrigation, IPM;

- **Fruits & Vegetable (FV)** control point concerns are more specific to use of certified seeds; crop protection; special harvesting/post-harvest handling; and appropriate herbicides dosage for fruits and vegetables being produced.

5. Producer advantages of seeking GLOBALG.A.P certification are:

- Reducing food safety risks;
- Encouraging the development and adoption of Haiti's farm assurance schemes;
- Going through **GLOBALG.A.P.** implementation as an APC association has ripple effect for better collaboration among members within and among associations
- Provides an incentive to adhere more rigorously to details of extended Good Agricultural Practices; i.e.; in producing crops that are fail-safe hygienic; in being more sensitive and involved in improving on-farm work conditions, gaining satisfaction by caring for and protecting the natural environment, and gain better understanding of global efforts to expand and assure sustainable agricultural practices for generations.
- The most noteworthy aspect of **GLOBALG.A.P** certification is the almost certain edge in reaching new markets, and obtaining premium prices for the target produce.

Producer disadvantages to seeking GLOBALG.A.P certification are:

- The process to reach certification will take time for all producers; a fair estimate is to assume seven to ten month from start to finish.
- Many of the standards will be new activities for the farmer and require training sessions and reassessment of on-farm priorities and investment (time and financial);
- Keeping detailed, accurate and almost daily records of all activities taking place "on-site" can take up to a half or an hour a day and requires literacy and organizational skills;
- Because working for certification through an Association or Cooperative, decisions taken by the "legal entity" limits, and perhaps complicates the farmers' ability to make independent decisions on what happens with his/her crop or land.
- There will be a need for the farmer to make farm-level investments, especially the first year;
- One charge, which is repeated each year is the registration for certification, which is presently set at \$7.50 (US) for each cultivate lot under 1.5 acre. More if the lots are larger.
- Related to the annual fee is the requirement that, once certified, the farmer must undergo an annual re-certification control audit. This conditionality was part of the "Sublicense and Certification Agreement" signed when the *Asosyasyon de Peyzen Chanpyon* registered and the individual farmers, as engaged in the **GLOBALG.A.P** certification process. The Agreement also stipulates that the farmer agrees to have the

Certifying Body (CB) make unannounced visits to the farm during the year to conduct a quick look at thorough compliance all year, every day.

6. Cost of Acquiring GLOBALG.A.P. Certification

Individual Producer registration fees for GLOBALG.A.P certification as mention above are presently \$7.50 /individual APC member. The non-refundable amount is a form of commitment on the part of producer to carry through the certification process.

Group certification License Fee: In addition to individual member fees, GLOBALG.A.P requires groups such as APCs, a \$195 base level fee, and an additional \$1.50 for each producer equal to the number of group members in the APC.⁸ Actual audit costs are established by Certification Bodies (CB) who conducts third party independent audits.

The following is complete estimate of total cost for first year:

- 214 WINNER APC associations; estimated 85,000 members. Objective is to reach 20% of APCs means to reach about 42 associations: assume 5-10 members/APC are interested in Certification;
- **Training:** Training of 4 associations together will take between 5-10 days, depending on distance between farms and training site.
- Assume average 7 training days for 4 APCs;
- **GG Certified Trainer:** estimated burdened rate + travel for GG Certified trainer: \$1,400 X 7 = ~\$10,000
- For 42 APCs: 10 training session for 4 APCs: \$10,000 X 10= **\$100,000**.
- **Certification costs:** average duration of certification audit: 3 to 4 hrs/farm; higher if multi-site productive lots. Use an average of 3.5 hrs/ audit (auditors can do 3 audits/day)
- **Certified auditor:** Assume 7 member farmers/42 associations is 294 farms X 3 audits/day=98 audit days
- Estimated burdened rate + travel for GG Certified auditor: \$1,600.
- For 42+3 CRDDs 98 + 1= 99 days is **\$158,500**
- Association cost to register for certification: \$195 + \$1.50 additional fee for producer APC member (7 on average; thus \$10.50), and \$205/APC X 42 APCs = **\$8,600**
- **Total estimate cost:** \$100,000+158,500+8,600 = **\$267,000**
- Reminder; once certified, the farm needs to be recertified annually.

Audit costs will vary depending on:

- How prepared the farms are for the audit
- Amount of time/travel expended by the auditor
- Quantity of corrective actions requiring follow-up by the auditor

⁸ This is the language; however, upon contact with GLOBALG.A.P it was clarified that the \$1.50 is assessed only per member that takes the decision to go forward on the certification path.

- Other services provided by the certification body

Cost savings for the Associations can be achieved through:

- Well-organized documentation;
- Embracing a *culture of safety* throughout the farming operation
- APCs that decided to participate as an Option 2 producer group, can bring a larger farm (that qualifies as an Option 1 “Multi-Site” producer), and has attained an approved Quality Management System (QMS) for its farm in the same cultivation sector as the APC; i.e., both the APC and the larger farm produce mangoes
- Work with GLOBALG.A.P experienced people before calling on GG Certified auditors.

7. Market opportunities for Haiti’s GLOBALG.A.P certified produce

The big question is will the US, Haiti and other countries’ food wholesalers/retailers accept GLOBALG.A.P standards as a food safety scheme under their needs and requirements? Generally, U.S., European Union and other importing countries’ retailers and food service providers look increasingly to GLOBALG.A.P certified producers to supply them with produce that are safe from chemical, biological and physical risks.

WINNER’s marketing specialists have identified end-markets for the focus produce and commodities farmers are encouraged to grow, test and learn the most efficient agricultural practices to obtain maximum healthy production of the targeted crops: (corn, beans, rice, green banana/plantain, mangoes and high value vegetables)

The follow-up task remains for WINNER’s marketing specialists is to obtain:

- Information from local food retailers regarding an approximate size of the demand market, price levels and best weeks of the year (when consumer prices are high) to supply food retailers with GLOBALG.A.P certified crops;
- Assess the plus and minus of storing fresh fruits and vegetables at Kenscoff’s new “Centre de Transformation (processing plant)” of fresh produce and storage facility to put off selling targeted fresh produce for a period when prices seasonally rise; and
- the same information should be attained for the best and most reliable export markets in the US, Caribbean Islands and other potential markets, predominately for mangoes, plantain and figue bananas – three crops that Haiti could have a competitive advantage if they were GLOBALG.A.P certified.

8. Principal Findings

WINNER’s target regions each excel in the production of one or two distinct crops. Each crop, were they to have gained added value from being **GLOBALG.A.P** certified, is determined by their ability to sell either at local or export markets, as shown below:

- Conclusions from a gap analysis (see Annex E) are that in spite of many useful interventions by extension agents and all the work to improve productivity among small landholder farms, there remains an important gap between the level of present “control point” equivalent, and the levels required by **GLOBALG.A.P** Certification standard. These are almost all doable, but they will take time to meet conformity levels.
- Packaged produce (upper row in table below) can be sold at prices (lower row):

Haricots/beans	High-value vegetables	Rice	Mangoes/green Bananas
Priced same as non-GG certified in the domestic mkrt	Priced slightly higher than non-GG certified in the domestic mkrt	Same or even lower than non-GG certified import prices	Higher when exported GG certified

- The competitiveness of haricot/beans, high-value vegetables, and rice are slim and does not offer producers a predominant value-added incentive to spend a year working to meet **GLOBALG.A.P** certification standards year after year.
- The price spread between selling to local markets and prices fetched in export markets for mangoes and green bananas (Plantain) are possibly compelling for producers of the two produce to seek **GLOBALG.A.P** certification.
- A common land-use practice among small farmers is to lease, rent or borrow parcels or lots as additionalities to their own; however, the practice reduces farmer’s incentive to invest in needed on-farm improvements; i.e.; in infrastructures, facilities upgrade, sanitizing soils, soil enhancement via farm-produced composting;
- Leased or rented lots (can also include individual trees) are re-evaluated annually by original owner; renters are often mango growers, particularly of individual trees. These growers also buy from mango sellers to scale growers’ saleable lot. This further hinders incentive to upgrade production sites, making **GLOBALG.A.P** certification more elusive; i.e.: certified produce cannot be in the same space as non-certified produce.

- While the reasoning behind **GLOBALG.A.P** standards is logical on a global scale, there are elements that go counter to Haiti’s current situation. Requiring small landholders to have a hand-washing facility, potable water, arrange an area where workers can sit, eat their lunch and relax are not always feasible for small, sometime isolated farm plots. As one farmer explained:
 - “If I install a field water facility, a passer-by will come any time and use up my water”
- The three *Centre de Recherche et du Développement Durable* (CRDD) present excellent sites in each region to be the “first candidates” to implement a **GLOBALG.A.P** demonstrative certification process.
- A « Centre de Transformation » in Kenscoff to process fresh produce is nearly completed and will provide valuable services to the mango sector by preparing the fruit for export markets;

The results of several focus group sessions with representatives from WINNER APCs, where the consultant made a short summary presentation of GG required standard, a common take-away from the discussions was that APCs were generally interested and some enthusiastic about participating in a reach for **GLOBALG.A.P** certification: “If WINNER is proposing GG to us, and since all other technics WINNER introduced us to improve our agriculture was useful, then GG must provide similar benefits.”

9. Recommendations

RECOMMENDED ACTION

- Establish **GLOBALG.A.P** “Islands of excellence” in each WINNER region that will help set standards APC’s can aspire to. The recommended place are the regional CRDDs. It is well understood that the CRDDs are place where there a many activities. However, one way for people to “see the process being put into place” will be more likely to arrive at an “informed” visible, tangible and accessible site.
- Assign a WINNER **GLOBALG.A.P**. follow-up coordinator; preferably from the Bureau Central:
 - Prospective coordinator: Yves Andre Wainright
- Assign four Regional **GLOBALG.A.P** Coordinators for:

RECOMMENDED ACTION

- Kenscoff; Duvier; Archaie; BasBoen
 - Look to using a highly motivated regional APC that has worked preferably with the CRDDs, to assume responsibility of pursuing a demonstrative successful GG certification of the CRDD.
- The Central Office Coordinator needs to call for a meeting of APCs that participated in August GG presentations by the consultant by setting a time to meet and discuss their interest and commitment to engage in either going after GG Certification or not. Inform their Regional GG Coordinators of decision. Written notes of the meeting are strongly recommended; they will be helpful to other APC debates, and should be shared with senior management.

TRAINING NEEDS

- There is a need to arrange particular training for APC associations and members that decide to pursue GLOBALG.A.P certification.
- Develop and prepare training sessions: Based on focus group discussions and presentations,
- How to document all GG required on-farm events, and how to establish and maintain organized archives (required to be kept for two years); **Viz: description of what is expected from farmer at: AF 2.1 Critères de Conformité; doc #4b, page 3.**
 - Steps on preparing and writing a risk assessment; **Viz AF 3.1.1, meme document, page 5.**
 - Training on health and food security: **Viz AF 3.1.3 meme document, page 6.**
 - Process to prepare, writing and implementing a farm hazard evaluation;
 - Steps in preparing and writing **risk-averse hygiene**-level farm procedures;
 - With GG emphasizing social responsibility vis-à-vis hired labor, small landholders can benefit from training on instructing and managing hired workers on maintaining strict levels of hygienic standards, and the consequences of not following guidelines and requirements.
- One way to improve familiarity & sustainability of GG concepts is to invite high school students to attend GG reporting-out sessions presented by the implementing APC or CRDD staff.
- For all training, there is a need to establish a ‘check list’ of all activities relative to organizing a training activity:
- A check list for all steps required before participants’ arrival;
 - Mandatory contact with the trainer to ensure that starting hours are realistically chosen. Take steps to avoid training delays caused by delay on the part of the trainer and training site installation;
 - Factor installation time of: generator, screen, extra electrical cords, lighting (it happens that the room may be too sunny for the projection on the screen), site cleanliness, participant sheets, etc.

RECOMMENDED ACTION

- if there is a day trip, provide potable water, equipment and tools requested by the providers ; bring a camera and provide garbage disposal bag/bin, etc.

10. Summary table of the scope of work, tasks requested and tasks accomplished

OBJECTIVES		TASKS REQUESTED	TASKS ACCOMPLISHED
<p>Overall Object: WINNER is exploring the possibility of pursuing GLOBALG.A.P certification for at least 20% of the “Association Champion” in the Plains of Cul de Sac and the Matheux regions of Haiti by the end of the project life.</p>			
<p>Familiarization with GLOBALG.A.P documents and certification process for Small landholder producers</p>	<p>1</p>	<p>Conduct a desk review of GLOBALG.A.P practices to determine the requirements, technical, environmental and economic recommendations that would apply to focus crops in Haiti. The consultant will also present a clear and full description of the GLOBALG.A.P certification process, general costs and length, advantages and disadvantages.</p>	<ul style="list-style-type: none"> •Gathered up-dated information from past and most recent literature; gathered and reviewed 16 GLOBALG.A.P documents, both French and English that will be needed to inform WINNER’s office and field staff, and <i>Asosyasyon de Peyzen Chanpyon</i> (their management members) needed to reach decision point of whether the level of conducting self or “internal” farm audits prior to requesting a certification session that can only must be conducted only by a licensed certification agent.
	<p>2</p>	<p>Review WINNER work plans, reports and Contract Modification No. 12 (as it pertains to GAP certification) to better understand the contractual requirements, goals approach, challenges and achievements of the WINNER team</p>	<p>Reviewed Contract Modification No.12; discussed with Senior staff essential of reports, and Work Plans helping to understand the contractual requirements, goals approach, challenges and especially achievements of the WINNER team.</p> <ul style="list-style-type: none"> - Kenskoff, Duvier, Mahotièrè: Visited nurseries. In Kenskoff, trained in establishing Vetiver ribbon nursery; in Mahotièrè, visited road, proposed remediation sites and site where Vetiver not needed. Installed demonstration site for controlling runoff. Used Vetiver planted in March as training site. - Arcahaie –. - Cabaret - Visited 4 WINNER field sites; discussed

OBJECTIVES		TASKS REQUESTED	TASKS ACCOMPLISHED
To gather information of where WINNER stood in regards to studies conducted, the interest GLOBALG.A.P generated; and their needs to learn more about the certification process	3	Meet with WINNER senior staff to gather useful information and plan the execution of this mission. Develop questionnaires for focus groups with WINNER field staff and formers.	Met with senior staff on August 7; provided an introductory presentation (PPT) of What is GLOBALG.A.P ; who is behind GLOBALG.A.P , what role does it play in the retail food sector and what advantages and limitations of GLOBALG.A.P for WINNER's Associations of Champion Farmers. Discussions regarding the usefulness of GLOBALG.A.P ended with an agreed decision that WINNER will, regardless of estimated projections of whether Champion Farmer would be interested, that we would nevertheless inform, organize and demonstrate the advantages of GG.
The only way to get a handle on production and status of small land holder farms is by visiting them, and gather information about their activities as they relate to GG compliance requirements. We used the Certificatioactivities in September 2010	4	Visit WINNER-supported farmer fields and organize focus groups with stakeholders in the Plain de Cul de Sac, Bas Boën, Mirebalais, Saut d'Eau, the Kenscoff area (Mahotièrewith 5 APC's members representing two APCs and Mahotiere vegetable fields and WINNER nursery; Cazale, Cabaret and Fond Blanc(small vegetable and fruit tree parcels) and the Matheux corridor.	Held 6 person focus group sessions in Cule de Sac Bas Boën with participants from the CRDD and APC's ACPDD and Champion farmers. Focus was on dorn, eggplants and beans Visited and spoke with banana farmers in Montrouis using with pride WINNER's raised beds, off-set planting, intercropped, with vegetables and legumes; discussed markets, and hints of GLOBALG.A.P process. In Mirebalais and Saut d'Eau met with two Mango focus groups, who indicated strong interest in GLOBALG.A.P . Representatives from CETPA, ODEPDA, NPS/M, CRTPA, RAPPCOH (or M), KOMC and SAKO. They were to report to WINNER any decision taken by their APC association nursery Met with Kenscoff's Regional Director; he attended the early part of our GG presentation to five members of two APC; discussed with association level of interest in certification. Visited small vegetable farms in Cabaret banana research center, Fond Blanc and nursery in Cazale with an APC member; visited storage of pesticides, fertilizer and harvested crop in close proximity; an arrangement GG strongly dissuades.

OBJECTIVES		TASKS REQUESTED	TASKS ACCOMPLISHED
Introduce a schedule for launching GG certification initiative	5	Develop a plan of action with detailed and specific recommendations and timeline for implementing G.A.P certification for 20% of the “Associations Champion” in the Cul de Sac and Matheux corridors by the end of the project life.	Completed; modified and adapted three different training sets. Installed four demonstration sites with partner associations in: Mahotièrè, Dumai, Mirebalais and Bassin Magnan, and five ribbon nursery demonstrations plots by local partner associations in Kenskoff, Bas Boen, Mirebalais, Dubédou and Archaie.
Provide an awareness session using a PPT on the “what” “why” and “how” of GG as a basic presentation, and launching of discussion topics. Follow-up with sending GG documents	6	Organize a training session, with adequate background material and documentation for WINNER technical staff on GAP certification.	The training material was prepared, but the last 3 days of my field mission coincided with senior staff’s departure for their Annual Work Plan preparation away from Port-au-Prince, and thus was put off.
Develop a greater awareness of the advantages and disadvantages of GG certification	7	Make a Power Point presentation to USAID and the WINNER team, showing the main findings and proposing a methodology and recommending an Action Plan with time for implementing G.A.P certification for 20% of the “Association Champion” in the “Cul de Sac and Matheux corridors by the end of the project life.	The consultant prepared a Power Point presentation for USAID and the WINNER team. (They are available in ANNEXES below). Regrettably due to USAID and WINNER’s Senior management tight schedules during the week of the consultant’s departure, the consultant was not able to find an opening in USAID’s scheduled for the requested presentation .
Include as much useful information as possible	8	Draft and submit and final report, taking into account the comments received from USAID and WINNER	The task can only be completed once the present version will be read and presented to USAID/Haiti and WINNER.

ANNEXES

**ANNEX A: Everything you Wanted to know about GLOBALG.A.P but Were Afraid to Ask
Power Point Presentation on the what, how, why, steps, cost, summary of GG standards, advantages and disadvantages to smallholder farmers and their APC. (31 slides Eng.)**

ANNEX B: PPT Une série de Défis; Une Agriculture Sure et Durable (15 diapo Fr)

ANNEX C: Association Selection Criteria

ANNEX D: Haiti/WINNER draft GLOBALG.A.P Certification Implementation ACTION PLAN

ANNEX E: Gap Analysis of WINNER's select Asosyasyon de Peyizan Chanpyon (APS)

ANNEX A

**Everything you wanted to know about GLOBALG.A.P.
But were Afraid to Ask**



USAID | WINNER
FROM THE AMERICAN PEOPLE WATERSHED INITIATIVE FOR NATIONAL
NATURAL ENVIRONMENTAL RESOURCES

GLOBALG.A.P.

**Secure and Sustainable
Agriculture**

A Tested Process in the Application of **Good
Agricultural Practices**

Criss Juliard, GG Advisor



We look to reply to basic questions:

- What is **GLOBALG.A.P**?
- Why it is of interest?
- Steps to **GLOBALG.A.P** certification
- How the system works?
- Sub-categories for each Certification module
- Summary of **GLOBALG.A.P** standards & regulations
- Advantages and disadvantages to the small landholder farmers
- How much will it cost, and how long will it take?
- Principal findings
- Other summary of Focus groups
- Recommendations
- Summary of visits



What is GLOBALG.A.P.

- It's an international Quality Management System in agricultural production;
- It's an aggregate of international agricultural standards confirmed by certification of all steps of a fresh food production chain;
- The **GLOBALG.A.P** standard is designed to reassure consumers:
 - about how food is produced on farms following a strict hygienic assurance process that reduces, if not eliminates farm-based health risks;
 - Reduced use of chemical inputs;
 - Sound soil management, including making and applying organic compost
 - Ensures responsible approach to workers' health and safety, and environment conservation involvement;
 - It is also a registered, copyright label and treated as a trade name.



What is GLOBALG.A.P (con't)

- **GLOBALG.A.P** covers all farm activities, from the time inputs arrive at the farm until the produce leaves the farm gate;
- General GG regulation establish the rules by which farm level **GLOBALG.A.P.** standards are administered, evaluated and either approved (Certified **GLOBALG.A.P.** compliant or not);
- GG certified produce are accepted by fresh fruit wholesalers, processors and supermarkets the world over;
- **GG is like having an entry Visa for all countries in the world**



GLOBALG.A.P, Why is it of Interest?





GLOBALG.A.P, Why it is of interest? (con't)

- It helps to reinforce farmer Associations, defines and enforces a common level of verification status;
- Large farms seek to obtain **GLOBALG.A.P.** certification to improve production quality and access new markets;
- While WINNER works closely with small farmers & their associations, the project maintains its objective to have APCs adopt **GLOBALG.A.P.**-level standards;
- Subsequently, WINNER identified a special **GLOBALG.A.P** option reserved for such groups; small farmers belonging to a legal entity are capable of accessing **GG** certification via their APCs;
- Putting a **GLOBALG.A.P** certification process in place allows APCs and members to witness the power of tight collaboration, testing member commitment to the group and to attain certification, .



1. Steps to GLOBALG.A.P certification

- Attaining GG certification is not complex, however:
 - it requires commitment and time; a period between 7-12 months;
- Certification applies to associations/cooperatives such as *Asosyasyon des Peyizan Chanpyon* (APCs) and their interested member farmers;
- APC, project staff and interested parties need to initially review three introductory documents to help understand **GLOBALG.A.P**: *these are in French*:
 - #1 120328_gg_Introduction_ifa_Systeme Raisonne de Culture et...Fr_v4_0-1_16 pgs
 - #2. 120328_gg_Regels Generales_ifa_Partii(1)_i_Fr_v4_0-1_42 pgs
 - #3. 110801_gg_gr Modalites Generals_partie 2 (ii) ReglesRelatives_Option#2_ifa_fr_final_v4Jan 12_13 pgs

(Document numbers #1,#2, #3 are part of the original 11 GG documents emailed to Senior staff including Regional Directors Sept 21 and 23, 2012)
- **GLOBALG.A.P** offers a group/association certification option: **DECISION POINT**: Candidate APCs interested in registering to attain GG certification are required first to develop and create their own APC specific “Quality Management System (QMS);” Stop here or advance to QMS compliance (view next slide).



2. Steps to GLOBALG.A.P certification (Con't)

- The QMS exercise is a self directed and internally monitored creative process to design a framework for a performing and accommodating APCs;
- A QMS will facilitate the next steps to Certification if the APCs decide to seek the **GG** certification path. QMS improves association-level collaboration for all other activities;
- **GLOBALG.A.P** Documents help APC's to meet QMS goals;
- Writing and implementing their own 'QMS Manual' completes the process of an APC's own internal QMS system. The APCs will submit their QMS manual to a **GLOBALG.A.P** auditor or certifier for review and approval.
- The APCs can then move on to the next step.



3. Steps to GLOBALG.A.P certification (Con't)

- If the decision is to move forward to the next step, the APC and/or individual APC member need to review document #11:
 - The “Sublicence and Certification Agreement”, a document signed between the certification body (CB), an independent entity from GLOBALG.A.P and the contracting APC; which must be a legally registered entity recognized as such by the Haiti government.
- QMS developed by APCs must be reviewed by GG certified auditors to be approved to move on to the next step.
- Next steps are to interpret and implement three sets of documents; it is where it gets more bit complicate; each with a list of:



4. Steps to GLOBALG.A.P certification (Con't)

- **Control Points and Compliance Criteria (CPCC)** and an accompanied tracking **Check Lists (CL)**:
 - ALL FARM (AF)** Control Points and Compliance Criteria; there are 51;
 - Crop Base (CB)** Control Points and Compliance Criteria; there are 113; and
 - Fruits & Vegetables (FV)** Control Points and Compliance Criteria along with tracking Check Points; there are 70
- **Total** Control Points and Compliance Criteria: **233**; some are easy; others will take considerable time. Tackle them in order above: **a)**, **b)** then **c)**!



How the System Works?

GlobalG.A.P. is composed of three scopes;

1. Broadly based **G**eneral **R**egulations: set overall rules of the game;
2. **C**ontrol **P**oints & **C**ompliance **C**riteria: Specific itemized measures required for certification (total:233 CPCCs)
3. **C**heck **L**ists: tracks each CPCC; needed both to prepare for, and passing the certification process

Common to the three scopes is the requirement that all participating Associations and member farmers must maintain written records that track all agricultural activities of the farms for at least two years.



How the System works? (con't)

- **1. General Regulations**
- WINNER will provide technical support to the project's three GLOBALG.A.P required applications:
 - **ALL FARM BASE (AF):** these are daily farm routine activities: Operations management, health & safety of personnel/farm laborers, socia & environment considerations
 - **Standards related to all encompassing crops ; CROP BASE (CB).** Land and soil management, plants & seeds; application/handling of fertilizer/pesticides; irrigation; IPM; storage
 - **Fruits & Vegetables (FV);** specific soil & sub-strata mgt;Pre & Post harvests/handling/cleaning



How the System works? (con't)

2. **C**ontrol **P**oints & **C**ompliance **C**riteria (CPCC)

- These are standards against which producers as well as a producer groups and Associations must be in full compliance.
- CPCC compliance is divided into 3 levels; either:
 - Major Must; the score must be 100% compliant
 - Minor Must: the score cannot be lower than 95% compliant
 - Recommended: these are not required, but recommended. It helps to have a few of those graded “compliant.”
- Each CPCC provides specific details of the required obligations entailed in complying to the CPCC criteria.



How the System works? (con't)

3. Check-lists

- This is the list that forms the base for internal audits (self and in preparation for external on-site farm audits, and unannounced controls by Certification Bodies (CBs))
- Each engaged APC and each of their engaged member producer will track their progress towards attaining 100% compliance prior to request to have a **GLOBALG.A.P** audit by external auditors. It is used to conduct continual internal controls.
- Check lists compliance ratings have three levels:
 - Yes, no, or not applicable
- In other words, if the APC/person presents themselves for a certification audite, they must have 100% yes and 95% for the Major Must & Minor Musts respectively



Sub-categories for each Certification modules

Sub-sector 1. All Farm (AF) modules

- Maintain quality archives, and results of internal evaluation
- Background of production site and its management
- Health, safety and well-being of workers
- Management of waste water, pollutants, recycling and re-utilization
- Environment and conservation
- Handling complaints
- Traceability



Sub-categories for each Certification modules

Sub-sector 2: Crop Base (**CB**) modules

- Traceability
- Propagation Materiel
- Origins and managment of farm site
- Soil managment
- Use & applications of fertilizers
- Irrigation/fertigation
- Integrated pest management
- Plant Production Protection



Sub-categories for each Certification modules

Sub-Sector 3: Fruits & Vegetables (FV)

- Propagation material
- Irrigation/Fertigation
- Machinery and equipment
- Crop protection
- Harvesting
- Harvested crop handling



Summary of GG standards & regulations: 1

- Designed to reassure consumers
- It is about how food is produced on farms by minimizing detrimental environmental impact
- Reduces use of chemical inputs
- Promotes good soil management
- Ensures responsible approach to workers' health, safety and well being
- Designed to be rigorous and consistent
- Conforms with WINNER's focus; goes one step further
- Certification must be renewed annually



Summary of GG standards & regulations: 2

- The number of Control Points is significant. For the QMS guidelines, there are 325 tasks that must be reviewed via Check-list; Crop base: 113,
- Control Points and Compliance Criteria are rated:
 - Major must (must meet 100%)
 - Minor must (must meet by 95%)
 - Recommended (prederable but nor required)



How much will it cost and how long will it take?

COST: 214 APC associations; estimated 85,000 farmers; to reach 20% of APCs means to reach about 42 associations: assume 5-10 members/APC are interested in Certification;

- **Training** of 4 associations together: between 5-10 days, depending on distance bt farms and training site.
- Assume average 7 training days for 4 APCs;
- Estimated burdened rate + travel for GG **Certified trainer**: $\$1,400 \times 7 = \$10,000$
- For 42 APCs: 10 training session: $\$10,000 \times 10 = \$100,000$.
- **Certification costs**: average duration of certification audit: 3 to 4 hrs/farm; higher if multi-site productive lots. Use an average of 3.5 hrs/ audit (auditors can do 3 audits/day)
- Assume 7 member farmers/42 associations is 294 farms \times 3 audits/day=98 audit days
- Estimated burdened rate + travel for GG **Certified auditor**: \$1,600.
- For 42+3 CRDDs $98 + 1 = 99$ days is **\$158,500**
- Association cost to register for certification: $\$195 + \1.50 additional fee for producer APC member (7 on average; thus $\$10.50$), and $\$205/\text{APC} \times 42 \text{ APCs} = \$8,600$
- **Total estimate cost**: $\$100,000 + 158,500 + 8,600 = \$267,000$
- **Reminder; once certified, the farm needs to recertify annually.**

TIME: Based on other experiences, the process from start to finish is 7-10 months; much depends on the coordination of the process.



Advantages to the small landholder farmer :

- Assures their produce are free from pesticide residue and other possible pollutants;
- Assures robust hygienic standards are applied all along the growth/production process;
- Encourages the development and adoption of national and regional farm assurance schemes;
- Requires maintaining complete record of all activities that take place on the farm; this promotes better farm management and good financial control;
- Considerable risk reduction associated to agricultural production;



Disadvantages to the small landholder farmers:

- The process is detailed and long, likely distracting farmers' attention from agricultural production this coming year;
- There are costs involved, including annual registration fees, cost of arranging safe storage for unsafe agricultural inputs and harvested production;
- Increases adaptation costs for farmers with multiple sites; to upgrade health, hygienic, social and protective on-farm standards in each site;
- Mango producers will be forced to modify their tradition of “bundling” fruits from different sources (i.e.; buying from other small producer or from neighbor/family “rented” trees) that are probably not GG certified;
- Uncertainty of premium markets; (other than mangoes, plantain, high value vegetables and *banane figue*) for corn, beans and rice small farmers.



PRINCIPAL FINDINGS

- WINNER’s target regions each excel in one or two distinct crop, and each crop’s added value is noted for both local and export markets as shown below:

Haricots/beans	High value vegetables	Rice	Mangoes/green Bananas
Priced same as non-GG certified in the domestic mkt	Priced slightly higher than non-GG certified in the domestic mkt	Same or even lower than non-GG certified import prices	Higher when exported GG certified

- The competitiveness of haricot/beans, high value vegetables, and rice is slim, and does not offer producers a predominant value added incentive to spend a year working to meet **GLOBALG.A.P.** Certification standards year after year;
- The Price spread between selling to the local market and prices fetched in export markets for Mangoes & green bananas (Plantain) are possibly compelling for producers of the two produce if certified **GLOBALG.A.P.**



PRINCIPAL FINDINGS (Con't)

- A common land-use practice among small farmers is to lease, rent or borrow parcels or lots as additionalities to their own; however, the practice reduces farmer's incentive to invest in needed on-farm improvements; i.e.; in infrastructures, facilities upgrade, sanitizing soils, soil enhancement via farm-produced composting;
- Leased or rented lots (and can be individual trees) are re-evaluated annually by original owner; renters are often mango growers. These growers also buy from mango sellers to scale growers' saleable lot. This further hinders incentive to upgrade production sites, making **GLOBALG.A.P** certification more elusive; i.e.: certified produce cannot be in the same space as non- certified produce.
- While reasoning behind **GLOBALG.A.P** standards are logical on a global scale, there are elements that are counter to Haiti's current situation. Requiring to have toilets, a hand washing facility and a zone where people can sit; eat their lunch area and relax on small isolated plots is not always feasible. As one farmer explained:
 - “If I install a field water facility, a passer-by will come any time and use up my water”
 - “I don't have space on my lot to make available for workers hand washing facilities, potable drinking water, and a place to store food and a place to eat”



PRINCIPAL FINDINGS (Con't)

- The three Centre de Recherche et du Développement Durable (CRDD) present excellent sites in each region to be the “first candidates” to implement a **GOBALG.A.P** demonstrative certification process.
- A « Centre de Transformation » in Kenscoff to process fresh produce is nearly completed and will provide valuable services to the mango sector by preparing the fruit for export markets;
- The results of several focus group sessions with representatives from WINNER APCs, where the consultant made a short summary presentation of GG required standard, a common take-away from the discussions was that APCs were generally interested and some enthusiastic about participating in a reach for GLOBALG.A.P certification: “If WINNER is proposing GG to us, and since everything else WINNER introduced us to technics to improve our agriculture was useful, then GG must provide similar benefits.”

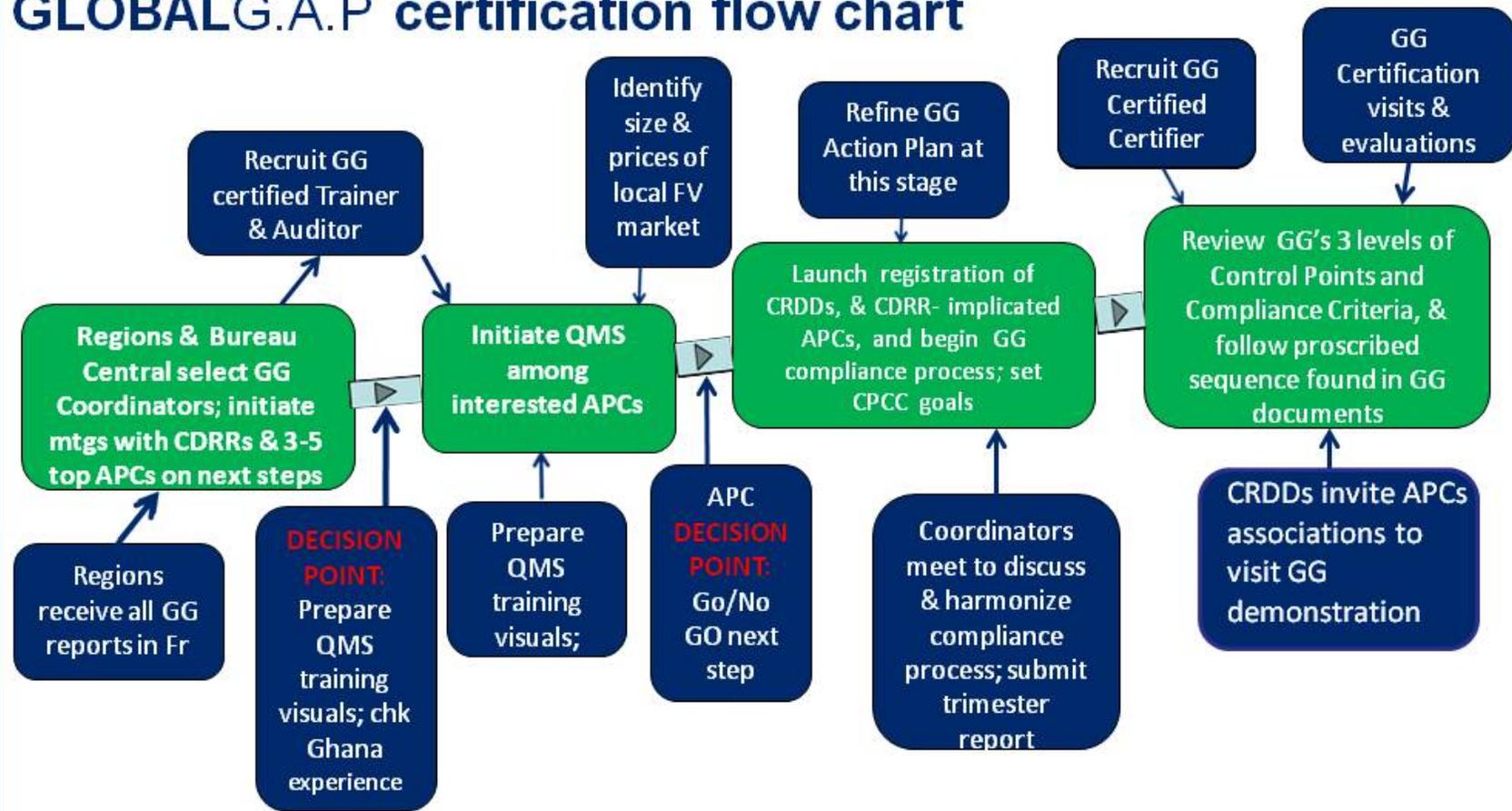


Other Summary of Discussions

- Interest and expressed commitment:
 - highest among Mango producers, followed by Banana/plantain growers; a little lower conviction among vegetable growers.
- Mangoes will be the most challenging due to the low incidence of farming well-defined, certifiable plots.
 - All mango farmers indicated that in addition to owning/managing small lots of Mango trees, they also purchase harvested mangoes from other farmers.
- **WINNER** will need to work closely with ANEM, Mango Exporter Association, processing plants, TFSA, ADFES
- Banana/plantain growers are proud of their ability to increase production, and are looking to reach higher value markets



GLOBALG.A.P certification flow chart





RECOMMENDATIONS

It is recommended that regardless of how many APCs or individuals show interest or no interest at all in seeking GLOBALG.A.P certification, that WINNER selects 3 or 4 sites within their two corridors to establish in good faith a “demonstration **GLOBALG.A.P** Certification in process.” An good location would be WINNER’s CRDDs as their demonstration, training and testing are part of their ‘raison d’être .’

- Establish “Islands of excellence” in each WINNER region that will facilitate APCs and members to understand standards APC’s can aspire to;
- Assign a WINNER **GLOBALG.A.P**. follow-up coordinator; preferably from the Bureau Central:
 - Prospective candidate: Yves Andre Wainright
- Assign four Regional **GLOBALG.A.P** Coordinators for:
 - Kenscoff; Duvier; Archaie; BasBoen



RECOMMENDATIONS (con't)

- Look to using a highly motivated regional APC that has worked preferably with the CRDDs, to assume responsibility of pursuing a demonstrative successful GG certification of the CRDD
- Request APC Associations that participated in GG presentations to meet and discuss their interest and commitment to engage in taking the path to GG Certification. Inform their Regional and the Central GG Coordinator of decision.



RECOMMENDATIONS (con't)

- There is a need to arrange particular training for associations that decide to pursue **GLOBALG.A.P** certification.
- Develop and prepare training sessions: Based on focus group discussions and presentations,
 - How to document all GG required on-farm events, and how to establish and maintain organized archives (required to be kept for two years);
 - Steps on preparing and writing a risk assessment;
 - Process to prepare, writing and implementing a farm hazard evaluation;
 - Steps in preparing and writing risk averse hygiene-level farm procedures;
 - With GG emphasizing social responsibility vis-à-vis hired labor, small landholders can benefit from training on instructing and managing hired workers on maintaining strict levels of hygienic standards, and the consequences of not following guidelines and requirements.
- One way to improve familiarity & sustainability of GG concepts is to invite high school students to attend GG reporting-out sessions presented by the implementing APC or CRDD staff.



Summary of visit

- August 4 – 22
- Visits and **GLOBALG.A.P.** presentations to select Associations & Regional Directors:
 - Kenscoff and Mahotièrè - Vegetables
 - Cazale, Cabaret, Fond Blanc - citrus, vegetables
 - Cul de Sac, BasBoen, CRDD - Corn, beans, Cabaret, Montrouis - Bananas
 - Mirebalais, Saut D'eau- Mangoes
 - (Was not able to visit rice growing paddies)

ANNEX B

Une Agriculture Sûre et Durable

(15 diapos; French)

GLOBALG.A.P.

**Une agriculture sûre et
durable**

**Un processus important pour
l'application des Bonnes Pratiques de
Production Agricole (G.A.P.)**

WINNER project, USAID/Haiti

Repondre a trois questions de base

- **What/ Quoi**
- **Why/Pourquoi**
- **How/Comment**

Qu'est-ce GLOBALG.A.P.?

- Un standard agricole devenu international, confirmé par une certification de toute aspets de la chaine de production, de l'intrant jusqu'a ce que produits sorties de la ferme
- Règlementation générale établit les règles par lesquelles les standards GLOBALG.A.P. agricoles sont administres (plantes, arbres fruitiers)
- Produits certifiés GG sont acceptés par grossistes et supermarchés dans le monde entier
- GG est comme un Visa d'entré universel

GLOBALG.A.P. aide à renforcer l'Asosyasyon

- **Généralement, les grandes exploitations recherchent la certification GlobalG.A.P. (pour améliorer la qualité de leur production, et avoir accès à de nouveaux marchés)**
- **WINNER initiera une adaptation des critères du GlobalG.A.P. par WINNER**
- **WINNER vise les petits exploitants, mais garde tjrs l'objectif d'amener les Asosyasyon de Peyizan chanpyon à adopter les importants standards de GlobalG.A.P.**

Vérification de conformité Indépendente

- Il ne s'agit pas d'un processus compliqué, néanmoins, il exige du temps et de l'engagement pour y arriver
- Asosyasyon des Peyizan Chanpyon (APC) devront élaborer et mettre en place un Système de Gestion de Qualité (SGQ) avant qu'elles puissent s'enregistrer comme candidat a GG
- La certification est menée vérification conduite par une structure indépendante, (ex: *Bureau Veritas*)

Avantages aux associations d'exploitants

- **Assure des produits libres de résidus de pesticides et d'autres polluants**
- **Des conditions rigoureuses d'hygiene tout au long du processus de production**
- **Maintenir des archives fiables de toutes les activités de la ferme, menant à une meilleure gestion et un bon control financier**
- **Réduit considérablement les risques associés à la production agricole**

Pourquoi le GlobalG.A.P.?

1. La globalisation:	→ à crée une expansion du commerce des produits alimentaires
2. Demande continue de produits frais par les consommateurs :	→ Mostly fresh fruits & vegetables (ff&v) & ready-made food
3. Les détaillants Européen avaient besoin de se protéger des produits alimentaires non-hygiéniques:	→ Détaillant s ont établis des standards EurepGAP standards; basés sur des concept de bonne hygiène, sûr et traçable
4. Les standards EurepGAP se sont propagé dans la majorité des marchés internationaux:	→ Global effort: added environment & social dimension: Global G.A.P.

Comment fonctionne le système?

GlobalG.A.P. est composé de 3 champs d'applications;

1. Réglementation Générale

2. Points de Control & Critères de Conformité

3. Check Lists

- **Réunir les 3 champs d'application aidera les adhérents à atteindre la certification**
- **Il est indispensable que les Asosyasyon participantes maintiennent en permanence des archives de toutes les activités agricoles de la ferme.**

1. Règlementation Générale

WINNER se penchera sur trois champs d'application de GLOBALG.A.P. Ils sont:

- **Activités quotidiennes de la Ferme: ALL FARM BASE (AF)** (opération générale des fermes/gestion, santé et sureté des personnes travaillant sur l'exploitation, responsabilité sociale)
- **Standard a base de récolte CROP BASE (CB)** (gestion du sol, des fertilisants, du control des pestes)
- **FRUITS & LEGUMES (FV)** (pre-& post récolte, manutention, matériel de propagation)

2. Points de Contrôle & Critères de Conformité

- **Ce sont les standards auxquelles le producteur ainsi que le groupe de producteurs doit être conforme**
- **Lesquelles fournissent des détails spécifiques sur chacune des obligations**

3. Check-list

- **Une liste qui forme la base de l'audit externe du site de production**
- **C'est aussi la liste que les groupes de producteurs doivent utiliser pour réaliser l'évaluation interne annuelle**

Sous-secteur 1.

Activités quotidiennes de la Ferme

- **Maintenir de bonnes archives, et évaluation interne**
- **Historique du site et sa gestion**
- **La santé, sureté et bien-être des paysans**
- **Gestion des eaux usées, polluants, recyclage et re-utilisation**
- **Environnement et conservation**
- **Les plaintes**
- **Traçabilité**

Sous-secteur 2

standard à Base de récolte

- **Traçabilité**
- **Matérielle de propagation**
- **Historique et gestion du site de l'exploitation**
- **Gestion du sol**
- **Les applications des fertilisants**
- **Irrigation/fertigation**
- **Gestion des pestes**
- **Produits de Protection des plants**

Sous-secteur 3. Fruits Frais et Legumes

- **Propegation material**
- **Irrigation/Fertigation**
- **Machinery and equipment**
- **Crop protection**
- **Harveting**
- **Harvested crop handling**

Discussion

Thank you

ANNEX C

Proposed Selection Criteria for Associations of Champion Farmers

Nbr	Selection criteria Name of coop: _____ Region _____ Local _____	Weight 1-5 (a)	Score 1-10 X weight (b)	Total (a x b)
1.	Association with strong farmer leadership	5		
2.	Association with available space/facilities for a small training/demonstration site (approx. 20 m ²)	4		
3.	Association that have shown high performance levels in the focus fields they selected to be their “raison-d’ être.”	3		
4.	Associations that have pushed the implementation of and successfully adoption among their members WINNERS “organic” gardening practices	5		
5.	Association with some form of storage facilities for insecticides and/or fertilizer and other inputs	4		
6.	Associations that have strong ties and close working relations with CRDDs since we propose to use the CRDD’s as demonstrative “islands of excellence,” using them as the first candidates to apply for GLOBALG.A.P certification	5		
7.	Associations that have a room or a site under shade tree (s) where PPT presentations and GLOBALG.A.P training can be conducted	2		
		TOTAL		

ANNEX D

Haiti/WINNER Draft GLOBALG.A.P Certification

Implementation Action Plan

Haiti/WINNER draft GLOBALG.A.P. Certification implementation ACTION PLAN

Activity Nbr	Activity	2012				2013								2014									
		4th Q		1st Q		2nd Q			3rd Q			4th Q		1st Q			2nd Q			3rd Q			
		Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	June
1	GLOBALG.A.P document system																						
1.1	Regional & Bureau Central receive all GG documents																						
1.2	Interested farmers prepare to keep records for 4 weeks of all farm activities																						
1.3	Regional and Central coordinators contact APCs to ensure GG document #1,2,3 have been reviewed & understood																						
2	Staffing for GG performance																						
2.1	Recruit/appoint a GG Central Office Coordinator from existing staff																						
2.2	Recruit certified GG trainers (2)																						
2.3	Regions & Bureau Central select GG Coordinators; initiate mtgs with CDRRs & 3-5 top APCs on next steps																						
2.4	Coordinators must gather quantity and price information from WINNER's Marketing specialist regarding the work market information she gathered from local buyers and importers. Potential APCs/members, need to know approx prices and markets they could sell to (this mostly concern mangoes, plantain and figue bananas)																						
2.5	Begin to seek out to recruit possible francophone GG Certifiers that might be needed in Sept/Oct 2013																						
3	GETTING Started																						
3.1	Resolve admin issue of budget availability for GG as estimated in consultant's report. Availability of \$ determines extent of follow-on planning. Sept. q/ly																						
3.2	Call for a meeting of CRDD directors to discuss GG's need for demonstrative up-grading to GG certification; pro and cons. Set targets and share broadly																						
3.3	DECISION POINT: Determine whether adding GG certification to CRDD's other tasks is an acceptable option; if not, propose alternative																						
3.4	Regional offices & coordinators call for a mtg with selected APCs to hear their decision; provide support where needed & plan next steps																						
4	Quality Mgt System (QMS)/Gestion du Systeme de la Qualite																						
4.1	Central Coordinator (CC) review with regional coordinators QMS (Qualit Mgt Syst) Check-list & related docs; assess needs to hire person who can make visual training supports for low literacy members. Arrange presentations of QMS process																						
4.2	Coordinators & APCs determine a target date to initiate QMS process. Six weeks is the expected duration to design a successful QMS (2hr sessions over 6 wks)																						

ANNEX E

Gap Analysis of WINNER's select Asosyasyon de Peyizan Chanpyon (APS)

Gap Analysis of WINNER's select Asosyasyon de Peyizan Chanpyon (APS)

Criss Juliard August 10-18, 2012

1. INTRODUCTION:

The consultant visited and interviewed producers of bananas, mangoes, fresh vegetables (beans, broccoli, cabbage, tomatoes, beets and corn) from August 10, 2012 to August 18, 2012 in addition to holding discussions and interviews with WINNER Regional Office Directors and Central Office staff¹. The scope of the visit was to proceed to a gap analysis to measure, somewhat crudely, the difference between observed and discussed farm-level practices, and **GLOBALG.A.P.**'s required Critical Points and Compliance Criteria (CPCC) standards that lead **GLOBALG.A.P.s'** (GG) certification process. "Crudely" describes the relatively low number of farms visited (18 production sites, including three WINNER regional demonstration centers) in order to get a sense of the time, effort and financial investments needed for the targeted commodities & crop types (corn, rice, beans, bananas, mangoes and vegetables) to meet **GLOBALG.A.P.** stringent Good Agricultural standards.

The gap analysis focused on the production activities and status of the cultivated land. Harvesting and post-harvest handling were not evaluated, even though the topics are part of considerations for GG's Quality Management System approach. Regrettably, none of the crops were in a harvest phase except a few root vegetables in one Mahotièrè field.

The gap analysis methodology was conducted at two levels;

a) **General introduction and initial presentation** of **GLOBALG.A.P.s'** origins and certification process to producers and their respective Associations; why international fresh food production standards were established by the food retail and wholesale sector; how **GLOBALG.A.P.** certification is attained; the advantages and disadvantages of moving forward to adopt to GG standards, as well as the customary time it takes for productive farms to prepare, adjust and add tasks required in order to pass a certification audit. Introductions were followed by discussion with producer/farmers, site observations and farm visits; discussions ranging from **GLOBALG.A.P.**'s basic requirement to keeping written documentation of farm activities; conditions/maintenance of production field; plot infrastructure, attention given to high levels of

¹ The consultant was not able to visit rice growing areas due to a shortage of time, but also because it is assumed rice farmers will not see an economic advantage to spending ten months to a year to reach GLOBALG.A.P. (GG) certification, without any assurance of improved market prices on the local market. Without a premium price for possible GLOBALG.A.P. certification, it is doubtful rice farmers could see an incentive to undergo certification. This was under the assumption that Haiti will not be exporting rice for many years; it is predominately the value-added price reward that GG certification will motivate rice producers to work through the process of certification.

setting an environment of good hygiene conditions; worker welfare, use of protective gear during chemical spraying and storage (many had been trained in the activity); use, if any, of pesticide ('plant protection products' in GLOBALG.A.P. parlance), to the availability of water to facilitate hand-washing, rinse off residue from sprayed plant protection products, for field-level up-grades destined for employees, staff and short-term workers.

b) **Obtaining specific information from farmer by using GLOBALG.A.P.** list of questions posed under the Control Points and Compliance Criteria available in the All Farm Base "Check List" audit document. The Check List contains generic "Control Points and Compliance Criteria" applicable to the majority of on-farm activities, regardless of whether it was crop, livestock or aquatic activities under considered. Based on the discussion with individual farmers, focus groups and observations (where possible), we ascribed one of four gradation compliance levels. The exercise, while not perfect, permitted us to gauge the farm's present compliance level in comparison to meeting 51 of three sets GLOBALG.A.P.'s compliant standards. The four ratings ascribed to the All Farm level were:

"Yes," if the standard was either fully implementable or close to being met, but missed small detail;

"No" if there were no signs during the visits or discussions that the Control Point was ever considered or attempted by the responsible person for production; the number of **"NOs"** signals the All Farm (AF) situation will need significant investment in time and resources before they can reach a **"YES."**

"No, but doable over the ST" if the standard had been considered by the producer, but estimated it will require considerable time, resources and coaching to meet the standard;

"No, but Doable over the LT" if the standard was NOT presently a consideration by the producers, but will require substantial time, training and a change of perception vis-à-vis total production hygiene, workers' welfare needs, capability to invest and to focus on aligning the actual on-farm situation to GLOBALG.A.P.'s required level.

"N/A" (Not Applicable) indicates that for the present, the Control Point was not applicable or relevant within the present production/harvest and post-harvest cycle.

"Recommend" is a proposed Control Point/Compliance Criteria; it is not required, and thus purely at the option of the producer. There are six such options in the All Farm (**AF**) module.

2. RESULTS :

- **GLOBALG.A.P's All Farm** certification standards contains 51-6 = 45 Control Points that producers must meet. As mentioned above, they are graded as either fully met Control Point (CC) and given a “**yes**”); not fully met, (given a “**no**”), or the CC is “not applicable” (given a “**N/A**”).

Summary results:

- Out of 45 Control Points, **4** rated **Yes**; presently, most producers conform to those Control Point’s criteria (0.09%)
 - **3** CPs out of 45 rated a “**No**,” producers cannot presently meet the standards and it will be very difficult for them to do so; (0.07%);
 - **17 “No, but doable ST”**: these CPs, out of 45 are rated “**No, but doable ST**” (38%); it will take time, resources and training for producers to meet mostly “Minor musts;”
 - **19 “No, but doable LT”**: these CPs out of 45 are rated “**No, but doable LT**” (42%), implying producer cannot presently meet the required compliance criteria; it will take three to five months, with effort, focus and investment to meet the majority of combined “22 Minor” and 23 “Major musts”
 - **2 “N/A,” “Not applicable”**: these 2 CPs out of 45 (0.04%) are presently not relevant to the production/harvest and post/harvest cycle. Other “variations/comments” on the observed gradations included:
 - “**Doable, but difficult for Mango growers**”: mango growers will find it hard to meet present traceability standards and present **definition of “mapping the production parcel,” since a single or groups of mango trees in different locations outside of the mango farmer’s** main plot are not “part” of the farm entity seeking GG compliance.
 - “**Doable but only if farms can have access to laboratory testing performed at Bas Boen’s Laboratory**”: **3** of the 45 compliance criteria require all producers seeking GG certification to have a certified laboratory conduct test on soils, plant protection product MRL (Maximum Residue Limits), bacteria, pathogens and other tests
 - “**No, but doable only with additional training:**” Nearly all CPs are identified as doable if the participant had training in activities such as “risk assessments,”, harvest risk analysis, worker hygiene safeguard procedures, and identifying farm related hazards; how to deal with complaints (and writing an appropriate response process), accident and emergency procedures resulting from plant protection products, other chemicals and carelessness.

3. FINDINGS AND RECOMMENDATIONS

Numerical findings

- Of 45 All Farm Control Points, only four (4) could be assessed a compliant “yes” for those whose farm we had visited and/or judged by the replies offered by producers.
- Of the 45, two (2) were rated N/A (Non Applicable)
- Three (3) Control Points were strong compliant “no” (according to the definition 1.b above) as small landholders had not thought of at least types of control points as important to their cultivation;
- Thirty-six (36) Control Points were determined either:
 - “No, for 19 producers, but doable **Long Term**” meaning it would take 5-9 months to reach a “yes” rating;
 - “No, for 17 producers, but doable **Short Term**” meaning it would take several months to reach a compliant “yes” rating
- Adding all three assessed sets of “No” to present CP non-compliance; 39 out of 45 (i.e.; sum of 19+17+3 = 39 CPs) 87% of potential associations or their members will be challenged this year by their need to focus on their production as well as up-grading their All Farm operations vs the present 4 “yes” compliant or 0.09%, and 0.04% were N/A.
- With 0.04% close to meeting compliance, and 87% needing substantial effort, commitment and time to reach near 100% compliance, it is clear to state that the gap between what exists in the field, compared to what is expected in order to attain GLOBALG.A.P compliance is larger than expected. This surprising since WINNER has worked quite seriously with producers through their extension agents to introduce organic practices and much has been shared about Good Agricultural Practices under USAID section/code #216.

Non-numerical findings

- An explanation to the above finding and observation is that extension agents have focused predominantly on planting/growing/harvesting/handling farm actions, while newer **GG** compliance criteria have focused on risk analysis, hazard awareness, social, health, hygiene considerations, workers safety and welfare and first aid; waste and pollution action plans, how to deal with complaints from buyers, recall procedures and matters related to **GLOBALG.A.P** status as well as keeping accurate records for all type of farm activities. These control points will require adding a supplementary focus on farmers’ time, energy and investment.
- Following a “Control Point and Compliance Criteria” module (**Crop Base**), we ran through each Control Point and made estimates of the number of hours and the number of days/weeks it will take an average small-holder farmer to care for meeting, then maintaining compliance to the defined Control Points for only one of the three modules, but it is the most cumbersome of the three. Results:
 - 153 days to implement the required up-grading, maintenance and compliance assurance;
 - 184 hours during the year to record all of the activities required for review at any time during the year.
 - Both of these numbers are likely to come down after a year or two of practice and developing routines

-
- For a series of producers, owning just one parcel of land is rare; more often, a producer not only has access to several parcels or lots; some will be leased for a season, others might belong to a family member, and if it is a mango producer, the farmer may have leased a few nearby trees against harvesting fruit, adding them to their production, benefitting from a scale opportunity. Another combination practiced by mango farmers is to buy mangoes from nearby producers who haven't enough fruits to warrant the transport costs to the packing or processing plant. These systems of "non-ownership" sourced produce are central to mango growers' livelihood. Looking at possibly benefiting from higher value markets if they are able to become **GLOBALG.A.P** certified, mango farmers, WINNER and **GLOABLG.A.P** will need to think through solutions to mango growers' customary manner of accessing tree-fruits that will provide a decent return on investment in seeking **GLOBALG.A.P** certification.
 - Enforcement of **GLOBALG.A.P.**'s regulations is strict and will not tolerate deviation from the normative standards. As a registered certification entity, when an Association, Cooperative or *Groupement* registers for a certification audit, they sign a contractual agreement that prohibits any slippage or modifications of the Control Points and Compliance Criteria. In that vein, GG sends out controllers who can show-up at any time in the applying farm or to one that had been certified GG, to check on management's rigorous compliance to the three modules containing 230+ agricultural Control Points and Compliance Criteria . If the farm is found in violation of the contract agreement, the farm will be sanctioned, as well as the member's Association, Cooperative or *Groupement*.
 - Requiring that Associations, Cooperatives or *Groupements*.
 - While site history is among the first activities included in GG certification criteria, it is understandable that few producers look "under the hood" into the land-use practices prior to signing a lease, a borrowing agreement or the purchase of an additional production plots. A written document of the Site-history is required for GG certification: conducting a research of previous uses of the cultivated land includes; researching if the site was ever used as a dump, or disposal lot that left traces of toxic material. A toxic-free parcel is as important an element to assured food safety, as the series of farming practices elaborated through **GLOBALG.A.P** long list of compliance criteria.

4. DOCUMENTATION SYSTEM ACCORDING TO GLOBALG.A.P. REQUIREMENTS

The challenge to up-grade to **GLOBALG.A.P** standards is to get producers and producer groups to meticulously record all on-farm activities and to safekeep the documents "on the farm" while maintaining good and easily accessible files. **WINNER through the APCs will need to provide basic document management training for the majority of small landholders.** **GLOBALG.A.P.** allows for farms to outsource record keeping to a service provider; that provider will have to adherer to GG standards when on and off the production lots.

4. INTEGRATED FARM ASSURANCE I ALL FARM (AF) - 15 CATEGORIES OF CONTROL POINTS USED BY THE AUTHOR FOR THE GAP ANALYSIS

GLOBALG.A.P. categories of Control Points	Action needed by Associations/Cooperatives and individual producer member	Able to meet control points: "Yes", "No," "No, but Doable LT" (harder), or "No, but doable ST" (easier) & "N/A" Not/Applicable
AF. 1	SITE HISTORY AND SITE MANAGEMENT	
AF. 1.1.1 SITE HISTORY	<ul style="list-style-type: none"> - Is a reference system for each field, orchard, greenhouse, yard, plot, livestock building or other area/location used in production established and referenced on a farm plan or map? 	No
AF. 1.1.2	<ul style="list-style-type: none"> - Is a recording system established for each unit of production or other area/location to provide a record of the livestock/aquaculture production and/or agronomic activities undertaken at those locations? 	No
AF. 1.2.1 SITE MANAGEMENT AF. 1.2.2	<ul style="list-style-type: none"> - Is there a risk assessment available at the initial inspection for all sites registered for certification? During subsequent inspections a risk assessment for new or existing production sites where risks have changed (this includes rented land) is available. Does this risk assessment show that the site in question is suitable for production, with regards to food safety, the environment and animal health where applicable? - Has a management plan been developed setting out strategies to minimize the identified risks? 	No, but doable ST No, but doable ST
AF. 2	RECORD KEEPING AND INTERNAL SELF-ASSESSMENT/INTERNAL INSPECTION	
	<i>Important details of farming practices should be recorded and kept</i>	

AF.2.1.1	Are all records requested during the external inspection accessible and kept for a minimum period of time of two years, unless a longer requirement is stated in specific control points?	No, but doable ST
AF.2.1.2	Does the producer or producer group take responsibility to undertake a minimum of one internal self-assessment or producer group internal inspection, respectively, per year against the GLOBALG.A.P Standard?	No, but doable LT
AF.2.1.3	Are effective corrective actions taken as a result of non-conformances detected during the internal self-assessment or internal producer group inspections? Effective corrective actions are documented and have been implemented.	No, but doable LT
AF.3	WORKERS HEALTH, SAFETY AND WELFARE	
	<i>People are key to the safe and efficient operation of any farm. Farm staff and contractors as well as producers themselves stand for the quality of the produce and for environmental protection. Education and training will help progress towards sustainability and build on social capital. This section is intended to ensure safe practice in the work place and that all workers understand, and are competent to perform their duties; are provided with proper equipment to allow them to work safely; and that, in the event of accidents, proper and timely assistance can be obtained.</i>	
AF. 3.1	HEALTH AND SAFETY	
AF:3.1.1	Does the farm have a written risk assessment for hazards to workers health and safety on farm?	No, but doable LT
AF. 3.1.2	Does the farm have written health and safety procedures including issues of the risk assessment above?	No, but doable LT
AF.3.1.3	Have all workers received health and safety training? <ul style="list-style-type: none"> - Prepared or conducted any form of farm-based risk analysis or applied risk management practices as related to: mitigating risks of floods, fire, cyclones, soil erosion, disease... - Applied or practiced some form of crop protection from disease, insect/pest attacks; protection from bacteria and pollutants are neglected. - GG implementation of a record system for all production activities is required for each plot under cultivation, and must keep up-to-date at least three months prior to the date of external inspection by the Certification Body. - Self-assessment using the GLOBALGAP check-list must be carried out at least two weeks before the external inspection by Certification Body (the self-assessment must be carried out during the harvest) 	No, but doable LT

AF. 3.2	HYGIENE	
AF.3.2.1	- Risk assessment: Does the farm have a written risk assessment for hygiene on farm? (The farm owner and/or the association must implement written health and safety procedures covering production environment).	No, but doable LT
AF. 3.2.2	- Training: Does the farm have documented hygiene instruction for all workers? (Must include at least: <ul style="list-style-type: none"> - the need for hand cleaning; - the covering of skin cuts - limitation of smoking, eating and drinking to certain areas; - notification of any relevant infections or conditions: this includes sign of illness (e.g.; vomiting; jaundice, diarrhea) these workers shall be restricted from direct contact with the product or food-contact surfaces; - the use of suitable protective clothing. 	Yes, Did see indications of conducting worker training, have names of trainees.
AF. 3.2.3	Have all persons working on the farm received basic hygiene training according to the hygiene instructions above (AF.3.2.2)?	No, but doable ST training will help.
AF. 3.2.4	Are the farm's hygiene procedures implemented? Workers with tasks identified in the hygiene procedures must demonstrate competence during the inspection.	No, but doable LT
AF. 3.3	TRAINING	

AF. 3.3.1	Is there a record kept for training activities and attendees?	yes
AF.3 .3.2	Do all workers handling and/or administering veterinary medicines, Chemicals, disinfectants, plant protection products, biocides or other hazardous substances and all workers operating dangerous or complex equipment as defined in the risk analysis in AF.3.1.1 have certificates of competence, and/or details of other such qualifications?	No, but doable LT
AF. 3.4	HAZARDS AND FIRST AID	
AF. 3.4.1	Do accident and emergency procedures exist; are they visually displayed and communicated to all persons associated with the farm activities? All workers in the farm must attend training on the following subjects: health and safety, handling and/or administering plant protection products, basic hygiene during harvesting and handling of produce. All training must be recorded and dated with the list of all workers who attended the training and their signature. It is up to the associations along with the member farmers to create and model accurate training records Are potential hazards clearly identified by warning signs and placed where appropriate?	No, but doable LT
AF. 3.4.2	Is safety advice for substances hazardous to worker health available/accessible? All farm-based potential hazards must be marked with identification signs for; plant protection products (pesticide) storage sites that specify the presence of pesticides; weather resistant signs of no smoking and no entrance only to authorized persons; emergency procedures must be displayed at the entrance where pesticide are store and in the pesticide mixing area; eye washing facilities; areas where diesel is stored signaling flammable products and Non Smoking to be clearly displayed. Electricity sources must also be identified in addition to warning signs	No, but doable ST Yes, via visuals, but not ubiquitous
AF. 3.4.3	Are First Aid kits present at all permanent sites and in the vicinity of fieldwork? - First Aid Kits must be present in the pesticide store, in the fields with the workers supervisor and with the workers during the pesticides handling and application.	Yes and No! (Some were distributed but not to all)
AF. 3.4.5	Are there always an appropriate number of persons (at least one person) trained in first aid present on each farm whenever on-farm activities are being carried out?	No, but doable ST; difficult to gage when the farm is small

AF. 3.5	PROTECTIVE CLOTHING/EQUIPMENT	
AF. 3.5.1	- Protective Clothing/Equipment: Complete sets of protective clothing, that must include the following: rubber boots, waterproof clothing, protective overalls, rubber gloves, face masks, appropriate respiratory equipment (including replacement filters), eye protection devices, must be stored outside of pesticides store (in metal armoire)	No, but doable LT waste sighted; much thrown or wind-blown into site.
AF. 3.5.2	Is protective clothing cleaned after use and stored so as to prevent contamination of the clothing or equipment? - Identification of all wastes and pollutants in the farm : this include the field and facilities. - Action Plan to manage wastes and pollutants (including the method of disposal and management and frequency) - Areas of waste collection must be created and identified by signs (the farm has to buy containers and baskets for waste collection); used oils must be collected and identified.	-No, but doable LT ; requires at least waste bin
AF.3.6	WORKER WELFARE	
AF. 3.6.1	Is a member of management clearly identifiable as responsible for workers health, safety and welfare?	No, but doable LT
AF. 3.6.2	Do regular two-way communication meetings take place between management and workers? Are there records from such meetings?	Recomm
AF. 3.6.3	Do workers have access to clean food storage areas, designated rest areas, hand washing facilities and drinking water?	No, but doable ST
AF. 3.6.4	Are on site living quarters habitable and have the basic services and facilities?	Recomm

AF. 4	SUB-CONTRACTS	
AF. 4.1	When the producer makes use of subcontractors, is all the relevant information available on farm?	N/A
AF. 4.1	Are all subcontractors and visitors aware of the relevant procedures on personal safety and hygiene?	N/A
AF. 5	WASTE AND POLLUTION MANAGEMENT, RECYCLING AND RE-USE	
AF. 5.1	Identification of Waste and Pollutants	
AF. 5.1.1	Have possible waste products and sources of pollution been identified in all areas of the business? Have all possible waste products (paper, cardboard, exhaust smoke, oil, fuel, noise, effluent, chemicals, etc.) produced by the farm processes have been listed?	No, but doable ST
AF. 5.2	Waste and Pollution Action Plan	
AF. 5.2.1	Is there a documented farm waste management plan to avoid or reduce wastage and pollution and does the waste management plan include adequate provisions for waste disposal?	Recomm
AF.5.2.2	Has the litter/waste been cleared up? It is the visua; assessment that there is no evidence of waste/litter in the immediat vicinity iif the production or storage buildings. Areas where produce is handled indoors are cleaned once a day.	No, but doable LT
AF. 5.2.3	Are organic wastes composted on the farm and utilized for soil conditioning, provided there is no risk of disease carry-over? Organic waste material is composted and used for soil conditioning, composting method ensured that there is no risk of disease carry-over	Recomm, but Yes, WINNER is pushing it
AF. 6	ENVIRONMENT AND CONSERVATION	
AF.6.1	Impact of Farming on the Environment and Biodiversity	

AF. 6.1.1	Does each producer have a management of wildlife and conservation plan for the enterprise that acknowledges the impact of farming activities on the environment? There must be a written action plan that aims to enhance habitats and maintain biodiversity on the farm. This can be either a regional activity or individual plan, if the farm is participating in or covered by it. This includes knowledge of IPM practices, of nutrient use of crops, conservation sites, water supplies and the impact on other users, etc.	No, doable ST but need training and support
AF. 6.1.2	Has the producer considered how to enhance the environment for the benefit of the local community and flora and fauna and is this policy compatible with sustainable commercial agricultural production and does it minimize environmental impact of the agricultural activity?	No, but doable
AF. 6.2	Unproductive sites	
AF. 6.2.1	Has consideration been given to the conversion of unproductive sites (e.g. low lying wet areas, woodlands, headland strip or areas of impoverished soil) to conservation areas for the encouragement of natural flora and fauna? There should be a plan to convert unproductive sites and identified areas that give priority to ecology into conservation areas where viable	This is a Recommendation , not a control point
AF. 6.3	ENERGY EFFICIENCY	
AF. 6.3.1	Can the producer show monitoring of energy use on the farm? The use of non-renewable energy sources should be kept to a minimum.	This is a Recommendation , not a control point
AF. 7	COMPLAINTS	
AF. 7.1	Is there a complaint procedure available relating to issues covered by the GLOBALG.A.P Standard and does this procedure ensure that complaints are adequately recorded, studied and followed up including a record of actions taken? A documented complaint procedure is available to facilitate that all received complaints relating to issues covered by GLOBALG.A.P are recorded and followed up. Actions taken with respect to such complaints are documented.	No, but doable LT ; willing to engage in process. Need training
AF. 8	RECALL/WITHDRAWAL PROCEDURES	

AF. 8.1	<p>Does the producer have documented procedures how to manage/initiate with-drawal/recall of certified products from the market and has it been tested annually?</p> <p>The producer must have access to documented procedures which identify the type of event that may result in a withdrawal/recall, persons responsible for taking decisions on the possible withdrawal/recall of product, the mechanism for notifying customers and the GLOBALG.A.P CB (if a sanction was not issued by the CB and the producer or group withdrew/recalled the products out of free will) and methods of reconciling stock. The procedures must be tested annually to ensure that it is effective.</p> <p>-A traceability procedure for the identification of product certified GLOBALGAP must be implemented</p> <p>- A documented procedures how to manage/initiate withdrawal/recall of certified products from the marketplace must be created and this procedure the farm has to report that the efficiency must be tested at least once per year.</p>	No, but Doable LT
AF. 9	FOOD DEFENSE	
AF. 9.1	<p>Are there policies in place to address identified food defense risks?</p> <p>The policies shall be established, and procedures shall be implemented and maintained to reduce or eliminate the identified risks. The system shall cover Good Agricultural Practices. This must include information on people entering the farm and premises, overview of all workers, training of workers, harvesting tools, storage of chemicals, etc.</p>	No, but doable LT
AF. 10	GLOBALG.A.P STATUS	
AF. 10.1	Do all sales documents include reference to the GLOBALG.A.P status (certified/not certified)? Sales invoices and, where appropriate, other documentation include the GLOBALG.A.P status of the product.	No, but doable ST
AF. 11	LOGO USE	

AF. 11.1	<p>Is the GLOBALG.A.P (EUREPGAP) word, trademark or logo and the GGN (GLOBALG.A.P number) used according to the General Regulation and according to the Sublicense and Certification Agreement? The producer/producer group shall use the GLOBALG.A.P</p> <p>(EUREPGAP) word, trademark or logo and the GGN (GLOBALG.A.P. number) according to the General Regulation Annex I.1 and according to the Sublicense and Certification Agreement. The GLOBALG.A.P (EUREPGAP) word, trademark or logo shall never appear on the product, on the consumer packaging or at the point of sale, but can be used by the certificate holder in business-to-business communication.</p>	No, but doable ST
AF. 12	TRACEABILITY AND SEGREGATION obligatory when producer is registered for Parallel Production.	
AF. 12.1	Parallel production and/or ownership Parallel production and/or ownership (applicable where certified and non-certified products are produced as well as where certified or non-certified products are sourced and/or handled).	
AF. 12.1.1	<p>Are all products originating from GLOBALG.A.P certified and non-certified production management units (PMU) clearly identified at all stages of the flow of materials to enable traceability to their certified origin?</p> <p style="text-align: center;">V</p>	No, but doable LT
AF. 12.1.2	Are all final products labeled with a GGN and all input product identified with a unique traceable identification number or mark?	No, but doable ST
AF. 12.1.3	Are procedures and work instructions in place to ensure that only certified products are dispatched to fill orders for certified products?	No, but doable ST
AF. 12.1.4	Do all sales documents include the GGN of the certificate holder and reference to the GLOBALG.A.P certified status?	No, but doable ST
AF. 12.1.5	<p>Are all sales details of certified and non-certified products recorded?</p> <p>Sales details of certified and non-certified products shall be recorded, with particular attention to quantities sold and descriptions provided. The documents must demonstrate the consistent balance between certified and non-certified input and the output.</p>	No, but doable ST
AF. 12. 2	Parallel Ownership (where not only own production has been sold or handled but also products which come from other sources)	

AF. 12.2.1	<p>Are appropriate identification procedures in place and records for identifying incoming and outgoing products from different sources?</p> <p>Procedures shall be established, documented and maintained, appropriate to the scale of the operation, for identifying incoming products from different sources (other producers or other Production Management Units) Records shall include: - Incoming and outgoing product description, including product code, name or other positive identification, GLOBALG.A.P certified status. - Quantities of input - In case products are purchased, the supplier and, where different, the seller shall be identified. - Copy of the GLOBALG.A.P certificates of the purchased GLOBALG.A.P certified products. - Purchase records including purchase orders, contracts, invoices and list of approved suppliers goods</p>	No, but doable LT
AF. 12.2.2	<p>Is production handling of certified and/or non-certified products segregated? Are they segregated physically or in time?</p>	No, but doable ST
AF. 12.2.3	<p>Are all details of certified and non-certified incoming products recorded?</p>	No, but doable ST
AF. 12.2.4	<p>Are conversion ratios (input-output calculations of a given production process) calculated and controlled) Conversion ratios shall be calculated for each process</p>	No, but doable LT