



## SUBLICENSE AND CERTIFICATION AGREEMENT

between  
Certification Body/Verification Body

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(Company legal name and type, e.g., Inc., LLC, etc.; include D/B/A name if applicable)

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(Company legal physical address)

(“CB/VB”)

represented by

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Name (use block capitals)

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Title

and

Contracting Party

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(Company legal name and type, e.g., Inc., LLC, etc.; include D/B/A name if applicable)

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(Company legal physical address)

**(“CP” and, together with CB/VB, the “Parties”)**  
represented by

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Name (use block capitals)

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Title

## PRAEMBLE

Agraya GmbH (hereinafter ("the Licensor") has worked with worldwide retailers, food service providers, food manufacturers, agricultural producers, and other interested parties to develop a comprehensive system of good agricultural practices (G.A.P.) rules ("GLOBALG.A.P. System"), which is owned and managed by the Licensor". The GLOBALG.A.P. System is designed to support improved consumer and environmental protection, sustainable production, and social and animal welfare. It is based on a set of rules and standards ("GLOBALG.A.P. System Rules") established and updated from time to time and available in their most recent version on the GLOBALG.A.P. website (<http://www.globalgap.org>), including, but not limited to, GLOBALG.A.P. and Primary Farm Assurance (hereinafter "PFA") standards, general regulations, general rules, benchmarking regulations, Fee Table, principles and criteria, checklists, Benchmarked Checklists, GLOBALG.A.P. trademarks use: Policy and guidelines, and where applicable, approved national interpretation guidelines and supporting documents.

CB/VB enters into Sublicense and Certification Agreements with third-party producers, producer groups, producer organizations, sales organizations, packers, resellers, traders, and manufacturers (with registered production and administration sites) who produce or commercialize agricultural products and provide them with verification, inspection, auditing, certification, and/or approval services within the framework of and in compliance with the GLOBALG.A.P. System Rules.

GGNA, as a subsidiary of the Licensor, is authorized to enter into the License and Certification Agreement with CB/VB in its own name and on its own account in the United States and Canada.

THEREFORE, THE PARTIES AGREE THE FOLLOWING:

## **1 RETRCOACTIVE EFFECT AND CONTINUITY**

The Parties Confirm that the Agreement shall be deemed concluded and effective as of the commencement of the collaboration, as evidenced by the first action or service performed under the Agreement, and shall continue without interruption.

## **2 SUBJECT OF THIS AGREEMENT**

This Agreement establishes the rights and obligations of CP and of the CB/VB as the independent organization for verification, inspection, auditing, certification and/or approval of CP for the Licensed Scope (see **Annex 2**) within the framework of the GLOBALG.A.P. System.

## **3 DEFINITIONS**

In the definitions below the references to the singular include the plural and vice versa.

- 3.1 “*AB*” stands for accreditation body and refers to an organization that accredits CBs according to the ISO/IEC 17065 standard.
- 3.2 “*Agreement*” refers to this Sublicense and Certification Agreement.
- 3.3 “*Benchmarked Checklist*” refers to a standard with locally adapted G.A.P. requirements that are recognized by the Lessor as equivalent to the GLOBALG.A.P. principles and criteria. Compliance with a Benchmarked Checklist may be certified based on and in accordance with the other provisions of the GLOBALG.A.P. System Rules and this Agreement.
- 3.4 “*Benchmarked Checklist Marks*” refers to the marks of the Benchmarked Checklist owner that can be used by CB/VB and/or CP according to the GLOBALG.A.P. System Rules.
- 3.5 “*Applicable Laws*” refers to (i) any law, statute, regulation, by-law, ordinance, or subordinate legislation; (ii) any binding court decision; (iii) any industry code, policy or standard; and (iv) any direction, policy, requirement, rule, guidance or interpretation letter issued by, and orders or requests of, a governmental institution; in each case as updated, amended or replaced from time to time.
- 3.6 “*CB*” stands for certification body and refers to an entity that has been accredited by an AB for activities within the Licensed Scope and that has signed this Agreement to enter into Sublicense and Certification Agreements with Contracting Parties to provide Contracting Parties with Licensed Services.
- 3.7 “*Chain of Custody*” refers to the GLOBALG.A.P. Chain of Custody standard. The Chain of Custody standard covers the whole supply chain from the producer to the retailer and is designed to support both traceability within the supply chain and the segregation of products resulting from GLOBALG.A.P. certified and noncertified production processes.
- 3.8 “*Contracting Party*” refers to those producers, producer groups, producer organizations, sales organizations, packers, resellers, traders, and manufacturers (with registered production and administration sites located in the Territory) that produce or commercialize agricultural products and that have entered into a Sublicense and Certification Agreement with CB/VB.

3.9 "*Data Protection Regulations*" refers to all applicable data protection laws and regulations, including, but not limited to, the EU General Data Protection Regulation (GDPR), the German Federal Data Protection Act (BDSG), and any further applicable local laws and regulations, as well as any subordinate legislation made thereunder and any primary and secondary legislation re-enacting, consolidating, or modifying the same.

3.10 "*Fee Table*" refers to the fee tables which are part of the GLOBALG.A.P. System Rules and which are attached to this Agreement as part of **Annex 1** in the version that is valid at the time of conclusion of this Agreement, as they may be updated from time to time.

3.11 "*GLOBALG.A.P.*" refers to the owner and administrator of the GLOBALG.A.P. System, Agraya GmbH, Spichernstr. 55, 50672 Cologne, Germany.

3.12 "*GLOBALG.A.P. Claims*" refers to claims that can be used by CB/VB and/or CP according to the GLOBALG.A.P. System Rules (in particular, "GLOBALG.A.P. trademarks use: Policy and guidelines") in order to claim that a process by which a product is produced is certified to the GLOBALG.A.P. System or complies with one of the GLOBALG.A.P. System Rules.

3.13 "*GLOBALG.A.P. Identification Numbers*" refers to unique numbers provided by the Licensor and made up of a prefix (often referring to the certification standard) and a 13-digit number. Types of GLOBALG.A.P. Identification Numbers may include, but are not limited to, the GLOBALG.A.P. Number (GGN), the Chain of Custody Number (CoC Number), and the unique PFA Number (PFA Number).

3.14 "*GLOBALG.A.P. IT platform*" refers to GLOBALG.A.P.'s -IT platform consisting of two systems – CertifierOS and Supply Chain Portal – that contain both producer and product information. The information in the IT platform includes data uploaded by CB/VB (under a License and Certification Agreement), Contracting Parties, PGMs, Market Participants and other retailers, suppliers, or other supply-chain participants.

3.15 "*GLOBALG.A.P. System*" refers to the system of good agricultural practices (G.A.P.) designed to support improved consumer and environmental protection, sustainable production, and social and animal welfare, which system is maintained by the Licensor and based on the GLOBALG.A.P. System Rules.

3.16 "*GLOBALG.A.P. System Rules*" refers to the set of rules and tools governing the GLOBALG.A.P. System as published on the GLOBALG.A.P. website (<http://www.globalgap.org>), and as updated, amended, or replaced from time to time by GLOBALG.A.P., including, but not limited to, GLOBALG.A.P. and PFA standards, general regulations, general rules, Fee Table, principles and criteria, checklists, Benchmarked Checklists, and where applicable approved national interpretation guidelines, guidelines, and supporting documents. An extract of the GLOBALG.A.P. System Rules valid at the time of conclusion of this Agreement is attached to this Agreement as **Annex 1**.

3.17 "*GLOBALG.A.P. Trademarks*" refers to the trademark "GLOBALG.A.P.", GLOBALG.A.P. seals, and all other marks of GLOBALG.A.P. that may be used by CB/VB, CP, and/or related PGMs according to the GLOBALG.A.P. System Rules (in particular, "GLOBALG.A.P. trademarks use: Policy and guidelines") in order to claim that a process is certified under the GLOBALG.A.P. System or complies with the GLOBALG.A.P. System Rules. For the avoidance of doubt, the GGN label is not the subject of this Agreement and therefore does not fall under the definition of "trademarks". Licensing of rights to the GGN label requires the conclusion of a separate license

agreement.

- 3.18 "*Integrity Assessments*" refers to surveillance visits and assessments conducted or commissioned by the Licenser within the framework of its GLOBALG.A.P. integrity program.
- 3.19 "*Integrity Program*" refers to the GLOBALG.A.P. Integrity Program, which is a quality management system designed to support the consistent delivery and execution of the standards that are part of the GLOBALG.A.P. System Rules worldwide, as well as a feedback mechanism to continuously improve all aspects of the GLOBALG.A.P. System. Further information is contained in the relevant parts of the GLOBALG.A.P. System Rules.
- 3.20 "*Integrity Surveillance Committee*" refers to a committee established by the Licensor that advises and makes recommendations on sanctions as outlined in the GLOBALG.A.P. System Rules, following a case-by-case approach.
- 3.21 "*License and Certification Agreement*" refers to the agreement concluded between CB/VB as licensee and the Licenser, granting CB/VB a right to provide Licensed Services within the Territory during the term of the respective License and Certification Agreement.
- 3.22 "*Licensed Scope*" means the scope of the Licensed Services as defined in **Annex 2** of this Agreement.
- 3.23 "*Licensed Services*" refers to all services to be performed by CB/VB under the applicable GLOBALG.A.P. System Rules with respect to the Licensed Scope, such as registration, verification, inspection, auditing, certification, and/or approval procedures.
- 3.24 "*Market Participant*" refers to a company or individual trading products from processes certified to the GLOBALG.A.P. System Rules, e.g., a retailer, supplier, or other supply-chain participant.
- 3.25 "*Personal Data*" refers to any information processed under or in connection with this Agreement that relates to a natural person.
- 3.26 "*PGM*" stands for producer group member and refers to a producer with registered and/or certified production and administration sites located in the Territory who is affiliated with a Contracting Party but has not entered into a Sublicense and Certification Agreement with CB/VB.
- 3.27 "*Primary Farm Assurance*" means the program issued and administered by the Licenser for the assessment and continuous improvement of good agricultural practices. PFA serves as an entry-level program to the Licenser's Integrated Farm Assurance ("IFA") Standard, comprises three tiers (Entry, Intermediate, Advanced), and is based on a reduced set of requirements compared to the IFA Standard in order to facilitate access, in particular for smallholders. References to PFA include the then-current PFA Rulebook (including, without limitation, the PFA Standard, program rules, guidance documents, and assessment and recognition procedures) as issued and updated from time to time by the Licenser and made available at <https://www.globalgap.org/what-we-offer/solutions/primary-farm-assurance/> or any successor website designated by the Licenser.
- 3.28 "*Sublicense and Certification Agreement*" refers to an agreement entered into between CB/VB as sublicensor and a CP as sublicensee. The version valid at the time of conclusion of this Agreement is attached to this Agreement as **Annex 2**. Although the Sublicense and Certification Agreements obligate the contracting parties to cooperate with GGNA and the

Licensor (e.g., with regard to assessments carried out by GGNA under the GLOBALG.A.P. integrity program for the purpose of verifying CB/VB's activities and to support consistent communication and implementation of its rules and standards), neither GGNA nor the Licensor becomes a party to these agreements, which are concluded exclusively between the contracting parties and CB/VB. Nor does GGNA or the Licensor assume any responsibility with respect to the contracting parties' compliance with GLOBALG.A.P.'s rules and standards. Rather, it is the sole responsibility of CB/VB to ensure that the contracting parties fully comply with their obligations under the GLOBALG.A.P. System on an ongoing basis

- 3.29 "*Territory*" refers to the entire world, excluding the United States of America (USA) and Canada, unless otherwise provided in the GLOBALG.A.P. general regulations for specific cases. A CB/VB willing to provide Licensed Services in the USA and/or Canada may enter into a contractual agreement with GLOBALG.A.P. North America Inc.
- 3.30 "*VB*" stands for verification body and refers to an entity that is entitled to determine compliance with PFA standards that are part of the GLOBALG.A.P. System Rules in accordance with the GLOBALG.A.P. System Rules and that has signed a License and Certification Agreement with the Licensor to enter into Sublicense and Certification Agreements with Contracting Parties to provide those Contracting Parties with Licensed Services. CBs may act as a VB for certain PFA standards.

#### **4 GRANT OF SUBLICENSE BY CB/VB TO CP**

- 4.1 CB/VB hereby grants a limited, nonexclusive, nontransferable, and non-sublicensable right to CP to distribute and market CP's products using the Trademarks and, if applicable, using the Benchmarked Checklist Marks, GLOBALG.A.P. Identification Numbers, and GLOBALG.A.P. Claims (incl. associated boilerplate texts provided by the Licensor) in accordance with the further requirements set forth in clause 3.2 of this Agreement, provided CP has been certified/approved successfully and is in full compliance with the requirements of this Agreement (including, but not limited to, CP's obligation to pay all fees to CB/VB and the Licensor in accordance with this Agreement) and the GLOBALG.A.P. System Rules. This license applies only to the extent these products have been registered with CB/VB and are produced, handled, or traded in production sites and locations in the Territory registered with CB/VB in full compliance with the GLOBALG.A.P. System Rules.
- 4.2 The right of CP to use the GLOBALG.A.P. Trademarks, GLOBALG.A.P. Identification Numbers, and GLOBALG.A.P. Claims (incl. associated boilerplate texts provided by the Licensor) shall be strictly subject to the Licensed Scope and other limitations set forth in this Agreement and the GLOBALG.A.P. System Rules (including, but not limited to, "GLOBALG.A.P. trademarks use: Policy and guidelines"). The Parties particularly agree that GLOBALG.A.P. Trademarks and GLOBALG.A.P. Claims (i) shall never appear on products, consumer packaging or labeling of the products, or at the point of sale where they are directly associated with products; (ii) may be used only in the manner provided by CB/VB and not altered, modified, or distorted in any way; (iii) may solely be used for traceability/segregation/identification purposes on-site at CP's or related PGMs' production and/or administration site; (iv) may not be used in any manner that could be construed as distasteful, offensive or controversial, that discredits or tarnishes the reputation or goodwill of the Licensor and its associated undertakings, or that is false or misleading or violates the rights of others, any Applicable Law or public policy; and (v) may not be used as part of CP's or related PGMs' company name or in any other way that identifies the Licensor and its associated undertakings as part of CP's or related PGMs' business, or that otherwise mischaracterizes the relationship between the Licensor and CP or related PGMs. (The provisions under (ii) to (v) also apply to GLOBALG.A.P. Identification Numbers.) Towards

consumers and any other third parties, CP shall make clear and ensure that any related PGM makes clear that the Licenser is not the producer of the products.

- 4.3 The provisions of clause 3.2 shall also apply to Benchmarked Checklist Marks, provided that the granting of the relevant rights is subject to the Benchmarked Checklist owner's prior written consent to the issuance of a Benchmarked Checklist certification pursuant to clause 1.5.2 of this Agreement. In addition, the granting of any rights under this Agreement with respect to Benchmarked Checklists, PFA standards is subject to the continued existence of the respective Benchmarked Checklist, PFA standard, or add-on, the underlying agreement between the owner of the Benchmarked Checklist, PFA standard and the Licenser, and approval of CB/VB and/or CP by such owner. If such Benchmarked Checklist, PFA standard or the underlying agreement between the owner and the Licenser is terminated or the owner does not grant or withdraws its CB/VB and/or CP approval, the Licensed Scope shall be reduced accordingly.
- 4.4 Upon CB/VB's or the Licenser's request, CP shall provide CB/VB or the Licenser with representative samples of materials and media produced, distributed, or otherwise used by CP and related PGMs in which GLOBALG.A.P. Trademarks, GLOBALG.A.P. Identification Numbers, or GLOBALG.A.P. Claims (or associated boilerplate texts provided by the Licenser) are used.
- 4.5 The rights granted to CP under this Agreement do not include any rights the exercise of which would violate Applicable Laws. For the avoidance of doubt, CB/VB's request and/or verification of any sample material in accordance with clause 3.4 of this Agreement or otherwise is not to be construed to mean that CB/VB has determined that the material conforms with Applicable Laws.
- 4.6 CP shall promptly cease and desist from any and all use of any rights granted under this Agreement (including the rights to use GLOBALG.A.P. Trademarks, GLOBALG.A.P. Identification Numbers, and GLOBALG.A.P. Claims) in the event that CP or any related PGM does not comply in full with this Agreement or the GLOBALG.A.P. System Rules, or upon termination of this Agreement for any reason.
- 4.7 It is agreed between the Parties for the benefit of the Licenser that the Licenser may enforce the provisions set forth in this clause 3 directly against CP.

## 5 OWNERSHIP AND DEFENSE OF THE GLOBALG.A.P. TRADEMARKS; THIRD-PARTY CLAIMS

- 5.1 The GLOBALG.A.P. Trademarks are the sole property of the Licenser. and nonexclusively licensed to CB/VB. During the term of this Agreement and thereafter, CP shall not challenge the title of the Licenser to the GLOBALG.A.P. Trademarks, nor question or disrupt the validity of the GLOBALG.A.P. Trademarks or this Agreement, nor aid others in doing so.
- 5.2 The Parties agree that all use of GLOBALG.A.P. Trademarks by CP inures to the benefit of the Licenser. CP shall provide documents and information reasonably necessary with respect to activities required to maintain the rights of the Licenser in the GLOBALG.A.P. Trademarks, and to confirm the Licenser's ownership of those rights. CP shall cooperate with the Licenser in obtaining and maintaining GLOBALG.A.P. Trademark applications and registrations as may be required, for example by providing usage information.
- 5.3 CP shall inform the Licenser of any third-party claims based on CP's use of GLOBALG.A.P. Trademarks. Upon request, the Licenser shall use efforts to assist CP in its defense against such claims.

## 6 PROVISION OF LICENSED SERVICES AND USE OF DATA

- 6.1 CB/VB shall perform the Licensed Services within the Licensed Scope in compliance with the

relevant GLOBALG.A.P. System Rules and the provisions set forth in this Agreement. CP acknowledges that (i) the Licensor and (ii) any agents or representatives commissioned by the Licensor may participate in the performance of Licensed Services by CB/VB under this Agreement.

- 6.2 After a positive evaluation decision (and in the case of Benchmarked Checklist certification: a separate written confirmation from the respective Benchmarked Checklist owner), CB/VB shall issue a certification or verification/approval document to CP and related PGMs (if applicable) in accordance with the GLOBALG.A.P. System Rules and at the same time register the certification or verification/approval in the GLOBALG.A.P. IT platform. To verify CP's and related PGMs' continuous compliance with the GLOBALG.A.P. System, CB/VB is entitled to perform announced and unannounced on-site audits according to the relevant GLOBALG.A.P. System Rules. CP acknowledges that the Licensor is entitled to directly instruct CB/VB to carry out announced or unannounced on-site audits at CP and related PGMs.
- 6.3 CB/VB shall furthermore enter into the GLOBALG.A.P. IT platform all relevant producer and product registration and status data, the completed evaluation checklists, and any further results and other information requested by the Licensor. in accordance with the GLOBALG.A.P. System Rules. If CB/VB detects that any information entered into the GLOBALG.A.P. IT platform is incorrect or incomplete, CB/VB shall take all appropriate actions to correct and complete such information. Unless otherwise agreed in writing between the Parties, CB/VB shall use the information obtained in the course of the provision of the Licensed Services only for the purposes provided for in this Agreement.
- 6.4 CP acknowledges that the Licensor. is entitled to make the data uploaded by CB/VB in the GLOBALG.A.P. IT platform available to third parties in accordance with the provisions of the GLOBALG.A.P. System Rules (including, but not limited to, the GLOBALG.A.P. data access rules). In addition, CP acknowledges that the Licensor is entitled to store and use the data for an unlimited period of time for the following purposes: (i) validation of certified production processes (and the resulting products); (ii) validation of certification processes; (iii) handling of complaints; (iv) integrity surveillance; and (v) in anonymized and, if necessary, aggregated form for any other business purposes of the Licensor, including, but not limited to, the further development and improvement of the GLOBALG.A.P. System, GLOBALG.A.P. services, and the development and marketing of new products (e.g., benchmarking tools, impact assessments, monitoring, reports, and evaluation services). The rights granted to the Licensor in relation to the data are nonexclusive and include all rights necessary for the Licensor. to provide and use the data in accordance with the purposes stated above. This may include, without limitation, the rights to store (itself or through third parties), make publicly available, reproduce, and/or distribute the data. For the avoidance of doubt, the mandatory provisions of the Data Protection Regulations supersede any conflicting provisions contained in this clause 5.4.
- 6.5 CB/VB shall provide the Licensed Services with due skill and care and maintain ongoing internal monitoring of its provision of Licensed Services and compliance with the GLOBALG.A.P. System Rules and Applicable Laws. CB/VB shall have the sole responsibility to procure and maintain all resources (including personnel, facilities, and governmental licenses and permits), and perform all activities required to provide the Licensed Services in accordance with this Agreement.
- 6.6 CB/VB shall be responsible for establishing and communicating to CP the fee structure for the performance of the Licensed Services. In this context, CB/VB shall transparently disclose to CP

the amount of fees payable by CB/VB to the Licensor pursuant to the Fee Table (**Annex 1**).

## 7 CP OBLIGATIONS

- 7.1 CP shall comply with and ensure that each related PGM complies with the provisions of this Agreement and the GLOBALG.A.P. System Rules at all times. This includes, but is not limited to, the payment of fees for the provision of the Licensed Services.
- 7.2 CP shall provide CB/VB with registration information of CP itself and of each related PGM, in compliance with the relevant GLOBALG.A.P. System Rules.
- 7.3 CP shall inform CB/VB of any existing or expired GLOBALG.A.P. Identification Number(s) and any previous verification, inspection, auditing, certification, and/or approval procedures in its organization or related PGMs, including results. Failure to do this will result in a surcharge.
- 7.4 CP shall immediately inform CB/VB of all changes in its or any related PGM's business which might have an effect on this Agreement, including, but not limited to, changes in the CP's or related PGM's legal or trade (D/B/A) name, address, contact information, production area, location, or registered products; the existence, grant, or expiration of registration numbers from other CBs/VBs in the framework of the GLOBALG.A.P. System; legal successions, acquisition, or disposal of related corporate entities or their assets; as well as personnel changes in the department that is responsible for compliance with the GLOBALG.A.P. System.

## 8 INTEGRITY PROGRAM

- 8.1 CP authorizes CB/VB and the Licensor to conduct Integrity Assessments in CP's and related PGM's premises and grants CB/VB and the Licensor unrestricted access to conduct Integrity Assessments in CPs' and related PGMs' sites in accordance with the relevant GLOBALG.A.P. System Rules. If subcontractors are involved in the production of registered products, CP shall ensure that CB/VB and the Licensor are entitled to conduct Integrity Assessments on the subcontractors' site for those activities related to the GLOBALG.A.P. System.
- 8.2 CP shall actively cooperate with CB/VB and the Licensor during Integrity Assessments and regarding any other Integrity Program activities such as complaint investigations. CP shall in particular (i) grant CB/VB and the Licensor access to and provide CB/VB and the Licensor with any documents and other information relevant to complete Integrity Assessments within the timeframe required by CB/VB and the Licensor; (ii) cooperate with CB/VB and the Licensor in the management and processing of complaints (related to CP, a related PGM, or CB/VB; in particular, CP shall not refuse, hinder, or avoid any CB/VB investigations for residue, contamination, traceability, fraud, or other issues, otherwise CP may be suspended); (iii) provide CB/VB and the Licensor with, or enable CB/VB and the Licensor or third parties instructed by CB/VB or the Licensor to directly take, samples of CP's and related PGM's products for laboratory analysis (e.g., in the event of complaints relating to residues, contaminations, traceability violations or fraud). CP acknowledges that the Licensor may send reports/summaries of its Integrity Assessments and/or other Integrity Program activities to the relevant Benchmarked Checklist owners, ABs, and complainants.
- 8.3 Each party shall bear its own costs in relation to Integrity Assessment visits and other Integrity Program activities as part of the surveillance, monitoring compliance with the GLOBALG.A.P. System Rules. However, if non-conformance is revealed, the Licensor and CB/VB are entitled

to charge CP all, or part, of the (internal and external) Integrity Assessment costs in accordance with the decision of the Integrity Surveillance Committee. If incidents are revealed that result in additional efforts by CB/VB or the Licensor, CB/VB or the Licensor is entitled to charge CP for the additional efforts in accordance with the GLOBALG.A.P. System Rules. If the additional visits total more than three (3) days, CP's obligation to bear the costs for the visits shall be subject to a decision of the Integrity Surveillance Committee. CP shall pay any such costs promptly upon receipt of an invoice from CB/VB or the Licensor.

- 8.4 If information transmitted to the Licensor bears potential impact on the registration/certification status of CP (e.g., exceeded residue limit, microbial contamination), it is the responsibility of CP to refute the claim by verifying and providing evidence of compliance with the GLOBALG.A.P. System.
- 8.5 To maintain the integrity of the GLOBALG.A.P. System, CP shall immediately report to the Licensor any event that might have a negative impact on the registration/certification status of CP, or the GLOBALG.A.P. System as a whole, including, but not limited to, food safety outbreaks, recalls, or official investigations against itself or related PGMs.

## **9 SANCTIONS AND CERTIFICATION SUSPENSION**

- 9.1 If CP fails or related PGMs fail to comply with applicable GLOBALG.A.P. System Rules, CB/VB may furthermore impose sanctions (e.g., warnings, cancelation/termination of this Agreement, and/or product suspensions in accordance with clause 8.3 below) on CP and/or related PGMs in accordance with the GLOBALG.A.P. System Rules.
- 9.2 Any objective evidence that indicates that CP or a related PGMs have been misusing the GLOBALG.A.P. Trademarks, GLOBALG.A.P. Identification Numbers, and/or GLOBALG.A.P. Claims shall lead to the exclusion of CP and/or related PGMs from the GLOBALG.A.P. System for twelve (12) months. The same shall apply to applicant CPs and related PGMs.
- 9.3 CB/VB may suspend certificates partially or completely to the extent that there are reasonable grounds suggesting that (i) CP or any related PGM has violated the GLOBALG.A.P. System Rules in relation to the processes certified thereunder; or (ii) a product derived from a GLOBALG.A.P. certified production process is associated with a food adulteration event, pesticide contamination, MRL exceedance, or any other food safety issue. Suspensions may coincide with or be triggered by government investigations, government public press releases, or reports from the public, consumers, certification bodies, and/or governmental agencies. Upon becoming aware of the possible reasons for a suspension, CB/VB may immediately suspend certificates for a reasonable period of time pending CB/VB's investigation as to whether reasonable grounds exist for further suspension. The suspension may be upheld until (i) a valid documentation (e.g., tests by accredited laboratories, including chemical and microbial analyses, re-audit reports, records of tested lots free of a contamination) or other appropriate evidence is provided by CP to CB/VB proving that the problem that led to the suspension has been corrected; or (ii) additional CB/VB auditor visits provide evidence that appropriate mitigation measures and corrective actions have been taken. Upon presentation of evidence of corrective actions by CP, CB/VB has twenty-eight (28) days to assess the evidence and communicate its decision in writing to CP. CB/VB may (i) reject the evidence of corrective actions after completion of the review process and withdraw the certificate or maintain the existing suspension; or (ii) accept the evidence and lift the suspension. Information requests and complaints regarding active suspensions should be directed to CB/VB.

- 9.4 CP shall cooperate with CB/VB and the Licensor by documenting rectification efforts and providing evidence for corrective actions taken. Upon CB/VB's request, CP shall in particular provide information regarding the facts that led to the sanction or suspension (including, but not limited to, communication from and with governmental institutions), allow CB/VB to conduct audits and other investigations and provide further cooperation services (clauses 7.1 and 7.2 shall apply accordingly).
- 9.5 CP shall itself and shall make sure that related PGMs comply with any decisions on the suspension of certificates and any sanctions imposed on them in accordance with the GLOBALG.A.P. System Rules, cooperate with CB/VB and the Licensor, and rectify the non-conformance in accordance with the terms of clause 8.
- 9.6 CP acknowledges that the Licensor may notify the public of instances where certificates have been suspended or canceled, including the CP's (and/or related PGMs') name(s) and address(es), the affected product(s), and the relevant GLOBALG.A.P. Identification Number(s).
- 9.7 CP acknowledges that the Licensor is entitled to directly enforce the sanctions described in clause 8.

## 10 LIABILITY AND INDEMNITY

- 10.1 CB/VB shall be liable for the full extent of damage suffered by CP as a result of CB/VB's intentional misconduct or gross negligence, in the event of culpable injury to life, body, and health and in cases of mandatory statutory liability. In the event of a culpable breach of essential contractual obligations, i.e., principal obligations which enable the proper execution of the contract and upon which CP therefore relies and may rely, CB/VB assumes liability on the merits; in such case CB/VB's liability shall be limited to damages which are typical for the agreement and which can be reasonably foreseen. Any further liability of CB/VB shall be excluded. This limitation of liability shall apply also in favor of CB/VB's statutory representatives, executives, and vicarious agents.
- 10.2 The limitations and exclusions of liability stipulated in clause 9.1 above shall also apply to any claims made by CP against the Licensor.
- 10.3 CP shall defend, indemnify, and hold harmless CB/VB and the Licensor, their affiliates and subsidiaries, and their respective officers, directors, employees, and agents, from and against any third-party claims, administrative fines and penalties, costs, losses, liabilities, expenses, and any other direct or indirect damages, including defense costs such as court costs and statutory lawyers' fees, arising from CP's or related PGM's violation of this Agreement and/or CP's or related PGM's violation of the GLOBALG.A.P. System Rules. In addition, CP shall provide CB/VB and the Licensor with all necessary information and make available any necessary assistance to defend against such claims and damages.

## 11 TERM AND TERMINATION

- 11.1 This Agreement becomes effective on the date it is signed by the Parties. It has a fixed initial term until \_\_\_\_\_ unless terminated earlier in accordance with this clause 10. The term of this Agreement will automatically be extended for one (1) year if neither Party terminates the Agreement by giving the other Party three (3) months' written notice prior to the end of the initial or any subsequent term.
- 11.2 Notwithstanding clause 10.1 above, either Party may terminate this Agreement for cause without notice. Cause is deemed to exist if the terminating Party, taking into account all the circumstances of the specific case and weighing the interests of both Parties, cannot reasonably be expected to continue the contractual relationship until the agreed end or until the expiry of a

notice period.

Cause for either Party to terminate this Agreement includes, but is not limited to, an instance where (i) the other Party breaches a provision of this Agreement, and after having received written notice of the breach, fails to remedy the breach within thirty (30) days thereafter; (ii) there is no longer a Licensed Scope (e.g., due to a reduction of the Licensed Scope in accordance with clause 3.3); or (iii) the other Party commences voluntary bankruptcy proceedings, makes a general assignment for the benefit of its creditors, files for dissolution or liquidation, involuntary bankruptcy or insolvency proceedings are brought against either Party which are not dismissed within thirty (30) days, or a receiver is appointed for the assets of either Party.

Additionally, cause for CB/VB to terminate this Agreement includes, but is not limited to, an instance where (i) CP or related PGMs do not comply with the relevant GLOBALG.A.P. System Rules; (ii) CP or related PGMs do not obey operational requirements and deadlines, such as not responding to the Licensor's or CB/VB's written requests for corrective actions within a reasonable period of time in accordance with the GLOBALG.A.P. System Rules; (iii) CP or related PGMs have been found by a court of competent jurisdiction to have violated national or international food law or any other Applicable Laws relevant for the products that are the subject of the Licensed Services or relevant for the reliability of CP in general, or infringed or diluted a GLOBALG.A.P. Trademark, and CP fails to remedy the violation, infringement, or dilution within thirty (30) days thereafter (if the matter is capable of being remedied); (iv) CP refuses compliance with any amendments to the GLOBALG.A.P. System Rules; (v) CP asserts unjustified claims against CB/VB or the Licensor; (vi) CP spreads false information that is potentially damaging to the reputation of CB/VB and/or the Licensor; or (vii) outstanding payments to CB/VB and/or the Licensor are not settled by CP within three (3) months after the second written warning by CB/VB or the Licensor (unless the underlying invoice is disputed by CP and CP therefore legitimately withholds the payment).

- 11.3 CB/VB may furthermore terminate this Agreement without prior notice if the Licensor terminates the License and Certification Agreement between CB/VB and the Licensor. In this case, CB/VB shall provide CP with all information and undertake all measures necessary to facilitate the conclusion of a Sublicense and Certification Agreement between CP and another certification/verification body.
- 11.4 Upon termination of this Agreement, the rights of CP to use the GLOBALG.A.P. Trademarks, GLOBALG.A.P. Identification Numbers, and GLOBALG.A.P. Claims terminate with immediate effect.
- 11.5 A termination of the Agreement shall be in text form to be effective.

## 12 CONFIDENTIALITY

- 12.1 Unless otherwise explicitly stated in this Agreement or the GLOBALG.A.P. System Rules, each Party shall treat as strictly confidential all information, in whatever form, that the other Party discloses or makes accessible to it, but only to the extent that a reasonable person would consider such information to be confidential, regardless of whether or not such information is marked as confidential. CB/VB shall make appropriate arrangements to safeguard the confidentiality of the information obtained or created during the performance of Licensed Services at all levels of its structure, including committees and external bodies or individuals acting on behalf of CB/VB.

12.2 The confidentiality obligation shall not apply to information which is required to be disclosed by Applicable Laws or which can be proven by the concerned Party to have been (i) already known to it or in its possession upon receipt of such information from the respectively other Party; (ii) legally received by the concerned Party from a third party without violating any confidentiality obligation; (iii) already publicly known upon receipt of such information from the respectively other Party or became publicly known thereafter through no wrongful act of the concerned Party; (iv) developed independently of the information received from the respectively other Party under this Agreement.

12.3 CB/VB shall not disclose information about CP or a related PGM obtained in connection with the provision of the Licensed Services to any third party unless such disclosure is explicitly provided for in this Agreement, covered under the GLOBALG.A.P. System Rules, or explicitly permitted by CP in writing. If CB/VB makes information about CP or a related PGM available to a third party (e.g., an AB or a Benchmarked Checklist owner), CB/VB shall inform CP accordingly.

## **13 DATA PROTECTION**

13.1 The Parties shall comply with Data Protection Regulations at all times.

13.2 Without prejudice to the other provisions of this Agreement, the Parties shall take all reasonable precautions to preserve the integrity and prevent any corruption or loss, damage, or destructions of the Personal Data processed under this Agreement.

## **14 ANNEXES AND AMENDMENTS**

14.1 The following Annexes to this Agreement form part of the Agreement:

- Annex 1: The GLOBALG.A.P. System Rules, including, but not limited to, the GLOBALG.A.P. general regulations, the GLOBALG.A.P. data access rules, and the Fee Table (each in its most recent version).
- Annex 2: Definition of Licensed Scope
- Annex 3: Privacy Notice for CPs

14.2 CB/VB may offer to CP changes to nonessential clauses of this Agreement at any time without stating reasons. Any such amendment shall require CB/VB to notify CP of the proposed changes by email at least five (5) days before the date they become effective. If CP disagrees with the revised Agreement, CP may terminate this Agreement as provided for in clause 10.2. If CP does not terminate this Agreement before the date the revised Agreement becomes effective, the continued performance of this Agreement will constitute acceptance of the proposed changes, provided that the offered changes do not result in a reorganization of the agreement structure as a whole. The provisions concerning the scope and the type of the Licensed Services are essential provisions which may not be altered by way of deemed acceptance. CB/VB will inform CP in the notice offering the changes about the right to object to the changes by terminating the Agreement.

14.3 The Parties agree that the GLOBALG.A.P. System Rules (including the extract attached to this Agreement as Annex 1) will be subject to continuous updates by the Licensor and the bodies entrusted with the further development of the GLOBALG.A.P. System Rules. Even though the GLOBALG.A.P. System Rules always apply only in their current version, CB/VB may decide (in addition to the right to amend the Agreement pursuant to clause 13.2 above) to apply the

following procedure: CB/VB may inform CP of proposed changes to the GLOBALG.A.P. System Rules by email at least fourteen (14) days before the date they become effective.

If CP disagrees with the revised GLOBALG.A.P. System Rules, CP may terminate this Agreement as provided for in clause 10.2. If CP does not terminate this Agreement before the date the revised GLOBALG.A.P. System Rules become effective, the continued performance of this Agreement will constitute acceptance of the proposed changes. CB/VB will inform CP in the notice offering the changes about the right to object to the changes by terminating the Agreement.

## 15 GOVERNING LAW AND ARBITRATION

- 15.1 This Agreement and any dispute or claim arising out of or in connection with this Agreement (including noncontractual disputes or claims) shall exclusively be governed by and construed in accordance with the laws of Germany. The Parties agree that the United Nations Convention on Contracts for the International Sale of Goods shall not apply to this Agreement.
- 15.2 All disputes arising out of or in connection with this Agreement or its validity shall be finally settled in accordance with the arbitration rules of the German Institution of Arbitration (DIS) without recourse to the ordinary courts of law. The number of arbitrators shall be three (3). The place of arbitration is Frankfurt am Main, Germany and the language of the arbitration proceedings shall be English.

## 16 MISCELLANEOUS

- 16.1 This Agreement constitutes the entire agreement and understanding between the Parties relating to the subjects addressed herein and supersedes all previous agreements between the Parties, whether oral or written. Without limiting the foregoing, this Agreement replaces any former arrangements in relation to the subject matter of this Agreement, including any Sublicense and Certification Agreement agreed upon between the Parties.
- 16.2 Neither Party shall be entitled to (i) assign its rights or transfer (including by way of novation or subcontract) its obligations under this Agreement to a third party without the prior written consent of the other Party; (ii) set off any claims of the other Party that arise in connection with this Agreement unless the claim has been established by final judgment or is undisputed by the other Party; and (iii) any right of retention unless the claim has been established by final judgment or is undisputed by the other Party.
- 16.3 A waiver of any breach or default under this Agreement by either Party does not constitute a waiver of any other or subsequent breach or default. The failure by either Party to enforce compliance with any term or condition of this Agreement does not constitute a waiver of any such term or condition unless such term or condition is expressly waived in writing.
- 16.4 This Agreement is binding upon the Parties and each of their respective successors and permitted assigns. Unless otherwise provided for in clauses 13.2 and 13.3, any amendments to this Agreement shall be in written form to be valid. This shall also apply to any waiver of this written-form requirement.
- 16.5 The headings of the clauses of this Agreement are inserted for convenience or reference only and are not intended to be part of or to affect the meaning or interpretation of this Agreement.
- 16.6 This Agreement may be executed in counterparts, each of which is deemed to be an original, and all of which constitute one and the same Agreement.

- 16.7 The relationship of the Parties to this Agreement is that of independent contractors and not that of employer/employee. Neither this Agreement, nor any of the terms and conditions contained herein, are to be construed as creating a partnership, franchise, joint venture, or agency relationship between the Parties. CP furthermore acknowledges and accepts that it has no authority to act on behalf of CB/VB or the Licensor and agrees that it will not conclude any contract binding CB/VB or the Licensor whether under power of attorney or otherwise.
- 16.8 If any provision, or part of any provision, of this Agreement is held invalid, illegal, or unenforceable for any reason, that provision, or part of that provision, will be severed and the remainder of that provision (where applicable) and the other provisions of this Agreement will continue in full force and effect as if this Agreement had been executed without that invalid, illegal, or unenforceable provision or part of a provision. The invalid, illegal, or unenforceable provision shall be replaced by a legal, valid, and enforceable arrangement which corresponds as closely as possible to the intentions of the Parties. The same principle shall apply in the event that this Agreement contains any gaps or ambiguities.

**SIGNATURES****CB/VB****CP**

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Signature of authorized representative

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Name of authorized representative

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Title of authorized representative

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Date signed

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Place signed

---

Company seal/stamp (optional)

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Signature of authorized representative

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Name of authorized representative

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Title of authorized representative

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Date signed

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Place signed

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Company seal/stamp (optional)

**ANNEX 2 DEFINITION OF LICENSED SCOPE**

(To be completed by CB/VB)

Standards	Scope		Date effective from
Integrated Farm Assurance (IFA, IFA Smart edition)	Plants/Crops (Including fruit and vegetables; flowers and ornamentals; combinable crops; tea; plant propagation material, hops)	<input type="checkbox"/>	
	Aquaculture (Including finfish, crustaceans, molluscs, seaweed)	<input type="checkbox"/>	
Integrated Farm Assurance (GFSI edition)	Plants/Crops (Including GFSI recognized product categories only)	<input type="checkbox"/>	
	Aquaculture (Including finfish, crustaceans, molluscs, seaweed)	<input type="checkbox"/>	
Chain of Custody		<input type="checkbox"/>	
Compound Feed Manufacturing	(Including feed for aquaculture and feed for livestock)	<input type="checkbox"/>	
Harmonized Produce Safety Standard	(Including fruit and vegetables and combinable crops)	<input type="checkbox"/>	
Produce Handling Assurance Standard	Plants	<input type="checkbox"/>	
Crops for Processing	(Including fruit and vegetables; combinable crops; and green coffee)	<input type="checkbox"/>	
PFA	Type:	<input type="checkbox"/>	
Add-on	Name (e.g., GRASP):	<input type="checkbox"/>	

Benchmarked checklist	Name: <input type="text"/>	<input type="checkbox"/>	<input type="checkbox"/>
Others		<input type="checkbox"/>	<input type="checkbox"/>

## ANNEX 3: PRIVACY NOTICE FOR CONTRACTING PARTIES AND/OR EMPLOYEES OF CONTRACTING PARTIES

As part of the sublicense and certification agreement (hereinafter referred to as "the Agreement"), Agraya GmbH, Spichernstrasse 55, 50672 Cologne, Germany, email: [info@agraya.com](mailto:info@agraya.com) (hereinafter referred to as "Data Controller") is a responsible, independent data controller alongside the certification body

Name:

Address:

Email address:

(hereinafter referred to as "CB") for the processing of certain personal data of producers, producer groups, producer organizations, packers, resellers, traders, and manufacturers who are contracting parties (hereinafter referred to as "CPs") of CB under the Agreement and who are natural persons, as well as personal data of certain employees of CPs nominated as contact persons by the respective CP and legal representatives of CPs (hereinafter referred to together as "Data Subjects"). The purpose of this document is to notify such Data Subjects about the processing of their personal data as required by law, in particular the European Union's General Data Protection Regulation (hereinafter referred to as "GDPR").

### 1. CATEGORIES OF DATA COLLECTED AND PURPOSES OF PROCESSING

In the context of the Agreement, CB will collect personal data of Data Subjects. This personal data includes names, contact information, bank details, payment history, and may also include information about their professional qualifications and information related to their field of work.

CB will process personal data for the following purposes:

- To take steps at CPs' request prior to entering into the Agreement, as well as for the performance of the Agreement (in particular the conducting of audits, invoicing of fees, conducting of offline and/or online trainings and exams)
- Provision of name, position, and business contact details of Data Subjects, the status of the certification as well as checklists including details of audits to the Data Controller to enable the Data Controller to publish the data in the GLOBALG.A.P. IT platform (as defined in the Agreement) maintained by the Data Controller, for which the Data Controller is the controller in terms of data protection law.

The Data Controller will process the personal data provided by CB (see above) or CPs (including but not limited to data provided by CPs to the Data Controller via interfaces in the (farm management) software solutions used by CPs) for the purposes set forth in the Agreement and in the GLOBALG.A.P. data access rules which can be accessed in the GLOBALG.A.P. document center under [https://www.globalgap.org/uk\\_en/documents/](https://www.globalgap.org/uk_en/documents/).

The legal basis for the processing of personal data is Art. 6 (1) b) GDPR. Moreover, CB and the Data Controller may process and use personal data for their legitimate interests, in particular to increase transparency about the plausibility of the GLOBALG.A.P. standards through the publication of checklists or to enforce or defend claims (Art. 6 (1) f) GDPR). For any other purposes, CB will obtain the Data Subjects' proper consent prior to the processing (Art. 6 (1) a) GDPR).

### 2. DATA SHARING

As set forth above, (i) CB may share personal data with the Data Controller, which operates the

GLOBALG.A.P. IT platform on its own behalf for administration purposes and for the provision of the GLOBALG.A.P. system (as defined in the Agreement); and (ii) the Data Controller may share personal data with third parties as described in the GLOBALG.A.P. data access rules which can be accessed in the GLOBALG.A.P. document center under [https://www.globalgap.org/uk\\_en/documents/](https://www.globalgap.org/uk_en/documents/). Furthermore, CB and the Data Controller may share personal data with their service providers that process personal data on behalf and in accordance with their instructions on basis of a data processing agreement within the meaning of Art. 28 GDPR.

In addition, personal data may be transferred to public authorities if CB or the Data Controller is legally required to disclose certain personal data due to court orders or requests by prosecution or regulatory authorities or authorized third parties for investigative procedures or because of suspected crimes, unlawful acts, or other actions that may result in liability for CPs, CB, or the Data Controller (Art. 6 (1) c) GDPR).

### 3. DATA TRANSFER TO COUNTRIES OUTSIDE OF THE EEA/EU

CB and the Data Controller may share personal data with third parties outside of EEA/EU member states. In such cases, before transferring the personal data, CB and the Data Controller will ensure that the data transfer takes place under an adequate privacy protection level, especially by first obtaining the Data Subjects' consent for the processing, and through additional specific safeguards pursuant to Art. 44 et seq. GDPR, e.g., by ensuring that an adequacy decision of the European Commission exists for the concerned third country or by concluding what are termed EU Standard Contractual Clauses for the third country in their latest version.

The GLOBALG.A.P. IT platform may be connected with Google Translate and Google Maps, which are provided by Google, LLC, USA, as well as with BI functionalities connected with Microsoft Corporation, USA. This is necessary for the provision of checklists and CP entries. However, CB shall not enter any personal data into comment fields which may be subject to translations by Google Translate. Further information on processing by Google or Microsoft can be found in Google's and Microsoft's privacy policies under: <https://policies.google.com/privacy> and <https://privacy.microsoft.com/de-de/privacystatement>, respectively.

### 4. RIGHTS OF DATA SUBJECTS

CB and the Data Controller will respond to all legitimate requests for information about personal data stored and, where applicable, to all requests to correct, update, or erase personal data or to restrict the processing of personal data according to Art. 15 to 19 GDPR. Furthermore, Data Subjects have the right to withdraw any consent given in terms of Art. 6 (1) b) GDPR at any time (Art. 7 (3) GDPR) and may be entitled to the right of data portability (Art. 20 GDPR). In any of these cases or to request a copy of the Standard Contractual Clauses (if applicable), Data Subjects can contact CB or the Data Controller under the contact details specified above.

**Data Subjects can also contact CB or the Data Controller to object to the processing of personal data based on a legitimate interest (Art. 6 (1) e), f) GDPR).**