



The Gafta Standard for  
**Supervision,  
Sampling  
& Check  
Weighing**

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## A Introduction

**Gafta** (the Grain and Feed Trade Association) is the international association representing the trade and supply of agricultural commodities, animal feed materials, pulses, rice, spices and general produce worldwide.

**The Gafta Standard** is an independently audited scheme designed to maintain and improve the level of competence of activities related to the trade of agricultural commodities, animal feed materials, pulses, rice, spices and general produce worldwide. It comprises three Codes of Practice:

- The Gafta Standard for Analysis and Testing
- The Gafta Standard for Fumigation
- The Gafta Standard for Supervision, Sampling and Check Weighing.

Certification to the Gafta Standard for Supervision, Sampling and Check Weighing is conditional on a successful audit assessment by the Certification Body/Bodies approved and appointed by Gafta. Continued certification is conditional on successful annual audits of the Gafta Standard for Supervision, Sampling and Check Weighing no later than 14 months of the anniversary of the initial audit.

**The initial audit will be completed by a site visit by the auditor. The following two annual audits may be carried out remotely via electronic sharing of documents and telephone or video conferencing. The fourth audit, and every third audit thereafter will be completed by a site visit by the auditor. Gafta and the Certification Body reserve the right to complete a site visit at any annual audit or any other time (e.g. unannounced 'spot checks') where it considers it to be necessary.**

If a site visit audit is cancelled or postponed by the Member within two weeks of the audit date, 100% cancellation fee applies.

Audits will be conducted in English and it is the responsibility of the Member to arrange suitable translation of documents and/or a suitable interpreter as required at their cost. Failure to comply with this requirement may result in the rearrangement of the audit when suitable interpreters are available. The costs associated with the rearranged audit shall be borne by the Member.

The Member must permit access to the auditor to the premises, information, documentation and facilities required to undertake the audit. The auditor reserves the right to refuse to carry out an audit where they deem conditions are inappropriate, dangerous or unsafe, the cost of a cancellation due to any of these factors will be borne by the Member. Any certification already in place may be suspended if an audit is cancelled and full reinstatement of a certificate may require a full on site audit.

Non-conformances raised at audit of the Gafta Standard must be closed by providing documentary evidence or a revisit. Non-conformances must be closed within three months of an initial audit and within 28 calendar days of any subsequent audit. Failure to provide satisfactory evidence will result in suspension from the Gafta Approved Register of Superintendents and may lead to an inquiry under the terms of the Gafta Membership Complaints and Disciplinary Regulations.

Failure to reinstate from 'suspended' status within 28 calendar days of notification of the suspension will result in the Member being withdrawn from the scheme. After withdrawal, reinstatement will only be possible after a full initial audit at the cost of the Member.

Gafta and the appointed Certification Body reserves the right to suspend or withdraw membership of the Gafta Approved Register of Superintendents when it considers it necessary to do so to prevent the Register or the Association being brought into disrepute.

Successful third party audit to the Gafta Standard is one of the requirements of entry onto the Gafta Approved Registers which provide authorisation for companies to provide its services under Gafta Contract Terms & Conditions. This Standard should be read in conjunction with the requirements for the Approved Registers and the relevant Gafta Codes of Conduct, which can be found at [www.gafta.com](http://www.gafta.com).

## B Scope

A Superintendent is an organisation or company whose primary business activities are in the profession of inspection of agricultural commodities and who undertakes inspections, verifications, examinations, quality and condition assessments, weight supervision and sampling and measurements of goods traded in accordance with Gafta contract terms and rules. Supervision refers to the activities of a Superintendent as listed above.

This Standard covers the management and operational procedures of the Superintendent (and its trained representatives) when carrying out the inspection of agricultural commodities.

This Standard does not replace any legislative or health and safety requirements applicable in the country the activity is carried out.

## C General Terms and Definitions

In this document the following words are used and defined as:

**Must** – This is a requirement of the Standard which has to be met.

**Should** – This is a strong recommendation of the Standard, but not mandatory.

**Key Standards** – Requirements marked with a **K** in the left hand margin indicate a “key” Standard. If during an audit an assessor finds a major non-conformance against a key requirement this shall result in suspension until rectified.

**Major Non-conformance** – Substantial failure to meet a requirement of the Standard.

**Minor Non-conformance** – A requirement of the Standard has not been fully met.

The level of non-conformance against a requirement of the Standard is based upon evidence and observations made during the audit.

**Evidence** – Objective evidence must be available to demonstrate compliance with each requirement. Evidence can include, but is not limited to: records, documented processes, reports, manuals, correspondence, certificates, and photographs. Evidence can be hard copy or electronic.

Internally produced records must be signed by the person carrying out the task/activity.

Records must be legible and kept in suitable conditions that allow ready retrieval and prevent deterioration.

Records must be kept for a minimum of seven years unless there are additional requirements.

**Confidentiality** – The auditor requires access to all documentation relevant to the Gafta Standard assessment. All information will remain in confidence with the Certification Body and will not be disclosed to any third party.





## D Specific Terms and Definitions

**Outsourcing** – A business practice in which a company hires an individual to perform tasks, handle operations or provide services that are either usually executed or had previously been done by the company's own employees.






## 1 General Obligations and Requirements

### 1.1 Management Structure

- 1.1.1**  The Superintendent must be a legal entity, or a defined part of a legal entity, which is legally responsible for its inspection activities.
- 1.1.2** Where Superintendents operate on multiple sites, in the same country, each site must be part of the same legal entity, follow the same procedures and issue the same certificates and/or reports of inspection, with a management system having overall responsibility for the inspection activities.
- 1.1.3**  For a multinational Superintendent company with offices in different countries, each country must hold its own certification to the Gafta Standard and be audited separately.
- 1.1.4**  The Superintendent must have documented operating and management procedures.
- 1.1.5**  Superintendents must regularly (at least annually) review their management system to ensure continued conformance with procedures and policies, fulfilment of objectives, and identify opportunities for improvement. In particular a management review must consider (but is not limited to):
- Internal or external changes relevant to the scope of this Standard
  - Suitability of operating and management procedures (see 1.1.4)
  - Outcomes of internal audits (see 8), audits against this Standard and any other external/third party audits
  - Complaints (see 1.8), customer and personnel feedback
  - Risk Assessments (see 1.3)
  - Corrective actions, and effectiveness of preventative actions/improvements.


### 1.2 Impartiality

- 1.2.1**  A Superintendent must be independent and free from any commercial, financial or other pressures that might affect its judgement and practices.
- 1.2.2**  A Superintendent must implement procedures to ensure that persons or organisations external to it cannot influence the results of operations it carries out, including monitoring risks to its impartiality on an ongoing basis. Examples of such risks may include, but are not limited to, its own activities or relationships and that of its employees. Such relationships can be based on finances, contracts, ownership, management, governance, marketing and branding, sales commission or other incentive schemes. The Superintendent must demonstrate how such risks are removed or minimised if identified. The Superintendent must report to Gafta any attempts by interested parties to influence the outcome of its operations.
- 1.2.3**  A Superintendent must be responsible for any breach of this Standard by its employees or any other agent including outsourced providers of resources and expertise, instructed by it to carry out its operations on its behalf.
- 1.2.4** A Superintendent found to have acted contrary to any provision of this Standard or to their spirit may be subject to disciplinary action.


### 1.3 Risk Assessment


- 1.3.1** Superintendents must have a risk assessment in place that identifies and controls any hazards or risks that negatively impact their ability to carry out their services. Hazards and risks to the following must be considered: equipment, impartiality, resources, personnel, confidentiality/information security, sample integrity and security, and external influences – NOTE this list is not exhaustive. Food and feed safety, i.e. hazards affecting the commodity being sampled and/or supervised, must also be considered.


### 1.4 Confidentiality

- 1.4.1** The Superintendent is responsible for the management of all information received or created during its operation, and must abide by local and/or international legislation relating to data management.
- 1.4.2** All information is considered proprietary information and must be regarded as confidential.
- 1.5 Receipt of work**
- 1.5.1** In order for Superintendents to perform their activities, precise instructions are needed from their principals at the time of receiving the order.
- 1.5.2**  Superintendent companies must nominate a suitably experienced person(s) as a Technical/File Manager who shall be responsible for receiving instructions from a principal and who shall be responsible for forwarding the appropriate instructions to the field inspector(s). The Technical/File Manager must be an employee of the company and shall be responsible for ensuring that sufficient information has been received to enable the field inspector(s) to satisfactorily carry out their duties.


### 1.6 Sub-contracting


- 1.6.1**  Where it is necessary for the appointed Superintendent (the principal company) to subcontract all or any part of the inspection to another company, that company (the subcontractor) must be listed on the Gafta Approved Register of Superintendents, unless expressly agreed otherwise with the principals of the contract.
- 1.6.2** The Superintendent must inform the principal(s) of its intention to subcontract any part of the inspection.
- 1.6.3** Reasons to subcontract may include one or more of the following (or similar) situations: unforeseen or abnormal workload; key inspection staff members being incapacitated; key facilities or items of equipment being temporarily unfit for use; part of the contract from the client involving inspection being beyond the capability or resources of the Superintendent.

- 1.6.4**  Whenever subcontractors carry out work that forms part of an inspection, the responsibility for any determination of conformity of the inspected goods with the requirements must remain with the principal Superintendent.

- 1.6.5**  The Superintendent must record and maintain a register of all its subcontractors.

### 1.7 Outsourcing

- 1.7.1**  Where the Superintendent engages individuals on an outsourced basis, for example self-employed inspectors, to provide additional inspection resources or expertise, these individuals are not considered to be subcontractors if the following Rules apply:
- They are formally contracted to operate under the principal company's management system and thus are covered by the principal company's insurance policies
  - They comply with the principal company's training protocols as described in section 2.2
  - The principal company must audit the individuals' compliance with the principal company's quality management system including the full understanding of Gafta Rules No.123 and 124.

- 1.7.2**  The Superintendent must record and maintain a register of all individuals or employees providing additional resources and expertise. These may be subject to audit for compliance with the Standard.

### 1.8 Complaints Procedure

- 1.8.1** The Superintendent must have a documented procedure for handling complaints. This procedure must include systems for:
- The prompt documentation and investigation of complaints
  - The prompt feedback to the complainant with findings
  - Deciding on internal actions required to prevent re-occurrence
  - Identifying trends and feeding into management reviews.

**1.9 Insurance**

- 1.9.1** Superintendent companies must demonstrate that they have adequate and appropriate insurance in place to cover any claims that may arise as a result of liability in respect of their operations.

**2 Personnel and Training****2.1 Competence**

- 2.1.1** The Superintendent company must define and document (for example in a job description) the responsibilities and competency requirements for each employee, including (but not limited to) education, training, experience, technical knowledge and skills.

**2.2 Training and Training Records**

- 2.2.1** Employees must be trained and competent to perform the tasks for which they are responsible. There must be an ongoing, regular training programme for all employees including permanent, temporary, outsourced and occasional staff members, which is updated as appropriate.

- 2.2.2** Regular performance reviews must be completed for all employees. This must be performed at least annually but more frequently as required. Performance reviews must include a combination of on-site observations, report reviews, interviews, simulated inspections and other techniques to assess performance, and will depend on the nature of inspection activities. Performance reviews must be used to identify training needs.

- 2.2.3** Written training programmes must be implemented and include the following stages:

- Induction period
- Supervised/mentored working period with experienced employees
- Continued training to remain up to date with changing technology, equipment, methods, etc.

- 2.2.4** Written records of training must be kept for all employees and should also include self-assessment reports, performance reviews and certificates/qualifications where appropriate.

- 2.2.5** The requirement to attend training courses shall take into account the ability, experience and other qualifications held by each employee and shall be appropriate to their activities.

- 2.2.6** Personnel who carry out internal audits must be trained to do so.

- 2.2.7** Training must be provided in one or more of the following ways:

- On an in-house basis, where a company utilises the experience and abilities of its own personnel
- Employ a third party consultant(s) who is/are suitably qualified to provide the required training
- Attend/participate in courses run by a recognised provider of professional training services. e.g. Gafta
- Arrange for a suitably qualified permanent employee (e.g. Operations/Technical Manager) of the company to attend training courses as above who, after reaching the required standard, will be considered suitably qualified to draw up and provide in-house training to other employees.

- 2.2.8** Training must cover at least, but is not limited to, the following areas of activity as required by this Standard and where applicable under Gafta contracts:

- Product knowledge
- The Gafta No.123 Weighing Rules and Gafta No.124 Sampling Rules
- The requirements of this Standard
- Other relevant Gafta Contract Terms and Rules
- Responsibilities of a cargo Superintendent
- Load Compartment Inspections
- Basic understanding of fumigation and pest control operations
- Basic understanding of Sanitary and Phytosanitary requirements
- Health and Safety – PPE – entry into confined spaces etc.
- Basic understanding of stevedoring and storage
- Basic understanding of sustainability matters.

**2.3 Health and Safety Regulations for Employees**

- 2.3.1** A Superintendent must comply with all relevant local and national health and safety regulations of the country in which it is operating with regard to its employees and any other operatives under its control.

- 2.3.2** Superintendents must wear the appropriate Personal Protective Equipment. The items provided must be appropriate to the inspection activities being performed, must be in good order and within any applicable validity period or expiry date. Records should be retained for the issuance and receipt of such equipment to/by Superintendents (including outsourced individuals).

- 2.3.4** Where Superintendents are asked to perform their duties in an environment or in conditions deemed by them to be dangerous or unsafe, they should refuse to undertake said duties or operations until such time as the conditions are made safe to their satisfaction. Where a Superintendent refuses to perform an activity or operation due to concerns regarding safety they must immediately notify the principal accordingly.

**3 Equipment**

- 3.1** The Superintendent shall have available to them suitable and adequate facilities and equipment to permit all activities to be carried out in a competent and safe manner. Equipment includes, but is not limited to: measuring and sampling instruments, sample dividers, software, measurement standards, reference materials, reference data, consumables or auxiliary apparatus as appropriate to the operations/activities carried out.

- 3.2** The Superintendent need not be the owner of the facilities or equipment that it uses. Facilities and equipment can be borrowed, rented, hired, leased or provided by another party (e.g. the manufacturer or installer of the equipment). However, the responsibility for the suitability and the calibration status of the equipment used, whether owned by the Superintendent or not, lies solely with the Superintendent.

- 3.3** All equipment having a significant influence on the results of the inspection must be defined and, where appropriate, uniquely identified.

- 3.4** All equipment must be checked before use to maintain confidence in the performance of the equipment. Equipment checks must be done to a written procedure, which include performance criteria, and must be recorded.

- 3.5** The Superintendent must establish a calibration programme for equipment owned or under its direct control, which shall be reviewed and adjusted as necessary in order to maintain confidence in the status of calibration. Calibration frequencies and methods must be according to manufacturer's instructions, or in-house procedures and designed and operated so as to ensure that, wherever applicable, measurements made by the inspection body are traceable to national or international standards of measurement, where available. Where traceability to national or international standards of measurement is not applicable, the inspection body shall maintain evidence of correlation or accuracy of inspection results.

- 3.6** Where equipment is provided and/or controlled by a third party the Superintendent must check and record the calibration in accordance with the above, so far as is possible and practicable.

**4 Cleanliness Inspection**

- 4.1** When instructed to do so the Superintendent must undertake an inspection of the loading compartment prior to the commencement of loading. The Superintendent must visually and (as far as is practically possible and where safely accessible) physically inspect vehicles, vessels, storage areas and compartments to check and report whether they are clean, dry and free from foreign odour or loose rust, paints or other matter that could contaminate the goods, and in these respects only, suitable to receive the cargo. The loading compartments must be free of any residues of the preceding cargo and/or cleansing activities and apparently free of vermin. The findings should be recorded and reported accordingly.



**4.2** **K** The Superintendent must obtain a written confirmation of the previous three loads carried in the loading compartment(s) and any subsequent cleaning activities, which should be, as a minimum, in accordance with the IDTF (International Database Transport (for) Feed), [www.icrt-idtf.com](http://www.icrt-idtf.com).

**4.3** However, if the Superintendent finds any evidence of contamination by the previous load(s), this must be recorded and the correct cleaning regime as listed on the IDTF must be used in that hold. All holds/loading compartments must be clean, dry and free from odour before loading operations commence.

**4.4** If any of the previous loads are classified as 'Forbidden' on the IDTF, this must be recorded, and the loading compartment must not be used for the carriage of goods covered by this Standard. The Superintendent must inform the principal(s) and alternative transport arranged, or the loading compartment should be cleaned and inspected in accordance with national authority guidelines, if available.

## 5 Sampling and Check Weighing Procedures

**5.1** The Gafta No.123 Weighing Rules apply for the purpose of determining the weight of the goods at loading and/or discharge.

**5.2** The Gafta No.124 Sampling Rules apply for the purposes of sampling the goods, preparation and distribution of samples, tests and certification.

**5.3** Practical guidance on the application of the Sampling Rules can be found on the Gafta website.

**5.4** **K** The Gafta No.123 and No.124 Rules must be followed in their entirety for goods traded on contracts that incorporate the terms and conditions of Gafta.

**5.5** **K** Adherence to these Rules will form part of the audit to the Standard.

**5.6** Samples must be retained by the Superintendent either at their own premises or in the custody of a mutually agreed third party and in accordance with the Gafta No.124 Sampling Rules. Retained samples must be kept in suitable storage conditions in order to preserve their condition, as far as this is practically possible.

## 6 Fumigation, Disinfestation and Denaturing

When the Superintendent is requested to issue certificates for the above activities, the following must be considered:

**6.1** When fumigation of the goods is required this must be carried out by a Gafta Approved Fumigator in accordance with the Gafta No.132 Rules for Fumigation, except in countries where national authorities are solely responsible for fumigation.

**6.2** When disinfestation of the cargo or the vessel by pesticide/insecticide is required this must be carried out by a professional pest control company, certified in the country where the treatment is carried out.

**6.3** When denaturing of goods is required this must be undertaken by nationally approved companies/operators in the country of loading or at discharge, appointed by the contracting parties and/or national authorities.

**6.4** The Superintendent is able to issue certificates reproducing the information provided to it by the aforementioned.

## 7 Phytosanitary/Veterinary/ Radioactivity/Health Certificates

These are usually provided by the national/governmental/official authorities in the country of loading. In some locations these certificates may be obtained by the Superintendent if required by the Parties to the Contract. Where this applies the Superintendent shall draw and collect the sample material for such a test to be carried out by an approved laboratory of their choice. In any event whoever carries out such tests, the information may be recorded by the Superintendent on its own certificates.

## 8 Internal Audit

**8.1** **K** A documented internal auditing procedure must be in place, which reviews processes and verifies they are followed correctly and consistently, and identifies opportunities for improvement. Internal audits should be carried out for all activities against the documented operating and management procedures (see 1.1.4) and this Standard as a minimum. They must be completed at least annually at each site and in addition to the third party audits carried out for this Standard.

**8.2** The audit programme must include the frequency, methods, responsibilities, planning requirements and reporting, and must take into consideration the importance of the activities concerned, changes affecting activities or services, and the results of previous audits.

**8.3** Where possible, internal audits must be undertaken in such a way that the person undertaking the internal audit is not auditing their own work. Internal audits can be carried out by a suitably competent external third party.

**8.4** Internal audits must include work carried out by subcontractors and outsourced inspectors (see sections 1.6 and 1.7) alongside on-site observations (see section 2.2.2).

**8.5** Internal audit reports should include objective evidence to show compliance with the audit criteria.

**8.6** **K** The person responsible for overall control of the Superintendent operations must ensure non-conformances raised through internal audit and any third party audits (such as audits to this Standard) are rectified within specified timescales and implement suitable preventative action to avoid recurrence.

## 9 Reporting and Record Keeping

**9.1** **K** The work carried out by the Superintendent must be covered by a retrievable inspection report or inspection certificate that must reflect the actual and true findings.

**9.2** The inspection report/certificate must include (but is not limited to):

- Identification of the Superintendent and any subcontractors used (if applicable)
- Unique identification and date of issue
- Date(s) of inspection
- Identification of the load compartments, goods etc. inspected
- Signature or other indication of approval, by authorised personnel
- A statement of conformity where applicable
- The inspection results (results provided by subcontractors must be identified).

Optional elements such as weight/tally sheets, fumigation certificates, analysis certificates etc. may not form part of the report but may be included in the file/annex.

**9.3** **K** Separate inspection reports and certificates should be identifiable/traceable to each other.

**9.4** **K** Corrections or additions to a report or certificate after issue must be recorded to identify the report or certificate replaced.

**9.5** **K** Records must be legible and kept in suitable conditions that allow ready retrieval and prevent deterioration.

**9.6** **K** Internally produced records must be signed by the person carrying out the task/activity. Where records are kept electronically the records must carry the name of the person carrying out the task/activity.

**9.7** Records must be kept for a minimum of seven years unless there are additional requirements.

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