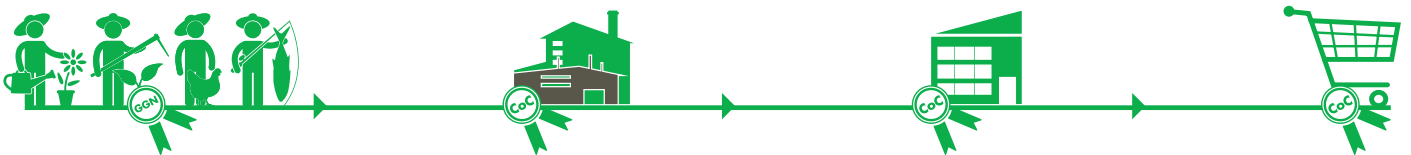


# GLOBALG.A.P.

## CHAIN OF CUSTODY STANDARD GENERAL REGULATIONS

ENGLISH VERSION 5.0

VALID FROM: 15 DECEMBER 2014  
OBLIGATORY FROM: 15 JUNE 2015



## TABLE OF CONTENTS

1	<b><u>INTRODUCTION</u></b> .....	3
2	<b><u>DOCUMENTS</u></b> .....	4
2.1	<b>NORMATIVE DOCUMENTS</b> .....	4
2.2	<b>Document Control</b> .....	4
3	<b><u>CERTIFICATION OPTIONS</u></b> .....	5
3.1	<b>Option 1 – Individual Certification</b> .....	5
4	<b><u>REGISTRATION PROCESS</u></b> .....	5
4.1	<b>Certification Bodies</b> .....	5
4.2	<b>Registration</b> .....	6
4.3	<b>Acceptance</b> .....	7
4.4	<b>Application, Certification Scope and limitations</b> .....	7
4.5	<b>Burden of Proof</b> .....	8
5	<b><u>ASSESSMENT PROCESS</u></b> .....	9
5.1	<b>Option 1 – Single Sites and Multisites</b> .....	9
5.2	<b>Inspection timing</b> .....	10
6	<b><u>CERTIFICATION PROCESS</u></b> .....	11
6.1	<b>Non-compliance and non-conformance</b> .....	11
6.2	<b>Requirements to achieve and maintain GLOBALG.A.P. Certification</b> .....	11
6.3	<b>Certification Decision</b> .....	11
6.4	<b>Sanctions</b> .....	12
6.5	<b>Notification and Appeals</b> .....	14
6.6	<b>Sanctioning of Certification Bodies</b> .....	14
6.7	<b>GLOBALG.A.P. Certificate and Certification Cycle</b> .....	14
7	<b><u>ACRONYMS AND REFERENCES</u></b> .....	15
7.1	<b>Acronyms</b> .....	15
7.2	<b>Reference Documents</b> .....	15
	<b><u>ANNEX I.1 RULES FOR USE OF GLOBALG.A.P. AND EUREPGAP TRADEMARK AND LOGO</u></b> <b>16</b>	
1.	<b>GLOBALG.A.P. trademark and QR Code Logo</b> .....	16
2.	<b>Specifications</b> .....	16
3.	<b>GLOBALG.A.P. Number, GGN AND COC NUMBER</b> .....	17
	<b><u>ANNEX I.2 GLOBALG.A.P. REGISTRATION DATA REQUIREMENTS</u></b> .....	19
1.	<b>Types of Master Data required</b> .....	19
	<b><u>ANNEX I.3 CERTIFICATE TEMPLATE FOR GLOBALG.A.P. CHAIN OF CUSTODY</u></b> .....	22
	<b><u>GR PART II – RULES FOR OPTION 2 AND OPTION 1 MULTISITES WITH QMS</u></b> .....	26
	<b><u>GR PART III – CERTIFICATION BODY AND ACCREDITATION RULES</u></b> .....	26

## 1 INTRODUCTION

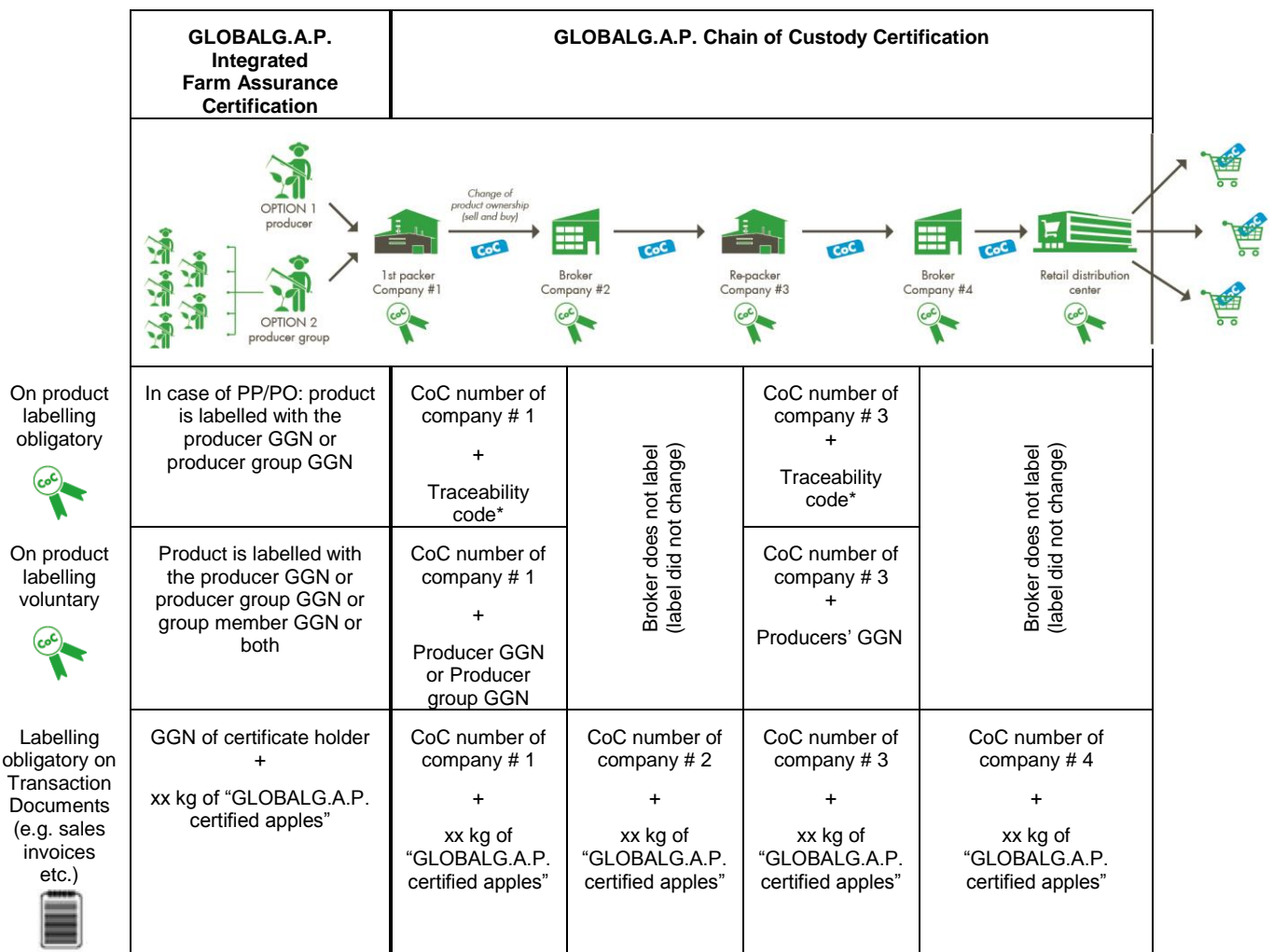
This document describes the certification rules for any party seeking certification against the GLOBALG.A.P. Chain of Custody (CoC) Standard.

The GLOBALG.A.P. Chain of Custody (CoC) Certification Standard is to ensure **segregation** and **traceability** throughout the supply chain. GLOBALG.A.P. Chain of Custody is **not a food safety certification**. It has been established to make sure that any product sold as GLOBALG.A.P. certified originates from a GLOBALG.A.P. certified producer/producer group. Only Chain of Custody certified companies are allowed to use the GLOBALG.A.P. certified product claim for sales in business-to-business communication.

The main concept of the Chain of Custody (CoC) Certification is:

1. **Identification.** Each company is registered in the GLOBALG.A.P. Database and receives its own GGN or CoC Number.
2. **Input check.** The company checks the certified status of the purchased products and the validity of the supplier's certificate.
3. **Labeling.** Each certified company labels the product with its own CoC Number and/or the producers' GGNs and identifies the GLOBALG.A.P. certified products in the transaction (sales) documents.
4. **Traceability system.** The CoC certified company has a system to avoid mixing of certified and not certified products, ensure traceability and demonstrate mass balance.
5. **Mass balance.** The CoC certified company validates the system through a mass balance.
6. **Certification.** Certification is done by GLOBALG.A.P. approved and accredited independent certification bodies.

The basic concept of this CoC Standard demonstrated on a supply chain example:



\*traceability code identifies the producers' GGN or producer groups' GGN per batch

The term “shall” is used throughout this document to indicate those provisions which, reflecting the requirements of GLOBALG.A.P., are mandatory.

The term “certified products” refers to those products originating from GLOBALG.A.P. certified production process.

The term “site” refers to those production, processing, handling, storage or administrative/office sites where certified product is produced, processed, handled, stored, or administered/traded.

Legislation overrides GLOBALG.A.P. where relevant legislation is more demanding. Where there is no legislation (or legislation is not so strict), GLOBALG.A.P. provides a minimum acceptable level of compliance. Legal compliance of all relevant legislation is not a condition for certification. The inspection carried out by the GLOBALG.A.P. certification body is not replacing the responsibilities of public compliance agencies to enforce legislation.

The GLOBALG.A.P. Secretariat is pleased to acknowledge the members of the CoC Stakeholder Committee (SHC) for their dedication and voluntary work. The member’s names are available on the GLOBALG.A.P. Website under [Governance](#).

The GLOBALG.A.P. Secretariat will monitor the first year of implementation of this new version of CoC standard and collect all feedback for adjustment. The GLOBALG.A.P. Board will consider adaptation requests and decide about the need of an edition update in 2016. To facilitate the process and to make this standard as practical as possible, please send your findings to [standard@globalgap.org](mailto:standard@globalgap.org)

## 2 DOCUMENTS

### 2.1 **NORMATIVE DOCUMENTS**

The following normative documents (and any other documents released as normative) are relevant to all applicants and GLOBALG.A.P. certificate holders seeking certification:

- a) GLOBALG.A.P. Certification and Sublicense Agreement: Contract between the CB and the company/producer. Sets legal framework in order to be granted the GLOBALG.A.P. Certification.
- b) GLOBALG.A.P. Certification and License Agreement: Contract between the CB and FoodPLUS.
- c) GLOBALG.A.P. Control Points and Compliance Criteria (CPCC): Document that sets the compliance requirements for the company/producer.

NOTE: Where guidelines included in the CPCC document to guide the company/producer to comply with the requirements are **not** normative documents.

- d) GLOBALG.A.P. Checklist – Chain of Custody: This document is used for all inspections and self-assessments.
- e) GLOBALG.A.P. General Regulations (this document): Defines how the certification process works as well as the requirements for quality management systems and related issues.
- f) GLOBALG.A.P. Data Access Rules.

### 2.2 **Document Control**

- a) The latest versions of all normative documents can be downloaded free of charge from the GLOBALG.A.P. website.
- b) Language: Original documents are in English. GLOBALG.A.P. documents will be translated into other languages and published on the GLOBALG.A.P. website. Once published, these official GLOBALG.A.P. documents will be the only ones that may be used for certification in that language. In case of discrepancy between translations, the English version shall prevail.
- c) After a thorough translation review by GLOBALG.A.P., the relevant Committees may grant normative status to translated standard documents on a case-by-case basis. This status will be indicated on the documents.
- d) For detailed information of the modifications, please contact the GLOBALG.A.P. Secretariat for the document history.

- e) Changes to documents.
1. Normative documents are identified with a unique document code and a version number and date.
  2. The date in the version name indicates the date of publication of the document. The date in the "Edition Update Register" indicates the date when the document comes into effect.
  3. Version number: A change in the first or second digit (e.g. change from 4.x to 5.0; or 5.0 to 5.1) indicates a version change and affects the accreditation of the standard. A change in other digits (e.g. change from 5.0 to 5.0-1) indicates updates that do not affect the accreditation of the standard. When the changes do not affect the accreditation of the standard, the version will remain "5.0" and edition update shall be indicated with "5.0-x" (e.g. "5.0-1").
  4. Updates can be made independently in the GR and CPCC documents, but a version change will affect all normative documents.
  5. The updates will be sent to all GLOBALG.A.P. approved CBs as official communications. It is the responsibility of the CBs to inform their clients of such updates.
  6. Modifications to normative documents are indicated in the "Editions Update Register".

### **3 CERTIFICATION OPTIONS**

Applicant company can apply for certification under one option: individual certification under GLOBALG.A.P. Chain of Custody.

Note: group certification (option 2) is not allowed in this Chain of Custody Standard. However, an IFA certified producer group (option 2) might receive a CoC certificate. In this case, the option 2 certificate holder receives the CoC certificate as a single legal entity. The producer member of the group cannot apply for CoC certification within its own group. Within the option 2 producer group, the QMS shall secure traceability and segregation.

#### **3.1 Option 1 – Individual Certification**

- a) Individual company applies for certification (GLOBALG.A.P. CoC).
- b) The individual company will be the certificate holder once certified.

##### **3.1.1 Option 1 – Single site**

- a) Individual company including one production, processing, handling, storage or administrative site must be certified as one legal entity with one GLOBALG.A.P. Number (GGN or CoC Number).

##### **3.1.2 Option 1 – Multisite**

- a) Individual company owns several production, processing, handling, storage or administrative sites that do not function as separate legal entities.
- b) In case of multi-site certification, all locations where certified products are processed, handled, stored or administered must be inspected internally and externally and certified. This is applicable for sub-contractors and for the administrative sites of brokers that do not touch the product.
- c) Sampling of locations for internal and external inspection is not allowed.
- d) All locations will be registered under one legal entity with one GLOBALG.A.P. Number (GGN or CoC Number).

### **4 REGISTRATION PROCESS**

#### **4.1 Certification Bodies**

- a) The applicant shall, as a first step, choose a GLOBALG.A.P. approved certification body. Contact information on approved and provisionally approved CBs is available on the GLOBALG.A.P. website. It is the responsibility of the applicant to verify whether the chosen CB is approved for the relevant scope and standard (i.e.: CoC).
- b) The applicant must register with an approved CB or farm assurer as the first step towards obtaining a GLOBALG.A.P. Certificate.



- c) The CB is responsible for the inspection and certification process, the database registration and for collecting the fees defined by GLOBALG.A.P.
- d) The database trustee is responsible for data handling and registration process in the GLOBALG.A.P. Database. The CB is database trustee by default.

## 4.2 Registration

### 4.2.1 General

- a) The application must cover at least the information detailed in Annex I.2 (GLOBALG.A.P. registration data requirements). By registering, the applicant commits to comply with the obligation set in the Annex, including:
  - (i) Compliance with the certification requirements at all times.
  - (ii) Payment of the applicable fees established by GLOBALG.A.P. and by the CB.
  - (iii) Communication of data updates to the CB.
  - (iv) The terms and conditions of the Sub-License and Certification Agreement.
- b) This information will be used by GLOBALG.A.P. to supply the applicant with a unique GLOBALG.A.P. Number.
- c) The GLOBALG.A.P. Number (GGN) is the combination of the 'GGN' prefix, followed by a 13-digit numerical number, not including the GLOBALG.A.P. trademark and is unique to each and every producer and any other legal entity in the GLOBALG.A.P. System (GLOBALG.A.P. Database).
- d) The Chain of Custody Number (CoC Number) is the combination of the 'CoC' prefix followed by a 13-digit numerical number, not including the GLOBALG.A.P. trademark and is unique to each and every company and any other legal entity in the GLOBALG.A.P. System (GLOBALG.A.P. Database).
- e) The GGN identifies a registered or certified producer that produces and/or initially packs or processes the product.
- f) The CoC Number identifies a registered or certified CoC company that handles, processes, stores or trades with the certified product post-farm.
- g) The GGN and CoC Number will be used as a unique identifier for all GLOBALG.A.P. activities.
- h) GLOBALG.A.P. claim means when the company claims and/or markets that a process, service or a product complies with requirements of the GLOBALG.A.P. Standard. This includes on-product labeling with the QR Code Logo, the GGN or with the CoC Number.
- i) Any objective evidence found that indicates that the applicant has been misusing the GLOBALG.A.P. claim shall lead to the exclusion of the applicant from certification for 12 months after evidence of misuse. In addition, the applicants will be listed and the list must be checked before registration in the database. Any case of misuse shall be communicated to the GLOBALG.A.P. members.
- j) Confidentiality, data use and data release:
  - (i) During registration applicants give access to the GLOBALG.A.P. Secretariat/FoodPLUS and the certification bodies to use the registration data for internal processes and sanctioning procedures.
  - (ii) All data in the GLOBALG.A.P. Database is available to GLOBALG.A.P., the certification body, which the company/producer is working with, and can be used for internal processes and sanctioning procedures.
  - (iii) Minimum and obligatory data release level is defined by the Data Access Rules and available on [www.globalgap.org](http://www.globalgap.org). These are at the minimum: the GGN, CoC Number, GLOBALG.A.P. Certificate no., scheme, version, option, CB, AB, scope, products and status, attributes related to the scope (e.g.: labeling done?), the certificate holder's company name and address (excluding street name and house number), site addresses, validity are available to the public.
  - (iv) If an applicant does not agree to the minimum release, the applicant is not in agreement with the Sub-License and Certification Agreement and cannot be certified.
- k) The service contract between the CB and the company/producer may be valid for up to 4 years, with subsequent renewal for periods of up to 4 years. The service term shall be included in the Sub-License and Certification Agreement

- l) An applicant company:
  - (i) May not register products in one scope (crops, livestock, aquaculture) with different CBs, but may use different CBs for different scopes (e.g.: it is possible to register, apples/crops with one CB and salmon/aquaculture with another CB or both products with the same CB).
  - (ii) May not register the same product with different certification bodies.
  - (iii) May not register a site multiple times for the same scope.
  - (iv) May not register a site as belonging to different companies at the same time (i.e. a site belonging to or owned by a company cannot be registered as a separate and independent company again).
  - (v) May not register sites in different countries with any CB. The GLOBALG.A.P. Secretariat may grant exceptions on a case-by-case basis or within national interpretation guidelines (if made available).

#### 4.2.2 Registration with a new CB

- a) When an applicant company that has already been registered, changes CB or applies to a new CB for certification of a different scope, the applicant must communicate the existing GGN or CoC Number assigned by GLOBALG.A.P. to the new CB. Failure to do this will result in a surcharge of the registration fee of EURO 100 to a single applicant.
- b) Certificate holders who are sanctioned cannot change CB until the outgoing CB closes out the corresponding non-conformance or until the sanction penalty period is over.

#### 4.3 Acceptance

- a) For the registration to be accepted, the applicant must satisfy **all** the following conditions:
  - (i) Submit to the CB the relevant application that shall include all the necessary information.
  - (ii) The applicant shall have formally committed to comply with the obligations indicated above.
  - (iii) Sign acceptance of the Sub-License and Certification Agreement with the CB, OR the applicant shall explicitly acknowledge the receipt and the inclusion of the Sublicense and Certification Agreement with his/her signature on the service contract/agreement with the CB and the CB must hand over a copy of the Sub-License and Certification Agreement to the company/producer.
  - (iv) Be assigned a GGN or CoC Number.
  - (v) To pay the GLOBALG.A.P. registration fee, as explained in the current GLOBALG.A.P. fee table (available on the GLOBALG.A.P. website).
- b) The registration and acceptance process must be finalized before inspection can take place.
- c) For first registration: the CB shall confirm the acceptance of the application and provide the applicant with the GGN or CoC Number within 28 calendar days from receiving the completed application.

#### 4.4 Application, Certification Scope and limitations

- a) The scope of the CoC certification covers the whole supply chain and is applicable for crops, livestock, and aquaculture products. A company in the supply chain may only sell the product as being GLOBALG.A.P. certified when product is derived from a certified process.
- b) For fruit and vegetables, the scope of the CoC certification covers non-processed products such as packed and whole fruits or vegetables and excludes processed products such as fruit salad, juice, salad mix, etc.
- c) For livestock beyond the slaughtering stage (fresh cut meat) this CoC standard may only be inspected and certified in combination with a GFSI post farm gate standard.
- d) For aquaculture, the animal welfare related control points are applicable for companies where live fish is handled and includes the fish slaughter conditions (see: CoC CPCC chapter 11 and 12).
- e) The scope of the CoC certification covers the handling, storage, processing and trading process of the GLOBALG.A.P. certified products from the farm until the retail distribution center. Each company who is legally responsible for the production, processing, packing, trading, transport, slaughtering or sales of GLOBALG.A.P. certified products shall be included in the CoC certification.

- f) The CoC certified entities/companies might be producers, processors, packers, traders, brokers, wholesalers, slaughterhouses, retail distribution centers and the subcontractors (service providers) of these companies.
- g) The retail distribution center shall also be CoC certified when labeling or re-labeling is done with the GGN and/or CoC number.
- h) For GLOBALG.A.P. CoC Certification, the term “certified entity” or “certified company” is defined as follows: a person (individual) or business (individual) who is legally responsible for the production, processing, packing, trading, slaughtering or sales of GLOBALG.A.P. certified products relevant to the scope, and the subcontractors of these companies.
- i) The subcontractors (service providers, e.g.: packaging companies, transport company, etc.) may not own the product during production, processing, packing, trading, logistics or slaughtering, but may work on behalf of the product owner. Subcontractors may be included in the scope of the certification of the product owner and therefore may not be CoC certified individually by default.
- j) However, subcontractors (service providers), may also be certified individually and receive own CoC certificate independently of the legal ownership of the certified product. This gives the possibility to the product owner that by requiring CoC certification, their subcontractors are controlled concerning the scope of this standard.
- k) Subcontracted activities that fall within the scope of the CoC certification shall be declared during registration to allow the CBs to schedule inspections at these premises (e.g.: subcontracted storage, labeling, processing, etc.).
- l) The CoC certification scope of a producer shall not include the same production process of a product that is already GLOBALG.A.P. Integrated Farm Assurance (IFA) certified; i.e., it is not possible to certify the farm for growing and packing apples under both IFA and CoC.
- m) The CoC certification scope may include a product that is not grown/produced on the farm (i.e.: externally purchased) and where the producer acts as a trader or service provider. E.g.: It is possible to certify the farm for growing and packing apples under IFA and certify purchased pears’ packing for CoC.
- n) All products covered by the GLOBALG.A.P. product list, published on the GLOBALG.A.P. website could be included in the scope of the CoC certification.

## 4.5 Burden of Proof

- a) In the case of information (e.g. mislabeling, false claims, exceeded MRL, microbial contamination, etc.) bearing potential impact on the certified status/claim is transmitted to the GLOBALG.A.P. Secretariat about a GLOBALG.A.P. certified entity, it is the responsibility of the certified entity to refute the claim by verifying and providing evidence for compliance with the GLOBALG.A.P. Standard.

In these cases:

- (i) If the CB conducts the investigation, the findings and actions taken will be reported to the GLOBALG.A.P. Secretariat, or
  - (ii) If the retailer or owner of the product conducts their own investigation, they shall report the findings back to the GLOBALG.A.P. Secretariat who in turn will inform the CB to take appropriate action.
  - (iii) GLOBALG.A.P. will give the certified entity a certain amount of time to do this.
  - (iv) If the CB does not deem the supplied evidence by the legal entity adequate, the CB will issue a sanction and will follow the normal sanctioning procedures as described in this document.
- b) Certified entities are required to have full traceability in place including mass-balance, segregation and any others records needed to verify and check the case. In case the evidence includes laboratory analyses, accredited laboratories (ISO 17025) and independent sampling must be included.



## 5 ASSESSMENT PROCESS

In order to achieve certification, a registered company shall perform a self-assessment (self-inspection) and receive external inspections by the chosen certification body.

### 5.1 Option 1 – Single Sites and Multisites

- a) This section is applicable to applicants that are single legal entities (individual producer or company) with single sites or multiple sites that are not separate legal entities and are all centrally managed by the applicant.
- b) **Summary of assessments** to be undertaken before a certificate is issued (Initial Inspection) and annually thereafter (Surveillance Inspection):

	<b>Initial Evaluations and Subsequent Inspections</b>
<b>Self-assessments by the company</b>	1. Entire scope (all registered sites)
<b>Externally by the CB</b>	2. Announced inspection of entire scope (all registered sites) 3. Chance for unannounced inspection of (minimum 10% of all certificate holders)

#### 5.1.1 Self-Assessments

- a) The self-assessment shall:
  - (i) Cover all sites, products and processes under the certification scope and comply with the requirements set in the applicable control points.
  - (ii) Be carried out under the responsibility of the applicant/certified company.
  - (iii) Be carried out at least annually before the initial or surveillance inspections against the complete checklist of all relevant scope(s) and registered areas. The completed checklist must be available on-site for review at all times.
  - (iv) Comments, evidences, corrective actions and positive findings during the self-assessment shall be recorded as described by the checklist.

#### 5.1.2 External Inspections

- a) The inspection (announced and unannounced) shall be carried out by a CB inspector (see CB inspector requirements in Part III).
- b) The CB shall inspect the complete checklist (Major Musts, Minor Musts and Recommendation) of the applicable scope(s).

##### 5.1.2.1 Announced Inspections

- (i) Each company shall undergo one announced external inspection at the initial assessment and thereafter once per annum.
- (ii) The inspection shall cover:
  - a) All GLOBALG.A.P. certified products
  - b) All processes and sites handling or dealing with certified products.

##### 5.1.2.2 External Unannounced Surveillance Inspections

- (i) The CB shall carry out unannounced surveillance inspections annually of a minimum of 10% of all certified producers and companies the CB has certified under Option 1.
- (ii) The CB shall inspect all applicable control points. Any non-conformance will be handled in the same way as those found during an announced inspection.

- (iii) The CB will inform the company in advance of the intended visit. This notification will normally not exceed 48 hours (2 working days). In the exceptional case where it is impossible for the company to accept the proposed date (due to medical or other justifiable reasons), the company will receive one more chance to be informed of an unannounced surveillance inspection. The company shall receive a written warning if the first proposed date has not been accepted. The company will receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a suspension will be issued.

## 5.2 Inspection timing

The self-assessment and the CB inspection shall be done at a time when handling, processing, storage and/or relevant activities are being carried out. Inspection timing shall allow the CB to gain assurance that all products, even if not present at the time of inspection, are handled in compliance with the certification requirements. Inspections off-season or when the activities are minimal shall be avoided.

### 5.2.1 Initial (First) Inspections

- a) This section is applicable to an applicant seeking GLOBALG.A.P. certification for the first time, to an already certified entity changing to a new CB or when adding a new type of process to the GLOBALG.A.P. Certificate.
- b) No inspection can take place until the CB has accepted the applicant's registration.
- c) For the first time, **each process** for the products to be sold as certified **must be completely assessed** (all applicable control points must be verified), **prior to issuing the certificate**.
- d) Where the applicant company has not yet started to trade with certified products, the system shall be demonstrated by examples, mock-tests, etc.
- e) The applicant must have records and the CB must inspect them:
  - (i) From registration date onwards, and
  - (ii) For at least 3 months before the first inspection takes place.

### 5.2.2 Subsequent Inspections

- a) GLOBALG.A.P. certified products and/or related operational records need to be present during the inspection.
- b) The subsequent inspection can be done any time during an "inspection window" that extends over a period of 8 months: from 4 months before the original expiry date of the certificate, and (only if the CB extends the certificate validity in the GLOBALG.A.P. Database) up to 4 months after the original expiry date of the certificate.  
*Example: 1st certification date: 14 February 2015 (expiry date: 13 February 2016). 2nd inspection can be at any time from 14 October 2015 to 13 June 2016, if the certificate validity is extended.*
- c) There shall be a minimum period of 6 months between 2 inspections for recertification.

### 5.2.3 Extension of the certification scope

- a) The scope of the certificate, the included processes and products may be changed during the validity of the certificate.
- b) The certified company shall inform the CB about any changes affecting the scope of the CoC certificate. This may include adding or withdrawing new processes, products, scopes and locations.
- c) The certified company shall perform a self-assessment covering the changes.
- d) The CB shall evaluate the changes and decide whether a new on-site inspection shall take place or not. The CB shall register the changes and if necessary, update the database and reissue the certificate.

## 6 CERTIFICATION PROCESS

### 6.1 Non-compliance and non-conformance

- a) **Non-compliance** (of a Minor Must control point): A GLOBALG.A.P. Control Point in the checklist is not fulfilled according to the Compliance Criteria.
- b) **Non-conformance (of the GLOBALG.A.P. Certification Rules)**: A GLOBALG.A.P. rule that is necessary for obtaining the certificate (see 6.2) is infringed. E.g.: all the Minor Must control points are failed.
- c) **Contractual Non-Conformances**: Breach of any of the agreements signed in the contract between the CB and the company related to GLOBALG.A.P. issues.
  - (i) CB can impose a suspension of all products.  
Case examples: trading with a product that does not comply with legal requirements; false communication by the company regarding GLOBALG.A.P. Certification; GLOBALG.A.P. trademark misuse; or payments are not made following contractual conditions; etc.

### 6.2 Requirements to achieve and maintain GLOBALG.A.P. Certification

Control Points and Compliance Criteria consist of three types of control points: Major Musts, Minor Musts and Recommendations. To obtain GLOBALG.A.P. CoC Certification the following are required:

**Major Musts:** 100% compliance of all applicable Major Must control points is compulsory.

**Minor Musts:** The present Chain of Custody Control Points and Compliance Criteria have only 4 Minor Musts in the aquaculture relevant part. The company is allowed to fail with one Minor Must control point to still achieve certification, provided that all the Major Musts are complied with.

95% compliance of all applicable Minor Must control points is compulsory. Minor Musts are included only in the aquaculture relevant part in the Chain of Custody control points.

Comments, evidences, positive findings, negative findings, corrective action or corrections shall be recorded for all control points. This is obligatory for internal as well as external assessments.

**Recommendations:** No minimum percentage of compliance.

#### 6.2.1 Minor Must Compliance Calculation

For the sake of calculation, the following formula shall apply:

$$\left\{ \begin{array}{l} \text{(Total number of} \\ \text{Minor Must} \\ \text{control point)} \end{array} - \begin{array}{l} \text{(Not Applicable} \\ \text{Minor Musts control} \\ \text{points scored)} \end{array} \right\} \times 5\% = \begin{array}{l} \text{(Total Minor Must} \\ \text{control point} \\ \text{Non-compliance} \\ \text{allowable)} \end{array}$$

#### 6.2.2 Applicable Control Points

- a) The control points to be taken into consideration to calculate the percentage of compliance for Major and Minor Musts depend on the product and certification scope. The applicant shall ensure that each individual site and product comply with the certification requirements. Thus, the compliance percentage shall be calculated taking into account all the control points applicable to each site and product. A full checklist shall be completed internally and externally for each individual company summarizing the inspection result for all sites.
- b) In a multisite operation compliance level is calculated for the entire operation in one checklist. Any applicable control point common to all sites (i.e. a packinghouse) needs to be taken into account for all sites.

### 6.3 Certification Decision

- a) The CB shall make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances.
- b) For the case of **initial** inspection:  
In case no non-conformances are detected, the certification decision, issuing the certificate, and registering the certificate in the GLOBALG.A.P. Database shall be done within 28 days after the inspection has been concluded.

In case non-conformances are detected, the company/producer has 28 days to submit corrective actions. The CB needs to review the corrective action and make a certification decision within 28 days after the corrective actions have been submitted. The decision can be a positive certification decision or an 'open non-conformity' status in the database.

When the status is set to 'open non-conformity', the company/producer has 3 months to submit corrective actions after the inspection. The 3 months is counted from the last day of the inspection. The CB has 28 days to evaluate the submitted corrective actions and make a positive or negative certification decision. In case it is negative the CB needs to do a new on-site inspection and the status stays as 'open non-conformity'. Therefore, the maximum time period between an initial inspection and the certification decision is 3 months + 28 days (because if the time period is longer than that, the CB need to make a new inspection).

c) For the case of **subsequent** inspections:

In case there were no non-conformances during a subsequent inspection, the certification decision, issuing the certificate and registering the certificate in the GLOBALG.A.P. Database shall be done within 28 days after the inspection has been concluded.

In case there were non-conformances during a subsequent inspection, the (positive) certification decision shall be done within 28+28 days after the inspection has been concluded. The first 28-day period is given to the producer/company to submit corrective action and the second 28 days period is for the review of the evidence submitted and for the certification process. This means that a maximum of 56 days are allowed after a subsequent inspection where non-conformances were detected to update the status of the company/producer to "re-certified".

However, when the review result of the submitted evidences is negative (or when the company/producer did not submit anything), the suspension shall be done within 28 days after the inspection has been concluded.

When the non-conformances are identified during the report review (and not during the inspection), the 28 days counts from date the non-conformances is communicated to the company/producer.

d) For the case of company/producer transfer (when the company/producer has a valid certificate)  
In case of transfer between CBs, the 3 months+28 days deadline may be exceeded. The incoming CB needs to wait with the re-certification until the certificate of the outgoing CB expires.

e) Any complaints or appeals against CBs will follow the CB's own complaints and appeals procedure, which each CB must have and communicate to its clients. In case the CB does not respond adequately, the complaint can be addressed to the GLOBALG.A.P. Secretariat using the GLOBALG.A.P. complaint form, available on the GLOBALG.A.P. website ([www.globalgap.org](http://www.globalgap.org)).

## 6.4 Sanctions

- a) When a non-conformance is detected, the CB shall apply a sanction for the whole legal entity (Warning, Suspension of a product or Cancellation) as indicated in this section.
- b) The company cannot change CB until the non-conformance that led to the respective sanction is satisfactorily closed out.
- c) ONLY the CB that has issued the sanction is entitled to lift it, provided there is sufficient and timely evidence of corrective action (either through a follow-up visit or other written or visual evidence).

### 6.4.1 Warning

- a) A warning is issued for all types of non-conformance detected.
- b) If there is a non-conformance detected during the inspection, the company must be served a warning when the inspection is finalized. This is a provisional report that could be overridden by the CB certification authority.
- c) Initial inspection:
  - (i) Outstanding non-conformances shall be closed within three months from the date of inspection.
  - (ii) If the cause of the warning is not resolved within three (3) months, a complete inspection must be performed before a certificate can be issued.

- d) Subsequent inspection:
  - (i) Outstanding non-conformances shall be closed within 28 calendar days.
  - (ii) If the non-conformance is against a **Major Must**, a 28 calendar day period is given for compliance before suspension is applied.
  - (iii) If the cause of the warning is not resolved within the period set (maximum of 28 days), a suspension is imposed.

## 6.4.2 Scope Suspension

- a) A suspension can be applied to one, several or all of the scopes covered by the CoC certificate.
- b) A scope cannot be partially suspended for an individual company; i.e. the entire scope must be suspended.
- c) During the period of suspension, the company will be prohibited from using the GLOBALG.A.P. claim including the logo/trademark, license/certificate or any other type of document that is in any way linked to GLOBALG.A.P. in relation to the suspended scope.
- d) If the company notifies the CB that the non-conformance is resolved before the set period, the respective sanction will be lifted, subject to satisfactory evidence and closing out.
- e) The suspension will not delay the renewal date, nor will it allow the company to avoid paying registration and other applicable fees.
- f) If the cause of the suspension is not resolved within the set period, a scope cancellation is imposed.
- g) Two types of suspensions exist and these are explained below.

### 6.4.2.1 Self-declared Suspension

- (i) A certified company may voluntarily ask the respective CB(s) for a suspension of one, several or all of the scopes covered by the certificate (unless a CB has already imposed a sanction). This can occur if the company experiences difficulty with compliance to the standard and needs time to close out any non-compliance.
- (ii) The company's status shall change to "Self-declared Suspension" on scope level.
- (iii) The deadline for closing non-conformance is set by the declaring company, which must be agreed upon with the respective CB(s) but must be closed out before the CB may lift the suspension.

### 6.4.2.2 Certification Body Declared Suspension

- (i) CBs can issue and lift scope suspensions to certified entities.
- (ii) CB shall issue a suspension when the company cannot show evidence of implementation of effective corrective actions after a warning has been issued.
- (iii) The CB can issue a suspension for certain scope or for all scopes of the certified entity.
- (iv) After the suspension is applied, the CB will set the period allowed for correction.

## 6.4.3 Cancellation

- a) A cancellation of the contract shall be issued where:
  - (i) The CB finds evidence of fraud and/or lack of trust to comply with GLOBALG.A.P. requirements, or
  - (ii) The company cannot show evidence of implementation of effective corrective action after a CB declared suspension, or
  - (iii) When there is a contractual non-conformance.
- b) A cancellation of the contract will result in the total prohibition (all scopes, all sites) of the use of the GLOBALG.A.P. claim including the logo/trademark, license/certificate, or any device or document may be linked to GLOBALG.A.P.
- c) The company that has received a cancellation shall not be accepted for GLOBALG.A.P. Certification within 12 months after the date of cancellation.



## 6.5 Notification and Appeals

- a) The company must either resolve the non-conformances communicated or appeal to the CB in writing against the non-conformances, explaining the reasons for the appeal.
- b) If the non-conformances are not resolved within the permitted period, the sanction will be escalated.

## 6.6 Sanctioning of Certification Bodies

- a) GLOBALG.A.P. reserves the right to sanction CBs based on evidence of not following procedures or clauses of the Certification and License Agreement signed between GLOBALG.A.P. and the CB (refer to General Regulations Part III if more information is required).

## 6.7 GLOBALG.A.P. Certificate and Certification Cycle

- a) A certificate is not transferable from one legal entity to another when a company changes legal entity. In this case an initial inspection is required.
- b) The certification cycle is 12 months subject to any sanctions and extensions in accordance with the scope described.

### 6.7.1 Certificate Information

- a) The paper certificate issued by a CB must conform to the CoC certificate template (Annex I.3). The format may be different, but it must include the same information.
- b) The paper certificate is valid only when it matches the information available in the GLOBALG.A.P. Database for that unique certified company.
- c) The paper certificate issued by a CB must be in English. Additional language may be added.
- d) Date of Certification: Date when the CB makes the certification decision after all non-conformances are closed out (e.g. 14 February 2014).
- e) Valid from:
  - (i) Initial Inspection: The initial date of validity will be the date when the CB makes the certification decision (e.g. 14 February 2014).
  - (ii) Subsequent Inspections: The valid from date for subsequent certificates issued shall always revert to the valid from date in the original certificate (e.g. 14 February 2014, 14 February 2015, etc.), except when the certification decision is made after the expiration of the previous certificate. In this case the valid from date must coincide with the date of certification decision. (e.g. previous certificate valid to date: 13 February 2014; Date of certification decision: 25 February 2014; Valid from date 25 February 2014; **Valid to date: 13 February 2015**).
- f) Valid to:
  - (i) Initial Inspection: Date valid from plus 1 year minus one day. The CB may shorten the certification cycle and the validity, but cannot prolong it.
  - (ii) Subsequent Inspections: The validity date for subsequent certificates issued shall always revert to the valid from date on the original certificate (e.g. 13 February 2014, 13 February 2015).

### 6.7.2 Extension of Certificate Validity:

- a) The validity may be extended beyond the 12 months (for a maximum period of 4 months) only under the following conditions:
  - (i) The product is re-accepted in the GLOBALG.A.P. Database for a full next cycle within the original validity period of the certificate.
  - (ii) The full registration fee shall be paid for the next cycle.
  - (iii) The certified company shall be re-inspected during that extension period.
- b) If a certificate that was not extended and not "re-accepted" expires and the subsequent inspection (to be performed by the same CB) is going to take place in less than 12 months after the expiration date, a valid justification must be given and a new certification cycle shall start. By setting the same "valid to" date as before, the old cycle can be reinstated. The cycle cannot be changed if the certificate was extended and a product "re-accepted" during the old certification period/cycle.

- c) The CB shall apply the rules for initial (first) inspection if the certificate expired for more than 12 months.

## 6.7.3 Maintenance of GLOBALG.A.P. Certification

- a) The registration of the company and the proposed relevant scopes must be re-confirmed with the CB annually **before** the expiry date. Otherwise the status will change from “Certified” to “Not confirmed”.

## 7 ACRONYMS AND REFERENCES

### 7.1 Acronyms

Acronyms that are used in this or in other relevant GLOBALG.A.P. documents.:

AB	Accreditation Body
CPCC	Control Point and Compliance Criteria
IFA	Integrated Farm Assurance
<b>CB</b>	<b>Certification Body / Crops Base in IFA</b>
CoC	Chain of Custody
TC/SHC	Technical Committee / Stakeholder Committee
QMS	Quality Management System
GFSI	Global Food Safety Initiative
GGN	GLOBALG.A.P. Number
GLN	Global Location Number by GS1

### 7.2 Reference Documents

- (i) GLOBALG.A.P. General Regulations
- (ii) ISO/IEC 17065 (2012) Conformity assessment — Requirements for bodies certifying products, processes and services
- (iii) IAF Guidance on the Application of ISO/IEC Guide 65:1996. Issue 2 (IAF GD 5:2006)
- (iv) ISO/IEC 17020:2004 General criteria for the operation of various types of bodies performing inspection.
- (v) ISO/IEC 17025:2005. General requirements for the competence of testing and calibration laboratories.
- (vi) ISO/IEC 17011 General requirements for accreditation bodies accrediting conformity assessment bodies.
- (vii) ISO 19011 Guidelines for quality and/or environmental management systems auditing.

## **ANNEX I.1 RULES FOR USE OF GLOBALG.A.P. AND EUREPGAP TRADEMARK AND LOGO**

GLOBALG.A.P. is the owner of the trademarks “GLOBALG.A.P.” and the logo collectively the “GLOBALG.A.P. trademark”.

The “QR Code Logo” refers to the designed Quick Response Logos owned by GLOBALG.A.P. shown below.

The certification body is expected to verify the correct use of the GLOBALG.A.P. trademark and the QR code logo at all times. Infringement of these rules could lead to sanctions.

### **1. GLOBALG.A.P. trademark and QR Code Logo**

- (i) The certification granted entitles the producer/company to distribute and market their products under the Trademark and, if applicable, under the QR Code Logo only to the extent these products have been registered with the CB and are produced, processed, handled or traded in a production site or location registered with the CB and are in full compliance with this standard.
- (ii) The company shall only use the Trademark and the QR Code Logo in connection with products/processes/services complying with the requirements of the GLOBALG.A.P. System.
- (iii) The GLOBALG.A.P. trademark shall never appear on the product, consumer packaging of the product (intended for human consumption), nor at the point of sale where in direct connection to single products.
- (iv) The QR Code Logo may appear on the product, consumer packing of the product or at the point of sale where it is in direct connection to certified products.
- (v) Producers and companies may only use the GLOBALG.A.P. trademark on pallets that only contain certified GLOBALG.A.P. products and that will NOT appear at the point of sale.
- (vi) GLOBALG.A.P. certified producers and companies may use the GLOBALG.A.P. trademark and the QR code logo in business-to-business communication, and for traceability, segregation or identification purposes on site at the production location.
- (vii) GLOBALG.A.P. retailer, associate and supplier members can use the trademark in promotional print-outs, flyers, websites, hardware, business cards and electronic displays (not directly linked to certified product) and in business-to-business communication.
- (viii) GLOBALG.A.P. approved Certification Bodies can use the trademark in promotional material directly linked to their GLOBALG.A.P. certification activities in business-to-business communication, and on GLOBALG.A.P. Certificates they issue. They may also use the QR code logo on GLOBALG.A.P. Certificates they issue.
- (ix) The GLOBALG.A.P. trademark shall never be used on promotional items, apparel items or accessories of any kind, bags of any kind, or personal care items.
- (x) The GLOBALG.A.P. trademark may be used on Compound Feed Manufacturing (CFM) certified feed, on GLOBALG.A.P. certified Plant Propagation Material, and on IFA certified aquaculture inputs (e.g.: ova, seedlings, etc.) that are used as inputs for the production of the final products (as listed in the GLOBALG.A.P. product list), are not intended to be sold to final consumers, and will not appear at the point of sale to final consumers.
- (xi) The company shall indicate when using the Trademark and the QR Code Logo that it is a GLOBALG.A.P. registered trademark.

### **2. Specifications**

- (i) The company shall only use the Trademark and, if applicable, the QR Code Logo in the manner provided by GLOBALG.A.P. and shall not alter, modify, or distort those in any way.
- (ii) The GLOBALG.A.P. logo must always be obtained from the GLOBALG.A.P. Secretariat. This will ensure that it contains the exact corporate color and format, as below:

# GLOBALG.A.P.®

(iii) The GLOBALG.A.P. QR Code Logos:



(iv) The embedded QR code may contain the following information:

- a. The GGN or CoC number of the producer or company that labels the product.
- b. A URL of GGN or CoC number validation website that is linked to the GLOBALG.A.P. Database.
- c. The URL of the GLOBALG.A.P. Database.
- d. The batch number of the product.
- e. Combinations of the above.

### 3. GLOBALG.A.P. Number, GGN AND COC NUMBER

- (i) The GLOBALG.A.P. Number (GGN) is the combination of the “GGN” prefix plus a 13-digit numerical number, **not** including the GLOBALG.A.P. trademark, and is unique to each and every **producer** and any other legal entity in the GLOBALG.A.P. System. For this number GLOBALG.A.P. uses existing Global Location Numbers (GLN) issued and to be purchased from the local GS1 organization ([www.gs1.org](http://www.gs1.org)) or alternatively – in its absence – GLOBALG.A.P. assigns its own interim GLN.
- (ii) The Chain of Custody Number (CoC Number) is the combination of the “CoC” prefix plus a 13-digit numerical number, **not** including the GLOBALG.A.P. trademark, and is unique to each and every Chain of Custody **company**. For this number GLOBALG.A.P. uses existing Global Location Numbers (GLN) issued and to be purchased from the local GS1 organization ([www.gs1.org](http://www.gs1.org)) or alternatively – in its absence – GLOBALG.A.P. assigns its own interim GLN

- (iii) The GLOBALG.A.P. Number (GGN) identifies a registered or certified producer, the CoC number identifies a company registered or certified for Chain of Custody and may only be used as indicated in the CPCCs. The GGN (e.g.: GGN\_1234567890123) and the CoC Number (e.g.: CoC\_1234567890123) may appear on the product, consumer packaging of the product or at the point of sale where in direct connection to individual certified products. It cannot be used to label product that is not certified.
- (iv) The legal entity that labels GGN or the CoC number shall be a holder of a valid GLOBALG.A.P. IFA, CFM, PPM, CoC or CoC equivalent standard certificate.
- (v) The GGN or the CoC number shall only be used in connection with the GLOBALG.A.P. System. It is prohibited to use it in any other context or in relation to third parties.
- (vi) The GGN or the CoC number may be used in (converted into) generic QR code or GLOBALG.A.P. QR code logo format.
- (vii) On termination of the Sub-License and Certification Agreement the right of the company to use the GLOBALG.A.P. claim including the Trademark, GGN, CoC number or the QR Code Logo terminates with immediate effect.
- (viii) Whenever a need arises to identify the organization in other contexts or additional applications, the organization may apply for their own GLN and report this number to GLOBALG.A.P., who shall register the organization under their own number and withdraw the GGN or the CoC number accordingly. The own GLN replaces the GGN or the CoC number in the GLOBALG.A.P. system.



## **ANNEX I.2 GLOBALG.A.P. REGISTRATION DATA REQUIREMENTS**

### **1. Types of Master Data required**

The CB must record the following data and the GLOBALG.A.P. Database needs to be updated accordingly (as required in the current database manual).

1.1 Company and location information

1.2 Site (previously called Production Management Unit /Product Handling Unit) information

1.3 Scope information

1.4 Checklist information

This information shall be updated regularly whenever there is a change. It must be update latest with the re-acceptance of the entity for the next certificate cycle and/or the re-certification.

#### **1.1 Company Information of Legal Entity**

The following information regarding the company (legal entity) is necessary to supply each applicant in the system with a unique GGN or the CoC number.

##### **1.1.1 Company**

- (i) Company name
- (ii) Contact details: street address
- (iii) Contact details: postal address
- (iv) Postal code
- (v) City
- (vi) Country
- (vii) Phone number (if available)
- (viii) Fax number (if available)
- (ix) E-mail address (if available)
- (x) GLN (if available, replaces the GGN or the CoC number)
- (xi) Legal registration by country. This number is only used for internal verification to avoid double registration (e.g., tax number, VAT number, company/producer number etc.)
- (xii) Previous GGN or the CoC number

##### **1.1.2 Contact person (responsible for legal entity)**

This is the information required for the person in the company who is legally responsible for the legal unit.

- (i) Title
- (ii) First name
- (iii) Last name
- (iv) Contact details: Street and postal address
- (v) Contact details: Postal address
- (vi) Postal Code
- (vii) City
- (viii) Country

- (ix) Phone number (if available)
- (x) Fax number (if available)
- (xi) E-mail address (if available, obligatory for inspectors)
- (xii) Roles (Responsible, Inspector, etc.)

If more persons need to be affiliated, their data can also be entered into the database (either by certification body or by the company/producer).

## 1.2 Multi-site company Information of Legal Entity

The following information regarding the company and its site(s) to be certified is necessary. This information is obligatory for multi-site certificates.

### 1.2.1 Site(s)

- (i) Company name and produce handling facility (if different)
- (ii) Contact details: Street address
- (iii) Contact details: Postal address
- (iv) Postal Code
- (v) City
- (vi) Country
- (vii) Phone number (if available)
- (viii) Fax number (if available)
- (ix) E-mail address (if available)
- (x) GLN or Sub-GLN(s) of the site(s) (if available)

### 1.2.2 Contact Person of the site (if applicable)

This is the information required for the user or person in the company who is legally responsible for the certification.

- (i) Title
- (ii) First name
- (iii) Last name
- (iv) Contact details: Street address
- (v) Contact details: Postal address
- (vi) Postal Code
- (vii) City
- (viii) Country
- (ix) Phone number (if available)
- (x) Fax number (if available)
- (xi) E-mail address (if available)

## 1.3 CoC Scope Information

This information gives more detail on the scope(s) to be certified and shall be used –among others- to invoice the entity. This information must be updated if there are any changes detected during the external inspections (to avoid incorrect invoicing).

- a) Scope(s)
- b) Subcontracted activities
- c) Option (only option 1 is applicable)
- d) Scheme name (if a benchmarked scheme; Options 3, per scope)
- e) Certification body(ies) used per scope
- f) Labeling done or not by the company?
- g) GFSI recognized (post-farm) certificate at the time of the inspection?
- h) The CB may additionally add a description of the scope of activities to the paper certificate.

## 1.4 Checklist Information

This information gives more detail on the inspection report linked to the certificate.

- a) Scope(s)
- b) Inspector
- c) Type of Inspection
- d) Checklist Version
- e) Inspection Report including checklist data (only after an upload system is made available by GLOBALG.A.P.)

## ANNEX I.3 CERTIFICATE TEMPLATE FOR GLOBALG.A.P. CHAIN OF CUSTODY



CoC Number: CoC\_XXXXXXXXXXXXXXXXXXXX<sup>3</sup>

Registration number of company (from CB) XXXXXXXX<sup>4</sup>

# GLOBALG.A.P.<sup>5</sup>

## CERTIFICATE

According to  
**GLOBALG.A.P. Chain of Custody** Version xx<sup>6</sup>

Issued to

Company/Producer  
Company name, Address<sup>7</sup>

**Country of Production/Company location<sup>8</sup>**

The Annex contains details of the product handling or management units included in the scope of this certificate.<sup>9</sup>

The Certification Body [Company Name] declares that the company complies with the standard:

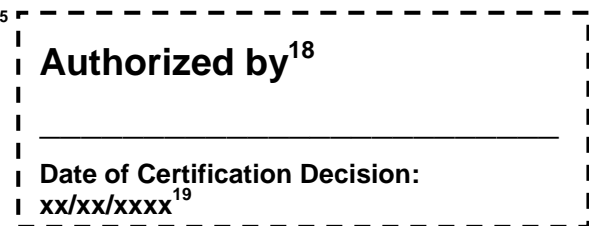
**GLOBALG.A.P. Chain of Custody - Control Points and Compliance Criteria** Version xx<sup>10</sup>

Scope: Crops, Livestock, Aquaculture <sup>11</sup>	Product labelling? <sup>12</sup>	GFSI recognized (post-farm) certificate at the time of the inspection? <sup>13</sup>	Process description <sup>14</sup>
			Free text field may be used.

Date of Issuing (printing date of certificate): xx/xx/xxxx<sup>15</sup>

Valid from: xx/xx/xxxx<sup>16</sup>

Valid to: xx/xx/xxxx<sup>17</sup>



The current status of this certificate is always displayed at: <http://www.globalgap.org/search><sup>20</sup>

## ANNEX for CoC Number xxxxxxxxxxxxxxxx<sup>21</sup>

Date of Issuing: xx/xx/xxxx<sup>15</sup>

---

## Sites and/or units of the multi-site operation<sup>22</sup>

(when multi-site certification)

Site name and address <sup>23</sup>	Product labelling? <sup>12</sup>



## Notes

The certificate shall be in English. You may add a second language in the certificate.

- <sup>1</sup> Certification Body (CB) Logo shall appear on all certificates.
- <sup>2</sup> Accreditation Body (AB) symbol/accreditation mark is placed on all accredited certificates in conformity with AB's rules. Exception: When the CB is approved, but not yet accredited the following text must appear instead of the AB symbol: "Certificate issued by a GLOBALG.A.P. approved Certification Body [Company name], but not accredited to the GLOBALG.A.P. Scope according to ISO 65/EN45011/ISO 17065 rules" **or** only "Non-accredited certificate". The AB logo can only be used when the scope of the accreditation of the CB cover the GLOBALG.A.P. CoC.
- <sup>3</sup> GLOBALG.A.P. CoC Number shall appear on all certificates. In case a certificate holder owns a Global Location Number (GLN), this number shall replace the CoC Number. The "GLN" or "own GLN" may be used instead of "CoC".
- <sup>4</sup> The registration number of a company/producer or producer group, which is assigned by the CB **may** (voluntary) appear on all certificates. It consists of the CB-Short and a number (with exactly one space character between, CB-Short xxxxxxxxxxxx).
- <sup>5</sup> On accredited GLOBALG.A.P. Certificates: The GLOBALG.A.P. logo shall be added. Not-accredited provisionally approved CBs are not allowed to add the GLOBALG.A.P. logo.
- <sup>6</sup> Please enter "GLOBALG.A.P. Chain of Custody Version 5.x". Always mention the version used.
- <sup>7</sup> Name of the certificate holder and the address shall be printed on the paper certificate.
- <sup>8</sup> Country of the company location.
- <sup>9</sup> Applicable only if certificate refers to a multisite certificate. All sites of the multisite operation shall be listed in the Annex. When the certificate holder company is a single-site operation the text and the Annex can be omitted.
- <sup>10</sup> "GLOBALG.A.P. Chain of Custody Control Points and Compliance Criteria Version 5.x". Always mention the version used.
- <sup>11</sup> Scope(s) of which the production process is certified must always be listed: Crops, Livestock, Aquaculture.
- <sup>12</sup> Indicate (yes/no) when on-product labeling or re-labeling is done by the company.
- <sup>13</sup> Is the company certified to a GFSI recognized (post –farm) food safety system at the time of this CoC inspection? Yes/No
- <sup>14</sup> Process description. This is a free text field that **may** (voluntary) be used by the CB to describe the certified process (e.g. storage, sorting and sales of fresh vegetables).
- <sup>15</sup> Date of Issuing is the printing date of the paper certificate. It shall be added to the first page of the certificate and to the Annex to connect each other.
- <sup>16</sup> The certificate "Valid from" date defines the beginning of a certification cycle.
- <sup>17</sup> The certificate "Valid to" date is the expiry date of the certificate.
- <sup>18</sup> The first and the last name of the person who has authorized the certificate, it shall be written in block letters. This person must sign the certificate.
- <sup>19</sup> "Date of Certification Decision" shall appear on all certificates. It is the date when the Certification Committee makes the certification decision.

- <sup>20</sup> This note (“The current status of this certificate is always displayed at: <http://www.globalgap.org/search>”) shall be added to all paper certificates to point out that only a validation in the GLOBALG.A.P. Database proves the current status of the certificate.
- <sup>21</sup> The Annex (including the CoC number of the certificate holder) must be added. When the certificate holder company is a single-site operation the Annex is not applicable.
- <sup>22</sup> When the certificate holder company is a multi-site operation the sites/units shall be listed in a table.
- <sup>23</sup> Name and address of the sites/units of the multi-site operation shall appear in the list.

## **GR PART II – RULES FOR OPTION 2 AND OPTION 1 MULTISITES WITH QMS**

Not applicable.

## **GR PART III – CERTIFICATION BODY AND ACCREDITATION RULES**

1. Until GLOBALG.A.P. General Regulations (GR) Version 5. has been published, use the generic GLOBALG.A.P. General Regulations Version 4.
2. Wherever the word ‘producer’ is used replace it with ‘company/producer’.
3. Excerpt and amendments to GLOBALG.A.P. General Regulations version 4:  
3.2 d), e), f) and g) (in-house trainer) applies only when the CoC in-house training program has been made available.

### **General Regulations (GR) version 4. ANNEX III.1: GLOBALG.A.P. CB INSPECTOR QUALIFICATIONS for CoC**

GR Annex III.1 points 1., 2., 3.1 and 3.2 does not apply to CoC inspectors inspecting only the CoC CPCC chapter 1.-10.

Inspectors inspecting CoC CPCC chapter 11. (Transport condition from harvest to processing) and chapter 12. (Post-harvest operations) also need to comply with GR Annex III.1. points 1., 2., 3.1 and 3.2 for the relevant aquaculture sub-scope.

#### **3.3 Communication Skills**

- a) “Working language” skills in the corresponding native/working language. This must include the locally used specialist terminology in this working language.
- b) Exceptions to this rule must be consulted and confirmed in writing beforehand with the GLOBALG.A.P. Secretariat.

#### **3.4 Initial Training before Sign-off by the CB**

- a) The applicant inspector shall observe minimum one CoC inspection.
- b) The CB shall witness (as the minimum) one CoC inspection by an already qualified CoC inspector.
- c) For the CB’s first inspector the CB’s internal procedures apply.

#### **3.5 Maintenance of Competency**

- a) The CB must have in place a procedure to ensure that annually every inspector conducts at least 5 inspections or 10 inspection days, at a number of different companies/producers, against the relevant GLOBALG.A.P. Standard, to maintain scheme knowledge and to stay registered on the GLOBALG.A.P. Database.
- b) Witness inspections shall also be acceptable to maintain competency.
- c) Exceptions to this rule, e.g., when the CB does not have a total of 5 clients, must be consulted and confirmed in writing beforehand with the GLOBALG.A.P. Secretariat.
- d) The CB shall carry out a GLOBALG.A.P. witness inspection and/or re-inspection for each of its GLOBALG.A.P. inspectors at least once every 4 years to verify competence.

- e) These requirements are not valid for those Scheme Managers who does not carry out inspections.
- f) If it is not possible to maintain competency from one year to the other, GR Annex III.1, point 3.4 will apply.

### 3.6 Subsequent Chain of Custody (CoC)

- a) All inspectors who are set to inspect subsequent post-harvest handling against the GLOBALG.A.P. CoC Standard must be registered as GLOBALG.A.P. online trainees and pass the CoC online exam (when made available by GLOBALG.A.P.).
- b) Inspectors without the GLOBALG.A.P. scope-specific inspector qualification requirements can inspect Chain of Custody for subsequent post-harvest handling units.

These inspectors need to:

- (i) Have general knowledge of traceability.
- (ii) Be able to do mass balance evaluation.
- (iii) Be already qualified for another ISO 65 accredited food, feed, forestry, aquaculture or agriculture related scheme.
- (iv) Have minimum of 2 years professional experience gained after finishing academic studies related to inspector/control activities.
- (v) *Not applicable for CoC version 5.*

## 4. Key Tasks

### 4.1 GLOBALG.A.P. Company/Farm Inspections

- a) Inspection of companies or producers to assess compliance with the GLOBALG.A.P. CoC Standard.
- b) To produce timely and accurate reports on such inspections in accordance with ISO 17065 and GLOBALG.A.P. timelines and system requirements.

### 4.2 General

- a) To maintain up-to-date files of all quality policies, procedures, work instructions and documentation issued by the CB.
- b) To keep abreast of developments, issues and legislative changes pertaining to the scope in which inspections are carried out.
- c) To carry out any other tasks the CB may assign, outside the scope of GLOBALG.A.P. as long as these activities do not contradict with the ISO 17065 principles or any stipulation set by GLOBALG.A.P. General Regulations.

### 4.3 Independence and Confidentiality

- a) Inspectors are not permitted to carry out any activities, which may affect their independence or impartiality, and specifically shall not carry out consultancy activities in the last 2 years for the producers on whom they perform inspections. Training is not considered consultancy, provided that, where the course relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain; i.e. the trainer cannot provide company-specific solutions.
- b) Inspectors must strictly observe the company/producer's and the CB's procedures to maintain the confidentiality of information and records.

## EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of Modifications
141215_gg_CoC_GR_Part_I_V5_0_en	Not existent	15 December 2014	New Version 5
160926_gg_CoC_GR_Part_I_V5_0_en	141215_gg_CoC_GR_Part_I_V5_0_en	26 September 2016	Small changes in the chart on page 3
170609_gg_CoC_GR_Part_I_V5_0_en	160926_gg_CoC_GR_Part_I_V5_0_en	9 June 2017	Chart on page 3 replaced

If you want to receive more information on the modifications in this document, please contact the GLOBALG.A.P. Secretariat [translation\\_support@globalgap.org](mailto:translation_support@globalgap.org).

When the changes do not affect the accreditation of the standard, the version will remain "5.0" and edition update shall be indicated with "5.0-x". When the changes do affect the accreditation of the standard, the version name will change to "5.x".