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GENERAL REGULATIONS PART III – CERTIFICATION BODY AND ACCREDITATION RULES
1 INTRODUCTION

This document describes the certification rules for any party seeking certification according to the GLOBALG.A.P. Chain of Custody (CoC) standard. The objective of this standard is to assure consumers and corporate clients that any product sold as a product from GLOBALG.A.P. certified production processes comes from a producer or producer group with GLOBALG.A.P. certification, and to prevent products from GLOBALG.A.P. certified production processes being substituted or diluted with products without certification, either in error or for the purpose of economic gain (food fraud).

Following the introduction of the GGN label and the GGN label portal, the certification according to the CoC standard is mandatory for GGN label logo licensees and is used to identify the supply chain actors who take legal ownership or physical control over a product from GLOBALG.A.P. certified production processes. The CoC standard certification ensures the traceability at all points between a final product labeled with the GGN label logo and the initial producer or producer group with GLOBALG.A.P. certification. The CoC certification is also mandatory for retail stores and restaurant chains selling products from GLOBALG.A.P. certified production processes and labeled with the GGN label logo in bulk.

The use of the GLOBALG.A.P. claim in business-to-business communication is reserved for companies with a valid CoC or Integrated Farm Assurance (IFA) certificate. The use of the GLOBALG.A.P. claim in business-to-consumers communication is reserved either for companies
- with a valid GLOBALG.A.P. CoC certificate and a GGN label logo license or
- with a valid CoC or IFA certificate that print the GGN/CoC Number on the consumer item packaging without the GGN label logo.

The GLOBALG.A.P. CoC standard is not a food safety standard and does not result in food safety certification. It is recommended, but not obligatory, that all parties that handle, process, and pack products from GLOBALG.A.P. certified production processes obtain a preferably GFSI recognized food safety standard certificate.

Exception to this are those sites where products derived from animals coming from certified production of livestock or aquaculture are processed. These sites shall be certified according to a food safety system recognized by GFSI, or to a Codex-Alimentarius-based HACCP system at the time of the CoC inspection.

For the sake of simplicity, this document will use the terms “certified products”, “certified producers”, and “certified companies”. However, products, producers, and companies themselves are not certified. “Certified product” refers instead to a product originating from an IFA certified production process. “Certified producer/producer group/company” refers to a producer/producer group/company whose production processes have been certified.

This CoC standard, therefore, applies to the company’s processes, not the certification of any product or company itself.

The GLOBALG.A.P. Secretariat is pleased to acknowledge the members of the CoC Focus Group for their dedication and voluntary work. The members’ names are available on the GLOBALG.A.P. website under the heading Governance.

The GLOBALG.A.P. Secretariat will monitor the first year of implementation of this new version of the CoC standard and collect all feedback for necessary adjustment. The GLOBALG.A.P. Board will consider adjustment requests and decide on the need for an edition update in 2020. To facilitate the process and to make this standard as practical as possible, please send your findings to standard@globalgap.org.

1.1 Traceability and Chain of Custody

Although frequently considered interchangeable, traceability and chain of custody are not identical concepts. While traceability concerns multiple claims about a product (e.g., content attributes that affect its physical properties and/or process attributes that refer to the characteristics of the production process), chain of custody is limited to the product’s GLOBALG.A.P. claim and mitigating the risk of certification fraud (e.g., input verification, product identification, and segregation). Chain of custody makes use of traceability records to identify the supply chain actors who take legal ownership or physical control of a certified product. In this way, clear links between the initial certified producer(s) or producer group and the final product can be established.
1.2 GLOBALG.A.P. Database and GGN Label Portal

The GLOBALG.A.P. database is a critical tool that indexes all certified producers/producer groups/companies worldwide, including all their relevant product and certification information. The database functions by assigning globally unique identification numbers:

- A GLOBALG.A.P. Number (GGN) is assigned to each registered producer (Option 1 or 3), producer group (Option 2 or 4), or producer group member.
- A GLOBALG.A.P. Chain of Custody (CoC) Number is assigned to each registered supply chain producers/producer groups/companies.

Businesses can use the GLOBALG.A.P. database (http://www.globalgap.org/search) to verify the certification status of a product and the date until which the certificate is valid. Consumers can verify the certification status of a producer through the GGN label portal (www.ggn.org), using the GGN or the CoC Number on the product:

- The GGN will trace the product back to its initial certified producer (Option 1 or 3), producer group (Option 2 or 4), or producer group member and display information about the producer, their products, location map, certification details, and links to their social and other electronic media.
- The CoC Number will trace the product to one or more initial certified producers, producer group(s), or to a CoC certified company and display information about each of them.

The certification information displayed to consumers on the GGN label portal is taken from the GLOBALG.A.P. database.

1.3 Certification Fraud and Integrity Assurance

The CoC standard is an essential tool in combating economically-motivated adulteration, which in the GLOBALG.A.P. context is defined as the intentional substitution or dilution of certified products with non-certified products for the purpose of economic gain. It is designed to manage the risk of accidental or deliberate

- Misidentification of non-certified products as certified products (product substitution)
- Mixing of certified and non-certified products that are then sold as certified (product dilution).

By systematically verifying the GLOBALG.A.P. claim at each transaction point in the supply chain, buyers can be assured that the products they purchase as certified originate from a certified producer/producer group. Whenever the verification of a GLOBALG.A.P. claim fails to confirm the authenticity or validity of the certificate, a complaint is filed, and the producer/producer group/company is investigated.

When a supply chain partner detects a product with a GLOBALG.A.P. claim that fails the certificate authentication and validity verification in the GLOBALG.A.P. database, or when product testing or other credible sources challenge the product’s GLOBALG.A.P. claim, the product’s supplier is investigated by the GLOBALG.A.P. integrity team or by a designated agent.

1.4 CoC Standard Principles

The CoC standard principles are:

1. **Management structure**, which addresses CoC standard requirements, including documented procedures, processes, systems, and staff training appropriate to the size, type, and complexity of activities. A self-assessment and mass balance calculation shall be performed at least annually. Records of suppliers, subcontractors, purchase, storage, and sales shall be kept.

2. **Input and output verification** of the suppliers’ certification status in the GLOBALG.A.P. database, including matching the quantities of certified products received with the quantities stated in the delivery documents and purchase orders, as well as filing a complaint to GLOBALG.A.P. each time a supplier fails the CoC certificate verification.

3. **Traceability system**, which assures traceability of the final product to one (identity preservation method) or multiple (segregation method) certified producer(s) or producer group(s).
4. **Identification and labeling** of outgoing shipments (e.g., transport documents) and logistic units (e.g., pallets), as well as outgoing trade items (e.g., boxes, crates) and retail consumer items (e.g., containers, bags, nets, shrink wrap). Bulk, loose, or itemized retail consumer items with the GGN label logo shall be identified at the store counter.

The basic concept of the CoC standard is demonstrated on a supply chain example:

<table>
<thead>
<tr>
<th>GLOBALG.A.P. Integrated Farm Assurance Certification</th>
<th>GLOBALG.A.P. Chain of Custody Certification</th>
</tr>
</thead>
<tbody>
<tr>
<td>OPTION 1 producer</td>
<td>CoC Number of company # 1</td>
</tr>
<tr>
<td>OPTION 2 producer group</td>
<td>+ Traceability code*</td>
</tr>
<tr>
<td>1st pallet Company # 1</td>
<td>CoC Number of company # 3</td>
</tr>
<tr>
<td>Brokers Company # 2</td>
<td>+ Traceability code*</td>
</tr>
<tr>
<td>Retail distribution center</td>
<td>Broker does not label (label does not change)</td>
</tr>
</tbody>
</table>

**On-product labeling – obligatory**
- In case of parallel production/ownership: product is labeled with GGN of producer, producer group, producer group member, or all that apply
- Product is labeled with GGN of producer, producer group, producer group member, or all that apply

**On-product labeling – voluntary**
- GGN of certificate holder +
  - "xx kg of GLOBALG.A.P. certified apples"

**Labeling obligatory on transaction documents (e.g., sales invoices etc.)**
- CoC Number of company # 1
  - "xx kg of GLOBALG.A.P. certified apples"
- CoC Number of company # 2
  - "xx kg of GLOBALG.A.P. certified apples"
- CoC Number of company # 3
  - "xx kg of GLOBALG.A.P. certified apples"
- CoC Number of company # 4
  - "xx kg of GLOBALG.A.P. certified apples"

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

1.5 **Relation to Other Standards**

In cooperation with BRC and IFS, GLOBALG.A.P. has made it possible to audit the CoC standard in combination with the BRC Global Standard for Food Safety and in combination with the IFS Food, IFS Cash & Carry/Wholesale, IFS Logistics, and IFS Broker standards.

Wherever there is a significant overlap between the GLOBALG.A.P. CoC standard and other relevant chain of custody standards, GLOBALG.A.P. shall approach the standard authority with a proposal for a combined assessment.

A combined assessment will always result in the issue of two separate certificates. It can, however, reduce the time and complexity of preparing, executing, and following up on individual assessments. GLOBALG.A.P. has an open-door policy and welcomes cooperation with all other CoC standard authorities.
1.6 Terminology

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

b) The term “certified products” refers to any products originating from an IFA certified production process.

c) The term “certified producer/producer group” refers to a producer/producer group whose production processes have been certified.

d) The term “certified company”, is defined as follows: a person (individual) or business who is legally responsible for the processing, packing, trading, transport, slaughtering, or sales of GLOBALG.A.P. certified products relevant to the scope of the certification, and the subcontractors of these companies.

e) The term “identity preservation method” refers to a particular traceability method. When the GGN is used as the traceability (batch) code, the identity preservation method shall be used. The identity preservation method prohibits the physical mixing of certified products with other certified or non-certified products. Products from different certified individual producers (Option 1 or 3) or from certified producer groups (Option 2 or 4) shall not be physically mixed and the identity preservation of products supplied from the initial individual producer (Option 1 or 3) or producer group (Option 2 or 4). The company shall label the final identity preserved product with its CoC Number and with the GGN of the initial individual producer (Option 1 or 3) or producer group (Option 2 or 4).

f) The term “site” refers to those production, processing, handling, storage, and final consumer selling facilities (i.e., retail stores or restaurants), as well as administrative/office facilities where certified products are produced, processed, handled, stored, administered/traded, or sold to consumers.

g) The term “processor” refers to the company where certified products are treated, transformed, or prepared.

h) The term “processed product” refers to a product whose structure is altered in appearance or form after initial production.

i) The term “segregation method” refers to the traceability method that permits the mixing of certified products from a variety of certified producers or producer groups. Physical mixing of certified products from different certified producers or producer groups shall be documented accordingly via traceability data linked to a traceability code (e.g., a batch number). Certified products shall not be physically mixed with non-certified products (with the exception of multi-ingredient retail consumer items). The company shall label the final product with its CoC Number and a traceability (batch) code, which links the product to either the CoC Numbers of suppliers or the GGN of a producer (Option 1 or 3) or a producer group (Option 2 or 4). If only some of the ingredients in a multi-ingredient product are certified, the GGN of the producer of the certified product ingredients shall be specified. The different sources of the different ingredients in a multi-ingredient product shall be separately identified (e.g., pangasius (producer # 1 GGN), tilapia (producer # 2 GGN)), and the processor/packer’s CoC Number shall be specified.

j) The term “logistic unit” refers to products packaged together for transport and storage, such as pallets or bins. Logistic units may take many forms and contain any combination of items packaged together for shipment. The brand owner may consider a logistic unit an orderable trade item. Nevertheless, the product name or code may not replace the logistic unit code as the logistic unit identifier for shipment.

k) The term “trade item” refers to any predefined composition of products that are not intended for sale to consumers, such as boxes or crates.

l) The term “retail consumer item” refers to any product sold to consumers. Retail consumer items are sold packed, for example in containers, bags, nets, or shrink wrap, or in bulk, loose, or by piece.

m) In cases where local or national legislation has set up stricter standards than the GLOBALG.A.P. standards, such legislation overrides GLOBALG.A.P. Where there is no legislation, or where legislation is less strict than the GLOBALG.A.P. standards, GLOBALG.A.P. constitutes a minimum acceptable level of compliance. Legal compliance with all relevant legislation is not a condition for certification. The inspection carried out by the
GLOBALG.A.P. approved certification body does not replace or fulfill the responsibilities of public compliance agencies to enforce legislation.

2 DOCUMENTS

2.1 Normative Documents

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

a) ‘GLOBALG.A.P. Sublicense and Certification Agreement’: Contract between the certification body (CB) and the company/producer. Sets the legal framework for being granted GLOBALG.A.P. certification.

b) ‘GLOBALG.A.P. License and Certification Agreement’: Contract between the CB and GLOBALG.A.P. c/o FoodPLUS GmbH.

c) ‘GLOBALG.A.P. Chain of Custody Control Points and Compliance Criteria’ (CPCC): Document that sets the compliance requirements for the company/producer. 

**Note:** Guidelines included in the CPCC document instructing the company/producer in how to comply with the requirements are not normative documents.

d) ‘GLOBALG.A.P. Chain of Custody Checklist’: This document is used for all inspections and self-assessments.

e) ‘GLOBALG.A.P. Chain of Custody General Regulations’ (this document): Defines how the certification process works and related issues.

f) ‘GLOBALG.A.P. General Regulations’

g) ‘GLOBALG.A.P. Data Access Rules’

h) ‘GLOBALG.A.P. Fee Table’

i) GGN label logo license agreement (i.e., GGN Aquaculture/Floriculture Logo – License Agreement)

j) Any applicable GLOBAG.A.P. add-on(s) (such as GRASP)

2.2 Document Control

- The latest versions of all normative documents can be downloaded free of charge from the GLOBALG.A.P. website.

- Language: Original documents are in English. GLOBALG.A.P. documents are also translated into other languages and published on the GLOBALG.A.P. website. Once published, no translations other than the official GLOBALG.A.P. documents shall be used for certification in that language. In case of discrepancy between translations, the English version shall prevail.

- 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 is indicated on the documents.

- For detailed information on any modifications or updates to the documents, please contact the GLOBALG.A.P. Secretariat for the document history.

- 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 “Version/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., a change from 5.x to 6.0) indicates changes in the requirements and thus a version change and affects the accreditation of the standard. A change in other digits (e.g., from 6.0 to 6.1 or to 6.0-1) indicates updates which do not affect the accreditation of the standard.
  4. Updates may 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 “Version/Edition Update Register”.

3 CERTIFICATION OPTIONS

The applicant can apply for certification under one option, individual certification, with 3 sub-options: under the GLOBALG.A.P. CoC standard.

Note: Group certification (Option 2) is not allowed in this CoC standard. However, an IFA certified producer group (Option 2) may receive a GLOBALG.A.P. CoC certificate. In this case, the Option 2 certificate holder receives the GLOBALG.A.P. CoC certificate as a single legal entity. The producer member of the group cannot apply for CoC certification within its own group. (Within a producer group (Option 2), the quality management system (QMS) shall secure traceability and segregation.)

3.1 Option 1 – Individual Certification

a) An Individual company applies for certification (GLOBALG.A.P. CoC standard).

b) The individual company is the certificate holder once certified.

3.1.1 Option 1 – Single Sites

a) An individual producer/producer group/company with a single production, processing, handing, storage, and final consumer sale or administrative site shall be certified as one legal entity with one GGN (or CoC Number).

b) In case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administered shall be inspected internally and externally and certified. This applies also to subcontractors and the administrative sites of brokers that do not touch the product.

c) Sampling of sites for internal and external inspection is not allowed, except for retail stores and restaurants which may be sampled for external inspection; see Table 1.

d) All sites will be registered as one legal entity with one GGN (or CoC Number).

3.1.2 Option 1 – Multisite

a) An individual producer/producer group/company owns several production, processing, handing, storage, final consumer sale, or administrative sites that do not function as separate legal entities.

b) In case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administered shall be inspected internally and externally and certified. This applies also to subcontractors and the administrative sites of brokers that do not touch the product.

c) Sampling of sites for external inspection of retail stores and restaurants which may be sampled for external inspection; see Table 1.

d) All sites will be registered as one legal entity with one GGN/CoC Number.

3.1.3 Option 1 – Multisite for Retail Stores and Restaurant Chains in Franchise

a) An individual company owns a franchise network of retail stores or restaurants. The individual retail stores and restaurants (sites) function as separate legal entities.

b) In case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administered shall be inspected internally. This applies also to any subcontractors of those sites.

c) Sampling of sites for external CB inspection is allowed for stores, distribution centers, and restaurants. These may be sampled for external inspection, following the figures given in Table 1.

d) All sites will be registered as one legal entity with one GGN/CoC Number.
<table>
<thead>
<tr>
<th>Total Number of Sites</th>
<th>Number of Sites to be Visited During an Inspection</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Initial Inspection</td>
</tr>
<tr>
<td>1 to 3</td>
<td>1</td>
</tr>
<tr>
<td>4 to 6</td>
<td>2</td>
</tr>
<tr>
<td>7 to 9</td>
<td>3</td>
</tr>
<tr>
<td>10 to 16</td>
<td>3</td>
</tr>
<tr>
<td>17 to 25</td>
<td>4</td>
</tr>
<tr>
<td>26 to 36</td>
<td>4</td>
</tr>
<tr>
<td>37 to 49</td>
<td>4</td>
</tr>
<tr>
<td>50 to 64</td>
<td>5</td>
</tr>
<tr>
<td>65 to 84</td>
<td>5</td>
</tr>
<tr>
<td>85 to 100</td>
<td>5</td>
</tr>
<tr>
<td>101 to 121</td>
<td>6</td>
</tr>
<tr>
<td>122 to 144</td>
<td>6</td>
</tr>
<tr>
<td>145 to 169</td>
<td>7</td>
</tr>
<tr>
<td>170 to 196</td>
<td>7</td>
</tr>
<tr>
<td>197 to 225</td>
<td>8</td>
</tr>
<tr>
<td>226 to 256</td>
<td>8</td>
</tr>
<tr>
<td>257 to 289</td>
<td>9</td>
</tr>
<tr>
<td>290 to 324</td>
<td>9</td>
</tr>
<tr>
<td>325 to 361</td>
<td>10</td>
</tr>
<tr>
<td>362 to 400</td>
<td>10</td>
</tr>
<tr>
<td>401 to 441</td>
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</tr>
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<td>442 to 484</td>
<td>11</td>
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<tr>
<td>485 to 529</td>
<td>12</td>
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<tr>
<td>530 to 576</td>
<td>12</td>
</tr>
<tr>
<td>577 to 625</td>
<td>13</td>
</tr>
<tr>
<td>626 to 676</td>
<td>13</td>
</tr>
<tr>
<td>677 to 729</td>
<td>14</td>
</tr>
<tr>
<td>730 to 784</td>
<td>14</td>
</tr>
<tr>
<td>785 to 841</td>
<td>15</td>
</tr>
<tr>
<td>842 to 900</td>
<td>15</td>
</tr>
<tr>
<td>901 to 961</td>
<td>16</td>
</tr>
<tr>
<td>962 to 1024</td>
<td>16</td>
</tr>
<tr>
<td>Over 1024</td>
<td>Square root multiplied by 0.5, rounded up</td>
</tr>
</tbody>
</table>
4 REGISTRATION PROCESS

4.1 Certification Bodies

a) The applicant shall, as a first step, choose a GLOBALG.A.P. approved certification body (CB). 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 standard).

b) The applicant shall register with an approved CB and receive its CoC Number.

c) The chosen 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 in the GLOBALG.A.P. database. Unless otherwise specified, the CB is the database trustee.

4.2 Registration

4.2.1 General

a) The application shall cover at least the information detailed in “Annex I.2 GLOBALG.A.P. registration data requirements”. By registering, the applicant commits to complying with the obligations listed 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
(v) The GGN label logo license agreement, when applicable.

b) This information is used by GLOBALG.A.P. to supply the applicant with a unique number (CoC Number).

c) The GGN is the combination of the “GGN” prefix and a 13-digit numerical number, not including the GLOBALG.A.P. trademark. It is unique to each and every producer/other legal entity in the GLOBALG.A.P. system (GLOBALG.A.P. database).

d) The CoC Number is the combination of the “CoC” prefix and a 13-digit numerical number, not including the GLOBALG.A.P. trademark. It is unique to each and every company/other legal entity in the GLOBALG.A.P. system (GLOBALG.A.P. database). If a company already has an IFA and/or Compound Feed Manufacturing (CFM) certification and therefore an assigned GGN, the 13-digit CoC Number will be the same as the GGN. The company shall use the “CoC” prefix when referring to those products not covered by the IFA and/or CFM certificates.

e) The GGN identifies a registered or certified producer that produces and, if applicable, initially packs or processes the product.

f) The CoC Number identifies a registered or certified CoC company that handles, processes, stores, sells, or trades 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) The GLOBALG.A.P. claim refers to when a company claims, in communication materials, marketing, or packaging, that a process, service, or product complies with requirements of the GLOBALG.A.P. standard. This includes on-product labeling with the QR code logo, the GGN, or the CoC Number.

i) Any objective evidence 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 shall be checked before registration in the database. Any case of misuse shall be communicated to GLOBALG.A.P. members.

j) Confidentiality, data use, and data release:

(i) During registration, applicants give written permission to the GLOBALG.A.P. Secretariat/FoodPLUS GmbH 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. as well as the certification body the company/producer is working with. This data can be used for internal processes and sanctioning procedures.
(iii) The minimum and obligatory data release level is defined by the ‘GLOBALG.A.P. Data Access Rules’ available at [www.globalgap.org](http://www.globalgap.org). The following data are included by the minimum level and are available to the public: the GGN, CoC Number, GLOBALG.A.P. certificate no., scheme, version, option, CB, accreditation body (AB), scope, products and status, attributes related to the scope (e.g., completion of labeling), the certificate holder’s company name and address (excluding street name and house number), site addresses, and certificate validity.

(iv) If an applicant does not agree to the minimum data release level, 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 producer/producer group/company may be valid for up to 4 years, with subsequent renewal for periods of up to 4 years. The service term shall be given in the sub-license and certification agreement.

l) An applicant producer/producer group/company:
   (i) May not register products in one scope (crops, livestock, or 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). Consequently, the applicant is not permitted to register the same scope (product) with different certification bodies.
   (ii) May not register a site multiple times for the same scope.
   (iii) May not register a site as belonging to different companies at the same time (i.e., a site belonging to or owned by one company cannot be registered as a separate and independent company again).
   (iv) 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

If an applicant that has already been registered changes its CB or applies to a new CB for certification of a different scope, the applicant shall communicate the existing GGN or CoC Number assigned by GLOBALG.A.P. to the new CB. Failure to do this will result in a fine of € 100 per a single applicant in addition to the registration fee.

a) Certificate holders who are sanctioned cannot change their CB until the outgoing CB closes out the relevant non-conformance or until the sanction penalty period is over.

4.3 Acceptance

a) For the registration to be accepted, the applicant shall satisfy all the following conditions:
   (i) The applicant shall submit to the CB the relevant application including all necessary information.
   (ii) The applicant shall have formally committed to complying with the obligations indicated above.
   (iii) The applicant shall accept (sign) the sublicense and certification agreement with the CB, or the applicant shall explicitly acknowledge the receipt and the inclusion of the sublicense and certification agreement with their signature on the service contract/agreement with the CB and the CB shall hand over a copy of the sublicense and certification agreement to the company/producer.
   (iv) If the GGN label logo is used, the applicant shall sign the GGN label logo license agreement.
   (v) The applicant shall be assigned a CoC Number.
   (vi) The applicant shall 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 shall be finalized before inspection can take place.

c) For first registration: The CB shall confirm or deny the acceptance of the application and provide the applicant with the CoC Number within 28 calendar days from receiving the completed application.
4.4 Application, Certification Scope, and Limitations

4.4.1 Certification Scope

a) The CoC standard certification product scope includes the scopes (Crops Base, Aquaculture, and Livestock Base) and sub-scopes covered by the GLOBALG.A.P. IFA standard. All products specified in the GLOBALG.A.P. product list published on the GLOBALG.A.P. website can be included in the scope of the CoC certification.

b) The CoC certification scope may include a product that is not grown/produced on the farm (i.e., externally purchased) and for which the producer acts as a trader or service provider. For example, it is possible to certify a producer group for growing and packing apples under the IFA standard and certify the packing of purchased pears under the CoC standard.

c) For fruits and vegetables and for combinable crops, the CoC certification scope includes only non-processed products such as packed and whole fruits or vegetables, and excludes processed products such as fruit salad, juice, sliced salad mix, etc.

d) In the case of salad mix, if the structure of the product is not altered in appearance or form from cultivation of the product to delivery by the supplier, it is considered a non-processed product. Therefore, if the mixed salad is uncut (no cutting beyond that used for harvesting) and packed, it can be certified for CoC because the product is considered packed rather than processed.

e) Any sites where animal products from certified production of livestock or aquaculture are processed shall be certified according to a GFSI recognized food safety system or a Codex-Alimentarius-based HACCP system at the time of the CoC inspection. Only the GFSI recognized food safety certificates are displayed on the CoC certificate.

f) For aquaculture, the animal welfare-related control points apply to companies where live fish is handled. These control points include the fish slaughter conditions as well as primary processed fish (chilled, frozen) (see: CoC CPCC Part I, section 6).

g) For livestock, the CoC certification scope includes only fresh cut meat and milk. The slaughtering process shall be inspected and certified in combination with a GFSI post-farm gate standard or a Codex-Alimentarius-based HACCP system.

h) For livestock, the CoC certification scope includes only milk pasteurizing, but no further processing.

i) For tea, the CoC certification scope includes only those pre-processed tea products that are the output of IFA certified tea producers.

j) For hop, the CoC certification scope includes only that pre-processed hop that is the output of IFA certified hop producers.

4.4.2 Producer/Producer Group/Companies in Scope

a) Any party in the supply chain that takes ownership and/or physical control over a certified product falls within the scope of this standard. Companies are considered legal owners if they issue invoices related to the sale of certified products and collect payment for the sale of certified products or are able to demonstrate their financial ownership of certified materials based on other documentation (such as internal transfer slips, contracts, or deeds).

b) Physical control is when the company may or may not legally own the product but takes physical possession at any point in the supply chain.

c) CoC certification is therefore required for all parties in the supply chain that have legal ownership or physical control of certified products and perform at least one of the following activities:

(i) Selling or trading IFA/CoC certified products with GLOBALG.A.P. claim on sales documents or on the product itself
(ii) Labeling products with a GGN, CoC Number, or GGN label logo
(iii) Changing the composition of (e.g., processing, slaughtering, mixing different batches/different producers) or assigning a new identity to (e.g., re-packaging, relabeling) the products sold with the GLOBALG.A.P. claim
(iv) Selling bulk product with the GGN label logo (this includes retail stores and restaurants commercializing bulk products with the GGN label logo).

This applies also to companies subcontracted to carry out these activities without legal ownership of the product at any stage. Subcontracted activities that fall within the scope of the CoC certification shall be declared during registration to allow the CBs to schedule
inspections at all relevant premises (e.g., subcontracted storage, labeling, processing, etc.). Subcontractors shall be inspected by CBs according to the risk related to misidentification, substitution, or dilution of certified products with non-certified products (see point 6.1.3). Contractors that do not take ownership can choose to become certified if they wish; however, they shall not identify products as certified unless the legal owner of the products has CoC certification.

d) Traders or brokers

(i) Traders or brokers who administer or trade (buy and sell) certified products, including producers who act as traders and/or service providers handling certified products that are not grown on the farm and are purchased externally, shall be certified.

(ii) Traders’ and brokers’ sites shall be classified by CBs according to the risk related to misidentification, substitution, or dilution of certified products with non-certified products:

(iii) Traders and brokers who engage directly or via subcontractors in (re)processing, (re)packing, and/or (re)labeling of certified products or who engage directly or via subcontractors in storage and handling of bulk products (unpacked, unsealed, or unlabeled) or in storage and handling of packed, but unlabeled products are classified as high-risk.

(iv) Traders and brokers who engage directly or via subcontractors in storage and/or handling exclusively of products that are consumer-ready, packed, and tamper-proof are classified as low-risk.

(v) All other traders and brokers, including those who take legal ownership but do not physically handle certified products, are classified as low-risk.

(vi) All traders and brokers shall be certified. Those classified as low-risk are eligible for an administrative inspection, which may be performed remotely. Brokers, traders, and exporters that do not store, handle, or re-label the product (no physical contact) may be inspected remotely.

e) Livestock transport: Any subcontracted livestock transport shall be covered under the slaughterhouse’s CoC certificate or under the trader’s CoC certificate.

f) In general, all producers/producer groups/companies trading in unlabeled products and/or labeling/re-labeling the product with the GGN and/or with the CoC Number and/or with the GGN label logo shall be certified according to this standard.

4.4.3 Producer/Producer Groups/Companies Beyond the Scope

The following are not subject to CoC inspection and certification:

a) Production processes which are IFA certified are beyond the scope of this standard. For example, it is not possible to certify a producer for growing and packing apples under both IFA and CoC standards. The CoC requirements for producers who engage in parallel ownership or parallel production of both certified and non-certified products are already included in the scope of the IFA certification; see Table 2, for examples.

<table>
<thead>
<tr>
<th>IFA Certified Producer</th>
<th>Packing and Sale of</th>
<th>Applicable Standard(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Own Production of…</td>
<td>Own produced certified apples only</td>
<td>IFA for apples PP: no PO: no CoC: N/A</td>
</tr>
<tr>
<td>Certified apples</td>
<td>Own produced certified apples only</td>
<td>IFA for apples PP: no PO: no CoC: N/A</td>
</tr>
<tr>
<td>Certified and non-certified apples</td>
<td>Own produced certified and non-certified apples only</td>
<td>IFA for apples PP: yes PO: no CoC: N/A</td>
</tr>
<tr>
<td>Certified apples</td>
<td>Own produced certified apples + purchased certified apples</td>
<td>IFA for apples PP: no PO: no CoC: N/A</td>
</tr>
</tbody>
</table>
IFA Certified Producer

<table>
<thead>
<tr>
<th>Own Production of…</th>
<th>Packing and Sale of…</th>
<th>Applicable Standard(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Certified apples</td>
<td>Own produced certified apples + purchased non-certified apples</td>
<td>IFA for apples PP: no PO: yes CoC: N/A</td>
</tr>
<tr>
<td>Certified and non-certified apples</td>
<td>Own produced certified and non-certified apples + purchased non-certified apples</td>
<td>IFA for apples PP: yes PO: yes CoC: N/A</td>
</tr>
<tr>
<td>Certified apples</td>
<td>Own produced certified apples + purchased certified oranges</td>
<td>IFA for apples PP: no PO: no CoC for oranges</td>
</tr>
</tbody>
</table>

b) Companies that trade in or handle products from certified companies or producers but do not ever identify or sell these products as certified or with the GLOBALG.A.P. claim do not require CoC certification. In this case, the chain of custody is discontinued.

c) Retailers who purchase, handle, and sell certified products only in consumer-ready, tamper-proof packaging to final consumers do not need CoC certification. Note: This includes wholesaler self-service stores’ own distribution sites (e.g., Wholesale Cash & Carry).

d) Freight forwarders who do not have ownership of certified products are beyond the scope of this standard. Examples include companies that are responsible for preparation of shipping and export documents, booking cargo space, negotiating freight charges, freight consolidation, cargo insurance, customs clearance, and/or filing insurance claims.

4.5 Burden of Proof

a) If the GLOBALG.A.P. Secretariat receives information bearing potential impact on the GLOBALG.A.P. claim (e.g., mislabeling, false claims, exceeded MRL, microbial contamination, etc.) of a GLOBALG.A.P. certified entity, it is the responsibility of the certified entity to refute the information by verifying and providing evidence of compliance with the GLOBALG.A.P. CoC standard.

In such 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, which 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 evidence supplied 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 other records needed to verify and check the case. If the evidence includes laboratory analyses, accredited laboratories (ISO 17025) and independent sampling shall 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 CB.

5.1 Option 1 – Single Sites and Multisites

This section applies to applicants that are single legal entities (producer, producer group, or company) with single sites or multiple sites that are not separate legal entities and are all centrally managed by the applicant.

Summary of assessments to be undertaken before a CoC certificate is issued (initial inspection) and annually thereafter (subsequent inspection):

Table 3.

<table>
<thead>
<tr>
<th></th>
<th>Initial Inspection and Subsequent Inspection</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Self-assessments by the producer/producer group/company</strong></td>
<td>1. Entire scope (all registered sites)</td>
</tr>
<tr>
<td><strong>Externally by the CB</strong></td>
<td>2. Announced inspection of entire scope for all registered sites. Note: For Option 1 multisite retail stores and restaurants and for Option 1 multisite for retail stores and restaurant chains in franchise, sampling of the sites applies as indicated in Table 1. 3. Unannounced inspection of at least 10 % of all certified producer/producer group/company (CoC certificate holders).</td>
</tr>
</tbody>
</table>

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 before the initial inspection and thereafter at least annually before the announced subsequent inspections against the complete checklist of all relevant scope(s) and registered sites. The completed checklist shall be available on site for review at all times.

iv) Comments, evidence, corrective actions, and positive findings during the self-assessment shall be recorded for each control point.

5.1.2 Certification Body Inspections (external)

a) The inspection (announced or unannounced) shall be carried out by a CB inspector (see CB inspector requirements in General Regulations Part III).

b) The CB shall inspect the complete checklist (Major Musts, Minor Musts, and Recommendations) of the applicable scope(s).

c) For all external assessments, any resulting comments, evidence, corrective actions, and positive findings shall be recorded for each control point.

5.1.2.1 Announced Inspections

i) Each company shall undergo one announced inspection at the initial assessment and thereafter once per year.

ii) The inspection shall cover:

a) All GLOBALG.A.P. certified products

b) All production processes and sites dealing with or handling certified products.

Note: For Option 1 multisite retail stores and restaurants and for Option 1 multisite for retail stores and restaurant chains in franchise sampling of the sites applies as indicated in Table 1.
5.1.2.2 Unannounced Inspections

(i) The CB shall carry out unannounced inspections annually of at least 10% of all producers/producer groups/companies the CB has certified per scope.

(ii) The CB shall inspect all applicable control points. Any findings (e.g., non-compliance) shall be handled in the same way as those found during an announced inspection.

(iii) The CB may inform the company in advance of the intended visit. In general, this notification shall 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 shall receive one more chance to be informed of an unannounced inspection. The company shall receive a written warning if the first proposed date has not been accepted. The company shall receive another 48-hour notification of a visit. If the visit cannot take place because of non-justifiable reasons, a suspension shall be issued.

(iv) If an Option 1 multisite for retail stores and restaurant chains in franchise has been chosen for an unannounced inspection, the number of sites to be inspected shall follow the Table 1. column “Subsequent Inspection”.

5.2 Inspection Timing

The self-assessment and the CB inspection shall be performed at a time when handling, processing, storage, and/or other 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 during off-season or when activities are minimal shall be avoided.

5.2.1 Initial (First) Inspections

a) This section applies to any applicants seeking GLOBALG.A.P. certification for the first time, to an already certified entity changing from one CB to another, or to an already certified entity who wants to add a new type of process to their CoC certificate.

b) No inspection can take place until the CB has accepted the applicant’s registration.

c) In initial inspection, each process for the products to be sold as certified shall be completely assessed (all applicable control points shall be verified), prior to issuing the CoC certificate.

d) Where the applicant has not yet started to trade in certified products, the system shall be demonstrated by examples, mock tests, etc.

e) The applicant shall have records either from registration date onwards or for at least 3 months before the first inspection takes place and the CB shall inspect them.

5.2.2 Subsequent Inspections

a) GLOBALG.A.P. certified products and/or related operational records shall be present during the inspection. GLOBALG.A.P. certified products and/or produce handling facilities shall be inspected at least every three years while in operation.

b) The subsequent inspection can be performed at any time during an “inspection window” that extends over a period of 8 months: from 4 months before the original expiry date of the CoC certificate, and (only if the CB extends the CoC certificate validity in the GLOBALG.A.P. database) up to 4 months after the original expiry date of the CoC certificate.

Example: 1st certification date: 14 February 2019 (expiry date: 13 February 2020). 2nd inspection can be at any time from 14 October 2019 to 13 June 2020, if the certificate validity is being extended.

c) There shall be a minimum period of 6 months between 2 inspections for re-certification.

5.3 Extension of Certificate Scope

a) The scope of the CoC certificate (i.e., the included processes and products) may be changed during the validity of the CoC certificate.

b) The certified company shall inform the CB about any changes affecting the scope of the CoC certificate. This may include adding or discontinuing processes, products, scopes, and locations/sites.

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 is required or not. The CB shall record the changes and, if necessary, update the database and reissue the CoC certificate.

5.4 Remote Inspections

- A remote inspection may be performed via video-conference.
- The remote inspection shall follow the same basic order of a normal inspection (e.g., opening meeting, interview, and closing meeting).
- The inspector shall confirm the identity of the auditee.
- Remote inspection via e-mail exchange is not permitted. There shall be two-way verbal communication between the inspector and the auditee.
- A qualified CoC inspector shall use the same checklist as in on-site inspections.
- The inspector shall send an inspection plan before the assessment.
- The remote inspection may be split into several sessions. At the end of the session(s), the inspector shall send a report summarizing all findings to the auditee for written confirmation and acknowledgement. Receipt of the report shall be documented.
- General confidentiality rules apply to the CB concerning all the information/evidence used for the inspection.

5.5 Subcontractors

5.5.1 Subcontractors with a Valid GLOBALG.A.P. CoC Certificate

If a subcontractor of the CoC certificate holder also hold an own GLOBALG.A.P. CoC certificate, the company shall ensure that their subcontractor’s CoC certificate is valid and covers all relevant scopes and activities. The CB does not need to inspect each subcontracted site, but can accept the subcontractor’s CoC certificate and validate its scope and validity.

5.5.2 Subcontractors without a Valid GLOBALG.A.P. CoC Certificate

- Subcontractors shall be included in the certificate holder’s CoC certificate.
- The CoC certificate holder company is responsible for monitoring the control points applicable to subcontractor activities covered in the GLOBALG.A.P. CoC standard, by checking and signing the subcontractor(s)’s assessment for each task and process/activity contracted.
- As part of the self-assessment, the CoC certificate holder company shall assess its subcontractor(s) and shall keep records/evidence of compliance with the applicable control points. This evidence shall be available at the company during external inspections. Subcontractor assessments can be performed by internal on-site or off-site inspection, according to the risk defined under 5.5.3.
- The subcontractor(s) shall agree that GLOBALG.A.P. CoC approved certifiers are allowed to verify the assessments through on-site inspection.

5.5.3 Subcontractor Inspection – CB Rules for Subcontractors

- Subcontractors shall be audited by CBs according to the risk related to misidentification, substitution, or dilution of certified products with non-certified products:
  - (i) Subcontractors that engage in (re)processing, (re)packing, and/or (re)labeling of certified products, that engage in storage and handling of bulk products (unpacked, unsealed, or unlabeled), or that engage directly in storage and handling of packed but unlabeled products are classified as high-risk.
  - (ii) Subcontractors that engage in storage and handling of packed, sealed, and labeled products with no risk of product mixing or identity modification are classified as low-risk.
- If the subcontractors do not have a third-party assessment in the form of an own GLOBALG.A.P. CoC certificate, the CB shall perform risk-based sampling inspections of the subcontractors (on-site inspection). Subcontractors with high-risk processes related to the scope of CoC (e.g., (re)-processing, (re-)labeling, any type of (re-)processing, etc.), shall be externally inspected every year.

**Note:** This does not apply to those units or locations or sites that belong to the CoC certified company (i.e., are part of the same legal entity as the CoC certified company). Those
units shall be externally inspected by the CB and do not receive their own CoC certification.

\[ g \] Subcontractors with low-risk processes (related to the scope of CoC) do not need to be inspected every year by the CB. The certified company shall maintain a constantly updated list of the subcontractors classified as low-risk and shall immediately inform the CB of any changes to that list. The CB checks the list of the approved subcontractors during the annual year subsequent inspection, and if there are any doubts, the CB may decide to verify the subcontractors through on-site inspections.

\[ h \] The GLOBALG.A.P. Integrity Program and the CB reserve the right to randomly check and visit these units.

5.5.4 Subcontracted Transport
Subcontractors merely providing transport of products legally belonging to the CoC certificate holder company, along with proof that no modification at product and packaging level has occurred, shall be recorded under the subcontracting parties of the CoC certificate holder company. Transport subcontractors do not need to implement CoC criteria. A statement from the transport subcontractor(s) that the product transported is not modified at any time shall be kept along with relevant subcontractor records.

6 CERTIFICATION PROCESS

6.1 Non-Compliance and Non-Conformance
\[ a \] Non-compliance (with a control point): A GLOBALG.A.P. control point in the checklist is not fulfilled according to the compliance criteria.
\[ b \] Non-conformance (to the GLOBALG.A.P. certification rules): A GLOBALG.A.P. rule that is necessary for obtaining the CoC certificate is infringed (e.g., non-compliance with one or more Major Musts, or more than one Minor Must control point).
\[ c \] Contractual non-conformance: Breach of any of the GLOBALG.A.P. related agreements signed in the contract between the CB and the company.

(i) The CB can impose a suspension of all products.
Examples of contractual non-conformance: Trading in a product that does not comply with legal requirements; false communication by the company regarding GLOBALG.A.P. certification; GLOBALG.A.P. trademark misuse; payments not made in accordance with contractual conditions; etc.

6.2 Requirements for Achieving and Maintaining GLOBALG.A.P. Certification
Control points and compliance criteria consist of three categories: 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 current Chain of Custody control points and compliance criteria have only 5 Minor Musts (applicable to aquaculture). The company is allowed to fail one Minor Must control point and still achieve certification, provided that all Major Musts are complied with.

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

Comments, evidence, positive findings, negative findings, corrective action, and/or corrections shall be recorded for all control points. This is obligatory for internal as well as external assessments. In a multisite operation, compliance level is calculated in one checklist for the entire operation. Any applicable control points common to all sites (such as a packinghouse) shall 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 initial inspection:
If no non-conformance is detected, the CB shall reach a certification decision, issue the CoC certificate, and register the CoC certificate in the GLOBALG.A.P. database within 28 days of the completed inspection.

If non-conformance is detected, the company has 28 days to submit corrective actions. The CB shall review the corrective action and make a certification decision within 28 days of the submission of the corrective actions. The decision can be a positive certification decision or an “open non-conformance” status in the database.

If the status is set to “open non-conformance”, the company has 3 months to submit corrective actions after the inspection. The 3-month period begins on 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. If the decision is negative, the CB shall perform a new on-site inspection and the status remains “open non-conformance”. Therefore, the maximum time period between an initial inspection and the certification decision is 3 months + 28 days. If the time period is longer, the CB shall perform a new inspection.

c) For subsequent inspections:
   If no non-conformance is detected during a subsequent inspection, the CB shall reach a certification decision, issue the CoC certificate, and register the CoC certificate in the GLOBALG.A.P. database within 28 days after the inspection’s completion.

   If non-conformance is detected during a subsequent inspection, the company has 28 days to submit corrective actions. The CB then has a further 28 days for review of the submitted evidence and conclusion of the certification process. The (positive) certification decision shall therefore be reached within at most 28 + 28 days after the inspection has been concluded. This means that a maximum of 56 days is allowed between a subsequent inspection in which non-conformance has been detected and the update of the company’s/producer’s status to “re-certified”. However, if the review of the submitted evidences is negative (or if the company has not submitted any corrective actions), the suspension shall be register within 28 days of completion of the inspection.

   If non-conformance is identified during the report review (and not during an inspection), the 28 days are counted from the date on which the non-conformance is communicated to the company.

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

e) Any complaints or appeals against a CB shall follow the CB’s own complaints and appeals procedure, which each CB shall have and communicate to its clients. If the CB does not respond adequately, the complaint can be addressed to the GLOBALG.A.P. Secretariat using the GLOBALG.A.P. complaints form, available on the GLOBALG.A.P. website (www.globalgap.org).

6.4 Sanctions

a) If 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 CBs until the non-conformance that led to the respective sanction is satisfactorily closed out.

c) Only the CB that has issued a sanction is permitted 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-conformances detected.

b) If non-conformance is detected during an inspection, the company shall be served a warning when the inspection is completed. This warning is issued in the form of a provisional report that can be overridden by the CB certification authority.

c) Initial inspection:
   (i) Outstanding non-conformances shall be closed within 3 months of the date on which the inspection was completed. If the company does not comply with 100 % of Major
Must and/or fails with more than one Minor Must control point within 28 days after an initial inspection, the status "open non-conformance" is set in the GLOBALG.A.P. database.

(ii) If the cause of the warning is not resolved within 3 months, a complete inspection shall be performed before a CoC certificate can be issued.

d) Subsequent inspection:
(i) Outstanding non-conformances (e.g., a Major Must non-conformance or more than one Minor Must non-compliances) shall be closed within 28 calendar days.
(ii) 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 GLOBALG.A.P. CoC certificate.

b) A scope cannot be partially suspended for an individual company; i.e., the entire scope shall 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, and/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 shall not delay the renewal date, nor allow the company to avoid paying registration and/or 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, as explained below.

6.4.2.1 Self-declared Suspension
(i) A certified producer/producer group/company may voluntarily ask the respective CB(s) for a suspension of one, several, or all of the scopes covered by the CoC certificate (unless a CB has already imposed a sanction). This may occur if the company experiences difficulty with conformance with the standard and needs time to close out any non-conformance.

(ii) The company’s status shall change to “self-declared suspension” on the scope level.

(iii) The deadline for closing non-conformance is set by the declaring company. The deadline shall be agreed upon with the respective CB(s), and non-conformance shall be closed out before the CB may lift the suspension.

6.4.2.2 Certification Body-Declared Suspension
(i) CBs can issue and lift suspensions to certified entities.

(ii) A CB shall issue a suspension when the producer/producer group/company cannot show evidence of implementation of effective corrective actions after a warning has been issued.

(iii) The CB can issue a suspension for a certain scope, several scopes, or 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 if:
(i) The CB finds evidence of fraud and/or lack of trust in the company’s compliance with GLOBALG.A.P. requirements; or

(ii) The company cannot show evidence of implementation of effective corrective actions after a CB declared suspension; or

(iii) There is 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 linked to GLOBALG.A.P.
c) The company whose contract has been cancelled shall not be accepted for GLOBALG.A.P. certification for 12 months after the date of cancellation.

6.5 Notification and Appeals

a) The company shall either resolve the indicated non-conformance issues or appeal to the CB in writing against the non-conformance, explaining the reasons for the appeal.
b) If the non-conformance is not resolved within the set period, sanctions will be increased.

6.6 Sanctioning of Certification Bodies

a) GLOBALG.A.P. reserves the right to sanction CBs if GLOBALG.A.P. receives evidence that the CB has not followed procedures or clauses of the license and certification agreement signed between GLOBALG.A.P. and the CB. For more information, see General Regulations Part III.

6.7 GLOBALG.A.P. Certificate and Certification Cycle

a) A CoC certificate is not transferable from one legal entity to another. If a company changes its legal entity (i.e., is merged, bought up, franchised, split up, or otherwise reorganized) a new inspection is required.
b) The term “certification cycle” is defined as the period for which the CoC certificate is valid, and within which the CoC certificate shall be renewed. The default certification cycle is 12 months, subject to any sanctions and extensions in accordance with the scope described.

6.7.1 CoC Certificate Information

a) The paper certificate issued by a CB shall be comparable to the GLOBALG.A.P. CoC certificate template (Annex I.3). The format may be different, but it shall include the same information.
b) The paper certificate is valid only if it matches the information available in the GLOBALG.A.P. database for that unique certified company.
c) The paper certificate issued by a CB shall be in English. Additional language(s) may be added.
d) “Date of certification”: Date when the CB makes the certification decision after all non-conformances have been closed out (e.g., 14 February 2019).
e) “Valid from”:
   (i) For initial inspection: The initial date of validity is the date on which the CB makes its final certification decision (e.g., 14 February 2019).
   (ii) For subsequent inspections: The “valid from” date for subsequent certificates issued shall be one year from the “valid from” date of the original certificate (e.g., 14 February 2019, 14 February 2020, etc.), unless the certification decision is made after the expiration of the previous certificate. In this case, the “valid from” date shall coincide with the date of the new certification decision. The “valid to” date, however, remains the old date of expiration, with the year adjusted (e.g., previous certificate’s “valid to” date: 13 February 2019; new “valid from” date: 25 February 2019; new “valid to” date: 13 February 2020).
f) “Valid to”:
   (i) For initial inspection: Calculated by “valid from” date plus one year minus one day. The CB may shorten the certification cycle and the validity but cannot prolong it.
   (ii) For subsequent inspection: The validity date for subsequent certificates issued shall always be calculated from the “valid from” date on the original certificate (e.g., 13 February 2019, 13 February 2020).

6.7.2 Extension of Certificate Validity:

a) The default certification cycle of 12 months may be extended for a maximum period of 4 months, but 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 expires without extension or being “re-accepted” and the subsequent inspection (to be performed by the same CB) takes place less than 12 months after the expiration date, a valid justification for certificate expiration shall be given, and a new certification cycle shall start. The CB may reinstate the old certification cycle by setting the same “valid to” date with reference to the old certification cycle. The cycle cannot be changed if the certificate was extended and a product “re-accepted” during the old certification cycle.

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

6.7.3 Maintaining GLOBALG.A.P. Certification

a) The company shall confirm its registration and the proposed relevant scopes with the CB annually before the certificate’s expiration date. Otherwise the status will change from “certified” to “not confirmed”.

7 ACRONYMS AND REFERENCES

7.1 Acronyms

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

<table>
<thead>
<tr>
<th>Acronym</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AB</td>
<td>Accreditation body</td>
</tr>
<tr>
<td>CPCC</td>
<td>Control points and compliance criteria</td>
</tr>
<tr>
<td>IFA</td>
<td>Integrated Farm Assurance</td>
</tr>
<tr>
<td>CB</td>
<td>Certification body</td>
</tr>
<tr>
<td>CoC</td>
<td>Chain of Custody</td>
</tr>
<tr>
<td>QMS</td>
<td>Quality management system</td>
</tr>
<tr>
<td>GFSI</td>
<td>Global Food Safety Initiative</td>
</tr>
<tr>
<td>GGN</td>
<td>GLOBALG.A.P. Number</td>
</tr>
<tr>
<td>GLN</td>
<td>Global Location Number (by GS1)</td>
</tr>
</tbody>
</table>

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) ISO 19011 Guidelines for auditing management systems
ANNEX I.1 RULES FOR USE OF THE GLOBALG.A.P. TRADEMARK AND LOGO

GLOBALG.A.P. is the owner of the “GLOBALG.A.P.” trademark, i.e., the word “GLOBALG.A.P.”, the GLOBALG.A.P. logo and its “G”-shape logo, collectively the “GLOBALG.A.P. trademark”.

GLOBALG.A.P. is the owner of the GGN label logo.

The “QR code logos” refer to the design of the quick response code logos owned by GLOBALG.A.P. shown below.

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

1. GLOBALG.A.P. Trademark and QR Code Logos
   (i) The certification granted entitles the producer/producer group/company to distribute and market their products using the GLOBALG.A.P. trademark and, if applicable, the QR code logo only if the producer’s/company’s products have been registered with the CB and are produced, processed, handled, or traded in a production site or location registered with the CB. The company/producer shall be in full compliance with this standard.
   (ii) The producer/producer group/company shall use the trademark and the QR code logos only 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 in direct connection to individual products.
   (iv) The QR code logos may appear on the product, consumer packing of the product, or at the point of sale in direct connection to certified products.
   (v) The producer/producer group/company may use the GLOBALG.A.P. trademark on pallets only if these exclusively contain GLOBALG.A.P. certified products and will not appear at the point of sale.
   (vi) GLOBALG.A.P. certified producers, producer groups, and companies may use the GLOBALG.A.P. trademark and the QR code logos in business-to-business communication, and for traceability, segregation, or identification purposes on-site at the production location.
   (vii) GLOBALG.A.P. retailers, associates, and supplier members may use the GLOBALG.A.P. trademark in promotional print-outs, flyers, websites, hardware, business cards, and electronic displays only if these are not directly linked to a certified product. The GLOBALG.A.P. trademark may also be used in business-to-business communication.
   (viii) GLOBALG.A.P. approved certification bodies can use the GLOBALG.A.P. 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, accessories of any kind, bags of any kind, or personal care items.
   (x) The GLOBALG.A.P. trademark may be used on CFM certified feed and on IFA certified aquaculture inputs (e.g., ova, seedlings, etc.) only if these 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.
2. Specifications

(i) The producer/producer group/company shall use the GLOBALG.A.P. trademark and, where applicable, the QR code logo only as provided by GLOBALG.A.P. and shall not alter, modify, or distort the trademark and/or logo in any way.

(ii) The GLOBALG.A.P. logo shall 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. Logo](image)

(iii) The GLOBALG.A.P. QR code logos:

![QR Code Logos](image)

(iv) The embedded QR code may contain the following information:
- The GGN or CoC Number of the producer or company that labels the product
- The URL of a GGN or CoC Number validation website that is linked to the GLOBALG.A.P. database
- The URL of the GLOBALG.A.P. database
- The batch number of the product
- Any combination 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 or other legal entity in the GLOBALG.A.P. system. For this number, GLOBALG.A.P. uses existing Global Location Numbers (GLNs) issued by and purchased from the local GS1 organization (www.gs1.org). In the absence of such an organization, 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 GLNs issued by and purchased from the local GS1 organization (www.gs1.org). In the absence of such an organization, GLOBALG.A.P. assigns its own interim GLN.

(iii) The GGN identifies a registered or certified producer; the CoC Number identifies a company registered or certified for the GLOBALG.A.P. CoC standard and may be used only as indicated in the CPCC. The GGN (e.g., GGN_1234567890123) and/or the CoC Number (e.g., CoC_1234567890123) may appear on the product, consumer packaging of the product, or at the point of sale in direct connection to individual certified products. The GGN and/or CoC Number shall never be used to label a product that is not certified.

(iv) The legal entity that labels the product with a GGN, CoC Number, and/or GGN label logo shall be a holder of a valid GLOBALG.A.P. CoC or CoC equivalent standard certificate.

(v) The GGN or the CoC Number shall be used only 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 and/or CoC Number may be used in (converted into) generic QR code format or GLOBALG.A.P. QR code logo format.

(vii) The right of the company to use the GLOBALG.A.P. claim, including the GLOBALG.A.P. trademark, GGN, CoC Number, and/or the QR code logos terminates immediately on termination of the sub-license and certification agreement.

(viii) If it becomes necessary to identify the company/producer in other contexts or additional applications, the company/producer may apply for their own GLN and report this number to GLOBALG.A.P., who shall register the company/producer under their own number and withdraw the GGN and/or the CoC Number accordingly. The own GLN replaces the GGN and/or the CoC Number in the GLOBALG.A.P. system.

4. The GGN Label Logo

(i) Producers/producer groups/companies with GLOBALG.A.P. CoC or IFA certification (e.g., Aquaculture or Flowers and Ornamentals) are not automatically authorized to use the GGN label logo.

(ii) The GGN label logo shall be used only under the GGN label logo license agreement. This agreement is granted only to companies/producers with GLOBALG.A.P. IFA or CoC certification. The company/producer requires a valid GLOBALG.A.P. CoC or CoC equivalent standard certificate. Producers and companies can apply to use the logo at info@ggn.org.

(iii) The approved “GGN Certified Aquaculture”, “GGN Certified Floriculture”, and “GGN Certified Agriculture” logos are:
ANNEX I.2 GLOBALG.A.P. REGISTRATION DATA REQUIREMENTS

1. Types of Master Data Required

For each legal entity, the CB shall record the following data, and the GLOBALG.A.P. database shall be updated accordingly (as required in the current database manual):

1.1 Company and location information
1.2 Multisite information
1.3 CoC scope information
1.4 Checklist information

This information shall be updated in the database whenever it changes, and at the latest when products are re-accepted for the next certification cycle and/or re-certification.

1.1 Producer/Producer Group/Company Information of Legal Entity

The following information regarding the legal entity is required for supplying each producer/producer group/company in the system with a unique GLOBALG.A.P. CoC Number.

1.1.1 Company

(i) Company name
(ii) Contact details: street address or information regarding company location
(iii) Contact details: postal address
(iv) Postal code or zip code
(v) City
(vi) State or province
(vii) Country
(viii) Phone number (if available)
(ix) Fax number (if available)
(x) E-mail address (if available)
(xi) GLN (if available)
(xii) Legal registration by country, if required by national interpretation guidelines. This number is used only for internal verification to avoid double registration (e.g., tax number, VAT number, company number, etc.)
(xiii) Previous GLOBALG.A.P. CoC Number. Note: if a company already has an IFA, CFM, and/or PPM certification and therefore an assigned GGN, this should be indicated during registration.
(xiv) Latitude and longitude or other form of geospatial coordinate information as defined and requested by GLOBALG.A.P. The minimum input accuracy level shall be ±10 m. If the company decides to display this information, the display accuracy level will be 10 m for market participants and 1,000 m for the public.

1.1.2 Contact Person (Responsible for Legal Entity)

The following information about the person legally responsible for the legal entity shall be given:

(i) Title
(ii) First name
(iii) Last name
(iv) Phone number (if available)
(v) Fax number (if available)
(vi) E-mail address (if available)
1.2 Multisite Company Information

The following information shall be given about the company (legal entity) and each site which is to be certified. This information is obligatory for multisite certificates.

1.2.1 Site(s)

(i) Name of site/company name of site (if subcontracted)
(ii) Franchised site (separate legal entity) or own site (not separate legal entity, part of the applicant company)
(iii) Contact details: Street address or information available to describe the site location
(iv) Contact details: Postal address
(v) Postal code or zip code
(vi) City
(vii) Country
(viii) Phone number (if available)
(ix) Fax number (if available)
(x) E-mail address (if available)
(xi) Sub-GLN(s) (optional, if available)
(xii) Latitude and longitude or other form of geospatial coordinate information at site level is mandatory, if available. The minimum input accuracy level shall be ±10 m. This information may be kept hidden in the database; if the company decides to display this information to market participants and the public, the display accuracy level will be 10 m.
(xiii) Products handled on each site, as soon as available in the GLOBALG.A.P. database
(xiv) Product labeling done at the site (Yes/No)

1.3 CoC Scope Information

This information gives more detail on the scope(s) of certification and shall be used – among other purposes – for invoicing. To avoid incorrect invoicing, this information shall be updated as soon as any changes are identified during external inspections.

(i) Sub-scopes: the CB may add a description of the scope of activities to the paper certificate.
(ii) Product species (for aquaculture)
(iii) Subcontracted activities
(iv) Quantity information: Estimated amount (in tons) of certified products registered in GLOBALG.A.P. database. For aquaculture, registration is mandatory. For crops and livestock, registration is optional.
(v) Option 1 single site; Option 1 multisite; Option 1 multisite for retail stores and restaurant chains in franchise
(vi) Certification body or bodies used for each scope
(vii) Type of company: “supply chain” or “retail store and restaurant chain”.
(viii) Product labeling done by company (Yes/No)
(ix) GGN label logo license holder (Yes/No)
(x) Availability of a GFSI recognized (post-farm) certificate at time of inspection (Yes/No)
(xi) Countries of destination

1.4 Checklist Information

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

(i) Scope(s)
(ii) Inspector
(iii) Type of inspection
(iv) Checklist version
(v) 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_xxxxxxxxxxxxxxxxxxxxx
Registration number of company (from CB): xxxxxxxxxx

GLOBALG.A.P. CERTIFICATE

according to GLOBALG.A.P. Chain of Custody version xx

issued to producer/producer group/company name, address

Country of production/Company location

The Annex contains details of the product handling or management units included in the scope of this certificate.

The certification body [Company Name] declares that the company’s processes comply with the standard:

GLOBALG.A.P. Chain of Custody – Control Points and Compliance Criteria version xx

<table>
<thead>
<tr>
<th>Scope: Crops Base, Livestock Base, Aquaculture</th>
<th>Product labeling?</th>
<th>GFSI recognized (post-farm) certificate at time of inspection?</th>
<th>GGN label logo license holder?</th>
<th>Supply chain or retail/restaurant?</th>
<th>Species or process description</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
<td>Free text field may be used.</td>
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</tbody>
</table>

Date of issuing (printing date of certificate): xx/xx/xxxx
Valid from: xx/xx/xxxx
Valid to: xx/xx/xxxx

Authorized by

Date of certification decision: xx/xx/xxxx

The current status of this certificate is always displayed at: http://www.globalgap.org/search.
ANNEX for CoC Number xxxxxxxxxxxxxxxxx

Date of Issuing: xx/xx/xxxx

Sites and/or units of the multisite operation
(if multisite certification)

<table>
<thead>
<tr>
<th>Site name and address</th>
<th>Product labeling</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
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</tbody>
</table>
Notes

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

1 The CB logo shall appear on all certificates.

2 Accreditation body (AB) symbol/accreditation mark is placed on all accredited certificates in conformance with the AB’s rules. Exception: If the CB is approved but not yet accredited, the following text shall 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 “Non-accredited certificate” only. The AB logo can be used only if the scope of the CB’s accreditation covers the GLOBALG.A.P. CoC.

3 The relevant GLOBALG.A.P. CoC Number shall appear on all certificates. If a certificate holder has a GLN, this number shall replace the CoC Number. The term ‘GLN’ or ‘own GLN’ may be used instead of ‘CoC’ before the number.

4 The registration number of a producer, producer group, or company, which is assigned by the CB, may appear on all certificates (optional). It consists of the CB-short and a number (with exactly one space character between: CB-short xxxxxxxxxxx).

5 On accredited GLOBALG.A.P. certificates, the GLOBALG.A.P. logo shall be added. Provisionally approved but not accredited CBs are not permitted to add the GLOBALG.A.P. logo.

6 Please enter “GLOBALG.A.P. Chain of Custody version 6.x”. Always mention the version used.

7 Name and address of the certificate holder shall be printed on the paper certificate.

8 Country in which the company is located.

9 Applicable only on multisite certificates. All sites of the multisite operation shall be listed in the Annex. If the certificate holder company is a single-site operation, the relevant text and Annex can be omitted.

10 “GLOBALG.A.P. Chain of Custody Control Points and Compliance Criteria Version 6.x”. Always mention the version used.

11 Scope(s) for which the production process is certified shall always be listed: Crops Base, Livestock Base, and/or Aquaculture.

12 Indicate by “Yes”/”No” whether on-product labeling or re-labeling is done by the company.

13 Indicate by “Yes”/”No” whether the company is certified to a GFSI recognized (post-farm) food safety system at time of CoC inspection?

14 Indicate by “Yes”/”No” whether the company is a GGN label logo license holder.

15 Indicate the type of company and the CPCC used: “supply chain” or “retail store/restaurant chain”.

16 Species or process description. This is a free text field that can be used by the CB to list the species and/or describe the certified process (e.g., storage, sorting, and sale of fresh vegetables). For the aquaculture scope, listing the species is mandatory. For other scopes, the description is optional.

17 The 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, linking the two.

18 The certificate’s “Valid from” date defines the beginning of a certification cycle.

19 The certificate’s “Valid to” date is the date the certificate expires.
20 The first and the last name of the person who has authorized the certificate. The name shall be written in block letters. This person shall sign the certificate.

21 The “Date of certification decision” shall appear on all certificates. It is the date when the Certification Committee makes the certification decision.

22 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.

23 The Annex (including the CoC Number of the certificate holder) shall be added. If the certificate holder company is a single-site operation, the Annex is left blank.

24 If the certificate holder company is a multisite operation, all sites/units shall be listed in a table including subcontractors’ sites.

25 Name(s) and address(es) of the sites/units of the multisite operation shall appear in the list.
GENERAL REGULATIONS PART II – RULES FOR OPTION 2 AND OPTION 1 MULTI-SITES WITH QMS

Not Applicable.

GENERAL REGULATIONS PART III – CERTIFICATION BODY AND ACCREDITATION RULES

All parts of the IFA version 5 General Regulations Part III apply, except for Annex III.1 and 2; GLOBALG.A.P. CB Inspector and Auditor Qualifications (Options 1 and 3) and all references to Option 2 auditing processes. Wherever the word “producer” is used, it should be replaced with “producer/producer group/company”.

The CoC in-house training program has been made available and the CB shall nominate and train a CoC in-house trainer.

ANNEX III.1: GLOBALG.A.P. CB INSPECTOR QUALIFICATIONS FOR COC

1. Already IFA Approved Inspectors/Auditors

All inspectors and/or auditors approved under the GLOBALG.A.P. IFA (current version) qualify for becoming CoC inspectors.

2. Non-IFA Approved Inspectors/Auditors

If the CoC inspector does not comply with IFA inspector or auditor requirements, the following minimum qualification requirements apply:

2.1 General Requirements

The inspector shall:

a) Have general knowledge of traceability.
b) Be able to do mass-balance evaluation.
c) Be already qualified for an ISO 17065-accredited food, feed, forestry, aquaculture, or agriculture-related scheme.
d) Have a minimum of 2 years professional experience gained after finishing academic studies related to inspector/control activities.

2.2 Inspector Training

One-day practical inspection course setting out basic principles of inspection.

3. Inspectors for CoC/Aquaculture

For inspecting any parts of the CoC related to aquaculture (CoC CPCC Part I, section 6), the additional qualifications below apply:

3.1 Food safety training and work experience

a) Training in HACCP principles, either as part of formal qualifications or through the successful completion of a formal course based on the principles of Codex Alimentarius. (The formal course may be an internal training by the CB.) The minimum training duration shall be 8 hours. Duration and content shall be indicated on the documentation for this requirement (course certificate, evidence of training included in formal qualifications, etc.).
b) Food-hygiene training, either as part of formal qualifications or through the successful completion of a formal course. (The formal course may be an internal training by the CB.) The formal course duration shall be a minimum of 8 hours. Duration and content shall be indicated on the documentation for this requirement (course certificate, evidence of training included in formal qualifications, etc.). The food-hygiene training course shall cover: site management, water, fertilizer, equipment, facilities, and personal hygiene, including practical case studies.
  c) Training in points a) and b) can be completed together in the same formal course (minimum duration 16 hours).
  d) Basic veterinary medicine and stockmanship training, including animal health and welfare issues as well as basic experience in food processing.
  e) Basic work experience in food processing.
  f) The formal courses mentioned in points a) through d) above can be part of formal qualifications (degree/diploma) or can be separate courses taken by the inspector. The inspector shall present proof of qualification. If courses were part of a degree/diploma program, the course syllabus shall be included. If courses were completed separately, each shall require a separate certificate showing that the course covered the relevant issues and was completed (including an exam).

4. GLOBALG.A.P. Online Exam
   a) CoC inspectors already registered for CoC v5 shall complete the GLOBALG.A.P. online training, including the successful completion of all online tests and the respective updates, within 3 months of the training’s release in the inspector’s language.
   b) New CoC inspectors shall take the GLOBALG.A.P. online training and all online tests once the exam has been published in the inspector’s language. Passing the online exam is a precondition for sign-off and conducting any CoC inspection.

5. Communication Skills
   a) Inspectors shall have “working language” skills in the corresponding native/working language. This shall include locally used specialist terminology in this working language.
   b) Exceptions to this rule shall be approved by the GLOBALG.A.P. Secretariat in writing before any inspections can take place.

6. Initial Training before Sign-off by the CB
   a) The CB shall put in place a training program that is customized to the candidate/trainee.
   b) The applicant inspector shall take part as an observer in a minimum of one CoC inspection. This does not apply if the CB employs an inspector already approved for the currently valid version of the CoC standard.
   c) The CB shall witness a minimum of one CoC inspection by an already qualified CoC inspector.
   d) The CB shall use the GLOBALG.A.P. witness assessment tool (when made available).
   e) For the CB’s first CoC inspector, the CB’s internal procedures apply.
   f) As a minimum requirement, the CB shall verify competence in the following topics:
      • Ability to carry out traceability checks and mass balance analyses
      • Wherever the control point refers to local legislation, knowledge of the relevant legal requirements
      • Having sufficient communication and behavioral skills to be able to conduct an inspection
      • “Working language” skills in the corresponding native/working language
   g) Additionally, for inspecting companies/producers related to aquaculture (CoC CPCC Part I, section 6):
      • Technical knowledge in aquaculture
      • Food safety training (see 3.1)

7. Maintaining Competency
   a) The CB shall have in place a procedure to ensure that every inspector conducts at least 5 CoC inspections or 10 CoC inspection days annually. These shall be conducted at a number of different companies/producers to maintain scheme knowledge and to stay registered in the GLOBALG.A.P. database.
   b) Supervised inspections shall also be acceptable for maintaining competency.
   c) Exceptions to this rule, e.g., if the CB does not have a total of 5 clients, shall be approved in writing by the GLOBALG.A.P. Secretariat before inspections can take place.
d) The CB shall carry out a GLOBALG.A.P. supervised 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 do not apply to those scheme managers who do not carry out inspections.
f) If it is not possible to maintain competency from one year to the next, GR Annex III.1, point 4 will apply.

8. Inspector Rotation
   a) The CB shall have procedures in place to ensure that a company is not inspected by the same inspector over more than 4 consecutive years (regardless of whether the inspections are announced or unannounced). For example, if inspector #1 inspects a company in years 1, 2, 3, and 4, another inspector (inspector #2) shall perform the annual inspection in year 5. In years 6, 7, 8, and 9, inspector #1 may do 4 consecutive inspections again.
   b) When the CB has only one inspector in a given country/region, the GLOBALG.A.P. Secretariat may allow exceptions on a case-by-case basis. The exemption period shall last for 12 months and shall be approved in writing by the GLOBALG.A.P. Secretariat.

9. Key Tasks
   9.1 GLOBALG.A.P. Producer/Producer Group/Company Inspections
      a) Inspection of companies or producers to assess conformance to the GLOBALG.A.P. CoC standard.
      b) Producing timely and accurate reports on such inspections in accordance with ISO 17065 and GLOBALG.A.P. timelines and system requirements.

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

9.3 Independence and Confidentiality
   a) Inspectors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not have carried 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 shall strictly observe the company/producer’s and the CB’s procedures for maintaining the confidentiality of information and records.

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