



**AUDIT INFORMATION AND EXPECTATION**  
**GLOBALG.A.P. CHAIN OF CUSTODY (CoC)**

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## 1. GENERAL

The present document concerns:

- GLOBALG.A.P. Chain of Custody CERTIFICATION: version 6.0

### **1.1 Certification Options**

**Option I {Single Sites}**: An individual producer/producer group/company with a single production, processing, handling, storage, and final consumer sale or administrative site shall be certified as one legal entity with one GGN (or CoC Number).

**Option I {Multisite}**: An individual producer/producer group/company owns several production, processing, handling, storage, final consumer sale, or administrative sites that do not function as separate legal entities. All sites will be registered as one legal entity with one GGN (or CoC Number).

**Option I {Multisite for Retail Stores and Restaurant Chains in Franchise}**: An individual company owns a franchise network of retail stores or restaurants. The individual retail stores and restaurants (sites) function as separate legal entities. All sites will be registered as one legal entity with one GGN/CoC Number.

Option II is possible under special conditions and after approval from GLOBALG.A.P. Secretariat.

### **1.2 Registration Process**

The applicant:

- Will sign and submit to Q-CERT the relevant contract (F-2002 Certification Contract QMSCERT).
- Will sign the latest version of the GLOBALG.A.P.'s Sublicense and Certification Agreement (available in GLOBALG.A.P.'s and QMSCERT's website) with Q-CERT.
- Will sign the GGN label logo license agreement if the GGN label logo is used.
- Shall accept the Data Access Rules. Data access rights shall be defined and signed by the producer / producer group during registration. Signing provides written permission to Q-CERT and GLOBALG.A.P. to use the application data for internal processes and sanction procedures. No information will be provided to third parties without previously acquire the applicant's concession.

The information will be used by GLOBALG.A.P. in order to provide the applicant with the unique GGN number which is to be used as the only identity mark in all GLOBALG.A.P.'s activities.

Especially for Tea: The GGN of the processing unit(s) as indicated in the Chain of Custody certification shall be entered into the GLOBALG.A.P. Database as soon as the producer knows it, and it shall be communicated to the CB and updated whenever there are changes.

By registering, the applicant commits to comply with the certification requirements at all times, the communication of data updates to Q-CERT and the payment of the applicable fees established by GLOBALG.A.P. and by Q-CERT.

The service contract between Q-CERT and the producer / organization may be valid up to four (4) years with subsequent renewal for periods up to four (4) years.

Q-CERT shall confirm the application prior setting in motion the certification process.

### **1.3 The Applicant**

May not register the same product more than once either with different CBs or under different certification options.

May register different products with different CBs and/or different certification options.

May not register production sites or group members in different countries with any CB.

May not register a site multiple times under the same certification scope.

May not register a site that belongs in different companies at the same time (eg. If a location that belongs to or owned by a company cannot be registered again as separate legal entity).

### **1.4 Certification Scope**

The scope of certification:

- 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.
- 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.
- For Fruits and Vegetables and for Combinable Crops, non-processed products are covered such as packed and whole fruits or vegetables and excluded processed products such as fruit salad, juice, salad mix, etc.
  - ✓ 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.
- For livestock includes
  - ✓ Fresh cut meat. The slaughtering process shall be inspected and certified in combination with a GFSI post-farm gate standard or a Codex-Alimentarius-based HACCP system.

- ✓ Fresh milk and milk pasteurizing, but no further processing.
- For tea includes only those pre-processed tea products that are the output of IFA certified tea producers.
- For hop includes only that pre-processed hop that is the output of IFA certified hop producers.
- Applies
  - ✓ to 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:
    - Selling or trading IFA/CoC certified products with GLOBALG.A.P. claim on sales documents or on the product itself
    - Labeling products with a GGN, CoC Number, or GGN label logo
    - 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
    - Selling bulk product with the GGN label logo (this includes retail stores and restaurants commercializing bulk products with the GGN label logo).
  - ✓ to companies subcontracted to carry out the above activities without legal ownership of the product at any stage.

### ***1.5 GLOBAL G.A.P. Certificate and Certification Cycle***

The GLOBALG.A.P. Certificate can only be issued to the applicant legal entity.

A GLOBALG.A.P. Certificate is not transferable from one legal entity to another when production sites change legal entity. In this case a complete inspection following the rules for subsequent inspections is required. The new legal entity shall then receive a new GGN.

The Certification Cycle is 12 months subject to any sanctions and extensions in accordance with the scope described

### ***1.6 Maintenance of GLOBAL G.A.P. Certification***

The producer's registration as well as the proposed products for the relevant scopes must be annually confirmed by Q-CERT before the expiry date.

The inspector must complete the entire checklist and verification process annually.

### ***1.7 Subsequent Inspections***

Q-CERT shall completely assess and verify all applicable control points for each production process relevant to registered (certified) products annually and prior to issuing the certificate. This also applies in case of the producer changing CBs.

The subsequent inspection can be carried out at any point during a time frame of 8 months: from 4 months before the original expiry date of the certificate up to 4 months after the original expiry date of the certificate. The later instance is only applicable if Q-CERT has already extended the certificate validity in the GLOBALG.A.P. Database.

**Example:** If 1st certification date is 14th February 2019 (expiry date 13th February 2020) then the second inspection can be carried out at any point from 14th October 2019 up to 13th June 2020 if the certificate validity has been extended.

There must be a minimum period of at least 6 months between 2 recertification inspections.

GLOBAL G.A.P. reserves the right to conduct unannounced inspections/audits to already certified producers as part of the Scheme's Integrity Program.

### 1.8 Certification Process

- There are 3 categories of control points that must be assessed both during the producer's internal inspection and Q-CERT's external inspection. These are the following:
  - ✓ **Major Musts:** 100% compliance with all applicable Major Must control points is required for the issue and maintenance of the certificate
  - ✓ **Minor Musts:** The present Chain of Custody Control Points and Compliance Criteria have only 4 Minor Musts in the aquaculture relevant part. The company is allowed to fail with one Minor Must control point to still achieve certification, provided that all the Major Musts are complied with.  
95% compliance of all applicable Minor Must control points is compulsory. Minor Musts are included only in the aquaculture relevant part in the Chain of Custody control points.
  - ✓ **Recommendations:** No minimum percentage of compliance.
- During the assessment/inspection by Q-CERT possible findings recorded are categorized as follows:
  - ✓ **Non-Compliance (with a control point):** A GLOBALG.A.P. control point in the checklist is not fulfilled according to the compliance criteria.
  - ✓ **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).

- ✓ **Contractual Non-Conformance:** Breach of any of the agreements signed in the contract between the producer and Q-CERT relevant to GLOBALG.A.P. Certification issues (example cases: trading with a product that does not comply with legal requirements, false communication by the producer regarding GLOBALG.A.P. Certification, misuse of the GLOBALG.A.P. trademark or payments not made according to contractual conditions etc.)
  
- Warnings are issued for all types of non-conformance detected:
  - ✓ **Initial Inspection:** If an individual producer or producer group does not comply with 100% of Major Must and 95% of Minor Must control points within 28 days after an initial inspection, then the status “Open non-conformance” is set in the GLOBALG.A.P. Database. If the cause of the warning is not resolved within 3 months, a complete inspection must be carried out before a certificate can be issued.
  - ✓ **Subsequent Inspection:** Non-conformances must be closed within 28 calendar days. Regarding non-conformances in contracts, General Requirements or Major Musts, Q-CERT must decide the time frame given to the producer for closing the non-conformance before suspending the certificate. This time frame must never exceed 28 days and can be shortened according to the criticality of the non-conformance regarding the safety of workers, environment and consumers. An immediate suspension must be issued where a serious threat to food safety, the safety of workers, the environment, consumers and/or product integrity is present.
  
- 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:
  - ✓ If Q-CERT conducts the investigation, the findings and actions taken will be reported to the GLOBALG.A.P. Secretariat; or
  - ✓ 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 Q-CERT to take appropriate action.
  - ✓ GLOBALG.A.P. will give the certified entity a certain amount of time to do this.
  - ✓ If Q-CERT does not deem the evidence supplied by the legal entity adequate, it will issue a sanction and will follow the normal sanctioning procedures.
  - ✓ If the evidence includes laboratory analyses, accredited laboratories (ISO 17025) and independent sampling shall be included.

**1.9 Registration with a new CB**

If an already registered producer changes CB or applies to a new CB for certification of a different product, the producer must communicate the GGN assigned by GLOBALG.A.P. to the new CB. Failure to do so will result in a surcharge of the registration fee of 100€ per single applicant.

Certificate holders who are sanctioned cannot change to a new CB until the previous CB closes the corresponding non-conformances or until the sanction penalty period is over.

**1.10 Assessment Process**

In order to achieve certification and depending on the Certification Option, the following must have taken place:

- Option I and Option I Multisite

	Evaluations (Initial and subsequent)
Self-assessments by the company	Entire scope (all registered sites)
Externally by Q-Cert	Announced inspection of entire scope (all registered sites) 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 After initial certification: Unannounced inspection (to a minimum 10% of certificate holders)

**1.11 Certification Decision**

Q-CERT must make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances. In case no non-conformances are detected during the inspection/audit, it means that Q-CERT must make the decision no later than 28 days after the end of the inspection/audit.

**2. APPLICANT RESPONSIBILITIES**

In order for the initial inspection to be carried out, the applicant must have records from the registration date onwards or for at least 3 months before the initial inspection date (whichever is longer).

As part of the self-assessment, the applicant 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 the external inspections from Q-CERT. The subcontractor(s) shall agree that Q-CERT is allowed to verify the assessments through on-site inspection.

In case of cancellation of a producer's contract, said producer will not be accepted for GLOBALG.A.P. Certification for the next 12 months from the cancellation date.

In case of a producer not committing to continue his certification for the next cycle, Q-CERT will take the necessary steps to avoid cases of a certificate being used to cover more than one cycle for the same product, by reducing the period of validity of the certificate. Q-CERT will set the deadline for recertification.

### **3. Q-CERT RESPONSIBILITIES**

Q-CERT must send the audit plan to the management of the applicant prior to the audit.

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

In case of a justified refusal of an unannounced inspection, the certificate holder must receive a written notification by Q-CERT.

In case of a non-conformance being observed during the inspection, a warning must be given to the producer that must be closed within 28 calendar days. In case of the cause of the aforementioned warning not being resolved within 28 calendar days the warning's status is set as "open non-conformance" in the GLOBALG.A.P. Database and an official letter of formal notice is sent to the producer.

The producer must be informed in detail of his financial obligations and on the occasion that a further visit to his premises is required to demonstrate the resolution of a non-conformance, there may be a new charge.

In case of Q-CERT wishing to expire its' Accreditation or in case of Q-CERT losing its' GLOBALG.A.P. approval, a written letter of notice must be sent to all Q-CERT clients informing them of how they can be re-certified or be transferred to another CB. Q-CERT must also notify the Accreditation Body.

Q-CERT is responsible:

- For informing its' clients about any document updates (version number, date of modification, and document code) that are communicated to our CB by GLOBALG.A.P.
- For informing its' GLOBALG.A.P. clients about all relevant updates as well as dates of first application and grace periods for every new version of GLOBALG.A.P. normative documents.

- For informing the producer about the procedures in application concerning complaints and appeals. In case Q-CERT does not respond adequately, the complaint can be addressed to the GLOBALG.A.P. Secretariat using the GLOBALG.A.P. Incident/Complaint Form, available on the GLOBALG.A.P. website.
- For informing and explaining to the producer/producer group the Data Access Rules document that is available on the GLOBALG.A.P. website as well as any of its' updates as they happen.

Data access rights must be defined and signed by the producer/producer group during registration with the Q-CERT. The data owner is responsible for granting and determining the level of rights for data access. The data owner, however, can transfer the responsibility to other users (eg. Q-CERT).

Only authorized members of the system have access to the data eg. the producer, Q-CERT, GLOBALG.A.P., market participants, the public, etc.

Any further access to the producer's personal data is illegal and is prevented by the operator of the database in accordance with the German Federal Data Protection Act.

#### **4. SANCTIONS**

Certificate holders that are sanctioned cannot be transferred to a new CB until the current CB has resolved all applicable non-conformances.

In case a non-conformance is observed Q-CERT must apply a sanction (warning, suspension or cancellation of the certificate).

The right to lift the sanction is ONLY limited to Q-CERT or the producer group which issued the sanction, as long as there is sufficient and valid proof of the corrective action within a reasonable time frame (either through a subsequent inspection or some other written or visual proof).

#### **5. SCOPE SUSPENSION**

If, in case of subsequent inspection, the cause of the warning is not resolved within the defined period of 28 days, a suspension must be imposed by Q-CERT immediately.

Scope suspension may concern one, some or all certified scopes and is applied to the whole scope and not partially.

If a producer notifies Q-CERT that the non-conformance is resolved before the end of the defined period, the respective sanction can be lifted, subject to satisfactory proof and closing.

When Q-CERT imposes the scope suspension then also defines the required period for resolving.

If the cause of the suspension is not resolved within the defined period, a cancellation is imposed.

## **6. SELF-DECLARED SCOPE SUSPENSION**

A certified company may voluntarily ask Q-CERT for a suspension of one, several or all of the scopes covered by the certificate (unless Q-CERT has already imposed a sanction). This can occur if the company experiences difficulty with compliance to the standard and needs time to close any non-conformance.

This suspension will not delay the renewal date, nor will it allow the company to avoid paying registration and other applicable fees.

The deadline for closing non-conformance is set by the declaring company, which must be agreed upon with Q-CERT.

## **7. NOTIFICATION AND APPEALS**

The producer must either resolve the non-conformances communicated or appeal to Q-CERT in writing against the non-conformances, explaining the reasons for the appeal.

If the non-conformances are not resolved within the permitted period, the sanction will be escalated.

## **8. EXTENSION OF CERTIFICATE VALIDITY**

The validity of the certificate may be extended beyond the 12 months, for a maximum of 4 months, only under the following conditions:

- Q-CERT re-accepts the product in the GLOBALG.A.P. Database for a full next cycle within the original validity period of the certificate
- The full registration fee shall be paid for the next cycle
- The certified company shall be re-inspected during that extension period

If a certificate that was not extended and not "re-accepted" expires and the subsequent inspection (to be performed by the same CB) is going to take place in less than 12 months after the expiration date, a valid justification must be given and a new certification cycle shall start. By setting the same "valid to" date as before, the old cycle can be reinstated. The cycle cannot be changed if the certificate was extended and a product "re-accepted" during the old certification period/cycle.

Q-CERT shall apply the rules for initial (first) inspection if the certificate expired for more than 12 months

## **9. USE OF GLOBAL G.A.P. TRADEMARK & QR CODE LOGO**

The GLOBAL G.A.P. Trademark and QR CODE LOGO Use Requirements are described in detail in the GLOBALG.A.P Sublicense and Certification Agreement. Indicatively, the following apply:

- Certificate holders, for as long as they are in suspension, may not use the GLOBALG.A.P trademark/QR Code Logo, the license/certificate or any other kind of document connected in any way with GLOBALG.A.P. in relation to the product in suspension.
- The GLOBALG.A.P. trademark must never appear on the product, consumer packaging of products intended for human consumption or at the point of sale where it is in direct connection with single products. The GLOBALG.A.P. trademark must never be used on promotional items, apparel items or accessories of any kind, bags of any kind or personal care items as well. Producers may only use the GLOBALG.A.P. trademarks on pallets that contain only certified GLOBALG.A.P. products and that will NOT appear at the point of sale.
- GLOBALG.A.P. certified producers may use the GLOBALG.A.P. trademark and the QR code logo in business-to-business communication, and for traceability, segregation or identification purposes on site at the production site.
- The QR code logo may appear on the product, consumer packaging of the product or at the point of sale where it is in direct connection with certified products.