



GLOBALG.A.P. Chain of Custody General Regulations

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1 INTRODUCTION

GLOBALG.A.P. is a brand of smart farm assurance solutions that brings farmers and retailers together to produce and market safe food and build a sustainable future.

By requiring producers to minimize detrimental environmental impacts of farming operations, reduce the use of chemical inputs, and ensure a responsible approach to worker health and safety as well as animal welfare, the GLOBALG.A.P. standards aim to reassure consumers about how food is produced.

Chain of Custody (CoC) certification ensures that – at all points along the supply chain from individual producer or producer group with GLOBALG.A.P. certified production processes all the way to a final product labeled with a GLOBALG.A.P. claim – the product is traceable (traceability) and kept apart from products whose production processes are not certified (segregation). CoC certification is also *mandatory* for retail stores and restaurant chains selling bulk products originating from GLOBALG.A.P. certified production processes and labeled with the visual elements of the GGN label.

Since the introduction of the GGN label (www.ggn.org) and the GGN label portal, CoC certification is *mandatory* for GGN label licensees and is used to identify the supply chain actors who take legal ownership of or physical control over a product originating from GLOBALG.A.P. certified production processes.

The use of the GLOBALG.A.P. claim in business-to-consumer communication is *reserved* for companies:

- With a valid GLOBALG.A.P. CoC certificate and a GGN label license
- With a valid GLOBALG.A.P. CoC certificate, Produce Handling Assurance (PHA), Compound Feed Manufacturing (CFM), or Integrated Farm Assurance (IFA) that print the GGN/CoC Number on the consumer item packaging *without* the visual elements of the GGN label.

The GLOBALG.A.P. Chain of Custody (CoC) standard is not a food safety standard and does not result in food safety certification. It is recommended that all parties that handle and pack products originating from GLOBALG.A.P. certified production processes obtain a – preferably GFSI-recognized – food safety standard certificate. However, this is not obligatory, except in the cases mentioned below.

Food safety standard certificates are required at those production sites where products are processed (cutting, slicing, dicing, freezing, preparing for cold storage, or quick freezing such as IQF (individual quick freezing)) to the extent that the product remains visibly identifiable. Additional certification is also required for those production sites where products derived from animals raised in certified aquaculture or certified production of livestock are processed. All such production sites shall, at the time of the audit, be certified according to a GFSI-recognized food safety standard, an accredited Codex Alimentarius–based HACCP (Hazard Analysis and Critical Control Points) certification system, or any other GLOBALG.A.P. recognized food safety standard for the product and process to be certified against CoC.

This document describes the certification rules for any party seeking certification against the CoC standard. The objective of this standard is 1) to assure consumers and corporate clients that any product sold as a product from GLOBALG.A.P. certified production processes comes from a producer with GLOBALG.A.P. certification, and 2) to prevent products originating from GLOBALG.A.P. certified production processes being replaced or diluted with products originating from noncertified production processes, either in error or for the purpose of economic gain (food fraud).

The 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 Technical Committee for their dedication and voluntary work. The members' names can be viewed on the GLOBALG.A.P. website under [Governance](#).

To facilitate the continuous improvement process and to make this standard as practical as possible, please send any comments and suggestions to standard@globalgap.org.

1.1 Terminology

- a) The term “shall” is used throughout the GLOBALG.A.P. normative documents to indicate mandatory provisions.
- b) The term “certified products” refers to any products originating from an IFA certified production process.
- c) The term “certified producer” refers to an individual producer or producer group whose production processes have been certified. Whenever the term “producer” is used, it shall refer to persons (individuals) or businesses (companies, individual producers, or producer groups) that are legally responsible for the production processes and the products of the respective scope, sold by those persons or businesses.
- d) The term “certified company” refers to a person (individual) or business who is legally responsible for the processing, packing, trading, transport, slaughtering, or sales of IFA 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. The identity preservation method shall be used whenever the GGN is used as the traceability (batch) code. The identity preservation method prohibits the physical mixing of certified loose products with other certified or noncertified loose products. If products are individually labeled according to the CoC requirements, they may be mixed with individually labeled noncertified products, e.g., one pallet can contain certified and noncertified consumer-ready packed and labeled products. Products originating from different certified individual producers (Option 1 – individual producer or Option 3 – individual producer under a GLOBALG.A.P. benchmarked scheme) or from certified producer groups (Option 2 – producer group or Option 4 – producer group under a GLOBALG.A.P. benchmarked scheme) shall not be physically mixed, and the identity preservation of products supplied by the initial individual producer (Option 1 or 3) or producer group (Option 2 or 4) shall be documented accordingly. The certified product shall be traced back to a single certified producer (Option 1 or 3) or producer group (Option 2 or 4).

In the identity preservation method, the company shall label the final product with its CoC Number and/or with the GGN of the initial individual producer (Option 1 or 3) or producer group (Option 2 or 4).

Note: Mixing of products refers to the mixing of loose products and does not include the mixing of different packages of packed and labeled products. For example, sealed and labeled packages of certified products can share a pallet with sealed and identified packages of noncertified products; however, it is not allowed to have certified and noncertified products packed together.

- f) The term “site” refers to those production, processing, handling, storage, and final sale facilities (i.e., consumer 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 which treats, transforms, or prepares certified products.

- 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 originating from a variety of certified producers.

Physical mixing of certified products originating from different certified producers 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 noncertified 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 an individual 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 individual 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’s/packer’s CoC Number shall be specified. Multi-ingredient retail consumer items including noncertified products are not allowed for the plants scope.

- j) The term “logistic unit” refers to methods of packing products together for transport and storage, such as in pallets or bins. Logistic units may take many forms and contain any combination of items packed 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) Legislation relevant to control points and compliance criteria (CPCCs) more demanding than GLOBALG.A.P. overrides the GLOBALG.A.P. requirement. Existence of legislation relevant to a specific CPCC does not change the level of that criterion to Major Must. The CPCC levels shall be kept as defined in the CPCC documents and checklists approved and published on the GLOBALG.A.P. website.
- n) FoodPLUS GmbH and GLOBALG.A.P. approved CBs or verification bodies (VBs) do not assume any responsibility with respect to any company’s compliance with applicable legislation. No audit, assessment, or certification performed by the CBs (or VBs), or any other action performed by FoodPLUS GmbH or by the CBs (or VBs) aims at certifying legislative compliance of the company but only compliance with the GLOBALG.A.P. CPCCs.
- o) The GGN consists of the “GGN” prefix and a 13-digit number, not including the GLOBALG.A.P. trademarks. It is unique to each and every producer/other legal entity in the GLOBALG.A.P. system (GLOBALG.A.P. IT systems). The GGN identifies a registered or certified producer that produces and, if applicable, initially packs or processes the product.
- p) Accredited Codex Alimentarius–based HACCP system certification refers to a HACCP or other HACCP-system-based certification performed by ISO/IEC 17065 accredited CBs.

1.2 Traceability and the 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), the chain of custody is limited to the product's GLOBALG.A.P. claim and mitigating the risk of certification fraud through input verification, product identification, segregation, etc. The chain of custody makes use of traceability records to identify the supply chain actors who take legal ownership of or physical control over a certified product. In this way, it is possible to establish clear links between the initial certified production process (producer(s)) and the final product.

1.3 GLOBALG.A.P. IT systems and GGN label portal

The GLOBALG.A.P. IT systems are a critical tool that indexes all certified producers worldwide, including all their relevant product and certification information. The GLOBALG.A.P. IT systems function by assigning globally unique identification numbers:

- A GLOBALG.A.P. Number (GGN) is assigned to each registered individual 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 producer/company.

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

- The GGN will indicate the product's initial certified producer and link to their profile, which displays information about the producer, their products, a location map, certification details, and links to their social and other electronic media.
- The CoC Number will indicate the supply chain certified companies and link to their profiles displaying information about each of them.

The certification information displayed to consumers in the GGN label portal is taken from the GLOBALG.A.P. IT systems.

1.4 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 noncertified products for the purpose of economic gain. It is designed to manage the risk of accidental or deliberate

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

As the standard requires systematic verification of the GLOBALG.A.P. claim at each transaction point in the supply chain, buyers can be confident that the products they purchase as certified originate from a certified producer. 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/company is investigated.







If 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. IT systems, 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.

1.5 CoC standard principles

The CoC standard principles are:

1. The **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 direct suppliers' (one step back) certification status in the GLOBALG.A.P. IT systems. The verification involves 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 the GLOBALG.A.P. Secretariat each time a supplier fails the GLOBALG.A.P. certificate verification for CoC.
3. The **traceability system**, based on each company's own WMS (warehouse management system). aims to assure traceability of the final product to one (identity preservation method) or multiple (segregation method) certified producer(s).
4. **Identification and labeling** of outgoing shipments (e.g., transport documents) and logistic units (e.g., pallets), as well as outgoing trade items (boxes, crates, etc.) and retail consumer items (containers, bags, nets, shrink wrap, etc.). Bulk, loose, or itemized retail consumer items with the visual elements of the GGN label shall be identified at the store counter.

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

IFA certification	CoC certification				
 GLOBALG.A.P. CERTIFIED PRODUCER GGN: 12345678910	 GLOBALG.A.P. (CoC) CERTIFIED PACKER CoC: 11111111111	 GLOBALG.A.P. (CoC) CERTIFIED BROKER CoC: 22222222222	 GLOBALG.A.P. (CoC) CERTIFIED PACKER CoC: 33333333333	 GLOBALG.A.P. (CoC) CERTIFIED BROKER CoC: 44444444444	 RETAIL DISTRIBUTION CENTER, RETAIL STORE, RESTAURANT
In case of parallel ownership: product is labeled with GGN of producer On-product labeling obligatory	CoC Number of company # 1 + Traceability code* and/or GGN of producer	Broker does not label (label does not change)	CoC Number of company # 3 + Traceability code* and/or GGN of producer	Broker does not label (label does not change)	GGN label logo displayed with bulk product + CoC Number of company # 3 and/or GGN of producers
Product is labeled with GGN of producer On-product labeling voluntary	CoC Number of company # 1 and/or GGN of producer	Broker does not label (label does not change)	CoC Number of company # 3 and/or GGN of producer	Broker does not label (label does not change)	N/A
GGN of certificate holder + “xx kg of GLOBALG.A.P. certified apples” Obligatory on transaction documents (e.g., sales invoices)	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”	N/A (product is sold to final consumer)

*The traceability code identifies the individual producer’s GGN or producer group’s GGN for each batch.

2 DOCUMENTS

2.1 Normative documents

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

- a) GLOBALG.A.P. sublicense and certification agreement: contract between the CB and the legal entity applying for certification. Sets 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 (CPCCs): document that sets the compliance requirements for the company/producer.
 Note: Guidelines referenced in the CPCCs to guide the company/producer to comply with the requirements are *not* normative documents.
- d) GLOBALG.A.P. Chain of Custody checklist: This document is used for all audits and self-assessments. Once available, the CBs shall use the GLOBALG.A.P. IT systems.
- e) GLOBALG.A.P. chain of custody general regulations (this document): regulations that define how the certification process works as well as the requirements for related issues.
- f) GLOBALG.A.P. general regulations
- g) GLOBALG.A.P. data access rules
- h) GLOBALG.A.P. fee table
- i) GGN label license agreement (including “GGN label regulations and sanctions”)
- j) Any applicable GLOBALG.A.P. add-on(s) (such as GRASP)
- k) GLOBALG.A.P. trademarks use: Policy and guidelines
- l) National interpretation guidelines (NIGs): provide CPCCs clarification and adaptation to the relevant country. Only available for countries where approved by the technical committee. These become obligatory for use as soon as they are approved and published.

2.2 Normative and obligatory document control

- a) The latest versions of all normative documents can be downloaded free of charge from the GLOBALG.A.P. website (www.globalgap.org).
- b) Language: Original documents are in English. Normative documents are translated into selected languages and published on the GLOBALG.A.P. website. Once published, these official GLOBALG.A.P. documents shall be used for certification in that language. In the case of a discrepancy between translations, the English version shall prevail.
- c) Changes to documents.
 1. Normative documents are identified with a unique document code, version number, and date.
 2. The date in the version name indicates the date of publication of the document.
 3. Version number: A change in the first digit (e.g., change from 5.0 to 6.0) indicates changes in the requirements and a version change. A change in the second digit (e.g., change from 6.0 to 6.1) indicates a version update. A change in other digits (e.g., change from 6.0 to 6.0-1) indicates an edition update.
 4. Updates can be made independently in the general regulations and CPCC documents.
 5. It is the responsibility of the CBs to inform their clients of all version and edition changes and updates.
 6. Version and edition updates are summarized and indicated in the version/edition update register at the end of a document. Version changes are summarized and published separately.

3 CERTIFICATION OPTIONS

Under the CoC standard, the applicant can apply for certification under one option, individual certification, with three sub-options.

Note: Group certification (Option 2) is not allowed under the CoC standard. However, a producer group with IFA certification 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. A member of the producer group cannot apply for CoC certification within their own producer group. Within a producer group, the quality management system (QMS) shall secure traceability and segregation.

3.1 Option 1 – individual certification

- a) An individual producer/company applies for certification (CoC standard).
- b) The individual producer/company is the certificate holder once certified.

3.1.1 Option 1 – single site

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

3.1.2 Option 1 – multisite

- a) A producer/company owns several processing, handling, storage, final consumer sale, or administrative sites that do not function as separate legal entities.
- b) In the case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administered shall be assessed internally, and audited and certified by a CB. This applies equally to subcontractors and the administrative sites of brokers that do not touch the product.
- c) Sampling of sites for internal and CB audits is not allowed, except for retail stores and restaurants which may be sampled for CB audits; see Table 1.
- d) All sites will be registered as one legal entity with one 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 the case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administratively managed shall be inspected internally. This applies equally to any subcontractors of those sites.
- c) Sampling of sites for CB audits is allowed for stores, distribution centers, and restaurants. These may be sampled for CB audits, following the figures given in Table 1.
- d) The selection process shall include randomly selected sites and shall ensure that the overall sample selected is representative of the multisite under evaluation and covers the widest possible range in terms of:
 - (i) Geographical distribution
 - (ii) Size of the participating sites (number of workers)
 - (iii) Activities and/or number of products

- e) The CB shall avoid visiting the same participating sites in consecutive audits unless there are clear and justified reasons for doing so (e.g., this is deemed necessary for the evaluation of corrective action requests or complaints received about the organization).
- f) The central office shall be audited by the CB during each audit in addition to the selected participating sites.
 - (i) At least 10% of audited sites shall be audited as an unannounced CB audit.
 - (ii) At least one traceability exercise shall be performed per site.
- g) If more than three Major Must nonconformances are raised during the CB audit, the unannounced sample shall be increased to 50% of the sample size, and two traceability tests per site shall be done during the next CB audit to assure that corrective actions implemented remain effective.
- h) All sites will be registered as one legal entity with one CoC Number.

Table 1 Site sampling

Total number of sites	Number of sites to be visited during a CB audit	
	Initial CB audit	Subsequent CB audit
1 to 3	1	1
4 to 6	2	1
7 to 9	3	2
10 to 16	3	2
17 to 25	4	2
26 to 36	4	2
37 to 49	4	2
50 to 64	5	3
65 to 84	5	3
85 to 100	5	3
101 to 121	6	4
122 to 144	6	4
145 to 169	7	5
170 to 196	7	5
197 to 225	8	5
226 to 256	8	5
257 to 289	9	6
290 to 324	9	6
325 to 361	10	6
362 to 400	10	6
401 to 441	11	6
442 to 484	11	6
485 to 529	12	7
530 to 576	12	7
577 to 625	13	7
626 to 676	13	7
677 to 729	14	8
730 to 784	14	8
785 to 841	15	8
842 to 900	15	8
901 to 961	16	8
962 to 1024	16	8
Over 1024	Square root multiplied by 0.5, rounded up	Square root multiplied by 0.25, rounded up

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4 REGISTRATION PROCESS

4.1 CBs

- a) The applicant shall, as a first step, choose a GLOBALG.A.P. approved CB. Contact information of 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., the CoC standard).
- b) The applicant shall register with an approved CB and receive its own CoC Number.
- c) The chosen CB is responsible for the audit and certification process and for the registration in the GLOBALG.A.P. IT systems.
- d) Each CB shall set up and explain to its prospective clients its own detailed fee structure and specify the relevant GLOBALG.A.P. system participation fee, which the CB pays to the GLOBALG.A.P. Secretariat for each particular client.
- e) The CB is responsible for data handling and registration in the GLOBALG.A.P. IT systems.

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 the GLOBALG.A.P. Secretariat and by the CB
 - (iii) Communication to the CB of any registration data updates
 - (iv) Compliance with the terms and conditions of the sublicense and certification agreement
 - (v) Compliance with the GGN label license agreement, when applicable.
- b) This information is used by the GLOBALG.A.P. Secretariat to supply the applicant with a unique number (CoC Number).
- c) The CoC Number consists of the "CoC" prefix and a 13-digit number, not including the GLOBALG.A.P. logos/trademarks. It is unique to each and every company/other legal entity in the GLOBALG.A.P. system (GLOBALG.A.P. IT systems). If a company already has 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 GLOBALG.A.P. certificates for IFA and/or CFM.
- d) The CoC Number identifies a registered or certified CoC company that handles, processes, stores, sells, or trades the certified product post-farm.
- e) The CoC Number will be used as a unique identifier for all GLOBALG.A.P. activities.
- f) 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 a GLOBALG.A.P. standard.

- g) Confidentiality, data use, and data release:
- (i) During registration, applicants give written permission to the GLOBALG.A.P. Secretariat/FoodPLUS GmbH and the CBs to use the registration data for internal processes and sanctioning procedures.
 - (ii) All data in the GLOBALG.A.P. IT systems is available to the GLOBALG.A.P. Secretariat as well as the CB 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 in the GLOBALG.A.P. data access rules available at www.globalgap.org. The following data are included in the minimum level and are available to the public: the GGN, CoC Number, GLOBALG.A.P. certificate number, 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, 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 sublicense and certification agreement and cannot be certified.
- h) The service contract between the CB and the producer/company may be valid for up to four years, with subsequent renewal for periods of up to four years. The service term shall be given in the sublicense and certification agreement
- i) An applicant producer/company:
- (i) Is not permitted to register products in one scope (plants, livestock, or aquaculture) with different CBs, but may use different CBs for different scopes (e.g., it is possible to register apples/plants 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 CBs.
 - (ii) Is not permitted to register a site multiple times for the same scope.
 - (iii) Is not permitted to 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) Is not permitted to register sites in different countries with any CB. The GLOBALG.A.P. Secretariat may grant exceptions on a case-by-case basis or within NIGs (if made available).

4.2.2 Registration with a new CB

- a) If an applicant that has already been registered changes their 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 the GLOBALG.A.P. Secretariat to the new CB. Failure to do this will result in an additional service fee of €100 per individual applicant in addition to the registration fee.
- b) 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 is used, the applicant shall sign the GGN label 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 a CB audit 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 of 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 IFA scopes (for IFA version 5: the scopes crops base, aquaculture, livestock base, and all sub-scopes; for IFA version 6: the scopes plants and aquaculture, and all product categories). 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., that is 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 may include products which are processed by means such as cutting, slicing, dicing, freezing, and/or quick freezing (IQF) to the extent that the original product remains visibly recognizable. For example, it is possible to certify sliced mushrooms, diced pumpkin, cut melon, frozen peas, etc.; it is not possible to certify orange juice, apple puree, vegetable soups, etc.
- d) In the case of salad mix or other mixed products (in the fruit and vegetables product category), all products included shall be GLOBALG.A.P. certified.

- e) Any sites where products originating from certified production of fruit and vegetables are processed (cut, sliced, diced, and/or frozen) shall be certified according to a GFSI-recognized food safety scheme, an accredited Codex Alimentarius–based HACCP certification system (third-party certification), or a GLOBALG.A.P. recognized food safety standard in order for the product and process to be certified for CoC at the time of the CB audit. Only the GFSI-recognized food safety certification is displayed on the GLOBALG.A.P. CoC certificate.
- f) Any sites where animal products originating from certified production of livestock or aquaculture are processed shall be certified according to a GFSI-recognized food safety scheme, an accredited Codex Alimentarius–based HACCP certification system (third-party certification), or a GLOBALG.A.P. recognized food safety standard in order for the product and process to be certified for CoC at the time of the CB audit. Only the GFSI-recognized food safety certification is displayed on the GLOBALG.A.P. CoC certificate.
- g) For aquaculture, the CoC certification scope includes all types of processed products.
- h) For aquaculture, the animal-welfare–related control points apply to companies where live farmed aquatic species are handled. These control points include the farmed aquatic species slaughter conditions as well as primary processed (chilled, frozen, etc.) farmed aquatic species (see: CoC CPCCs part I, section 6).
- i) For livestock, the CoC certification scope includes only fresh-cut meat and milk. The slaughtering process shall be audited by a CB and certified in combination with a GFSI-recognized food safety scheme or with an accredited Codex Alimentarius–based HACCP certification system (third-party certification) or with a GLOBALG.A.P. recognized food safety standard. For livestock, the CoC certification scope includes only milk pasteurizing, but no further processing.
- j) For tea, the CoC certification scope includes only those preprocessed tea products that are the output of IFA-certified tea producers.
- k) For hops, the CoC certification scope includes only that preprocessed hop that is the output of IFA-certified hops producers.

4.4.2 Producers/Companies in the scope

- a) Any party in the supply chain that takes legal ownership and/or physical control over a certified product falls within the scope of this standard.
 - (i) 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).
 - (ii) Physical control occurs when the company may or may not legally own the product but takes physical possession at any point in the supply chain (acts as subcontracted company).

- b) All parties in the supply chain that have legal ownership of certified products and perform at least one of the following activities shall be certified according to this standard:
- (i) Selling or trading IFA-/CoC-certified products with a GLOBALG.A.P. claim on sales documents
 - (ii) Packing and/or labeling products with a GGN, CoC Number, or the visual elements of the GGN label
 - (iii) Changing the composition of (e.g., processing, slaughtering, packing different batches and mixing product from different producers) or assigning a new identity to (repacking, relabeling, etc.) the products sold with the GLOBALG.A.P. claim
 - (iv) Selling bulk product with the visual elements of the GGN label (such parties include retail stores and restaurants commercializing bulk products with the visual elements of the GGN label)
- c) Companies subcontracted to carry out the above activities without legal ownership of the product at any stage (physical control of the product only) are not required to be certified according to this standard, but it is recommended. In order for CBs to schedule audits at all relevant premises (subcontracted storage, labeling, processing sites, etc.), subcontracted activities that fall within the scope of the CoC certification shall be declared during registration or whenever a subcontractor or subcontracted activity is added. Subcontractors shall be audited by CBs according to the risk of misidentification, substitution, or dilution of certified products with noncertified products. 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 who trade (buy and sell) certified products, including producers who act as traders for certified products that are not grown on the farm and are purchased externally, shall be certified according to this standard. This includes retail store distribution centers when selling products with the GLOBALG.A.P. claim to other companies outside the retail store network.
- (i) Traders' and brokers' sites shall be classified by CBs according to the risk of misidentification, substitution, or dilution of certified products with noncertified products.
 - (ii) Traders and brokers who engage directly or via subcontractors in (re)processing, (re)packing, and/or (re)labeling of certified products, who engage directly or via subcontractors in storage and handling of bulk products (unpacked, unsealed, or unlabeled), or who engage in storage and handling of packed, but unlabeled products are classified as high-risk.
 - (iii) Traders and brokers who engage directly or via subcontractors in cross-docking, storage and/or handling exclusively of products that are consumer-ready, packed, and tamperproof are classified as low-risk.
 - (iv) Traders and brokers who take legal ownership but do not physically handle certified products are classified as low-risk.
 - (v) All traders and brokers shall be certified. Those classified as low-risk (i.e., brokers, traders, and exporters that do not store, handle, or relabel the product and have no physical contact with it) are eligible for an administrative audit, which may be conducted remotely.

- e) Any subcontracted livestock transport shall be covered under the slaughterhouse's GLOBALG.A.P. CoC certificate or under the trader's GLOBALG.A.P. CoC certificate.
- f) In general, all producers/companies trading in unlabeled products and/or labeling/relabeling the product with the GGN and/or with the CoC Number and/or with the visual elements of the GGN label shall be certified according to this standard.

4.4.3 Producers/Companies beyond the scope

The following are not subject to CoC CB audits 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 traceability and segregation requirements for producers who engage in parallel ownership or parallel production of both certified and noncertified products are already included in the scope of the IFA certification; see Table 2 for examples.

Table 2 IFA certified producer

Own production of...	Packing and sale of...	Applicable standard(s) Note: PP: parallel production PO: parallel ownership
Certified apples	Own produced certified apples only	IFA for apples PP: no PO: no CoC: N/A
Certified and noncertified apples	Own produced certified and noncertified apples only	IFA for apples PP: yes PO: no CoC: N/A
Certified apples	Own produced certified apples + purchased certified apples	IFA for apples PP: no PO: no CoC: N/A
Certified apples	Own produced certified apples + purchased noncertified apples	IFA for apples PP: no PO: yes CoC: N/A

Own production of...	Packing and sale of...	Applicable standard(s) Note: PP: parallel production PO: parallel ownership
Certified and noncertified apples	Own produced certified and noncertified apples + purchased noncertified apples	IFA for apples PP: yes PO: yes CoC: N/A
Certified apples	Own produced certified apples + purchased certified oranges	IFA for apples PP: no PO: no CoC for oranges

Note: In IFA version 6, parallel production (PP) and parallel ownership (PO) are collectively called parallel ownership (PO).

- b) Companies that trade in or handle products originating 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, tamperproof packaging to final consumers do not need CoC certification. Note: This includes wholesaler self-service stores' own distribution sites (e.g., wholesale cash and carry), except when the distribution center acts as a trader in the supply chain, i.e., selling products to other companies outside the retailer network
- d) Freight forwarders (including sea or air freight transportation) 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 with potential impact on the GLOBALG.A.P. claim (mislabeling, false claims, exceeded maximum residue limit, 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 CoC standard.

In such cases, one of the following applies:

- (i) If the CB conducts the investigation, the findings and actions taken will be reported to the GLOBALG.A.P. Secretariat.
- (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.

GLOBALG.A.P. will give the certified entity a certain amount of time to do this. 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/IEC 17025) and independent sampling shall be used.

5 AUDIT PROCESS FOR OPTION 1 – SINGLE SITE AND MULTISITE PRODUCERS

In order to achieve certification, a registered company shall conduct a self-assessment and be audited by the chosen CB.

This section applies to applicants that are a single legal entity (individual 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 CB audits to be undertaken before a GLOBALG.A.P. CoC certificate is issued (initial CB audit) and annually thereafter (subsequent CB audit):

Table 3 Initial and subsequent audit

Self-assessment by the producer/company	1. Entire scope (all registered sites)
CB audit	<p>2. Announced CB audit of entire scope for all registered sites. Note: For Option 1 multisite retail stores and restaurants and for Option 1 multisite retail stores and restaurant chains in franchise, sampling of the sites applies as indicated in Table 1.</p> <p>3. Unannounced CB audit of at least 10% of all certified producers/companies (GLOBALG.A.P. CoC certificate holders).</p>

5.1 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 CB audit and thereafter at least annually before the announced subsequent CB audits against the complete checklist of all relevant scope(s) and registered sites, with the completed checklist available on the site for review at all times
 - (iv) Involve recording comments, evidence, corrective actions, and positive findings for each control point during the self-assessment

5.2 CB audits

- a) The CB audit (announced or unannounced) shall be carried out by a CB auditor (see CB auditor requirements in the general regulations version 5, part III and “GLOBALG.A.P. general regulations – Rules for certification bodies,” version 6).
- b) The CB shall audit the complete checklist (Major Musts, Minor Musts, and Recommendations) of the applicable scope(s).

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

5.2.1 Announced CB audits

- a) Each company shall undergo one announced CB audit and thereafter one CB audit per year.
- b) The CB audit shall cover:
 - (i) All GLOBALG.A.P. certified products
 - (ii) 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 retail stores and restaurant chains in franchise, sampling of the sites applies as indicated in Table 1.

5.2.2 Unannounced CB audits

- a) The CB shall carry out additional unannounced audits annually of at least 10% of all producers/companies the CB has certified per scope.
- b) The CB shall audit all applicable control points. Any findings (e.g., non-compliance) shall be handled in the same way as those found during an announced CB audit.
- c) The CB may inform the company in advance of the intended audit. In general, this notification shall not exceed 48 hours (two working days). In the exceptional case where it is impossible for the company to accept the proposed date (for medical or other justifiable reasons), the company shall receive one more chance to be informed of an unannounced CB audit. 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 unannounced CB audit cannot take place because of unjustifiable reasons, a suspension shall be issued.
- d) The GLOBALG.A.P. Secretariat may request that in the 10% unannounced CB audits, CBs include targeted traceability checks related of products labeled with the visual elements of the GGN label.
- e) If an Option 1 multisite for retail stores and restaurant chains in franchise has been chosen for an unannounced CB audit, the number of sites to be audited shall follow Table 1, column "Subsequent CB audit."

5.3 Audit timing

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

5.3.1 Initial (first) CB audits

- a) This section applies to any applicants seeking GLOBALG.A.P. certification for the first time, to already certified entities changing from one CB to another, and to already certified entities who want to add new types of process to their GLOBALG.A.P. CoC certificate.
- b) No CB audits can take place until the CB has accepted the applicant's registration.

- c) In an initial CB audit, each process for the products to be sold as certified shall be completely audited (all applicable control points shall be verified) prior to issuing the GLOBALG.A.P. 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 the registration date onwards or for at least three months before the first CB audits takes place, and the CB shall audit these records.

5.3.2 Subsequent CB audits

- a) GLOBALG.A.P. certified products and/or related operational records shall be available during the CB audit. GLOBALG.A.P. certified products and/or product handling facilities shall be audited in operation by a CB at least every three years.
- b) The subsequent CB audits can be conducted at any time during an “audit window that extends over a period of eight months: from four months before the original expiry date of the GLOBALG.A.P. CoC certificate, and (only if the CB extends the certificate validity in the GLOBALG.A.P. IT systems) up to four months after the original expiry date of the GLOBALG.A.P. CoC certificate.

Example: first certification date: 14 February 2023 (expiry date: 13 February 2024). Second CB audit can be at any time from 14 October 2023 to 13 June 2024, if the certificate validity is being extended.

- c) There shall be a minimum period of six months between two CB audits for recertification.

5.4 Certificate scope extension

- a) The scope of the GLOBALG.A.P. CoC certificate (i.e., the included processes and products) may be changed during the validity of the certificate.
- b) The certified company shall inform the CB about any changes affecting the scope of the GLOBALG.A.P. CoC certificate. This may include adding or discontinuing processes, products, scopes, and locations/sites.
- c) The certified company shall conduct a self-assessment covering the changes.
- d) The CB shall evaluate the changes and decide whether a new on-site CB audit is required or not. The CB shall record the changes and, if necessary, update the GLOBALG.A.P. IT systems and reissue the GLOBALG.A.P. CoC certificate.

5.5 Remote CB audits

- a) A remote CB audit may be conducted via video conference.
- b) The remote CB audit shall follow the same basic structure as a normal CB audit (i.e., opening meeting, interview, and closing meeting).
- c) The CB auditor shall confirm the identity of the auditee.
- d) Remote CB auditing via email exchange is not permitted. There shall be two-way verbal communication between the CB auditor and the auditee.
- e) A qualified CB auditor shall use the same checklist as in on-site CB audits.
- f) The CB auditor shall send an audit plan before the CB audit.
- g) The remote CB audit may be split into several sessions. At the end of the session(s), the auditor shall send a report summarizing all findings to the auditee for written confirmation and acknowledgement. Receipt of the report shall be documented.

- h) General confidentiality rules apply to the CB concerning all the information/evidence used for the CB audit.

5.6 Subcontractors

A subcontractor can be defined as a person or company that does an activity on behalf of another person or company, while the latter remains responsible for the product. The organization may outsource activities within the scope of its certificate to contractors with and/or without CoC certification.

Activities that are subject to outsourcing agreements are those included in the scope of the organization's GLOBALG.A.P. CoC certificate, such as purchase, processing, packing, storage, labeling, and invoicing of products.

5.6.1 Subcontractors with a valid GLOBALG.A.P. certificate for CoC, PHA, or IFA

If a subcontractor of the GLOBALG.A.P. certificate holder for CoC also holds an own GLOBALG.A.P. certificate for CoC, PHA, or IFA for the same product included on the subcontracted activity, the company shall ensure that their subcontractor's GLOBALG.A.P. certificate for CoC, PHA, or IFA is valid and covers all relevant scopes and activities. The CB does not need to audit each subcontracted site, but can accept the subcontractor's CoC, PHA, or IFA certificate and validate its scope and validity.

5.6.2 Subcontractors without a valid GLOBALG.A.P. certificate for CoC, PHA, or IFA

- a) Subcontractors shall be included in the certificate holder's GLOBALG.A.P. CoC certificate.
- b) The CoC certificate holder is responsible for monitoring the control points applicable to subcontractor activities covered in the CoC standard, by checking and signing the subcontractor(s)'s assessment for each task and process/activity contracted.
- c) As part of the self-assessment, the CoC certificate holder 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 CB audits. Subcontractor assessments can be conducted by an internal on-site or off-site assessment, according to the risk defined under the following section.
- d) The subcontractor(s) shall agree that CoC-approved CBs are allowed to verify the assessments through on-site audit.

5.6.3 Subcontractor CB audit – CB rules for subcontractors

- a) Subcontractors shall be audited by CBs according to the risk of misidentification, substitution, or dilution of certified products with noncertified 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* (processing or packing activity, labeling, a warehouse where unpacked or unlabeled products are stored, etc.).
 - (ii) Subcontractors that engage in storage and handling of packed, sealed, and labeled products with minimal risk of product mixing or identity modification are classified as *low-risk* (cross-docking activities, loading and unloading of packed and labeled products, a warehouse where only packed and labeled products are stored, etc.).

- b) If the subcontractors do not have a CB audit in the form of an own GLOBALG.A.P. certificate for CoC, PHA, or IFA, the CB shall conduct risk-based sampling audits of the subcontractors (on-site CB audit). Subcontractors with high-risk processes related to the scope of CoC ((re)packing, (re)labeling, any type of (re)processing, etc.) shall be audited by a CB every year. The contractor's CoC CB can arrange with a CB in the country/region of the subcontractor to have a local auditor conduct the CB audit of the subcontractor.

Note: This does not apply to those units, 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 audited by the CB and do not receive their own CoC certification.

- c) Subcontractors with low-risk processes (related to the scope of CoC) do not need to be audited 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 subsequent CB audit, and if there are any doubts, the CB may decide to verify the subcontractors through on-site CB audits.
- d) The GLOBALG.A.P. Integrity Program and the CB reserve the right to randomly check and audit these units.

5.6.4 Subcontracted transport

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

Note: Storage sites can be included on the transport exemption where they constitute stopping places as part of transportation or logistic activities. However, if an organization contracts a service provider to store products that have not yet been sold to a customer, this is considered as an extension of the storage site of the organization and is therefore subject to subcontractor risk classification.

6 CERTIFICATION PROCESS

6.1 Non-compliance and non-conformance

- a) *Non-compliance* (with a control point): A CoC control point in the checklist is not fulfilled according to the compliance criteria.
- b) *Non-conformance* (to the CoC certification rules): A CoC rule that is necessary for obtaining the GLOBALG.A.P. CoC certificate is infringed (e.g., non-compliance with one or more Major Must 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. trademarks misuse; payments not made in accordance with contractual conditions; etc.

6.2 Requirements for achieving and maintaining CoC certification

Control points and compliance criteria consist of three categories: Major Musts, Minor Musts, and Recommendations. To obtain CoC certification, the following are required:

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

Minor Musts: The current CoC CPCCs have only two Minor Must control points (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 actions, and/or corrections shall be recorded for all control points. This is obligatory for self-assessments as well as CB audits.

In a multisite operation, the compliance level is calculated in one checklist for the entire operation. Any applicable control points common to all sites (such as a packhouse) 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* CB audits:

If no non-conformance is detected, the CB shall reach a certification decision, issue the GLOBALG.A.P. CoC certificate C, and register the certificate in the GLOBALG.A.P. IT systems within 28 days of the completed CB audit.

If a 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 GLOBALG.A.P. IT systems.

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

- c) For *subsequent* CB audits:

If no non-conformance is detected during a subsequent CB audit, the CB shall reach a certification decision, issue the GLOBALG.A.P. CoC certificate, and register the certificate in the GLOBALG.A.P. IT systems within 28 days after the CB audit’s completion.

If a non-conformance is detected during a subsequent CB audit, 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 CB audit has been concluded. This means that a maximum of 56 days is allowed between a subsequent CB audit in which non-conformance has been detected and the update of the company’s/producer’s status to “recertified.”

However, if the review of the submitted evidence is negative (or if the company has not submitted any corrective actions), the suspension shall be registered within 28 days of completion of the CB audit.

If a non-conformance is identified during the report review (and not during an CB audit), 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 GLOBALG.A.P. 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 recertify the company until the GLOBALG.A.P. 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. complaint form, available on the GLOBALG.A.P. website (www.globalgap.org).

6.4 Sanctions

- a) If a non-conformance is detected, the CB shall apply a sanction for the whole legal entity (warning, suspension of a product, or cancellation) as indicated in this section.
- b) The company cannot change 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 CB audit or other written or visual evidence).

6.4.1 Warning

- a) A warning is issued for all types of non-conformances detected.
- b) If a non-conformance is detected during a CB audit, the company shall be served a warning when the audit is completed. This warning is issued in the form of a provisional report that can be overridden by the CB.
- c) Initial CB audit:
 - (i) Outstanding non-conformances shall be closed within three months of the date on which the CB audit was completed. If the company does not conform to 100% of Major Musts and/or fails more than one Minor Must control point within 28 days after an initial CB audit, the status "open non-conformance" is set in the GLOBALG.A.P. IT systems.
 - (ii) If the cause of the warning is not resolved within three months, a complete CB audit shall be conducted before a GLOBALG.A.P. CoC certificate can be issued.
- d) Subsequent CB audit:
 - (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 logos/trademarks, 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

- a) A certified producer/company may voluntarily ask the respective CB(s) for a suspension of one, several, or all of the scopes covered by the GLOBALG.A.P. CoC certificate (unless a CB has already imposed a sanction). This may occur if the company experiences difficulty with conformance to the standard and needs time to close out any non-conformance.
- b) The company's status shall change to "self-declared suspension" on the scope level.
- c) The deadline for closing the non-conformance(s) is set by the declaring company. The deadline shall be agreed upon with the respective CB(s), and the non-conformance(s) shall be closed out before the CB may lift the suspension.

6.4.2.2 CB-declared suspension

- a) CBs can issue and lift suspensions to certified entities.
- b) A CB shall issue a suspension when the producer/company cannot show evidence of implementation of effective corrective actions after a warning has been issued.
- c) The CB can issue a suspension for a certain scope, several scopes, or all scopes of the certified entity.
- d) 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 one or more of the following apply:
 - (i) The CB finds evidence of fraud and/or lack of trust in the company's compliance with GLOBALG.A.P. requirements.
 - (ii) The company cannot show evidence of implementation of effective corrective actions after a CB-declared suspension.
 - (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 logos/trademarks, 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 CBs

- a) The GLOBALG.A.P. Secretariat reserves the right to sanction CBs if it receives evidence that the CB has not followed procedures or clauses of the license and certification agreement signed between FoodPLUS GmbH/the GLOBALG.A.P. Secretariat and the CB. For more information, see the general regulations, part III, or the GLOBALG.A.P. CB sanction catalog.

6.7 GLOBALG.A.P. certificate and certification cycle

- a) A GLOBALG.A.P. 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 CB audit is required.
- b) The term “certification cycle” is defined as the period for which the GLOBALG.A.P. CoC certificate is valid and within which the 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 GLOBALG.A.P. certificate information for CoC

- a) In the case of an Option 1 multisite company, all production sites where products registered for certification are handled shall be audited by a CB before the certificate may be issued. In this case, even if the CB may internally use one checklist per site, the result shall be combined into a single checklist including all registered sites and summarizing the result for the whole legal entity.
- b) On completion of the full CB audit process, a full written CB report shall be produced which summarizes the audit activity undertaken, provides objective evidence and information on how the company complies with the requirements of the standard, and, where applicable, lists any non-compliances and/or non-conformances identified.
- c) The audited company’s representative shall sign or confirm the CB audit outcome (including at least the date and duration of the CB audit (start and end time), name of the CB auditor, scope of the CB audit, visited sites, facilities, the result in % of compliance for the different levels of control points, and list of findings) during the closing meeting. A documented or electronic confirmation by the company is accepted as equivalent to the auditee’s signature. In the case of a digital signature, it shall be a genuine and valid one (i.e., JPG images are not considered valid signatures).
- d) Compliance is indicated with a “Yes” (for compliant), “No” (for not compliant), and “N/A” (for not applicable). CPCCs indicated as “No ‘N/A’” shall not be answered as “not applicable.” In exceptions in which the control points are not applicable, the answer shall be given as “Yes” with a clear justification.

- e) Comments shall be recorded according to the guideline for audit methodology, when available, to enable the audit trail to be reviewed after the event. The comments shall include details of evidence checked during the CB audit. If there is no guideline for audit methodology published for a given scope or standard, it is obligatory to provide comments for all the complied, non-compliant, and not applicable Major Must control points, as well as for all non-compliant and not applicable Minor Must control points. This is applicable for CB audits and self-assessments. In the case of self-assessments, comments shall be provided at minimum for all the non-compliant and not applicable Major Musts and Minor Musts. Comments and evidence, such as which document(s) were sampled, which workers were interviewed, etc., shall be site- and product-specific and included in the checklist to ensure that all the control points have been properly audited for all applicable sites and products.
- f) The CB audit report shall contain the following:
 - (i) All data fields marked as required in the GLOBALG.A.P. IT systems (Audit Online Hub checklist), when made available for CoC
 - (ii) Scope of the CB audit according to the GLOBALG.A.P. registration data requirements
 - (iii) Calculation of the total applicable Major Must, Minor Must, and Recommendation control points and the % of compliance achieved for each level
 - (iv) List of non-compliances, non-conformances, and follow-up actions agreed on with the company (includes the relevant control points, the finding details based on objective evidence, the deadline for corrective action, a description of the corrective action agreed on with the producer, a reference to objective evidence of implementation of the corrective action, the evaluation results of the corrective action (open/closed), and the relevant dates of these actions)
 - (v) Conclusion of whether the company is compliant
 - (vi) Reviewer(s) name (can also be recorded in another document defined in the CB procedures or in the CB certification management software)
 - (vii) Stage of the CB audit report, i.e., preliminary or final (the CB may further define different CB audit report stages)
- g) The CB audit report shall form the basis by which a decision can be made on the awarding of a certificate.
- h) The person who makes the certification decision, or at least one member of the CB decision-making committee, shall comply with CB auditor qualifications.
- i) The date of the certification decision may be recorded in other places/the system of the CB, not necessarily in the CB audit report, but shall be recorded in the GLOBALG.A.P. IT systems.
- j) Copies of the CB audit report, the objective evidence of implementation of the corrective actions, and/or the fully completed audit checklist shall be provided to regulatory authorities if requested, as per applicable national legislation. They shall also be provided by default to the GLOBALG.A.P. Secretariat and on request to the AB. Any additional release shall not be provided unless the company allows access by written authorization.
- k) The CB reports (CB audit report, corrective action report, etc.) and the completed audit checklist distributed externally shall be write-protected or otherwise controlled to prevent unauthorized modification or tampering prior to distribution.

- l) The fully completed audit checklist shall include all applicable control points, requested comments, findings, and the objective evidence of implementation of the corrections and/or corrective action. The CB shall provide the final CB audit report including the completed audit checklist to the company where the country of destination (as registered in the GLOBALG.A.P. IT systems) includes the USA and/or Canada, at the latest by the time of the certification decision. Additionally, if any producer requests it, the CB shall provide the full CB audit report including the completed audit checklist within five working days of its completion. It is not obligatory for the CB to send out a report before it has been through internal technical review. If the automatically generated CB audit report (including the checklist) is available from the GLOBALG.A.P. IT systems, this report shall be used.
- m) When made available for CoC, the CB audit report and the completed audit checklist shall be uploaded/transferred to the GLOBALG.A.P. IT systems.
- n) The CB shall have processes in place to address situations where translations of the reports are requested.
- o) The paper certificate issued by a CB shall be comparable to the GLOBALG.A.P. certificate template for CoC (Annex I.3). The format may be different, but it shall include, at a minimum, the same information.
- p) The paper certificate is valid only if it matches the information available in the GLOBALG.A.P. IT systems for that unique certified company.
- q) The paper certificate issued by a CB shall be in English. Additional language(s) may be added.
- r) “Date of certification”: date when the CB makes the certification decision after all non-conformances have been closed out (e.g., 14 February 2023)
- s) “Valid from”:
 - (i) For initial CB audits: The initial date of validity is the date on which the CB makes its final certification decision (e.g., 14 February 2023).
 - (ii) For subsequent CB audits: The “valid from” date for subsequent certificates issued shall be one year from the “valid from” date of the original certificate (14 February 2023, 14 February 2024, 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 2023; date of new certification decision: 25 February 2023; new “valid from” date: 25 February 2023; *new “valid to” date: 13 February 2024*).
- t) “Valid to”:
 - (i) For initial CB audits: 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 CB audits: The validity date for subsequent certificates issued shall always be calculated from the “valid from” date on the original certificate (13 February 2023, 13 February 2024, etc.).
- u) Where available, the CB shall use the audit report template issued by the GLOBALG.A.P. IT systems.

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 reaccepted in the GLOBALG.A.P. IT systems 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 reaudited by a CB during that extension period.
- b) If a certificate expires without extension or being reaccepted and the subsequent CB audit (to be conducted 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 reaccepted during the old certification cycle.
- c) The CB shall apply the rules for initial (first) CB audit if the certificate remains expired for more than 12 months.

6.7.3 Maintaining CoC certification

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 ABBREVIATIONS AND REFERENCES

7.1 Abbreviations

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

AB	Accreditation body
CPCCs	Control points and compliance criteria
IFA	Integrated Farm Assurance
CB	Certification body
CoC	Chain of Custody
QMS	Quality management system
GFSI	Global Food Safety Initiative
GGN	GLOBALG.A.P. Number
GLN	Global Location Number (by GS1)

7.2 Reference documents

- GLOBALG.A.P. general regulations
- ISO/IEC 17065 Conformity assessment – requirements for bodies certifying products, processes, and services

GLOBALG.A.P. GENERAL REGULATIONS PART I – GENERAL REQUIREMENTS

ANNEX I.1 RULES FOR USE OF THE GLOBALG.A.P. LOGOS AND TRADEMARKS

All rules established in “FoodPLUS trademarks use: Policy and guidelines” (available on www.globalgap.org) apply.

1 GGN AND COC NUMBER

- a) The GGN consists of the “GGN” prefix and a 13-digit number, *not* including the GLOBALG.A.P. logos/trademarks, and is unique to each and every producer or other legal entity in the GLOBALG.A.P. system. For this number, the GLOBALG.A.P. Secretariat 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, the GLOBALG.A.P. Secretariat assigns its own interim GLN.
- b) The CoC Number consists of the “CoC” prefix and a 13-digit number, *not* including the GLOBALG.A.P. logos/trademarks, and is unique to each and every CoC company. For this number, the GLOBALG.A.P. Secretariat uses existing GLNs issued by and purchased from the local GS1 organization (www.gs1.org). In the absence of such an organization, the GLOBALG.A.P. Secretariat assigns its own interim GLN.
- c) The GGN identifies a registered or certified producer; the CoC Number identifies a company registered for or certified to the CoC standard and may be used only as indicated in the CPCCs. 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 with individual certified products. The GGN and/or CoC Number shall never be used to label a product that is not certified.
- d) The legal entity that labels the product with a GGN, CoC Number, and/or the visual elements of the GGN label shall be a holder of a valid GLOBALG.A.P. certificate for CoC or a CoC equivalent standard.
- e) 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.
- f) The GGN and the CoC Number may be used in (converted into) generic QR code format or GLOBALG.A.P. QR code logo format.
- g) The right of the company to use the GLOBALG.A.P. claim, including the GLOBALG.A.P. logos/trademarks, GGN, CoC Number, and/or the QR code logos terminates immediately on termination of the sublicense and certification agreement.
- h) 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 the GLOBALG.A.P. Secretariat, which shall register the company/producer under their own number and withdraw the GGN and/or the CoC Number accordingly. The own GLN then replaces the GGN and/or the CoC Number in the GLOBALG.A.P. system.
- i) Where a GLN already exists and the company’s/producer’s client asks to use this GLN on all products labels, regardless of the certification status, the GLOBALG.A.P. Secretariat will grant an exemption and allow them to get a CoC Number. The GGN will be used to identify only products originating from GLOBALG.A.P. certified production processes, as the exact status will already be reflected in the GLOBALG.A.P. IT systems. The GLN will not appear in the GLOBALG.A.P. IT systems nor on the GLOBALG.A.P. certificate.

2 THE VISUAL ELEMENTS OF THE GGN LABEL

- a) Producers/Companies with CoC or IFA certification (e.g., aquaculture or flowers and ornamentals) are not automatically authorized to use the visual elements of the GGN label.
- b) The visual elements of the GGN label shall be used only under the GGN label license agreement. This agreement is granted only to companies/producers with IFA or CoC certification. The company/producer requires a valid GLOBALG.A.P. certificate for CoC or a CoC-equivalent standard. Producers and companies can apply to use the visual elements of the GGN label at info@ggn.org.

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. IT systems shall be updated accordingly (as required in the current database manual):

- 1.1 Company and location information
- 1.2 Site information
- 1.3 CoC scope information
- 1.4 Checklist information

This information shall be updated in the GLOBALG.A.P. IT systems whenever it changes, and at the latest when products are reaccepted for the next certification cycle and/or recertification.

1.1 Producer/Company information of legal entity

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

1.1.1 Company

- a) Company name
- b) Contact details: street address or information regarding company location
- c) Contact details: postal address
- d) Postal code or zip code
- e) City
- f) State or province
- g) Country
- h) Phone number
- i) Email address
- j) GLN (if available)
- k) Legal registration by country, if required by national interpretation guidelines (tax number, VAT number, company number, etc. – used solely for internal verification to avoid double registration)
- l) Previous CoC Number (Note: if a company already has IFA, CFM, and/or PPM certification and therefore an assigned GGN, this should be indicated during registration.)

1.1.2 Contact person (responsible for legal entity)

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

- a) Title
- b) First name
- c) Last name
- d) Phone number (if available)
- e) Email address (if available)

1.2 Site 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 GLOBALG.A.P. certificates for multisite producers.

1.2.1 Site(s)

- a) Name of site/Company name of site (if subcontracted).
 - (i) In case the site is part of a retail store certification and also acts as trader (selling products with the GLOBALG.A.P. claim to other companies outside the retail network), this information must be clear.
- b) Franchised site (separate legal entity) or own site (not separate legal entity, part of the applicant company)
- c) Contact details: street address or information available to describe the site location
- d) Contact details: postal address
- e) Postal code or zip code
- f) City
- g) Country
- h) Phone number (if available)
- i) Email address (if available)
- j) Sub-GLN(s) (optional, if available)
- k) Geospatial coordinate information of the physical location of the product handling unit: Latitude (north–south) and longitude (east–west) in decimal format (2 + 5-digit format, e.g., 10.12345)
- l) Products handled on each site, as soon as this information is available in the GLOBALG.A.P. IT systems
- m) 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 CB audits.

- a) Sub-scope(s)/Product category(ies) (the CB may add a description of the scope of activities to the paper certificate.)
- b) Product species (for aquaculture); process/product for processed products (crops base/plants and livestock base (e.g., mushroom, sliced)
- c) Subcontracted activities
- d) Quantity information (Estimated amount (in metric tons) of certified products registered in GLOBALG.A.P. IT systems. For aquaculture, registration is mandatory. For crops base/plants and livestock base, registration is optional.)
- e) Option (Option 1 single site; Option 1 multisite; Option 1 multisite for retail stores and restaurant chains in franchise)
- f) CB(s) used for each scope
- g) Type of company (“Supply chain” or “retail store and restaurant chain”)
- h) Product labeling done by company (Yes/No)
- i) GGN label licensee (Yes/No)
- j) Availability of a GFSI-recognized (post-farm) certificate at time of audit (Yes/No)
- k) Countries of destination

1.4 Checklist information

When made available for CoC, the CB audit report and the completed audit checklist shall be uploaded/transferred into the GLOBALG.A.P. IT systems.

ANNEX I.3 GLOBALG.A.P. CERTIFICATE TEMPLATE FOR COC

CB logo¹

AB symbol/accreditation mark²
(if the CB is accredited for CoC)

CoC Number: CoC_XXXXXXXXXXXXXXXXXXXX³

Registration number of company (from CB): XXXXXXXX⁴

GLOBALG.A.P.⁵

CERTIFICATE

according to **GLOBALG.A.P. Chain of Custody** version xx⁶

issued to

Individual producer/Producer group/Company
name, address⁷

Country of production/Company location⁸

The annex contains details of the product handling or management units included in the scope of this certificate.⁹

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 xx¹⁰

Scope: Crops base/Plants, livestock base, aquaculture ¹¹	GLOBALG.A.P. product certificate number	Product labeling? ¹²	GFSI-recognized (post-farm) certificate at time of audit? ¹³	GGN label licensee? ¹⁴	Supply chain or retail/restaurant? ¹⁵	Species or process description ¹⁶
						Free text field may be used.

The current status of this certificate is always displayed at <http://www.globalgap.org/search>.²²

Date of issue (printing date of certificate):
xx/xx/xxxx¹⁷

Valid from: xx/xx/xxxx¹⁸

Valid to: xx/xx/xxxx¹⁹

Authorized by²⁰

Date of certification decision:
xx/xx/xxxx²¹

ANNEX for CoC Number xxxxxxxxxxxxxxxx²³

Date of issue: xx/xx/xxxx¹⁷

Sites and/or units of the multisite operation²⁴

Site name and address ²⁵	Product labeling? ¹²

High-risk subcontractors without own CoC certification²⁶

Company name and address ²⁷	Subcontracted activity ²⁸

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 The accreditation body (AB) symbol/accreditation mark is placed on all accredited certificates in conformance to 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 the 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 CoC standard.
- 3 The relevant CoC Number shall appear on all certificates. If a certificate holder has a GLN, this number shall replace the CoC Number. "GLN" or "own GLN" may be used instead of "CoC" before the number.
- 4 The registration number of an individual producer, producer group, or company, which is assigned by the CB, *may* appear on all certificates (optional). It consists of "CB-short" and a number (with exactly one space character in between: CB-short xxxxxxxxxxxx).
- 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 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 xx". Always indicate the version used.
- 11 Scope(s) for which the production process is certified shall always be listed: crops/plants, livestock, and/or aquaculture.
- 12 Indicate by "Yes"/"No" whether on-product labeling or relabeling 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 audit.
- 14 Indicate by "Yes"/"No" whether the company is a GGN label licensee.
- 15 Indicate the type of company and the CPCCs 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 processed fruits and vegetables, the description of the process/product is mandatory. For other scopes, the description is *optional*.
- 17 The date of issue 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 CB decision-making 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. IT systems 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 is a single-site operation, the annex is left blank.
- 24 If the certificate holder is a multisite operation, all sites/units shall be listed in a table.
- 25 Name(s) and address(es) of the sites/units of the multisite operation shall appear in the list.
- 26 If the certificate holder uses high-risk subcontractor companies, all sites/units shall be listed in a table.
- 27 Name(s) and address(es) of the company sites/units of the high-risk subcontractor shall appear in the list.
- 28 The high-risk subcontracted activity shall appear on the list.

GLOBALG.A.P. GENERAL REGULATIONS PART II – QUALITY MANAGEMENT SYSTEM RULES

Not applicable.

GLOBALG.A.P. GENERAL REGULATIONS PART III – CERTIFICATION BODY AND ACCREDITATION RULES

All parts of the version 5 GLOBALG.A.P. general regulations, part III apply, except for Annex III.1, “GLOBALG.A.P. CB inspector qualifications (Options 1 and 3)” and Annex III.2, “GLOBALG.A.P. CB auditor Qualifications (Option 1 multisite with QMS, Options 2 and 4)” and all references to Option 2 auditing processes. Wherever the word “producer” is used, it should be replaced with “producer/company.”

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

When version 5 of the GLOBALG.A.P. general regulations, part III expires, version 6 of “GLOBALG.A.P. general regulations –Rules for certification bodies” shall apply.

ANNEX III.2 GLOBALG.A.P. CB INSPECTOR QUALIFICATIONS

1 CB AUDITORS ALREADY APPROVED FOR IFA

All CB auditors approved for the IFA standard (current version) qualify for becoming CoC auditors.

2 CB AUDITORS NOT YET APPROVED FOR IFA

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

2.1 General requirements

The CB auditor shall:

- a) Have knowledge of the specific processing sector being audited
- b) Have general knowledge of traceability
- c) Be able to do mass balance analyses
- d) Be already qualified for an ISO/IEC 17065–accredited food, feed, forestry, aquaculture, or agriculture-related standard
- e) Have a minimum of two years of professional experience gained after finishing academic studies related to auditor/control activities

2.2 CB auditor training

The CB auditor shall undergo one-day practical audit training setting out basic principles of auditing.

3 CB AUDITORS FOR CoC/AQUACULTURE

For auditing any parts of the CoC standard related to aquaculture, the additional qualifications below apply:

3.1 Food safety training and work experience

- a) The CB auditor shall have training in HACCP principles, either as part of formal qualifications or through the successful completion of formal training based on the principles of Codex Alimentarius. (The formal training 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 (training certificate, evidence of training included in formal qualifications, etc.).
- b) The CB auditor shall have food hygiene training, either as part of formal qualifications or through the successful completion of formal training. (The formal training may be an internal training by the CB.) The formal t duration shall be a minimum of 8 hours. Duration and content shall be indicated on the documentation for this requirement (training certificate, evidence of training included in formal qualifications, etc.). Food hygiene training 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 training (minimum duration 16 hours).
- d) The CB auditor shall have basic veterinary medicine and stockmanship training, including on animal health and welfare issues.
- e) The CB auditor shall have basic training and work experience in seafood processing.
- f) Formal training mentioned in points a) through d) above can be part of formal qualifications (degree/diploma) or can be separate training completed by the CB auditor. The CB auditor shall present proof of qualification. If training was part of a degree/diploma program, the course syllabus shall be included. If training was completed separately, each shall require a separate certificate showing that the training covered the relevant issues and was completed (including an exam).

4 GLOBALG.A.P. ONLINE TEST

- a) CB auditors 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 three months of the training's release in the CB auditor's language.
- b) New CoC CB auditors shall complete the GLOBALG.A.P. online training and all online tests once the test has been published in the CB auditor's language. Passing the online test is a precondition for sign-off and conducting any CB audit against the CoC standard.

5 COMMUNICATION SKILLS

- a) CB auditors 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 CB audit 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 CB auditor shall take part as an observer in a minimum of one CoC audit. This does not apply if the CB employs an auditor already approved for the currently valid version of the CoC standard.
- c) The CB shall witness a minimum of one CoC audit by a CB auditor already qualified for the CoC standard.
- d) The CB shall use the GLOBALG.A.P. witness audit tool (when made available).
- e) For the CB's first CoC auditor, the CB's internal procedures apply.
- f) As a minimum requirement, the CB shall verify competence in the following topics:
 - (i) Ability to carry out traceability checks and mass balance analyses
 - (ii) Wherever the control point refers to local legislation, knowledge of the relevant legal requirements
 - (iii) Having sufficient communication and behavioral skills to be able to conduct a CB audit
 - (iv) "Working language" skills in the corresponding native/working language
- g) Additionally, for auditing companies/producers related to aquaculture:
 - (i) Technical knowledge in aquaculture
 - (ii) Food safety training

7 MAINTAINING COMPETENCY

- a) The CB shall have in place a procedure to ensure that every CB auditor conducts at least 5 audits against a GLOBALG.A.P. standard (at least one against CoC) or 10 GLOBALG.A.P. audit days annually (at least 2 CoC audit days). These shall be conducted at a number of different companies/producers to maintain scheme knowledge and to stay registered in the GLOBALG.A.P. IT systems.
- b) Supervised CB audits shall also be acceptable for maintaining competency.
- c) Exceptions to this rule, e.g., if the CB does not have a total of five clients, shall be approved in writing by the GLOBALG.A.P. Secretariat before CB audits can take place.
- d) The CB shall carry out a GLOBALG.A.P. witness audit and/or reaudit for each of its CoC auditors at least once every four years to verify competence.
- e) These requirements do not apply to those scheme managers who do not carry out CB audits.
- f) If it is not possible to maintain competency from one year to the next, the relevant clause of the GLOBALG.A.P. general regulations will apply.

8 CB AUDITOR ROTATION

- a) The CB shall have procedures in place to ensure that a company is not audited by the same CB auditor over more than 4 consecutive years (regardless of whether the CB audits are announced or unannounced). For example, if CB auditor # 1 audits a company in years 1, 2, 3, and 4, another CB auditor (CB auditor # 2) shall conduct the annual CB audit in year 5. In years 6, 7, 8, and 9, CB auditor # 1 may do four consecutive CB audits again.

- b) If the CB has only one auditor 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. CB audits of producers/companies

- a) CB audits of companies or producers to assess conformance to the CoC standard
- b) Producing timely and accurate reports on such audits in accordance with ISO/IEC 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 audits 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/IEC 17065 principles or any stipulation set by the GLOBALG.A.P. general regulations

9.3 Independence and confidentiality

- a) CB auditors 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 two years for the producers they audit. Training is not considered consultancy, provided that, where training 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) CB auditors shall strictly observe the company's/producer's and the CB's procedures for maintaining the confidentiality of information and records.

ANNEX IV RELATION TO OTHER STANDARDS

In cooperation with BRCGS and IFS, the GLOBALG.A.P. Secretariat has made it possible for CBs to audit the CoC standard in combination with the BRCGS for Food Safety and in combination with the IFS Food, IFS Cash and Carry/Wholesale, IFS Logistics, and IFS Broker standards and with the Agrarmarkt Austria Marketing GmbH (AMA) standard.

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

A combined audit will always result in the issuing of two separate certificates. It can, however, reduce the time and complexity of preparing, executing, and following up on individual audits. The GLOBALG.A.P. Secretariat has an open-door policy and welcomes cooperation with all other chain of custody standard authorities.

VERSION/EDITION UPDATE REGISTER

New document	Replaced document	Date of publication	Description of modifications
221108_GG_CoC_GR_v6_1_Nov22_en	190923_GG_CoC_GR_V6_en	8 November 2022	General improvements to language and structure. 1.2 – new definitions added 1.5 – clarification added 3.1.3 – clarifications added 4.1 – clarifications added 4.4.1 – scope extended 4.4.2 – clarifications added 4.4.3 – clarifications added 5.6 – clarifications added Annex I.1, I.2, and I.3 – text added
221118_GG_CoC_GR_v6_1_Nov22_en	221108_GG_CoC_GR_v6_1_Nov22_en	18 November 2022	Wording and structure update

If you want to receive more information on the modifications in this document, please contact the GLOBALG.A.P. Secretariat: standard_support@globalgap.org.

When the changes do not introduce new requirements to the standard, the version will remain “5.0” and an edition update shall be indicated with “5.0-x”. When the changes do affect compliance with the standard, the version name will change to “5.x”. A new version e.g.: v6.0, v7., etc., will always affect the accreditation of the standard.

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