

Brief introduction to the GLOBALG.A.P. Chain of Custody (CoC) Traceability from the Farm to the Market Shelf



1. CoC standard is...

- ❖ ... to assure consumers and corporate clients that any product sold as a product from GLOBALG.A.P. certified production processes comes from a producer or producer group with GLOBALG.A.P. certification, and to prevent products from GLOBALG.A.P. certified production processes being substituted or diluted with products without certification, either in error or for the purpose of economic gain (food fraud).
- ❖ ... not a food safety standard and does not result in food safety certification.
- ❖ ... applicable to the company's processes, not the certification of any product or company itself.
- ❖ ... applicable for all crops sub-scopes, including Flowers and Ornamentals, Plant Propagation Material, Combinable Crops, Fruits and Vegetables, etc.

Chain of Custody standard for the supply chain from the producer or producer group to retail stores and/or restaurant chain operators

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

- ❖ Selling or trading the relevant products with sales documents and/or product packaging claiming Integrated Farm Assurance (IFA) or CoC certification
- ❖ Labeling products with GLOBALG.A.P. Number (GGN), CoC Number, or GGN label logo
- ❖ Changing the composition (e.g., through processing, slaughtering, mixing different batches/different producers) or assigning new identity (e.g., through re-packaging, re-labeling) of the products sold with GLOBALG.A.P. claim
- ❖ Selling bulk product with the GGN label logo (this includes retail stores and restaurants commercializing bulk products with the GGN label logo).

Chain of Custody standard for retail stores and restaurant chain operators

Applies only to wholesale and retail stores and restaurant chain sites that sell, in bulk, products marked with the GGN label logo (visible to the end consumer) and originating from GLOBALG.A.P. certified processes

If individual sites of a wholesale and retail chain or restaurant chain pack and label products with the GGN label logo and/or with a GGN and/or CoC Number, the 'GLOBALG.A.P. Chain of Custody Standard for the Supply Chain from the Producer or Producer Group to Retail Stores and/or Restaurant Chain Operators' applies, and the processes of the chain shall be certified accordingly.

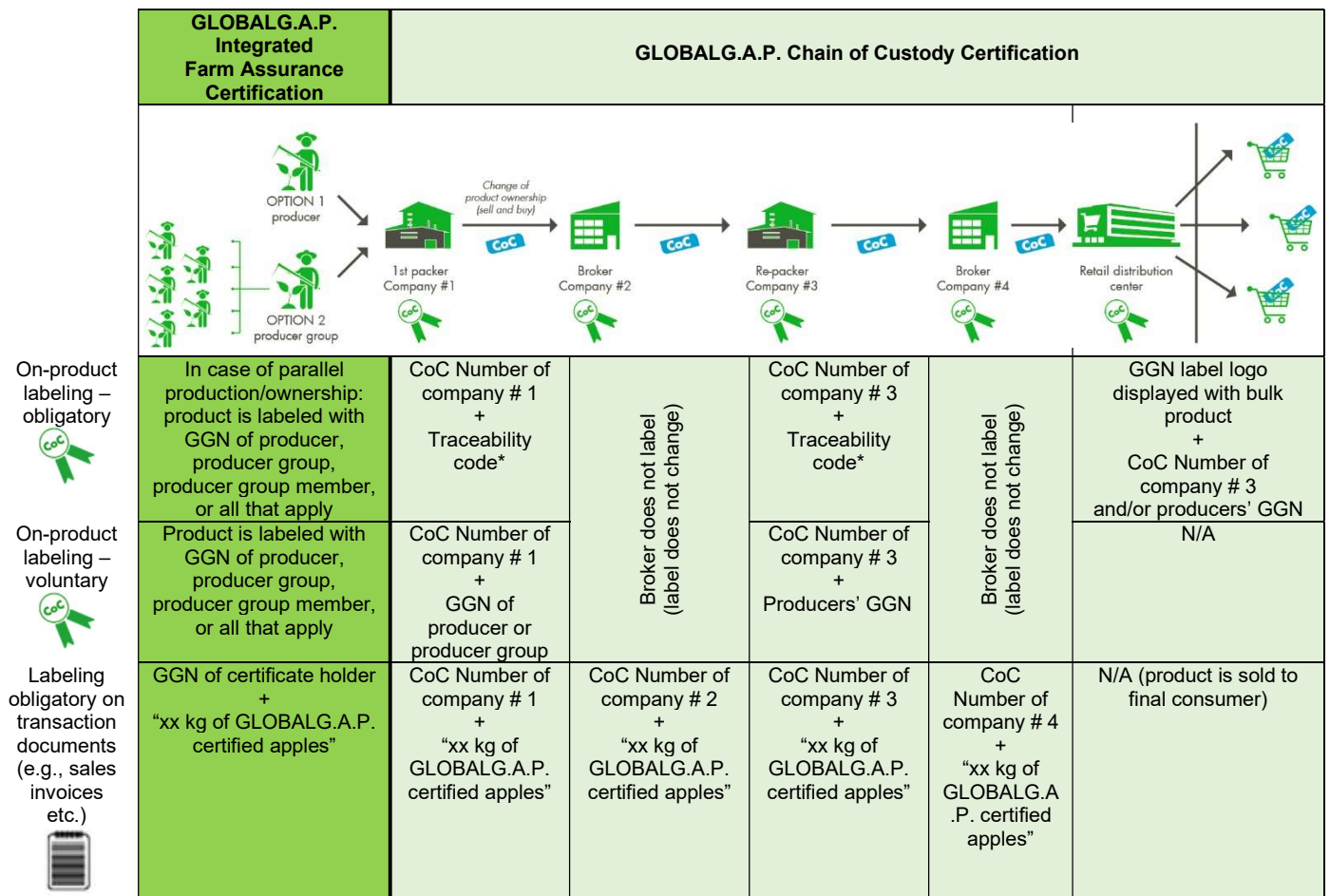
Subcontractors (service providers) may be: Included in the scope of the certification of the product owner or certified individually and receive their own CoC certification independently of the legal ownership of the certified product.

2. CoC Standard Principles:

The CoC standard principles are:

- a) **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.
- b) **Input and output verification** of the suppliers' certification status in the GLOBALG.A.P. database, including matching the quantities of certified products received with the quantities stated in the delivery documents and purchase orders, as well as filing a complaint to GLOBALG.A.P. each time a supplier fails the CoC certificate verification.
- c) **Traceability system**, which assures traceability of the final product to one (identity preservation method) or multiple (segregation method) certified producer(s) or producer group(s).
- d) **Identification and labeling** of outgoing shipments (e.g., transport documents) and logistic units (e.g., pallets), as well as outgoing trade items (e.g., boxes, crates) and retail consumer items (e.g., containers, bags, nets, shrink wrap). Bulk, loose, or itemized retail consumer items with the GGN label logo shall be identified at the store counter.

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



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

Source: GG_CoC_GR_V6_en

3. CoC Certification Options:

Option 1 – Individual Certification

- An Individual company applies for certification (GLOBALG.A.P. CoC standard).
- The individual company is the certificate holder once certified.

Option 1 – Single Sites

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

Option 1 – Multisite

- An individual producer/producer group/company owns several productions, processing, handing, storage, final consumer sale, or administrative sites that do not function as separate legal entities.
- In case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administered shall be inspected internally and externally and certified. This applies also to subcontractors and the administrative sites of brokers that do not touch the product.
- Sampling of sites for internal and external inspection is not allowed, except for retail stores and restaurants which may be sampled for external inspection; see Table 1.
- All sites will be registered as one legal entity with one GGN (or CoC Number).

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

- a) An individual company owns a franchise network of retail stores or restaurants. The individual retail stores and restaurants (sites) function as separate legal entities.
- b) In case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administered shall be inspected internally. This applies also to any subcontractors of those sites.
- c) Sampling of sites for external CB inspection is allowed for stores, distribution centers, and restaurants. These may be sampled for external inspection.
- d) All sites will be registered as one legal entity with one GGN/CoC Number

Group certification (Option 2) is **NOT** allowed in CoC except if the Option 2 certificate holder receives the CoC certificate as a single entity (no producer members) and at the same time QMS secures traceability and segregation.

Note: A production process for a product that is already GLOBALG.A.P. IFA certified cannot be included in the scope of a CoC certificate.

4. Normative documents:

- ❖ **GLOBALG.A.P. Sublicense and Certification Agreement**
- ❖ **GLOBALG.A.P. General Regulations - Chain of Custody:** Defines how the certification process works and related issues
- ❖ **GLOBALG.A.P. control points and compliance criteria (CPCC):** Document that sets the compliance requirements for the company/producer. **Note:** Guidelines included in the CPCC document instructing the company/producer in how to comply with the requirements are **not** normative documents.
- ❖ **GLOBALG.A.P. Checklist – Chain of custody:** This document is used for all inspections and self-assessments.
- ❖ **GLOBALG.A.P. General Regulations**
- ❖ **GLOBALG.A.P. Data Access Rules**
- ❖ **GLOBALG.A.P. Fee Table**
- ❖ **GGN label logo license agreement** (i.e., GGN Floriculture Logo – License Agreement) Any applicable GLOBALG.A.P. add-on(s) (such as GRASP)

5. Scoring system:

- ❖ The GLOBALG.A.P. **Control Points and Compliance Criteria** are divided into three categories
 - **Major Musts:** 100 % compliance of all applicable Major Must control points is compulsory.
 - **Minor Musts:** The current Chain of Custody control points and compliance criteria have only **5 Minor Musts** (applicable to aquaculture). The company is allowed to fail one Minor Must control point and still achieve certification, provided that all Major Musts are complied with.
 - **Recommendations:** No minimum percentage of compliance.
- ❖ Comments, evidence, positive findings, negative findings, corrective action, and/or corrections shall be recorded for all control points. This is obligatory for internal as well as external assessments. In a multisite operation, compliance level is calculated in one checklist for the entire operation. Any applicable control points common to all sites (such as a packinghouse) shall be taken into account for all sites.

6. Procedure summary:

- ✓ CERES provides initial information and registration form.
- ✓ Registration form is submitted.
- ✓ Contract and sublicense agreement shall be signed by the operator.
- ✓ An initial quotation is transferred to CERES
- ✓ The operator is registered by CERES in the GLOBALG.A.P. database.
- ✓ Inspection assignment is issued.
- ✓ The external inspection is planned, an audit plan is confirmed by the operator.
- ✓ The inspection is carried out.
- ✓ An inspection report is written commenting compliances and non-compliances.

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- ✓ The inspection report is reviewed by CERES.
- ✓ A final payment is made by the operator (incl. inspector transport and accommodation costs).
- ✓ CERES updates the GLOBALG.A.P. databases information.
- ✓ A certification decision is taken within 28 days after the inspection.
- ✓ The default certification cycle is 12 months, subject to any sanctions and extensions in accordance with the scope described. The decision take will be informed to the company.

For further detailed information regarding the certification process please see the CERES document: "3.1.8 Steps to Follow for GLOBALG.A.P. Certification"

Please be aware that this is only a selected summary of GLOBALG.A.P. Chain of Custody requirements, meant as an introduction. The operator, of course, must learn and meet all relevant requirements of the standard.

For more information visit:

<http://www.globalgap.org>

https://www.globalgap.org/uk_en/for-producers/globalg.a.p./coc/index.html

<http://www.ceres-cert.com/portal/index.php?id=62&L=1>