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CERTIFICATION REGULATION
For

GLOBALG.A.P. CHAIN OF CUSTODY (COC)

ΔΠ13.135/Ε01/2023-06-28
ΕΚΔΟΣΗ 1η / ΤΡΟΠΟΠΟΙΗΣΗ 01

CONTROLLED DOCUMENT

METAMORFOSI 2023

AMENDMENT HISTORY

PAGE No.	*AMENDMENT No.*	*AMENDMENT CONTENT*	*DATE*
		New edition	08/12/2022
	1	Changes for v6.1	28/06/2023

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INTRODUCTION

This document is written with the format of a Regulation according to EUROCERT's internal procedures, which conform to the requirements of the standard ISO/IEC 17065:2012 and of the GLOBALG.A.P. Chain of Custody (CoC) standard v6. (valid 23/09/2019, obligatory 23/09/20) and updated for the v6.1 (obligatory 1/07/2023)

This Regulation defines the duties of EUROCERT's and the procedures for the issuance, the surveillance, the extension, the interruption, the renewal and the recall of the GLOBALG.A.P. Chain of Custody (CoC) certificate. The Certification of a company leads to its immediate entry to the Register of Certified Companies (Registry of audits and GG IT systems).

EUROCERT's Managing Director approves the Regulation and he shall also approve each amendment.

The Certification Committee supervises the application of this Regulation. It is an independent to EUROCERT Committee in which the under Certification interested parties per product/service are represented. In the Certification committee representatives of at least the Board of Hellenic Industrialists with one member, the Union of Consumers (ΕΚ. ΠΟΙ.ΖΩ) with one member and EUROCERT with one member participate.

EUROCERT founded in 1998 by Greek engineers & scientists, an Independent Third-Party Inspection and Certification Body with a National, European & International range of activities and broad range of scientific disciplines. Our vision is to conquer leading position in the global certification market by creating values for customers, personnel and stakeholders while ensuring the principles of impartiality, independence, objectivity, competence and ethics. Our strategy is to provide reliable services, accredited by international organizations, to new and old customers. We differentiate ourselves from competition in the ability to offer integrated solutions. We anticipate the needs of our customers satisfying their unique expectations for quality and value-added services

GLOBALG.A.P. is a brand of smart farm assurance solutions developed by FoodPLUS GmbH in Cologne, Germany, with cooperation from producers, retailers, and other stakeholders from across the food industry. These solutions include a range of standards for safe, socially and environmentally responsible farming practices. The most widely used GLOBALG.A.P. standard is Integrated Farm Assurance (IFA), applicable for fruit and vegetables, aquaculture, floriculture, livestock, and more. This standard also forms the basis for the GGN label: The consumer label for certified, responsible farming and transparency.

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

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

chains selling products from GLOBALG.A.P. certified production processes and labeled with the GGN label logo in bulk.

The use of the GLOBALG.A.P. claim in business-to-business communication is *reserved* for companies with a valid CoC or Integrated Farm Assurance (IFA) certificate.

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

- with a valid GLOBALG.A.P. CoC certificate and a GGN label logo license or
- with a valid CoC or IFA certificate *that* print the GGN/CoC Number on the consumer item packaging without the GGN label logo.

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

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

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

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

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 thesecompanies.

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 producergroup (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 certifiedproducts.

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

i) The term “segregation method” refers to the traceability method that permits the mixing ofcertified 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 liked 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 ingredientsshall 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 consumeritems 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. TheCPCC 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. Database and GGN Label Portal

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

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

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

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

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

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

- Misidentification of non-certified products as certified products (product substitution)

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

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

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

1.5 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 timea 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 logisticunits (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				
					
In case of parallel ownership: product islabeled 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 bulkproduct + CoC Number of company # 3 and/or GGN of producers
Product is labeled with GGN of producer On-product labelingvoluntary	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 notlabel (label does notchange)	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.

1.6 Relation to Other Standards

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

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

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

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: 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 GLOBAG.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.

3. CERTIFICATION OPTIONS

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

3.1 Option 1 – Individual Certification

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

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

3.1.1 Option 1 – Single Sites

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

3.1.2 Option 1 – Multisite

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

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

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

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

3.1.3 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 thewidest 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 thereare 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 selectedparticipating 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 by0.5, rounded up	Square root multiplied by 0.25,rounded up

4. REGISTRATION PROCESS

4.1 APPLICATION to EUROCERT

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 EUROCERT and receive its own CoC Number.

c) The chosen CB is responsible for the audit and certification process and for the registrationin 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 GLOBALG.A.P. and by the CB
(iii) Communication of data updates to the CB
(iv) The terms and conditions of the sub-license and certification agreement
(v) The GGN label logo license agreement, when applicable.

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

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

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

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

f) The CoC Number identifies a registered or certified CoC company that handles, processes, stores, sells, or trades the certified product post-farm.

g) The GGN and CoC Number will be used as a unique identifier for all GLOBALG.A.P. activities.

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

i) Any objective evidence that indicates that the applicant has been misusing the GLOBALG.A.P. claim shall lead to the exclusion of the applicant from certification for 12

months after evidence of misuse. In addition, the applicants will be listed, and the list shall be checked before registration in the database. Any case of misuse shall be communicated to GLOBALG.A.P. members.

j) Confidentiality, data use, and data release: (i) During registration, applicants give written permission to the GLOBALG.A.P. Secretariat/FoodPLUS GmbH and the certification bodies to use the registration data for internal processes and sanctioning procedures.

(ii) All data in the GLOBALG.A.P. database is available to GLOBALG.A.P. as well as the certification body the company/producer is working with. This data can be used for internal processes and sanctioning procedures.

(iii) The minimum and obligatory data release level is defined by the 'GLOBALG.A.P. Data Access Rules' available at www.globalgap.org. The following data are included by the minimum level and are available to the public: the GGN, CoC Number, GLOBALG.A.P. certificate no., scheme, version, option, CB, accreditation body (AB), scope, products and status, attributes related to the scope (e.g., completion of labeling), the certificate holder's company name and address (excluding street name and house number), site addresses, and certificate validity.

(iv) If an applicant does not agree to the minimum data release level, the applicant is not in agreement with the sub-license and certification agreement and cannot be certified.

k) The service contract between the CB and the producer/producer group/company may be valid for up to 4 years, with subsequent renewal for periods of up to 4 years. The service term shall be given in the sub-license and certification agreement

l) An applicant producer/producer group/company:

(i) May not register products in one scope (crops, livestock, or aquaculture) with different CBs, but may use different CBs for different scopes. (e.g., It is possible to register apples/crops with one CB and salmon/aquaculture with another CB or both products with the same CB). Consequently, the applicant is not permitted to register the same scope (product) with different certification bodies.

(ii) May not register a site multiple times for the same scope.

(iii) May not register a site as belonging to different companies at the same time (i.e., a site belonging to or owned by one company cannot be registered as a separate and independent company again).

(iv) May not register sites in different countries with any CB. The GLOBALG.A.P. Secretariat may grant exceptions on a case-by-case basis or within national interpretation guidelines (if made available).

4.2.2 Registration with a New CB

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

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

4.3 Acceptance

a) For the registration to be accepted, the applicant shall satisfy *all* the following conditions:

(i) The applicant shall submit to EUROCERT 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 EUROCERT and EUROCERT shall hand over a copy of the sublicense and certification agreement to the company/producer.

(iv) If the GGN label logo is used, the applicant shall sign the GGN label logo license agreement.

(v) The applicant shall be assigned a CoC Number.

(vi) The applicant shall pay the GLOBALG.A.P. registration fee as explained in the current GLOBALG.A.P. fee table (available on the GLOBALG.A.P. website).

b) The registration and acceptance process shall be finalized before inspection can take place.

c) For first registration: EUROCERT shall confirm or deny the acceptance of the application and provide the applicant with the CoC Number within 28 calendar days from receiving the completed application.

4.4 Application, Certification Scope, and Limitations

4.4.1 Certification Scope

a) The CoC standard certification product scope includes the 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 CoCstandard.

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 sat 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 Producer/Companies in 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 Producer/Producer Groups/Companies Beyond the Scope :

The following are not subject to CoC CB audits and certification:

i) 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 applesPP: no PO: no CoC: N/A

Certified and noncertified apples	Own produced certified andnoncertified apples only	IFA for apples PP: yes PO: no CoC: N/A
Certified apples	Own produced certified apples +purchased certified apples	IFA for applesPP: no PO: no CoC: N/A
Certified apples	Own produced certified apples +purchased noncertified apples	IFA for applesPP: 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 applesPP: no PO: no CoC for oranges

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

j) 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.

k) 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

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

4.5 Burden of Proof

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

In such cases:
(i) If the CB conducts the investigation, the findings and actions taken will be reported to the GLOBALG.A.P. Secretariat; or

(ii) If the retailer or owner of the product conducts their own investigation, they shall report the findings back to the GLOBALG.A.P. Secretariat, which in turn will inform the CB to take appropriate action.

(iii) GLOBALG.A.P. will give the certified entity a certain amount of time to do this.

(iv) If the CB does not deem the evidence supplied by the legal entity adequate, the CB will issue a sanction and will follow the normal sanctioning procedures as described in this document.

b) Certified entities are required to have full traceability in place, including mass balance, segregation, and any other records needed to verify and check the case. If the evidence includes laboratory analyses, accredited laboratories (ISO 17025) and independent sampling shall be included.

5 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 (initialCB audit) and annually thereafter (subsequent CB audit):

Table 3 Initial and subsequent audit

Self-assessment by theproducer/company	1. Entire scope (all registered sites)
CB audit	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. 3. Unannounced CB audit of at least 10% of all certified producers/companies (GLOBALG.A.P. CoC certificate holders).

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 EUROCERT audits

a) The EUROCERT 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 EUROCERT shall audit the complete checklist (Major Musts, Minor Musts, and Recommendations) of the applicable scope(s).

c) For all EUROCERT 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 EUROCERT audit and thereafter one EUROCERT audit per year.

b) The EUROCERT 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 EUROCERT audits

a) The EUROCERT shall carry out additional unannounced audits annually of at least 10% of all producers/companies the EUROCERT has certified per scope.

b) The EUROCERT 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 EUROCERT audit.

c) The EUROCERT 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 unannouncedCB 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 EUROCERT audit cannot take place because of unjustifiable reasons, a suspensionshall be issued.

d) The GLOBALG.A.P. Secretariat may request that in the 10% unannounced EUROCERT audits, EUROCERTs 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 EUROCERT 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 areminimal 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 bedemonstrated 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. ITsystems 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

verbalcommunication 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 confirmationand acknowledgement. Receipt of the report shall be documented.

h) General confidentiality rules apply to the CB concerning all the information/evidence usedfor 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 thesubcontractor(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 unitsshall 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 thesubcontractors 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 subcontractorrecords.

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 GLOBALG.A.P. control point in the checklist is not fulfilled according to the compliance criteria.

b) **Non-conformance** (to the GLOBALG.A.P. certification rules): A GLOBALG.A.P. rule that is necessary for obtaining the CoC certificate is infringed (e.g., non-compliance with one or more Major Musts, or more than one Minor Must control point).

c) **Contractual non-conformance:** Breach of any of the GLOBALG.A.P. related agreements signed in the contract between the CB and the company.

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

6.2 Requirements for Achieving and Maintaining GLOBALG.A.P. Certification

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

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

Minor Musts: The current Chain of Custody control points and compliance criteria have only 5 Minor Musts (applicable to aquaculture). The company is allowed to fail one Minor Must control point and still achieve certification, provided that all Major Musts are complied with.

Recommendations: No minimum percentage of compliance.

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

In a multisite operation, compliance level is calculated in one checklist for the entire operation. Any applicable control points common to all sites (such as a packinghouse) shall be taken into account for all sites.

6.3 Certification Decision

a) EUROCERT shall make the certification decision within a maximum of 28 calendar days after closure of any outstanding non-conformances.

b) For **initial** inspection:

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

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

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

c) For **subsequent** inspections:

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

If non-conformance is detected during a subsequent inspection, the company has 28 days to submit corrective actions. The CB then has a further 28 days for review of the submitted evidence and conclusion of the certification process. The (positive) certification decision shall therefore be reached within at most 28 + 28 days after the inspection has been concluded. This means that a maximum of 56 days is allowed between a subsequent inspection in which non-conformance has been detected and the update of the company’s/producer’s status to “re-certified”.

However, if the review of the submitted evidences is negative (or if the company has not submitted any corrective actions), the suspension shall be register within 28 days of completion of the inspection.

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

d) For company transfer (when the company/producer has a valid CoC certificate)

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

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

6.4 Sanctions

a) If non-conformance is detected, EUROCERT shall apply a sanction for the whole legal entity (warning, suspension of a product, or cancellation) as indicated in this section.

b) The company cannot change CBs until the non-conformance that led to the respective sanction is satisfactorily closed out.

c) *Only* the CB that has issued a sanction is permitted to lift it, provided there is sufficient and timely evidence of corrective action (either through a follow-up visit or other written or visual evidence). a) A warning is issued for all types of non-conformances detected.

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

c) Initial inspection: (i) Outstanding non-conformances shall be closed within 3 months of the date on which the inspection was completed. If the company does not comply with 100 % of Major

6.4.1 Warning

a) A warning is issued for all types of non-conformances detected.

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

c) Initial inspection:

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

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

d) Subsequent inspection:

(i) Outstanding non-conformances (e.g., a Major Must non-conformance or more than one Minor Must non-compliances) shall be closed within 28 calendar days.

(ii) If the cause of the warning is not resolved within the period set (maximum of 28 days), a suspension is imposed.

6.4.2 Scope Suspension

a) A suspension can be applied to one, several, or all of the scopes covered by the GLOBALG.A.P. CoC certificate.

b) A scope cannot be partially suspended for an individual company; i.e., the entire scope shall be suspended.

c) During the period of suspension, the company will be prohibited from using the GLOBALG.A.P. claim, including the logo/trademark, license/certificate, and/or any other type of document that is in any way linked to GLOBALG.A.P., in relation to the suspended scope.

d) If the company notifies the CB that the non-conformance is resolved before the set period, the respective sanction will be lifted, subject to satisfactory evidence and closing out.

e) The suspension shall not delay the renewal date, nor allow the company to avoid paying registration and/or other applicable fees.

f) If the cause of the suspension is not resolved within the set period, a scope cancellation is imposed.

g) Two types of suspensions exist, as explained below.

6.4.2.1 Self-declared Suspension

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

ii (ii) The company's status shall change to "self-declared suspension" on the scope level.

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

6.4.2.2 Certification Body-Declared Suspension

i (i) CBs can issue and lift suspensions to certified entities.

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

iii (iii) The CB can issue a suspension for a certain scope, several scopes, or all scopes of the certified entity.

iv (iv) After the suspension is applied, the CB will set the period allowed for correction.

6.4.3 Cancellation

a) A cancellation of the contract shall be issued if: (i) The CB finds evidence of fraud and/or lack of trust in the company's compliance with GLOBALG.A.P. requirements; or

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

(iii) There is contractual non-conformance.

b) A cancellation of the contract will result in the total prohibition (all scopes, all sites) of the use of the GLOBALG.A.P. claim, including the logo/trademark, license/certificate, or any device or document linked to GLOBALG.A.P.

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

6.5 Notification and Appeals

a) The company shall either resolve the indicated non-conformance issues or appeal to the CB in writing against the non-conformance, explaining the reasons for the appeal.

b) If the non-conformance is not resolved within the set period, sanctions will be increased.

6.6 Sanctioning of Certification Bodies

a) GLOBALG.A.P. reserves the right to sanction CBs if GLOBALG.A.P. receives evidence that the CB has not followed procedures or clauses of the license and certification agreement

signed between GLOBALG.A.P. and the CB. For more information, see General Regulations Part III.

6.7 GLOBALG.A.P. Certificate and Certification Cycle

a) A CoC certificate is not transferable from one legal entity to another. If a company changes its legal entity (i.e., is merged, bought up, franchised, split up, or otherwise reorganized) a new inspection is required.

b) The term “certification cycle” is defined as the period for which the CoC certificate is valid, and within which the CoC certificate shall be renewed. The default certification cycle is 12 months, subject to any sanctions and extensions in accordance with the scope described.

6.7.1 CoC Certificate Information

a) The paper certificate issued by a EUROCERT shall be comparable to the GLOBALG.A.P. CoC certificate template (Annex I.3). The format may be different, but it shall include the same information.

b) The paper certificate is valid only if it matches the information available in the GLOBALG.A.P. database for that unique certified company.

c) The paper certificate issued by EUROCERT shall be in English. Additional language(s) may be added.

d) “Date of certification”: Date when EUROCERT makes the certification decision after all non-conformances have been closed out (e.g., 14 February 2019).

e) “Valid from”: (i) For initial inspection: The initial date of validity is the date on which the CB makes its final certification decision (e.g., 14 February 2019).

(ii) For subsequent inspections: The “valid from” date for subsequent certificates issued shall be one year from the “valid from” date of the original certificate (e.g., 14 February 2019, 14 February 2020, etc.), unless the certification decision is made after the expiration of the previous certificate. In this case, the “valid from” date shall coincide with the date of the new certification decision.

The “valid to” date, however, remains the old date of expiration, with the year adjusted (e.g., previous certificate’s “valid to” date: 13 February 2019; date of new certification decision: 25 February 2019; new “valid from” date: 25 February 2019; *new “valid to” date: 13 February 2020*).

f) “Valid to”: (i) For initial inspection: Calculated by “valid from” date plus one year minus one day. The CB may shorten the certification cycle and the validity but cannot prolong it.

(ii) For subsequent inspection: The validity date for subsequent certificates issued shall always be calculated from the “valid from” date on the original certificate (e.g., 13 February 2019, 13 February 2020).

6.7.2 Extension of Certificate Validity:

a) The default certification cycle of 12 months may be extended for a maximum period of 4 months, but only under the following conditions:

(i) The product is re-accepted in the GLOBALG.A.P. database for a full next cycle within the original validity period of the certificate.

(ii) The full registration fee shall be paid for the next cycle.

(iii) The certified company shall be re-inspected during that extension period.

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

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

6.7.3 Maintaining GLOBALG.A.P. Certification

a) The company shall confirm its registration and the proposed relevant scopes with EUROCERT annually *before* the certificate's expiration date. Otherwise, the status will change from "certified" to "not confirmed".

7: COMPLAINTS - APPEALS

7.1.1 Any of the staff who receives a complaint of any kind from a customer or other interested party fills in the form DP18.1 / E01, attaching if there is the relevant FAX or letter from the customer and forwards them to the Quality Assurance Director.

7.1.2 The Quality Assurance Director together with the responsible Director, to whom the department complained, will examine and determine if corrective action is required, in which case DP19.3 applies.

7.1.3 The person to whom the complaint was made will not participate in the evaluation of a complaint.

7.1.4 If it is found that the complaint is correct then a copy of the form DP18.1 / E01 is forwarded to the CEO. If persons or departments are involved then the Quality Assurance Director for information sends copies to them and their Directors.

7.1.5 If from the above investigation no deficiencies are found in the Quality System or in the way of processing the case to which the customer refers, then the Quality Assurance Director informs the complaining party in writing by letter or email. In this case and if the complainant is not covered by the answer, he has the opportunity to appeal against the decision of the body.

7.1.6 In the opposite case, the appropriate measures are taken immediately to resolve the problem and the complainant is informed in writing about the actions to be taken by the relevant Director. In this case and only all the corrective actions that will be taken will be financially borne exclusively by the Verification Body.

7.1.7 When there is an appeal against EUROCERT decisions, the Chief Executive Officer fills in the form DP18.1 / E01, attaching the relevant FAX or letter of the appeal applicant in any written form that has been submitted (printed or electronic).

7.1.8 In order for the appeal to be received and examined, it must have been submitted within one month from the notification of the decision to the interested party.

7.1.9 The Chief Executive Officer, after consulting the competent Director to whom the department has lodged an appeal, will consider and accept or reject the appeal.

7.1.10 If the appeal is accepted the company modifies its decision and informs the customer in writing. At the same time, the CEO informs the Board of Directors and corrective action is applied immediately for the restoration of the problem and for its non-recurrence based on the DP19.3 procedure. The effectiveness of the corrective action is controlled by the CEO himself. In this case, all corrective actions that will be taken will be financially borne exclusively by the Verification Body.

7.1.11 If the appeal is rejected, the appellant is informed in writing and the decision is fully justified.

7.1.12 The decision on whether or not to accept an appeal must be taken within three months of its submission unless applicable law (national or international) or the competent authority requires otherwise.

7.1.13 The applicant and EUROCERT have the right to appeal if they are not satisfied with an Arbitral Tribunal in accordance with the provisions of the Code of Civil.

8 ACRONYMS AND REFERENCES

8.1 Acronyms

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

AB	Accreditation body
CPCC	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)

8.2 Reference Documents

(i) GLOBALG.A.P. General Regulations

(ii) ISO/IEC 17065 (2012) Conformity assessment — Requirements for bodies certifying products, processes and services

(iii) ISO 19011 Guidelines for auditing management systems

ANNEX I.1 RULES FOR USE OF THE GLOBALG.A.P. TRADEMARK AND LOGO

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 and 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 formator 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 immediatelyon 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 GLOBAG.A.P. IT systems. The GLN will not appear in the GLOBALG.A.P. IT systems nor on the GLOBAG.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 ora CoC-equivalent standard. Producers and companies can apply to use the visual elements of the GGN label at info@ggn.org.

3. EUROCERT and ESYD logo.

The certified companies should also comply with the instructions for the correct use of the logo and the Certificate of Conformity granted.

The Certified companies may use EUROCERT's logo as displayed below:

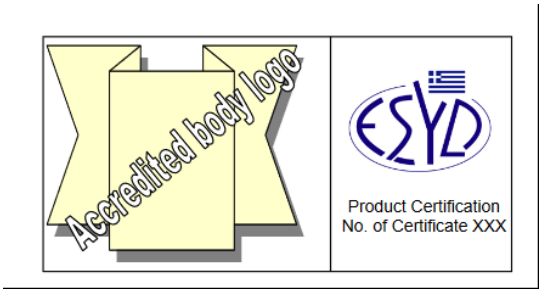
COC certified system /No…

EUROCERT, as an accredited Management System Product Certification Organization by ESYD, provides the certified companies that are covered by the scope of its Accreditation Certificate, the possibility of using the National Accreditation Logo (NAL).

Use of the National Accreditation Logo (NAL)is optional. When used, this is done exclusively in conjunction with the EUROCERT Logo. Under no circumstances can it be used independently or separately from the EUROCERT Logo, in a way that creates a correspondingly misleading impression.

The clients of the EUROCERT (accredited certification body) may use the ESYD NAL under the following conditions:

- the ESYD NAL fulfills the requirements set in clause 2.1 of ESYD's REGULATION FOR THE USE OF THE NATIONAL ACCREDIDATION LOGO
- it is included in the same frame with the logo of the accredited body
- the area of ESYD NAL shall be up to 50% less of the area of the Body's logo



Example:

COC certified system/No XXXX	Product Certification No. of certificate 21-8

Eurocert shall control the use of the NAL by its certified clients. The use of the NAL by the customers of EUROCERT is not allowed on business cards and in the email signature. In any case the clients of EUROCERT must use the NAL according ESYDs: REGULATION FOR THE USE OF THE NATIONAL ACCREDITATION LOGO on its latest version (available at ESYD website www.esyd.gr) .

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 doubleregistration)

l) Previous CoC Number (Note: if a company already has IFA, CFM, and/or PPM certificationand 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 theapplicant 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 ofactivities to the paper certificate.)

b) Product species (for aquaculture); process/product for processed products (cropsbase/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.