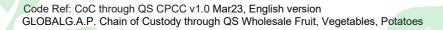# GLOBALG.A.P. CHAIN OF CUSTODY THROUGH QS

CONTROL POINTS AND COMPLIANCE CRITERIA

FOR THE SUPPLY CHAIN FROM THE PRODUCER OR PRODUCER GROUP TO RETAIL STORES AND/OR RESTAURANT CHAIN OPERATORS

ENGLISH VERSION 1.0
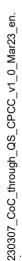
VALID FROM: 1 JANUARY 2023

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GLOBALG.A.P. Chain of Custody through QS Wholesale Fruit, Vegetables, Potatoes

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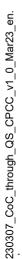info@globalgap.org | www.globalgap.org

INTRODUCTION

GLOBALG.A.P. CHAIN OF CUSTODY THROUGH QS WHOLESALE FRUIT, VEGETABLES, POTATOES FOR THE SUPPLY CHAIN FROM THE PRODUCER OR PRODUCER GROUP TO RETAIL STORES AND/OR RESTAURANT CHAIN OPERATORS

This document addresses to wholesalers and agencies that are certified against the QS Guideline Wholesale Fruit, Vegetables, Potatoes with ownership and/or physical control over GLOBALG.A.P. certified products. By checking the add-on checklist mentioned below as part of the QS wholesale audits, companies can obtain approval for both QS Wholesale Fruit, Vegetables, Potatoes and CoC through a combined audit.

Chain of Custody (CoC) certification is 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:

- (i) Selling or trading the relevant products with sales documents and/or product packaging claiming Integrated Farm Assurance (IFA) or CoC certification
- (ii) Labeling products with GLOBALG.A.P. Number (GGN), CoC Number, or GGN label logo
- (iii) Changing the composition (e.g., through processing, 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

See also: CoC General Regulations 4.4.2 Producer/Producer Group/Companies in Scope

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PART I.

M = Major Must requirement, 100 % compliance is mandatory; m = Minor Must requirement, one control point may be failed; R = recommendation

Nº	Control Points	Compliance Criteria	Level	Comments
COC/QS 1 (CoC- SC 1)	**MANAGEMENT STRUCTURE**			
	The company shall operate a management structure that meets CoC standard requirements.			
COC/QS 1.1 (CoC- SC 1.6)	Does the company maintain an up-to-date list of all subcontractors (excluding freight forwarding companies) that handle certified products? Are these subcontractors classified in accordance with the risk assessment defined in the General Regulations of the CoC standard (section 5.6.3)? Was this list and any update communicated to the CB not more than five days after the subcontracted services are first used?	The company shall keep available a list of all subcontractors (excluding freight forwarding companies) that handle certified products, along with evidence of the last certification status verification update. All subcontractors shall be classified as to the risk related to misidentification, substitution, or dilution of certified products with non-certified products. This risk assessment is detailed in the General Regulations of the CoC standard (section 5.5.3). N/A if no subcontractors are used.	M	
COC/QS 1.2 (CoC- SC 1.7)	Is the company able to demonstrate that high-risk subcontractors (subcontractors that carry out the activities described in the General Regulations of the CoC standard (section 5.6)) are inspected within the company's CoC certification or possess a valid CoC, PHA or IFA certificate?	The company shall demonstrate that high-risk subcontractors (subcontractors that carry out the activities described in the General Regulations of the CoC standard (section 5.5)) either are inspected annually within the company's CoC certification (i.e., the subcontractor is included in the CoC certificate holders' certificate) or possess their own valid GLOBALG.A.P. certificate for CoC, PHA or IFA. N/A if no subcontractors are used. Note: The subcontractor audit can be performed by a different CB auditor from the one performing the audit of the company.	M	

Nº	Control Points	Compliance Criteria	Level	Comments
COC/QS 2 (CoC- SC 2)	**INPUT AND OUTPUT VERIFICATION**			
	The company shall conduct input and output verification.			
COC/QS 2.1 (CoC- SC 2.1)	Before or during the transfer of ownership, does the company have a procedure for systematically authenticating, via the GLOBALG.A.P. database, suppliers' GGNs or CoC Numbers, the expiration date of their certificates, and the destination countries included?	Input verification is mandatory. Supply chain partners that supply certified products to the company shall be certified according to either IFA (or a benchmarked scheme) PHA or the CoC standard. The company shall have a procedure in place for systematically authenticating the suppliers' GGNs, PHA or CoC Numbers, for verifying the expiration date of their certificates, and for confirming the product(s) destination countries (in the scope of the supplier certificate). This procedure shall use the GLOBALG.A.P. IT Systems for regular verification to ensure that the supplier certificate is valid at the moment the products are purchased or received by the company. The company shall maintain records (including GGN CoC Number, and/or PHA-N) of suppliers from which it directly buys certified products. A log or other proof of supplier verification shall be available. Note: The authentication procedure needs to include the GGN, CoC Number, and/or PHA-N of only the direct supplier (i.e., the supplier from which the company is buying the products). N/A in the case of companies that never take legal possession of the certified products (subcontractors).	M	

Nº	Control Points	Compliance Criteria	Level	Comments
COC/ QS 3 (COC-SC 4)	**IDENTIFICATION AND LABELING**			
		The company shall be identified, and the products shall be labeled to allow traceability and certified status validation.		
		If products are sold without GLOBALG.A.P. claim, this chapter does not apply (N/A). In such cases, any further claim of the certified status is discontinued. In all other situations, the chapter applies.		
COC/QS 3.1 (CoC-SC 4.1)	Does the company use the "GGN" and/or "CoC" prefix(es) correctly, as per the requirements of the CoC standard?	The company shall be identified with their own CoC Number. In the supply chain, the CoC Number identifies companies in the post-production stage and consist of the prefix "CoC" and a 13-digit number. The GLOBALG.A.P. Number (GGN) of the producer can be used on sales documents and on product labels to identify a producer when the identity preservation method is used. The GGN consists of the prefix "GGN" and a 13-digit number. NOTE: This requirement applies both to on-product labeling and to use on the sales and transport documents.	M	
COC/QS 3.2 (CoC-SC 4.2)	Does all transaction and shipment (transport) documentation for the outgoing certified product contain the minimum information required in the CoC standard?	Outgoing sales invoices, shipment (transport) documents in paper or electronic format, and all other documentation related to transactions of certified products shall contain at least the following information: • CoC Number of the supply chain company (can be included in the transaction documents template) • Product name • Traceability code (e.g., batch number) • Certification status of the product stating "GLOBALG.A.P. certified" (Only positive information is required. This information can be referenced by adding a code to the product specification line, e.g., an asterisk behind each certified product and a legend explaining that "*" means "GLOBALG.A.P. certified.") • Other information if requested by the trade partner (e.g., GRASP status of the producers, GLOBALG.A.P. benchmarked scheme, etc.)	M	

| | | NOTE: This point applies even if there is a written agreement between the CoC company and the client not to identify the product with the GGN and/or the CoC Number.

The only CoC Number required is that of the company. Unless a client specifies otherwise, no reference to suppliers' CoC Numbers or GGNs needs to be included.

NA *for (QS) produce that is NOT marketed as GLOBALG.A.P. produce (no labelling in transaction documents) and where there is no claim of the recipient/retailer on the GLOBALG.A.P. system. In this case the product can no longer be considered as GLOBALG.A.P. certified.* | | |