



## LEAF Marque Chain of Custody Self Assessment v1.0

### Downloadable Copy B

This downloadable copy of the LEAF Marque Chain of Custody Self Assessment v1.0 is applicable to businesses that do **not** grow crops and/or rear animals on this site and/or businesses that buy, process, manufacture or mix LEAF Marque produce and/or are making a LEAF Marque claim. The answers that you provide in the 'About Your Site' section will determine how many further questions are applicable to your site. Please note that question codes (e.g. LMChOC.1.1) are for reference and may not appear in numerical order.

If your businesses grows crops and/or rears animals on this site and do **not** buy, process, manufacture or mix LEAF Marque produce and are **not** making a LEAF Marque claim please download *LEAF Marque Chain of Custody Self Assessment v1.0 Downloadable Copy A*.

Once you have completed this downloadable copy remember to then transfer your answers to the online version of the [LEAF Marque Chain of Custody Self Assessment v1.0](#). You can evidence your compliance with control point 1.19 'LEAF Marque Chain of Custody Self Assessment has been completed and approval received' by showing your Auditor the overview page of the Self Assessment or the email you will receive from support@leafchainofcustody.org called 'Self Assessment – Approved'.

### About Your Site

**LMChOC.1.1 Is the business a member of LEAF?**

No

Yes

Please provide the business' LEAF Charity membership number: \_\_\_\_\_

### **Assessment Guidelines**

You must be a member of LEAF (the charity) to be part of LEAF Marque and / or the LEAF Marque Chain of Custody system and to be eligible to use a LEAF Marque claim. Join LEAF at [www.leafuk.org](http://www.leafuk.org).

**LMChoC.1.2 Do you grow crops and / or rear animals on this site?**

Yes

No

**Assessment Guidelines**

You should select 'Yes' if you are LEAF Marque certified or working towards your first LEAF Marque inspection.

For a Producer Group, 'site' refers to the group of producers (with their respective production locations) supplying product to a central point. Please note, in general Producer Groups do not constitute multi-sites i.e. catering and food service sites.

**LMChoC.1.3 Within this site does the business do one or more of the following:**

- **buy product in?**
- **handle product not in your ownership?**
- **handle product that is not grown by you?**

Yes

No

**Assessment Guidelines**

By answering 'Yes' to this question you will be required to answer more questions within this Self Assessment to ensure that full traceability and segregation of LEAF Marque certified product is maintained.

Please note, buying in product includes LEAF Marque certified and non LEAF Marque certified products.

For a Producer Group, 'site' refers to the group of producers (with their respective production locations) supplying product to a central point. Please note, in general Producer Groups do not constitute multi-sites i.e. catering and food service sites.

**LMChoC.1.5 Does the business on this site process, and / or manufacture any product that is to be sold as a LEAF Marque certified product?**

Yes

No

**Assessment Guidelines**

All users who process, and / or manufacture LEAF Marque products will need to be a Supply Partner in the LEAF Marque Chain of Custody. Please see the [LEAF Marque Chain of Custody Guidance Document](#). There is no fee at present for Supply Partners but this may be reviewed in the future.

For a Producer Group, 'site' refers to the group of producers (with their respective production locations) supplying product to a central point. Please note, in general Producer Groups do not constitute multi-sites i.e. catering and food service sites.

**LMChoC.1.6 Does the business apply / intend to apply the LEAF Marque logo to packaging at this site and / or make claims on marketing or communication materials (on or off pack)?**

Yes

No

**Assessment Guidelines**

If you apply / intend to apply the LEAF Marque logo then you will need to complete LEAF Marque Licence Application(s) within the LEAF Marque Chain of Custody. Please see the [LEAF Marque Chain of Custody Guidance Document](#).

For a Producer Group, 'site' refers to the group of producers (with their respective production locations) supplying product to a central point. Please note, in general Producer Groups do not constitute multi-sites i.e. catering and food service sites.

**LMChoC.1.7 Does the business operate multiple sites where you apply / intend to apply the LEAF Marque logo and / or make claims on marketing or communication materials (on or off pack)?**

Yes

No

#### **Assessment Guidelines**

Please answer 'Yes' if you operate multiple processing or management sites within the same legal entity where the LEAF Marque logo is used and / or a claim is made at Point of Sale (POS). Examples would include catering and food service sites.

For a Producer Group, 'site' refers to the group of producers (with their respective production locations) supplying product to a central point. Please note, in general Producer Groups do not constitute multi-sites.

## Food Safety and Traceability Standards

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.3 (i.e. if you buy product in, handle product not grown by you and/or handle product that is not grown by you):**

**LMChoC.2.1** Is the site certified against any of the following food safety and traceability standards?

Yes

No

If 'Yes' please tick all that apply:

BRC

IFS

TASC

GTAS

SALSA

GFSI recognised standards

Other

Other – please explain \_\_\_\_\_

\_\_\_\_\_

**You will also be requested to upload your valid certificate(s)**

### Assessment Guidelines

Food safety and/or traceability certificates evidences your site's commitment to food safety and traceability. Examples include [BRC](#) (British Retail Consortium), [IFS](#) (International Featured Standards), [SALSA](#) (Safe and Local Supplier Approval), [TASC](#) (Trade Assurance Schemes for Combinable Crops), [GTAS](#) (GAFTA Trade Assurance Scheme), and [GFSI](#) (Global Food Safety Initiative).

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'NO' FOR LMChoC.1.2 (i.e. do not grow crops and/or rear animals) AND/OR SELECTED 'YES' FOR LMChoC.1.5 (i.e. business processes and/or manufacture any product to be sold as LEAF Marque certified on site):**

**LMChoC.2.4** Is this site certified against any Standards that recognise environmental responsibility in product handling / processing / manufacturing?

Yes

No

If 'Yes' please state which one(s):

\_\_\_\_\_  
\_\_\_\_\_

You will also be requested to upload your valid certificate(s)

#### Assessment Guidelines

Environmental Standards / certificates (e.g. ISO 14001) recognise your site's/sites' environmental responsibility in product handling / processing / manufacturing.

### Management Responsibility

**LMChoC.3.1** Is there a person responsible for the management of the LEAF Marque Chain of Custody for this site?

Yes

No

Please provide their name: \_\_\_\_\_

\_\_\_\_\_

Please provide their job role: \_\_\_\_\_

\_\_\_\_\_

#### Assessment Guidelines

The LEAF Marque Chain of Custody Self Assessment looks at the processes and controls the site has in place to support the traceability and integrity of LEAF Marque products along the supply chain. The nominated person has the ultimate responsibility for the LEAF Marque Chain of Custody and ensures that the tasks are implemented. This may include, for example, training in traceability management.

**LMChoC.3.3 Does the business keep records of LEAF Marque product traceability for 3 years?**

Yes

No

**Assessment Guidelines**

All documentation and records for the traceability of LEAF Marque product must be kept for a period of at least 3 years. The records must be available to staff and external auditors.

**Traceability Systems**

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.3 (i.e. if you buy product in, handle product not grown by you and/or handle product that is not grown by you) AND/OR SELECTED 'YES' FOR LMChoC.1.5 (i.e. business processes and/or manufacture any product to be sold as LEAF Marque certified on site):**

**LMChoC.4.1 Does the site have (a) model(s) of traceability to control LEAF Marque product(s)?**

Yes

No

**If 'Yes', what model(s) of traceability does the site use to control LEAF Marque product(s)? (please tick all that apply):**

**Identity Preserved (IP)**

**Segregation (SG)**

**Mass Balance (MB)**

**Assessment Guidelines**

LEAF Marque expects you to use the highest level of traceability possible. You may have more than one traceability model in place. Currently LEAF Marque accepts to following traceability systems:

Identity Preserved (IP): this model ensures that LEAF Marque certified product from a certified farm business is kept separate from other sources. If this model is used through the whole supply chain it allows certified products to be uniquely traced through the supply chain from a farm production site (LEAF Marque certificate holder) to the last point of transformation or labelling of a product (or use of a LEAF Marque claim on or off pack).

In this model, the LEAF Marque certified product cannot be physically mixed with other LEAF Marque certified or non-certified product of the same commodity or ingredient. Products from different certified sources cannot be physically mixed and must be documented accordingly.

This model allows the final product to display information about the specific farm on which it was produced.

(cont.)

Segregation (SG): this model ensures that LEAF Marque certified product is kept separate from non-certified sources through each stage of the supply chain. This means that all product in a particular consignment originates from LEAF Marque certified sources, though it may not be possible to identify exactly which individual item came from which individual LEAF Marque certified farm business. It permits mixing of certified products/ingredients from a variety of LEAF Marque certified sites. In this model, the LEAF Marque certified product cannot be physically mixed with non-certified product of the same commodity. Physical mixing of certified product coming from two or more different LEAF Marque certified sites is allowed and must be documented accordingly.

This means that final product can be identified as LEAF Marque but is unable to display information about the specific farm on which it was produced.

Mass Balance (MB): this model allows physical blending or mixing of LEAF Marque certified and non-certified product at any stage in the production process provided that the quantities are controlled in documentation. The volume of LEAF Marque certified product entering the operation is controlled and an equivalent volume of product leaving the operations can be sold as LEAF Marque certified (when considering manufacturing process losses). Balancing volumes can be at batch, site or group level.

This means that the final products can contain LEAF Marque certified and non-certified product in different proportions however, on average, across all final products, the proportion of LEAF Marque certified product does not exceed the incoming consignment proportions.

For more information on these systems please see the [ISEAL Guidance Chain of Custody models](#).



**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.3 (i.e. if you buy product in, handle product not grown by you and/or handle product that is not grown by you):**

**LMChoC.4.3** Is each incoming consignment of LEAF Marque certified product identified as LEAF Marque certified on the product and / or on the delivery documentation?

Yes

No

N/A – if you do NOT have incoming consignments of LEAF Marque product

If N/A - please explain: \_\_\_\_\_

\_\_\_\_\_

#### Assessment Guidelines

The LEAF Marque product(s) must be marked physically as LEAF Marque where possible and / or all products' delivery documentation must state that it is LEAF Marque certified. If you are using an Identity Preserved (IP) traceability system, the product or delivery documentation must carry the LEAF Marque certificate number.

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.3 (i.e. if you buy product in, handle product not grown by you and/or handle product that is not grown by you):**

**LMChoC.4.2** Is there a documented system on this site to ensure that all incoming consignments of LEAF Marque certified products are LEAF Marque certified?

N/A – if you do NOT have incoming consignments of LEAF Marque product

Yes

No

Please provide details of how this is achieved: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

#### Assessment Guidelines

LEAF Marque certification of a farm business is shown by a valid certificate.

You can check LEAF Marque certificates in real-time with the [LEAF Marque checker](#). If you do not already have access to this service, please request a membership upgrade [here](#).

Alternatively you can request a legitimate and valid LEAF Marque certificate(s) from the business(es) you are obtaining LEAF Marque product from.

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.5 (i.e. business processes and/or manufacture any product to be sold as LEAF Marque certified on site):**

**LMChoc.4.4 Throughout all stages of processing, does the site have documented procedures in place for determining the content of LEAF Marque certified and non-certified product?**

Yes

No

N/A – if you only handle LEAF Marque certified product

**Assessment Guidelines**

Where mixing/processing occurs, the control of LEAF Marque certified and non-certified products within sites is essential. Knowledge of the processes and material flow will enable effective control if accidental mixing occurs. These procedures should ensure that appropriate action is taken where mixing/processing leads to contamination and/or when the actual content of LEAF Marque certified product does not meet the intended proportion.

**LMChoC.4.6 For all LEAF Marque certified products leaving this site do the sales invoices and other related dispatch documentation specify its status as LEAF Marque certified?**

No

Yes

**If 'Yes' you will be required to upload a sample PDF document.**

**Assessment Guidelines**

For dispatches from farms you must use the LEAF Marque certification number. If the traceability model applied is Identity Preserved then use the farm LEAF Marque certification number throughout the supply chain. Examples of dispatch documentation include a dispatch / delivery note.

## Use of the LEAF Marque Logo

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.6 (i.e. business applies or intends to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials) AND/OR SELECTED 'YES' FOR LMChoC.1.7 (operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.5.1** Where the LEAF Marque logo is used on packaging and / or claims are made on marketing and communications materials (on or off pack), does the business follow the LEAF Marque Claims and Labelling Guidelines?

Yes

No

### Assessment Guidelines

It is essential that all claims about LEAF Marque certified product are correct and that the LEAF Marque Standards System does not come into disrepute from false and / or misleading claims. Please see the [LEAF Marque Claims and Labelling Guidelines](#).

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.6 (i.e. business applies or intends to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.5.2** Where the LEAF Marque logo is used on pack, does the business have (a) current LEAF Marque Chain of Custody Licence(s)?

Yes

No

Please add any comments: \_\_\_\_\_

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### Assessment Guidelines

A LEAF Marque Chain of Custody Licence states that you have permission from LEAF Marque to use the logo and any related claim(s) are approved. You must have a valid / up to date LEAF Marque Chain of Custody Licence to use the LEAF Marque logo and make any related claim(s). You can complete a LEAF Marque Chain of Custody Licence within the LEAF Marque Chain of Custody system. Please see the [LEAF Marque Chain of Custody Guidance Document](#).

The business holding the Licence will be the brand owner or responsible for the approval of the claim for another brand.

If you are working towards your first LEAF Marque inspection please select 'No' and explain this in the comments box.

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.6 (i.e. business applies or intends to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials) AND/OR SELECTED 'YES' FOR LMChoC.1.7 (i.e. operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.5.3 Do you have procedures in place to ensure that, if product is no longer LEAF Marque certified then the LEAF Marque logo is not used on pack and / or any marketing or communication material (on or off pack)?**

No

Yes

**Assessment Guidelines**

Procedures must be in place to ensure that, if product is no longer LEAF Marque certified then the LEAF Marque logo is not used on pack and / or on any marketing or communication material (on or off pack).

**Incoming and Outgoing LEAF Marque Product**

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'NO' FOR LMChoC.1.2 (i.e. do not grow crops and/or rear animals) AND/OR SELECTED 'YES' FOR LMChoC.1.3 (i.e. if you buy product in, handle product not grown by you and/or handle product that is not grown by you) AND/OR SELECTED 'YES' FOR LMChoC.1.5 (i.e. business processes and/or manufacture any product to be sold as LEAF Marque certified on site) AND/OR SELECTED 'YES' FOR LMChoC.1.6 (i.e. business applies or intends to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials) AND/OR SELECTED 'YES' FOR LMChoC.1.7 (i.e. operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.6.1 Does the site have procedures in place to accurately record the quantity / volume of incoming and outgoing LEAF Marque certified product?**

Yes

No

**Assessment Guidelines**

It is essential to have accurate records and summaries for each supplier as this will enable efficient completion of the transactions part of the LEAF Marque Chain of Custody. From the transaction data LEAF would be able to monitor mass balances between farms, buyers, manufacturers and brands to ensure that we are operating a credible system of monitoring.

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'NO' FOR LMChoC.1.2 (i.e. do not grow crops and/or rear animals) AND/OR SELECTED 'YES' FOR LMChoC.1.3 (i.e. if you buy product in, handle product not grown by you and/or handle product that is not grown by you) AND/OR SELECTED 'YES' FOR LMChoC.1.5 (i.e. business processes and/or manufacture any product to be sold as LEAF Marque certified on site) AND/OR SELECTED 'YES' FOR LMChoC.1.6 (i.e. business applies or intends to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials) AND/OR SELECTED 'YES' FOR LMChoC.1.7 (i.e. operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.6.2 Does the site have procedures in place to ensure that the volume / quantity of outgoing LEAF Marque certified product with a LEAF Marque claim does not exceed the volume / quantity of incoming LEAF Marque certified product?**

Yes

No

#### **Assessment Guidelines**

Having procedures in place will allow you to evidence that the outgoing volume / quantity of LEAF Marque certified product with a claim does not exceed the incoming volume / quantity of LEAF Marque certified product with a claim (when considering manufacturing process losses).

### **Management System for Multi-Site Operators**

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.7 (i.e. operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.7.1 Do you have an internal control system that guarantees that all the individual sites are compliant with the requirements of LEAF Marque Chain of Custody system?**

Yes

No

#### **Assessment Guidelines**

You must have an internal system in place to ensure that all individual sites are compliant with the LEAF Marque Chain of Custody.

In this context multi-sites are outlets where LEAF Marque certified products are handled and sold e.g. catering and food service sites.

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.7 (i.e. operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.7.5 Do you keep records of the individual sites included in the LEAF Marque Chain of Custody?**

Yes

No

**If 'Yes' you will be requested to upload a spreadsheet indicating the site name, location (postcode), type of premises and the responsible person.**

**Assessment Guidelines**

Records must be kept of the sites that are included within this LEAF Marque Chain of Custody and a spreadsheet must be uploaded indicating the site name, location (postcode), type of premises and the responsible person. This will enable LEAF to understand more about your multi-sites.

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.7 (i.e. operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.7.2 Do you have an acknowledgement from each individual site confirming their participation in the LEAF Marque Chain of Custody?**

Yes

No

**Assessment Guidelines**

You must have a written acknowledgement that each site understands its responsibilities within the LEAF Marque Chain of Custody system. This could be in the form of an email.

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.7 (i.e. operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.7.3 Does the business internally inspect against all individual sites at least annually against the requirements of the LEAF Marque Chain of Custody?**

Yes

No

**Assessment Guidelines**

You must have an internal inspection system that covers each participating site that demonstrates compliance to this LEAF Marque Chain of Custody system.

**ONLY ANSWER THE FOLLOWING QUESTION IF YOU SELECTED 'YES' FOR LMChoC.1.7 (i.e. operates multiple sites where you apply or intend to apply the LEAF Marque logo to packaging at the site and/or make claims on marketing or communication materials):**

**LMChoC.7.6 Does the internal control system include policies and procedures for sanctioning individual sites that do not comply with the requirements of the LEAF Marque Chain of Custody?**

Yes

No

**Assessment Guidelines**

You must have an internal control system that includes policies and procedures for sanctioning individual sites that do not comply with the requirements of the LEAF Marque Chain of Custody.