

Qualification: setting rules for GI products

In the particular case of geographical indication (GI) schemes, it is the local producers and processors themselves who define the rules for using GI through the code of practice (CoP). Even if the initiative or incentive for implementing the quality circle may come from an external source, and even though the identification of potentialities may require the knowledge and support from outside the production system, the qualification phase requires the involvement of the value chain actors as they are most knowledgeable about what makes the specific quality of their product. Indeed, they can be considered the legitimate owners of the inherited production and processing know-how required for developing the contents of the CoP.

The CoP (defined in chapter 2.1) contains different components as follows: specific definition of the product (chapter 2.2), delimitation of area (chapter 2.3), and the guarantee system (chapter 2.4). In the perspective of rural development, elaboration of the rules, if well designed and managed, is a crucial step to contribute to the preservation of natural and human resources (chapter 2.5).

Conflicts often arise as part of the participative process and we give some guidelines to consider when dealing with these conflicts (chapter 2.6).

2.1 The code of practice

Introduction

The code of practice (CoP) is a document establishing the rules for the use of a geographical indication (GI). Its elaboration is a very important step, leading to the voluntary “standard” or specifications with which local producers who want to use the GI have to comply.

A document defining the specific quality linked to geographical origin

The CoP, which could also be called “book of requirements”, “product specification”, “disciplinary document” etc., corresponds to a voluntary standard that defines the specific quality of a product, shared among producers who use the related geographical indication.

The aim of the CoP is then to provide rules for applying the specific quality to the GI producers located in a delimited area. Therefore, it must describe the specific characteristics of the GI product which are attributable to its geographical origin, justifying the link between the product and the territory (the same product cannot be elaborated in other territories). It must explain how a given quality (the specific attributes that make the product different of the other of the same category), a reputation (history of the product, past reputation, current reputation) or another characteristic (for instance know-how) are linked to the origin.

The rules do not have to be very complicated or numerous, but they need to be extremely focused on the elements that give the product its originality and typical character.

The CoP includes the definition of the product (name, characteristics, production and process methods), the delimited area concerned and is associated to a guarantee system (control plan) to ensure conformity of a GI product to the specification. As a consequence, the CoP is both a tool for internal coordination (collective rules for a fair competition between producers) and external trust (recognition by society, information on quality available for retailers and consumers).



Producers working on the code of practice for Kampong Speu palm sugar (Cambodia).

The definition of common production rules is the core of the GI process; it is a key-step that should be addressed with attention. The rules have to be :

- the warrant of the specific quality of the product.
- concrete and assessable.
- shared among all the concerned producers.

BOX 1: THE MAIN CONTENT OF THE CODE OF PRACTICE**Description of the product**

The main physical, chemical, microbiological or organoleptic characteristics of the product, focussing on features that are easily assessable.

Ingredients and raw materials

The ingredients and raw materials that should be used in the production process, and/or ingredients and raw materials that should not be used.

Definition of the process

The method for obtaining the GI product in all the phases of the production process (agricultural production, transport, processing, conditioning, seasoning/maturing and including final packaging). If needed, insert explicit prohibition for using some production methods. Focus on relevant phases and aspects.

Demonstration of the specific quality linked to geographical origin

Focus on the elements justifying the link between the specific quality and the resources in the geographical area (natural and human ones).

Definition of the production area

Description of the delimited production area. When needed, distinction between the production area of the raw material and the production area for processing and conditioning.

Name(s) of the product and labelling rules

List of the name(s) that the GI product can have and, when needed, the quality classification and differentiation (depending of the processed stage or presentation).

Control plan - verification system (within the CoP or associated to)

Description of how the controls will be used and, when needed, the certification system.

Importance of measurable requirements

In order to enforce the CoP and to guarantee the product conformity, it has to include assessable characteristics (chemical composition, shape, taste, colour, etc.) traceable to the final product. Moreover, it has to include elements that are not necessarily noticeable in the final product but which contribute to the above mentioned characteristics and image of the product: biological resources (breeds, plant varieties, etc.), agricultural practices (also linked with landscape and environment), maximum yields, duration of ripening/seasoning, etc.

Most requirements of a CoP concern the process characteristics rather than the product results:

By definition, there are several producers for the same GI product, and the objective in developing a GI is not to standardise the different products obtained locally. Indeed, a GI product is rooted in a culture and territory, therefore, its specific assets are very important and should be preserved rather than standardised. In that sense, the requirements on results (product characteristics) are only necessary to ensure that all products will meet a general expectation on assessable characteristics.

The CoP should include two types of requirements:

- means linked to the processes
- results linked to the final product.

The requirements must be monitored and inspected, through a system, which is provided by the CoP itself or by the general GI legislation. Setting up a control plan and sanctions is a further and crucial step in the collective action.

The Control Plan, on the basis of the rules established in the CoP, is a listing of the type of controls that must be done in order to ensure conformity of the product. It is a management tool to identify and monitor the activity required to control the critical inputs and/or key outputs for a process so the process will continually meet the requirements established in the CoP (See chapter 2.4).

It is important to remember that:

- The only good rules are those that can effectively be enforced and controlled.
- The only good controls are those that can result in sanctions or rewards.

Importance of mediation

Defining rules and boundaries during the qualification process is a complex matter as each rule established in the CoP entails a risk of exclusion, either by geographical or technical requirements or may impose additional costs and investments for some producers to comply with. It is necessary to acknowledge and manage these risks. This implies that sufficient time and deliberation should be dedicated for the definition of these rules. For example, information must be largely available to all stakeholders concerned.

It is very important to consider the pros and cons of each choice, considering heterogeneity of different structural and functional characteristics and the various aims of different actors. Therefore, mediation may be required to make choices between the different possibilities.

Further technological innovations or other changes affecting or likely to affect the GI system would require new negotiations and decisions concerning the code of practice (See chapter 4.2).

The following chapters describe the components in more detail with regard to the specific product characteristics, the delimitation of the geographical area, the guarantee system to be defined and ways to set them up.

Mediation for reaching compromises

The mediation must consider each type or variety of products and methods, the importance of every actor in the supply chain, the costs of all requirements, etc. It may be done by the collective organization of the producers themselves. However, it usually requires the intervention of facilitators for the negotiations. If the GI product is to be officially registered and protected, public authorities must play a role in providing some guidelines for mediation (internal coherence of the general GI policies) and for formalizing a final agreement (see chapter 5.2).

Case Study 1: A constructive process to elaborate the code of practice COFFEE OF KINTAMANI BALI (Indonesia)

In the area of Kintamani, a mountainous area in the North East of the Bali Island, coffee is renowned for its high quality and particular taste. Recently, technical upgrading of the product and organizational innovations have reinforced the opportunity to apply for protection of this GI. During the GI qualification phase, producers with the help of facilitators, defined the specific quality of the product, the link between the product and territory and agreed on criteria within the CoP and delimited the territory. This process, which took place in 2006 and 2007, was possible thanks to the creation of a collective organization, the CGIP (Community for Geographical Indication Protection) bringing together the producers of coffee beans (farmers) and the processors and aiming at managing and defending the GI.



The main content of CoP for the Coffee of Kintamani Bali is:

- Name: "Kopi Arabika Kintamani Bali".
- Type of the products: Green coffee and roasted/ground coffee obtained from the Kintamani fully washed Arabica.
- Specific characteristics: the taste presents a net acidity, from medium to high, with bitterness less marked, or sometimes non marked, and strong quality and intensity, with eventual fruity taste, often lemony.
- Description of the production area was one of the critical points in the process of writing the CoP and it was agreed that the production area must be delimited geographically based on altitude (above 900 m).
- History and traditions: the coffee tradition goes back to the beginning of the 19th century. Even if there were important fluctuations in the size of the lands planted, coffee has always been one of the most important crops and catalyst for local development. Used as an everyday beverage, during ceremonies, as a remedy, etc., coffee is an important part of the local culture.
- Production methods, the CoP specifies: density, shade, varieties, fertilization, pruning, pest or disease control, plantation diversification.
- Processing methods: the CoP specifies: sorting of red cherries and time between harvest and process, cherries floating and pulp removing, fermentation time, washing and drying, storage, hulling and sorting, roasting, packaging.
- Control and traceability: see case study 8 in chapter 2.4.
- Labeling: a specific logo was elaborated



This qualification phase required 12 meetings in 10 months with the GI managing group in order to examine each point of the code of practice and to reach an agreement for each of them. In this step, the support of scientific organizations (CIRAD, French Agricultural Research Centre for International Development and ICCRI, Indonesian Coffee and Cocoa Research Institute) has been very helpful for supplying preliminary studies and scientific data for helping the choices but also for facilitation and mediation. The "Coffee of Kintamani Bali" has been officially registered as a GI in December 2008 by the Indonesian authorities; it is the first GI in Indonesia.

Source: Mawardi S, 2009 ; Fournier, S, 2008.

2.2 Definition of the specific quality of the product

Introduction

The definition of the production process and of the characteristics, aims to justify the specific quality linked to Geographical Origin. The characteristics must reflect the common heritage, taking into account the basic product and its variants, which are possible to label with the GI. The challenge for the actors involved in the system, is to agree on common practices while allowing space for individual innovations. Therefore, setting the “right” common rules is a complex matter, as a result of the coexistence of different technologies and different quality levels of a GI product.

Description of the product

When establishing a CoP, the first step is to define what makes the GI product famous and different from others, on the basis of objective characteristics, raw materials and processing methods.

The work done in the Identification phase should support and orient the criteria to define the specific quality and demonstrate the link to geographical origin. In the qualification phase, specific studies can be necessary to specify certain elements.

The description of the product includes, as relevant:

- Raw materials.
- Physical characteristics (shape, appearance, etc.) and presentations (fresh, preserve, etc.)
- Chemical (additives, etc.)
- Microbiological (use of ferments, presence of germs, etc.)
- Organoleptic (flavour, texture, colour, sensory profile, aromas, taste, etc.)

With regard to the processing methods (for processed products), for all the stages that are taking place in the territory concerned and as relevant, the description includes:

- Production process, techniques and technical criteria.
- For animal products: race, breeding practices, age at slaughter, etc.
- For vegetal products: varieties, harvesting, storage, etc.

First step: inventory of resources and practices

Obtaining data related to the main issues on type and variety, as seen by different actors belonging to different stages of the supply chain and with different attributes, starts with making an exhaustive inventory of the GI products characteristics (for example. industrial vs artisan, big vs small, etc.).

BOX 2: EXAMPLES OF SPECIFIC CHARACTERISTICS GIVING TYPICITY TO THE PRODUCT

Meat products:

Some key steps to define the originality of the product are:

- A specific race or breed as for example in the case of the Chivito Criollo del Norte Neuquino (see case study 3 in chapter 1.1)
- The feeding of the animals with a particular local feed (for example, chestnuts for pigs from natural forests in Corsica; mountain pastures with specific aromatic herbs in the case of Chivito Criollo del Norte Neuquino, lambs from “Pré salé” in France graze sea-shore pastures which result in the meat being salty, etc.)
- The process conditions will play also an important role, as maturation period, the salting or as the drying climate of the ham in the case of Jinhua ham in China or the traditional smoking in the case of Uzice ham in Serbia (case study 4 in chapter 4.2).

Vegetal products:

- Soil and climate conditions will play an important role in the flavour (for example in the case of Limon of Pica cultivated in the desert of Atacama) (case study 3 chapter 5.2)
- Native local plant varieties give special quality attributes to the final product in terms of flavour, aroma, colour, texture, etc.
- Traditional practices and know-how can also play an important role, as in the case of Argan oil in Morocco (see case study 6 in chapter 1.2).

This inventory should include precise technical data as well as quantitative data (for example, percentage of the total production, which corresponds to a specific sub-type or is concerned by a defined kind of process).

In most cases, it is also important to identify different types of producers according to their size (farms, small-scale factories, cooperatives, industrial units, etc.) and to link these types with the above-mentioned elements regarding the characteristics of the final product and the processing methods.

To provide this definition, different complementary means can be used: literature research, interviews with other inhabitants (especially the elderly) and to some traditions specialist, carrying out physicochemical analysis, etc. In addition to this, data and information on consumers and retailers' expectations on the product need to be added. Jury tasting with an organoleptic test is important both for characterization (CoP description writing), and for marketing (communication, segmentation, etc.).

BOX 3: TASTE QUALIFICATION PROCESS – ARGAN OIL (MOROCCO)

In 2008, AMIGHA (Moroccan Association for the geographical identification of Argan oil), supported by ITERG (the Industrial technical centre for enterprises working in the industry for fatty substances), established the first jury tasting for Argan oil in order to describe its specificity. They elaborated the organoleptic referential of the Argan oil: they defined the organoleptic and sensory specifications, a specific vocabulary for the description of Argan oil and they engaged in training activities for members of the jury.



Table 1: Sample questions for providing an inventory of specific characteristics

Questions	Examples of data
What is the degree of heterogeneity among final products?	Different shapes, sizes, tastes, etc.
What are the different ways of processing in relation to the heterogeneity of final products?	Use of different biological resources, different types of soils and micro-climates, ingredients, duration of ripening/seasoning, technological tools, etc.
Which are the different types of producers or actors in the supply chain?	On-farm processed products and products from industrial production units. Producers of raw material, processors and actors who integrate several steps of the production chain
Where do the raw materials come from?	From vegetal products: origin of seeds and plants From animal products: origin of the animals, animal feed, etc.
What are the elements of a specific know-how along the supply chain?	Know-how on selection, agricultural practices, harvesting, processing, etc.
What stages of the production/ processing process (even presentation?) are part of the GI specifications?	Non-processed / processed Presented and packaged...

Second step: defining the rules

The data collected usually shows a high degree of heterogeneity in the characteristics of the final product, in the means and methods of production, the types of producers, etc. This large variety may correspond to conflicting differences, such as tradition vs. technical progress, local biological resources vs. external breeds or varieties, small-scale producers vs. industrial producers, etc. The challenge is generally to choose which products will be concerned by the GI, so to determine the adequate rules in order either to reduce the preexisting heterogeneity or to define possible future sub-types.

How to tackle product heterogeneity?

The CoP aims at fixing the characteristics of the GI product but with a certain flexibility to take into account heterogeneity between different producer types, or to allow some creativity. Producers may decide to define one intermediate rule with an authorized percentage higher or lower; or include a spectrum of criteria covering the heterogeneity (for example several biological resources or methods of production). In some cases, it can be interesting to define sub-categories within the same GI.

BOX 4: SETTING UP A SUBCATEGORY - EXAMPLE OF GRUYERE.

Gruyere is a Protected Designation of Origin in Switzerland (See case study 3 in chapter 2.3). In the code of practice, "Gruyere d'alpage" ("High pasture Gruyere") is the name defining a subcategory of the GI product Gruyere. This requires additional rules of production: the cheese has to be produced only in high mountain pasture areas, when cow feed is exclusively composed of permanent pasture. The quality of this gruyere d'alpage is quite different from the classical gruyere, but both of them can benefit from the GI. Thanks to the specific labelling of the subcategory, consumers are informed about the cheeses' diversity within the PDO. See also case study 10 in chapter 3.3

Case study 2: Including artisan and industrial sub-categories TURRIALBA CHEESE (Costa Rica)

Queso Turrialba, is a fresh, white cheese made with raw or pasteurised milk produced on the hills of a volcano in the region of Cartago in Costa Rica. It is recognised in the country for its quality, special flavour and texture. Local farmers, following traditional production processes, have produced this cheese in the region for 100 years.

The producers and then the markets can be divided in two categories:

- Artisan dairies: 48 percent by direct sale, 25 percent in neighbouring markets and 17 percent to intermediaries
- Mini-factories: 80 percent by direct sale and 10 percent to local retailers.



The choice was made to exclude strict industrial processing from the code of practice, but allow small local semi-industrial units to use the GI after satisfying the adoption of required processing methods. The code of practice for the Queso Turrialba (in the process of assessment by National authorities), included two types of cheese: "Fresh Turrialba" and "Mature Turrialba". Both types could bear the category label "artisan cheese," however this information had to be specifically indicated on the label of the product. Moreover, this category of "artisan cheese" entails types of cheeses elaborated on the farms of producers that are mainly derived from family labour employing hand-made processes using whole milk originating from cows owned by the producers themselves.

Source: Blanco, M. 2007..

PRACTICE

Think about the issues raised in this chapter in relation with your situation.

Answer the questions

- What are the characteristics of the product? Are there any sub-types?
- What are the characteristics of the ingredients? Where do they come from?
- What are the technological characteristics of the production systems?
- On which basis could you adopt a common approach in the definition of common rules for production and processing? (for example on the basis of the most widely adopted practices; on the basis of the most exigent practices to ensure high-quality; on the basis of the most authentic and traditional known-how or on the basis of the ability of the rules to be effectively controlled and enforced ?)
- What are the main types of producers and actors of the supply chain?
- Could the rules exclude some producers?
- What are the main sanitary problems for the application of the Code of Practice?
- Is it possible to comply with national and international legislation on food safety without modifying the characteristics of the GI product?

List in the table

- 1) Possible rules of production
- 2) Their relation to the product's specificity
- 3) Their relation to the territory.

1) Rules of production	2) Relation to the product's specificity	3) Relation to the territory
Ex. Cows are mainly fed with grass and pastures ...	Ex. Taste of the cheese. Possibility to process cheese from raw milk, etc. ...	Ex. Landscape, maintenance of pastures and meadows, etc. ...

2.3 The delimitation of the production area

Introduction

The territorial basis for the entitlement of a GI must be closely linked to the specificity of the product and its link to the geographical origin. This is also the main constraint of the system as it excludes all producers outside the territorial delimitation to use the GI. Several criteria and concerns should therefore carefully be considered in order to establish the delimitation.

What defines the territory?

The geographical area corresponds to the territory where the GI product is elaborated (or can be elaborated) according to the stages defining the GI product (raw material, processing, etc.). In fact, the delimited area of production of a GI product is defined according to the localization of the *terroir*, as the interaction of natural and human resources over time. The delimitation should be based on the link between the product and its geographical origin.

Therefore, the delimitation should take into account four main criteria:

- The physical criteria, such as soil, climate, topography, exposure, water supply, etc.
- The local practices, such as conditions of cultivation, varieties, harvesting, processing practices, etc.
- The local history and the GI reputation;
- The localization of the GI producers (actual or potential)

Within the CoP, it is possible to distinguish several different geographical areas according to the production stage for the same GI product. For example, it may be necessary to have a larger area for the supply of raw material and a smaller area for the processing of the final product.

Reputation and history

Reputation refers to the notoriety acquired by the GI product in the market and in society, and it is the outcome of consumption history and traditions.

The history of the product is important to consider to define the production area, as it can evolve over time (it can expand and shrink), according to economic cycles and trade conditions. It can be useful to define the “minimum” area of production where production has always been maintained, as it possesses the optimal conditions that will serve to select the criteria for the GI area delimitation. Indeed, the delimitation could partly differ from the present location of production, depending on how the potential of production has been taken into consideration.

History also contributes to reinforce the belongings of a product to a territory, thus the local identity, and justifies it for external recognition, giving proof that testifies the

2.3

link between product and territory. Indeed, historical data and documented sources (literature, laws, recipes but also oral sources such as stories and narrations) mentioning the product and the geographical origin in the past, are an important justification of the roots of the product.

The historical elements are not only useful to support the protection of the reputation, but they also allow the evolution of the production and the product itself to be seen with a long-term perspective. This is particularly important, in order to meet consumers' expectations which evolve generally more slowly than technologies.

Historical and geographical studies or research (ethnologic land survey, historical research and agronomic studies) generally require the support of scientists or experts (See chapter 1.4).

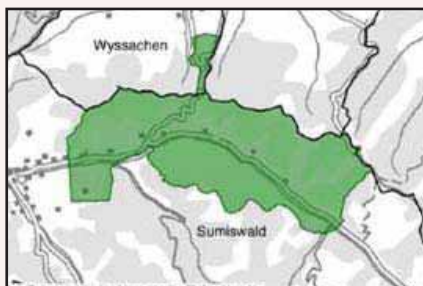
Case Study

Case study 3: Taking into account the territorial complexity of the existing production area - GRUYÈRE PDO (Switzerland)

The Gruyère PDO originally comes from the region of the same name in the Canton of Fribourg (red circle on the map). Production has spread for more than a century in many neighbouring French-speaking regions (Fribourg, Vaud, Neuchâtel, Jura, Berner Jura). For the registration of the PDO, the geographical area was delimited in accordance with these historical circumstances. However, the collective organization of Gruyère also had to consider the fact that some cheese factories in remote German-speaking regions had been producing Gruyère for decades. Their rights to the GI were recognised, and they were integrated in the delimited area but only as satellite areas, in order to preserve the homogeneity of the core region of origin. The satellite areas are precisely delimited as the territory of milk supply for each cheese factory concerned.



Geographical area of Gruyère PDO



Detail of the satellite area F7



Source: SINER-GI reports, 2006.



The GI name and the territory

The product can be identified by geographic names and symbols that incorporate geographical areas (Champagne, Parmigiano-Reggiano, Queso Chontaleño, Colombian coffee, etc.) or other words and symbols, which are not geographic names but which

unmistakably refer to geographical places and their people (Pico Duarte coffee, Tequila, Feta cheese, Cacao Arriba). “Is the product known through a geographical identifier?” If so, this identifier will help in identifying the delimitation: it is useful to ask knowledgeable local people and external experts to draw the boundaries of the area. However, different sources can give different maps. The application process for the GI must take into account a comparison of the possible delimitation areas and must include a deliberation procedure to reach a common vision of the delimited area.

In some cases, different names may be used for the same GI product, for example a name referred to a village, a city or the mountain area within the GI territory, and producers will have to decide the “right” name. The right “name” is one which refers to the reputation or renown.

BOX 5: EXAMPLES OF GI NAMES IN RELATION TO THE TERRITORY

GI name doesn't have to correspond exactly to the name of the geographical area. GI area can be larger than the boundaries of the extension of the name, and the contrary is also true. For example, the reputed name corresponds to a city located in the production area, but this area is larger than the limits of the city itself.

Example: Bordeaux wines in France or Parma ham in Italy.

The name can be larger than the effective area of production. For example, the GI product could be associated with the name of the country, even if the area of production is only a part of the country.

Example: Coffee of Colombia refers to the name of the country and corresponds to different production places (terroir) within the national territory.

The choice of the name should carefully consider the reputation associated to it. In some cases, the renown linked to a place or city for tourism located in the production area, can become an interesting opportunity to benefit from it.

Examples: The Kintamani coffee is associated to the name of Bali, internationally renowned (see case study 1 in chapter 2.1).

In the process of renewal of the PDO “ham of Uzice”, producers are considering the possibility to register the name “ham of Zlatibor” in the same production area, as the name benefits from a good reputation. (See case study 4 in chapter 4.2).

Criteria and methods to define the boundaries

The process of defining the physical boundaries for the production area of a local product is an essential step. There is no “one-size-fits-all” solution. On the contrary, each delimitation process requires a collective conceptualization and a specific solution. An effective balance must be reached between the different criteria.

Some processing techniques are specific to certain social groups whose local knowledge has been passed down from generation to generation. It can be necessary to carry out interviews and draw maps with the help of local informants and facilitators.

Table 2: Criteria for delimitation

Criteria	What	Example of methods
1. Ecological setting	The agronomic and physical conditions fit for the elaboration of the product's expected quality	Ecological map, analysis of soils and landscape study
2. Know-how, specific practices and traditions	The technical culture that differentiates the quality	Inventory of know-how by interviewing producers
3. History of production	The maximum and minimum level for extending the historical area of production. For how many generations? Continuous area or different places?	Investigation by interviewing and collecting documents (references of the geographical name made in cookbooks, novels, treaty, etc.)
4. Production stages and economic situation	The main producing and processing areas' potential for extension. Producers' localization. Are all the supply chain stages located in the area? Are the raw materials in the area coming from outside?	Discussions and interviews among supply chain. Crossing maps of the area which have been thought by different stakeholders
5. Social network	The need for a consistent GI group that includes all the legitimate producers and has sufficient capacity to take and enforce collective decisions	Participative meeting
6. Existing zoning	Preliminary existing zoning, referring to a place, such as geographic or administrative limits, can be considered at the end for definitive description of the area, though they should not influence the delimitation process based on <i>terroir</i> .	List of local administrative units, communities, natural limits or other boundaries with a name, to describe the area content.

Adapted from Berard *et al*, 2001.

Case study 4: The delimitation of the GI boundaries ROOIBOS HERBAL TEA (South Africa)

Traditional areas for Rooibos production are mainly mountainous territories, which produce the highest grade of rooibos. Increasing the altitude improves the product's quality as a result of the higher mineral presence in the soil and the lower temperatures. Rooibos' producing area, in South Africa, is roughly assimilated to the specific area of "Fynbos biome", close to Cape Town, where Rooibos (*aspalathus linearis*) is an endemic species. The Rooibos is expanding to the South West with major growth taking place in the Sandveld area, which is a low-lying area, producing in general the lowest grade and varies widely depending on the climatic conditions. When the South African Rooibos Council met to set up a delimitation proposal for a Rooibos GI, it considered both the current area of the production and the ecological system, taking into account the following criteria:



- It must be produced in the Winter Rainfall Area of South Africa.
- It must be produced in the Fynbos biome area.
- The soils must be a derivative of Table Mountain Sandstone.
- The soils must be deep, well drained and sandy with acidity level below 7.

Source: Bienabe, E., Troskie D., 2007.



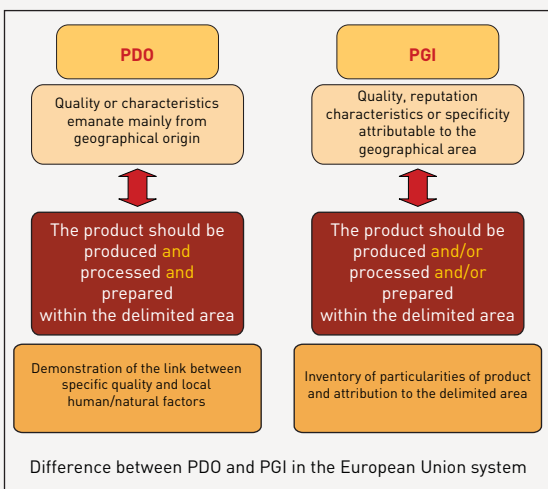
BOX 6: LINK WITH GEOGRAPHICAL AREA: DIFFERENCE BETWEEN APPELLATION OF ORIGIN (AO) AND GEOGRAPHICAL INDICATION (GI).

As a result of the definitions of the Appellation of Origin (Lisbon agreement) and Geographical Indications (TRIPs), the differences between both can be related to the intensity of the link between the product and its territory:

In the case of GIs, *"The given quality, reputation or other characteristics [...] is essentially attributable to the geographical origin"*. As for appellations of origin, *"the quality and characteristics are due exclusively or essentially to the geographical environment, including natural and human factors"*.

For example, in Europe, the rules for the delimitation of area regarding the choice between PGI (Protected Geographical Indication) or PDO (Protected Designation of Origin) are defined as follows:

- PGI: at least the most important stage of production takes place within the area
- PDO: All the production stages take place within the territory (all ingredients should normally originate from the delimited area, except secondary ones like salt, other ingredients or other resources that cannot be produced and/or were never produced in the delimited area).



BOX 7: EXAMPLES OF DELIMITATION IN RELATION WITH TERROIR PLOTS AND ADMINISTRATIVE BOUNDARIES

The delimited area can be a discontinuous area fragmented in different *terroir* plots, taking the name of one plot or the overall area. In some cases, each plot may correspond to some variations of the GI products.

In the case of Cacao Arriba, in Ecuador, the delimited area is composed of various discontinued areas (terroir plots) within the national territory. (See case study 13 in chapter 1.4 and the map here). See also the case of Gruyere (case study 3 in this chapter)



A GI delimitation has not to be influenced by administrative or political boundaries, except if these boundaries have had a real impact on the territorial extension of the production in the past or future, or if they correspond to distinct, cultural or natural differences which would determine the product's characteristics.

For example, in the case of the Chivito Criollo del Norte Neuquino (Argentina): the production area corresponds to the breeding place covering some 25 000 km of mountainous region and is composed of various "departamentos" (Chos Malal, Pehuenches, and parts of Norquín, Añelo y Loncopue).



BOX 8: METHOD AND CONTENTS OF A GI DELIMITATION REPORT.

The "delimitation report" constitutes the basis for the discussion of a delimitation proposal. It should be established through the collaboration of all stakeholders involved and should include the following elements:

1. Presentation of the area reporting physical and administrative organization description, etc.
2. Economic data: a study reporting production data, other productions, farming systems, farm structures, etc.
3. History and reputation: product's history, notoriety, recognition, etc.
4. Markets and consumption: data on production, marketing, sales, exports, consumption, etc.
5. Production methods: fabrication techniques and production systems (production units, processing methods, etc). Characterization of the future GI product, etc.
6. Production uses: data regarding production per region, district, village, number of production units, share and place of GI production in relation to local economy, etc.
7. Geographical situation: landscape and vegetation, climate, geology and main soils
8. Evidences of the link with the Geographical Origin: evidence of the links between local natural and human factors, production practices and the products, proposal for the main criteria to ground the delimitation of physical criteria and human criteria.
9. In-field applications, first draft of the delimitation proposal: simulations through maps.

Case study 5: How the CoP justifies the link between product and geographical area

LARDO DI COLONNATA (pork fat) (Italy)

The production and consumption of Lardo di Colonnata are traditionally linked to the milieu of the marble quarry workers of Colonnata (Tuscany, Italy). This unique milieu is the result of a number of not only natural and climatic conditions and resources, but also historical, economic and social factors, the main characteristics of which have not changed for centuries.



The link is established by virtue of the following factors:

- **Geographical area:** The geographical area of production of 'Lardo di Colonnata' (processing and curing pig fat) is the area of the very small village of Colonnata, which is part of the municipality of Carrara. On the other side, the geographical area of production of the raw material covers 10 Italian regions, which are traditionally given over to the production of heavy pigs. Over time, these regions have consolidated farming and feeding techniques suited to the production of raw material with the characteristics required for the subsequent processing. Slaughterhouses and cutting plants are also located in those regions.
- **Historical justification:** While it is difficult to establish with certainty whether it was the Celts, the Romans or the Lombards who introduced the local tradition of conserving pig fat in marble basins or whether it originated during the times of the city-states, there can be no doubt that it is old and established. This is proven among other things by the discovery in the area of marble basins used for curing pig fat dating from the 17th, 18th and 19th centuries.
- **Specific local production method:** Over the centuries, the system of processing and curing in the traditional marble basins has not changed substantially. Formerly, the production cycle was annual, the pig being slaughtered and processed only during the coldest months (January/February), while today more than one production cycle a year can be carried out, although the operations remain concentrated during the coldest and wettest months (from September to May) in order to safeguard the natural character of the production process. Within 72 hours of slaughter, the pig fat must be trimmed, coated with salt and then placed in special marble basins, known locally as 'conche', which have previously been rubbed with garlic, alternating layers of fat and layers of other ingredients (fresh ground pepper, fresh rosemary, peeled and coarsely diced garlic) until the basins are full. When full, the lids are placed on the basins. The 'conche' are made from white marble from the 'Canaloni' marble beds of Colonnata, the composition and structure of which ensure optimal curing and ageing of the product.



Continue next page



- **Climatic:** The village of Colonnata is located in the Apuan Alps at an average altitude of 550 metres above sea level. The climate is characterised by high precipitation and low temperature variation. Strong currents of wet air from the Tyrrhenian slope, after crossing the short coastal plain, immediately condense as they are forced upward by the mountain chain, creating high levels of precipitation, increasingly frequent and intense the further one moves over the marble-bearing spurs. One of the main consequences is the high average atmospheric humidity caused by the frequency and volume of rainfall, reaching maximum levels during the rainiest periods between September and January and April and June. These factors are even more evident in the workrooms/cellars, whose location and structure help maintain ideal climatic conditions, permitting the product's highly appreciated organoleptic characteristics to be reproduced. The link with quarrying has also exerted a considerable influence, since Colonnata's workers have always needed an energy-rich diet.
- **Human factors:** an important role is played by the skills that have developed over time within an activity that, it must be emphasised, in Colonnata has never been just a special branch of the trade of the pork butcher, but a true, independent profession. These skills include, for example, the ability to select and prepare the raw material, to monitor the 'salamora' or brine and reconstitute it when required and to exploit the humidity and poor ventilation of local cellars.
- **Reputation:** The reputation of Lardo di Colonnata no longer needs to be proven. The product is known and appreciated everywhere, as the increasingly frequent attempts to imitate the product and misuse its name show.



Source: extract from EU publication of the Registration of the name GI "Lardo di Colonnata PGI" (EU Official Journal, L348, 27.10.2004)

PRACTICE

Think about the issues raised in this chapter in relation with your situation.

Answer the questions

- Should certain existing producers be excluded in relation to the product's quality or for the coherence of the geographical area?
- Can producers of other areas be interested in the production of the same GI?
- Do environmental conditions of other regions in the country allow producing the same GI?

List in the table

- 1) Relevant criteria to delimitate geographical area
- 2) Related problems to decide on it.

The statements provided in the table are only examples

1) Criteria	2) Problems
Specific type of soils	Exclusion of some producers.
All producers using the name and/or know-how at present	Remote extensions from the original region
Raw material coming from the territory	Not enough volume at some period
.....	
.....	

2.4 Setting up the local guarantee system

Introduction

As the GI reputation is shared between everyone using the GI for marketing the product, there must be a local guarantee system to ensure that they all comply with the requirements set in the code of practice (CoP). This should assure that consumers will not be deceived and honest producers will not suffer from unfair competition. The challenge consists in performing an efficient, credible and financially accessible guarantee system.

A guarantee system for geographical indications

A guarantee system provides assurance to consumers and purchasers of a product's conformity to the specifications established in the CoP. It includes all the mechanisms put in place in order to ensure the respect of the rules (control) and the related information to consumers (certification).

The guarantee system depends on specific market conditions and the economic, social and cultural context. In local markets, proximity between producers and consumers, allows for the building of trust and the possibility for consumers to check for themselves the conformity through an informal and social system within the community.

When trust and proximity are not possible or sufficient as a mechanism to ensure the conformity of the product, a more complex guarantee system should intervene, both:

- to give the possibility to each producer to ensure himself and to the other GI producers, that he/she keeps producing the product in conformity with the CoP;
- to guarantee society, in particular consumers who buy the GI labeled products, that conformity to the CoP is controlled, ensuring the product specific quality and maintaining confidence and credibility in the GI.

Verification of the product conformity is based on three main components:

- raw material and processes, as defined in the CoP.
- traceability, to ensure the product originates from the GI delimited area.
- final product, as presented to consumers (labelling, aspect, taste...).

The importance of guarantees for consumers

Consumers are increasingly careful about what they buy, especially in buying food, both with regard to the product's quality (ingredients, taste, texture, etc.) and to the production process: Are they ethical? Do they preserve the environment and traditions? Are they typical of their area of origin? Who are the producers and their characteristics and culture? Consumers are willing to pay more for products that respond positively to these questions than for the standardised ones. Guarantees are expected with regard to:

- The origin, method of elaboration and specificity of the products.
- Clear and informative identification labelling.
- Traceability: who is producing what.

Case Study 6: Traceability at the producers' level: implementation of simple tools - KAMPONG SPEU PALM SUGAR (Cambodia)

Traceability can be insured with quite simple tools as those that have been developed for matter accountability for the Kampong Speu Palm Sugar in Cambodia (See case study 2 in chapter 3.1).

Producers have to record their production and sales (per category of product) in a form provided by the GI association. Each record is also signed by the (registered) buyers in the producer books. A certificate of delivery is also established and signed by both producer and buyer, and kept by the buyer to justify the source of supply. These records are the first step of the traceability system.



ឆ្នាំទី២០០៩ (Season 2009)
កាតព្វកិច្ច បញ្ជី (SUGAR POWDER)

កាលបរិច្ឆេទ Date	ឈ្មោះ (ឈ្មោះ) Name of buyer (Company)	កូដ (កូដ) Code of buyer (Registered KFA)	ទំហំ (ក្បូរ) Size (kg)	តម្លៃ Unit Price	ហត្ថលេខា Signature of buyer
...	...	...	...	...	...
...	...	...	...	...	...
...	...	...	...	...	...
...	...	...	...	...	...

ឈ្មោះ (Producers): ... ឈ្មោះ (ឈ្មោះ) (Sugar powder - season 2009) ឈ្មោះ (ឈ្មោះ)

Source : Sereyvath P, 2009 and Pilot project for geographical indications in Cambodia - Ministry of Commerce of Cambodia / AFD / GRET / CEDAC / Ecocert

Critical points and final product characteristics have to be considered within the elaboration of the CoP with measurable criteria.

Certification (see box 9) is the most commonly used and required verification system in international markets for which producers have to pay the services (inspection and certification). For local markets and at the beginning of the GI product development, an internal or a participatory guarantee system may be more manageable. In any case, a control system should not prevent small-scale producers from using and complying with the GI requirements because of unbearable costs of verification.

Traceability

The International Organization for Standardization (ISO) defines traceability as the "ability to trace the history, application, or location of that which is under consideration." In the case of the GI products, a traceability system allows to clearly identify the steps followed by the product to reach customers and consumers, the firms that have been involved in the production process along the value-chain, the provenance and characteristics of the raw materials used, so as to make sure that the CoP has been correctly applied, and to intervene in case of failure.

Case study 7: Traceability and control system COLOMBIAN COFFEE (COLOMBIA)

Colombian coffee represents approximately 1 480 000 hectares of cultivated land distributed between around 590 municipalities. Production is largely from small-scale farmers, with an average of 1.5 hectares to cultivate. The National Federation of Colombian coffee growers (FNC) obtained the registration of the Denomination of Origin in Colombia in 2005 and of the geographical indication as a PGI in the European Union in September 2007.

The FNC established a traceability and quality control system, including mechanisms based on:

- a database (SICA) containing plots, locations, varieties and practices
- processors and roasters registering and performing technical tests in order to audit information on equipment, processes and capacity
- need to obtain a revision certificate and transit guide for transport agents, carrying the coffee to the harbour to be exported
- registration on exporters at the Ministry for Economy, Industries and Tourism.

Source: Gallego Gómez, J. C. 2007

Publication of the application in the EU, Official Journal of the European Union, 2006, extract:

Traceability of the product is carried out in the following stages:

- Monitoring of producers. This is carried out using the Sistema de Información Cafetero (SICA) database and every single coffee plantation of the Colombian Coffee Growing Area and respective plots is supervised. This information gathering system is part of the Plantation Administration database.
- Monitoring of parchment coffee and hulling. This is carried out by means of legal documents such as the 'Guías de Tránsito' and checking of purchases at the storage or hulling plants, which are subject to registration and operation requirements.
- Monitoring of green coffee. Once it has gone through the hulling plants, which are duly registered in accordance with Decision No 1 of 2002 of the National Committee of Coffee Growers. The 'Guía de Tránsito', provided for in Colombian Decree 2685 of 1999, is still the legal document, which must accompany each lot of coffee for export.
- Monitoring of exports. Exporters are monitored, by means of the Guía de Tránsito, by both the customs authorities and ALMACAFÉ, the organization entrusted to carry out such checks by the National Federation of Coffee Growers. The Ministry of Foreign Trade Decision No 355 of 2002 governs a register of exporters who meet the conditions laid down in National Committee of Coffee Growers Decision No 3 of 2002. Likewise, ALMACAFÉ carries out final checks at port to ensure that the 'Café de Colombia' quality criteria are met.
- Monitoring of roasted coffee. Roasting plants located in Colombia apply National Committee of Coffee Growers Decision No 1 of 2002 to the traceability of 'Café de Colombia'. Roasted coffee is traced outside Colombia by means of best practice agreements with foreign roasters and by various monitoring mechanisms such as the quality testing by checking and sampling from undertakings.
- Inspection body: ALMACAFÉ, fulfilling the requirements and technical specifications laid down in the norm ISO 65.

Source: Publication of the application in the EU, Official Journal of the European Union, 2006



BOX 9: THE DIFFERENT VERIFICATION SYSTEMS

A first-party verification consists in guarantees provided by producers themselves, based on auto control (by individual producer) or internal control (by GI producer organization). Without other external controls, this self verification system means the producers take their own responsibility for the reliability of quality attributes. They can sign a formal document (the self-attestation) either individually or by the GI association. Social sanctions and trust relationship based on cultural and geographical proximity contribute to making sure that the rules are respected. Self verification system applies when the production system is mainly composed of small-scale agricultural and artisan producers directly selling on local markets.

A second-party verification system involves a trade agent who verifies that suppliers comply with the CoP requirements. Many retailers are using second-party verification system, also GI products. The degree of effectiveness of this system depends largely on the agent's reputation.

A participatory guarantee system is based on the active participation of stakeholders, both internal and external to the GI value chain (even consumers) and built on a foundation of trust, social networks and knowledge exchange. Such an alternative is entirely realistic in the context of the small-scale farms and local direct markets. This can be managed by a local association of stakeholders (including producers, local authorities, buyers, etc.) which carry out their own GI supply chain control.

A third-party certification system involves an independent and external body (private, public or joint public-private initiative), without direct interest in the economic relationship between the supplier and the buyer, which provides assurance that the relevant requirements have been followed. Standards for certified products are now recognized worldwide (independent third party certification - ISO/IEC 65 or the European standard for PDOs and PGIs EN 45011). All countries participating in international trade and negotiations, are establishing, or have established, a national framework for guarantee systems, which complies with these international standards (official accreditation service, certification bodies, etc.) for products to be exported. This trend is prompted by requests coming from traders, retailers and consumers, especially for markets in developed countries.

Role of producer organizations in the guarantee system

Producer associations can play an important role in the guarantee system to make it more efficient and less costly than managed individually by reducing the total cost of complying with administrative and technical procedures. Once the control plan is established, a GI association (See chapter 3.1) can manage the internal controls, allowing cost reduction with economies of scale and collective expertise on the different activities (traceability control, final product testing, etc.). It may also, when applicable, manage the relation with the external certification body as well as take responsibility for payment of fees.

The association can also organize some collective control activities such as organoleptic tests of the final product.

Therefore, producers, and their association, have different roles to play in the guarantee system:

- To define the guarantee system, especially establishing the control plan, by identifying the control points and sanctions when elaborating the CoP;

- To organize the internal control of the GI value chain or when applicable, to be part of a participatory guarantee system (together with consumers, local authorities etc.);
- To contribute to the controls and keep records of them (traceability system) (See Case Study 6).

Case Study

Case Study 8: Elaboration of a control system COFFEE OF KINTAMANI BALI (Indonesia)

In order to ensure the credibility of the Geographical Indication "Coffee of Kintamani Bali", a comprehensive control and traceability plan has been carefully set up during the qualification phase (See case study 1 in chapter 2.1).

Through the GI organization (CGIP - Community for Geographical Indication Protection) the representatives of all types of local stakeholders have been involved in the elaboration of the internal control plan, in order to define a strong but feasible control system. This control plan aims to check the fulfilment of the CoP, and in particular the origin (traceability), the quality and specificity of the product. The control of the fulfilment of the code of practice stands by three levels of internal control: an auto-control by coffee farmers, a control by the producers' group and a control by the CGIP.



For example, the control of the plantations is forecasted in the following way :

- An auto control is done by each producer, who has to check if his plantation meets with the stipulations of the CoP, among other things concerning the shade trees, varieties, density, maintenance (especially for fertilization and pesticide control), etc.
- A control by producer group is done each year. The chiefs of the producer group have to check the conformity of their members' coffee farms and to report to the CGIP. The producer group board can do it by itself, or designate a special person. A simple meeting may be enough or specific controls in the plantations may be necessary.
- A control by CGIP is also done every year, in April, five producer groups are chosen randomly in order to check the conformity of their coffee farm with the CoP.

The quality and specificity of the GI coffee is finally checked by a group of farmers trained for organoleptic analyses (cup test). Each lot has to be checked before being certified. Moreover external control is also carried out by national GI Expert Team of Directorate General of Intellectual Property Rights, Ministry of Law and Human Rights, mainly concerning the fulfilment of the CoP.

Sources : Mawardi S, 2009 ; Keller V. et Fournier S., 2007.



2.4

Setting up the control plan

The control plan specifies how the rules defined in the CoP has to be checked: for each requirement, the key input or output, the mean to assess it and the consequence in case of non conformity are defined. That's why, as mentioned before (chapter 2.1):

- Good rules are those that can effectively be enforced and controlled.
- Good controls are those that can result in sanctions or rewards.

To avoid misguided orientations, it is essential for local stakeholders, and support actors and agencies, to keep in mind when drafting the specifications that each point mentioned in the CoP will have to correspond to a control point within the control plan. Therefore, it is necessary to include in the CoP, only elements that are essential to the specificity of the product taking into account the feasibility of the control activities and their costs.

The control plan is made of:

- The critical point(s) to be controlled for each requirement (*what*).
- The method (visual, document, analysis, etc.) (*how*) and the moment (*when*).
- The document to attest the controls (especially for auto control and traceability)
- The related sanctions depending the seriousness of non compliance (see box 10)
- The frequency of controls and the coverage (all producers, sampling).

(see examples in tables 3 and 4 and in Practice)

It can be useful to undertake the elaboration of the control plan with a control specialist. For example, the independent third-party certification body could be consulted when elaborating the CoP and its control plan.

When designing the control system of a GI product, it is important to consider the existing control schemes (public or private) on the product, which may compete with or complement it and see the possible synergies, especially regarding reduction of cost.

BOX 10: EXAMPLES OF SANCTIONS FOR NOT MEETING REQUIREMENTS

Generally, there are several categories of more or less serious sanctions. The sanctions may be economic (fines, prohibition to use the collective name, product declassification) or social (exclusion from the group).

The scale of penalties and sanctions is progressive and applied according to the seriousness of the elements of non-compliance identified.

For example:

The non-compliance elements, do not impact on the product's quality:

1. remark
2. warning

The non-compliance elements, may affect the quality of the product, but the sincerity of the operator is clearly not in question:

3. rejection of the lot

The non-compliance elements, always affects the credibility of the product quality and / or the sincerity of the transaction is clearly questioned:

4. exclusion from the temporary certification
5. definitive exclusion from the benefits of certification

Managing the costs

Whatever the system, providing guarantees leads to some costs (technical, administrative, information, etc.), and either producers or public authorities, or a mix of both, support these costs. These are:

- Direct costs: inspection methods, chemical analysis, etc.
- Indirect costs: time necessary to fill in documents, time to attend to the inspection, etc.

An efficient coordination can reduce the certification cost, in particular:

- By collective certification, which reduces inspection and administrative costs
- By harmonization of controls when other standards have to be certified (for example. organic and quality assurance) allowing a single inspection for different specifications.

The collective organization might decide to share the costs between the different actors of the supply chain, or to provide a mutual fund for smaller producers, generally thanks to a financial contribution

based on volumes produced. The biggest producers often agree to contribute more than their share of costs when they perceive the benefits from a large number of GI users and from the image of the smaller and mostly artisan producers.

In some cases, government or other agency databases are already in place and working with these organizations could potentially reduce costs and administration.

Example of tool: public database

The use of a national animal computer databases could help with the traceability of the producer's names and locations at very low cost. Collaboration with breed societies could for example help verify who are the producers of a local breed or provide guidelines as to the breed characteristics, etc.

Table 3: Example of control plan for a GI vegetal product (Lampung Black Pepper)

Lampung Black Pepper (South Sumatera, Indonesia) is produced by more than 100 000 small-scale producers in rich volcanic soils and in a hot climate with precipitations between 2000 and 2500 mm/year. Pepper has been of the main cash crops in Lampung since the 17th century, reaching worldwide reputation. The taste of this pepper is famous for its intense aromatic explosion and its acidity which reminds the taste of green pepper.

P. num	Inspected point	Major minor	Checking
1	The operator signed a commitment	M	Checking the contract
2	Harvest comes from the area	M	Location of the origin of the harvest
3	Register present and used: • production • sales • storage	m	Documentation available on site
4	Traceability implemented and efficient	M	Documentation and visual
5	Registration	M	Register of the member and contract
6	Bad quality of the lot	M	Examination of the lot analysis - Committee of quality
PLOT			
7	Plots on hilly or rocky soil	m	Situation
8	Plots unfit (soil, drainage and situation) for pepper cultivation	M	Examination of the plot situation, soil and drainage
9	Pepper from the two allowed varieties	m	Examination of the variety present on the plot
PLANTING			
11	The vines are separated at least by 1,8m	m	Visual examination
12	Young plants are protected from the sunshine by a cover (palm leaves) until 3 years old	m	Visual examination
MAINTENANCE			
13	Only use of natural fertilisers	M	Visual examination - Dig the ground - Interview
14	Fertilization less than once a year	M	Interview and visual examination - Ask origin (own farm or provider), quantities and date of application
15	Contribution of new earth at least once every two years	m	Visual examination - Date of application and quantity
16	Hoeing of the plot at least once a year	m	Visual examination and interview - Date - State of the soil
17	No use of herbicide	M	Visual examination - Interview
PEST CONTROL			
18	Search natural means to fight against insects	m	Interview - Survey on the plot - Verification of the ingredient availability
19	Only use of insecticides class III and IV	M	Interview - Analyses-presence of insects and of insects damages - Bottle or pack of the insecticides used
20	Use of insecticides done according to safe practices	M	Interview - Tools and implements - Bottle location
	Respect of time length and proportions	M	Interview - Tools and measures - Analysis
HARVEST AND POST HARVEST			
22	Container for berries collections must be clean	m	Interview - Verification on site during harvest
23	Soap and clean water must be available on site and used during harvest	m	Interview - Visit on site
24	Nat, or mosquito nets, must be dust free	m	Interview - Verification on site
25	Device at drying area must prevent domestic animal from spoiling the berries	M	Verification on site - Ask during interview
26	White peppers have been processed and collected as recommended	M	Verification on site - Quality of white pepper
27	Sorting must be done in good sanitary conditions	M	Verification on site - Interview - Revise implements
28	Sorting is efficient, if the final result is at least 90% of good size berries	M	Final result after sorting
	Sorting is efficient if the final result is at least 99% without impurities	M	Final result after sorting
29	Storage, during sorting, must be done inside a vat or a clean container	M	Verification on site - Interview - Revise implements
30	Storage of final product must be done in fresh bags	M	Verification of the fresh bags on site after harvest - Interview - Possible bags supplied by the association
	Storage of final product is done in order to prevent any contamination or damage	M	Verification on site after harvest - Presence of possible contaminants
TRANSFORMATION AND PACKAGING			
31	Cleaning dust off the berries	M	Process and facilities
32	Compliance of the final product to standards	M	Analysis
33	Facilities and process respect HACCP methods	M	Documentation
34	Packaging is conform to the standard: • material • time length • sealed • place	M	Study the packaging
35	Lot number on the package	M	Visual
LABELLING			
36	Use of the GI on the label	M	Visual
37	Use of national logo on the label	M	Visual
38	No sales without packaging and labelling to final client	m	Interview

Source: Pilot project for geographical indications in Cambodia - Ministry of Commerce of Cambodia / AFD / GRET / CEDAC / Ecocert / Kampot Pepper Promotion Association

Table 4: Example of control plan for a GI animal product (Comté cheese)

See case study 1 in chapter 3.1.

Control point	Description	Control method
Milk production		
1. Farm location	The barn for dairy cows is located inside the delimited area.	Documented
2. Breed of dairy cows	Dairy cows from the specific breeds mentioned in the CoP and their crossbreeding.	Visual or documented
3. Area of grazing pasture	Minimum 1ha grazing pasture per dairy cow.	Documented
4. Genetically modified crops	Total absence of any genetically modified crop in the whole farming area.	Documented
5. Origin of fodder for dairy cows	From the delimited area of the GI.	Documented
6. Nature of fodder existing on the farm	Forbidden on the whole farm area: silage, fouled or humidified fodder before distribution, preservatives other than salt, straw with ammonia, fodder which can influence the smell or taste of the milk (cabbage, rape seeds, etc.)	Visual or documented
7. Proximity with meat cattle using silage	Silage authorised only for feeding meat cattle. It must be declared beforehand a distance over 200m, no path crossing with the dairy cattle, waterproof silo or composting of dung.	Visual or documented
8. Milking system	No automated milking	Visual
First processing stage		
9. Location of processing unit	The processing unit must be inside the delimited area.	Documented
10. Collecting time after milking	Immediately after each milking session or once a day.	Documented
11. Equipment for collecting and conformity of milk	Separate milking for the ones that do not comply with the specifications of the GI.	Documented
12. Limited distances for milk collection	All farms delivering milk to the cheese factory and the processing unit should be within 25km of each other. Exceptions are possible.	Documented
13. Mixing of milk	Mixing the milk of different farms for making cheese is mandatory.	Documented
14. Equipment for the cheese factory	No means for pasteurising the milk, no thermisation or other means to take out the natural flora from the milk.	Visual
15. Material for the vat	Copper vats.	Visual
16. Only authorised ingredients in the processing stage	Rennet prepared with lining of calves' stomachs, specific cultures, salt and green casein label.	Visual or documented
17. Heating of cheese curd	Heating temperature	Visual or documented
18. Pressing conditions	Minimum pressure and local pressing temperature	Visual or documented
19. Salting and first care	Cheese wheels salted with dry salt on the exterior	Visual or documented
20. Identification	Casein label on each piece of cheese. Identification of processing unit, month and day of manufacturing.	Visual
Pre-maturing stage		
21. Equipment for pre-maturing cellars	Spruce boards	Visual or documented
22. Maturing temperature	Pre-maturing temperature	Visual or documented
Maturing stage		
23. Location of maturing unit	The maturing unit is located inside the delimited area.	Documented
24. Equipment for the maturing unit	Spruce boards	Visual or documented
25. Length of maturing period	At least 120 days	Documented and/or visual with the cheese outflow, and/ or by measuring
26. Maturing temperature	More or less 19° C	Visual or documented
27. Marking of cheese wheels	Marking on the sides of the wheels targeted for sale in sliced: logo, in green or brown band	Documented
Pre-packing		
28. Location of the packing unit	The packing unit is located inside the delimited area.	Documented
29. Presence of rind	Mandatory on portions of more than 40g. Partial rind tolerated.	Visual
30. Logo on packaging		Visual
Milling		
31. Location of milling unit	The milling unit is located inside the delimited area.	Documented
32. Logo on packaging		Visual
Final product		
33. Quality of final product	Conformity with regulatory characteristics for composition and quality of the final product	Analysis and organoleptic

Source : AOC Comté, INAO Website

PRACTICE

Think about the issues raised in this chapter in relation with your situation.

Answer the questions

- Do all producers accept the requirements of the CoP?
- How will the quality level of products be ensured?
- What are the available guarantee systems for consumers and producers?
- Do producers accept the controls by an independent organism?
- Does the external certification of your product increase its value?

List in the table

- 1) Each requirement that should be in the product's specification.
- 2) How it could be controlled (technical issues)?
- 3) Who could carry out controls (in the least expensive perspective)?
- 4) Which documents would attest the controls?
- 5) When do we have to make the controls?
- 6) At which frequency and with which coverage (all producers or sampling)?

There may be different ways to control the same requirement, as well as different possibilities for realizing these controls. A first inventory should be as complete as possible, in order to provide comprehensive data and to decide which controls are really

1- Requirement	2- What to control?	3- Who controls?	4- What document?	5- When to control	6- Frequency/coverage
Example: Mandatory variety(ies) of fruit	Varieties in existing orchards	Experts on fruit varieties, especially for the varieties concerned	Registered inventory card; registration as an authorized source for grafts	Before the initial certification of a new applicant	Once All producers
	New plantings		Registered inventory card based on certificates issued by nurserymen or owners of orchards where grafts come from	After a new planting has been announced by a producer	Once All producers
	On-field controls	Inspectors for yearly production (food safety, yields, etc.) should note any change in the orchards which would not correspond to the inventory card	Control report	Between 1 and 2 months before the usual period for harvesting	1 x /year At least 50% of the producers
	Typicity of the final products in relation with the fruit varieties	Expert commission for final organoleptic testing	Evaluation report for each sample	During the first days of harvest (fresh fruit) or at a defined period just before beginning to sell the products	1 x /year All users of the GI
.....					
.....					

2.5 Taking into account environmental and social issues in the code of practice

Introduction

Society, culture, traditions, natural environment and local resources have direct consequences on the quality and the image of GI products and their preservation affects the possibility to pursue production over time. This is why the definition of the rules in the code of practice (CoP), with references to natural and human resources, can play an important role in their preservation and impact on rural and sustainable development.

The code of practice and sustainability

The CoP may have important impacts on economic, social and environmental aspects and this should be taken into consideration when setting up the CoP.

Biodiversity preservation

The specificity of certain GIs relies on the use of native plant varieties and breed, frequently threatened with extinction (See case study 9). In addition, traditional production techniques frequently participate in keeping traditional landscape features, as well as avoiding land and soil degradation.



The PDO code of practice of Corsica Olive oil authorizes the use of 7 varieties of olives, without prescribing any proportion or excluding mono-variety olive oils.

Preventing overexploitation

The rules in the CoP may include certain environmental and social criteria to guarantee the sustainability of the system and prevent an overexploitation of natural and local resources if the GI becomes an important commercial success.

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Preservation of culture and traditions

By mentioning traditional practices, specific know-how and historical elements in the CoP, while defining the product characteristics, process and the link to the Geographical Origin, the GI scheme contributes to preserving these human and cultural assets, including sometimes a way of life, reinforcing the local identity and self-esteem of producers and inhabitants, thus preventing rural exodus.

Socioeconomic effects

The CoP can contribute to a fair distribution of power along the value chain. This will depend on whether the definition of the process characteristics in the CoP includes all the stakeholders and social categories (whatever the size or type), by referring to the know-how and skills of farmers and not only processors, allowing all of them to benefit from the added value. The negotiation for elaborating the rules represents a process where dominant positions can be balanced.

Indeed, by limiting the area in which raw material can be produced, the code of practice reinforce the bargaining position of primary producers in the negotiations, as it limits the possibilities for downstream actors of the supply chain from sourcing the raw material from outside the region (delocalization).



The CoP of Argan oil (Morocco) includes in the process description the extraction of kernels by hand, which has been done by Berber women for generations, making them important primary producers of the GI value chain.

Territorial impact

As a result of their link with specific local resources, GI products are expected to influence some activities “outside” the supply chain as well, especially to integrate the diverse economic activities in rural areas (for example. prompting tourism inflows and giving value to other local products that may benefit from the GI reputation) (See Case Study 7 in chapter 4.3).

Case study 9: Products based on biodiversity resources

CHIVITO CRIOLLO DEL NORTE NEUQUINO (Argentina)

In association with the GI differentiation process, the local breed “Neuquen Criollo Goat” has been identified and described (phenotype, genotype, productivity and the production system) and is part of the FAO inventory on biological diversity. The code of practice mentions both the breed and the importance of pastures itinerary together with the kid age and the slaughter seasons that give the meat its special flavour. In return, this allows preserving the composition and diversity of the grazing land and the characteristics of the breed. (Case Study 3 in chapter 1.1)



Source : Pérez Centeno, M. 2007.

CACAO ARRIBA (Ecuador)

Ecuador has a very rare type of cacao known as “Nacional” (or Criollo) which is characterized by a very short period of fermentation, a soft fragrance, a smooth taste, and is recognized as a “superior scent Cacao”. Based on these characteristics and the reputation of the product, it has been decided to preserve the characteristics of the variety by setting up rules in a CoP and applying for the protection of the Geographical Indication Cacao Arriba as Denomination of Origin. (Case Study 13 in chapter 1.4)



Source: Quingaisa, E. et al. 2007.

CHERRY OF LARI (Italy)

Cherry production is a secular tradition in Lari (Tuscany, Italy). The tradition is witnessed by the presence of 13 native cherry-tree varieties, which coupled with the peculiarity of the soils and the climate, form the basis of the specificity and reputation of the cherries of Lari. Recently, many local initiatives have supported research and marketing promotion based on the native varieties. (Case Study 2 in chapter 4.1)



Source : Marescotti A , 2003.

JINHUA HAM (China)

The Jinhua ham had been produced for more than 1 000 years in the Zhejiang province, traditionally with raw material from the local breed Jinhua Pig (also called two-end-black pig). This specific breed, provided with high quality hams, has been recognized as one of the endangered domestic animal breeds of China by the Ministry of Agriculture. The recognition together with the inclusion of Jinhua pig in the code of practice could be an efficient way to insure the breed preservation.



Source : Wang G, 2009.



Setting the rules for sustainability

When setting the rules for a GI product, it is important to consider that some environmental and social resources are at the very basis of the specificity of the GI product. Therefore it is important to insert in the CoP some criteria aiming at protecting these resources that allow for their reproduction and improvement.

Also, local communities could judge other environmental and social resources to be worth protecting, by means of appropriate norms in the CoP. Attention should be paid to the effects that the norms written in the CoP may have on the environmental and social resources that should be preserved.

Figure 1: Taking into account environment and social aspects in the CoP

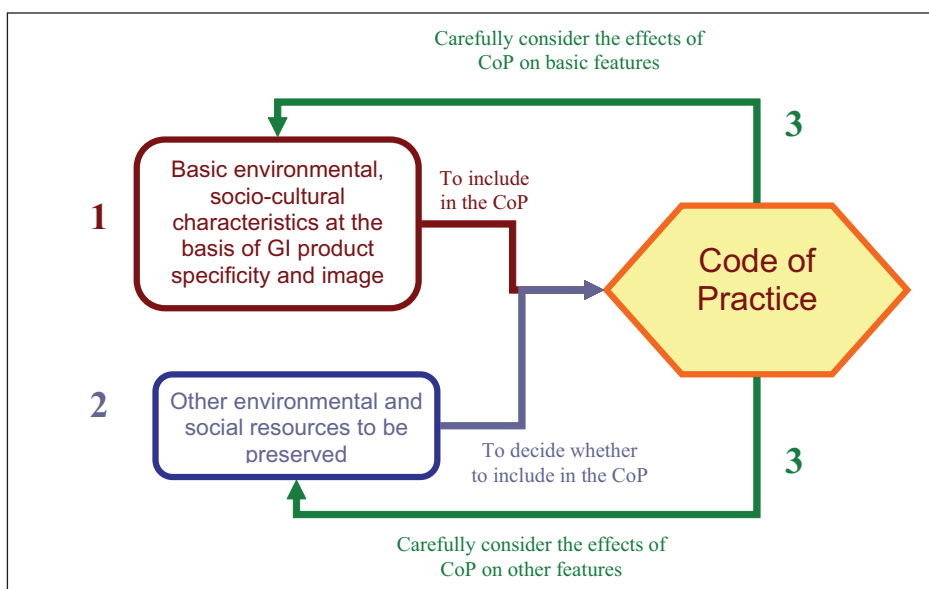


Table 5: Examples of criteria for social and environmental sustainability

Environmental and social components	Inclusion in the CoP?	Contribution or risks
Biological resources at the basis of the specific quality (plant variety, breed, feeding,...)	Mention of the specific biological resources	Use and management of this resources within the GI system; contribution to their maintenance and reproduction
	If no mention	Risk of using only modern biological resources and lose the genetic patrimony of the native ones.
Diversity (heterogeneity) of genetic resources	If only one resource is mentioned	Risk of specialization and loss of diversity
Traditional practice and know-how	If mentioned	Conservation and transmission of traditions and know how
	If not included	Too modern techniques may dilute the image of product authenticity. More modern and competitive firms may push the more traditional ones out of the market
First stage of production (farming)	If included and mandatory in the delimited area	Primary producers (farmers...) could be part of the GI value chain (distribution of adding value, bargaining power)
	If not included	Risk of disappearance
Specific (handicraft) methods for small-scale producers	If mentioned and/or mandatory	If only mentioned the industrial-produced methods can crowd-out the artisanal one; if mandatory risk of blocking the evolution of the GI product, rules too costly to comply with.
	If not mentioned	Social exclusion of small-scale producers

PRACTICE

Think about the issues raised in this chapter in relation with your situation.

Answer the questions

- Are some social, cultural and environmental attributes important for the production and for the reputation of the GI product?
- Are there any risks of polluting or damaging the environment as a consequence of the GI production?
- Does the code of practice include provisions concerning the sustainable use of local natural resources? Does the code of practice contribute to the preservation of biodiversity?
- Which are the main social categories involved in the process of production for the GI? Are those categories active at all stages of production? What are their main contributions to the process and what are their needs?
- Is the distribution of the added value equitable for all social actors?
- Do certain social actors have a dominant position?
- Does the code of practice refer to the know-how and skills of producers, or of processors only? How can the producers' know-how be better stimulated?
- How is local culture affected ? How can it be preserved?

List in the tables

- 1) The most favorable and most critical environmental factors linked to your product
- 2) List the most favorable and the most difficult social factors linked to the product

Table: Environmental aspects of production

Most favorable factors (opportunities)	Most critical factors (threats)	Comments
1.... 2.... 3....	1.... 2.... 3....	1.... 2.... 3....

Table: Social aspects of production

Most favorable factors (opportunities)	Most difficult factors (threats)	Comments
1.... 2.... 3....	1.... 2.... 3....	1.... 2.... 3....

2.6 Potential problems in setting the rules and how to solve them

Introduction

As many problems and conflicts may arise in the process, setting up the “right” level of rules and allowing for their evolution is a complex task. It is very important to consider both advantages and constraints, considering the heterogeneity of the actors and their objectives, and the consequences of each choice made from an economic, social, and environmental point of view. A participatory approach and a collective action can balance the different views and interpretations.

Actors involved in the GI system often have different visions about the product, its relevant characteristics, its production process and even the geographical boundaries delimitating the legitimate production area. Conflicts often arise regarding the key stages of production and the key actors conferring the specific quality and distinctiveness to the product. The interest of farmers that produce the raw material, for example, tend to agree with the interests of processors and traders when building the quality of the product, but on the other hand they compete in order to share benefits from the value creation process and from the GI.

The way the rules are designed have many implications in terms of balancing the roles of different stakeholders and influencing the distribution of the benefits (if any) from the value creation process. Before making any decisions, it would be better to carefully design and discuss these rules (See questions in “Practice”).

To resolve conflict situations and reach common defined rules, it is important that GI facilitators (extension workers, researchers, chambers of commerce, etc.) encourage a multi-stakeholder vision to enhance bargaining capacity inside the GI production system, and support the establishment of fair rules of deliberation.

Table 6 presents a non-exhaustive list of problems, risks and possible solutions related to setting up the rules for a GI product.

From this review of possible conflicts that could arise when setting up GI rules, two aspects emerge in order to manage and prevent those risks:

- A balanced and representative composition of the collective organization representative of the GI system and charged with the elaboration and management of the CoP (see chapter 3.1) can empower and give responsibilities to the local community of producers and processors
- The definition of democratic internal rules for decision-making within the collective GI organization (transparency of information, secret votes with majority rule, etc.).

Establishing and creating a GI code of practice requires time. It is also a learning process, useful to build and share a common vision that strengthens the coalition among

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the group of people which should assume future responsibilities for the GI. Even though the codification of GI rules may be a long-term process, it is important to underline that each step in the consolidation of the project will provide efficiency improvements.

Table 6: Example of problems and solutions

PROBLEMS	RISKS	POSSIBLE SOLUTIONS
Too many rules in the code of practice	- Rules not applicable - Rules not controllable - Dilute the identity of GI into a lot of irrelevant characteristics	- Focus on a limited number of enforceable rules which are key to the identity of the GI product
Rules defined only by a limited number of actors	- Rules not well adapted - Rules not accepted/applied - High level of exclusion	- Establish the rules through a widespread consultation and deliberation process among producers and processors - Give responsibility to local stakeholders (Ex. GI group) - Define formal deliberation and decision-making rules within the GI group
Rules that are too strict	- Lack of flexibility and of adaptation - Lack of capacity to face challenges (global warming, evolution of demand, etc.) - High level of exclusion - High costs of compliance	- Establish a mechanism to discuss and decide on adaptations of rules and on geographical delimitation
Confusion between generic rules and specific rules	- Rules that are too generic included in the code of practice	- Focus GI rules on aspects that are voluntary and additional to mandatory requirements - Focus GI rules on operations that are key to the identity of the GI product
Difficulty for some traditional GI products to comply with certain generic rules (food safety requirements)	- GI products may be jeopardized by generic rules if enacted regardless of traditional processes	- Well defined processes for exemptions should be included in the regulations to allow for preservation of traditional processes
Difficulty to explain the link between the product characteristics and the geographical and human environment	- Over-valuation of analytical measurements - Checking only what is measurable - Difficulty to define and measure criteria	- Reach the right balance between technical, cultural, historical and organoleptic criteria - Combine several types of assessment methods: some measurements and documentary evidence, visual assessments
Internal heterogeneity	- Risk eliminating some variants of the product when codifying the practices	- Choose one or several variants of the product (the most frequent? the most controllable? the most authentic according to local actors?) - Let the producers decide - Expertise reports can be added
Unbalanced power distribution along the value chain	- Risk that strategic decisions are taken only by preeminent actor	- Take into account the power relations in the production area - Include more than one trader in the GI group - Adopt democratic decision rules inside GI group (secret votes, majority decision, etc.)
Exclusion of local operators	- A rule can be interpreted as favouring some players and excluding others	- Avoid excessively strict rules - Ensure democratic decision-making about the GI rules definition and enforcement - Lower the costs of control
Conflicts in setting up the GI rules or delimiting the production area	- Risk 1: High standards + small volumes + scaling up in value but with increased costs OR - Risk 2: Low standards + small differentiation + scaling up in volume but with risk of loss of price premium and product identity	- Set up a representative GI body and provide enough support to take balanced decisions - Carefully analyse the market to strike the right balance and avoid extremes
Conflicts in organizing controls and verification	- Internal control can be unpopular - In some countries, the state has no (human/ technical/ financial/ trust) capacity to implement	- Third party verification with government supervision - Organize controls through farmer groups, not individually - External controls can be carried out by buyers

PRACTICE

Think about the issues raised in this chapter in relation with your situation.

Answer the questions

- Are the actual rules satisfying and benefiting all actors?
- Who is not satisfied by the actual rules and why?
- How can we modify the code of practice?
- What are the advantages and the disadvantages for each rule?
- Who can help us to solve conflicts?

List in the table

- 1) The main risks of conflicts faced during the qualification process of your product
- 2) Possible ways to manage these risks.

1) Main risks of conflicts	2) Possible solution
1.... 2.... 3....	1.... 2.... 3....

