



CHAIN OF CUSTODY STANDARD

CONTROL POINTS AND COMPLIANCE CRITERIA

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

OR

FOR RETAIL STORES AND RESTAURANT CHAIN OPERATORS

ENGLISH VERSION 6.1_NOV22

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INTRODUCTION

PART I – CHAIN OF CUSTODY STANDARD FOR THE SUPPLY CHAIN FROM THE PRODUCER TO RETAIL STORES AND/OR RESTAURANT CHAIN OPERATORS

This document applies to any company in the supply chain that takes ownership and/or physical control over a product from a GLOBALG.A.P. certified production process within the scope of the GLOBALG.A.P. Chain of Custody (CoC) standard. CoC certification is therefore required for all parties in the supply chain that take legal ownership or physical control of products originating from certified production processes (hereinafter referred to as “certified products”) and perform at least one of the following activities:

- a) Selling or trading the relevant products with sales documents and/or product packaging that claim Integrated Farm Assurance (IFA) certification (or certification to a benchmarked scheme) or CoC certification
- b) Labeling products with GLOBALG.A.P. Number (GGN), CoC Number, or GGN label visual elements
- c) Changing the composition of (e.g., through processing, slaughtering, mixing different batches/different producers) or assigning new identity to (e.g., through repacking, relabeling) the products sold with GLOBALG.A.P. claim

See also: CoC general regulations, section 4.4.2, “Producers/Companies in the scope”

PART II – CHAIN OF CUSTODY STANDARD FOR RETAIL STORES AND RESTAURANT CHAIN OPERATORS

This document applies only to wholesale and retail stores and restaurant chain sites that sell, in bulk, products *marked with the GGN label visual elements (visible to the consumers)* and originating from GLOBALG.A.P. certified production processes. These stores/sites shall be audited by a GLOBALG.A.P. approved certification body (CB) on the basis of a sample calculated according to Table 1 of the CoC general regulations.

The GGN label logo:



Wholesale and retail stores and restaurant chain sites selling only packed (tamperproof) products with the GGN label visual elements and/or with a GGN and/or CoC Number do not require a CB audit against CoC and CoC certification except when the distribution center acts as a trader in the supply chain i.e., selling products to other companies outside the retailer network. If individual sites of a wholesale and retail chain or restaurant chain pack and label products with the GGN label visual elements and/or with a GGN and/or CoC Number, the “GLOBALG.A.P. Chain of Custody standard for the supply chain from the producer to retail stores and/or restaurant chain operators” applies, and the processes of the chain shall be certified accordingly.

PART I CHAIN OF CUSTODY STANDARD FOR THE SUPPLY CHAIN FROM THE PRODUCER OR PRODUCER GROUP TO RETAIL STORES AND/OR RESTAURANT CHAIN OPERATORS

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

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 1	MANAGEMENT STRUCTURE			
<i>The company shall operate a management structure that meets CoC standard requirements.</i>				
CoC-SC 1.1	Is documentation available that clearly demonstrates that the applicant is or belongs to a legal entity and is granted the legal right to carry out trading and (where applicable) agricultural/aquaculture production and/or product handling?	There shall be documentation that clearly demonstrates that the applicant is or belongs to a legal entity. The legal entity shall have been granted the legal right to carry out trading and (where applicable) agricultural/aquaculture production and/or product handling. No "N/A."	Major Must	
CoC-SC 1.2	Does the company operate a management structure that addresses the CoC standard requirements, including well-documented procedures, processes, and staff training that are appropriate to the company's size, type, and complexity of activities?	<ul style="list-style-type: none"> • The company shall have a central authority responsible for managing conformance to the CoC standard, responding to requests for information and documents, and communicating with trade partners, the CB(s), and the GLOBALG.A.P. Secretariat. • The company shall document CoC procedures and processes appropriate to its size, type, and complexity of activities. • The company's staff shall be competent and trained in meeting the requirements of the CoC standard. No "N/A."	Major Must	
CoC-SC 1.3	Does the company undertake an annual self-assessment of conformance to the CoC standard?	A completed self-assessment, not older than 12 months and covering all registered sites, shall be available at the time of the CB audit. No "N/A."	Major Must	

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N°	Control points	Compliance criteria	Level	Comments
CoC-SC 1.4	Does the company perform a documented mass balance calculation?	<p>Documentation of the mass balance calculation shall show that the quantity of products sold as certified does not exceed the quantity of inputs from certified sources. These outputs are calculated as inputs received as certified minus the conversion loss and quantity in storage.</p> <p>Information on the quantity (including volume and/or weight) of all certified, noncertified, incoming, outgoing, intermediate and stored products shall be recorded. A summary of these records shall be available so as to facilitate the mass balance verification process.</p> <p>The conversion loss rates for certified outputs from certified inputs shall be calculated, verified, and recorded for each step between receipt and dispatch of certified products. Records of the calculations of conversion loss rates shall be available to CB auditors. Parameters such as waste, shrinkage, rejected/returned items, etc. shall be taken into consideration. Loss may be zero, e.g., in the case of a broker. An up-to-date list of conversion rates shall be available.</p> <p>Note: If the company has an information system that allows instantaneous real-time automated mass balance verification with all the information required, the mass balance exercise can be performed during the self-assessment and CB audit. No "N/A."</p>	Major Must	
CoC-SC 1.5	Does the company have a documented procedure for ensuring that non-conformance and complaints related to certified products are recorded, addressed, and resolved, including a record of actions taken?	<p>A documented procedure shall be in place for ensuring that non-conformance and complaints related to certified products are recorded, addressed, and resolved, including a record of actions taken.</p> <p>No "N/A."</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 1.6	Does the company maintain an up-to-date list of all subcontractors (excluding freight forwarding companies) that handle certified products, and are these subcontractors classified in accordance with the risk assessment defined in the CoC general regulations (section 5.5.3)? Was this list and any update communicated to the CB not more than five days after the subcontracted services are first used?	The company shall keep available a list of all subcontractors (excluding freight forwarding companies) that handle certified products, along with evidence of the last certification status verification update. All subcontractors shall be classified as to the risk of misidentification, substitution, or dilution of certified products with noncertified products. This risk assessment is detailed in the CoC general regulations (section 5.5.3). Changes shall be communicated to the CB in at most five days after the subcontracted services are first used. N/A if no subcontractors are used.	Major Must	
CoC-SC 1.7	Is the company able to demonstrate that high-risk subcontractors (subcontractors that carry out the activities described in the CoC general regulations, section 5.5) are audited by the CB within the company's CoC certification or possess a valid GLOBALG.A.P. certificate for CoC, PHA, or IFA?	The company shall demonstrate that high-risk subcontractors (subcontractors that carry out the activities described in the CoC general regulations, section 5.5) either are audited annually by the CB within the company's CoC certification (i.e., the subcontractor is included in the CoC certificate holder's certificate) or possess their own valid GLOBALG.A.P. certificate for CoC, PHA, or IFA. N/A if no subcontractors are used. Note: The subcontractor audit can be performed by a different CB auditor from the one performing the audit of the company.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 1.8	Does the company keep accurate purchase and sales records?	<p>The company shall keep and make available relevant purchase and sales records: purchase orders, purchased products and quantities, purchase agreements, supplier invoices, supplier delivery notes, transporter or shipper details, incoming goods receipt inspections, receipts/invoices detailing sold products and quantities, sales contracts, sales invoices, sales delivery notes, transporter or shipper details, outgoing goods shipment inspections, etc.</p> <p>If the audited legal entity acts as subcontracted party, incoming and outgoing delivery documents shall be kept.</p> <p>No "N/A."</p>	Major Must	
CoC-SC 1.9	Are records kept for a minimum of one year after the products' expiration date or as per legal requirements, whichever is longer?	<p>Records shall be kept for a minimum of one year after the products' expiration date or as per legal requirements, whichever is longer. If there are neither expiration dates nor legal requirements, records shall be kept for two years.</p> <p>No "N/A."</p>	Major Must	
CoC-SC 1.10	Does the company have documented procedures for managing exceeded legal limits (e.g., of contaminant residue)?	<p>The company shall have documented procedures to manage a situation of a legal limit exceedance (e.g., of contaminant residue). These procedures shall include requirements for up-to-date records of all cases, including investigation, remedial actions, closure of each case, and notification to supplier(s), to the producer(s) of origin, and to the CB.</p> <p>The procedure shall also consider the management of the different destination countries for the certified products.</p> <p>N/A for flowers and ornamentals.</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 1.11	Does the company have a procedure for ensuring that products sold with the GGN label visual elements are registered in the GGN label portal?	<p>If the company sells products with the GGN label visual elements, a procedure shall be in place for ensuring that products with the GGN label visual elements are registered in the GGN label portal.</p> <p>The procedure shall define the need for regularly verifying products labeled with the GGN label visual elements to ensure that the product is registered in the GGN label portal. Verification can be done based on sampling but shall be done at least once per year.</p> <p>The procedure shall also include the need to communicate to the GGN Label team every time a product fails the GGN label portal verification.</p> <p>N/A if the company does not sell products with the GGN label visual elements.</p>	Major Must	
CoC-SC 1.12	Does the company have a written evaluation addressing any food losses that occur, where in the production process the losses occur, and why?	The company should have a written evaluation addressing any food losses that occur, where in the production process the losses occur, and why. The evaluation should include a quantification of food losses and waste.	Recom.	
CoC-SC 1.13	Has the company defined food loss and waste reduction objectives?	The company should define objectives for reducing food loss and waste. These objectives shall be communicated through the company, monitored, and updated yearly to ensure that they realistically address the company's circumstances.	Recom.	

N°	Control points	Compliance criteria	Level	Comments
	<i>Applicable only to processed crops (plants), aquaculture products, livestock post-slaughter (meat), and milk.</i>			
CoC-SC 1.14	Does the company have a certified food safety system in place at the time of the CB audit?	<p>In order for the product and process to be certified against CoC, the company shall be certified to at least one of the following at the time of the CB audit:</p> <ul style="list-style-type: none"> • A GFSI-recognized food safety scheme • An accredited Codex Alimentarius-based HACCP certification system (third-party certification) • A GLOBALG.A.P. recognized food safety scheme <p>For transparency purposes, the type of recognition is indicated on the certificate in the GLOBALG.A.P. IT systems.</p> <p>“N/A” if a company does not handle the product.</p>	Major Must	
	<i>Applicable only to crops (plants) without any processing.</i>			
CoC-SC 1.15	Does the company have a food safety system in place at the time of the CB audit?	The company sites should be certified to a GFSI-recognized (post-farm) food safety system at the time of the CB audit. This shall be displayed on the GLOBALG.A.P. certificate for CoC.	Recom.	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 2	INPUT AND OUTPUT VERIFICATION			
	<i>The company shall conduct input and output verification.</i>			
CoC-SC 2.1	Before or during the transfer of ownership, does the company have a procedure for systematically authenticating, via the GLOBALG.A.P. IT systems, suppliers' GGNs or CoC Numbers (direct suppliers), the expiration date of their certificates, and the intended destination countries for each product?	<p>Input verification is mandatory.</p> <p>Supply chain partners that supply certified products to the company shall be certified according to IFA (or a benchmarked scheme), PHA, or the CoC standard. The company shall have a procedure in place for systematically authenticating the direct suppliers' GGNs, PHA, or CoC Numbers, for verifying the expiration date of their certificates, and for confirming the product(s)'s destination countries (in the scope of the supplier certificate). This procedure shall use the GLOBALG.A.P. IT systems for regular verification to ensure that the supplier certificate is valid at the moment the products are purchased or received by the company.</p> <p>The company shall maintain records (including GGN, CoC Number, and/or PHA-N) of suppliers from which it directly buys certified products. A log or other proof of supplier verification shall be available.</p> <p>Note: The authentication procedure needs to include the GGN, CoC Number, and/or PHA-N of only the direct supplier (i.e., the supplier from which the company is buying the products).</p> <p>N/A in the case of companies that never take legal possession of the certified products (subcontractors).</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 2.2	Does the company check that the product and quantity received from suppliers holding GLOBALG.A.P. certificates match the information in the delivery documents and purchase orders?	The company shall have a procedure in place for checking that, for each certified product, the product and quantity received match the information in the delivery documents and purchase orders. A log or other proof of matching delivery documents and purchase orders shall be available, in accordance with the defined procedure. N/A if broker does not physically possess the products.	Major Must	
CoC-SC 2.3	Does the company have a written procedure in place for recording and reporting delivery discrepancies during operations, and does the procedure determine that products can no longer be handled or sold with a GLOBALG.A.P. claim if they were ordered as certified but delivered without the supplier's CoC Number/GGN in sales documents or in delivery note and/or that fail the input/output verification?	A written procedure shall be in place for recording and reporting delivery discrepancies, and a log of delivery discrepancies shall be available. Products that have been ordered with a GLOBALG.A.P. claim but delivered without the supplier's CoC Number or GGN in sales documents or in delivery note and/or that fail the input/output verification shall be immediately relabeled as noncertified and handled as noncertified products. Corrective action by the supplier resulting in a reinstatement of the certification status and in product relabeling and handling shall be documented. N/A if broker does not physically possess the products.	Major Must	
CoC-SC 2.4	Does the company have a procedure for systematically filing a complaint with the GLOBALG.A.P. Secretariat any time a supplier fails the input verification in the GLOBALG.A.P. IT systems (certificate may be counterfeit, issued to another company, expired, etc.), and does the complaint include the supplier's identifying information, including CoC Number and/or GGN?	Failure to find a supplier's certificate number (certificate may be counterfeit), authenticate legal credentials (certificate may be issued to another company), and/or establish certificate validity (certificate may be expired) in the GLOBALG.A.P. IT systems may indicate fraud on the part of the supplier. The company shall have a procedure for systematically filing a complaint with the GLOBALG.A.P. Secretariat any time a supplier fails the verification in the GLOBALG.A.P. IT systems. The complaint shall include the supplier's CoC Number and/or GGN as well as identifying information.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		No "N/A."		
CoC-SC 2.5	If output verification is requested by the trade partner, does the company have a procedure for systematically verifying the expiration dates of all suppliers' certificates in the GLOBALG.A.P. IT systems before certified products are shipped out to trade partners that request output verification?	<p>Trade partners purchasing certified products and labeled with GGN and/or CoC Number or GGN label visual elements may request output verification.</p> <p>The company shall verify the validity of its supplier's certificate in the GLOBALG.A.P. IT systems. This verification shall occur before or during the products' shipping process and shall be recorded in a log or other documentation system. This log/documentation shall be available to CB auditors. Products labeled with a GGN and/or CoC Number shall not be shipped if the supplier's certification status changes from valid during production and storage to non-valid at the time of shipment to trade partners. Output verification requested by trade partners shall be disclosed to the relevant CB. A clearly documented procedure shall be in place with remedial steps and actions to be taken if a supplier's certification status changes from valid during production and storage to nonvalid at the time of shipment to trade partners.</p> <p>N/A if the trade partner does not request output verification.</p>	Major Must	
CoC-SC 2.6	Are the GLOBALG.A.P. word, trademarks, and logos, as well as the GGN and CoC Number, used on outgoing products in accordance with "FoodPLUS trademarks use: Policy and guidelines"?	<p>The GLOBALG.A.P. word, trademarks, and logos, and the GGN and CoC Number, shall be used on outgoing products in accordance with "FoodPLUS trademarks use: Policy and guidelines."</p> <p>No "N/A."</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 3	TRACEABILITY			
	<i>Certified products shall be traceable to certified suppliers. The company shall use either the segregation method or the identity preservation method to ensure traceability.</i>			
CoC-SC 3.1	Does the company use either the product segregation method or the identity preservation method to ensure segregation?	<p>The company shall use their own traceability system (e.g., based on a warehouse management system) to ensure that the product can be traced back to their direct supplier.</p> <p>The company may use the segregation method to ensure traceability to multiple certified producers, it may use the identity preservation method to ensure traceability to one certified producer, or it may use both methods:</p> <p>Segregation method:</p> <p>The segregation method permits mixing of certified products from a variety of certified producers. Physical mixing of certified products originating from different certified producers shall be documented accordingly, via traceability data linked to a traceability code (e.g., batch number). Certified products shall not be physically mixed with noncertified products (with the exception of multi-ingredient retail consumer items). The company shall label the final product with its CoC Number and a traceability code (e.g., batch number) which links it to either the CoC Numbers of suppliers or to the GGN of a producer.</p> <p>If only some ingredients of a multi-ingredient product originate from certified production processes, the GGN of the certified producer shall be specified. The different sources of the different ingredients in a multi-ingredient product shall be separately identified, e.g., pangasius (producer # 1 GGN), tilapia (producer # 2 GGN), and the processor's/packer's CoC Number shall be specified.</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		<p>Identity preservation method: If the GGN is used as the traceability code (e.g., batch number), the product identity preservation method shall be used. The identity preservation method prohibits the physical mixing of certified products with other certified or noncertified products. Products from different certified producers shall not be physically mixed. The identity preservation of products supplied from the producer of origin shall be documented accordingly. The certified product shall be traced back to a certified producer.</p> <p>The company shall label the final identity preserved product with its CoC Number and/or with the GGNs of the producers of origin. (If the company labels the smallest packed unit with the producer's GGN, it may omit the CoC Number from the product label).</p> <p>Note: Multi-ingredient products including noncertified goods will not be accepted in the fruit and vegetables product category. No "N/A."</p>		
CoC-SC 3.2	Does the company's traceability system comply with the requirements of the CoC standard?	Traceability records shall be accurate, complete, and unaltered. For every batch of products sold (or handled, if the legal entity acts as subcontracted party) as certified, the traceability system shall be capable of tracing the product back from the sales invoice (or outgoing delivery documents if the legal entity acts as subcontracted party) to one or more certified supplier(s), either of the trade item itself or items contained in it, and to record and trace the quantity of certified products between receipt and dispatch, including intermediate processing and storage steps.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		No "N/A."		
CoC-SC 3.3	Does the company have documented procedures for managing/initiating withdrawal/recall from the supply chain or from the market, as appropriate, of certified products, and are these procedures tested annually?	<p>The company shall have a product withdrawal/recall plan, and the procedure shall be tested annually.</p> <p>The company shall have a documented procedure that identifies the type of event that may result in a withdrawal/recall, the persons responsible for making decisions on the possible product withdrawal/recall, the mechanism for notifying the next step in the supply chain and the GLOBALG.A.P. approved CB, and the methods of reconciling stock. The procedures shall be tested annually to ensure that they are effective. This test shall be recorded (e.g., by picking a recently sold batch, identifying the quantity and whereabouts of the product, and verifying whether the next step involved with this batch and the CB can be contacted). Actual communications of the mock recall to the clients are not necessary. A list of telephone numbers and email addresses is sufficient.</p> <p>If the company has a valid GFSI-recognized post-farm gate certification at the time of the CB audit, this control point is considered complied with.</p> <p>No "N/A."</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 3.4	Does the traceability code (e.g., batch number) associate a trade item with relevant information for its traceability, and does this code link the batch to the origin of the trade item itself or of the items contained, as well as to the suppliers' CoC Numbers, PHA-N, and/or producers' GGNs?	The traceability (batch) code shall associate a trade item with relevant information for its traceability. It shall link the batch to the origin of the trade item itself or of the items contained, as well as to the suppliers' PHA-N or CoC Numbers or producers' GGNs. No "N/A."	Major Must	
COC-SC 4	IDENTIFICATION AND LABELING			
	<i>The company shall be identified, and the products shall be labeled to allow traceability and certified status validation.</i>			
CoC-SC 4.1	Does the company use the "CoC" and/or "GGN" prefix(es) correctly, as per the requirements of the CoC standard?	The company shall be identified with their own CoC Number. In the supply chain, the CoC Number identifies companies in the post-production stage and consist of the prefix "CoC" and a 13-digit number. The GLOBALG.A.P. Number (GGN) of the producer can be used on sales documents and on product labels to identify a producer when the identity preservation method is used. The GGN consists of the prefix "GGN" and a 13-digit number. Note: This requirement applies both to on-product labeling and to use on the sales and transport documents.	Major Must	
CoC-SC 4.2	Does transaction and shipment (transport) documentation for the outgoing certified product contain the minimum information required in the CoC standard?	Outgoing sales invoices, shipment (transport) documents in paper or electronic format, and all other documentation related to transactions of certified products shall contain at least the following information: <ul style="list-style-type: none"> CoC Number of the supply chain company (can be included in the transaction documents template) 	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		<ul style="list-style-type: none"> • Product name • Traceability code (e.g., batch number) • Certification status of the product stating “GLOBALG.A.P. certified” (Only positive information is required. This information can be referenced by adding a code to the product specification line, e.g., an asterisk behind each certified product and a legend explaining that “*” means “GLOBALG.A.P. certified.”) • Other information if requested by the trade partner (e.g., GRASP status of the producers, GLOBALG.A.P. benchmarked scheme, etc.) <p>Note: This control point applies even if there is a written agreement between the CoC company and the client not to identify the product with the GGN and/or the CoC Number. The only CoC Number required is that of the company. Unless a client specifies otherwise, no reference to suppliers’ CoC Numbers or GGNs needs to be included.</p>		
CoC-SC 4.3	Are the logistics units (pallets, bins, etc.), trade items (boxes, crates, etc.), or retail consumer packaging (bags, nets, shrink wrap, clamshells, etc.) containing certified products labeled with the minimum information required in the CoC standard?	<p>Logistics units (pallets, bins, etc.), trade items (boxes, crates, etc.), or retail consumer packaging (bags, nets, shrink wrap, clamshells, etc.) shall be labeled with all of the following:</p> <ul style="list-style-type: none"> • GGN of the producer (only when the company uses identity preservation method) and/or CoC Number of the supply chain company • Product name • Traceability code (e.g., batch number) <p>Note: If the company labels the smallest packed unit with the producer’s GGN, it may omit the CoC Number.</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		<p>Additional information may be shown on the label, depending on the requirements of the trading partner.</p> <p>N/A if the company (or, on behalf of the company, its subcontractor or its direct supplier) does not label, relabel, or modify the label of the product.</p>		
CoC-SC 4.4	<p>If the product is not individually labeled (e.g., bulk product), does the company include the minimum information required in the CoC standard?</p>	<p>Supplementary delivery documents shall contain at least:</p> <ul style="list-style-type: none"> • GGN of the producer (only when the company uses identity preservation method) • CoC Number of the supply chain company • Product name and traceability code (e.g., batch number). <p>Additional information may be shown depending on the requirements of the trading partner.</p> <p>N/A if broker does not physically possess the products.</p>	Major Must	
CoC-SC 5	PRODUCTS WITH THE GGN LABEL VISUAL ELEMENTS			
	<p><i>Applicable only to GGN label licensee companies and subcontractors applying the GGN label visual elements on product packaging and off-label materials.</i></p> <p><i>Licensed companies are entitled to use and label the product with the GGN label visual elements in addition to the GGN or CoC Number. For the requirements of the use of the GGN label visual elements, see the GGN label user manual for product packaging. The GGN label visual elements are linked to a public online portal that enables direct verification of GGN and CoC Numbers used on or off consumer packaging.</i></p>			
CoC-SC 5.1	<p>Has the company obtained product approvals for products with the GGN label visual elements?</p>	<p>For each product with the GGN label visual elements at the level of a consumer facing unit with a unique identifier (e.g., a EAN code), the company shall have product approval. Evidence of product approvals shall be given for all packed products with the GGN label visual elements and for off-label materials with GGN label visual elements used to identify loose products (price tags, leaflets, signs).</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		<p>The product approval(s) can be shown online (www.GGN.org) or offline (as a PDF copy). N/A if the company operates as a subcontractor of a GGN label licensee.</p>		
CoC-SC 5.2	<p>Are suppliers of products to be labeled with the GGN label visual elements registered and validated in the GGN label portal?</p>	<p>The GGN label licensee shall register, in the GGN label portal, suppliers of products to be labeled with the products of the GGN label visual elements. The licensee shall ensure that only the products of those suppliers that have been validated in the GGN label portal are used for products bearing the GGN label visual elements.</p> <p>The GLOBALG.A.P. Secretariat monitors on a daily basis the certification status (IFA, CoC, PHA) and the assessment status (GRASP) of the supplier of products with the GGN label visual elements. If the status of a supplier changes, the GGN label licensee is automatically notified and must act in accordance with the GGN label regulations and sanctions and the GLOBALG.A.P. residue monitoring system rules (part of the residue monitoring system checklist).</p> <p>N/A if the company operates as a subcontractor of a GGN label licensee.</p>	Major Must	
CoC-SC 5.3	<p>Have packaging and off-label materials used in conjunction with the GGN label visual elements been approved by the GLOBALG.A.P. Secretariat?</p>	<p>The company shall demonstrate that packaging and off-label materials carrying the GGN label visual elements are approved and displayed in the GGN label portal.</p> <p>N/A if the company operates as a subcontractor of a GGN label licensee.</p>	Major Must	
CoC-SC 5.4	<p>Products to be labeled with the GGN label visual elements are identified and segregated from other products.</p>	<p>The company shall have procedures in place to ensure effective identification and segregation of the product to be labeled with the GGN label visual elements.</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		No "N/A."		
CoC-SC 5.5	Does the company have a procedure for removing the GGN label visual elements from packaging and off-label materials and for discontinuing on- and off-product use of the GGN label visual elements in the event that the GGN label license agreement lapses?	<p>A procedure shall be in place covering the event that the company no longer has a valid GGN label license agreement for the use of the GGN label visual elements. That procedure shall include:</p> <ol style="list-style-type: none"> 1) A requirement to replace product packaging and off-label materials carrying the GGN label visual elements with packaging and off-label material without the GGN label visual elements. 2) A requirement to discontinue all on- and off-product use of the GGN label visual elements. <p>The procedure shall include notifying subcontractors if subcontractors are used for products with the GGN label visual elements. N/A if the company operates as a subcontractor of a GGN label licensee.</p>	Major Must	
CoC-SC 6	AQUACULTURE PRODUCTS (IFA v6 AQ 24)			
	Harvesting – method of harvest/dispatch			
CoC-SC 6.1	If harvesting and transport are under the responsibility of the company, are they undertaken in a way that does not compromise food safety?	A documented harvest plan and transport hygiene records (including temperature, where applicable) shall be in place. Transportation shall maintain traceability and follow local legislation on movement of farmed aquatic species.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 6.2	For transportation to the product handling unit/processing plant, are farmed aquatic species transported in clean conditions (containers or pipes) that prevent contamination during handling?	All facilities shall be available for CB auditing activities. Cleaning records shall be available for the CB audit. Lids shall be secured to prevent loss of farmed aquatic species and leakage during handling. Workers shall be able to demonstrate awareness at interview. No "N/A."	Major Must	
CoC-SC 6.3	Is the temperature of the product reduced as quickly as possible towards the temperature of melting ice?	Working instructions shall ensure appropriate cooling. The temperature records shall be available for the CB audit.	Major Must	
CoC-SC 6.4	If ice comes into contact with the product, is it initially manufactured from potable water according to applicable legislative requirements and then transported in hygienic containers?	Records of ice supply, the verification of water quality used in ice manufacturing, and documentation of transport conditions of ice shall be in place.	Major Must	
Traceability of harvested farmed aquatic species				
CoC-SC 6.5	Is the traceability of the harvested farmed aquatic species maintained up to the packing/process line, including packaging where the company is responsible for packing?	The farm records for all farmed aquatic species shall be available for the CB audit. No "N/A."	Major Must	
CoC-SC 6.6	Can a batch of farmed aquatic species be traced from the packing case back to the brood stock?	Traceability records throughout the life cycle shall demonstrate that all origins and movements are traceable and shall be available for the CB audit.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
Holding and crowding facilities				
<i>Farmed aquatic species welfare in holding and crowding facilities, including live well boat transfer, and/or prior to slaughter shall be ensured. Minimizing stress of the farmed aquatic species immediately prior to slaughter is necessary to prevent welfare problems and to maintain product quality.</i>				
CoC-SC 6.7	Do workers responsible for harvest operations have appropriate training in farmed aquatic species welfare and handling techniques?	Workers shall be able to demonstrate competence at interview. Training records and certificates for each worker with allocated functions or jobs shall be verified.	Major Must	
CoC-SC 6.8	Is the condition of the farmed aquatic species monitored regularly prior to transfer to the point of harvest, avoiding unnecessary stress of the farmed aquatic species?	Records of monitoring shall be audited by the CB. A designated worker shall be tasked with constant monitoring during transport and be appropriately trained in identifying/remediating any welfare indicators that become compromised throughout the entire transport process. Refer to IFA AQ 04.02.04. Also applicable for subcontracted activities.	Major Must	
CoC-SC 6.9	Is the oxygen level of the holding areas controlled and recorded?	Documented records shall be available on site to demonstrate control of the oxygen level.	Major Must	
CoC-SC 6.10	Are farmed aquatic species holding facilities, including live fish well boats, <i>not</i> contaminated by blood water, factory effluent, and/or spillage or discharge from marine traffic?	Farmed aquatic species holding facilities, including live farmed aquatic species well boats, shall <i>not</i> be contaminated. Records of blood water and effluent disposal shall be in place and collection facilities verified. The environmental risk assessment (refer to IFA AQ 06.03.01) shall also include fuel spillage risk at farmed aquatic species holding facilities.	Major Must	
Mortalities in holding facilities, including well boats, and/or prior to slaughter				
CoC-SC 6.11	Does the company have a plan to monitor and record trend analysis in mortality?	Site plans to monitor mortality and records of mortality trend analysis shall be assessed.	Minor Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 6.12	Is a contingency/action plan for legal disposal of large-scale mortalities in place in case of a severe disease episode or mass mortality?	The contingency/action plan shall be verified and shall comply with legal requirements where these exist. Workers shall be able to demonstrate awareness at interview.	Major Must	
CoC-SC 6.13	Are mortalities recorded and removed from the holding areas and reasons for death recorded, where known?	Records of cause of death shall be verified.	Major Must	
Escapes and indigenous species				
CoC-SC 6.14	Are measures in place to prevent escape of farmed stock into local watercourses and to prevent indigenous species' entry into the farmed aquatic species' holding areas?	Companies shall be able to demonstrate that measures are in place to prevent escapes and ingress of indigenous species into the holding areas. The contingency plans, records of all escaped farmed aquatic species for the previous certified cycle, and confirmation that all escapes have been reported to the authorities for all sites shall be verified.	Major Must	
Stunning and bleeding				
CoC-SC 6.15	Is there feedback relating to animal welfare from slaughter facility/primary processing plant to the company?	Outward health indicators such as damage (scale loss, fin erosion, predator bites, handling scars, lesions resulting from aggression, parasite lesions, etc.), deformities, and internal indicators (blood pH, flesh color, appearance of viscera, blood spots, etc.) shall be noted upon slaughter. There shall be a feedback system providing the company with such information in relation to farmed aquatic species health and welfare.	Minor Must	
CoC-SC 6.16	Is the slaughter method used specified in the aquaculture health plan (AHP) with consideration of the farmed aquatic species welfare?	The slaughter method used shall be specified in the AHP and shall consider farmed aquatic species welfare. Workers shall be able to demonstrate awareness at interview.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 6.17	Have harvesting workers received farmed aquatic species welfare training in relation to the slaughter process?	Records of training in farmed aquatic species welfare in relation to the slaughter process, including specific training in the stunning and bleeding techniques (where applicable), shall be in place. Workers shall be able to demonstrate awareness at interview.	Major Must	
CoC-SC 6.18	Are farmed aquatic species effectively stunned, with consideration of farmed aquatic species welfare?	Farmed aquatic species shall be stunned using an effective stunning method and immediately become unconscious. Monitoring procedures shall be in place. Monitoring procedures shall include manufacturer guidance, where applicable, and effectiveness of the stunner. Refer to “Aquatic animal health code,” section “Stunning and killing methods” of the World Organization for Animal Health (www.woah.int). If technology is available for a particular species and proven to be effective, the use of ice slurry or asphyxia shall be phased out.	Major Must	
CoC-SC 6.19	If farmed aquatic species are bled, is this done immediately after stunning?	Farmed aquatic species shall be bled immediately after stunning and remain unconscious while they bleed to death. Monitoring procedures shall be in place to verify that no farmed aquatic species show signs of recovery.	Major Must	
	Blood waters			
CoC-SC 6.20	Are blood waters collected and treated before disposal and are they disposed of so as not cause any veterinary or environmental threat?	Blood water shall be contained for disposal. Treatment shall ensure no veterinary or environmental threat. Collection and disposal records shall be available for the CB audit.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
	Depuration			
CoC-SC 6.21	Are bivalve molluscs supplied directly to the consumer depurated?	Companies producing bivalve molluscs to be supplied directly for human consumption shall carry out depuration according to legal requirements or industry standards and in accordance with the requirements of the Codex Alimentarius. Records of depuration time and the parameters for effective depuration shall be in place. All batches of bivalves shall be traced to harvesting areas when received at depuration stations. Documentation or internal procedures shall demonstrate a monitoring plan, including red tides where the molluscs have been farmed.	Major Must	
COC-SC 7	ANIMAL WELFARE			
	<i>Applicable only to livestock slaughter and transport to slaughter</i>			
CoC-SC 7.1	If livestock sold as certified is transported from production sites to the point of slaughter, does the company ensure that the transporters are in possession of a valid transporter authorization allowing the transport of livestock and issued by the competent authority in the country where the hauler is registered?	The haulers that transport livestock species from the certified livestock production sites to the point of slaughter shall be in possession of a valid transporter authorization allowing the transport of livestock and issued by the competent authority in the country where the hauler is registered. The hauler shall give specific attention to animal welfare during loading, transport, and unloading. This applies to all types of livestock transport, regardless of whether the transport is performed by the livestock producer, by a subcontracted transport company, or by transport vehicles owned by the slaughterhouse.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-SC 7.2	Does the livestock transport company have a valid animal welfare certification at the time of the CB audit?	If the livestock is transported for more than 65km, the transport company shall have a valid animal welfare certification at the time of the CB audit. This may be GLOBALG.A.P. Livestock Transport certification or another proof of compliance with applicable local legislation.	Recom.	
CoC-SC 7.3	Does the company have valid animal welfare certification at the time of the CB audit?	The slaughter sites processing animals from the certified production of livestock shall be certified to an animal welfare system – including the slaughtering process itself – valid at the time of the CB audit.	Recom.	

PART II CHAIN OF CUSTODY STANDARD FOR RETAIL STORES AND RESTAURANT CHAIN OPERATORS

M = Major Must requirement, 100 % compliance is mandatory.

N°	Control points	Compliance criteria	Level	Comments
CoC-SRC 1	MANAGEMENT STRUCTURE			
<i>The company shall operate a management structure that meets CoC standard requirements. – The entire group of requirements is applicable only to the central office of the retail store or restaurant chain</i>				
CoC-RSRC 1.1	Is documentation available that clearly demonstrates that the applicant is or belongs to a legal entity and is granted the legal right to carry out trading of agricultural/aquaculture products.	There shall be documentation that clearly demonstrates that the applicant is or belongs to a legal entity. The legal entity shall have been granted the legal right to carry out trading of (where applicable) agricultural/aquaculture products <ul style="list-style-type: none"> With each store or restaurant, the company shall have ownership or a franchise relationship, or a temporary right to manage all sites where certified products are handled. The company shall maintain an accurate and up-to-date list of these sites. No “N/A.”	Major Must	
CoC-RSRC 1.2	Does the company operate a management structure that addresses the CoC standard requirements, including well-documented procedures, processes, and staff training that are appropriate to the company’s size, type, and complexity of activities?	<ul style="list-style-type: none"> The company shall have a central authority responsible for managing conformance to the CoC standard, responding to requests for information and documents, and communicating with trade partners, the CB(s), and the GLOBALG.A.P. Secretariat. The company shall document CoC procedures and processes appropriate to its size, type, and complexity of activities. The company's staff shall be competent and trained in meeting the requirements of the CoC standard. No “N/A.”	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-RSRC 1.3	Does the company undertake an annual self-assessment of conformance to the CoC standard?	A completed self-assessment, not older than 12 months and covering all registered sites, shall be available at the time of the CB audit. No "N/A."	Major Must	
CoC-RSRC 1.4	Does the company perform a documented mass balance calculation?	Documentation of the mass balance calculation shall show that the quantity of products sold as certified does not exceed the quantity of inputs from certified sources. These outputs are calculated as inputs received as certified minus the conversion loss and quantity in storage. Information on the quantity (including volume and/or weight) of all certified, noncertified, incoming, outgoing, intermediate and stored products shall be recorded. A summary of these records shall be available so as to facilitate the mass balance verification process. The acceptable conversion loss rates for certified outputs from certified inputs shall be verified and recorded for each step between receipt and sales of certified products. Records of the calculations of conversion loss rates shall be available to CB auditors. Parameters such as waste, shrinkage, rejected/returned items, etc. shall be taken into consideration. Note: If the company has an information system that allows instantaneous (real-time) automated mass balance verification with all the information required, the mass balance exercise can be performed during the self-assessment and CB audit. No "N/A."	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-RSRC 1.5	Does the company have a documented procedure for ensuring that non-conformance and complaints related to certified products are recorded, addressed, and resolved, including a record of actions taken?	A documented procedure shall be in operation for ensuring that non-conformance and complaints related to certified products are recorded, addressed, and resolved, including a record of actions taken. No "N/A."	Major Must	
CoC-RSRC 1.6	Before or during the transfer of ownership, does the company have a procedure for systematically authenticating, via the GLOBALG.A.P. IT systems, suppliers' GGNs or CoC Numbers (direct suppliers), the expiration date of their certificates and the intended destination countries for each product?	Input verification is mandatory. Supply chain partners that supply certified products to the company shall be certified according to IFA (or a benchmarked scheme), PHA, or the CoC standard. The company shall have a procedure in place for systematically authenticating the direct suppliers' GGNs, PHA, or CoC Numbers, for verifying the expiration date of their certificates, and for confirming the product(s)'s destination countries (in the scope of the supplier certificate). This procedure shall use the GLOBALG.A.P. IT systems for regular verification to ensure that the supplier certificate is valid at the moment the products are purchased or received by the company. The company shall maintain records (including GGN, CoC Number, and/ or PHA-N) of suppliers from which it directly buys certified products. A log or other proof of supplier verification shall be available. Note: The authentication procedure needs to include the GGN, CoC Number, and/or PHA-N of only the direct supplier's (i.e., the supplier from which the company is buying the products). No "N/A."	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-RSRC 1.7	Does the company keep accurate purchase and sales records?	The company shall keep and make available relevant purchase and sales records, purchase orders, purchased products and quantities, purchase agreements, supplier invoices, supplier delivery notes, transporter or shipper details, incoming goods receipt inspections, receipts/invoices detailing sold products and quantities. No "N/A."	Major Must	
CoC-RSRC 1.8	For suppliers delivering certified products directly to stores or restaurants, does the company maintain records of these suppliers and their respective GGNs or CoC Numbers, and does it request that each suppliers prints their GGN or CoC Number on delivery notes and sales invoices?	Records, including the respective GGN or CoC Number, shall be available for any supplier delivering certified products directly to the stores or restaurants. The company shall also keep and make available records of requests that these suppliers print their GGN or CoC Number on delivery notes and sales documents. N/A if there are no suppliers delivering directly to the stores.	Major Must	
CoC-RSRC 1.9	Are records kept for a minimum of one year after the products' expiration date or as per legal requirements, whichever is longer?	Records shall be kept for a minimum of one year after the product's expiration date, or as per legal requirements, whichever is longer. If there are neither expiration dates nor legal requirements, records shall be kept for two years. No "N/A."	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-RSRC 1.10	Does the company have documented procedures for managing exceeded legal limits (e.g., of contaminants residue)?	The company shall have documented procedures to manage a situation of a legal limit exceedances (e.g., of contaminant residue). These procedures shall include the requirements for up-to-date records of all cases, including investigation, remedial actions, closure of each case, and notification to supplier(s), to the producer(s) of origin, and to the CB. The procedure shall also consider the management of the different destination countries for the certified products. N/A for flowers and ornamentals.	Major Must	
CoC-RSRC 1.11	Does the company have a written evaluation addressing any food losses that occur, where in the production process the losses occur, and why?	The company should have a written evaluation addressing any food losses that occur, where in the production process the losses occur, and why. The evaluation should include a quantification of food losses and waste.	Recom.	
CoC-RSRC 1.12	Has the company defined food loss and waste reduction objectives?	The company should define objectives for reducing food loss and waste. These objectives shall be communicated through the company, monitored, and updated yearly to ensure that they realistically address the company's circumstances.	Recom.	

N°	Control points	Compliance criteria	Level	Comments
CoC-RSRC 2	RETAIL STORE/RESTAURANT MANAGEMENT STRUCTURE			
	<i>Applicable to retail distribution centers, retail stores and restaurants. The company shall operate a management structure that meets the CoC standard requirements.</i>			
CoC-RSRC 2.1	Does the company nominate a responsible person that addresses the CoC standard requirements applicable, including well-documented procedures, processes, systems, and workers training appropriate to the company's size, type, and complexity of activities?	<ul style="list-style-type: none"> The retail distribution center, retail store/ restaurant shall have a central authority responsible to manage conformance to the CoC standard, respond to information/document requests. The company shall document CoC procedures, processes, and systems appropriate to its size, type, and complexity of activities. The company's staff shall be competent and trained in meeting the requirements of the CoC standard. No "N/A."	Major Must	
CoC-RSRC 2.2	Does the retail distribution center, retail store/restaurant undertake an annual self-assessment against the CoC standard?	A completed self-assessment, not older than 12 months and covering all registered sites, shall be available at the time of the CB audit. N/A if the retail distribution center, retail store/restaurant self-assessment is included in the central office self-assessment	Major Must	
CoC-RSRC 2.3	Does the retail distribution center/retail store/restaurant perform a documented mass balance calculation?	Documentation of the mass balance calculation shall show that the quantity of products sold as certified does not exceed the quantity of inputs from certified sources. These outputs are calculated as inputs received as certified minus the conversion loss and quantity in storage. Information on the quantity (including volume and/or weight) of all certified, noncertified, incoming, outgoing, intermediate and stored products shall be recorded. A summary of these records shall be available so as to facilitate the mass balance	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		<p>verification process.</p> <p>The conversion loss rates for certified outputs from certified inputs shall be calculated, verified, and recorded for each step between receipt and dispatch of certified products. Records of the calculations of conversion loss rates shall be available to CB auditors. Parameters such as waste, shrinkage, rejected/returned items, etc. shall be taken into consideration.</p> <p>Note: If the company has an information system that allows instantaneous real-time automated mass balance verification with all the information required, the mass balance exercise can be performed during the self-assessment and CB audit.</p> <p>In case of self-service retail stores, the company shall define a level of acceptable losses (mistakes in clients' product registrations) to be included on the store mass balance calculations.</p> <p>No "N/A."</p>		
CoC-RSRC 2.4	Does the company have a documented procedure for ensuring that non-conformances and complaints related to the CoC standard are recorded, addressed, and resolved, including a record of actions taken?	<p>A documented procedure shall be in place to ensure that non-conformances and complaints related to the CoC standard are recorded, addressed, and resolved, including a record of actions taken.</p> <p>No "N/A."</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-RSRC 2.5	Does the company keep accurate purchase and sales records?	<p>The company shall keep and make available relevant purchase and sales records: purchase orders, purchased products and quantities, purchase agreements, supplier invoices, supplier delivery notes, transporter or shipper details, incoming goods receipt inspections, receipts/invoices detailing sold products and quantities, sales contracts, sales invoices, sales delivery notes, transporter or shipper details, outgoing goods shipment inspections, etc.</p> <p>In case purchases are managed centrally, records of received products and quantities, delivery notes and inspections of incoming product receipts shall be kept.</p> <p>No "N/A."</p>	Major Must	
CoC-RSRC 2.6	For suppliers delivering certified products directly to stores or restaurants, does the company maintain records of these suppliers and their respective GGNs or CoC Numbers, and does it request that each supplier prints their GGN or CoC Number on delivery notes and sales invoices?	<p>Records, including the respective GGN or CoC Number, shall be available for any supplier delivering certified products directly to the stores or restaurants. The company shall also keep and make available records of requests that these suppliers print their GGN or CoC Number on delivery notes and sales documents.</p> <p>No "N/A."</p>	Major Must	
CoC-RSRC 2.7	Are records kept for a minimum of one year after the products' expiration date or as per legal requirements, whichever is longer?	<p>Records shall be kept for a minimum of one year after the product's expiration date, or as per legal requirements, whichever is longer. If there are neither expiration dates nor legal requirements, records shall be kept for two years.</p> <p>No "N/A."</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
COC-RSRC 3	INPUT VERIFICATION			
	<i>Applicable to retail distribution centers, retail stores and restaurants.</i>			
CoC-RSRC 3.1	For each certified product to be displayed with the GGN label visual elements, does the retail store/restaurant verify that the product and quantity received match the information in the delivery documents?	For each certified product to be displayed with the GGN label visual elements, the retail store/restaurant shall keep and make available a log or other proof of verification that the certified product and quantity received match the information in the delivery documents, including calendar dates and names of the persons responsible. No "N/A."	Major Must	
CoC-RSRC 3.2	Is a procedure in place for recording and reporting delivery discrepancies, and are products that are ordered as certified, but delivered without the supplier's CoC Number or GGN in the delivery note immediately considered noncertified and handled as noncertified products?	A log for recording and reporting delivery discrepancies shall be available. Products that are ordered as certified but delivered without the supplier's CoC Number or GGN in the delivery note shall be immediately considered noncertified and handled as noncertified products. In the case of corrective actions by the supplier resulting in a change of certification status from noncertified back to certified, the change in the product's certification status and handling shall be documented. No "N/A."	Major Must	

N°	Control points	Compliance criteria	Level	Comments
COC-RSRC 4	TRACEABILITY			
	<i>Applicable to retail distribution centers, retail stores and restaurants.</i>			
CoC-RSRC 4.1	Does the retail distribution center, retail store, or restaurant use either the product <i>segregation method</i> or the <i>identity preservation method</i> to ensure traceability of a retail consumer item sold in bulk with the GGN label visual element?	<p>The company shall use their own traceability system (e.g., based on a warehouse management system) to ensure that the product can be traced back to their direct supplier.</p> <p>The company may use the <i>segregation method</i> to ensure traceability to multiple certified producers, it may use the <i>identity preservation method</i> to ensure traceability to one certified producer, or it may use both methods.</p> <p><i>Segregation method:</i> The segregation method permits mixing of certified products from a variety of certified producers. Physical mixing of certified products originating from different certified producers shall be documented accordingly, via traceability data linked to a traceability code (e.g., a batch number). Certified products shall not be physically mixed with noncertified products.</p> <p><i>Identity preservation method:</i> If the GGN is used as the traceability (batch) code, the product identity preservation method shall be used. The identity preservation method prohibits the physical mixing of certified products with other certified or noncertified products. Products originating from different certified producers shall not be physically mixed. The identity preservation of products supplied from the producer of origin shall be documented accordingly. The certified product shall be traced back to a certified producer.</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-RSRC 4.2	For each certified product, does the traceability system include accurate, complete, and unaltered records showing the identity and quantities of such products received and sold during a given time period?	The CB audit of the traceability system shall demonstrate that, for each certified product, it includes accurate, complete, and unaltered records showing the identity and quantities of such products received and sold during a given time period. At retail stores and restaurants, the traceable batch can be defined by the batch defined on the recall procedure (minimum quantity that the company is willing to retrieve in case of a recall). No "N/A."	Major Must	
CoC-RSRC 4.3	Is the traceability system able to trace back any certified product sold through the delivery documents to the identity of the supplier(s) and their GGN or CoC Number?	A trace-back exercise shall demonstrate that the traceability system is able to trace back a certified product sold through the delivery documents to the identity of the supplier(s) and their GGN or CoC Number. If a GGN is displayed alongside the GGN label visual elements or tag on the retail counter, a procedure shall be in place to ensure that the GGN corresponds to the producer of the certified product. No "N/A."	Major Must	
CoC-RSRC 4.4	Does the company have documented procedures for managing/initiating the withdrawal/recall from the supply chain or from the market of products with the GGN label visual elements, and are these procedures tested annually?	The company shall have a product withdrawal/recall plan which shall be tested annually. The company shall have a documented procedure that identifies the type of event that may result in a withdrawal/recall, the persons responsible for making decisions on the possible product withdrawal/recall, the mechanism for notifying the next step in the supply chain and the GLOBALG.A.P. approved CB, and the methods of reconciling stock.	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		<p>The procedures shall be tested annually to ensure that they are effective. This test shall be recorded. (e.g., by picking a recently sold batch, identifying the quantity and whereabouts of the product, and verifying whether the next step involved with this batch and the CB can be contacted). Actual communications of the mock recall to the clients are not necessary. A list of telephone numbers and email addresses is sufficient.</p> <p>If the company has a valid GFSI-recognized post-farm gate certification at the time of the CB audit, this control point is considered complied with.</p> <p>Note: In case an actual recall has been performed, no other test is needed.</p> <p>N/A if included in the central office recall procedure and test.</p>		
COC-RSRC 5	IDENTIFICATION OF PRODUCTS			
	<i>Applicable only to retail distribution centers. The product shall be identified and labeled to allow traceability and certified status validation.</i>			
CoC-RSRC 5.1	Does transaction and shipment (transport) documentation for the outgoing certified product contain the minimum information required in the CoC standard?	<p>Outgoing sales invoices, shipment (transport) documents in paper or electronic format, and all other documentation related to transactions/transport of certified products shall contain at least the following information:</p> <ul style="list-style-type: none"> • CoC Number of the supply chain company (can be included in the transaction documents template) in case the product is sold outside the retail network • Product name • Traceability code (e.g., batch number) • Certification status of the product stating “GLOBALG.A.P. 	Major Must	

N°	Control points	Compliance criteria	Level	Comments
		<p>certified” (Only positive information is required. This information can be referenced by adding a code to the product specification line, e.g., an asterisk behind each certified product and a legend explaining that “*” means “GLOBALG.A.P. certified.”)</p> <p>Note: In the case of sales outside the retail network, this control point applies even if there is a written agreement between the CoC company and the client not to identify the product with the GGN and/or the CoC Number. The only CoC Number required is that of the company. Unless a client specifies otherwise, no reference to suppliers’ CoC Numbers or GGNs needs to be included.</p>		
CoC-RSRC 5.2	Are the logistics units (pallets, bins, etc.), trade items (boxes, crates, etc.), or retail consumer packaging (bags, nets, shrink wrap, clamshells, etc.) containing certified products labeled with the minimum information required in the CoC standard?	<p>Logistics units (pallets, bins, etc.), trade items (boxes, crates, etc.), or retail consumer packaging (bags, nets, shrink wrap, clamshells, etc.) shall be labeled with all of the following:</p> <ul style="list-style-type: none"> • GGN of the producer (only when the company uses identity preservation method) and/or CoC Number of the supply chain company • Product name • Traceability code (e.g., batch number) <p>Note: If the company labels the smallest packed unit with the producer’s GGN, it may omit the CoC Number. Additional information may be shown on the label, depending on the requirements of the trading partner. N/A if the company does not label, relabel, or modify the label of the product.</p>	Major Must	

N°	Control points	Compliance criteria	Level	Comments
COC-RSRC 6	IDENTIFICATION AND DISPLAY			
	<i>Applicable for retail stores and restaurants. Certified suppliers and products with the GGN label logo (www.GGN.org) shall be identified.</i>			
CoC-RSRC 6.1	For products sold in bulk, loose, or by piece with the GGN label visual elements, is a list of certified suppliers communicated to consumers, and is each supplier correctly identified with either a GGN or CoC Number?	A list of certified suppliers, along with those suppliers' GGNs or CoC Numbers, shall be communicated to consumers at the retail store counter. Regardless of the communication method used, all certified suppliers shall be correctly identified with either a GGN for product traceability to a single producer (i.e., identity preservation method) or a CoC Number for product traceability to producers (i.e., product segregation method). No "N/A."	Major Must	
CoC-RSRC 6.2	For retail consumer items sold in bulk, loose, or by piece at the retail store and where the GGN label visual elements are displayed at the counter, are the retail consumer items identified with the minimum information required in the CoC standard?	The label or tag for retail consumer items sold in bulk, loose, or by piece with the GGN label visual elements displayed at the retail store counter shall contain at least: <ul style="list-style-type: none"> • GGN label visual elements • Product name, with aquaculture products identified using the correct product name in accordance with the GLOBALG.A.P. product list • Possibly additional information such as the price shown on display labels or tags with the GGN label visual elements, depending on legal and trade partner requirements No "N/A."	Major Must	

N°	Control points	Compliance criteria	Level	Comments
CoC-RSRC 6.3	Are already packed retail consumer items (e.g., items in containers, bags, nets, shrink wrap) displayed with the GGN label visual elements at the retail counter labeled with the minimum information required in the CoC standard?	<p>Purchased packed retail consumer items (items whose containers, bags, nets, shrink wrap, etc. are not labeled with the GGN label visual elements) displayed with the GGN label visual elements shall contain the following information on the product label:</p> <ul style="list-style-type: none"> • GGN for the producer or CoC Number for the supply chain company • Product name or code • Quantity (weight or number of units) • Traceability (batch) code or producer's GGN if the supplier is a producer (i.e., identity preservation method) <p>Possibly additional information shown on display labels or tags with the GGN label visual elements, depending on legal and trade partner requirements</p>	Major Must	
COC-RSRC 7	GGN LABEL			
	<i>Applicable only to retail stores and restaurants. The GGN label license agreement shall be implemented.</i>			
CoC-RSRC 7.1	Does the store or restaurant use only certified products for display and sale in connection with the GGN label?	A procedure shall be in place to ensure that only certified products are displayed and sold in connection with the GGN label.	Major Must	
CoC-RSRC 7.2	Are written instructions (e.g., FAQs) provided to staff at the counter that is displaying the visual elements of the GGN label so that staff can answer consumers' questions about the GGN label?	<p>Written instructions (e.g., FAQs) shall be available to staff at the counter that is displaying the visual elements of the GGN label so that staff can answer consumers' questions about the GGN label. Staff's awareness shall be demonstrated through interview.</p> <p>No "N/A."</p>	Major Must	

VERSION/EDITION UPDATE REGISTER

New Document	Replaced Document	Date of Publication	Description of Modifications
221108_GG_CoC_CPCCs_v6_1_Nov22_en	190923_GG_CoC_CPCC_V6_en	8 November 2022	<p>General improvements to language and structure.</p> <ul style="list-style-type: none"> 1.4 – note added for clarification 1.6 – text added for clarification 1.7 – text added for clarification 1.8 – text added for clarification 1.9 – text added for clarification 1.10 – different number (from SC 7.3), text added for clarification 1.11 – new control point 1.12 – new control point 1.13 – new control point 1.14 – different number (from SC 7.1), text added for clarification. 1.15 – different number (from SC 7.2) 2,1 – text added for clarification 2,2 – text added for clarification 2.3 – N/A possibility added 3.2 – text added for clarification 4.1 – text added for clarification 5.1 – different number (from SC 5.2) 5.2 – new CPCC 5.3 – different number (from SC 5.4), different wording 5.4 – different number (from SC 5.7), different wording <p>From v6 CPCCs: 5.3, 5.5, 5.6, 5.8 and 5.9 removed From v6 CPCCs:</p> <ul style="list-style-type: none"> • 7.1 moved to 1.14 • 7.2 moved to 1.15 • 7.3 moved to 1.10 <p>Retail store part: structure completely changed</p>
221118_GG_CoC_CPCCs_v6_1_Nov22_en	221108_GG_CoC_CPCCs_v6_1_Nov22_en	18 November 2022	RSRC 7 – GGN label logo replaced by GGN label

221118_GG_CoC_CPCCs_v6_1_Nov22_en

If you want to receive more information on the modifications in this document, contact the GLOBALG.A.P. Secretariat at standard_support@globalgap.org.

When the changes do not introduce new requirements to the standard, the version will remain “5.0” and an edition update shall be indicated with “5.0-x”. When the changes do affect compliance with the standard, the version name will change to “5.x”. A new version, e.g., V6.0, V7, etc., will always affect the accreditation of the standard.

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