



CHAIN OF CUSTODY STANDARD

CONTROL POINTS AND COMPLIANCE CRITERIA

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

OR

FOR RETAIL STORES AND RESTAURANT CHAIN OPERATORS

ENGLISH VERSION 6.0

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INTRODUCTION

PART I.

CHAIN OF CUSTODY STANDARD FOR THE SUPPLY CHAIN FROM THE PRODUCER OR PRODUCER GROUP 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 GLOBALG.A.P. certified product within the scope of this standard. Chain of Custody (CoC) certification is therefore required for all parties in the supply chain that take legal ownership or physical control of certified products and perform at least one of the following activities:

- (i) Selling or trading the relevant products with sales documents and/or product packaging claiming Integrated Farm Assurance (IFA) or CoC certification
- (ii) Labeling products with GLOBALG.A.P. Number (GGN), CoC Number, or GGN label logo
- (iii) Changing the composition (e.g., through processing, slaughtering, mixing different batches/different producers) or assigning new identity (e.g., through re-packaging, re-labeling) of the products sold with GLOBALG.A.P. claim

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

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 logo (visible to the end consumer)* and originating from GLOBALG.A.P. certified processes. They shall be externally inspected by a GLOBALG.A.P. approved certification body on the basis of a sample according to the CoC General Regulations, Table 1.

The “GGN Certified Aquaculture”, “GGN Certified Floriculture”, and “GGN Certified Agriculture” logos are:



Wholesale and retail stores and restaurant chain sites selling only packed (tamper-proof) products with the GGN label logo and/or with a GGN and/or CoC Number do not require CoC inspection and certification. If individual sites of a wholesale and retail chain or restaurant chain pack and label products with the GGN label logo and/or with a GGN and/or CoC Number, the ‘GLOBALG.A.P. Chain of Custody Standard for the Supply Chain from the Producer or Producer Group 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 there 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.	M	
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"> a) 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, certification body/bodies, and the GLOBALG.A.P. Secretariat. b) The company shall document CoC procedures and processes appropriate to its size, type, and complexity of activities. c) The company's staff shall be competent and trained in meeting the requirements of this standard. No N/A.	M	
CoC-SC 1.3	Does the company undertake an annual self-assessment of conformance to this standard?	A completed self-assessment, not older than 12 months and covering all registered sites, shall be available at the time of inspection. No N/A.	M	

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, non-certified, incoming, outgoing, and stored products shall be recorded. A summary of these records shall be maintained 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 inspectors. 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>No N/A.</p>	M	
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 operation 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>	M	
CoC-SC 1.6	Does the company maintain an up-to-date list of all subcontractors (excluding freight forwarding companies) that handle certified products? Are these subcontractors classified in accordance with the risk assessment defined in the General Regulations of the CoC standard (section 5.5.3)?	<p>The company shall keep available a list of all subcontractors (excluding freight forwarding companies) that handle certified products, along with evidence of the last certification status verification update. All subcontractors shall be classified as to the risk related to misidentification, substitution, or dilution of certified products with non-certified products. This risk assessment is detailed in the General Regulations of the CoC standard (section 5.5.3).</p> <p>N/A if no subcontractors are used.</p>	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 1.7	Is the company able to demonstrate that high-risk subcontractors (subcontractors that carry out the activities described in the General Regulations of the CoC standard (section 5.5) are inspected within the company's CoC certification or possess a valid CoC certificate?	The company shall demonstrate that high-risk subcontractors (subcontractors that carry out the activities described in the General Regulations of the CoC standard (section 5.5) either are inspected annually within the company's CoC certification (i.e., the subcontractor is included in the CoC certificate holders' certificate) or possess their own valid CoC certificate.	M	
CoC-SC 1.8	Does the company keep accurate purchase and sales records?	The company shall keep and make available relevant purchase and sales records, including but not limited to: purchase orders, purchased products and quantities, purchase contracts, 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. No N/A.	M	
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?	Records shall be kept for a minimum of one year after the products' expiration date or as per legal requirements, whichever is longer. No N/A.	M	

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. database, suppliers' GGNs or CoC Numbers, the expiration date of their certificates, and the destination countries included?	<p>Input verification is mandatory.</p> <p>Supply chain partners that supply certified products to the company shall be certified according to either IFA (or equivalent benchmark schemes) or the CoC standard. The company shall have a procedure in place for systematically authenticating the suppliers' GGNs or CoC Numbers, verifying the expiration date of their certificates, and confirming the destination countries included (in the scope of the supplier certificate). This procedure shall use the GLOBALG.A.P. database for verification and shall take place before or during the transfer of ownership.</p> <p>The company shall maintain records (including GGN and/or CoC Number) of suppliers from which it buys certified products. A log or other proof of supplier verification before or during the transfer of ownership shall be available.</p> <p>No N/A.</p>	M	
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?	<p>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.</p> <p>N/A if broker does not physically possess the products.</p>	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 2.3	Does the company have a written procedure in place for recording and reporting delivery discrepancies during operations, and are products that have been ordered as certified 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 immediately re-labeled as non-certified and handled as non-certified products?	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 re-labeled as non-certified and handled as non-certified products. Corrective action by the supplier resulting in a reinstatement of the certification status and in product re-labeling and handling shall be documented. No N/A.	M	
CoC-SC 2.4	Does the company have a procedure for systematically filing a complaint with the GLOBALG.A.P. Secretariat (www.globalgap.org/uk_en/who-we-are/about-us/incident-complaint-form) any time a supplier fails the input verification in the GLOBALG.A.P. database (e.g., certificate may be counterfeit, issued to another company, expired), 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. database 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 (www.globalgap.org/uk_en/who-we-are/about-us/incident-complaint-form) any time a supplier fails the verification in the GLOBALG.A.P. database. The complaint shall include the supplier's CoC Number and/or GGN as well as identifying information. No N/A.	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 2.5	Does the company have a procedure for systematically verifying the expiration date(s) of suppliers' certificates in the GLOBALG.A.P. database before certified products are shipped out to trade partners that request output verification?	Trade partners purchasing certified products and labeled with GGN and/or CoC Number may request output verification. The company shall verify the validity of its supplier's certificate in the GLOBALG.A.P. database. This verification shall occur before or during the goods shipping process and shall be recorded in a log or other documentation protocol. This log/documentation shall be available to inspectors. 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 certification body. A clearly documented procedure shall be in place with remedial steps and actions to be taken when a supplier certification status changes from valid during production and storage to non-valid at the time of shipment to trade partners. N/A if the trade partner does not request output verification.	M	
CoC-SC 2.6	Are the GLOBALG.A.P. word, trademark, and logo, as well as the GGN and CoC Number, used on outgoing products in accordance with the GLOBALG.A.P. General Regulations and the sublicense and certification agreement?	The GLOBALG.A.P. word, trademark, and logo, and the GGN and CoC Number, shall be used on outgoing products in accordance with the GLOBALG.A.P. General Regulations and the sublicense and certification agreement. No N/A.	M	
CoC-SC 3	TRACEABILITY			
	<i>Certified products shall be traceable to certified suppliers. The company may use either the segregation method or the identity preservation method to ensure traceability.</i>			

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 3.1	Does the company use either the product segregation method or the identity preservation method to ensure traceability of a retail consumer item sold in bulk with the GGN label logo?	<p>The company may use the segregation method to ensure traceability to more than one certified producer (or producer group); it may use the identity preservation method to ensure traceability to a certified individual producer (or to a certified Option 2 producer group); 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 or producer groups. Physical mixing of certified products coming from different certified producers or producer groups shall be documented accordingly, via traceability data linked to a traceability code (e.g., batch number). Certified products shall not be physically mixed with non-certified products (with the exception of multi-ingredient retail consumer items). The company shall label the final product with its CoC Number and a traceability (batch) code which links it to either the CoC Numbers of suppliers or to the GGN of an individual producer (Option 1) or a producer group (Option 2).</p> <p>If only some ingredients of a multi-ingredient product come from certified 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> <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 non-certified products. Products from different certified individual producers (Option 1) or from certified producer groups (Option 2) shall not be physically mixed. The identity preservation of products supplied from the individual producer (Option 1) or producer group (Option 2) of origin shall be documented accordingly. The certified product shall be traced back to a certified individual producer (Option 1) or producer group (Option 2).</p> <p>The company shall label the final identity preserved product with its CoC Number and with the GGNs of the individual producers (Option 1) or producer groups (Option 2) of origin.</p>	M	

N°	Control Points	Compliance Criteria	Level	Comments
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 as certified, the traceability system shall be capable of tracing the product back from the sales invoice 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. No N/A.	M	
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?	The company shall have a product withdrawal/recall plan, and the procedure 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 certification body, 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 e-mail addresses is sufficient). If the company has a valid GFSI recognized post-farm gate certification at the time of the CoC inspection, this control point is considered as complied with. No N/A.	M	
CoC-SC 3.4	Does the traceability (batch) code 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 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' CoC Numbers or producers' GGNs. No N/A.	M	

N°	Control Points	Compliance Criteria	Level	Comments
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>			
	If products are sold without GLOBALG.A.P. claim, this chapter does not apply (N/A). In such cases, any further claim of the certified status is discontinued. In all other situations, the chapter applies.			
CoC-SC 4.1	Does the company use the “GGN” and/or “CoC” prefix(es) correctly, as per the requirements of the CoC standard?	The company shall be identified with either a GGN or CoC Number. The GGN identifies a producer (IFA Option 1 certificate) or producer group (IFA Option 2 certificate) and consists of the prefix “GGN” and a 13-digit number. The CoC Number identifies companies in the post-production supply chain and consist of the prefix “CoC” and a 13-digit number. NOTE: This requirement applies both to on-product labeling and to use on the shipment (transport) documents.	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 4.2	Does all transaction and shipment (transport) documentation for the outgoing certified product contain the minimum information required in the CoC standard?	<p>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:</p> <ul style="list-style-type: none"> • GGN or CoC Number: GGN for the individual producer or producer group or CoC Number for the supply chain company • Consignment number, if available • Shipped product name(s) or identification code(s) • Shipped quantity (weight or number of units) • Shipping date • Logistic unit identification codes, if available • Certification status, stating: “GLOBALG.A.P. certified” (or indicating certification by an entity equivalent to GLOBALG.A.P.) <i>and</i> “GRASP full compliance” whenever applicable (i.e., on all and only those products originating from producers/producer groups in full compliance with the GRASP assessment) <i>and</i> whenever applicable any other GLOBALG.A.P. standard or add-on status (see CoC-SC 5.3). Positive identification is enough, non-certified status does not need to be identified. <p>NOTE: This point applies even if there is a written agreement between the CoC company and the client not to identify the product with the GGN and/or the CoC Number.</p>	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 4.3	Are the logistic units (e.g., pallets, bins) containing certified products labeled with the minimum information requested in the CoC standard?	<p>Logistic units (e.g., pallets, bins) shall be labeled with at least:</p> <ul style="list-style-type: none"> • GGN or CoC Number: GGN for the producer or producer group or CoC Number for the supply chain company • Product name or code • Quantity (weight or number of units) • Logistic unit code, such as a shipping container code (serial number), which can be used to refer to the GGN/CoC Number, product name/code, and quantity communicated in an electronic message such as the dispatch advice or advanced shipping notice. • If the above information is included in the electronic message, only the logistic unit code needs to be printed on the label. A message printout shall be produced to verify all necessary information is given. • Additional information may be shown on the label, depending on the requirements of the trading partner. <p>Logistic units that contain multiple products (e.g., mixed pallets) may be labeled with the logistic unit identifier only, such as the shipping container code (serial number).</p> <p>N/A if there is a written agreement available between the CoC company and the client not to identify the product with the GGN and/or with the CoC Number.</p>	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 4.4	If the product is not individually labeled (e.g., bulk produce), does the company include the minimum information requested in the CoC standard?	<p>Supplementary delivery documents shall contain at least:</p> <ul style="list-style-type: none"> • GGN or CoC Number: GGN for the individual producer or producer group 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 or producer group (identity preservation) or shipping container code (e.g., serial number, license plate) • Link to sales document information (e.g., invoice number, delivery note number) • Additional information may be shown, depending on the requirements of the trading partner <p>N/A if there is a written agreement between the CoC company and the client not to identify the product with the GGN and/or with the CoC Number.</p>	M	
CoC-SC 4.5	Are the trade items (e.g., boxes, crates) labeled with the minimum information required in the CoC standard?	<p>Trade items (e.g., boxes, crates) shall be labeled with at least:</p> <ul style="list-style-type: none"> • GGN or CoC Number: GGN for the producer or producer group, 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 an individual producer or producer group (identity preservation) • Additional information may be shown on the label, depending on the requirements of the trading partner <p>N/A if there is a written agreement between the CoC company and the client not to identify the product with the GGN and/or with the CoC Number.</p>	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 4.6	Are packed retail consumer items (e.g., containers, bags, nets, shrink wrap, clamshells) labeled with the minimum information required in the CoC standard?	Packed retail consumer items (e.g., containers, bags, nets, shrink wrap) shall be labeled with at least: <ul style="list-style-type: none"> • GGN or CoC Number: GGN for the producer or producer group 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 • Additional information may be shown on the label, depending on the legal and trading partner requirements N/A if there is a written agreement between the CoC company and the client not to identify the product with the GGN and/or with the CoC Number.	M	
CoC-SC 5	PRODUCTS WITH THE GGN LABEL LOGO			
	<i>Applicable only to products with the GGN label logo (www.GGN.org)</i> Licensed companies are entitled to use and label the product with the GGN label logo in addition to the GGN or CoC Number. The use of the GGN label logo requires either GLOBALG.A.P. IFA certification and full compliance with GRASP or CoC certification. The GGN label logo is linked to a public online portal that enables direct communication and transparency between farmer and consumers.			
CoC-SC 5.1	Has the company been granted approval under the terms of a valid license agreement to use the GGN label logo, and does it have a person responsible for complying with the GGN label logo license terms and conditions?	A valid GGN label logo license agreement shall be available and a person responsible for conformance to the GGN label logo license terms and conditions shall be identified. No N/A.	M	
CoC-SC 5.2	Does the company use only certified products in packaging bearing the GGN label logo, and does it use only packaging designs with the GGN label logo approved by the GGN label administration?	A procedure shall be in place to ensure that only certified products are packaged with the GGN label logo. Any packaging design with the GGN label logo shall be approved by the GGN label administration. No N/A.	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 5.3	If additional requirements are added on to the GGN label logo (e.g., GRASP assessment with full compliance result or other GLOBALG.A.P. add-on status), does the company demand from its supplier(s) that the supplied certified products fulfill those additional requirements?	<p>A procedure shall be in place to ensure that, whenever use of the GGN label logo is subject to additional requirements (e.g., GRASP assessment with full compliance status or other GLOBALG.A.P. add-on status), the company shall demand from its supplier(s) that the supplied certified products comply with the additional requirements. The company shall monitor these additional requirements – in the same way as it monitors GLOBALG.A.P. certification status – and assure that those products displaying the GGN label logo originate from batches fulfilling the additional requirements.</p> <p>NOTE: If products originate from batches partially fulfilling the additional requirements (e.g., all producers have GLOBALG.A.P. certified status, but some producers are fully compliant with GRASP while others are not) those products cannot be displayed with the GGN label logo.</p>	M	
CoC-SC 5.4	Does the off-product use of the GGN label logo comply with the terms of the GGN label logo license agreement?	<p>All off-product use of the GGN label logo shall conform to the terms of the GGN label logo license agreement. Samples of off-product use of the GGN label logo shall be available for inspection.</p> <p>No N/A.</p>	M	
CoC-SC 5.5	Are the trade items with the GGN label logo (e.g., boxes, crates) labeled with the minimum information required by the CoC standard?	<p>Trade items with the GGN label logo (e.g., boxes, crates) shall be labeled with at least:</p> <ul style="list-style-type: none"> • Supplier's GGN or CoC Number: GGN for the producer or producer group or CoC Number for the supply chain company • Product name or code • Quantity • Traceability (batch) code, or producer's GGN if the supplier is an individual producer or a producer group (identity preservation) • Additional information may be shown on the label, depending on the requirements of the trading partner <p>No N/A.</p>	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 5.6	Are packed retail consumer items with the GGN label logo (e.g., containers, bags, nets, shrink wrap) labeled with the minimum information required by the CoC standard?	Packed retail consumer items with the GGN label logo (e.g., containers, bags, nets, shrink wrap) shall be labeled with at least: <ul style="list-style-type: none"> • Supplier's GGN or CoC Number: GGN for the producer or producer group or CoC Number for the supply chain company • Product name or code • Quantity • Traceability (batch) code, or producer's GGN if the supplier is an individual producer or a producer group (identity preservation) • Additional information may be shown on the label, depending on legal and trading partner requirements No N/A.	M	
CoC-SC 5.7	If the company no longer has a valid license agreement for use of the GGN label logo, has the packaging with the GGN label logo been replaced with packaging without the label, and has all off-product label use been discontinued?	If the company no longer has a valid license agreement for use of the GGN label logo, records shall be available of instructions 1) to replace product packaging bearing the GGN label logo with packaging not bearing the label and 2) to discontinue all off-product use of the GGN label logo. A record of destruction or disposal of the remaining packaging with the GGN label logo shall be available.	M	
CoC-SC 5.8	If a buyer indicates that a certain batch will be assigned the GGN label logo, does the company have procedures in place to ensure that only products fulfilling the additional requirements will be used in that batch?	If a buyer indicates that a certain batch will be assigned the GGN label logo, the company shall ensure that only those products fulfilling the additional requirements (e.g., GRASP assessment with full compliance status or other GLOBALG.A.P. standard or add-on status) will be used in the designated batches. NOTE: If the products originate from batches partially fulfilling the additional requirements (e.g., all producers have GLOBALG.A.P. certified status, but some producers are fully compliant with GRASP while others are not) those products cannot be used in those batches assigned the GGN label logo.	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 5.9	Does the company have a procedure in place and records for systematically verifying the expiration date of suppliers' certificates in the GLOBALG.A.P. database before shipping out certified products labeled with the GGN label logo to trade partners?	Output verification is mandatory for products with the GGN label logo. A log or other proof of verification record of the expiration date of suppliers' certificates in the GLOBALG.A.P. database before or during shipping shall be available. Products labeled with the GGN label logo (www.GGN.org) shall not be shipped if the supplier(s)'s certification status changes from valid during production and storage to non-valid at the time of shipment to trade partners.	M	
CoC-SC 6	AQUACULTURE PRODUCTS (IFA V5.2 AQ 11-14)			
	<i>Applicable only to aquaculture products.</i>			
	<i>Harvesting – Method of Harvest/Dispatch</i>			
CoC-SC 6.1	Where this is the responsibility of the company, is harvesting and/or transport undertaken in a way that does not compromise food safety?	Documented harvest and transport hygiene records (and temperature, where applicable) shall be in place.	M	
CoC-SC 6.2	For transportation to the product handling unit (PHU)/processing station, are fish transported in clean conditions (containers or pipes) which prevent contamination during handling? Are lids secured to prevent loss of fish and leakage during handling?	All sites shall be available for inspection. Cleaning records shall be available for inspection. Workers shall be able to demonstrate awareness at interview. No N/A	M	
CoC-SC 6.3	Is the temperature of the product reduced as quickly as possible, post kill, towards the temperature of melting ice?	Working instructions shall ensure appropriate cooling. The temperature records shall be made available for inspection.	M	
CoC-SC 6.4	If ice comes in contact with the product, is it manufactured from potable water according to applicable legislative requirements and transported in hygienic containers?	Records of ice supply, the verification of water quality used in ice manufactured and transport conditions of ice shall be in place.	M	

N°	Control Points	Compliance Criteria	Level	Comments
<i>Labeling/Traceability of Harvested Fish</i>				
CoC-SC 6.5	Is traceability of the harvested fish maintained up to the packing/process line, including packaging when the producer is responsible for packing?	The farm records for all stocks shall be available for inspection. No N/A.	M	
CoC-SC 6.6	Is traceability of a batch of fish possible from the packing case back to the broodstock?	Traceability records through life cycle shall demonstrate that all origins and movements are traceable and be available for inspection.	M	
<i>Holding and Crowding Facilities</i>				
<i>Fish welfare in holding and crowding facilities, including live well boat transfer, and/or prior to slaughter shall be ensured. Minimizing stress of the fish immediately prior to slaughter is necessary to prevent welfare problems and to maintain product quality.</i>				
CoC-SC 6.7	Do all staff responsible for the reception of fish for harvest have appropriate training in fish welfare and the operation of live holding systems?	Staff shall be able to demonstrate competence at interview. Training records and certificates for each member of staff with allocated functions or jobs shall be assessed.	M	
CoC-SC 6.8	Is the condition of the fish monitored regularly prior to transfer to the point of harvest? Is unnecessary stress of the fish avoided?	Records of monitoring shall be assessed.	M	
CoC-SC 6.9	Is the oxygen level of the holding areas controlled and recorded?	Documented records are on the site to demonstrate control of the oxygen level.	m	
CoC-SC 6.10	Are fish holding facilities, including live fish well boats, <i>not</i> contaminated by blood water, factory effluent, and/or spillage or discharge from marine traffic?	Fish holding facilities, including live fish well boats, shall <i>not</i> be contaminated. Disposal records for blood water and effluent shall be in place, and collection facilities themselves visually assessed. The environmental risk assessment (refer to AQ 9.1.3) shall also include fuel spillage risk at fish holding facilities.	M	
<i>Mortality in Holding Facilities, Including Well Boats, and/or prior to Slaughter</i>				
CoC-SC 6.11	Does the company have a plan to monitor and record trends in mortality?	Site plans and records shall be assessed.	m	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 6.12	For the legal disposal of large-scale mortalities, is there a contingency/action plan in place in the event of a severe disease episode or mass mortality?	The contingency/action plan shall be assessed and shall comply with legal requirements where these exist. Staff shall be able to demonstrate awareness at interview.	m	
CoC-SC 6.13	Are all mortalities recorded on removal from the fish holding area, including, where known, the reason(s) for death?	Records for cause of death shall be assessed.	m	
<i>Escapes and Indigenous Species</i>				
CoC-SC 6.14	Are measures in place to ensure there is no escape of farmed stock into the local watercourse, or ingress of indigenous species into the fish holding areas?	Producers shall be able to demonstrate measures to prevent escapes and ingress of indigenous species into the holding areas. The contingency plans and records of all escaped fish for the previous 12 months and confirmation that they have all been reported to the authorities for all sites shall be assessed.	M	
Slaughter Activities				
<i>Stunning and Bleeding</i>				
CoC-SC 6.15	Is there feedback relating to animal welfare from slaughter/processing to the farm?	Health indicators from the exterior such as damage (e.g., scale loss, fin erosion, predator bites, handling scars, lesions resulting from aggression, parasite lesions), deformities and internal signs (e.g., blood pH, flesh color, appearance of viscera, blood spots) shall be noted upon slaughter. There shall be a feedback system of such information in relation to animal health and welfare on farm.	m	
CoC-SC 6.16	Is the slaughter method used specified in the VHP (veterinary health plan) and does it consider fish welfare?	The slaughter method used shall be specified in the VHP and consider fish welfare.	M	
CoC-SC 6.17	Have all harvesting staff received fish welfare training in relation to the slaughter process, including specific training in the stunning and bleeding (when applicable) techniques?	Records of training in fish welfare with regard to the slaughter process, including specific training in the stunning and bleeding (when applicable) techniques shall be in place.	M	

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 6.18	Are fish effectively stunned prior to bleeding?	Fish are stunned using an effective stunning method and immediately become unconscious. Monitoring procedures shall be in place. Where effective automation technology is available percussive stunning and/or electro stunning shall be employed.	M	
CoC-SC 6.19	When fish are bled, is this done immediately after stunning? Is the bleeding effective with a monitoring procedure in place?	Fish are bled immediately after stunning and remain unconscious while they bleed to death. Monitoring procedures shall be in place to verify that no fish show signs of recovery.	M	
<i>Blood Waters</i>				
CoC-SC 6.20	Are all waste blood waters collected and treated before disposal causing no veterinary or environmental threat?	All blood water shall be contained for onward disposal. Treatment shall ensure no veterinary or environmental threat. Check collection and disposal records.	M	
<i>Depuration</i>				
CoC-SC 6.21	Are bivalves molluscs supplied directly to the consumer depurated?	Farms 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 Codex Alimentarius. Records of depuration time and parameters for effective depuration shall be in place.	M	
COC-SC 7	FOOD SAFETY, EXCEEDANCES, AND ANIMAL WELFARE			
<i>Applicable only to aquaculture, livestock post-slaughter (meat), and milk.</i>				
CoC-SC 7.1	Does the company have a food safety system in place at the time of the CoC inspection?	If a site processes products derived from animals coming from certified production of livestock or certified processes of aquaculture, that site shall be certified according to a GFSI recognized food safety system or a Codex-Alimentarius-based HACCP system at the time of the CoC inspection. Only the GFSI recognized food safety certificates shall be displayed on the CoC certificate.	M	
<i>Applicable only to crops and aquaculture <u>without</u> processing.</i>				

N°	Control Points	Compliance Criteria	Level	Comments
CoC-SC 7.2	Does the company have a food safety system in place at the time of the CoC inspection?	The sites may be certified to a GFSI recognized (post-farm) food safety system at the time of the CoC inspection. This shall be displayed on the CoC certificate.	R	
<i>Applicable only to aquaculture, livestock (meat and milk), and crops excluding flowers and ornaments.</i>				
CoC-SC 7.3	Does the company have documented procedures for managing exceeded legal limits (e.g., of pesticide residue)?	If legal limits (e.g., of pesticide residue) have been exceeded, the company shall have documented procedures, up-to-date record 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 certification body.	M	
<i>Applicable only to livestock transport to slaughter.</i>				
CoC-SC 7.4	When livestock sold as certified is transported from farms to the point of slaughter, does the company ensure that the transporters are in possession of a valid transporter authorization allowing the transport of farm animals 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 farms to the point of slaughter shall be in possession of a valid transporter authorization allowing the transport of farm animals 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.	M	
<i>Applicable only to livestock slaughter.</i>				
CoC-SC 7.5	Does the livestock transport company have a valid animal welfare certification at the time of the CoC inspection?	If the livestock is transported for more than 65 km, the transport company shall have a valid animal welfare certification at the time of the CoC inspection. This may be the GLOBALG.A.P. Livestock Transport standard or another proof of compliance with applicable local legislation.	R	
CoC-SC 7.6	Does the company have a valid animal welfare certification at the time of the CoC inspection?	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 CoC inspection.	R	

PART II.

CHAIN OF CUSTODY STANDARD FOR RETAIL STORES AND RESTAURANT CHAIN OPERATORS

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

Nº	Control Points	Compliance Criteria	Level	Comments
CoC- RSRC 1	MANAGEMENT STRUCTURE			
	<i>The company shall operate a management structure that meets the CoC standard requirements.</i>			
CoC- RSRC 1.1	Has the company been granted approval under the terms of a valid license agreement to use the GGN label logo, and does the company operate a management structure that addresses the CoC standard requirements applicable to chain stores or restaurants, including well-documented procedures, processes, systems, and staff training appropriate to the company's size, type, and complexity of activities?	<ul style="list-style-type: none"> a) The company shall have a valid license agreement to use the GGN label logo and shall operate the chain stores or restaurants under the control of a centralized management structure maintained by the head office. b) With each store or restaurant, the company shall have ownership or 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. c) Purchases of products intended to be displayed with the GGN label logo shall be controlled centrally by the company, with specific controls to ensure that in chain stores or restaurants only certified products, supplied by suppliers with GLOBALG.A.P. certification, can be ordered. d) The company shall have a central authority responsible for conformance to the GGN label logo license terms and conditions, managing conformance to the CoC standard, responding to information/document requests, and communicating with trade partners, certification body and the GLOBALG.A.P. Secretariat. e) The company shall document CoC procedures, processes, and systems appropriate to its size, type, and complexity of activities. f) The company's staff shall be competent and trained in meeting the requirements of this standard. <p>No N/A.</p>	M	

Nº	Control Points	Compliance Criteria	Level	Comments
CoC-RSRC 1.2	Does the company undertake an annual self-assessment against the CoC standard?	A self-assessment, covering all registered sites, shall be available. No N/A.	M	
CoC-RSRC 1.3	Does the company perform a documented mass balance calculation?	Documentation of the mass balance calculation shall show that the quantity of products sold with the GGN label logo comes from certified processes and does not exceed the quantity of inputs from certified processes. 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, non-certified, incoming, outgoing, and stored products shall be recorded. A summary of these records shall be maintained so as to facilitate the mass balance verification process. No N/A.	M	
CoC-RSRC 1.4	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?	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. No N/A.	M	
CoC-RSRC 1.5	Does the company keep accurate purchase records for the product to be displayed with a GGN label logo?	For any product displayed with a GGN label logo, the company shall keep and make available relevant purchase records, including but not limited to: purchase orders, purchased products and quantities, purchase contracts, supplier invoices, supplier delivery notes, transporter or shipper details, and incoming goods receipt inspections. No N/A.	M	
CoC-RSRC 1.6	For suppliers delivering certified products directly to stores or restaurants, does the company maintain records of these suppliers and their respective GGN or CoC Number, and does it request that these suppliers print their GGN or CoC Number on delivery notes and sales invoices?	Records, including 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. No N/A.	M	

Nº	Control Points	Compliance Criteria	Level	Comments
CoC-RSRC 1.7	Are records kept for a minimum of one year after the product's 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. No N/A.	M	
COC-RSRC 2	INPUT VERIFICATION			
	<i>The store or restaurant shall conduct input verification.</i>			
CoC-RSRC 2.1	For each certified product to be displayed with the GGN label logo, does the store or 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 logo, the company 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 name(s) of the person(s) responsible. No N/A.	M	
CoC-RSRC 2.2	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 as non-certified and handled as non-certified 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 as non-certified and handled as non-certified products. In case of corrective actions by the supplier resulting in a change of certification status from non-certified back to certified, the change in the product's certification status and handling shall be documented. No N/A.	M	

Nº	Control Points	Compliance Criteria	Level	Comments
CoC- RSRC 2.3	If use of the GGN label logo is subject to additional requirements (e.g., GRASP assessment with full compliance result or any other GLOBALG.A.P. standard or add-on status), does the company demand from their supplier(s) that the supplied certified products fulfill the additional requirements?	<p>A procedure shall be in place to ensure that, if use of the GGN label logo is subject to additional requirements (e.g., GRASP assessment with full compliance status or any other GLOBALG.A.P. standard or add-on status), the company shall demand from their supplier(s) that the supplied certified products comply with the additional requirements. The company shall monitor these additional requirements in the same way as it monitors GLOBALG.A.P. certification. The company shall further ensure that products displayed with the GGN label logo originate from batches fulfilling those additional requirements.</p> <p>NOTE: If the products originate from batches partially fulfilling the additional requirements (e.g., all producers have valid GLOBALG.A.P. certification, but some producers are in full compliance with GRASP while others are not), those products cannot be displayed with the GGN label logo.</p>	M	

Nº	Control Points	Compliance Criteria	Level	Comments
CoC- RSRC 3	TRACEABILITY			
	<i>The company shall operate a traceability system at the stores or at restaurants.</i>			
CoC- RSRC 3.1	Does the store or restaurant use either the product <i>segregation method</i> or the <i>identity preservation method</i> to assure traceability of a retail consumer item sold in bulk with the GGN label logo?	<p>The company may use the <i>segregation method</i> to ensure traceability to more than one certified producer (or producer group); it may use the <i>identity preservation method</i> to ensure traceability to a certified individual producer (or to a certified Option 2 producer group); 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 or producer groups. Physical mixing of certified products coming from different certified producers or producer groups 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 non-certified 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 non-certified products. Products from different certified individual producers (Option 1 or 3) or from certified producer groups (Option 2 or 4) shall not be physically mixed. The identity preservation of products supplied from the producer (Option 1 or 3) or producer group (Option 2 or 4) of origin shall be documented accordingly. The certified product shall be traced back to a certified individual producer (Option 1 or 3) or producer group (Option 2 or 4).</p>	M	
CoC- RSRC 3.2	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?	Inspection 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. No N/A.	M	

Nº	Control Points	Compliance Criteria	Level	Comments
CoC-RSRC 3.3	Is the traceability system able to trace back any certified product sold at the store or restaurant and bearing the GGN label logo through the delivery documents to the identity of the supplier(s) and their GGN or CoC Number?	<p>A trace-back exercise shall demonstrate that the traceability system is able to trace back a certified product sold at the store or restaurant and bearing the GGN label logo, through the delivery documents to the identity of the supplier(s) and their GGN or CoC Number.</p> <p>If a GGN is displayed alongside the GGN label logo or tag on the retail counter, a procedure shall be in place to ensure that the GGN corresponds to the producer (or producer group) of the certified product. No N/A.</p>	M	
CoC-RSRC 3.4	Does the company have documented procedures for managing/initiating the withdrawal/recall from the supply chain or from the market of products with a GGN label logo, and are these procedures tested annually?	<p>The company shall have a product withdrawal/recall plan which 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 certification body, and the methods of reconciling stock.</p> <p>The procedures shall be tested annually to ensure that they are effective. This test shall be recorded. 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 e-mail addresses is sufficient.</p> <p>If the company has a valid GFSI recognized post-farm gate certification at the time of the CoC inspection, this control point is considered as complied with. No N/A.</p>	M	

Nº	Control Points	Compliance Criteria	Level	Comments
COC-RSRC 4	IDENTIFICATION AND DISPLAY			
<i>Certified suppliers and products with the GGN label logo (www.GGN.org) shall be identified.</i>				
CoC-RSRC 4.1	For products sold in bulk, loose, or by piece with the GGN label logo, is a list of certified suppliers communicated to consumers, and are the suppliers 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, certified suppliers shall be correctly identified with either a GGN for product traceability to a single producer or producer group (i.e., identity preservation method) or a CoC Number for product traceability to multiple producers or producer groups (i.e., product segregation method). No N/A.	M	
CoC-RSRC 4.2	For retail consumer items sold in bulk, loose, or by piece at the retail store and where the GGN label logo is displayed at the counter, are the retail consumer items identified with the minimum information requested in the CoC standard?	The label or tag for retail consumer items sold in bulk, loose, or by piece with the GGN label logo displayed at the retail store counter shall contain at least: <ul style="list-style-type: none"> • GGN label logo • Product name. Aquaculture products are identified with the correct product name in accordance with the GLOBALG.A.P. product list. • Additional information such as the price may be shown on display labels or tags with the GGN label logo, depending on legal and trade partner requirements. No N/A.	M	

Nº	Control Points	Compliance Criteria	Level	Comments
CoC-RSRC 4.3	Are already packed retail consumer items (e.g., containers, bags, nets, shrink wrap) displayed with the GGN label logo at the retail counter labeled with the minimum information required in the CoC standard?	<p>All purchased packed retail consumer items (e.g., containers, bags, nets, shrink wrap not labeled with the GGN label logo) displayed with the GGN label logo shall contain the following information on the product label:</p> <ul style="list-style-type: none"> • GGN or CoC Number: GGN for the producer or producer group 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 an individual producer or producer group (i.e., identity preservation method) • Additional information may be shown on display labels or tags with the GGN label logo, depending on legal and trade partner requirements 	M	
COC-RSRC 5	GGN LABEL LOGO			
<i>The GGN label logo license agreement shall be implemented.</i>				
CoC-RSRC 5.1	Does the store or restaurant use only certified products when displaying and selling with the GGN label logo?	A procedure shall be in place to ensure that only certified products are used to display and sell with the GGN label logo. Any additional requirements as detailed in point CoC-RSRC 2.3 shall be considered. No N/A.	M	
CoC-RSRC 5.2	Does the store or restaurant follow the GGN label logo style guide?	A procedure shall be in place to ensure that the store or restaurant correctly follows the GGN label logo style guide. No N/A.	M	
CoC-RSRC 5.3	Does the off-product use of the GGN label logo comply with the terms of the GGN label logo license agreement?	<p>Off-product use refers to the use of the GGN label logo for promotional purposes (e.g., in brochures, flyers, or online). All off-product use of the GGN label logo shall comply with the terms of the GGN label logo license agreement, and samples of such off-product use shall be available for inspection. No N/A.</p>	M	

Nº	Control Points	Compliance Criteria	Level	Comments
CoC-RSRC 5.4	Are written instructions (e.g., FAQs) provided to staff at the counter that is displaying the GGN label logo, so that staff can answer consumers' questions about the GGN label logo?	Written instructions (e.g., FAQs) shall be available to staff at the counter that is displaying the GGN label logo, so that staff can answer consumers' questions about the GGN label logo. Staff's awareness shall be demonstrated through interview. No N/A.	M	
CoC-RSRC 5.5	If the company no longer has a valid license agreement to use the GGN label logo, have the counter display labels or tags with the GGN label logo been replaced with ones without the label?	Record(s) of instructions to replace counter display labels or tags with the GGN label logo with ones without the GGN label logo shall be available for inspection.	M	
CoC-RSRC 5.6	Has off-product use of the GGN label logo been discontinued if the company no longer has a valid license agreement to use the GGN label logo?	Off-product use refers to the use of the GGN label logo for promotional purposes (e.g., in brochures, flyers, or online). Records(s) of instructions to discontinue off-product use of the GGN label logo shall be available for inspection.	M	