GENERAL REGULATIONS

Chain of Custody

ENGLISH VERSION 1.0

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1 INTRODUCCION

Chain of Custody (CoC) certification standard ensures that the product is traceable at all the stages of the supply chain and is kept segregated from products whose production processes are not certified. Traceability extends from the individual producer or primary producer group (on whose farm the GLOBAL S.L.P. certified production processes have been carried out) through the process to the final product labelled with the GLOBAL S.L.P. claim. CoC certification is also mandatory for retail shops and restaurant chains that sell bulk products from GLOBAL S.L.P. certified production processes and that are labelled with the visual elements of the GSN label.

CoC certification is mandatory for licensed companies using the GSN label and is used to identify participants in the supply chain who take legal ownership or physical control of a product from GLOBAL S.L.P. certified production processes.

The use of the GLOBAL S.L.P. claim in business-to-consumer communications is reserved for companies:

- With a valid GLOBAL S.L.P. CoC certificate and a GSN label license.

- A valid GLOBAL S.L.P. CoC certificate or another GLOBAL S.L.P. standard that allows the GSN/CoC number to be printed on the consumer product packaging without the visual elements of the GSN label (e.g. GLOBAL S.L.P. IFM standard for integrated farm management).

The GLOBAL S.L.P. CoC standard is not a food safety standard and does not lead to food safety certification. All parties handling and packaging products from GLOBAL S.L.P. certified production processes must be certified according to a food safety standard. In order for the product and process of all these production sites to be certified under the CoC standard, the sites must be certified under a GFSI recognised food safety standard or an accredited HACCP (Hazard Analysis and Critical Control Point) certification system based on the Codex Alimentarius at the time of the audit.

This document describes the certification requirements for anyone seeking certification to the CoC standard. The aim of this standard is

1) To assure consumers and corporate clients that any product sold as a result of the certification of its production processes by GLOBAL S.L.P. certification is a product within the scope of that certification,

2) to prevent products originating from GLOBAL S.L.P. certified production processes being replaced or diluted with products originating from noncertified production processes, either in error or for the purpose of economic gain (food fraud).

The CoC standard, therefore, applies to the company's processes, not the certification of any product or company itself.

1.1 TERMINOLOGY

a) The term "shall" is used throughout the GLOBAL S.L.P. normative documents to indicate mandatory provisions.

b) The term "certified products" refers to any products originating from an IFM certified production process.

c) The term "certified producer" refers to an individual producer or producer group whose production processes have been certified. Whenever the term "producer" is used, it shall refer to persons (individuals) or businesses (companies, individual producers, or producer groups) that are legally responsible for the production processes and the products of the respective scope, sold by those persons or businesses.

d) The term "certified company" refers to a person (individual) or business who is legally responsible for the processing, packing, trading, transport, slaughtering, or sales of IFM certified products relevant to the scope of the certification, and the subcontractors of these companies.

e) The term "identity preservation method" refers to a particular traceability method. The identity preservation method shall be used whenever the GSN is used as the traceability (batch) code. The identity preservation method prohibits the physical mixing of certified loose products with other certified or noncertified loose products. If products are individually labeled according to the CoC requirements, they may be mixed with individually labeled noncertified products, e.g., one pallet can contain certified and noncertified consumer-ready packed and labeled products. Products originating from different certified individual producers or from certified producer groups shall not be physically mixed, and the identity preservation of products supplied by the initial individual producer or producer group shall be documented accordingly. The certified product shall be traced back to a single certified producer or producer group.

   In the identity preservation method, the company shall label the final product with its CoC Number and/or with the GSN of the initial individual producer or producer group.

   Note: Mixing of products refers to the mixing of loose products and does not include the mixing of different packages of packed and labeled products. For example, sealed and labeled packages of certified products can share a pallet with sealed and identified packages of noncertified products; however, it is not allowed to have certified and noncertified products packed together.

f) The term "site" refers to those production, processing, handling, storage, and final sale facilities (i.e., consumer retail stores or restaurants), as well as administrative/office facilities where certified products are produced, processed, handled, stored, administered/traded, or sold to consumers.

g) The term "processor" refers to the company which treats, transforms, or prepares certified products.

h) The term “processed product” refers to a product whose structure is altered in appearance or form after initial production.

i) The term “segregation method” refers to the traceability method that permits the mixing of certified products originating from a variety of certified producers.

Physical mixing of certified products originating from different certified producers shall be documented accordingly via traceability data liked to a traceability code (e.g., a 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 (batch) code, which links the product to either the CoC Numbers of suppliers or the GSN of an individual producer or a producer group. If only some of the ingredients in a multi-ingredient product are certified, the GSN of the individual producer of the certified product ingredients shall be specified. The different sources of the different ingredients in a multi-ingredient product shall be separately identified. Multi-ingredient retail consumer items including noncertified products are not allowed for the plants scope.

j) The term “logistic unit” refers to methods of packing products together for transport and storage, such as in pallets or bins. Logistic units may take many forms and contain any combination of items packed together for shipment. The brand owner may consider a logistic unit an orderable trade item. Nevertheless, the product name or code may not replace the logistic unit code as the logistic unit identifier for shipment.

k) The term “trade item” refers to any predefined composition of products that are not intended for sale to consumers, such as boxes or crates.

l) The term “retail consumer item” refers to any product sold to consumers. Retail consumer items are sold packed, for example in containers, bags, nets, or shrink wrap, or in bulk, loose, or by piece.

m) Legislation relevant to control points and compliance criteria (CPCCs) more demanding than GLOBAL S.L.P. overrides the GLOBAL S.L.P. requirement. Existence of legislation relevant to a specific CPCC does not change the level of that criterion to Major Must. The CPCC levels shall be kept as defined in the CPCC documents and checklists approved and published on the GLOBAL S.L.P. website.

n) The GSN consists of the “GSN” prefix and a 13-digit number, not including the GLOBAL S.L.P. trademarks. It is unique to each and every producer/other legal entity in the GLOBAL S.L.P. system (GLOBAL S.L.P. Database). The GSN identifies a registered or certified producer that produces and, if applicable, initially packs or processes the product.

o) Accredited Codex Alimentarius–based HACCP system certification refers to a HACCP or other HACCP-system-based certification performed by ISO/IEC 17065 accredited CBs

1.2 TRACEABILITY AND THE CHAIN OF CUSTODY

The chain of custody is limited to the product’s GLOBAL S.L.P. claim and mitigating the risk of certification fraud through input verification, product identification, segregation, etc. The chain of custody makes use of traceability records to identify the supply chain actors who take legal ownership of or physical control over a certified product. In this way, it is possible to establish clear links between the initial certified production process producer and the final product.

1.3 GLOBAL S.L.P. DATABASE AND GLOBAL S.L.P. PORTAL

The GLOBAL S.L.P. database and the public search on the GLOBAL S.L.P. website are the essential tool that contains all certified producers, together with all relevant product information and the certification status of their production, packaging and labelling processes. They work by assigning globally unique identification numbers:

- A GLOBAL S.L.P. Number (GSN) is assigned to each individual registered producer, producer group or producer group member. The GSN identifies the primary certified producer of the product.

- A GLOBAL S.L.P. CoC (Chain of Custody) number is assigned to each registered producer/company in the supply chain. The CoC number identifies the certified companies in the supply chain.

Companies and consumers can use these tools to verify the certification status and effective date of a certificate by using the GSN or CoC number on the certificate and on the final product.

1.4 CERTIFICATION FRAUD AND INTEGRITY ASSURANCE

The CoC standard is an essential tool in combating economically motivated adulteration o mixture which in the GLOBAL S.L.P. context is defined as the intentional substitution or dilution of certified products with noncertified products for the purpose of economic gain. It is designed to manage the risk of accidental or deliberate

- Misidentification of noncertified products as certified products (product substitution)
- Mixing of certified and noncertified products that are then sold as certified (product dilution)

As the standard requires systematic verification of the GLOBAL S.L.P. claim at each transaction point in the supply chain, buyers can be

confident that the products they purchase as certified originate from a certified producer. Whenever the verification of a GLOBAL S.L.P. claim fails to confirm the authenticity or validity of the certificate, a complaint is filed, and the producer/company is investigated.
If a supply chain partner detects a product with a GLOBAL S.L.P. claim that fails the certificate authentication and validity verification in the GLOBAL S.L.P. Database, or when product testing or other credible sources challenge the product's GLOBAL S.L.P. claim, the product's supplier is investigated by the GLOBAL S.L.P. Integrity team or by a designated agent.

1.5 CoC STANDARD PRINCIPLES

The CoC standard principles are:

1. The management structure, which addresses CoC standard requirements, including documented procedures, processes, systems, and staff training appropriate to the size, type, and complexity of activities. A self-assessment and mass balance calculation shall be performed at least annually. Records of suppliers, subcontractors, purchase, storage, and sales shall be kept.
2. The verification of the certification status of direct suppliers of products in the GLOBAL S.L.P. database both at the time of purchase and at the time of sale. This verification of Input and output verification of the direct suppliers' (one step back) certification status in the GLOBAL S.L.P. Database. The verification involves matching the quantities of certified products received with the quantities stated in the delivery documents and purchase orders, as well as filing a complaint to the GLOBAL S.L.P. Secretariat each time a supplier fails the GLOBAL S.L.P. certificate verification for CoC.
3. The traceability system, based on each company's own aims to assure traceability of the final product to one (identity preservation method) or multiple (segregation method) certified producer(s).
4. Identification and labeling of outgoing shipments (e.g., transport documents) and logistic units (e.g., pallets), as well as outgoing trade items (boxes, crates, etc.) and retail consumer items (containers, bags, nets, shrink wrap, etc.).

   Note: Bulk, loose, or itemized retail consumer items with the visual elements of the GSN label shall be identified at the store counter.

The basic concept behind the CoC standard is as follows:

1. Certified inputs from a producer with parallel ownership implies mandatory labelling with the producer's GSN, in addition to the identification of the GSN and the mention of "GLOBAL S.L.P. certified product" on the transaction documents issued by that producer.

   The purchase of these products (inputs) by a trader with physical possession of the product implies the requirement to 1) respect the GSN of the producer on the label and/or 2) indicate on the label the CoC number of the re-labelling trader together with the traceability code; in addition, this trader shall indicate its CoC number and the statement "GLOBAL S.L.P. certified product" on the transaction documents

   If the purchase of these products (inputs) is made by a trader without physical possession of the product, where the original label of the producer is preserved, only the GSN/CoC number of the company that sells the product and the mention "GLOBAL S.L.P. certified product" must be indicated in the transaction documents.

   Whenever the ownership of the product changes, whether or not the new trader has physical possession of the product. The above rules apply to each specific case and to each stage in the chain.

2. Certified inputs from a producer without parallel ownership implies voluntary labelling with the producer's GSN, but mandatory identification of the GSN and the statement 'GLOBAL S.L.P. certified product' on the transaction documents issued by that producer.

   The purchase of such inputs (certified products) by a trader with physical possession of the product generates the obligation to include in the labelling the CoC number of the trading company, in addition to the identification of the GSN and the statement 'GLOBAL S.L.P. certified product' in the transaction documents.

   If the purchase of the inputs is made by a trader without physical possession of the product where the original labelling of the producer is preserved, only the identification of the GSN/CoC number of the company that sells the product and the statement 'GLOBAL S.L.P. certified product' on the transaction documents is mandatory.

   Whenever the ownership of the product changes either because the new trader has physical possession of the product or not. The rules mentioned above shall apply for each specific case and for each stage in the chain.

2 DOCUMENTS

2.1 NORMATIVE DOCUMENTS

The normative documents applicable to the GLOBAL S.L.P. CoC Standard are, in addition to the General CoC Regulation and the corresponding checklists together with their compliance criteria, all those documents that are considered normative documents in the General Regulations of the GLOBAL S.L.P. IFM Standard (e.g. Sublicence Agreement). All these documents concern all applicants who wish to obtain CoC

certification.

2.2 NORMATIVE AND OBLIGATORY DOCUMENT CONTROL

This section shall follow the rules described in the GLOBAL S.L.P. IFM Standard about normative and obligatory document control.

3. CERTIFICACION OPTIONS

Under the CoC standard, the applicant can only apply for certification under one certification option, individual certification, so group certification (option 2) is not allowed under the CoC standard. However, a producer group with IFA certification can obtain a GLOBAL S.L.P. CoC certificate. In this case, the Option 2 certificate holder receives the GLOBAL S.L.P. CoC certificate as a single legal entity. A producer group member cannot apply for CoC certification within its own producer group. Within a producer group, the quality management system (QMS) must ensure traceability and segregation.

Individual certification against the CoC standard can be done under any of these three sub-options:

Option 1 – **single site**

a) This sub-option applies when the applicant is an individual producer or a company with a single administrative site or with a single site carrying out any activity within this scope (processing, handling, storage and sale). This legal entity shall be registered with a unique CoC Number.

Option 1 – multisite

a) This sub-option applies when the applicant is an individual producer or a company with several administrative sites that do not operate as separate legal entities or owns several sites at which any activity within this scope (processing, handling, storage and sale) is carried out and which also do not operate as separate legal entities.

b) In the case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administered shall be assessed internally, and audited and certified by a CB. This applies equally to subcontractors and are therefore part of the scope of the mentioned producer Option 1 - multi-site producer.

Sampling of sites for internal and CB audits is not allowed, except for retail stores and restaurants which may be sampled for CB audits

c) This sub-option applies when all sites will be registered as one legal entity with one CoC Number.

Option 1 - multisite for retail stores and restaurant chains in franchise

a) This sub-option applies when An individual company owns a franchise network of retail stores or restaurants. The individual retail stores and restaurants are sites that function as separate legal entities.

b) In the case of multisite certification, all sites where certified products are sold, processed, handled, stored, or administratively managed shall be inspected internally. This applies equally to any subcontractors of those sites.

c) Sampling of sites for CB audits is allowed in retail stores, distribution centers and restaurants (sampling is not allowed for internal audits of these multisites). The minimum sampling for CB audits shall be based on the following formula:

(i) For initial audits, the square root multiplied by 0.5, rounded upwards, shall be sampled.

(ii) For subsequent audits, the square root multiplied by 0.33, rounded up, shall be sampled.

d) The selection process shall include randomly selected sites and shall ensure that the overall sample selected is representative of the multisite under evaluation and covers the widest possible range in terms of:

(i) Geographical distribution

(ii) Size of the participating sites (number of workers)

(iii) Activities and/or number of products

e) The CB shall avoid visiting the same participating sites in consecutive audits unless there are clear and justified reasons for doing so (e.g., this is deemed necessary for the evaluation of corrective action requests or complaints received about the organization).

f) The central office shall be audited by the CB during each audit in addition to the selected participating sites.

(i) At least 10% of audited sites shall be audited as an unannounced CB audit.

(ii) At least one traceability exercise shall be performed per site.

g) When this sub-option applies all sites will be registered as one legal entity with one CoC Number.

4. REGISTRATION PROCESS

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a) The CoC registration process shall be carried out as any other registration process in the GLOBAL S.L.P. system. The steps described in section 4 of the GLOBAL S.L.P. IFM General Rules and Regulations must be followed.

b) Each CB shall set up and explain to its prospective clients its own detailed fee structure and specify the relevant GLOBAL S.L.P. system participation fee, which the CB pays to the GLOBAL S.L.P. Secretariat for each particular client.

Note: The CB is responsible for the entire audit and certification process, including data handling and registration in the GLOBAL S.L.P. database.

4.1. REGISTRATION

a) The application shall cover at least the information detailed in ANNEX I.2 GLOBAL S.L.P. REGISTRATION DATA REQUIREMENTS of the GLOBAL S.L.P. IFM General Rules and Regulations. By registering, the applicant commits to complying with the obligations listed in the annex, including:

   (i) Compliance with the certification requirements at all times

   (ii) Payment of the applicable fees established by the GLOBAL S.L.P. Secretariat and by the CB

   (iii) Communication to the CB of any registration data updates

   (iv) Compliance with the terms and conditions of the sublicense and certification agreement

   (v) Compliance with the GSN label license agreement, when applicable.

b) This information is used by the GLOBAL S.L.P. Secretariat to supply the applicant with a unique number (CoC Number).

c) The CoC Number consists of the "CoC" prefix and a 13-digit number, not including the GLOBAL S.L.P. logos/trademarks. It is unique to each and every company/other legal entity in the GLOBAL S.L.P. system (GLOBAL S.L.P. Database). If a company already has an assigned GSN, the 13-digit CoC Number will be the same as the GSN. The company shall use the "CoC" prefix when referring to those products not covered by the GLOBAL S.L.P. certificates for IFM

d) The CoC Number identifies a registered or certified CoC company that handles, processes, stores, sells, or trades the certified product post-farm.

e) The CoC Number will be used as a unique identifier for all GLOBAL S.L.P. activities.

f) The GLOBAL S.L.P. claim refers to when a company claims, in communication materials, marketing, or packaging, that a process, service, or product complies with requirements of a GLOBAL S.L.P. standard.

g) Confidentiality, data use, and data release: during the registration process the applicants and the CB shall follow the same requirements of confidentiality data use and data release described in 4.2.1.d) of the GLOBAL S.L.P. IFM General Regulations

h) The duration of the service contract shall be in accordance with the requirements set out in the GLOBAL S.L.P. IFM General Regulations.

i) The restrictions in the registration process on the scope and sites to be registered, including the countries where the legal entity is registered, shall follow the rules defined in the GLOBAL S.L.P. IFM General Regulations.

4.2. REGISTRATION WITH A NEW CB

This section shall follow the instructions defined in section 4.2.2 of the General Regulations of GLOBAL S.L.P. IFM.

4.3. ACCEPTANCE

a) For a registration process to be considered complete, the applicant shall meet all of the following conditions:

   (i) The applicant shall submit to the CB the relevant application, including all necessary information.

   (ii) The applicant shall have formally committed to complying with the obligations indicated above.

   (iii) The applicant shall accept (sign) the sublicense and certification agreement with the CB; or the applicant shall explicitly acknowledge the receipt and the inclusion of the sublicense and certification agreement with their signature on the service contract/agreement with the CB, and the CB shall hand over a copy of the sublicenseand certification agreement to the company/producer.

   (iv) If the GSN label is used, the applicant shall sign the GSN label license agreement.

(v) The applicant shall be assigned a CoC Number (if the applicant hasn't already been assigned one).

b) The registration and acceptance process shall be finalized before a CB audit can take place.

For first registration: The CB shall confirm or deny the acceptance of the application and provide the applicant with the CoC Number within 28 calendar days of receiving the completed application.

4.4. APPLICATION, SCOPE AND LIMITATIONS

a) At the time of the audit by the CB, the sites included in the scope of an applicant for the GLOBAL S.L.P. CoC Standard must be certified according to a GFSI recognized food safety management system or an accredited HACCP certification system based on the Codex Alimentarius (third party certification) in order for the product and process to be certified according to the CoC Standard.

b) The scope of the CoC certification covers only fresh meat, fresh cut meat and milk from GLOBAL S.L.P. IFM certified processes. The slaughter process must be audited by a CB and certified in combination with a GFSI recognized food safety system or an accredited HACCP certification system based on Codex Alimentarius (third party certification). Processed products must be included in the list of GLOBAL S.L.P. approved products upon formal request to the GLOBAL S.L.P Secretariat.

4.4.1 COMPANIES IN THE SCOPE

a) Any party in the supply chain that takes legal ownership and/or physical control over a certified product falls within the scope of this standard.

(i) Companies are considered legal owners if they issue invoices related to the sale of certified products and collect payment for the sale of certified products or are able to demonstrate their financial ownership of certified materials based on other documentation (such as internal transfer slips, contracts, or deeds).

(ii) Physical control occurs when the company may or may not legally own the product but takes physical possession at any point in the supply chain (acts as subcontracted company).

b) All parties in the supply chain that have legal ownership of certified products and perform at least one of the following activities shall be certified according to this standard:

(i) Packing and/or labeling products with a GSN, CoC Number, or the visual elements of the GSN label

(ii) Changing the composition of (e.g., processing, slaughtering, packing different batches and mixing product from different producers) or assigning a new identity to (repacking, relabeling, etc.) the products sold with the GLOBAL S.L.P. claim

(iii) Selling bulk product with the visual elements of the GSN label (such parties include retail stores and restaurants commercializing bulk products with the visual elements of the GSN label)

c) Companies subcontracted to carry out the above activities without legal ownership of the product at any stage (physical control of the product only) are not required to be certified according to this standard, but it is recommended. In order for CBs to schedule audits at all relevant premises (subcontracted storage, labeling, processing sites, etc.), subcontracted activities that fall within the scope of the CoC certification shall be declared during registration or whenever a subcontractor or subcontracted activity is added. Subcontractors shall be audited by CBs according to the risk of misidentification, substitution, or dilution of certified products with noncertified products. Contractors that do not take ownership can choose to become certified if they wish; however, they shall not identify products as certified unless the legal owner of the products has CoC certification.

d) Traders or brokers who trade certified products, including producers who act as traders for certified products that are not produced on the farm and are purchased externally, shall be certified according to this standard. This includes retail store distribution centers when selling products with the GLOBAL S.L.P. claim to other companies outside the retail store network.

(iv) Traders' and brokers' sites shall be classified by CBs according to the risk of misidentification, substitution, or dilution of certified products with noncertified products.

(v) Traders and brokers who engage directly or via subcontractors in (re)processing, (re)packing, and/or (re)labeling of certified products, who engage directly or via subcontractors in storage and handling of bulk products (unpacked, unsealed, or unlabeled), or who engage in storage and handling of packed, but unlabeled products are classified as high-risk.

(vi) Traders and brokers who engage directly or via subcontractors in cross-docking, storage and/or handling exclusively of products that are consumer-ready, packed, and tamperproof are classified as low-risk.

(vii) Traders and brokers who take legal ownership but do not physically handle certified products. are classified as low-risk

(viii) All traders and brokers shall be certified. Those classified as low-risk (i.e., brokers, traders, and exporters that do not store, handle, or relabel the product and have no physical contact with it) are eligible for an administrative audit, which may be conducted remotely.

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e) Any subcontracted livestock transport shall be covered under the slaughterhouse's GLOBAL S.L.P. CoC certificate or under the trader's GLOBAL S.L.P. CoC certificate.

f) In general, all producers/companies trading in unlabeled products and/or labeling/relabeling the product with the GSN and/or with the CoC Number and/or with the visual elements of the GSN label shall be certified according to this standard.

4.4.2 COMPANIES BEYOND THE SCOPE

The following are not subject to CoC CB audits and certification:

a) Production processes which are IFM-certified are beyond the scope of this standard. For example, it is not possible to certify a producer for growing and packing under both IFM and CoC standards.

b) Companies that trade in or handle products originating from certified companies or producers, but do not ever identify or sell these products as certified or with the GLOBAL S.L.P. claim do not require CoC certification. In this case, the chain of custody is discontinued and certified product status cannot be regained at a later date.

c) Retailers who purchase, handle, and sell certified products only in consumer-ready, tamperproof packaging to final consumers do not need CoC certification. Note: This includes wholesaler self-service stores' own distribution sites (e.g., wholesale cash and carry), except when the distribution center acts as a trader in the supply chain, i.e., selling products to other companies outside the retailer network

d) Freight forwarders (including sea or air freight transportation) who do not have ownership of certified products are beyond the scope of this standard. Examples include companies that are responsible for preparation of shipping and export documents, booking cargo space, negotiating freight charges, freight consolidation, cargo insurance, customs clearance, and/or filing insurance claims.

4.5 BURDEN OF PROOF

a) If the GLOBAL S.L.P. Secretariat receives information with potential impact on the GLOBAL S.L.P. claim (mislabeling, false claims, exceeded maximum residue limit, microbial contamination, etc.) of a GLOBAL S.L.P. certified entity, it is the responsibility of the certified entity to refute the information by verifying and providing evidence of compliance with the CoC standard.

In such cases, one of the following applies:

(i) If the CB conducts the investigation, the findings and actions taken will be reported to the GLOBAL S.L.P. Secretariat.

(ii) If the retailer or owner of the product conducts their own investigation, they shall report the findings back to the GLOBAL S.L.P. Secretariat, which in turn will inform the CB to take appropriate action.

GLOBAL S.L.P. will give the certified entity a certain amount of time to do this. If the CB does not deem the evidence supplied by the legal entity adequate, the CB will issue a sanction and will follow the normal sanctioning procedures.

b) Certified entities are required to have full traceability in place, including mass balance, segregation, and any other records needed to verify and check the case. If the evidence includes laboratory analyses, accredited laboratories (ISO/IEC 17025) and independent sampling shall be used.

5. AUDIT PROCESS

In order to achieve certification, a registered company shall conduct a self-assessment and be audited by the chosen CB.

Summary of CB audits to be undertaken before a GLOBAL S.L.P. CoC certificate is issued (initial CB audit) and annually thereafter (subsequent CB audit):

Self-assessment by the company	Entire scope (all registered sites)
Externally by the CB	Annual inspection of entire scope (all registered sites). Note: 10% of certificates must be issued after an unannounced inspection. The rest of inspections can be announced.

5.1. SELF-ASSESSMENTS

a) The self-assessment shall:

(i) Cover all sites, products, and processes under the certification scope and comply with the requirements set in the applicable control points.

(ii) Be carried out under the responsibility of the applicant/certified company.

(iii) Be carried out before the initial CB audit and thereafter at least annually before the announced subsequent CB audits against the complete checklist of all relevant scope(s) and registered sites, with the completed checklist available on the site for review at all times.

(iv) Involve recording comments, evidence, corrective actions, and positive findings for each control point during the self-assessment.

5.2. CB AUDITS

a) The CB audit (announced or unannounced) shall be carried out by a CB auditor (see CB auditor requirements in ANNEX I.4).

b) The CB shall audit the complete checklist (Major Musts, and Recommendations).

c) For all CB audits, any resulting comments, evidence, corrective actions, and positive findings shall be recorded for each control point.

5.2.1. ANNOUNCED CB AUDITS

a) Each company shall undergo one announced CB audit and thereafter one CB audit per year.

b) The CB audit shall cover:

(i) All GLOBAL S.L.P. certified products.

(ii) All production processes and sites dealing with or handling certified products.

Note: For Option 1 multisite retail stores and restaurants and for Option 1 multisite retail stores and restaurant chains in franchise, sampling of the sites applies.

5.2.2. UNANNOUNCED CB AUDITS

The details of the process of unannounced audits carried out by the CB shall follow the rules defined in the GLOBAL S.L.P. IFM General Regulations.

5.3. AUDIT TIMING

The self-assessment and the CB audit shall be conducted at a time when handling, processing, storage, and/or other relevant activities are being carried out. Audit timing shall allow the CB to gain assurance that all products, even if not present at the time of the audit, are handled in compliance with the certification requirements. CB audits during off-season or when activities are minimal shall be avoided.

5.3.1 INITIAL (FIRST) CB AUDITS

a) This section applies to any applicants seeking GLOBAL S.L.P. certification for the first time, to already certified entities changing from one CB to another, and to already certified entities who want to add new types of process to their GLOBAL S.L.P. CoC certificate.

b) No CB audits can take place until the CB has accepted the applicant's registration.

c) In an initial CB audit, each process for the products to be sold as certified shall be completely audited (all applicable control points shall be verified) prior to issuing the GLOBAL S.L.P. CoC certificate.

d) Where the applicant has not yet started to trade in certified products, the system shall be demonstrated by examples, mock recalls etc.

e) The applicant shall have records either from the registration date onwards or for at least three months before the first CB audit takes place, and the CB shall audit these records.

5.3.2 SUBSEQUENT CB AUDITS

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a) GLOBAL S.L.P. certified products and/or related operational records shall be available during the CB audit. GLOBAL S.L.P. certified products and/or product handling facilities shall be audited in operation by a CB at least every three years.

b) The subsequent CB audits can be conducted at any time during an "audit window that extends over a period of eight months: from four months before the original expiry date of the GLOBAL S.L.P. CoC certificate, and (only if the CB extends the certificate validity in the GLOBAL S.L.P. Database) up to four months after the original expiry date of the GLOBAL S.L.P. CoC certificate.

c) There shall be a minimum period of six months between two CB audits for recertification.

5.4. CERTIFICATE SCOPE EXTENSION

a) GLOBAL S.L.P. CoC certified products and/or relevant operational records shall be available during the CB audit. The CB shall audit all processes and all sites in scope (with the exception of sub-option 1 - multi-site for retail and franchise restaurant chains) on an annual basis when in operation. All in-scope products shall be assessed at least every three years.

b) The certified company shall inform the CB about any changes affecting the scope of the GLOBAL S.L.P. CoC certificate.

c) The certified company shall conduct a self-assessment covering the changes.

d) The CB shall evaluate the changes and decide whether a new on-site CB audit is required or not. The CB shall record the changes and, if necessary, update the GLOBAL S.L.P. Database and reissue the GLOBAL S.L.P. CoC certificate.

5.5. OFF-SITE AUDITS FOR LOW-RISK CLASSIFIED COMPANIES

a) An off-site CB audit may be conducted via video conference.

b) The off-site CB audit shall follow the same basic structure as a normal CB audit (i.e., opening meeting, interview, and closing meeting).

c) The CB auditor shall confirm the identity of the auditee.

d) CB auditing via email exchange is not permitted. There shall be two-way verbal communication between the CB auditor and the auditee.

e) A qualified CB auditor shall use the same checklist as in on-site CB audits.

f) The CB auditor shall send an audit plan before the CB audit.

g) The remote CB audit may be split into several sessions. At the end of the session(s), the auditor shall send a report summarizing all findings to the auditee for written confirmation and acknowledgement. Receipt of the report shall be documented.

h) General confidentiality rules apply to the CB concerning all the information/evidence used for the CB audit.

5.6. SUBCONTRACTORS

If a subcontractor holds a GLOBAL S.L.P. certificate for CoC or IFM standards, the company shall ensure that its subcontractor's certificate is valid and covers the full scope and activities to be certified. The CB may accept the subcontractor's GLOBAL S.L.P. CoC or IFM certificate after checking the scope and validity of the certificate.

5.6.1. SUBCONTRACTORS WITH A VALID GLOBAL S.L.P. CERTIFICATE FOR CoC.

If a subcontractor of the GLOBAL S.L.P. certificate holder for CoC also holds an own GLOBAL S.L.P. certificate for CoC or IFM for the same product included on the subcontracted activity, the company shall ensure that their subcontractor's GLOBAL S.L.P. certificate for CoC or IFM is valid and covers all relevant scopes and activities. The CB does not need to audit each subcontracted site, but can accept the subcontractor's CoC or IFM certificate and validate its scope and validity.

5.1.1. SUBCONTRACTORS WITHOUT A VALID GLOBAL S.L.P. CERTIFICATE FOR CoC.

a) Subcontractors shall be included in the certificate holder's GLOBAL S.L.P. CoC certificate.

b) The CoC certificate holder is responsible for monitoring the control points applicable to subcontractor activities covered in the CoC standard, by checking and signing the subcontractor(s)'s assessment for each task and process/activity contracted.

c) As part of the self-assessment, the CoC certificate holder shall assess its subcontractor(s) and shall keep records/evidence of compliance with the applicable control points. This evidence shall be available at the company during CB audits. Subcontractor assessments can be conducted by an internal on-site or off-site assessment, according to the risk defined under the following section.

d) The subcontractor(s) shall agree that CoC-approved CBs are allowed to verify the assessments through on-site audit.

5.1.2. SUBCONTRACTOR CB AUDIT – CB RULES FOR SUBCONTRACTORS

a) Subcontractors shall be audited by CBs according to the risk of misidentification, substitution, or dilution of certified products with noncertified products.

   (i) Subcontractors that engage in (re)processing, (re)packing, and/or (re)labeling of certified products, that engage in storage and handling of bulk products (unpacked, unsealed, or unlabeled), or that engage directly in storage and handling of packed but unlabeled products are classified as high-risk (processing or packing activity, labeling, a warehouse where unpacked or unlabeled products are stored, etc.).

   (ii) Subcontractors that engage in storage and handling of packed, sealed, and labeled products with minimal risk of product mixing or identity modification are classified as low-risk (cross-docking activities, loading and unloading of packed and labeled products, a warehouse where only packed and labeled products are stored, etc.).

b) If the subcontractors do not have a CB audit in the form of an own GLOBAL S.L.P. certificate for CoC or IFM, the CB shall conduct risk-based sampling audits of the subcontractors (on-site CB audit). Subcontractors with high-risk processes related to the scope of CoC ((re)packing, (re)labeling, any type of (re)processing, etc.) shall be audited by a CB every year. The contractor's CoC CB can arrange with a CB in the country/region of the subcontractor to have a local auditor conduct the CB audit of the subcontractor.

   Note: This does not apply to those units, locations, or sites that belong to the CoC-certified company (i.e., are part of the same legal entity as the CoC-certified company). Those units shall be audited by the CB and do not receive their own CoC certification.

c) Subcontractors with low-risk processes (related to the scope of CoC) do not need to be audited every year by the CB. The certified company shall maintain a constantly updated list of the subcontractors classified as low-risk and shall immediately inform the CB of any changes to that list. The CB checks the list of the approved subcontractors during the annual subsequent CB audit, and if there are any doubts, the CB may decide to verify the subcontractors through on-site CB audits.

d) The GLOBAL S.L.P. Integrity Program and the CB reserve the right to randomly check and audit these units.

5.1.3. SUBCONTRACTED TRANSPORT

Subcontractors merely providing transport of products legally belonging to the certificate holder, along with proof that no modification at product and packaging level has occurred, shall be recorded under the subcontracting parties of the certificate holder. Transport subcontractors do not need to implement CoC requirements. A statement from the transport subcontractor(s) that the transported product is not modified at any time shall be kept along with relevant subcontractor records.

Note: Storage sites can be included on the transport exemption where they constitute stopping places as part of transportation or logistic activities. However, if an organization contracts a service provider to store products that have not yet been sold to a customer, this is considered as an extension of the storage site of the organization and is therefore subject to subcontractor risk classification.

6. CERTIFICATION PROCESS

The certification process follows the rules defined in the GLOBAL S.L.P. IFM General Regulations.

6.1 NON-COMPLIANCE AND NON-CONFORMANCE

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

6.2 REQUIREMENTS FOR ACHIEVING AND MAINTAINING CoC CERTIFICATION

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

6.3 CERTIFICATION DECISION

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

6.4 SANCTIONS

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This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

6.4.1 WARNING

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

6.4.2 SUSPENSION

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

6.4.3 CANCELLATION

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

6.5 NOTIFICATION AND APPEALS

The process for notifications and appeals follows the rules defined in the GLOBAL S.L.P. IFM General Regulations.

6.6 SANTIONING OF CBs

The sanction process follows the rules defined in the GLOBAL S.L.P. IFM General Regulations.

6.7 CERTIFICATE AND CERTIFICATION CYCLE

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

6.7.1 GLOBAL S.L.P. CERTIFICATE INFORMATION FOR CoC

a) In the case of an Option 1 multisite company, all production sites where products registered for certification are handled stored, packed or labeled shall be audited by a CB before the certificate may be issued. In this case, even if the CB may internally use one checklist per site, the result shall be combined into a single checklist including all registered sites and summarizing the result for the whole legal entity.

b) On completion of the full CB audit process, a full written CB report shall be produced which summarizes the audit activity undertaken, provides objective evidence and information on how the company complies with the requirements of the standard, and, where applicable, lists any non-compliances and/or non-conformances identified.

c) The audited company's representative shall sign or confirm the CB audit outcome (including at least the date and duration of the CB audit (start and end time), name of the CB auditor, visited sites, facilities, the result in % of compliance for the different levels of control points, and list of findings) during the closing meeting. A documented or electronic confirmation by the company is accepted as equivalent to the auditee's signature. In the case of a digital signature, it shall be a genuine and valid one (i.e., JPG images are not considered valid signatures).

d) Compliance is indicated with a "Yes" (for compliant), "No" (for not compliant), and "N/A" (for not applicable). CPCCs indicated as "No 'N/A'" shall not be answered as "not applicable." In exceptions in which the control points are not applicable, the answer shall be given as "Yes" with a clear justification.

e) The comments shall include details of evidence checked during the CB audit. It is obligatory to provide comments for all the complied, non-compliant, and not applicable Major Must control points, as well as for all non-compliant and not applicable Minor Must control points. This is applicable for CB audits and self-assessments. In the case of self-assessments, comments shall be provided at minimum for all the non-compliant and not applicable Major Musts and Minor Musts.

   Comments and evidence, such as which document(s) were sampled, which workers were interviewed, etc., shall be site- and product-specific and included in the checklist to ensure that all the control points have been properly audited for all applicable sites and products.

f) The CB audit report shall contain the following:

   (i) All data fields marked as required in the GLOBAL S.L.P. Database when made available for CoC

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(ii) Scope of the CB audit according to the GLOBAL S.L.P. registration data requirements

(iii) Calculation of the total applicable Major Must, Minor Must, and Recommendation control points and the % of compliance achieved for each level

(iv) List of non-compliances, non-conformances, and corrective actions agreed on with the company. This includes the relevant control points, the finding details based on objective evidence, the deadline for corrective action, a description of the corrective action agreed on with the producer, a reference to objective evidence of implementation of the corrective action, the evaluation results of the corrective action (open/closed), and the dates of these actions' evaluation.

(v) Conclusion of whether the company is compliant

(vi) Reviewer(s) name (can also be recorded in another document defined in the CB procedures or in the CB certification management software)

(vii) Stage of the CB audit report, i.e., preliminary or final (the CB may further define different CB audit report stages)

g) The CB audit report shall be the basis for the certification decision to issue a certificate.

h) The person performing the technical review of the file shall meet the CB auditor qualifications (Annex I.4 of this Regulation)

i) The date of the certification decision is not a mandatory field of the CB audit report, but shall be recorded in the GLOBAL S.L.P. database.

j) The report of the fully completed CB audit must be made available to the audited company and to the GLOBAL S.L.P. secretariat as a regular practice. It shall also be made available on request to the regulatory authorities and to the accreditation body (once this standard is accreditable). It should not be provided to anyone else unless the company gives written permission for access. The CB reports (CB audit report, corrective action report, etc.) and the completed audit checklist distributed externally shall be write-protected or otherwise controlled to prevent unauthorized modification or tampering prior to distribution.

k) The fully completed audit checklist shall include all applicable control points, requested comments, findings, and the objective evidence of implementation of the corrections and/or corrective action. If any producer requests it, the CB shall provide the full CB audit report including the completed audit checklist within five working days of its completion. It is not obligatory for the CB to send out a report before it has been through internal technical review and a decision has been taken. If the automatically generated CB audit report (including the checklist) is available from the GLOBAL S.L.P. Database, this report shall be used.

l) When made available for CoC, the CB audit report and the completed audit checklist shall be uploaded/transferred to the GLOBAL S.L.P. Database.

m) The CB shall have processes in place to address situations where translations of the reports are requested.

n) The paper certificate issued by a CB shall be comparable to the GLOBAL S.L.P. certificate template for CoC (Annex I.3). The format may be different, but it shall include, at a minimum, the same information.

o) The paper certificate is valid only if it matches the information available in the GLOBAL S.L.P. Database for that unique certified company.

p) The paper certificate issued by a CB shall be in English. Additional language(s) may be added.

q) "Date of certification": date when the CB makes the certification decision after all non- conformances have been closed out (e.g., 3 September 2024)

r) "Valid from":

(i) For initial CB audits: The initial date of validity is the date on which the CB makes its final certification decision (e.g., 3 September 2024).

(ii) For subsequent CB audits: The "valid from" date for subsequent certificates issued shall be one year from the "valid from" date of the original certificate (3 September 2024, 3 September 2025, etc.) unless the certification decision is made after the expiration of the previous certificate. In this case, the "valid from" date shall coincide with the date of the new certification decision.

(iii) The "valid to" date, however, remains the old date of expiration, with the year adjusted (e.g., previous certificate's "valid to" date: 3 September 2024; date of new certification decision: 28 September 2024; new "valid from" date: 28 September 2024; new "valid to" date: 2 September 2025).

s) "Valid to":

(i) For initial CB audits: calculated by "valid from" date plus one year minus one day. The CB may shorten the certification cycle and the validity but cannot prolong it.

(ii) For subsequent CB audits: The validity date for subsequent certificates issued shall always be calculated from the "valid from" date on the original certificate (3 September 2024, 3 September 2025, etc.).

t) Where available, the CB shall use the audit report template issued by the GLOBAL S.L.P. Database.

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6.7.2 EXTENSION OF CERTIFICATE VALIDITY

The process for extension of certificate validity follows the rules defined in the GLOBAL S.L.P. IFM General Regulations.

6.7.3 MAINTAINING CoC CERTIFICATION

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

7. RECOGNIZED CONSULTANTS

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

8. ACRONYMS AND REFERENCES

ACRONYMS

CPCCs	Control points and compliance criteria
IFM	Integrated Farm Assurance
CB	Certification Body
CoC	Chain of Custody
QMS	Quality management system
GFSI	Global Food Safety Initiative
GSN	GLOBAL S.L.P. Number
GLN	Global Location Number (by GS1)

REFERENCE DOCUMENTS

1. GLOBAL S.L.P. general regulations
2. ISO/IEC 17065 Conformity assessment – requeriments for bodies certifying products, processes, and services

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GLOBAL S.L.P. GENERAL REGULATIONS PART I – GENERAL REQUIREMENTS

ANNEX I.1 RULES FOR USE OF THE GLOBAL S.L.P. LOGOS AND TRADEMARKS

All rules stated in the 'Use of GLOBAL S.L.P. Trademarks: Policy and Guidelines' of the GLOBAL S.L.P. IFM General Regulations apply.

1. GSN AND CoC NUMBER

a) The GSN and CoC Number consists of the “GSN” or “CoC”prefix and a 13-digit number, not including the GLOBAL S.L.P. logos/trademarks, and is unique to each and every producer or other legal entity in the GLOBAL S.L.P. system. For this number, the GLOBAL S.L.P. Secretariat uses existing Global Location Numbers (GLNs) issued by and purchased from the local GS1 organization (www.gs1.org). In the absence of such an organization, the GLOBAL S.L.P. Secretariat assigns its own interim GLN.

b) The GSN identifies a registered or certified producer in most of the GLOBAL S.L.P. system standards, but in the specific case of the CoC standard it is the CoC number that identifies the producer; the CoC Number identifies a company registered for or certified to the CoC standard and may be used only as indicated in the CPCCs. The GSN (e.g., GSN_1234567890123) and/or the CoC Number (e.g., CoC_1234567890123) may appear on the product, consumer packaging of the product, or at the point of sale in direct connection with individual certified products. The GSN and/or CoC Number shall never be used to label a product that is not certified.

c) The legal entity that labels the product with a GSN, CoC Number, and/or the visual elements of the GSN label shall be a holder of a valid GLOBAL S.L.P. certificate for CoC or a CoC equivalent standard.

d) The GSN and the CoC Number may be used in (converted into) generic QR code format or GLOBAL S.L.P. QR code logo format.

e) The right of the company to use the GLOBAL S.L.P. claim, including the GLOBAL S.L.P. logos/trademarks, GSN, CoC Number, and/or the QR code logos terminates immediately on termination of the sublicense and certification agreement.

f) If it becomes necessary to identify the company/producer in other contexts or additional applications, the company/producer may apply for their own GLN and report this number to the GLOBAL S.L.P. Secretariat, which shall register the company/producer under their own number and withdraw the GSN and/or the CoC Number accordingly (if requested by the certificate holder)The own GLN then replaces the GSN and/or the CoC Number in the GLOBAL S.L.P. system.

g) Where a GLN already exists and the company’s/producer’s client asks to use this GLN on all products labels, regardless of the certification status, it is not possible to use this GLN as an identifier in the GLOBAL S.L.P. system, so the company must use a CoC number. The GSN/CoC number will be used to identify only products originating from GLOBAL S.L.P. certified production processes, as the exact status will already be reflected in the GLOBAG.A.P. Database. The GLN will not appear in the GLOBAL S.L.P. Database nor on the GLOBAG.A.P. certificate.

2. THE VISUAL ELEMENTS OF THE GSN LABEL

This section follows the rules defined in the General Regulations of GLOBAL S.L.P. IFM.

ANNEX I.2 GLOBAL S.L.P. REGISTRATION DATA REQUIREMENTS

1. TYPES OF MASTER DATA REQUIRED

This section shall follow the requirements described in ANNEX I.2 Registration Data Requirements of GLOBAL S.L.P. IFM Standard.

1.1.1. PRODUCER/COMPANY INFORMATION OF LEGAL ENTITY

This section shall follow the requirements described in ANNEX I.2 Registration Data Requirements of GLOBAL S.L.P. IFM Standard.
Note: The legal entity may be identified by a CoC number or by a GSN, depending on the circumstances of the case

1.1.2. COMPANY

This section shall follow the requirements described in ANNEX I.2 Registration Data Requirements of GLOBAL S.L.P. IFM Standard.

Note: Where reference is made in paragraph (xv) 1.1.1. Company of ANNEX I.2 Registration Data Requirements of the GLOBAL S.L.P. IFM Standard to the need to communicate the GSN if the company has already been assigned one, this requirement applies not only to the existence of a previous GSN but also to a previous CoC number.

1.1.3. CONTACT PERSON (RESPONSIBLE FOR LEGAL ENTITY)

This section shall follow the requirements described in ANNEX I.2 Registration Data Requirements of GLOBAL S.L.P. IFM Standard.

1.2. SITE INFORMATION

The following information shall be given about the company (legal entity) and each site which is to be certified, including not only the company's own sites where any relevant activity is carried out, but also administrative sites and any subcontracted sites for any relevant activity.

1.2.1. SITE(S)

a) Name of site/Company name of site (if subcontracted).
   (i) In case the site is part of a retail store certification and also acts as trader (selling products with the GLOBAL S.L.P. claim to other companies outside the retail network), this information must be clear.
b) Franchised site (separate legal entity) or own site (not separate legal entity, part of the applicant company)
c) Contact details: street address or information available to describe the site location
d) Contact details: postal address
e) Postal code or zip code
f) City
g) Country
h) Phone number (if available)
i) Email address (if available)
j) Sub-GLN(s) (optional, if available)
k) Geospatial coordinate information of the physical location of the product handling unit: Latitude (north–south) and longitude (east–west) in decimal format (2 + 5-digit format, e.g., 10.12345)
l) Products handled on each site, as soon as this information is available in the GLOBAL S.L.P. Database
m) Product labeling done at the site (Yes/No)

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1.3. CoC SCOPE INFORMATION

This information gives more detail on the scope of certification and shall be used – among other purposes – for invoicing. To avoid incorrect invoicing, this information shall be updated as soon as any changes are identified during CB audits.

a) Subcontracted activities

b) Quantity information (Estimated amount (in metric tons) of certified products registered in GLOBAL S.L.P. Database.)

c) Option (Option 1 single site; Option 1 multisite; Option 1 multisite for retail stores and restaurant chains in franchise)

d) CB(s) used for each scope

e) Type of company ("Supply chain" or "retail store and restaurant chain")

f) Product labeling done by company (Yes/No)

g) GSN label licensee (Yes/No)

h) Type of recognised food safety certification the company has (e.g. IFS Food, BRCGS Global Food Safety Standard, HACCP accredited, etc.)

i) Countries of destination

1.4. CHECKLIST INFORMATION

When made available for CoC, the CB audit report and the completed audit checklist shall be uploaded/transferred into the GLOBAL S.L.P. Database

CB logo[1]

CoC Number: CoC_xxxxxxxxxxxxxxxxxxxx[2]
Registration number of company (from CB) /Benchmarked scheme: xxxxxxxxxx[3]

Announced
Unannounced

CERTIFICATE

according to **GLOBAL S.L.P.**

Chain of Custody version xx[4] issued to

Option xxx[5]
Company name, address[6]

Company location[7]

The annex contains details of the product handling or management units included in the scope of this certificate.[8]

The certification body [company name] declares that the company's processes comply with the standard:

GLOBAL S.L.P. Chain of Custody control points and compliance criteria version xx[9]

Scope[10]	GLOBAL S.L.P. certificate number[11]	Product labeling?[12]	Food Safety Certification[13]	GSN label licensee?[14]	Supply chain or retail/ restaurant?[15]	Process description[16]
						Free text field may be used.

The current status of this certificate is always displayed at: *http://www.globalslp.org* [22]

Date of issue (printing date of certificate): xx/xx/xxxx[17]

Valid from: xx/xx/xxxx[18]
Valid to: xx/xx/xxxx[19]

Authorized by[20]

_____

Date of certification decision: xx/xx/xxxx[21]

CB contact data27
Company name, address (incl. Email)

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ANNEX for CoC Number xxxxxxxxxxxxxxx[23]
Date of issue: xx/xx/xxxx[17]

Sites and/or units of the multisite operation[24]

Site name and address[25]	Process description[16]

High-risk subcontractors without own CoC certification[26]

Company name and address[27]	Subcontracted activity[28]

Notes

The certificate shall be in English. You may add a second language in the certificate.

1 The CB logo shall appear on all certificates.

2 The relevant CoC Number shall appear on all certificates.

3 The registration number of an individual producer, producer group, or company, which is assigned by the CB, may appear on all certificates (optional).

4 Please enter “GLOBAL S.L.P. Chain of Custody version 6.x.” Always mention the version used.

5 Please enter the certification option

6 Name and address of the certificate holder shall be printed on the paper certificate.

7 Country in which the company is located.

8 Applicable only on multisite certificates. All sites of the multisite operation shall be listed in the annex. If the certificate holder is a single-site operation, the relevant text and annex can be omitted.

9 “GLOBAL S.L.P. Chain of Custody control points and compliance criteria version xx”. Always indicate the version used.

10 Scope(s) for which the production process is certified shall always be listed.

11 The number that is automatically generated through the GLOBAL S.L.P. database (when available) must be indicated.

12 Indicate by “Yes”/“No” whether on-product labeling or relabeling is done by the company.

13 Indicate under which food safety certification the company is recognised at the time of the audit. (e.g. IFS Food, BRCGS Global Food Safety Standard, HACCP accredited, etc.).

14 Indicate by “Yes”/“No” whether the company is a GSN label licensee.

15 Indicate the type of company and the CPCCs used: “Supply chain” or “retail store/restaurant chain.”

16 Process description: This is a free text field that can be used by the CB to list the species and/or describe the certified process.

17 The date of issue is the printing date of the paper certificate. It shall be added to the first page of the certificate and to the annex, linking the two.

18 The certificate’s “valid from” date defines the beginning of a certification cycle.

19 The certificate’s “valid to” date is the date the certificate expires.

20 The first and the last name of the person who has authorized the certificate. The name shall be written in block letters. This person shall sign the certificate.

21 The date of certification decision shall appear on all certificates. It is the date when the CB decision-making committee makes the certification decision.

22 This note (“The current status of this certificate is always displayed a http://www.globalslp.org”) shall be added to all paper certificates to point out that only a validation in the GLOBAL S.L.P. Database proves the current status of the certificate.

23 The annex (including the CoC Number of the certificate holder) shall be added. If the certificate holder is a single-site operation, the annex is left blank.

24 If the certificate holder is a multisite operation, all sites/units shall be listed in a table.

25 Name(s) and address(es) of the sites/units of the multisite operation shall appear in the list.

26 If the certificate holder uses high-risk subcontractor companies, all sites/units shall be listed in a table.

27 Name(s) and address(es) of the company sites/units of the high-risk subcontractor shall appear in the list.

28 The high-risk subcontracted activity shall appear on the list.

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ANNEX I.4 CB INSPECTOR QUALIFICATIONS

All CB auditors approved for the IFM standard (current version) qualify for becoming CoC auditors.

1. CB AUDITORS NOT YET APPROVED FOR IFM

If the CoC CB auditor does not comply with IFM auditor requirements, previously, the following minimum qualification requirements apply:

a) Have knowledge of the specific processing sector being audited

b) Have general knowledge of traceability

c) Be able to do mass balance analyses

d) Have a minimum of two years of professional experience gained after finishing academic studies related to auditor/control activities

The CB auditor shall undergo one-day practical audit training setting out basic principles of auditing.

2. CB AUDITORS FOR CoC

2.1. FOOD SAFETY TRAINING AND WORK EXPERIENCE

a) The CB auditor shall have training in HACCP principles, either as part of formal qualifications or through the successful completion of formal training based on the principles of Codex Alimentarius. (The formal training may be an internal training by the CB.) The minimum training duration shall be 8 hours. Duration and content shall be indicated on the documentation for this requirement (training certificate, evidence of training included in formal qualifications, etc.).

b) The CB auditor shall have food hygiene training, either as part of formal qualifications or through the successful completion of formal training. (The formal training may be an internal training by the CB.) The formal t duration shall be a minimum of 8 hours. Duration and content shall be indicated on the documentation for this requirement (training certificate, evidence of training included in formal qualifications, etc.). Food hygiene training shall cover: site management, water, fertilizer, equipment, facilities, and personal hygiene, including practical case studies.

c) Training in points a) and b) can be completed together in the same formal training (minimum duration 16 hours).

d) The CB auditor shall have basic veterinary medicine and stockmanship training, including on animal health and welfare issues.

e) The CB auditor shall have basic training and work experience in seafood processing.

f) Formal training mentioned in points a) through d) above can be part of formal qualifications (degree/diploma) or can be separate training completed by the CB auditor. The CB auditor shall present proof of qualification. If training was part of a degree/diploma program, the course syllabus shall be included. If training was completed separately, each shall require a separate certificate showing that the training covered the relevant issues and was completed (including an exam).

3. CB REVIEWERS FOR THE CoC STANDARD

CB reviewers for the CoC standard shall meet the auditor requirements for the Chain of Custody standard, in addition to having a lead auditor course in quality management systems based on the principles of ISO 19011. Reviewers are not required to have completed a minimum number of audits, but are required to meet all other requirements to be qualified as an Auditor.

4. COMMUNICATION SKILLS

a) CB auditors shall have “working language” skills in the corresponding native/working language. This shall include locally used specialist terminology in this working language.

b) Exceptions to this rule shall be approved by the GLOBAL S.L.P. Secretariat in writing before any CB audit can take place.

5. INITIAL TRAINING BEFORE SIGN-OFF BY THE CB

a) The CB shall put in place a training program that is customized to the candidate/trainee.

b) The applicant CB auditor shall take part as an observer in a minimum of one CoC audit. This does not apply if the CB employs an auditor already approved for the currently valid version of the CoC standard.

c) The CB shall witness a minimum of one CoC audit by a CB auditor already qualified for the CoC standard.

d) For the CB's first CoC auditor, the CB's internal procedures apply.

e) As a minimum requirement, the CB shall verify competence in the following topics:

   (i) Ability to carry out traceability checks and mass balance analyses

   (ii) Wherever the control point refers to local legislation, knowledge of the relevant legal requirements

   (iii) Having sufficient communication and behavioral skills to be able to conduct a CB audit

   (iv) "Working language" skills in the corresponding native/working language

f) Additionally, for auditing companies/producers related to aquaculture:

   (i) Technical knowledge in aquaculture

   (ii) Food safety training

6. MAINTAINING COMPETENCY

a) The CB shall have in place a procedure to ensure that every CB auditor conducts at least 5 audits against a GLOBAL S.L.P. standard (at least one against CoC) or 10 GLOBAL S.L.P. audit days annually (at least 2 CoC audit days). These shall be conducted at a number of different companies/producers to maintain scheme knowledge and to stay registered in the GLOBAL S.L.P. Database.

b) Supervised CB audits shall also be acceptable for maintaining competency.

c) Exceptions to this rule, e.g., if the CB does not have a total of five clients, shall be approved in writing by the GLOBAL S.L.P. Secretariat before CB audits can take place.

d) The CB shall carry out a GLOBAL S.L.P. witness audit and/or reaudit for each of its CoC auditors at least once every four years to verify competence.

e) These requirements do not apply to those scheme managers who do not carry out CB audits.

f) If it is not possible to maintain competency from one year to the next, the relevant clause of the GLOBAL S.L.P. general regulations will apply.

7. CB AUDITOR ROTATION

a) The CB shall have procedures in place to ensure that a company is not audited by the same CB auditor over more than 4 consecutive years (regardless of whether the CB audits are announced or unannounced). For example, if CB auditor # 1 audits a company in years 1, 2, 3, and 4, another CB auditor (CB auditor # 2) shall conduct the annual CB audit in year 5. In years 6, 7, 8, and 9, CB auditor # 1 may do four consecutive CB audits again.

b) If the CB has only one auditor in a given country/region, the GLOBAL S.L.P. Secretariat may allow exceptions on a case-by-case basis. The exemption period shall last for 12 months and shall be approved in writing by the GLOBAL S.L.P. Secretariat.

8. KEY TASKS

8.1. GLOBAL S.L.P. CB AUDITS OF COMPANIES

a) CB audits of companies or producers to assess conformance to the CoC standard.

b) Producing timely and accurate reports on such audits in accordance with ISO/IEC 17065 and GLOBAL S.L.P. timelines and system requirements.

8.2. GENERAL

a) Maintaining up-to-date files of all quality policies, procedures, work instructions, and documentation issued by the CB.

b) Keeping abreast of developments, issues, and legislative changes pertaining to the scope in which audits are carried out.

c) Carrying out any other tasks the CB may assign outside the scope of GLOBAL S.L.P., as long as these activities do not contradict the ISO/IEC 17065 principles or any stipulation set by the GLOBAL S.L.P. general regulations.

8.3. INDEPENDENCE AND CONFIDENTIALITY

a) CB auditors are not permitted to carry out any activities which may affect their independence or impartiality, and specifically shall not have carried out consultancy activities in the last two years for the producers they audit. Training is not considered consultancy, provided that, where training relates to management systems or auditing, it is confined to the provision of generic information that is freely available in the public domain, i.e., the trainer cannot provide company-specific solutions.

b) CB auditors shall strictly observe the company's/producer's and the CB's procedures for maintaining the confidentiality of information and records.

VERSION/EDITION UPDATE REGISTER

New Document	Replaced Document	Date of Publication	Description of Modifications
240901_GS_GR_CoC_Rules 1_0_es		1 September 2024	GLOBALG.A.P. Livestock Transition into GLOBAL S.L.P.

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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