Guideline Combined Audit IFS – GLOBALG.A.P. Chain of Custody (CoC)

VERSION 1

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0 Introduction and objectives

IFS and GLOBALG.A.P. have agreed to facilitate combined IFS and GLOBALG.A.P. Chain of Custody (CoC) audits. Under this cooperation, the IFS auditor, with additional GLOBALG.A.P. CoC training, will assess the GLOBALG.A.P. CoC standard v6 in a combined audit with the IFS Food, IFS Wholesale/Cash & Carry, IFS Logistics, or IFS Broker standards.

The aim of this document is to ensure that the GLOBALG.A.P. CoC v6 requirements are assessed against the above IFS standard requirements in a consistent manner and as part of the IFS Audit.

1 Scope of application

The GLOBALG.A.P. CoC standard v6 generally covers cereals/fresh produce, aquaculture and animal products. The cooperation of the IFS -GLOBALG.A.P. CoC combined audits applies to all IFS Food, IFS Broker, IFS Wholesale/Cash & Carry and IFS Logistics certified companies that process and/or trade products from GLOBALG.A.P. certified production processes (e.g. fruit, vegetables, field crops, fish, seafood, meat or milk).

Further details regarding the products to be certified and certification opportunities can be found on the GLOBALG.A.P. website.

2 Combined audit IFS – GLOBALG.A.P. CoC v6

The GLOBALG.A.P. CoC Standard v6 was published in September 2019 and is mandatory for companies handling GLOBALG.A.P. certified products as of 23 September 2020. CoC assessments are possible in combination with IFS Audits from 1 March 2021.

The IFS GLOBALG.A.P. CoC combined audit will be conducted using the relevant IFS Standard checklist and the GLOBALG.A.P. CoC v6 Checklist. For the GLOBALG.A.P. CoC part of the assessment, the GLOBALG.A.P. CoC Framework v6, the CPCCs (Control Points and Compliance Criteria) and the checklist apply. The GLOBALG.A.P. normative documents are available on the GLOBALG.A.P. website in various languages.

This document shows a detailed comparison between the GLOBALG.A.P. CoC v6 requirements and those of IFS Food v7, IFS Broker v3.1, IFS Cash & Carry v2, IFS Wholesale v2 and IFS Logitics v2.3.

Approval process for IFS accredited certification bodies

Certification bodies wishing to offer a combined audit IFS GLOBALG.A.P. CoC must submit an application to GLOBALG.A.P. The process and requirements are as follows:

1. The certification body must be accredited for the respective IFS standard. GLOBALG.A.P. shall receive a copy of the accreditation certificate.

2. The certification body shall comply with GLOBALG.A.P. insurance requirements and send its current insurance to GLOBALG.A.P. for verification.

3. The certification body must register on the GLOBALG.A.P. CB Extranet at: *cb.globalgap.org*

4. GLOBALG.A.P. checks the IFS approval of the auditors of the certification body. For this purpose, the IFS training documents (IFS approval certificates) are required. The certification body has to nominate one person as CoC In-House-Trainer (IHT). This person must attend a GLOBALG.A.P. CoC IHT training and pass the corresponding examination. During this training the complete facts of CoC are explained – control points, general rules and regulations, etc.

   You can find an overview of the training on the GLOBALG.A.P. website.

5. All auditors who want to conduct combination audits IFS - GLOBALG.A.P. CoC have to be approved by GLOBALG.A.P.

6. For details on registration costs and other fees applicable, please contact GLOBALG.A.P.

7. The certification body enters into a contract with GLOBALG.A.P.

8. GLOBALG.A.P. gives the certification body access to the GLOBALG.A.P. database where the certification body registers its auditors. All auditors must complete the GLOBALG.A.P. online tests (OLTs) in the Chain of Custody database before their first audit.

Planning of the combined audit

The site to be assessed must inform its certification body of the wish for an IFS – GLOBALG.A.P. CoC combined audit prior to the IFS Audit. This ensures that sufficient additional time can be scheduled and that the certification body selects an auditor with the appropriate qualifications for the combined audit.

The certification body will request additional information needed for the GLOBALG.A.P. CoC certification process.

The additional requirements checked in the IFS – GLOBALG.A.P. CoC combined audit mean an extension of the audit time, which is to be defined by the certification body.

GLOBALG.A.P. CoC auditor training

Certification bodies must meet the requirements for GLOBALG.A.P. auditor approval. All other aspects regarding the GLOBALG.A.P. auditor training, such as in-house training, training to be performed or exams, is the responsibility of GLOBALG.A.P.

Please contact GLOBALG.A.P. for more information.

Carrying out the combined audits

Compliance with the requirements of the GLOBALG.A.P. CoC is assessed as part of the audit against the requirements of the equivalent IFS Standard, and integrated into the audit plan accordingly. The sample selected for traceability testing (including mass balance) must be a GLOBALG.A.P. registered product.

During the combined audit, detailed notes on compliance with the requirements of the GLOBALG.A.P. checklist are made and used as a basis for completing the GLOBALG.A.P. check-list. These are to be prepared separately from the IFS Audit report.

Please refer to the GLOBALG.A.P. CoC v6 standard for details on the decision to award GLOBALG.A.P. CoC certification, including assessment guidelines, non-conformities and action plans.

Reporting and certificate

A separate IFS and GLOBALG.A.P. audit report will be issued. After a successful combination audit, an IFS Certificate and a separate GLOBALG.A.P. CoC certificate are issued.

The GLOBALG.A.P. CoC certificate is valid for one year and can be audited annually as part of the IFS Standard assessment cycle. The rules for scheduling the next IFS – GLOBALG.A.P. CoC combined audit and maintaining certification are based on the IFS Standard (i.e. announced or unannounced).

IFS Database

The respective audit reports, action plans and certificates shall be uploaded by the certification body to the IFS Database and to the GLOBALG.A.P. database. Certification bodies wil be able to indicate that an IFS – GLOBALG.A.P. CoC combined audit has been carried out in the IFS Database.

ANNEX 1:
Combined audit IFS – GlobalG.A.P. CoC – IFS Food v7

The checklist compares the requirements based on GLOBALG.A.P. CoC v6 against the IFS Food v7 requirements.

1   Governance and commitment

1.2   Corporate structure

IFS Food v7 Requirements	IFS Food v7 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
1.2.1	**KO n° 1: The senior management shall ensure that employees are aware of their responsibilities related to food safety and product quality and that mechanisms are in place to monitor the effectiveness of their operation. Such mechanisms shall be clearly identified and documented.**	**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?
1.2.4	The senior management shall ensure that all processes (documented and undocumented) are known by the relevant personnel and are applied consistently.	**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?
		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?

2   Food safety and quality management system

2.1   Quality management

IFS Food v7 Requirements	IFS Food v7 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
2.1.2.2	All records and documented information shall be kept in accordance with legal and customer requirements. If no such requirements exist, records and documented information shall be kept for a minimum of one year after the specified shelf life. For products which have no shelf life, the duration of record and documented information keeping shall be justified and this justification shall be documented.	**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?

4 Operational processes

4.2 Specifications and formulas

IFS Food v7 Requirements	IFS Food v7 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.2.1.5	Where customers specifically require that products are "free from" certain substances or ingredients (e.g., gluten, pork, etc.), or that certain methods of treatment or production are excluded (e.g., GMOs), verifiable procedures shall be in place.	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?
		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?
		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?
		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?
		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?
		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?

4.4 Purchasing

IFS Food v7 Requirements	IFS Food v7 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.4.1	The company shall control purchasing processes to ensure that all externally sourced raw materials, semi-finished products, packaging materials and services, which have an impact on food safety and product quality, conform to defined requirements.	CoC-SC 1.8	Does the company keep accurate purchase and sales records?

IFS Food v7 Requirements	IFS Food v7 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.4.2	A procedure for the approval and monitoring of suppliers (internal and external) shall be in place. The approval and monitoring procedure shall contain clear assessment criteria, such as: • audits performed by an experienced and competent person • certificates of analyses • supplier reliability • complaints • required performance standards.	CoC-SC 5.9	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?
4.4.4	The purchased raw materials, semi-finished products and packaging materials shall be checked in accordance with the existing specifications and justified by risk assessment for their authenticity. The schedule of these checks shall take into account, at a minimum, defined food safety and product quality risks. The frequency and / or scope of sampling shall be based on: • the impact of the raw materials, semi-finished products and packaging materials on the finished products • the supplier's status.	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?
4.4.5	The purchased services shall be checked in accordance with the existing specifications. The schedule of these checks shall take into account, at a minimum: • the defined service requirements • the supplier's status (according to its assessment) • the impact of the service on the finished products.	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)?
4.4.6	Where a company outsources a part of the product processing and / or primary packaging and/or labelling, the company shall have it documented in the food safety and quality management system and ensure control over such processes to guarantee that food safety and product quality are not compromised. Control of such outsourced processes shall be identified and documented. When required by the customer, there shall be evidence that he has been informed and has agreed to such outsourced process.	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?

4.18 Traceability

IFS Food v7 Requirements	IFS Food v7 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.18.1	**KO N° 7: A traceability system shall be in place that enables the identification of product lots and their relation to batches of raw materials and primary packaging materials. The traceability system shall incorporate all relevant records of:** • **receipt** • **processing** • **use of rework** • **distribution.** **Traceability shall be ensured and documented until delivery to the customer.**	**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?
4.18.2	The traceability system shall be tested on a periodic basis, at least annually and each time the traceability system changes. The test samples shall represent the complexity of the company's product range. The test records shall verify upstream and downstream traceability (from delivered products to raw materials, and vice versa). The traceability of the finished products shall be performed within four (4) hours maximum.	**CoC-SC 1.4**	Does the company perform a documented mass balance calculation?
4.18.7	If required by the customer, identified representative samples of the manufacturing lot or batch number shall be stored appropriately and kept until expiration of the "Use by" or "Best before" date of the finished products and, if necessary, for a determined period beyond this date.	**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?
		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?
		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?

IFS Food v7 Requirements	IFS Food v7 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.18.7	If required by the customer, identified representative samples of the manufacturing lot or batch number shall be stored appropriately and kept until expiration of the "Use by" or "Best before" date of the finished products and, if necessary, for a determined period beyond this date.	CoC-SC 2.4	Does the company have a procedure for systematically filing a complaint with the GLOBALG.A.P. Secretariat (*https://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?
		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?
		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?
		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?
		CoC-SC 3.2	Does the company's traceability system comply with the requirements of the CoC standard?
		CoC-SC 4.1	Does the company use the "GGN" and/or "CoC" prefix(es) correctly, as per the requirements of the CoC standard?
		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?
		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?
		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?
		CoC-SC 4.5	Are the trade items (e.g., boxes, crates) labeled with the minimum information required in the CoC standard?
		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?

5 Measurements, analysis, improvements

5.1 Internal audits

IFS Food v7 Requirements	IFS Food v7 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.1.1	**KO N° 8: The company shall have an effective internal audit program in place which shall cover at least all the requirements of the IFS Standard.** **Scope and frequency of internal audits shall be determined and justified by risk assessment.** **The internal audit program shall also apply to off-site storage locations owned or rented by the company.**	**CoC-SC 1.3**	Does the company undertake an annual self-assessment of conformance to this standard?

5.8 Management of complaints from authorities and customers

5.8.1	A procedure shall be in place for the management of product complaints and of any written notification from the competent authorities — within the framework of official controls —, any ordering action or measure to be taken when non-compliance is identified.	**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?

5.9 Management of incidents, product withdrawal, product recall

5.9.1	A procedure shall be implemented and maintained for the management of incidents and potential emergency situations with an impact on food safety, quality and legality. It shall include, at a minimum: • the decision-making process • the nomination of a person, authorised by the company and permanently available, to initiate the incident management process in a timely manner • the nomination and training of an incident management team • an up to date alert contact list including customer information, sources of legal advice, contacts availability • a communication plan including authorities.	**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?

ANNEX 2:
Combined audit IFS – GlobalG.A.P. CoC – IFS Broker v3.1

The checklist compares the requirements based on GLOBALG.A.P. CoC v6 against the IFS Broker v3.1 requirements.

1 Senior management responsibility

1.2 Corporate structure

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
1.2.1	An organisation chart shall be available showing clearly the structure of the company. Competences and responsibilities, including deputation of responsibility, shall be clearly laid down.	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?
1.2.2	**KO n° 1: Senior management shall be responsible for the corporate policy and objectives. The** **necessary resources and investments to ensure the product safety, legality and quality according to customer agreements and specifications shall be provided.**	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?
1.2.7	The senior management shall ensure that the certification body is informed of changes that may affect its ability to conform with the certification requirements, but as a minimum: • the legal entity name, • office location change, • In case of product recall, the senior management shall ensure that the certification body is informed within three (3) working days.	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?

2 Quality and product safety management system

2.2 Record keeping

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
2.2.3	All records shall be kept in accordance with legal and customer requirements. If no such requirements exist, records shall be kept for a minimum of one year after the specified shelf life. For products which have no shelf life, the duration of record keeping shall be justified. This justification shall be documented.	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?

4 Planning and service process

4.1 Contract agreement

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.1.3	Specific quality and safety requirements of customers shall be communicated to and understood by the supplier and /or service provider of the company.	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?

4.2 Specifications

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.2.2	**KO n° 3: The customer specification shall be complied with.**	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?
		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?
		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?
		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?

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.2.3	Where required by customers, product specifications shall be formally agreed.	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?
		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?
		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?
		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?
4.2.4	There shall be a procedure for the creation, the modification and approval of specifications for all products and parts of the services, which shall include the preliminary acceptance of the customer, if specifications have been agreed with customers.	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?
		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?
		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?

4.3 Product development / Product modification / Modification of production processes

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.3.1	A procedure for product development shall be in place for all own and customer branded products, which takes into account the risk assessment principles (and HACCP system, according to Codex Alimentarius, for food products), including food fraud. The procedure shall ensure that all existing and new products are designed to meet legal and customer requirements. This procedure shall also take into account patents, if applicable.	CoC-SC 4.1	Does the company use the "GGN" and/or "CoC" prefix(es) correctly, as per the requirements of the CoC standard?

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.3.5	A process shall be in place to ensure that labelling of all existing and new products complies with current legislation of destination country and customer requirements.	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?

4.4 Purchasing

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.4.1	The company shall control purchasing processes to ensure that all sourced products and services, which have an impact on product safety and quality, conform to requirements.	CoC-SC 1.8	Does the company keep accurate purchase and sales records?
4.4.2	There shall be a procedure for approval and monitoring of suppliers and service providers.	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)?
		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?
		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?
4.4.3	The approval and monitoring procedure shall be based on hazard analysis and assessment of associated risks and shall contain clear assessment criteria such as: • audits, • certificates of analysis, • supplier reliability and complaints (including fraud), as well as • required performance standards	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?

4.5   Product packaging

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.5.1	The company shall ensure that for imported products, own or customer branded products, detailed specifications exist for all packaging material which could have an influence on the product. They shall comply with the applicable legislation of the destination country(ies) of the product.	CoC-SC 4.5	Are the trade items (e.g., boxes, crates) labeled with the minimum information required in the CoC standard?
		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?

4.6   Traceability (including GMOs and allergens)

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.6.1	**KO n° 4: A traceability system shall be in place which enables the full identification of products.** **The labelling of the products shall be carried out in a way to allow full traceability. The traceability system and related records, shall ensure full traceability from the supplier (defined to batch quantity) until the delivery to the customer.**	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?
		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?
4.6.2	The traceability system shall be tested on a regular basis — at least annually and each time the traceability system changes. The test shall verify upstream and downstream traceability (from the Broker's supplier through to their customer (including logistics service providers), and vice versa), including quantity checking. Test results shall be recorded.	CoC-SC 1.4	Does the company perform a documented mass balance calculation?
4.6.3	For own and customer branded products, the traceability system shall ensure full traceability from the last processing step of the product until delivery to the customer.	CoC-SC 3.2	Does the company's traceability system comply with the requirements of the CoC standard?

5   Measurements, analysis, improvements

5.1   Internal audits

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.1.2	Internal audits of activities which are critical to product safety, specifications and own services shall be carried out at least once a year.	CoC-SC 1.3	Does the company undertake an annual self-assessment of conformance to this standard?

5.4 Management of complaints from authorities and customers

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.4.1	A system shall be in place for the management of product complaints.	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?
		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?
5.4.4	The results of complaint data analysis shall be made known to the relevant responsible persons and to the senior management.	CoC-SC 2.4	Does the company have a procedure for systematically filing a complaint with the GLOBALG.A.P. Secretariat (*https://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?

5.5 Management of incidents, product withdrawal, product recall

IFS Broker v3.1 Requirements	IFS Broker v3.1 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.5.1	A documented procedure shall be defined for management of incidents and of potential emergency situations that impact product safety, legality and quality. This procedure shall be implemented and maintained. This includes as a minimum: • the nomination and training of a crisis team, • an alert contact list, • sources of legal advice (if necessary), • contacts availability, • customer information, and • a communication plan, including information to consumers, if necessary.	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?

ANNEX 3:
Combined audit IFS – GLOBALG.A.P. CoC – IFS Cash & Carry v2

The checklist compares the requirements based on GLOBALG.A.P. CoC v6 against the IFS Cash & Carry v2 requirements.

1 Senior management responsibility

1.2 Corporate structure and corporate processes

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
1.2.1	An organisation chart shall be available showing the structure incl. functions of the company.	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?
1.2.7	The company shall have a system in place to keep informed about the relevant and current legal requirements regarding quality and safety of the handled products.	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?
		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?

2 Quality and product safety management system

2.1.2 Record keeping

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
2.1.2.3	All records shall be kept in accordance with legal requirements and at least for one year.	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?

4 Core processes

4.2 Specifications

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.2.2	Specifications shall be available and in place for all customer and own branded products and finished products which are treated on-site. They shall be up to date, unambiguous and in compliance with legal requirements and with customer requirements.	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?
		CoC-SC 4.1	Does the company use the "GGN" and/or "CoC" prefix(es) correctly, as per the requirements of the CoC standard?

4.4 Product development / product changes / changes of associated processes

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.4.1	A procedure for product development shall be in place which incorporates the hazard analysis principles in accordance with the HACCP system.	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?

4.5 Purchase

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.5.1	The company shall control purchasing processes to ensure that all externally sourced materials and services, which have an impact on product safety and quality, conform to requirements.	CoC-SC 1.8	Does the company keep accurate purchase and sales records?
4.5.3	There shall be a procedure for approval and monitoring of suppliers and service providers (internal and external), based on a hazard analysis and assessment of associated risks.	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 r isk assessment defined in the General Regulations of the CoC standard (section 5.5.3)?
		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?

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.5.3	There shall be a procedure for approval and monitoring of suppliers and service providers (internal and external), based on a hazard analysis and assessment of associated risks.	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?
		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?
		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?

4.6   Product packaging

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.6.3	The labelling/declaration complies with current legal requirements and, if applicable, customer requirements.	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?
		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?
		CoC-SC 4.5	Are the trade items (e.g., boxes, crates) labeled with the minimum information required in the CoC standard?
		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?
		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?
		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?
		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?

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.6.3	The labelling / declaration complies with current legal requirements and, if applicable, customer requirements.	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?
		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?

4.14   Receipt, outgoing of goods and storage

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.14.1.1	Procedures for the receipt of goods shall be established, effectively implemented and communicated to all relevant personnel. These procedures shall include general checking criteria (e.g. identification of products and vehicle), rules for goods acceptance, goods rejection and acceptance under reserve. Deviations from checking criteria shall be acted upon and documented. If specific product checks are requested by the customer, they shall be implemented and known by the responsible employees.	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?
4.14.1.3	All products shall be clearly identifiable at all times. Storage, removal and handling of the products shall be in accordance with customer requirements.	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?

4.18   Traceability

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.18.1	**KO N° 6: A traceability system is in place which ensures a complete traceability of all handled products and primary packaging from supplier till delivery to the customer through associated records.**	CoC-SC 3.2	Does the company's traceability system comply with the requirements of the CoC standard?
		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?
		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?

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.18.2	The traceability system shall be tested on a periodic basis — at least annually and each time traceability system changes.	CoC-SC 1.4	Does the company perform a documented mass balance calculation?
4.18.4	Labelling of semi-finished or finished product lots enables a definite identification of products. The shelf life (e.g., best before date) of the labelled goods shall be calculated from the production batch.	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?

5 Measurements, analysis, improvements

5.1 Internal audits

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.1.2	Internal audits of activities which are critical to product safety and product specifications shall be carried out at least once a year.	CoC-SC 1.3	Does the company undertake an annual self-assessment of conformance to this standard?

5.8 Management of objections / complaints from authorities and customers

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.8.1	A system for the management of product objections and complaints shall be in place.	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?
5.8.2	All objections/complaints shall be assessed by competent staff. Where it is justified appropriate actions shall be taken immediately, if necessary.	CoC-SC 2.4	Does the company have a procedure for systematically filing a complaint with the GLOBALG.A.P. Secretariat (*https://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?

IFS C & C v2 Requirements	IFS Cash & Carry v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.8.3	Objections/complaints shall be analysed with a view to implement preventive actions which avoid possible recurrence.	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?

5.9 Incident and crisis management

5.9.4	**KO N° 8: There shall be an effective procedure for the withdrawal and recall of all products. It ensures that involved customers are informed, as soon as possible.**	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?

ANNEX 4:
Combined audit IFS – GLOBALG.A.P. CoC
IFS Wholesale v2

The checklist compares the requirements based on GLOBALG.A.P. CoC v6 against the IFS Wholesale v2 requirements.

1   Senior management responsibility

1.2   Corporate structure and corporate processes

IFS Wholesale v2 Requirements	IFS Wholesale v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
1.2.1	An organisation chart shall be available showing the structure incl. functions of the company.	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?
1.2.7	The company shall have a system in place to keep informed about the relevant and current legal requirements regarding quality and safety of the handled products.	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?
		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?

2   Quality and product safety management system

2.1.2 Record keeping

IFS Wholesale v2 Requirements	IFS Wholesale v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
2.1.2.3	All records shall be kept in accordance with legal requirements and at least for one year.	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?

4   Core processes

4.2   Specifications

IFS Wholesale v2 Requirements	IFS Wholesale v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.2.2	Specifications shall be available and in place for all customer and own branded products and finished products which are treated on-site. They shall be up to date, unambiguous and in compliance with legal requirements and with customer requirements.	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?
		CoC-SC 4.1	Does the company use the "GGN" and/or "CoC" prefix(es) correctly, as per the requirements of the CoC standard?

4.4   Purchase

IFS Wholesale v2 Requirements	IFS Wholesale v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.4.1	The company shall control purchasing processes to ensure that all externally sourced materials and services, which have an impact on product safety and quality, conform to requirements.	CoC-SC 1.8	Does the company keep accurate purchase and sales records?
4.4.3	There shall be a procedure for approval and monitoring of suppliers and service providers (internal and external), based on a hazard analysis and assessment of associated risks.	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)?
		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?
		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?
		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?

4.5 Product packaging

IFS Wholesale v2 Requirements	IFS Wholesale v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.5.3	The labelling / declaration complies with current legal requirements and, if applicable, customer requirements.	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?
		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?
		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?
		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?
		CoC-SC 4.5	Are the trade items (e.g., boxes, crates) labeled with the minimum information required in the CoC standard?
		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?
		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?
		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?
		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?
		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?
		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?

4.13   Receipt, outgoing of goods and storage

IFS Wholesale v2 Requirements	IFS Wholesale v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.13.1.1	Procedures for the receipt of goods shall be established, effectively implemented and communicated to all relevant personnel. These procedures shall include general checking criteria (e.g., identification of products and vehicle), rules for goods acceptance, goods rejection and acceptance under reserve. Deviations from checking criteria shall be acted upon and documented. If specific product checks are requested by the customer, they shall be implemented and known by the responsible employees.	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?
4.13.1.3	All products shall be clearly identifiable at all times. Storage, removal and handling of the products shall be in accordance with customer requirements.	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?

4.17   Traceability

IFS Wholesale v2 Requirements	IFS Wholesale v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.17.1	**KO N° 5: A traceability system is in place which ensures a complete traceability of all handled products and primary packaging from supplier till delivery to the customer through associated records.**	CoC-SC 3.2	Does the company's traceability system comply with the requirements of the CoC standard?
		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?
		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?
4.17.2	The traceability system shall be tested on a periodic basis — at least annually and each time traceability system changes.	CoC-SC 1.4	Does the company perform a documented mass balance calculation?
4.17.4	Labelling of semi-finished or finished product lots enables a definite identification of products. The shelf life (e.g., best before date) of the labelled goods shall be calculated from the production batch.	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?

5 Measurements, analysis and improvements

5.1 Internal audits

IFS Wholesale v2 Requirements	IFS Wholesale v2 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.1.2	Internal audits of activities which are critical to product safety and product specifications shall be carried out at least once a year.	CoC-SC 1.3	Does the company undertake an annual self-assessment of conformance to this standard?

5.8 Management of objections/complaints from authorities and customers

5.8.1	A system for the management of product objections and complaints shall be in place.	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?
5.8.2	All objections / complaints shall be assessed by competent staff. Where it is justified appropriate actions shall be taken immediately, if necessary.	CoC-SC 2.4	Does the company have a procedure for systematically filing a complaint with the GLOBALG.A.P. Secretariat (*https://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?
5.8.3	Objections / complaints shall be analysed with a view to implement preventive actions which avoid possible recurrence	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?

5.9 Incident- and crisis management

5.9.4	**KO N° 7: There shall be an effective procedure for the withdrawal and recall of all products. It ensures that involved customers are informed, as soon as possible.**	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?

ANNEX 5:
Combined audit IFS – GlobalG.A.P. CoC
IFS Logistics v2.3

The checklist compares the requirements based on GLOBALG.A.P. CoC v6 against the IFS Logistics v2.3 requirements.

1   Senior management responsibility

1.2   Corporate structure

IFS Logistics v2.3 Requirements	IFS Logistics v2.3 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
1.2.2	The department responsible for quality and product safety management and / or the IFS Logistics representative shall have a direct reporting relationship to the senior management.	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?
1.2.7	**KO N° 1: Senior management shall be responsible for the corporate policy and objectives. The necessary resources and investments to ensure the product safety, legality and quality according to client agreements and specifications shall be provided.**	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?
		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?

2   Quality and product safety management system

2.5   Record keeping

IFS Logistics v2.3 Requirements	IFS Logistics v2.3 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
2.5.3	All records shall be kept in accordance with legal requirements and at least for one year. Record keeping shall be based on a hazard analysis and associated risks. The records shall be securely stored and easily accessible.	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?

4 Realisation of the service

4.1 General requirements for storage and transport

IFS Logistics v2.3 Requirements	IFS Logistics v2.3 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.1.1.1	The requirements and/or specifications which are defined between the contract partners shall be established, reviewed with regard to their acceptability and agreed upon before a supply agreement is concluded. All clauses related to quality and product safety shall be known and communicated to each relevant department.	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?
		CoC-SC 4.1	Does the company use the "GGN" and/or "CoC" prefix(es) correctly, as per the requirements of the CoC standard?
		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?
		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?
4.1.2.1	There shall be a procedure for approval and monitoring of suppliers (internal and external) and service providers. The monitoring procedure shall include risk-based assessment criteria such as supplier reliability, complaints, audits, certificates of compliance as well as required performance standards.	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?
		CoC-SC 1.8	Does the company keep accurate purchase and sales records?
		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?

IFS Logistics v2.3 Requirements	IFS Logistics v2.3 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.1.2.3	A current list of approved suppliers and service providers shall be available to the personnel responsible for the management of service providers and suppliers.	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)?
		CoC-SC 5.9	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?
4.1.3.1	The company shall have a procedure to avoid any contamination (also cross-contamination caused by incompatible products in the same transport unit or storage room). A contamination by emissions, exhaust fumes, smell, foreign bodies, packaging material and any other contaminants shall be avoided.	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?
		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?
4.1.3.2	If the customer requirements include the requirement for the absence of defined ingredients (e.g. GMO, allergens), measures shall be in place to prevent cross contamination of unpacked products.	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?
4.1.4.1	A traceability system shall be in place and maintained, which is appropriate for the company and the products they handle.	CoC-SC 3.2	Does the company's traceability system comply with the requirements of the CoC standard?
4.1.4.2	The system shall ensure that the goods (incl. quantity) are identifiable within the defined logistical supply chain at all time. Furthermore, this system shall enable clear identification of every person and/or logistics company from which they receive the goods and to which company the goods are delivered to.	CoC-SC 1.4	Does the company perform a documented mass balance calculation?
		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?
		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?

IFS Logistics v2.3 Requirements	IFS Logistics v2.3 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.1.4.2	The system shall ensure that the goods (incl. quantity) are identifiable within the defined logistical supply chain at all time. Furthermore, this system shall enable clear identification of every person and/or logistics company from which they receive the goods and to which company the goods are delivered to.	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?
		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?
		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?
		CoC-SC 4.5	Are the trade items (e.g., boxes, crates) labeled with the minimum information required in the CoC standard?
		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?

4.2 Storage and handling

IFS Logistics v2.3 Requirements	IFS Logistics v2.3 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
4.2.4.1	Procedures for the receipt of goods shall be established, effectively implemented and communicated to all relevant personnel. These procedures shall include general checking criteria (e.g. identification of products and vehicle), rules for goods acceptance, goods rejection and qualified acceptance. Non-conformities shall be acted upon and documented. If specific product checks are requested by the customer, they shall be implemented and known by the responsible employees.	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?
		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?
		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?
		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?
		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?

5. Measurements, analysis, improvements

5.1 Internal audits

IFS Logistics v2.3 Requirements	IFS Logistics v2.3 Control Points	GLOBALG.A.P. CoC v6 Requirements	GLOBALG.A.P. CoC v6 Control Points
5.1.2	Internal audits of activities which are critical to product safety shall be carried out at least once a year.	CoC-SC 1.3	Does the company undertake an annual self-assessment of conformance to this standard?

5.4 Management of complaints from authorities and customers

5.4.1	A system shall be in place for the management of product complaints.	CoC-SC 2.4	Does the company have a procedure for systematically filing a complaint with the GLOBALG.A.P. Secretariat (*https://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?

5.5 Management of non-conformities and nonconforming products

5.5.1	**KO N° 5: An effective procedure shall be in place for the management of all non-conforming products.**	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?

5.6 Recall and withdrawal

5.6.1	There shall be an effective procedure for the withdrawal and / or recall of all products. This procedure shall include a clear assignment of responsibilities.	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?

ANNEX 6

Additional GLOBALG.A.P. CoC v6 requirements specifically for aquaculture, livestock (meat and dairy) and plants other than flowers and ornamentals – <u>All relevant IFS standards</u>

6   Aquaculture products

GLOBALG.A.P. CoC v6 Requirement	GLOBALG.A.P. CoC v6 Control Points	IFS Food v7 Requirement	IFS Broker v3.1 Requirement	IFS Wholesale v2 Requirement	IFS Logistics v2.3 Requirement	IFS C&C v2 Requirement
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?	2.2.1.1	2.2.3	4.1.3	2.3.2	4.1.3
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?	2.2.1.1	2.2.3	4.1.3	4.2.2.1	4.1.3
CoC-SC 6.3	Is the temperature of the product reduced as quickly as possible, post kill, towards the temperature of melting ice?	2.2.3.8.4	2.3.2	2.2.3.1	4.1.1.1	2.2.3.1
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?	4.9.9.1	5.2.1	4.7.2.1	4.1.6.5	4.8.2.1
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?	5.9.1	5.5.1	5.9.4	4.1.4.3	5.9.4
CoC-SC 6.6	Is traceability of a batch of fish possible from the packing case back to the broodstock?	5.9.1	5.5.1	5.9.4	4.1.4.1	5.9.4
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?	5.9.1	2.3.2	3.3.1	2.3.2	3.3.1
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?	5.9.1	2.3.2	4.1.3	2.3.2	4.1.3

GLOBALG.A.P. CoC v6 Requirement	GLOBALG.A.P. CoC v6 Control Points	IFS Food v7 Requirement	IFS Broker v3.1 Requirement	IFS Wholesale v2 Requirement	IFS Logistics v2.3 Requirement	IFS C&C v2 Requirement
CoC-SC 6.9	Is the oxygen level of the holding areas controlled and recorded?	5.9.1	2.3.2	4.1.3	2.3.2	4.1.3
CoC-SC 6.10	Are fish holding facilities, including live fish well boats, not contaminated by blood water, factory effluent, and/or spillage or discharge from marine traffic?	5.9.1	2.3.2	4.1.3	2.3.2	4.1.3
CoC-SC 6.11	Does the company have a plan to monitor and record trends in mortality?	5.9.1	2.3.2	4.1.3	2.3.2	4.1.3
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?	5.9.1	2.3.2	4.1.3	2.3.2	4.1.3
CoC-SC 6.13	Are all mortalities recorded on removal from the fish holding area, including, where known, the reason(s) for death?	5.9.1	2.3.2	4.1.3	2.3.2	4.1.3
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?	5.9.1	2.3.2	4.1.3	2.3.2	4.1.3
CoC-SC 6.15	Is there feedback relating to animal welfare from slaughter/processing to the farm?	2.2.1.3	2.3.2	4.1.3	4.1.1.1	4.1.3
CoC-SC 6.16	Is the slaughter method used specified in the VHP (veterinary health plan) and does it consider fish welfare?	2.2.1.3	2.3.2	4.1.3	4.1.1.1	4.1.3
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?	2.2.1.3	2.3.2	4.1.3	4.1.1.1	4.1.3
CoC-SC 6.18	Are fish effectively stunned prior to bleeding?	2.2.1.3	2.3.2	4.1.3	4.1.1.1	4.1.3
CoC-SC 6.19	When fish are bled, is this done immediately after stunning? Is the bleeding effective with a monitoring procedure in place?	2.2.1.3	2.3.2	4.1.3	4.1.1.1	4.1.3
CoC-SC 6.20	Are all waste blood waters collected and treated before disposal causing no veterinary or environmental threat?	2.2.1.3	2.3.2	4.1.3	4.1.1.1	4.1.3
CoC-SC 6.21	Are bivalves molluscs supplied directly to the consumer depurated?	2.2.1.3	2.3.2	4.1.3	4.1.1.1	4.1.3

7 Food safety, exceedances, and animal welfare

GLOBALG.A.P. CoC v6 Requirement	GLOBALG.A.P. CoC v6 Control Points	IFS Food v7 Requirement	IFS Broker v3.1 Requirement	IFS Wholesale v2 Requirement	IFS Logistics v2.3 Requirement	IFS C&C v2 Requirement
CoC-SC 7.1	Does the company have a food safety system in place at the time of the CoC inspection?	2.1.1.1	2.2.1	2.1.1.1	2.1.1	2.1.1.1
CoC-SC 7.2	Does the company have a food safety system in place at the time of the CoC inspection?	2.1.1.1	2.3.2	2.1.1	2.1.1	2.1.1.1
CoC-SC 7.3	Does the company have documented procedures for managing exceeded legal limits (e.g., of pesticide residue)?	1.2.5	1.2.5	1.2.7	1.2.6	1.2.7
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?	4.15.7	4.8.1	4.14.2.1	4.1.1	4.15.2.1
CoC-SC 7.5	Does the livestock transport company have a valid animal welfare certification at the time of the CoC inspection?	4.15.7	4.8.1	4.14.2.1	4.1.2.1	4.15.2.1
CoC-SC 7.6	Does the company have a valid animal welfare certification at the time of the CoC inspection?	4.4.1	4.4.2	4.4.1	4.1.1.1	4.5.3

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