OTCO Guide to GOTS Transaction Certificate Requests
Current Policy for the Issuance of Transaction Certificates v. 3.0
listed in full here: https://global-standard.org/downloads#policiesandtemplates

Important
A GOTS Transaction Certificate (GOTS TC) is required under the Global Organic Textile Standards (GOTS) to accompany all product shipments. Oregon Tilth (OTCO) requires operators to submit a GOTS TC Request in order to receive an approved GOTS TC for the product shipment. To start, complete the GOTS TC Request by downloading the form here: tilth.org/help-center/transaction-certificates-for-gots/

This OTCO Guide is only a basic description of how to complete a GOTS TC successfully and is meant to accompany the current Policy for the Issuance of Transaction Certificates v. 3.0 (Policy v. 3.0) as you fill out the GOTS TC Request Form. OTCO advises all OTCO Certified GOTS Clients read the current policy by going to the bolded link above.

Sending the OTCO TC Request
Each GOTS TC Request must be emailed separately to our Exports staff at export@tilth.org. The request must be in the editable Word (.docx file) format and received with all necessary supporting documentation referenced on the submitted GOTS TC Request. Any expedited, or same-day-expedited requests (or revisions), must be explicitly stated within the body of the original email request.

Fees and Timeline
The fees for GOTS TC Requests are available on the OTCO Fee Schedule here: tilth.org/help-center/fee-schedule/

All GOTS TC Requests, or revisions, are processed as first come first serve with a 5-business-day turnaround time, unless expedited or same day expedited services are requested.
- **Same Day Expedite Requests** are processed by the end of the same business day that the completed request is received. Same Day Expedite Requests must be submitted by 12pmPST to qualify for same-day expedited processing.
- **Expedite Requests** are processed by the end of the following business day after the receipt of a request. Expedite Requests must be submitted by 12pmPST to qualify for next-day expedited processing.
- **Revision Requests** for previous GOTS TCs are processed as first come first serve with a 5- business-day turnaround time, unless expedited or same day expedited services are requested in order to reissue the revised GOTS TC.

Instructions
Please review all the information carefully prior to submitting a GOTS TC Request to OTCO. Any unverifiable supporting records or incomplete requests are returned to the operator and may cause delays to the original timeline. Remember – each GOTS TC Request must be emailed separately along with supporting documents.

Multiple Shipments on GOTS TCs

GOTS TC Requests that are sent/sold from the same seller at the same location, and then are sold to the same buyer are allowed only if an agreement is signed in advance. After an agreement is signed by both parties, Export staff will send a Multi-shipment TC Request Template to ensure multiple shipments can be listed in Box 9 and multiple products can be listed in Box 10.

See Section 2.6 of the Policy v. 3.0 for further details and notify export@tilth.org in advance if this arrangement is to be requested.

Supporting Documents

With each GOTS TC Request, the operator must submit supporting records that verify the last known source and provide traceability of the product in its previous form. Per the new policy, TC Requests must be accurately completed and supported by all pertinent documents which now include linking the certified organic product to the shipping records. At a minimum, please provide the following:

- **For Raw Materials, such as Organic Cotton Lint and/or Organic Wool:**
  - GOTS TC Requests submitted by a ginning operation must be accompanied by a copy of the Organic Scope Certificate (SC) of the farm(s) that produced the cotton, as well as the technical specification testing report(s) for the lot(s) being sold. These documents, such as HVI or Recap Lists, must verify the Average Staple length and Average Micronaire specifications, and cross-verify all bale numbers listed on the TC Request.
  - GOTS TC Requests submitted by a marketer/trader/broker must be accompanied by a copy of the already approved Input TC that verifies the sale of the cotton bales from the gin (or previous marketer) to the marketer, as well as the technical specification testing report(s) for the lot(s) being sold, such as an HVI or Recap list to verify the average specifications, and cross-verify all bale numbers listed on TC Request.
    - Example: HVI, Bale List, Recap, etc..
  - Supporting Documents must include the transportation documents for the products listed on the TC Request.
    - Example: Bill of Lading (BOL), Sales Invoice, etc..
    - If all Buyers/Sellers of the raw materials are OTCO Clients, and the product sold does not change locations, we encourage Marketers/Traders/Brokers to provide the Electronic Warehouse Receipt (EWR) to offer traceability of the movement of commerce when completing Box 9/Shipping Information.
  - GMO tests that have been pre-approved by the OTCO Fiber & Textiles Team must be included for the sale of raw cotton lint.
- **For Processed products:**
  - A GOTS Transaction Certificate(s) ("Input TC") is required.
  - Documentation must be submitted that supports the transport and sale of the products listed on the TC Request.
    - Example: Bill of Lading (BOL), Sales Invoice, etc..

Completing the OTCO TC Request Form
Please follow these instructions carefully to ensure there are no delays with the issuance of your GOTS TC Request.

The Policy v. 3.0 refers to codes specified in the "Material, Processes, & Products Classification" document issued by GOTS. These codes are listed on your Scope Certificate (SC), and only these codes are allowed to be used to represent your products. If you have products on your request that are not yet listed on your SC, you must update your SC first by contacting the Fiber & Textiles Team at: fibertextile@tilth.org
- All dates on the request must now be listed in the following format: **YYYY-MM-DD**, e.g., 2022-08-15.
- All geographic areas (country/area and state/province) must match the "Country/area name" and "State/province name" (such as US-TX) as specified in GOTS Geographic Classification v. 1.0 here: global-standard.org/downloads#policiesandtemplates

GMO tests must be supplied with each TC Request that link to the farm's cotton (i.e. raw material). These tests must be approved and stamped by the OTCO Fiber & Textiles Team prior to use. Remember to include all pertinent GMO tests with other supporting documents each time you submit a TC Request. This step only applies to sellers of raw cotton lint to ensure transparency of GMO results.

Monthly Production Inventory data must always be updated and current prior to submitting a TC Request. If not, it will be rejected. Once corrected and submitted again, the processing time period of up to 5 business days begins. If you have questions or need access to your data, you must email fibertextile@tilth.org to arrange this before the TC Request is submitted or delays may occur.

Below is a description of how to complete each numbered box on a GOTS TC Request.
Information from Box 1-8 shall appear on the first page of the request. Box 8 may be continued on the second page if more space is needed. Boxes on page 2 with content of variable length may be continued on subsequent pages for as many pages as necessary. *Unless a specific policy section is noted, all descriptions below can be found within Policy Section 3.2.*
1. **(OTCO USE ONLY) Issuing body of authority:** This box must contain the name and address of the Agent that inspected the operation and issued this certificate. This box is prefilled.
2. **Seller of Certified Product:** This box must contain the full company name and address, including zip code of the OTCO certified seller of the product. The listed name and address must match exactly what is listed on the current Organic Scope Certificate. For organizations with multiple locations, the address must be the common or corporate address. The box must also contain the GOTS License Number of the listed seller. This can be found on the first page of the GOTS Scope Certificate (format OTCO-OT-0#####). There may be cases where the operation is not the "seller" of the product, but the "sender" and in both cases – contract information is entered into Box 2 accordingly.

Example of Box 2 Formatting:

> **2. Seller of Certified Products**
> ABCDE Cotton
> 1233 Bale Road
> Anywhere, OR 77777
> US
>
> **Selling on behalf of:**
> ABCDE Cotton
> SC Number: Z-12345-1234
> License No.: OTCO-OT-123445

3. **Buyer of Certified Product:** This box must contain the name and address, including zip code, of the buyer – the individual or business to which the product is transferred, assigned, or delivered. For buyers with multiple locations, the address must be the common or corporate address. The box must also contain the license number of the buyer, if applicable. There may be cases where the operation is not the "buyer" of the product but the "receiver" and in both cases – contact information must be added into Box 3 accordingly.

Example of Box 3 Formatting:

> **3. Buyer of Certified Products**
> Tilth Textile Inc.
> 777 Cotton Street
> Anywhere, TX 88888
> US
>
> **Buying on behalf of:**
> Tilth Textile Inc.
> License No.: CU 33333 or OTCO-OT-111111 (if applicable)

4. **Gross Shipping Weight:** The total weight of products covered by the GOTS TC Request including packaging and accessories, then specified in kilograms (kg). This must be equal to the sum of the gross shipping weight for each shipment listed in Box 9. See Section 3.2.9.4 for details.

5. **Net Shipping Weight:** The total weight of products covered by the GOTS TC excluding packaging and accessories but including any non-certified materials, then specified in kilograms (kg). This must be equal to the sum of the net shipping weights for each product listed in Box 10. See Section 3.2.10.5 for details.

6. **Certified Weight:** The total weight of certified material in the products, specified in kilograms (kg), excluding non-certified material, packaging, and any non-certified portion of the products (such as accessories). This must be equal to the sum of the certified weights for each product listed in Box 10. See Section 3.2.10.7 for details.

7. **Declarations by Certification Body:** The GOTS TC Request provides declarations made by OTCO that specify the understanding of the following:
   - The operator declares the organic fibers meet the certification requirements of the USDA NOP regulations and the GOTS standards in order to claim the product(s) as organic.
   - Any labeling or reference to certification includes a statement of compliance with USDA NOP regulations.

- In-conversion material is non-organic, and the operator cannot claim it or consider it in the certified weight of the product, therefore may not be listed as complying with USDA NOP Rules.

8. **Certified Input References:** Requests must be substantiated with supporting records that verify the last known source and provide the traceability in its previous form. Input TCs are required for processed certified products and GOTS Organic Scope Certificates (SCs) are required from the farm operation of the certified raw fiber.

- **Input Transaction TCs (supporting docs)** are required for all processed, certified products that come from the previous processor. These are used to verify the number of inputs claimed in the product. **If all inputs are unprocessed certified fibers, an Input TC is not provided and must be specified as N/A.**
  - List in this Format OT-XXXXXX-XXXXX, OT-XXXXXX-XXXXX

> ### 8. Certified Input References
> Input TCs: OT-123456-11111, OT-123456-22222
>
> Farm SCs: N/A

  - NOTE: Farm SCs are only required for unprocessed certified raw fibers. Optionally, this information may be passed along the supply chain via subsequent Transaction Certificates. **OTCO will remove the following section if you are selling/sending processed products.**

- **Farm Scope Certificates (SCs)** are required from all certified organic farmers from where all unprocessed certified raw fibers were originally grown and harvested.
  - List in the Format Z-XXXXX-XXXX

> ### 8. Certified Input References
> Input TCs: N/A
>
> Farm SCs: Z-00000-1234, Z-11111-2567

9. **Shipments:** This box is critical, as it clearly links the transaction certificates to the included shipment(s). Please work with buyers to ensure all included details are correct prior to submission. You must provide a Supporting Document that clearly identifies all shipping details.

- Reminder: If all Buyers/Sellers of the raw materials are OTCO Clients, we encourage Marketers/Traders/Brokers to provide the Electronic Warehouse Receipt (EWR) to offer traceability of the movement of commerce when completing Box 9/Shipping Information.

Detailed information must be specified per shipment as follows:
- **Shipment number** – A sequential number (1, 2, etc.) identifying the shipment within the Transaction Certificate.
- **Shipment date**.

- **Shipment document number** – The identification number from the shipping document used to confirm the details of the shipment.
- **Gross shipping weight** – The total weight of products in the shipment including packaging, in kilograms (kg).
- **Invoice references** – The seller's invoice numbers and dates for all invoices included in the shipment.
    - You can add additional info from the BOL under invoice references but not required, such as vessel/trucking/container/seal numbers or any other information that would apply.
- **Consignee name & address** – The name and address of the physical location which the products are shipped to. A facility which does not take physical possession of products must not be named as Consignee. If the buyer is arranging transportation from the seller or the seller's subcontractor, the address where the buyer picks up the certified products must be listed. If there are multiple Consignees, these should be detailed in Box 9.
    - Consignee example 1: The buyer arranges transportation from the seller's facility. The seller's facility is listed as the consignee.
    - Consignee example 2: The seller arranges transportation to a port in the buyer's country. The buyer arranges transportation from the port. The port is listed as the consignee unless the seller submits transport documents from the port to the final destination.
    - Consignee example 3: The buyer is a large retailer and may also be the brand. The seller arranges transportation to the buyer's warehouse/distribution center and the buyer arranges transportation to individual retail stores. The buyer's warehouse/distribution center is listed as the consignee.
        - If the buyer is certified, the consignee must be a certified site of the buyer.
        - If the seller site is a consignee, the buyer's CB shall verify transportation documents between the seller and buyer's certified site before accepting as input or using TC as input.

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9. Shipments

Shipment No.:	1	Consignee Name and Address:
Shipment Date:	2022-07-29	Tilth Textile Inc
Shipment Doc No.:	BOL HKJ0025639	456 Textile Lane
Gross Shipping Weight:	9178.00 kg	Cotton, TX, 89636
Invoice References:	Inv 50236	US
Vessel: Tilth Magic / Voy. 8885W		
Container No.(s): THUI456789, GNKL41236		
Seal No.(s): T005369, Y002569		

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10. **Certified Products:** Products must be listed on the GOTS TC Request exactly as they are specified on the seller's Organic Scope Certificate (SC). Detailed information must be specified per certified product included on the request as follows (example shown on page 7):

- **Product number** – A sequential number (1, 2, etc.) identifying the product within the TC.
- **Order number** – The buyer's purchase order number associated with the product.

- **Article number** – A number to uniquely identify the product in the seller's system (e.g., lot number, EAN, SKU etc.). **The article number is optional information.**
  - Although optional, you can enter "See attached HVI/Bale List" if this is your Supporting Document to verify bale/bale ranges you are shipping on TC. (Only applies if you are shipping unprocessed fiber.)
- **Number of units** – Both the quantity of units, plus the name of the product.
  - Ex: 1…1000 bales, garments, fabric rolls, etc.. The unit's name must be included after the quantity.
- **Net shipping weight** – The total weight of the product excluding packaging, in kilograms (kg)
- Supplementary weight – The total weight of the following:
  - Non-certified accessories which are excluded from material composition; Example 1: Weight of all materials in the product that are categorized under Section 2.4.9.2 of the Standard (Accessories). A sweater has buttons which are classified as accessories. The supplementary weight is the weight of the buttons. Example 2: For a certified mattress, the supplementary weight would be the weight of all accessories including supports, frames, and foam.
  - For combined products with one or more certified components, the total weight of the product minus the weight of the certified components.
- **Certified weight** – The total weight of certified organic material in the product, in kilograms (kg).
- **Production date** – The date of production of the product. Where the product was produced over multiple days, the latest date must be used. If the seller did not process the product, the date must be copied from the incoming GOTS TC.
- **Product category** – *See your Scope Certificate to copy the exact product category code (PC0000)*.
  - Use the correct formatting. Ex: Undyed Fibers (PC0034)
- **Product detail** – See your Scope Certificate to copy the exact product detail code (PD0000).
  - Use the correct formatting. Ex: Lint Cotton (PD0074)
- **Material composition** – The material composition includes both certified and non-certified raw materials (RM0000). The exact material composition with a percentage content is mandatory. Example: 95% organic cotton (RM0104), 5% spandex (RM0161). *Again, reference your Scope Certificate (SC) to find this information as this is mandatory*.
  - Use the correct formatting. Ex: 100% Organic Cotton (RM0104)
- **Label grade** – Label grade, as listed on the Scope Certificate for the product.
  - Ex: "organic", or "made with '%' organic materials"
- **Additional information** – <u>Seller must list fiber quality parameter averages in this box if selling raw material</u>. Technical parameters of GOTS Goods are required for first processing TCs (fiber's Average Staple Length and average Micronaire for first cotton; yarn count for yarn) when issued for certified cotton gins and spinning units. You must provide a supporting document that verifies the technical parameters. Ex: HVI or Recap List.
  - Use the correct formatting, Ex: Avg. Staple/Micronaire: 37.3/3.4

- o If GMO tests are required with supporting documentation, include the report number provided on the test in this section. Ex: OMIC USA Inc GMO Test Report No.: 123456
- **Last processor name and license number** – The name of the last facility to process the product and license number.
  - o If you are the first producer of converting the raw material into a product, you should include the name of the gin and their license number.
  - o If you are not the first producer, the previous producer's name and license number who last processed the product should be listed.
  - o If you are a trader/broker/marketer of raw material, the name of the gin and their license number should be listed.
  - o If the seller chooses not to list this information, **"Undisclosed"** must be written instead. **You should still be able to provide the name of the last certified processor to Oregon Tilth for verification during processing and could list this information in the email body of the request**.
- **Last processor country/area** – The country/area where the last processing of the product occurred. This information is mandatory even if the identity of the last processor is undisclosed.
  - o Use the correct Country/area code from GOTS Geographic Classification *v. 1.0*. Ex: US instead of USA or United States

10. Certified Products

Product No.:	1	Product Category:	Undyed Fibers (PC0034)
Order No.:	76392	Product Detail:	Lint Cotton (PD0074)
Article No.:	See attached HVI/Bale List	Material Composition:	100% Organic Cotton (RM0104)
Number of Units:	458 bales	Label Grade:	Label grade name
		Additional Info:	Avg. Staple/Micronaire : 37.3/3.4
Net Shipping Weight:	9001.00 kg	Last Processor:	Last processor or Undisclosed *[if applicable]*
Supplementary Weight:	0.00 kg	- License No.:	Last processor or Undisclosed *[if applicable]*
Certified Weight:	9001.00 kg	- Country:	US
Production Date:	2022-02-14		

11. **Certified Raw Materials and Declared Geographic Origin:** Each raw material and its geographic origin must be listed. The following information must be included:
   a. The name of the raw material. Ex: 100% Organic Cotton
   b. The raw material code as listed on the issued OTCO Scope Certificate. Ex: (RM0104)
   c. The total certified weight of the raw material, in kilograms (kg). Ex: total of certified weight as listed in Box 6 and again in Box 10
   d. Each country/area of origin of the raw material; and
   e. Each state/province of origin of the raw material, in parentheses beside the applicable country/area.
     - o "Country/area, State/province 1" information is listed on the top line only. The 2nd line is used if the raw material was farmed in multiple states. Be sure to list it exactly as it appears in the GOTS Geographic Classification v. 1.0; link posted above. Ex: **US-TX**

11. Certified Raw Materials and Declared Geographic Origin

1. 100% Organic Cotton (RM0104)	US-TX Certified
Weight: 9001.00 kg	Country/area, State/province 2

- o Geographic origin information for primary scopes must be obtained from the Farm SCs of the raw fiber.

12. **Declarations by Seller of Certified Products:** This box provides space for declarations made by the seller which have not been verified by OTCO.
   - The seller may declare information about outsourcing, such as subcontractor name(s), processing steps, or specific products included in outsourcing.
   - The seller may request that any other declaration be included, if it does not include any of the following:
       o Information which is inaccurate or misleading;
       o References to brand names;
       o References to trade names (e.g., merino)
   - OTCO, the Certification Body, must refuse to include any declaration which we know to be inaccurate or misleading. In all other cases, OTCO may add a statement that the declarations have not been verified by OTCO.

> **12. Declarations by Seller of Certified Products**
> Declarations by seller or N/A

As mentioned above, this document is a basic description of what OTCO Certified Clients must fill out according to the GOTS TC Request Form. **OTCO must advise all OTCO Certified Clients to read the current policy as it is written in full as this OTCO Guide is meant to accompany** Policy for the Issuance of Transaction Certificates v. 3.0**. Download a copy of the full policy by going to the GOTS website page here:** global-standard.org/downloads#policiesandtemplates

If you have further questions that need to be clarified, please include your questions in the body of your email when submitting a GOTS TC Request to exports@tilth.org, or give us a call at: **503.378.0690.**