



The Global Language of Business

GS1 Global Traceability Compliance Criteria for Food Application Standard

Describes the audit criteria for full chain traceability,
providing a single process of meeting regulatory & industrial
requirements using the GS1 standards

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1 Introduction

A traceability gap analysis tool is critical for any Organisation or sector that produces goods or provides services that must meet specific customer, regulatory and operational objectives. An existing traceability system can be tested through a robust tool with guidelines that ensure required data and information is recorded and is reflected along the supply chain, from point of production to customer.

The GS1 Global Traceability Checklist-Control Points and Compliance Criteria is a tool developed for continuous improvement of traceability systems using global standards. This process-based tool helps to build compliance for mandatory traceability requirements within quality management systems and benchmarks them against global standards and other key traceability regulations.

Traceability systems should be supported by best practices, based on evolution of industry's needs, international regulations and global standards. System complexity may vary depending on its placement along the supply chain (i.e. producer, manufacturer, distributor, retail, etc.), the product's characteristics and the required business objectives.

The GS1 Global Traceability Checklist-Control Points and Compliance Criteria application standard is the basis for checking the key traceability components to design a traceability system framework of identifying, capturing and sharing traceability information between trading partners across the extended supply chain.

1.1 Scope

This document outlines audit criteria for Global Traceability Conformance for the fast moving consumer goods, specifically for the food supply chain. It defines essential elements for the development of best-practices for the global production and distribution of trade items by the food industry.

The GS1 Global Traceability Checklist-Control Points and Compliance Criteria has been designed with the objective to implement and/or review existing Traceability Systems in manufacturing Organisations, producers/handlers and providers of product supplies and services to the food supply chain.

A producer/manufacturer/handler is defined as any organisation that produces, synthesises, prepares, treats, modifies, packs or manipulates changes in products including product supplies, packaging material and raw material. This also includes supplements such as additives, flavourings and emulsifiers.

A provider is defined as any organisation that supplies any type of material that comes into direct contact with manufactured or processed products.

A service provider is defined as any organisation that provides services which come into direct contact with manufactured or processed products.

In accordance with the aforementioned definitions, any of the following organisations qualify for the application of the audit presented in this document:

- Container and Packaging Manufacturers
- Farmers/Growers
- Importers and Exporters
- Logistic Providers
- Manufacturers/Processors
- Retailers
- Storage and Deposits providers
- Third Party Logistics Providers
- Transporters and carriers
- Wholesalers

1.2 Structure

The outline of the document is as follows:

- **Introduction:** Introduces the compliance criteria based on the GS1 Global Traceability Standard (GS1 GTS), the compliance levels and relationship with other traceability standards, regulatory and commercial requirements.
- **Control Points:** Describes the requirements and key considerations the auditee (audited Organisation) must fulfil, in order to meet the compliance criteria, the GS1 Global Traceability Checklist.
- **Terms and Definitions:** Presents the standard vocabulary used throughout this document.
- **Appendix:** Maps the relationship between the Global Traceability Checklist with other standards. This will help organisations benchmark their traceability system against other traceability requirements. In addition, there is a table whereby changes of control points are being mapped from the previous version to the latest one.
- **Bibliography:** Comprises of a list of key references and documentation which were relevant for the preparation of this document.

1.3 Regulations References

In the preparation of this standard, the following international regulations are the basis of key traceability requirements:

- **Regulation (CE) N° 178/2002**, “Laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety” of the European Parliament and of the Council of January 28, 2002.
- **Public Health Security and Bioterrorism Preparedness and Response Act of 2002**, “To improve the ability of the United States to prevent, prepare for, and respond to bioterrorism and other public health emergencies”, United States Food and Drug Administration (FDA), June 12, 2002.

1.4 Standard References

The following referenced traceability and codification standard documents are essential as the basis of this document. For dated references, only the edition cited is applicable. For undated references, the latest edition of the referenced document (including any amendments) is applicable.

- GS1 Global Traceability Standard – Business Process and System Requirements for Full Chain Traceability Issue 1.3.0, November 2012
- GS1 General Specifications (V15)
- ISO 22005:2007, Traceability in feed and food chain – General principles and basic requirements for system design and implementation.

1.5 Compliance Levels

This document contains all the levels of compliance that an organisation must meet to successfully complete a Traceability Audit. Key control points must be fulfilled to comply with the traceability framework based on the GS1 GTS. The document is divided into 12 sections. It contains a total of **72** Control Points, divided into the following levels:

- **Mandatory Musts:** There are **27** “Mandatory” Control Points in the GS1 Global Traceability Checklist (shaded in red). These Control Points address the most important Business Requirements present in the **GS1 GTS and/or ISO 22005**. These control points **cannot** be indicated as **NOT Applicable (N/A)** by the Auditor.
- **Mandatory Conditional Musts:** There are **20** “Mandatory Conditional” Control Points in the GS1 Global Traceability Checklist (shaded in green). These Control Points address the most important Business Requirements **present in the GS1 GTS and/or ISO 22005 that could be**

indicated as **NOT Applicable (N/A)** by the Auditor, according to specific realities or situations practiced in every organisation.

- **Optionals:** There are **11** "Optional" Control Points in the GS1 Global Traceability Checklist (shaded in yellow). These Control Points address the **Business Requirements present in the GS1 GTS** that are under the responsibility of the trading partner of the trade items received by the audited organisation. It is to be noted that these control points are centred on GS1 standards.
- **Recommendations:** There are **14** "Recommended" Control Points in the GS1 Global Traceability Checklist (unshaded). These Control Points address Traceability Requirements of other Standards, Best Manufacturing Practices or International Traceability Guidelines (see [A. Relationship between the GTC Checklist and other Standards](#)).

Possible responses to each Control Point may include:

Compliance (Yes); Non-Compliance (No) or NOT Applicable (N/A). N/A may not be used as a response to those control activities that state "No N/A" (i.e. "Mandatory Musts"). Only the **audit team leader is authorised** to decide if a Control Point can be a **NOT Applicable (N/A) or otherwise**.

In order to obtain compliance to the GS1 Global Traceability Standard (GS1 GTS), the applicant is required to successfully complete the assessment and fulfil each of the Control Points as follows:

- **Mandatory Musts:** 100% compliance of all Mandatory Must Control Points is compulsory.
- **Mandatory Conditional Musts:** 100% compliance of all applicable Mandatory Conditional Must Control Points is compulsory.
- **Optionals:** No minimum percentage of compliance is set.
- **Recommendations:** No minimum percentage of compliance is set.

All Control Points in the GS1 Global Traceability Checklist must be audited.

1.6 GS1 Global Traceability Checklist and its compliance with GS1 Global Traceability Standard

The GS1 Global Traceability Checklist fulfils the GS1 Global Traceability Standard (GS1 GTS) if the applicant follows all Mandatory Musts, applicable Mandatory Conditional and Optional Control Points. Also indicated below every Mandatory Musts, Mandatory Conditional or Optional Control Point is the corresponding GTS Business Requirement (BR) and/or the corresponding GTS Business Rule (BRU), i.e.: (GTS:BR1).

1.7 The GS1 Global Traceability Checklist and its Relationship with other Traceability & Best Manufacture Practices (BMP) Standards

There are several traceability Control Points in the GS1 Global Traceability Checklist that fulfil traceability requirements present in other Traceability Standards or BMP Standards.

If during the Audit, an Organisation would like to benchmark its traceability system against other standards using this GS1 Global Traceability Checklist, please refer to ([A. Relationship between the GTC Checklist and other Standards](#)) at the end of this document.

1.8 Control Points Usage Guide

The GS1 Global Traceability Checklist contains 72 Control Points. It is divided into 12 sections whereby each section has a different traceability objective. By following every section, this will cover important components of a traceability system. The table explains requirements that is to be assessed in every section.

| Section | Control Points | Description |
|--------------------------------|----------------|--|
| 1. Objectives | 1.1 - 1.4 | Knowledge of local, commercial and international traceability system requirements |
| 2. Product Definition | 2.1 - 2.5 | Trade item assignment in Master Data systems for all trade items received, produced and/ or shipped |
| 3. Supply Chain Placement | 3.1 - 3.3 | Identification of internal and external parties in Master Data systems |
| | 3.4 - 3.7 | Identification of internal and external locations in Master Data systems |
| 4. Establishment of Procedures | 4.1 - 4.5 | Defined procedures for all traceable trade items and intermediate items which are received, produced and distributed with definition of batch/ lot and/or serial numbers |
| | 4.6 - 4.7 | Defined procedures of aligning critical master data between trading partners |
| | 4.8 - 4.10 | Defined procedures or tools to enable collection, recording, sharing and communication of traceability information internally and between key stakeholders |
| 5. Flow of Materials | 5.1 - 5.10 | Physical identification and symbology on all hierarchy levels of traceable items which are received, produced and/or shipped: Unique global trade item number (e.g., GTIN/ UPC) Production batch/ lot code (consumer, case, pallet) Unique serial number (Logistics-pallet level only) Unique shipment identification number (shipment only) |
| | 5.11-5.12 | Process flow for transformation/manufacturing processes (from raw materials/ packaging to finished goods) and trace request response between trading partners |
| 6. Information Requirements | 6.1 - 6.8 | Minimum traceability related information for all hierarchy levels of traceable items which are produced, received and/or shipped to any parties: <ul style="list-style-type: none"> - Shipment identification number (shipment only) - Logistic unit number or SSCC for logistic units - Trade item number or GTIN - Production batch/lot code (consumer unit, trade unit, case, pallet) - Serial number (consumer unit, trade unit, case, pallet) Each of the traceable items identified by one of the identification numbers and where applicable the associated identification number extension, must or may be further described by attribute fields such as: <ul style="list-style-type: none"> - quantity - code date (e.g. 'sell-by date', 'best-before date', 'expiry date', 'packed-at date', 'production date') - recipient and/or supplier of the traceable item - despatched date and when applicable despatched time) For each party identification number or GLN must or may be attribute information associated, such as address and/or telephone number |

| Section | Control Points | Description |
|----------------------------------|----------------|--|
| | 6.9 - 6.10 | Internal management of traceability information linkages (electronic or paper) between inputs and outputs (all hierarchy levels of traceable items) |
| | 6.11 - 6.13 | External management of traceability information linkages (electronic or paper) including the sharing of traceability related information for traceable items |
| 7. Documentation Requirements | 7.1 - 7.2 | Documentation of roles, responsibilities, organisational structure and recording processes associated with traceability to support all traceability related activities |
| | 7.3 - 7.5 | Maintenance of traceability documentation and traceability records |
| 8. Structure & Responsibilities | 8.1 - 8.3 | Traceability team in place with appropriate knowledge of traceability procedures |
| 9. Training | 9.1 - 9.2 | Training program and records for those responsible for traceability activities |
| 10. Supply Chain Coordination | 10.1 | Ability to obtain traceability information from trading partners, including the following: <ul style="list-style-type: none"> - Trade item number (e.g., GTIN/ UPC) - Quantity - Batch/ lot number - Code date - Transport date - Transporter name |
| | 10.2 - 10.6 | Documentation of team structure, responsibilities and procedures associated with addressing a potential safety hazard crisis, including communications and contact information |
| 11. Monitoring | 11.1 - 11.2 | Existence of monitoring and control plan for reviewing effectiveness of traceability procedures |
| 12. Internal and External Audits | 12.1 - 12.2 | Definition of all produced and received trade items in specifications or other similar document |
| | 12.3 | Documentation of corrective action plans to address Traceability Non-Conformities |

2 Control Points

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|--------------------------------|--|---|-------------------------|
| 1. CHOICE OF OBJECTIVES | | | |
| 1.1 | Is the Organisation aware of traceability regulations, standards and implementation guidance (global or country specific) to which its trade items are delivered/despached/exported and/or sold? (GTS: BRU28) | The Organisation's management and responsible persons are updated with traceability regulations, standards and/or implementation guidance (global or country specific) to which its trade items are delivered/despached/exported and/or sold. | Recommended |
| 1.2 | Is the Organisation aware of all their customer's traceability requirements to which its trade items are sold? (GTS: BRU28) | The Organisation should have a system to ensure that the site has an updated register of the applicable customer's traceability requirements to which its trade items are sold. | Recommended |
| 1.3 | Is there a document (paper based/electronically based) defining the Organisation's objectives, methodology and scope of its Traceability System, with a designated person responsible for it? | The Organisation must have appropriate documentation on: a) Description of scope, objectives and relevant steps in a traceability system, i.e. traceability plan b) Description of links management within the traceability system c) Description of management responsibilities and personnel within the scope of the traceability system No N/A | Mandatory |
| 1.4 | Is the management team aware of the objectives and scope of the organisation's Traceability System? | The management team demonstrates competency in explaining the scope and objectives of the organisation's Traceability System. Documents containing scope and defined objectives of the traceability system have been signed off by management. No N/A | Mandatory |
| 2. PRODUCT DEFINITION | | | |
| 2.1 | Are all trade items <u>received</u> by the Organisation identified with a <u>unique identification number</u> and described in a Master Data record for each product hierarchy level that needs to be traced? | A Master Data record with a unique identification number and description must exist for all trade items received by the Organisation, that need to be traced. This applies to any level of the Product Hierarchy. | Mandatory (conditional) |
| 2.2 | Are trade items <u>received</u> by the Organisation identified with a Global Trade Item Number (GTIN) and described in a Master Data record for each product hierarchy level that needs to be traced? (GTS: BR3, BR7, BR13, BRU4, BRU16) | A Master Data record using the Global Data Synchronisation Network (GDSN) with a Global Trade Item Number (GTIN) and description must exist for all trade items received by the Organisation that need to be traced. This applies to any level of the Product Hierarchy. | Optional |

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|----------------------------------|---|--|-------------------------|
| 2.3 | Are intermediate items <u>manufactured</u> by the Organisation that are critical to be traced, identified with unique identification numbers and recorded? | A document or record with unique identification numbers and description must exist for such intermediate items, manufactured by the Organisation. | Recommended |
| 2.4 | Are all trade items, <u>despatched</u> by the Organisation, identified with a Global Trade Item Number (GTIN) and described in a Master Data record for each product hierarchy level that needs to be traced? (GTS: BR3, BR7, BR 13, BRU4, BRU16) | A Master Data record with a Global Trade Item Number (GTIN) and a description must exist for all trade items distributed by the Organisation, at all levels of the product hierarchy that need to be traced. | Mandatory (conditional) |
| 2.5 | Are all assets that need to be traced identified in a Master Data record with a Global Returnable Asset Identifier (GRAI) and/or Global Individual Asset Identifier (GIAI) ? (GTS: BR4) | A Master Data record with a GS1 identification key must exist for all assets that need to be traced (GRAI or GIAI). | Optional |
| 3. SUPPLY CHAIN PLACEMENT | | | |
| 3.1 | Are all <u>personnel</u> directly involved within the Organisation (production and distribution area) recognised and identified with a description and an identification number in a Master Data record? | A Master Data record with a description and an identification number must exist for all the personnel involved in the production and distribution chain. The description must include at least: <ul style="list-style-type: none"> • Name • ID number (or Badge Card) • Position No N/A | Recommended |
| 3.2 | Are all trading partners assigned an identification number and have a description in a Master Data record? | A Master Data record with description and an identification number must exist for all trading partners. The description must include at least: <ul style="list-style-type: none"> • Organisation name* • Address* • Contact person** • Telephone number** • Fax** • E-mail** (All marked with * are mandatory for GTS ¹ . All marked with ** are mandatory for US Bioterrorism Act). No N/A | Mandatory |
| 3.3 | Are all trading partners identified with a Global Location Number (GLN) and have a description in a Master Data record? (GTS: BR2, BRU4, BRU12) | A Master Data record with a Global Location Number (GLN) and a description must exist for all trading partners. The description must include at least: <ul style="list-style-type: none"> • Organisation name* • Address* • Contact person** | Optional |

¹ Only the ones marked with an * are required to comply with the Control Point, if the Organisation doesn't trade in the US Market

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|-----|---|--|-------------------------|
| | | <ul style="list-style-type: none"> • Telephone number** • Fax** • E-mail** (All marked with * are mandatory for GTS ² . All marked with ** are mandatory for US Bioterrorism Act). No N/A | |
| 3.4 | Are all internal <u>locations</u> , that need to be traced, identified with an identification number and have a description in a Master Data record? (GTS: BR1, BRU4) | A Master Data record with an identification number and a description must exist for all internal locations of the Organisation that need to be traced. (E.g. working position location, production lines, warehousing location) | Mandatory (conditional) |
| 3.5 | Are all internal <u>locations that need to be aligned with the trading partners</u> , identified with a Global Location Number (GLN) and have a description in a Master Data record? (GTS: BR1, BR2, BRU4) | A Master Data record with a GS1 identification key (GLN) and description must exist for all internal locations of the Organisation that need to be aligned with the trading partners (e.g. Distribution Centre, Point of Receiving, Point of Distribution, Manufacturing Facility, Farm). <u>Every Organisation should identify at minimum the location of its legal entity.</u> The description must include at least: <ul style="list-style-type: none"> • Location name* • Address* • Telephone number** • Fax** • E-mail** (All marked with * are mandatory for GTS ³ . All marked with ** are mandatory for US Bioterrorism Act). No N/A | Mandatory |
| 3.6 | Are all external <u>locations, (e.g., storage warehouses, distribution centres, trading partners)</u> that need to be traced, identified with an identification number and have a description in a Master Data record? (GTS: BR1, BR2, BRU4) | A Master Data record with an identification number and a description must exist for all trading partners' locations that need to be traced (e.g. storage warehouses, distribution centres). The location must be a legal or physical entity involved in the supply chain. The description must include at least: <ul style="list-style-type: none"> • Location name* • Address* • Telephone number** • Fax** • E-mail** | Mandatory (conditional) |

2 Only the ones marked with an * are required to comply with the Control Point if the Organisation doesn't trade in the US Market

3 Only the ones marked with an * are required to comply with the Control Point if the Organisation doesn't trade in the US Market

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|---------------------------------------|---|--|-------------------------|
| | | (All marked with * are mandatory for GTS ⁴ . All marked with ** are mandatory for US Bioterrorism Act). | |
| 3.7 | <p>Are all external <u>locations</u>, (e.g. storage warehouses, distribution centres, trading partners) that need to be traced identified with a Global Location Number (GLN) and have a description in a Master Data record? (GTS: BR1, BR2, BRU4)</p> | <p>A Master Data record with a Global Location Number (GLN) and description must exist for all trading partner's locations that need to be traced. The location must be a legal or physical entity involved in the supply chain.</p> <p>The description must include, at least:</p> <ul style="list-style-type: none"> • Location name* • Address* • Telephone number** • Fax** • E-mail** <p>(All marked with * are mandatory for GTS⁵. All marked with ** are mandatory for US Bioterrorism Act).</p> | Optional |
| 4. ESTABLISHMENT OF PROCEDURES | | | |
| 4.1 | <p>Are there procedures being defined to describe and record traceable trade items received, produced and despatched by the Organisation?</p> | <p>A documented procedure exists describing in detail each traceable trade item the Organisation receives, produces and despatches.</p> <p>The document must include:</p> <ul style="list-style-type: none"> • Document number for procedures/procedure code or ID • Product name • Composition • Quantity • Packaging • Method(s) of distribution | Mandatory (conditional) |
| 4.2 | <p>Does a documented procedure exist that details the definition for the production batch/lot of each trade item created by the Organisation?</p> | <p>A documented procedure exists in the Organisation which describes in detail the definition for the production batch / lot of each trade item created by the Organisation.</p> | Mandatory (conditional) |
| 4.3 | <p>Does the Organisation have a process to review barcoding and assignment of numbers in compliance with GS1 Standards? (GTS: BR11, BR13)</p> | <p>A documented procedure must exist to prove compliance with GS1 Standards for barcoding quality, allocation of numbers and maintenance of GTINs assignments for every trade item the Organisation distributes.</p> | Mandatory (conditional) |
| 4.4 | <p>Are there procedures for describing and recording critically traceable intermediate items produced by the Organisation?</p> | <p>A documented procedure exists describing in detail critically traceable intermediate items produced by the Organisation.</p> <p>The document must include:</p> <ul style="list-style-type: none"> • Document number for procedures/procedure code or ID | Recommended |

4 Only the ones marked with an * are required to comply with the Control Point if the Organisation doesn't trade in the US Market

5 Only the ones marked with an * are required to be in compliance, if the Organisation doesn't trade in the US Market

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|-----|--|--|-------------|
| | | <ul style="list-style-type: none"> • Product name • Composition • Quantity • Packaging • Method(s) of distribution | |
| 4.5 | <p>Does a procedure exist within the Organisation for the production batch/lot of each inventoried intermediate item and/or reworked item which needs to be traced?</p> | <p>A documented procedure exists within the Organisation for the production batch/ lot of <u>each inventoried intermediate item</u> which needs to be traced.</p> | Recommended |
| 4.6 | <p>Does the Organisation have a procedure to align critical Master Data for traceability with its trading partners? (GTS: BR12, BR19)</p> | <p>A documented procedure exists in the Organisation which describes in detail how to align critical Master Data for traceability with trading partners. The Master Data must include:</p> <ul style="list-style-type: none"> • Parties • Physical locations • Assets • Traceable trade items <p>No N/A</p> | Mandatory |
| 4.7 | <p>Does the Organisation have an effective synchronisation process with its trading partners using the Global Data Synchronisation Network (GDSN)? (GTS: BR12, BR19)</p> | <p>An effective process for synchronising Master Data using GDSN with trading partners exists in the Organisation and is documented in detail.</p> <p>The Master Data synchronised must include:</p> <ul style="list-style-type: none"> • Parties, • Physical locations • Assets • Traceable trade items | Optional |
| 4.8 | <p>Is there a procedure or defined mechanism (digital or paper) at each stage of the traceability flow for the <u>collection of accurate and timely data, recording and sharing of information</u> between trading partners and the identification of the responsible person for the recorded information? (GTS: BR11, BR13, BR14, BRU4, BRU 10, BRU11, BRU 18, BRU22)</p> | <p>Digital or paper forms and/or mechanisms detailing procedures for the <u>collection, recording and sharing of traceability information</u> at each stage of traceability flow, identifying each person responsible for the recorded information.</p> <p>No N/A</p> | Mandatory |
| 4.9 | <p>Is there an internal and external trace request process in place? (GTS: BR17, BR18)</p> | <p>The Organisation has a documented procedure defining the request process for traceability information in an event of a crisis. It should contain:</p> <ul style="list-style-type: none"> • List of internal and external partners • Identification of key personnel for crisis management (e.g. recall) with defined responsibilities • Communication plan to internal and external trace request • Key product attributes such as product identification number, batch/lot, quantity, composition, | Mandatory |

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|-----------------------------|--|---|-------------------------|
| | | material type, batch/lot/manufacturing date <ul style="list-style-type: none"> Location identification (or location attributes) within the organisation and between trading partners List of documentation to be provided to internal and external parties No N/A | |
| 4.10 | Is there a procedure for communicating to key internal and external parties in an event of a recall/withdrawal/food safety crisis? (GTS: BRU24, BRU26, BRU28) | A documented procedure exists describing precisely on how to communicate to key stakeholders in an event of a recall and/or withdrawal: <ul style="list-style-type: none"> Quality & safety team (Internal) Production Manager (Internal) Brand owner Suppliers Manufacturers Specialist laboratories Regulatory authorities Legal expertise Market surveillance & consumer groups No N/A | Mandatory |
| 5. FLOW OF MATERIALS | | | |
| 5.1 | Are shipments received by the Organisation that needs to be traced, physically identified with an identification number? (GTS: BR6, BR7, BRU4) | The shipments received by the Organisation must have an identification number on the item or if not possible at least on the asset containing it or on an accompanying document. | Mandatory (conditional) |
| 5.2 | Are shipments received by the Organisation identified with a GS1 Global Shipment Identification Number (GSIN AI 402)? (GTS: BR6, BR7, BRU4) | The shipments received by the Organisation must have standard identification on the item or if not possible at least on the asset containing it or on an accompanying document. | Optional |
| 5.3 | Are logistic units received by the Organisation physically identified with an identification number? (GTS: BRU4) | The logistic units received by the Organisation must have an identification number on the item or if not possible at least on the asset containing it or on an accompanying document. | Mandatory (conditional) |
| 5.4 | Are logistic units received by the Organisation physically identified with a Serial Shipping Container Code (SSCC) and a GS1 Data Carrier (GS1-128 or EPC tag)? (GTS: BR3, BR6, BR7, BR11, BR12, BRU4) | The logistic units received by the Organisation must have a Serial Shipping Container Code (SSCC) and a GS1-128 or EPC/RFID tag on the outer wrapping/packaging or at least on the asset containing it or on an accompanying document. | Optional |
| 5.5 | Are trade items received by the Organisation, that need to be traced, physically identified with a Global Trade Item Number (GTIN) and a GS1 Data Carrier? (GTS: BR3, BR6, BR7, BR11, BRU4) | The trade items received by the Organisation must have a GTIN and a GS1 Data Carrier on the packaging or at least on the asset containing it or on an accompanying document. The corresponding GS1 standards for data carriers are: | Mandatory |

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|------|---|--|-------------------------|
| | | <ul style="list-style-type: none"> For trade item crossing the point of sale (consumer unit): EAN-13, EAN-8, UPC-A, UPC-E, GS1 DataBar, GS1 DataMatrix, EPC/RFID tag For trade item not crossing the point of sale (grouping of trade items): EAN-13, ITF-14, GS1-128, GS1 DataMatrix, GS1 DataBar, EPC/RFID tag | |
| 5.6 | Are intermediate items (<u>received and/or distributed</u>) by the organisation identified physically with an identification number and/or the production batch / lot or Serial Number? | All inventoried intermediate items should have an identification number and/or production batch / lot or Serial Number on packaging or if not possible at least on the asset containing it or on an accompanying document. | Mandatory (conditional) |
| 5.7 | Are shipments <u>despatched</u> by the Organisation that need to be traced, physically identified with a Global Shipment Identification Number (GSIN AI 402)? (GTS: BR3, BR6, BR7, BRU4) | The shipments despatched by the Organisation must have a GSIN with a GS1-128 on the shipment or at least on the asset containing it or on an accompanying document. | Mandatory (conditional) |
| 5.8 | Are logistic units <u>despatched</u> by the Organisation physically identified with a Serial Shipping Container Code (SSCC) and carrying a GS1 Data Carrier (GS1-128 or EPC tag)? (GTS: BR6, BR7, BR11, BRU4) | The logistic units despatched by the Organisation must have a SSCC and a GS1-128 or EPC/RFID tag attached on the item/packaging or at least on the asset containing it or on an accompanying document. No N/A | Mandatory |
| 5.9 | Are trade items <u>despatched</u> by the Organisation identified physically with a Global Trade Item Number (GTIN) and a GS1 Data Carrier? (GTS: BR3, BR6, BR7, BR11) | The trade items despatched by the Organisation must have a GTIN with a GS1 Data Carrier attached on the packaging or at least on the asset containing it or on an accompanying document. The corresponding GS1 standards for data carriers are: <ul style="list-style-type: none"> For trade item crossing the point of sale (consumer unit): EAN-13, EAN-8, UPC-A, UPC-E, GS1 DataBar, GS1 DataMatrix, EPC/RFID tag For trade item not crossing the point of sale (grouping of trade items such as a case): EAN-13, ITF-14, GS1-128, GS1 DataMatrix, GS1 DataBar, EPC/RFID tag No N/A | Mandatory |
| 5.10 | Are trade items <u>despatched</u> by the Organisation identified with the production batch / lot or Serial Number or SGTIN? (GTS: BR6, BRU4) | The trade items distributed by the Organisation must be identified with the production batch / lot, Serial Number or SGTIN on the packaging or on the asset containing it or on an accompanying document. | Mandatory (conditional) |

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|------------------------------------|---|--|-------------------------|
| 5.11 | Is there a diagram/traceability link scheme that reflects the Organisation's manufacturing operation from the point at which the product supplies, packaging and raw materials arrive until the trade item is delivered to the customer? (GTS: BRU4, BRU21) | A schematic and systematic flow diagram must exist for the processes involved in the manufacture of trade items , from the point at which the products, product supplies, packaging and raw materials arrive until the trade item is delivered to the customer. | Optional |
| 5.12 | Is there a process flow diagram that illustrates the internal trace request process? | A schematic and systematic flow diagram must exist to link trace request processes with the Organisation's production flows for its trade items and/or non-conforming products. | Recommended |
| 6. INFORMATION REQUIREMENTS | | | |
| 6.1 | Is the information of all shipments and logistic units received by the Organisation that needs to be traced described in a record? (GTS: BR6, BR13, BRU4, BRU18) ⁶ | A registry with a description must exist in one or more systems (electronic or physical) for each traceable shipment and logistic unit received by the Organisation. The description must include at least: <ul style="list-style-type: none"> • Shipment identification number (for shipments) • Logistic unit number (for logistic units) • Supplier Identification (GLN if used) • Receipt date | Mandatory (conditional) |
| 6.2 | Is the information of all globally unique shipments and logistic units received by the Organisation that needs to be traced described in a record? (GTS: BR3, BR6, BRU4) | A registry with a description must exist in one or more systems (electronic or physical) for each globally unique shipment and logistic unit received by the Organisation. The description must include at least: <ul style="list-style-type: none"> • Global Shipment Identification number with AI 402 (for shipments) • SSCC (for logistic units) • Supplier Identification (GLN if used) • Receipt date | Optional |

⁶ Although this Control Point doesn't ask for GS1 standard, it is "Mandatory Conditional". This is necessary to ensure traceability links are managed, even if the Organisation doesn't use global standards for this control point.

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|-----|--|--|-------------------------|
| 6.3 | <p>Is the delivery information of all traceable trade items <u>received</u> by the Organisation described in a record? (GTS: BR13, BRU3, BRU4, BRU22)</p> | <p>A delivery record with the trade item received must exist with the following details:</p> <ul style="list-style-type: none"> • Trade Item Identification (GTIN if used)* • Batch/lot or Serial Number (if used) • Quantity* • Supplier (GLN if used)* • Importer (for imports) (GLN if used)** • Despatch documentation* • Transporter information (GLN if used)**, address, telephone number, and fax number and email address (if available) • Receipt date* <p>(All marked with * are mandatory for GTS⁷. All marked with ** are mandatory for US Bioterrorism Act).</p> | Mandatory (conditional) |
| 6.4 | <p>Is information to determine whether a batch / lot or Serial Number of a trade item was <u>dispatched</u> or is <u>still</u> within the vicinity of the organisation available? (GTS: BR14, BRU3, BRU4, BRU7, BRU18)</p> | <p>There is a registry that documents whether a batch / lot or Serial Number of a trade item was dispatched or is still within the Organisation's vicinity No N/A</p> | Mandatory |
| 6.5 | <p>Is the information of all shipments and logistic units <u>despatched</u> by the Organisation that needs to be traced described in a record? (GTS: BR6, BR13, BRU4, BRU18)⁸</p> | <p>A record with a description must exist in one or more systems (electronic or physical) for each traceable shipment and logistic unit delivered by the Organisation. The description must include at least:</p> <ul style="list-style-type: none"> • Shipment identification number (for shipments) • Logistic unit number (for logistic units) • Batch/lot or serial number • Recipient Identification (GLN if used) • Despatched date | Mandatory (conditional) |
| 6.6 | <p>Is the information of all globally unique shipments and logistic units <u>despatched</u> by the Organisation that needs to be traced described in a record? (GTS: BR3, BR6, BRU4)</p> | <p>A record with a description must exist in one or more systems (electronic or physical) for each globally unique</p> | Mandatory |

⁷ Only the ones marked with an * are required to comply with the Control Point if the Organisation doesn't trade in the US Market

⁸ Although this Control Point doesn't ask for GS1 standard, it is "Mandatory Conditional". This is necessary to ensure traceability links are managed, even if the Organisation doesn't use global standards for this control point.

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|-----|---|---|-------------------------|
| | | <p>shipment and logistic units delivered by the Organisation</p> <p>The description must include at least:</p> <ul style="list-style-type: none"> • Global Shipment Identification number with AI 402 (for shipments) • SSCC • Recipient Identification (GLN if used) • Despatched date <p>No N/A</p> | |
| 6.7 | <p>Is the information of all traceable trade items <u>despatched</u> by the Organisation described in a record? (GTS: BR13, BRU3, BRU4, BRU23)</p> | <p>A record with the traceable trade item identification must exist with the following details:</p> <ul style="list-style-type: none"> • Trade Item Identification (GTIN if used)* • Batch/lot or serial number (if used) • Quantity* • Possible Customers (GLN if used)* • Purchasing company (for exports) (GLN if used)** • Possible Recipients (GLN if used)* • Transporter information (GLN if used)**, address, telephone number, and fax number and email address (if available) • Despatch documentation* • Despatched date* <p>All marked with * are mandatory for GTS⁹. All marked with ** are mandatory for US Bioterrorism Act).</p> | Mandatory (conditional) |
| 6.8 | <p>Is the information of all globally unique trade items <u>despatched</u> by the Organisation that needs to be traced described in a record? (GTS: BR3, BR6, BR13, BRU4, BRU18)</p> | <p>A record with a description must exist in one or more systems (electronic or physical) for each globally unique traceable trade item <u>despatched</u> by the Organisation. The description must include at least:</p> <ul style="list-style-type: none"> • GTIN (for trade items crossing point of sale) • Batch/lot or serial number • Quantity* • Possible Customers (GLN if used)* • Recipients information (GLN if used)* • Transporter information (GLN if used), address, telephone number, and fax number and email address (if available)** • Despatch documentation* • Despatched date* <p>(All marked with * are mandatory for GTS¹⁰. All marked with ** are mandatory for US Bioterrorism Act).</p> <p>No N/A</p> | Mandatory |

9 Only the ones marked with an * are required to comply with the Control Point if the Organisation doesn't trade in the US Market
 10 Only the ones marked with an * are required to comply with the Control Point if the Organisation doesn't trade in the US Market

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|------|---|--|-------------------------|
| 6.9 | <p>Is it possible to link the information of inputs with outputs (one to many, many to one, many to many) at all hierarchy levels? (GTS: BR13, BR14, BRU4, BRU6, BRU18)</p> | <p>There is a possibility to link the information of the following inputs and outputs through documentation:</p> <ul style="list-style-type: none"> Information for each logistic unit (e.g. pallet no, supplier identification) received is linked with the production batch / lot or Serial Number of the trade items Information for each production batch / lot or Serial Number of a trade item (e.g. Product code, Best before date) is linked to the transformation of the trade item (e.g. Manufacturing time, date). Information for each batch / lot or Serial Number of the trade item received (e.g. case number) is linked to the logistic units (e.g. pallet no.), shipment (e.g. shipment identification) and the batch /lot or Serial Number of the trade items distributed (e.g. product number, despatched date, location name) Information for each batch/lot or Serial Number of the trade item despatched is linked to the logistics units and shipment being delivered | Mandatory (conditional) |
| 6.10 | <p>Is it possible to link information of logistic units and batch/lot or Serial Number of trade items within the Organisation using globally unique identification numbers? (GTS: BR14, BRU4, BRU6, BRU18)</p> | <p>There is a possibility to link the information of the outputs using globally unique identification numbers:</p> <ul style="list-style-type: none"> For each logistic unit distributed by the Organisation, its SSCC number is linked with the GTIN and production batch / lot or Serial Number of the trade items For each trade item distributed, it's GTIN and batch / lot or Serial Number is linked to the SSCC of the logistic units involved | Mandatory (conditional) |
| 6.11 | <p>Is it possible to link information of each <u>despatched</u> trade item batch/ lot or Serial Number and logistic unit with the customer/destination using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)</p> | <p>There is a registry linking information of each despatched trade item batch/lot with the customer number, destination and despatched date</p> | Mandatory (conditional) |
| 6.12 | <p>Can detailed traceability information of trade items distributed by the Organisation be shared with trading partners in an event of a trace request or commercial need? (GTS: BR13, BR15, BRU14, BRU15, BRU17)</p> | <p>There are documents available with traceability information that can be shared with trading partners for each batch / lot or Serial Number of trade items distributed by the Organisation:</p> <ul style="list-style-type: none"> Trade Item identification (GTIN if used)* Quantity* Despatch date* | Mandatory |

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
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| | | <ul style="list-style-type: none"> • Possible Customers to which the batch / lot or Serial Number was despatched (GLN if used)* • Transporter utilised in the dispatch (GLN if used), address, telephone number, and fax number and email address (if available)** • Despatch documentation* • Batch / Lot or Serial Number and supplier of trade items used as inputs* • Receipt dates of batch / lot or Serial Number of trade items used as inputs* • Transporter (GLN if used), address, telephone number, and fax number and email address (if available) used in the delivery of trade items used as inputs** <p>(All marked with * are mandatory for GTS¹¹. All marked with ** are mandatory for US Bioterrorism Act).</p> <p>No N/A</p> | |
| 6.13 | Is the GS1 electronic document “Despatch Advise” (DESADV) used to send information of trade items to the trading partners prior to physical delivery? (GTS: BR13) | Prior to the delivery of a trade item, an electronic message that includes the information of the dispatched trade item is sent to the trading partners. The corresponding GS1 standards are EANCOM or GS1 XML. | Optional |
| 7. DOCUMENTATION REQUIREMENTS | | | |
| 7.1 | Are there records existing within the Organisation which validate all relevant process stages from the time trade items are received to the time trade items are delivered to trading partners? | Records and logs must exist to validate all the processes of the Organisation, from reception of trade item to the point in which the trade item is delivered to the trading partners. No N/A | Mandatory |
| 7.2 | Are there documents describing administration of traceability information such as the organisational structure, operational responsibilities and traceability system capabilities? | Documentation must exist describing the organisational structure, operational responsibilities and system capabilities for traceability such as: <ul style="list-style-type: none"> • Organisation structure • Dependency • Roles • Personnel • Infrastructure • Documentation methods • Software used (if applicable) No N/A | Mandatory |

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| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|--|--|---|-------------|
| 7.3 | Are documents related to traceability information of the trade item maintained until the end of its life cycle and stored for a minimum period of 1 year? (GTS: BR8) | All records must be kept up to date for a minimum period of one year, in accordance with regulations, standards or commercial requirements defined in the objectives of the Organisation's traceability system. No N/A | Mandatory |
| 7.4 | Are all documents on the traceability system kept up to date (at least annually), reflecting current processes and procedures? | There is concurrence between the current traceability processes and documentation. It must be confirmed that what occurs in the production line is reflected in its documentation. No N/A | Mandatory |
| 7.5 | Are documents related to traceability (traceability data) kept in a restricted area/location with only authorisation by appointed personnel? | The Organisation has an area with restricted access and authorisation of controlled documents where all traceability data is recorded, stored and/or administered. No N/A | Recommended |
| 8. STRUCTURE & RESPONSIBILITIES | | | |
| 8.1 | Does an operational traceability team exist and are their roles and responsibilities defined and documented? | The Organisation has an operational traceability team with their roles and responsibilities defined and documented. No N/A | Mandatory |
| 8.2 | Does the traceability team have the necessary resources in order to maintain the Traceability System? Resources include HR, IT and budget. | The Organisation must ensure a direct relation between HR assigned to traceability, the technology used and the budget assigned to these items. No N/A | Mandatory |
| 8.3 | Are the personnel aware of the traceability procedures and instructions applicable to their functions and know where to find them and when and how to use them? | The personnel are aware of the current traceability procedures and instructions applicable to their functions. They know where to find them and when and how to use them. No N/A | Mandatory |
| 9. TRAINING | | | |
| 9.1 | Has training on the Organisation's traceability system been provided to personnel and are these trainings updated and given periodically? | Records should indicate when (training dates) those instructions and/ or training on the Organisation's traceability system has been given to personnel responsible in traceability. No N/A | Mandatory |
| 9.2 | Have personnel, who are responsible for the Organisation's traceability system, received training on the GS1 Global Traceability Standard and the GS1 System? | Records should indicate that personnel responsible in supporting the Organisation's traceability system should be trained in the GS1 Global Traceability Standard and the GS1 System. Copies of certificates of attendance or attendance registers can be evidence of the training participation No N/A | Optional |

| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|--------------------------------------|--|---|-------------------------|
| 10. SUPPLY CHAIN COORDINATION | | | |
| 10.1 | Is it possible to obtain traceability information of all Trade Items received from all Trading Partners in a timely manner? (GTS: BR18, BR19, BRU17, BRU23, BRU25, BRU26) | From each trading partner of a batch / lot or Serial Number of a traceable trade item, it is possible to obtain at least the following traceability information: <ul style="list-style-type: none"> • Product Identification (GTIN if used)* • Quantity* • Manufacture Date* • Despatch Date* • Transporter (GLN if used), address, telephone number, and fax number and email address (if available)** (All marked with * are mandatory for GTS ¹² . All marked with ** are mandatory for US Bioterrorism Act). | Mandatory (conditional) |
| 10.2 | Is it possible to provide detailed traceability information to parties requesting it in a timely fashion as well as obtaining information from trading partners, in accordance with industry agreements? (GTS: BRU25) | For each trading partner of a batch / lot or Serial Number of a trade item, that needs to be traced, it is possible to obtain traceability information in a timely manner according to industry agreement (i.e. US Bioterrorism Act ask 4 business hours). | Recommended |
| 10.3 | Does a documented management procedure exist detailing how to manage a traceability crisis? | Documentation must exist defining when a crisis is to be activated and indicate all the actions that are to be taken in order to manage the crisis. | Recommended |
| 10.4 | Does a safety hazard crisis team exist within the Organisation and are their respective roles and responsibilities assigned? | The Organisation must have a team with authority to manage a crisis. This team must have a detailed definition of responsibilities and roles. | Recommended |
| 10.5 | Does a documented plan exist for the recall of affected products? | Documentation exists detailing how affected products are to be recalled. No N/A | Recommended |
| 10.6 | Is the safety hazard management or recall procedure capable to operate at any time? | It can be proven that the hazard management or recall procedure operates 24/7. No N/A | Recommended |
| 11. MONITORING | | | |
| 11.1 | Does a monitoring and control plan exist for the traceability system and is this plan executed periodically? | A monitoring and control plan exists for the Traceability System that periodically verifies the current operation in accordance to the scope and objectives. No N/A | Mandatory |
| 11.2 | From the monitoring and control plans in place, does the Organisation have feedback or results from their traceability system reviews? | The Organisation must provide evidence of results of monitoring and control of the Traceability System in accordance with the monitoring plan. No N/A | Recommended |

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| N° | CONTROL POINTS | COMPLIANCE CRITERIA | Level |
|---|---|--|-------------------------|
| 12. INTERNAL AND EXTERNAL AUDITS | | | |
| 12.1 | Does the Organisation maintain a register of internal or external audits to ensure compliance to the Traceability standard, and are these audits carried out at least on an annual basis? | Documentation is recorded indicating that internal or external audits have been carried out on an annual basis. No N/A | Mandatory |
| 12.2 | Are there records of past traceability reviews and audits? | There are records of past results of traceability reviews and audits within the Organisation No N/A | Mandatory |
| 12.3 | Are there corrective action plans shown in internal and external (3 rd party) audits performed to resolve Non-Conformities involving traceability system requirements? | There are documents which describe actions taken to resolve the Non-Conformities of the traceability system requirements | Mandatory (conditional) |

3 Glossary of Business Terms

(Please refer to www.gs1.org/glossary for the latest version)

| Term | Description |
|--|---|
| Audit team leader | [ISO 19011] One of whom is appointed to be the audit leader from an audit team |
| Batch / Lot | [GS1 GTS] The batch or lot number associates a trade item with information the manufacturer considers relevant for traceability of the item. The data may refer to the trade item itself or to items contained in it. GDD Implementation Notes: A typical batch/ lot code might include a plant location, production line, date of production and shift. The format and structure will vary by organisation. |
| Compliance Criteria | Are the facts that must be monitored and documented by the Organisation in order to maintain traceability over a certain Control Point |
| Consumer | [GS1 GTS] The end user of a trade item or a service. |
| Consumer Unit | [EANCOM Glossary] The package size of a product or products agreed by trading partners as the size sold at the retail point of sale. |
| Correction | Action to eliminate a detected nonconformity. |
| Corrective Action | Action to be taken to eliminate the cause of a detected non conformity or other undesirable situation in a traceability system. |
| Customer | [GS1 General Specification] The party that receives, buys, or consumes an item or service. |
| Data Carrier | [GS1 General Specification] A means to represent data in a machine readable form; used to enable automatic reading of the Element Strings. |
| Data Matrix | [GS1 General Specification] A standalone, two-dimensional matrix symbology that is made up of square modules arranged within a perimeter finder pattern. Data Matrix ISO version ECC 200 is the only version that supports GS1 System identification numbers, including Function 1 Symbol Character. Data Matrix Symbols are read by two dimensional imaging scanners or vision systems. |
| EANCOM | [GS1 General Specification] The GS1 standard for Electronic Data Interchange (EDI) is a detailed implementation guideline of the UN/EDIFACT standard messages using the GS1 Identification Keys. |
| EAN-13 | [GS1 General Specification] A barcode symbol of the EAN/UPC Symbology that encodes GTIN-13, Coupon-13, RCN-13, and VMN-13. |
| Electronic Product Code | [GS1 General Specification] An identification scheme for universally identifying physical objects (e.g. trade items, assets, and locations) via RFID tags and other means. The standardised EPC data consists of an EPC (or EPC Identifier) that uniquely identifies an individual object, as well as an optional Filter Value when judged to be necessary to enable effective and efficient reading of the EPC tags. |
| Flow Diagram | Schematic and systematic presentation of the sequence and interactions of steps. |
| GIAI (Global Individual Asset Identifier) | [GS1 General Specification] The GS1 Identification Key used to identify an Individual Asset. The key is comprised of a GS1 Company Prefix and Individual Asset Reference. |
| GLN (Global Location Number) | [GS1 General Specification] The GS1 Identification Key used to identify physical locations or legal entities. The key is comprised of a GS1 Company Prefix, Location Reference, and Check Digit |
| GRAI (Global Returnable Asset Identifier) | [GS1 General Specification] The GS1 Identification Key used to identify Returnable Assets. The key is comprised of a GS1 Company Prefix, Asset Type, Check Digit, and optional serial number. |
| GSIN (Global Shipment Identification Number) | [GS1 General Specification] The GS1 Identification Key used to identify a logical grouping of logistic or transport units that are assembled by the consignor (seller) for a transport shipment from that consignor to one consignee (buyer) referencing a despatch advice and/or BOL. The key comprises a GS1 Company Prefix, Shipper Reference and Check Digit. |
| GTIN (Global Trade Item Number) | [GS1 General Specification] The GS1 Identification Key used to identify trade items. The key is comprised of a GS1 or U.P.C. Company Prefix followed by an Item Reference Number and a Check Digit. |



| Term | Description |
|---------------------------------------|---|
| GS1 Application Identifier (AI) | [GS1 General Specification] The field of two or more digits at the beginning of an Element String that uniquely defines its format and meaning. |
| GS1-128 Symbology | [GS1 General Specification] A subset of the Code 128 that is utilised exclusively for GS1 System data structures. |
| GS1 DataBar | [GS1 General Specification] A family of barcode symbols, including GS1 DataBar Truncated, GS1 DataBar Limited, GS1 DataBar Expanded, and GS1 DataBar Stacked. Any member of the GS1 DataBar family can be printed as a stand-alone linear symbol or as a composite symbol with an accompanying 2D Composite Component printed directly above the GS1 DataBar linear component. |
| GS1 DataMatrix | [GS1 General Specification] GS1 implementation specification for use of Data Matrix. |
| GS1 Identification Key | [GS1 General Specification] A numeric or alphanumeric data field defined by GS1 to ensure the global, unambiguous uniqueness of the identifier in the open demand or supply chain. |
| GS1 XML | [GS1 General Specification] The GS1 standard for Extensible Mark-up Language schemas providing users with a global business messaging language of e-business to conduct efficient Internet-based electronic commerce. |
| Identification number | [GS1 General Specification] A numeric or alphanumeric field intended to enable the recognition of one entity versus another. |
| Identify physically | It is related to the identification of products with a number but not necessarily converted into a barcode symbology. |
| Intermediate Item | [GS1 GTS] Partly processed product that must undergo further manufacturing steps before it becomes a bulk finished product. |
| Location | A place where a traceable item is or could be located [ISO / CD 22519]. A place of production, handling, storage and / or sale. (Examples include Farms, Processing Plants, Distribution Centres and Warehouses. The internal and external locations shall be defined in the declaration of the objectives at the beginning of the audit process). |
| Logistic Unit | [GS1 General Specification] An item of any composition established for transport and/or storage that needs to be managed through the supply chain. It is identified with an SSCC. |
| Manufacturer | [GS1 General Specification] The Party that produces the Item. |
| Master Data | [GS1 GTS] Master Data describes each item and party involved in supply chain processes. Master Data is defined as data having the following characteristics: Permanent or lasting nature Relatively constant across time, not being subject to frequent change Accessed / used by multiple business processes and system applications Can either be neutral or relationship dependent |
| Monitoring | Conducting a planned sequence of observations and measurements to assess whether control measures are operating as intended. |
| Party | [GS1 GTS] A Party (or) Location is any legal or physical entity involved at any point in any supply chain and upon which there is a need to retrieve pre-defined information. A Party is uniquely identified by a Global Location Number (GLN). |
| Point of Sale (POS) | [GS1 General Specification] Refers to the retail checkout where omnidirectional barcodes must be used to enable very rapid scanning or low volume checkout where linear or 2D matrix barcodes are used with image-based scanners. |
| Process | [GS1 GTS] A series of actions or steps towards achieving a particular end. Examples of common processes include Production, Transformation, Quality Control, Storage, Transportation, Movement, Recycle, Return, Packing, Receiving and Traceability. |
| Safety Hazard | Chemical, biological or physical agent in product, or condition of product, with the potential to cause an adverse health effect. |
| Shipment | [GS1 General Specification] A grouping of logistics and transport units assembled and identified by the seller (sender) of the goods travelling under one despatch advice and/or Bill of Lading to one customer (recipient). |
| SSCC (Serial Shipping Container Code) | [GS1 General Specification] The GS1 Identification Key used to identify logistics units. The key is comprised of an Extension digit, GS1 Company Prefix, Serial Reference, and Check Digit. |



| Term | Description |
|---|---|
| SGTIN (Serialised Global Trade Item Number) | [GS1 GTS] SGTIN is a method of identifying items at the unit or retail level as well as at the case and carton levels. It is composed of a GS1 assigned Company Prefix & Item Reference (GTIN), combined with a Serial Number. Where GS1 barcodes have traditionally been used, the SGTIN specification combined with an EPC tag can give visibility beyond the Item Reference right down to the exact serial number of the item. |
| Supplier | [GS1 General Specification] The party that produces, provides, or furnishes an item or service. |
| Traceability | [GS1 GTS] Traceability is the ability to track forward the movement through specified stage(s) of the extended supply chain and trace backward the history, application or location of that which is under consideration. |
| Traceability System | [GS1 GTS] The tools and organisation necessary to implement the traceability process in a given environment, party or group or parties |
| Traceable Item | [GS1 GTS] A physical object where there may be a need to retrieve information about its history, application, or location. The level at which the traceable item is defined within a product packaging or logistical hierarchy is dependent on the industry and degree of control required. Could be tracked, traced, recalled or withdrawn. Could exist in multiple locations at the same time (for example, if identified at the trade item and batch level). A traceable item may be related to another traceable item. It is the choice of the Traceability Partner which identification level (e.g. GTIN or Lot/Batch or serial level) to use for the traceable item. See also definition for process. |
| Traceable Item Recipient | [GS1 GTS] The Partner that receives the traceable item. |
| Trade Item | [GS1 General Specification] Any item (product or service) upon which there is a need to retrieve pre-defined information and that may be priced, or ordered, or invoiced at any point in any supply chain. |
| Trading Partner | [GS1 GTS] Any Supply Chain Partner that has a direct impact on the flow of goods through the supply chain. Examples include Third Party Logistics Provider, Manufacturer, Retailer, and Grower. |
| Transporter | [GS1 GTS] The Traceability Partner that receives, carries, and delivers one or more traceable items from one point to another without transforming the traceable item(s). Typically only has possession, custody, or control of a traceable item, but may have ownership. |

A Relationship between the GTC Checklist and other Standards

A.1 The GTC and its Relationship with Traceability Standards and Best Manufacture Practices (BMP) Standards

There are several Control Points in the GS1 GTC Checklist that fulfil the traceability requirements of other main standards. This appendix present cross references between the Control Points of this document and the Traceability requirements of the following standards.

- ISO 22005
- ISO 9001
- HACCP (ISO 22000:2005)
- BRC (British Retail Consortium) Global Standard - Food
- IFS (International Featured Standard) - Food
- SQF (Safe Quality Food)
- GlobalG.A.P

! **Important:** The cross references between the GS1 GTC Checklist and the standards addressed in this Appendix has been prepared by GS1 and do NOT in any case imply compliance with the traceability requirements of such standards. This cross references have not been validated by the Standard Bodies that own the standards presented in this Appendix

A.2 Cross Reference between the GS1 GTC Checklist and Traceability Standards and Best Manufacture Practices (BMP) Standards

A.2.1 ISO 22005

To date, the GS1 GTC Checklist has been benchmarked against ISO 22005:2005, Traceability in the feed and food chain – General principles and basic requirements for system design and implementation. The following table presents the cross reference between the GS1 GTC Checklist and the traceability requirements and clauses of ISO 22005:2005:

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|--------------------------------|-----------------------------------|--|
| ISO 22005 | 1.CHOICE OF OBJECTIVES | 1.1, 1.3, 1.4 | 28 |
| | 2. PRODUCT DEFINITIONS | 2.1, 2.4 | |
| | 3. SUPPLY CHAIN PLACEMENT | 3.2 | |
| | 4. ESTABLISHMENT OF PROCEDURES | 4.1, 4.3, 4.8, 4.10 | |
| | 5. FLOW OF MATERIAL | 5.10 | |
| | 6. INFORMATION REQUIREMENTS | 6.3, 6.9, 6.11, 6.12 | |
| | 7. DOCUMENTATION REQUIREMENTS | 7.1, 7.2 ¹³ , 7.3, 7.4 | |

¹³ ISO 22005 does not specify specific information.

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|----------------------------------|----------------------------|--|
| | 8. STRUCTURE & RESPONSIBILITIES | 8.1, 8.2, 8.3 | |
| | 9. TRAINING | 9.1 | |
| | 10. SUPPLY CHAIN COORDINATION | 10.1 ¹⁴ | |
| | 11. MONITORING | 11.1 | |
| | 12. INTERNAL AND EXTERNAL AUDITS | 12.1, 12.2, 12.3 | |

A.2.2 ISO 9001

ISO 9001:2008, Quality management systems - Requirements. This standard specifies requirements for a quality management system where an Organisation needs to demonstrate its ability to consistently provide product that meets customer and applicable statutory and regulatory requirements, and aims to enhance customer satisfaction through the effective application of the system, including processes for continual improvement of the system and the assurance of conformity to customer and applicable statutory and regulatory requirements. The following table presents the cross reference between the GS1 GTC Checklist and the traceability requirements and clauses of the ISO 9001:2008 standard:

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|----------------------------------|----------------------------|--|
| ISO 9001 | 1. CHOICE OF OBJECTIVES | 1.4 | 9 |
| | 2. PRODUCT DEFINITIONS | 2.3 | |
| | 3. SUPPLY CHAIN PLACEMENT | 3.2 | |
| | 4. ESTABLISHMENT OF PROCEDURES | 4.1, 4.8 | |
| | 5. FLOW OF MATERIAL | 5.6 | |
| | 6. INFORMATION REQUIREMENTS | 6.9 | |
| | 7. DOCUMENTATION REQUIREMENTS | 7.1, 7.2 | |
| | 8. STRUCTURE & RESPONSIBILITIES | N/A | |
| | 9. TRAINING | N/A | |
| | 10. SUPPLY CHAIN COORDINATION | N/A | |
| | 11. MONITORING | N/A | |
| | 12. INTERNAL AND EXTERNAL AUDITS | N/A | |

¹⁴ ISO 22005 does not specify the information to be provided by the suppliers.

A.2.3 HACCP (ISO 22000:2005)

The GS1 GTC Checklist contains some Control Points included in the HACCP (HAZARD ANALYSIS AND CRITICAL CONTROL POINT) standard – that is widely known, utilised and required by the food industry and considered within the ISO 22000:2005 standard “Food safety management systems – Requirements for any Organisation in the food Chain”. The following table presents the cross reference between the GTC Checklist and the traceability requirements and clauses of HACCP:

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|----------------------------------|---------------------------------------|--|
| HACCP | 1. CHOICE OF OBJECTIVES | N/A | 12 |
| | 2. PRODUCT DEFINITIONS | 2.1 ¹⁵ , 2.4 ¹⁶ | |
| | 3. SUPPLY CHAIN PLACEMENT | 3.2 ¹⁷ | |
| | 4. ESTABLISHMENT OF PROCEDURES | 4.1, 4.8 | |
| | 5. FLOW OF MATERIAL | 5.10 | |
| | 6. INFORMATION REQUIREMENTS | 6.9, 6.11 | |
| | 7. DOCUMENTATION REQUIREMENTS | 7.1 ¹⁸ , 7.3 | |
| | 8. STRUCTURE & RESPONSIBILITIES | N/A | |
| | 9. TRAINING | N/A | |
| | 10. SUPPLY CHAIN COORDINATION | 10.3, 10.4 | |
| | 11. MONITORING | N/A | |
| | 12. INTERNAL AND EXTERNAL AUDITS | N/A | |

A.2.4 BRC (British Retail Consortium)

The BRC Global Standard – Food “was developed to assist retailers in their fulfilment of legal obligations and protection of the consumer, by providing a common basis for the audit of companies supplying retailer branded food products”¹⁹. It requires the adoption and implementation of HACCP. The following table presents the cross reference between the GS1 GTC Checklist and the traceability requirements and clauses of the BRC Global Standard – Food:

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|---------------------------|---------------------------------------|--|
| BRC | 1. CHOICE OF OBJECTIVES | 1.1, 1.2 | 23 |
| | 2. PRODUCT DEFINITIONS | 2.1 ²⁰ , 2.4 ²¹ | |
| | 3. SUPPLY CHAIN PLACEMENT | 3.2 ²² | |

15 HACCP requires identification, but not coding of all trade items when dispatched

16 HACCP requires identification, but not coding of all food supplies and raw materials that affect the security of a trade item

17 HACCP requires identification, but not coding of all services that affect the trade items

18 HACCP requests a detailed description of trade items.

19 BRC GLOBAL STANDARD – FOOD, Issue 4, British Retail Consortium, January 2005.

20 This point is required by HACCP, but is not explicit in BRC

21 This point is required by HACCP, but is not explicit in BRC

22 This point is required by HACCP, but is not explicit in BRC

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|----------------------------------|--|--|
| | 4. ESTABLISHMENT OF PROCEDURES | 4.1 ²³ , 4.5, 4.8 ²⁴ , 4.9, 4.10 | |
| | 5. FLOW OF MATERIAL | 5.10, 5.12 | |
| | 6. INFORMATION REQUIREMENTS | 6.9, 6.11 | |
| | 7. DOCUMENTATION REQUIREMENTS | 7.1, 7.3, 7.5 | |
| | 8. STRUCTURE & RESPONSIBILITIES | N/A | |
| | 9. TRAINING | N/A | |
| | 10. SUPPLY CHAIN COORDINATION | 10.3, 10.4, 10.5, 10.6 | |
| | 11. MONITORING | 11.1, 11.2 | |
| | 12. INTERNAL AND EXTERNAL AUDITS | N/A | |

A.2.5 IFS (International Featured Standard)

IFS FOOD, Version 6, International Featured Standard. It is a norm created by the major German and French distribution Organisations that regulates the quality management systems in Organisations within the food and feeding sector, with the objective to obtain the maximum security in the manufacture processes and/or food manipulation. The following table presents the cross reference between the GS1 GTC Checklist and the traceability requirements and clauses of the IFS FOOD Standard:

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|---------------------------------|---|--|
| IFS | 1.CHOICE OF OBJECTIVES | N/A | 17 |
| | 2. PRODUCT DEFINITIONS | 2.1 ²⁵ , 2.4 ²⁶ | |
| | 3. SUPPLY CHAIN PLACEMENT | 3.2 ²⁷ | |
| | 4. ESTABLISHMENT OF PROCEDURES | 4.1 ²⁸ , 4.8 ²⁹ , 4.9, 4.10 | |
| | 5. FLOW OF MATERIAL | 5.10 | |
| | 6. INFORMATION REQUIREMENTS | 6.9, 6.11 | |
| | 7. DOCUMENTATION REQUIREMENTS | 7.1, 7.3 | |
| | 8. STRUCTURE & RESPONSIBILITIES | N/A | |
| | 9. TRAINING | N/A | |

23 This point is required by HACCP, but is not explicit in BRC
 24 This point is required by HACCP, but is not explicit in BRC
 25 This point is required by HACCP, but is not explicit in IFS
 26 This point is required by HACCP, but is not explicit in IFS
 27 This point is required by HACCP, but is not explicit in IFS
 28 This point is required by HACCP, but is not explicit in IFS
 29 This point is required by HACCP, but is not explicit in IFS

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|----------------------------------|----------------------------|--|
| | 10. SUPPLY CHAIN COORDINATION | 10.3, 10.4,10.5 | |
| | 11. MONITORING | 11.1, 11.2 | |
| | 12. INTERNAL AND EXTERNAL AUDITS | N/A | |

A.2.6 SQF (Safe Quality Food)

SQF 2000 CODE, “A HACCP Supplier Assurance Code for the Food Industry, 5th Edition – Issued November 2005”, SQF Institute. It is a food safety and quality certification standard developed by the US Food Marketing Institute. Enables a Supplier to demonstrate that they can supply food that is safe and that meets the quality specified by a customer. The following table presents the cross reference between the GS1 GTC Checklist and the traceability requirements and clauses of the IFS FOOD Standard:

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|----------------------------------|----------------------------|--|
| SQF | 1.CHOICE OF OBJECTIVES | N/A | 16 |
| | 2. PRODUCT DEFINITIONS | 2.1, 2.4 | |
| | 3. SUPPLY CHAIN PLACEMENT | N/A | |
| | 4. ESTABLISHMENT OF PROCEDURES | 4.1, 4.4, 4.8, 4.9, 4.10 | |
| | 5. FLOW OF MATERIAL | N/A | |
| | 6. INFORMATION REQUIREMENTS | 6.9, 6.11 | |
| | 7. DOCUMENTATION REQUIREMENTS | 7.2, 7.3 | |
| | 8. STRUCTURE & RESPONSIBILITIES | N/A | |
| | 9. TRAINING | N/A | |
| | 10. SUPPLY CHAIN COORDINATION | 10.3, 10.4, 10.5 | |
| | 11. MONITORING | 11.1, 11.2 | |
| | 12. INTERNAL AND EXTERNAL AUDITS | N/A | |

A.2.7 GlobalG.A.P

GlobalG.A.P is a private sector body that sets voluntary standards for the certification of agricultural products around the globe. The aim is to establish a common approach for Good Agricultural Practice (G.A.P.) with different product applications capable of fitting to the whole of global agriculture. It consists of a set of normative documents. These documents cover the GLOBALGAP General Regulations, the GLOBALGAP Control Points and Compliance Criteria and the GLOBALGAP GS1 GTC Checklist. The following table presents the cross reference between the GTC Checklist and the traceability requirements and clauses of the GlobalG.A.P Standard:

| Standard reference | GTC Section | Related GTC Control Points | Total Reference Control Points Addressed |
|--------------------|----------------------------------|----------------------------|--|
| GlobalG.A.P | 1. CHOICE OF OBJECTIVES | N/A | 5 |
| | 2. PRODUCT DEFINITIONS | N/A | |
| | 3. SUPPLY CHAIN PLACEMENT | N/A | |
| | 4. ESTABLISHMENT OF PROCEDURES | 4.8 | |
| | 5. FLOW OF MATERIAL | N/A | |
| | 6. INFORMATION REQUIREMENTS | 6.7, 6.8, 6.9 | |
| | 7. DOCUMENTATION REQUIREMENTS | 7.3 | |
| | 8. STRUCTURE & RESPONSIBILITIES | N/A | |
| | 9. TRAINING | N/A | |
| | 10. SUPPLY CHAIN COORDINATION | N/A | |
| | 11. MONITORING | N/A | |
| | 12. INTERNAL AND EXTERNAL AUDITS | N/A | |

! **Important:** It is important to note that if an Organisation complies with all the BMP Control Points, this does not imply compliance to the full BMP standard itself, it only assures that the Organisation complies with the “traceability requirements” of the BMP standard.

A.3 Cross Reference Summary

The following table presents all the related standards covered by every Control Point:

| Control point | GTS | 22005 | HACCP | IFS | BRC | SQF | 9001 | Global GAP |
|--------------------------------|-----|-------|-------|-----|-----------|-----|------|------------|
| 1. CHOICE OF OBJECTIVES | | | | | | | | |
| 1.1 | √ | √ | | | √ (1.1.6) | | | |
| 1.2 | √ | | | | √ (1.1.6) | | | |
| 1.3 | | √ | | | | | | |
| 1.4 | | √ | | | | | √ | |
| 2. PRODUCT DEFINITIONS | | | | | | | | |
| 2.1 | | √ | √ | √ | √ | √ | | |
| 2.2 | √ | | | | | | | |
| 2.3 | | | | | | | √ | |
| 2.4 | √ | √ | √ | √ | √ | √ | | |
| 2.5 | √ | | | | | | | |



| Control point | GTS | 22005 | HACCP | IFS | BRC | SQF | 9001 | Global GAP |
|---------------------------------------|-----|-------|-------|--------------|---------------|--------------|------|------------|
| 3. SUPPLY CHAIN PLACEMENT | | | | | | | | |
| 3.1 (US Bio Act) | | | | | | | | |
| 3.2 | | √ | √ | √ | √ | | √ | |
| 3.3 | √ | | | | | | | |
| 3.4 | √ | | | | | | | |
| 3.5 | √ | | | | | | | |
| 3.6 | √ | | | | | | | |
| 3.7 | √ | | | | | | | |
| 4. ESTABLISHMENT OF PROCEDURES | | | | | | | | |
| 4.1 | | √ | √ | √ | √ | √ | √ | |
| 4.2 | √ | | | | | | | |
| 4.3 | | √ | | | | | | |
| 4.4 | | | | | | √ | | |
| 4.5 | | | | | √ (3.9.4) | | | |
| 4.6 | √ | | | | | | | |
| 4.7 | √ | | | | | | | |
| 4.8 | √ | √ | √ | √ | √ | √ | √ | √ |
| 4.9 | √ | | | √ (5.9.1) | √ (3.11.2) | √ (2.6.3) | | |
| 4.10 | √ | √ | | √ | √ (3.11.2) | √ | | |
| 5. FLOW OF MATERIAL | | | | | | | | |
| 5.1 | √ | | | | | | | |
| 5.2 | √ | | | | | | | |
| 5.3 | √ | | | | | | | |
| 5.4 | √ | | | | | | | |
| 5.5 | √ | | | | | | | |
| 5.6 | | | | | | | √ | |
| 5.7 | √ | | | | | | | |
| 5.8 | √ | | | | | | | |
| 5.9 | √ | | | | | | | |
| 5.10 | √ | √ | √ | √ | √ | | | |
| 5.11 | √ | | | | | | | |
| 5.12 | | | | | √ (3.8.1) | | | |

| Control point | GTS | 22005 | HACCP | IFS | BRC | SQF | 9001 | Global GAP |
|--|-----|-------|-------|-----|---------------|-----|------|------------|
| 6. INFORMATION REQUIREMENTS | | | | | | | | |
| 6.1 | √ | | | | | | | |
| 6.2 | √ | | | | | | | |
| 6.3 | √ | √ | | | | | | |
| 6.4 | √ | | | | | | | |
| 6.5 | √ | | | | | | | |
| 6.6 | √ | | | | | | | |
| 6.7 | √ | | | | | | | √ |
| 6.8 | √ | | | | | | | √ |
| 6.9 | √ | √ | √ | √ | √ | √ | √ | √ |
| 6.10 | √ | | | | | | | |
| 6.11 | √ | √ | √ | √ | √ | √ | | |
| 6.12 | √ | √ | | | | | | |
| 6.13 | √ | | | | | | | |
| 7. DOCUMENTATION REQUIREMENTS | | | | | | | | |
| 7.1 | | √ | √ | √ | √ | | √ | |
| 7.2 | | √ | | | | √ | √ | |
| 7.3 | √ | √ | √ | √ | √ | √ | | √ |
| 7.4 | | √ | | | | | | |
| 7.5 | | | | | √ (3.2.1) | | | |
| 8. STRUCTURE & RESPONSIBILITIES | | | | | | | | |
| 8.1 | | √ | | | | | | |
| 8.2 | | √ | | | | | | |
| 8.3 | | √ | | | | | | |
| 9. TRAINING | | | | | | | | |
| 9.1 | | √ | | | | | | |
| 9.2 | √ | | | | | | | |
| 10. SUPPLY CHAIN COORDINATION | | | | | | | | |
| 10.1 | √ | √ | | | | | | |
| 10.2 | √ | | | | | | | |
| 10.3 | | | √ | √ | √ | √ | | |
| 10.4 | | | √ | √ | √ | √ | | |
| 10.5 | | | | √ | √ | √ | | |
| 10.6 | | | | | √ (3.11.2) | | | |



| Control point | GTS | 22005 | HACCP | IFS | BRC | SQF | 9001 | Global GAP |
|---|-----|-------|-------|-----|-----|-----|------|------------|
| 11. MONITORING | | | | | | | | |
| 11.1 | | √ | | √ | √ | √ | | |
| 11.2 | | | | √ | √ | √ | | |
| 12. INTERNAL AND EXTERNAL AUDITS | | | | | | | | |
| 12.1 | | √ | | | | | | |
| 12.2 | | √ | | | | | | |
| 12.3 | | √ | | | | | | |

B Mapping of control points from old to new version

| Issue 3, Jun 2010 | Issue 4, Dec 2015 | Description of Change |
|---------------------------------------|-------------------|---|
| 1. OBJECTIVES | | |
| 1.1 | 1.1 | Consolidation into a single control point with the criteria being rephrased. This control point has taken into account the management of applicable traceability requirements to which the trade item (s) is delivered/despached/exported and/or sold . |
| 1.2 | 1.1 | |
| 1.3 | 1.2 | Compliance level has been changed from Mandatory (Conditional) to Recommended . Rephrased control point with corresponding criteria. This control point accounts for the customer's traceability requirements for trade items. |
| 1.4 | 1.3 | Description of compliance criteria has been detailed such as having a scope, objective and plan for a traceability system, traceability link management and description of roles & responsibilities for the traceability system . |
| 1.5 | 1.4 | Description of compliance criteria is clarified by detailing the methodology of checking the management team's awareness of the traceability system's scope & objective |
| 2. PRODUCT DEFINITIONS | | |
| 2.1 | 2.4 | Rearrangement of order in control points to reflect reception of inputs and despatch of output/final product. Replaced description of globally unique identification with GS1 Global Trade Item Number (GTIN) and included BR 13 as a corresponding reference |
| 2.2 | 2.3 | This control point has been reworded to reflect ISO 9001's traceability requirement. In ISO 9001, there is no mention of Master Data for intermediate items |
| 2.3 | 2.1 | Rearrangement of order in control points to reflect reception of inputs and despatch of output/final product |
| 2.4 | 2.2 | Rearrangement of order in control points to reflect reception of inputs and despatch of output/final product. Replaced description of globally unique identification with GS1 Global Trade Item Number (GTIN) and included BR 13 as a corresponding reference |
| 2.5 | 2.5 | Compliance level has been changed from Recommended to Optional to reflect consistency of compliance level's definition. Replaced description of globally unique identification for assets with GS1 Global Returnable Asset Identifier (GRAI) and/or Global Individual Asset Identifier (GIAI) . This control point is only relevant to GS1 GTS because ISO 9001 (which has been benchmarked) has no mention of assets in its traceability requirements. |
| 3. SUPPLY CHAIN PLACEMENT | | |
| 3.1 to 3.2 | 3.2 to 3.3 | Rearrangement of order in control points to reflect identification and description of parties in Master Data systems |
| 3.3 | 3.4 | Rearrangement of order in control points to reflect identification and description of internal & external locations in Master Data systems |
| 3.4 | 3.5 | |
| 3.5 | 3.6 | |
| 3.6 | 3.7 | |
| 3.7 | 3.1 | Rearrangement of order in control points to reflect identification of personnel in Master Data systems |
| 4. ESTABLISHMENT OF PROCEDURES | | |
| 4.1 | 4.1 | Reworded the description of control point to reflect emphasis on the establishment of procedures. Description of compliance criteria has been |

| Issue 3, Jun 2010 | Issue 4, Dec 2015 | Description of Change |
|-----------------------------|-------------------|---|
| 4.2 | 4.4 | detailed with the addition of document number for procedures/procedure or ID |
| 4.3 | 4.1 | Consolidation into a single control point. Reworded the description of control point to reflect emphasis on the establishment of procedures. Description of compliance criteria has been detailed with the addition of document number for procedures/procedure or ID |
| 4.4 | 4.6 | Reworded the description which emphasis only on critical Master Data for traceability purposes |
| 4.5 | 4.7 | Compliance level has been changed from Recommended to Optional to reflect consistency of compliance level's definition |
| 4.6-4.7 | 4.2-4.3 | Rearrangement of order in control points to reflect logical flow. These control points describe the definition of lot/batch for trade items and the procedures for intermediate items |
| 4.8 | 4.5 | Rearrangement of order in control points to reflect logical flow within the section. This control point describes procedures for the batch/lot of intermediate and reworked items . The corresponding standard for this control point is the BRC Version 7 . |
| 4.9-4.10 | 4.8 | Consolidation into a single control point reflecting procedures for collecting, recording and sharing traceability information between partners with regards to the person responsible for the tasks |
| 4.11 | 4.9 | Reworded control point impacted the compliance level from Recommended to Mandatory. This control point has corresponding key business requirements in the GTS which was added (BR17 & BR 18) |
| - | 4.10 | Control point to reflect key traceability process of communication with internal and external parties in an event of a recall. This control point has corresponding business rules in the GTS, ISO 22005, IFS, SQF and BRC Version 7 |
| 5. FLOW OF MATERIALS | | |
| 5.1 | 5.11 | Reworded the description and attached the corresponding GTS Business Rules, BRU4 & BRU21 . The compliance level has been changed from Recommended to Optional. Removed No N/A to accommodate the possibility that the organisation being assessed does not have a manufacturing process |
| 5.2 | 5.12 | Reworded description and compliance criteria. This control point is looking at a schematic diagram to link the trace request processes with production processes for its trade items and/or non-conforming products . For non-conforming products , it is corresponding with BRC Version 7 requirements |
| 5.3-5.4 | 5.9 | The two control points were merged into one. Included another corresponding GTS Business Requirement, BR3. BR3 clearly states that any trade item which needs to be tracked forward and traced back between trade partners MUST be globally unique, justifying changes of compliance from Mandatory (Conditional) to Mandatory Must . The term, "distributed" has been changed to " despatched " |
| 5.5 | 5.10 | Rearrangement of order in control points to reflect logical flow within the section. The term, "distributed" has been changed to " despatched " |
| 5.6-5.7 | 5.8 | The two control points were merged into one. Rearrangement of order in control points to reflect logical flow within the section. The term, "distributed" has been changed to "despatched" |



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|------------------------------------|-------------------|---|
| 5.8 | 5.7 | Rearrangement of order in control points to reflect logical flow within the section. Included another corresponding GTS Business Requirement, BR3. Replaced description of globally unique shipment identification for shipments despatched with GS1 Global Shipping Identification Number (GSIN) |
| 5.9-5.10 | 5.6 | The two control points were merged into one. Compliance level has been changed from Recommended to Mandatory (Conditional) as identification of intermediate items are critical for traceability, especially if it involves one to many |
| 5.11-5.12 | - | Removed these 2 control points because mandatory requirements for trade items being received is only allowed with GS1 standards. |
| 5.13-5.14 | 5.5 | The two control points were merged together. Included another corresponding GTS Business Requirement, BR3. This BR clearly states that any trade item which needs to be tracked forward and traced back between trade partners MUST be globally unique. This justifies the compliance level being changed from Optional to Mandatory Musts. |
| 5.15 | 5.3 | Rearrangement of order in control points to reflect logical flow within the section. Compliance level has been changed from Recommended to Mandatory (Conditional) with corresponding Business Rule, BRU4. Identification of logistics units receive is key in managing the traceability links within the organisation. |
| 5.16-5.17 | 5.4 | Rearrangement of order in control points to reflect logical flow within the section. The two control points were merged into one. Included other corresponding GTS Business Requirement, BR3 and BR12 |
| 5.18 | 5.1 | Rearrangement of order in control points to reflect logical flow within the section. These control points correspond with the identification of received shipments. |
| 5.19 | 5.2 | |
| 6. INFORMATION REQUIREMENTS | | |
| 6.1-6.2 | 6.9 | Rearrangement of order in control points to reflect logical flow within the section. Control points have been reworded to reflect clarity. |
| 6.3, 6.6, 6.15 | 6.1 | Rearrangement of order in control points to reflect logical flow within the section. Control points have been reworded to reflect clarity |
| 6.4 and 6.7 | 6.2 | Rearrangement of order in control points to reflect logical flow within the section. The two control points were merged together. The corresponding BR and BRU requirements have been revised |
| 6.5 and 6.8 | 6.6 | Rearrangement of order in control points to reflect logical flow within the section. The two control points were merged together. The corresponding BR and BRU requirements have been revised. Compliance level after merge is Mandatory Must. |
| 6.9 and 6.12 | 6.10 | Rearrangement of order in control points to reflect logical flow within the section. The two control points were merged together |
| 6.10,6.11,6.13,6.14 | 6.9 | Rearrangement of order in control points to reflect logical flow within the section. The control points were merged and described in the compliance criteria |
| 6.16-6.17 | 6.11 | Rearrangement of order in control points to reflect logical flow within the section. The two control points were merged together. Compliance level after merge is Mandatory (Conditional) |

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| 6.18 | 6.4 | Rearrangement of order in control points to reflect logical flow within the section. Description of the control point was reworded to give clarity |
| 6.19 | - | Removed |
| 6.20-6.21 | 6.7 | Rearrangement of order in control points to reflect logical flow within the section. The two control points were merged together. Compliance level after merge is Mandatory (Conditional) |
| 6.22 | 6.3 | Rearrangement of order in control points to reflect logical flow within the section |
| 6.23 | 6.12 | Rearrangement of order in control points to reflect logical flow within the section |
| 6.24 | 6.3 | This is the same control point as 6.22 (old version) |
| 6.25 | - | This has been moved to Section 4 with the corresponding control point 4.9 |
| 6.26 | - | Removed because this relates more to quality |
| 6.27 | - | Removed because there are no requirements supporting this control point |
| 6.28 | 6.13 | Rearrangement of order in control points to reflect logical flow within the section |
| 6.29 | - | Removed from this section and is now merged with 10.2 |
| 6.30 | - | Removed because there are no requirements supporting this control point |
| - | 6.5 | This control point was created to fill the missing control point regarding information requirements for shipments and logistics units being despatched by the Organisation |
| - | 6.8 | This control point was created to fill the missing control point regarding information requirements for globally unique trade items being despatched by the Organisation |
| 7. DOCUMENTATION REQUIREMENTS | | |
| 7.1-7.2 | - | Removed this control point because companies wouldn't have just a Traceability Manual but would include the key elements of a traceability system in their Quality Manual. This has been addressed in control point 1.3 |
| 7.3-7.5, 7.7 | 7.1-7.4 | These control points have been reworded to show the following: Documentation requirements for key traceability processes (receiving of raw materials to despatch of final products) Documentation on organisation structure, responsibilities and system capabilities Documentation storage, management and change of traceability procedures |
| 7.6 | 7.5 | Reworded to reflect if the organisation has documentation control over traceability data by restriction of location and access. This requirement corresponds with BRC Version 7 (3.2.1) |
| 8. STRUCTURE & RESPONSIBILITIES | | |
| 8.1-8.3 | 8.1-8.3 | No changes |
| 8.4 | - | Deleted the control point as it did not have any reference to existing commercial requirements and reference to the GTS |



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|---|-------------------|--|
| 9. TRAINING | | |
| 9.1-9.2 | 9.1-9.2 | No changes |
| 9.3 | - | Deleted the control point as it did not have any reference to existing commercial requirements and reference to the GTS. The control point was looking at compliance of training activities and records of employees which were more specifically related to traceability. |
| 10. SUPPLY CHAIN COORDINATION | | |
| 10.1 | 10.1 | No changes |
| 10.2 | 10.2 | Merged description from 6.29. The description of this control point is to provide traceability information to parties requesting and to obtain traceability information from trading partners in a timely manner |
| 10.3, 10.6-10.7 | - | These descriptions have been addressed in Section 4 (4.9-4.10) focusing on procedures and supporting documents to communicate to internal and external parties during a crisis/recall |
| 10.4-10.5 | 10.3-10.4 | No changes |
| 10.8 | 10.5 | |
| 10.9 | 10.6 | Reworded to describe risk management measures (safety hazard management or recall procedure) capabilities to operate at any time (24/7) . The reworded version is aligned with the corresponding BRC V7 requirements. |
| 11. MONITORING | | |
| 11.1-11.2 | 11.1-11.2 | No changes |
| 12. INTERNAL AND EXTERNAL AUDITS | | |
| 12.1-12.3 | 12.1-12.3 | No changes |

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