



GS1 GTC

Control Points & Compliance Criteria - FOOD

Issue 3, Jun-2010



Document Summary

Document Item	Current Value
Document Title	GS1 GTC - Control Points & Compliance Criteria - FOOD
Date Last Modified	Jun-2010
Current Document Issue	Issue 3
Status	Approved
Related CR	09-000230
Document Description	This document sets out a Checklist for Global Traceability for the supply chain which defines essential elements for the development of best-practice for the global production and distribution of trade items acceptable to the Food industry Worldwide, eliminating the need of re-certification, and increasing global adoption of GS1 standards.

Acknowledgments

Traceability Business Requirement Group Participants

First Name	Last Name	Organisation
Lloyd	Mager	Abbott Laboratories Inc.
Paul	Schmidt	Accenture Supply Chain Services
Ali	Rezafard	Afilias
Robert	Perry	Association for Healthcare Resource and Materials Management
Binu	Jacob	Axway
Dale	Moberg	Axway
Cristian	Barcan	BASF SE
Dirk	Rodgers	Cardinal Health
Olivier	Mouton	Carrefour
Peter	Hoberg	Consafe Logistics AB
Chris	Karlsson	Costco Wholesale
Toni	Roberts	Costco Wholesale
Doerthe	Eckhardt	Dole Europe SAS
Francis	Berthomieu	France Telecom
Dominique	Le Hello	France Telecom
Vasudev	Krishnamurthy	FXA Company Limited
Carol	Edison	General Mills, Inc.
Cate	Zottola	General Mills, Inc.
Ardetha	Bradley	Georgia Pacific
Lyes	Hachemi	GS1 Algeria
Halim	Recham	GS1 Algeria
Troy	Denyer	GS1 Australia
Sue	Schmid	GS1 Australia

First Name	Last Name	Organisation
Alexander	Meissl	GS1 Austria
Ana Paula	Maniero	GS1 Brazil
John	Keogh	GS1 Canada
Rita	Laur	GS1 Canada
Michael	Sadiwnyk	GS1 Canada
Rodrigo	Mellado	GS1 Chile
Pablo	Melo	GS1 Chile
Hugo	Sabogal	GS1 Colombia
Slobodan	Romac	GS1 Croatia
Pertti	Hakala	GS1 Finland
Stephane	Cren	GS1 France
Sabine	Klaeser	GS1 Germany
Nora	Kaci	GS1 Global Office
Janice	Kite	GS1 Global Office
Melanie	Kudela	GS1 Global Office
Greg	Rowe	GS1 Global Office
John	Ryu	GS1 Global Office
Diane	Taillard	GS1 Global Office
Juan Pablo	Vial	GS1 Global Office
Raymond	NG	GS1 Hong Kong
Stefan	Gathmann	GS1 Ireland
Keunho	Kim	GS1 Korea
Hector	Aguilar	GS1 Mexico
Stef	Spaan	GS1 Netherlands
Owen	Dance	GS1 New Zealand
Silverio Oliveira	Paixao	GS1 Portugal
Glenda	Connoll	GS1 South Africa
Karolin	Harsanji	GS1 Sweden
Michel	Ottiker	GS1 Switzerland
Sherry	Tang	GS1 Taiwan
Shan	Welch	GS1 UK
Steve	Arens	GS1 US
Ray	Delnicki	GS1 US
Anoop	Kaistha	GS1 US
Rich	Richardson	GS1 US
Mary	Wilson	GS1 US
Lijia	Xu	IBM (US)

First Name	Last Name	Organisation
Susan	Wilkinson	IBM Canada
Hirokazu	Nagai	Japan Pallet Rental Corporation
Akikazu	Sato	Kao Corporation
Betty	Tyson	Knouse Foods
Bozica	Horvat-Vlasic	Koestlin d.d.
Barbara	Munro	Kraft Foods, Inc.
Bret	Popper	Kraft Foods, Inc.
Antonio	Salto	Kraft Foods, Inc.
Peter	Zaepfel	Kraft Foods, Inc.
Bastian	Konings	METRO Group
Don	Mowery	Nestle Purina PetCare
Tim	Marsh	Pfizer
Thomas	Pizzuto	rfXcel Corporation
Lucy	Deus	SupplyScape
Hans	Kraft	Syngenta
Rakesh	Vazirani	TUV Rheinland Japan
Lela	Tripp	Tyson
Werner	Kolb	Unilever N.V.
Douglas	Bailey	United States Department of Agriculture, Agricultural Marketing Service
Hirokazu	Nagai	VeriSign Japan K.K.
Jeff	Norris	Videojet Technologies
Bruce	Hawkins	Wal-Mart Stores, Inc.
Jennifer	Sommers	Wal-Mart Stores Inc.

Log of Changes in Issue 3

Issue No.	Date of Change	Changed By	Summary of Change
1	12-April-2010	Juan Pablo Vial	Initial Version
2	03-May-2010	M. Mowad	Correct Table Heading pagination in Section 2
3	21-June-2010	Juan Pablo Vial	Programme name changed

Disclaimer

Whilst every effort has been made to ensure that the guidelines to use the GS1 standards contained in this document are correct, GS1 and any other party involved in the creation of this document HEREBY STATE that this document is provided without warranty, either expressed or implied, of accuracy or fitness for purpose, AND HEREBY DISCLAIM any liability, direct or indirect, for damages or loss relating to the use of this document. This document may be modified, subject to developments in technology, changes to the standards, or new legal requirements. Several products and Organisation names mentioned herein may be trademarks and/or registered trademarks of their respective companies.



Copyright Notice and Terms of Use

This publication is protected by international copyright law and is subject to the following terms of use: You are allowed to translate, copy and reproduce the GS1 GTC Control Points & Compliance Criteria provided you use this document in its entirety and do not alter or modify it in any way, you acknowledge GS1 as the copyright owner and include the below copyright notice in any copy that you make. It is highly recommended that you attend GS1 GTC training before using this document.

GS1 GTC Control Points & Compliance Criteria. © Copyright GS1, 2010. All Rights reserved.

Table of Contents

1.	Introduction	7
1.1.	Scope	7
1.2.	Structure	8
1.3.	Regulations References	8
1.4.	Standard References	8
1.5.	Compliance Levels.....	8
1.6.	GTC and its compliance with GS1 Global Traceability Standard	9
1.7.	The GTC and its Relationship with other Traceability & Best Manufacture Practices (BMP) Standards	9
1.8.	Control Points Usage Guide	10
2.	Control Points	12
3.	Glossary of Business Terms	30
	Appendix A. Relation between the GTC Checklist and other Standards	34
	Appendix B. Bibliography	44

1. Introduction

A Traceability conformance tool is critical for any Organisation or sector that produces goods or provides services and that also must achieve specific customer, regulatory and operational objectives.

An implemented existing Traceability System can be tested through a solid conformance tool and guidelines that ensure all required data and information is recorded and that the recorded information is a true reflection of what actually occurs along the supply chain, from point of production through to point of use or consumption or product recall.

The GS1 GTC Control Points and Compliance Criteria are traceability conformance tools developed for proactive monitoring of manufacturers' products and processes. This compliance process helps to safeguard product security, quality, certification, origin and content while ensuring compliance with current national and international traceability and recall regulations.

Effective Traceability Systems must be grounded in best practices and adhere to 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 GTC Control Points and Compliance Criteria has been developed to provide industry with a common and understandable traceability language when sharing traceability information between trading partners across the extended supply chain.

1.1. Scope

This document sets out audit criteria for Global Traceability Conformance for the Food supply chain. It defines essential elements for the development of best-practices for the global production and distribution of trade items acceptable to the Food industry Worldwide.

The GS1 GTC Control Points and Compliance Criteria (GS1 GTC Checklist) has been designed in order to implement and review the 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, synthesizes, prepares, treats, modifies, packs or manipulates products including product supplies, packaging material and raw material. This also includes supplements.

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:

- Producers
- Manufacturers
- Processors
- Supply Producers
- Third Party Logistics Providers
- Logistic Providers
- Transporters and carriers
- Retailers

- Wholesalers
- Importers and Exporters
- Storage and Deposits providers
- Container and Packaging Manufacturers

1.2. Structure

This document contains the following:

- **Introduction:** Introduces the compliance criteria for the GS1 Global Traceability Standard (GS1 GTS), the compliance levels of approval or failure and relationship with other traceability standards, and regulatory references.
- **Control Points:** Describes the basic points and the considerations the audited Organisation must comply with in order to approve the Control Points and the Compliance Criteria of the GS1 GTC Checklist.
- **Terms and Definitions:** Presents the standard vocabulary used throughout this document.
- **Appendix:** Shows the relation between the GTC Checklist and other standards. This relation can help organisations to benchmark their traceability system against traceability requirements present in these standards.
- **Bibliography:** Comprises a list of all the references and documentation from which relevant information was obtained for the preparation of this document.

1.3. Regulations References

In the preparation of this standard, the following international regulations have been considered:

- 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 for the application of this document. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

- GS1 Global Traceability Standard – Business Process and System Requirements for Full Chain Traceability (GS1 GTS)
- GS1 General Specifications
- 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 Control Points and their Compliance Criteria that an Organisation must follow in order to successfully complete a Traceability Audit. These points must all be fulfilled to verify

compliance to the GS1 GTS. The document is divided in 12 sections. It contains a total of 105 Control Points, divided into the following levels:

- **Mandatory Musts:** There are 28 “Mandatory” Control Points in the GS1 GTC Checklist (shaded in Red in the document). These Control Points address the most important Business Requirements present in the GS1 GTS that can not be indicated as NOT Applicable (N/A) by the Auditor.
- **Mandatory Conditional Musts:** There are 30 “Mandatory Conditional” Control Points in the GS1 GTC Checklist (shaded in Green in the document). These Control Points address the most important Business Requirements present in the GS1 GTS that could be indicated as NOT Applicable (N/A) by the Auditor according to specific realities or situations detected in every organisation.
- **Optionals:** There are 10 “Optional” Control Points in the GS1 GTC Checklist (shaded in yellow in the document). These Control Points address those Business Requirements present in the GS1 GTS that are under the responsibility of the supplier of the trade items received by the audited organisation.
- **Recommendations:** There are 37 “Recommended” Control Points in the GTC Checklist (not shaded in the document). These Control Points address Traceability Requirements of other Standards, Best Manufacturing Practices or International Traceability Guidelines (See [Appendix A](#))

Possible responses to every 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 Auditors can indicate if a Control Point can be a NOT Applicable (N/A).

In order to obtain GS1 compliance to the GS1 Global Traceability Standard (GS1 GTS), the applicant is required to successfully complete the assessment and fulfill 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.
- **Optional**
No minimum percentage of compliance is set.
- **Recommendations:**
No minimum percentage of compliance is set.

All Control Points in the GS1 GTC Checklist must be audited.

1.6. GTC and its compliance with GS1 Global Traceability Standard

The GS1 GTC Checklist will fulfill the GS1 Global Traceability Standard (GS1 GTS) if the applicant follows all Mandatory Must, applicable Mandatory Conditional and Optional Control Points. Also indicated below every Mandatory Must, 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 GTC and its Relationship with other Traceability & Best Manufacture Practices (BMP) Standards

There are several traceability Control Points in the GS1 GTC Checklist that fulfill traceability requirements present in other main Traceability Standards or BMP Standards.

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

1.8. Control Points Usage Guide

The GS1 GTC Checklist contains 105 Control Points and their Compliance Criteria divided in 12 sections. Every Section of the GS1 GTC Checklist has a different traceability objective. By following every section it is possible to fully assess any traceability system. The following table explains in detail what is assessed in every section.

Section	Control Points	Description
1. Objectives	1.1 - 1.5	Knowledge and documentation of Traceability system
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 - 3.2	Identification of Trading partners in Master Data systems
	3.3 - 3.7	Identification of Locations in Master Data systems
4. Establishment of Procedures	4.1 - 4.3	Definition of all produced and received trade items in specifications or other similar document
	4.4 - 4.8	Documented procedures for manufacturing processes, data alignment and definition of batch/ lot and/or serial numbers
	4.9 - 4.11	Documented procedures or tools to enable collection, recording and sharing of traceability information, and responsible parties
5. Flow of Materials	5.1 - 5.2	Process flow documentation for manufacturing processes (from raw materials/ packaging to finished goods)
	5.3 - 5.19	Physical identification on all trade item packages received, produced and/or shipped: <ul style="list-style-type: none"> • Global Trade item number (e.g., GTIN/ UPC) • Production batch/ lot code (consumer, case, pallet) • Unique serial number (Logistics-pallet level only) • Bar code (all levels) • Shipment identification number (shipment only)
6. Information Requirements	6.1 - 6.14	Documented linkage (electronic or paper) of traceability information between trade item levels (Le., one up, one down linkage of data)
	6.15 - 6.17	Documented list of suppliers and/or customers that received trade items

Section	Control Points	Description
	6.18 - 6.25	Identification of detailed traceability information for all trade items produced, received and/or shipped to any parties, including the following components: <ul style="list-style-type: none"> • Trade item number (e.g., GTIN/ UPC) • Production batch/ lot code (consumer, case, pallet) • Unique serial number (Logistics-pallet or case level) • Shipment identification number (shipment only) • Quantity • Code date (e.g., Sell-By, Pack, Production) • Recipient (customer, supplier, etc) • Transporter name • Transport date/ time
	6.26 - 6.30	Procedures to provide detailed communications to trading partners regarding above information upon request
7. Documentation Requirements	7.1 - 7.3	Traceability manual and/or documentation which describes detailed processes associated with traceability
	7.4	Documentation of roles, responsibilities and Organisation structure in place to support all traceability related activities
	7.5 - 7.7	Ongoing maintenance of traceability documentation and traceability records (transactional)
8. Structure & Responsibilities	8.1 - 8.4	Traceability team in place with proper knowledge of traceability procedures
9. Training	9.1 - 9.3	Training program and proof of training for those responsible for traceability activities
10. Supply Chain Coordination	10.1 - 10.3	Acquisition of 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
	10.4 - 10.9	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.	Does the Organisation know the Traceability regulations of the countries to which its trade items are <u>delivered</u> ? (GTS: BRU28)	The Organisation must have a copy of the applicable traceability regulations for all countries to which its trade items are delivered.	Recommended
1.2.	Does the Organisation know the traceability standards and the implementation guidance (global or country specific) to which its trade items are <u>delivered</u> ?	The Organisation must have a copy of the traceability standards and implementation guidance (global or country specific) applicable to countries which its trade items are sold	Recommended
1.3.	Does the Organisation know the traceability requirements of all its trading partners to which its trade items are sold? (GTS: BRU28)	The Organisation must have a copy of the applicable traceability requirements for all trading partners to which its trade items are sold.	Mandatory (conditional)
1.4.	Has the Organisation defined in a document updated at least annually the objectives and scope of its Traceability System and has designated a person responsible for it?	The Organisation must have appointed a person responsible for the Traceability System and must have clearly defined the objectives and scope of the Traceability System in a document revised annually and available for all employees. No N/A.	Mandatory
1.5.	Does the Organisation's management team know the objectives and scope of the Traceability System?	The Organisation's management team must confirm their knowledge of the defined objectives and scope of the Traceability System. No N/A.	Mandatory
2. PRODUCT DEFINITIONS			
2.1.	Are all trade items, <u>distributed</u> by the Organisation, identified with a GS1 identification key and a description in a Master Data record for each product hierarchy level that needs to be traced? (GTS: BR3, BR7, BRU4, BRU16)	A Master Data record with a GS1 identification key 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. The corresponding GS1 standard is the GTIN.	Mandatory (conditional)
2.2.	Are intermediate items <u>produced</u> by the Organisation that needs to be traced identified with an identification number and a description in a Master Data record?	A Master Data record with an identification number and description must exist for intermediate items, produced by the Organisation, that need to be traced.	Recommended
2.3.	Are trade items <u>received</u> by the Organisation, that need to be traced, identified with an identification number and a description in a Master Data record?	A Master Data record with an 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)

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
2.4.	Are trade items <u>received</u> by the Organisation, that need to be traced, globally and uniquely identified in a Master Data record? (GTS: BR3, BR7, BRU4, BRU16)	A Master Data record with a GS1 identification key 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. The corresponding GS1 standard is the GTIN.	Optional
2.5.	Are all assets, that need to be traced, globally and uniquely identified in a Master Data record? (GTS: BR4)	A Master Data record with a GS1 identification key must exist for all assets that need to be traced. The corresponding GS1 standard is the GRAI (Global Returnable Asset Identifier) and GIAI (Global Individual Asset Identifier).	Recommended
3. SUPPLY CHAIN PLACEMENT			
3.1.	Are all trading partners identified with a description and an identification number 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
3.2.	Are all trading partners identified with a description and a GS1 identification key in a Master Data record? (GTS: BR2, BRU4, BRU12)	A Master Data record with a GS1 identification key and a description must exist for all trading partners. The corresponding GS1 standard is the Global Location Number (GLN). 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 ² . All marked with ** are mandatory for US Bioterrorism Act). No N/A.	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

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

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
3.3.	Are all internal <u>locations</u> , that need to be traced, identified with an identification number and 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 ³ (conditional)
3.4.	Are all internal <u>locations that need to be aligned with the trading partners</u> , identified with a GS1 identification key and a description in a Master Data record? (GTS: BR1, BR2, BRU4)	A Master Data record with a GS1 identification key and a description must exist for all internal locations of the Organisation that need to be aligned with the trading partners (e.g. Distribution Center, Point of Receiving, Point of Distribution, Manufacturing Facility, Farm). <u>Every Organisation should identify at minimum its main legal entity location.</u> The corresponding GS1 standard is the GLN and 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 ⁴ . All marked with ** are mandatory for US Bioterrorism Act). No N/A.	Mandatory
3.5.	Are all external <u>locations</u> , (e.g., storage warehouses, distribution centers) that need to be traced, identified with an identification number and a description in a Master Data record? (GTS: BR1, BR2, BRU4) ⁵	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 centers). This must be at a high level (see Party definition). 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 ⁶ . All marked with ** are mandatory for US Bioterrorism Act).	Mandatory ⁷ (conditional)

3 Although this Control Point doesn't ask for GS1 standard, it is "Mandatory Conditional" as it is completely necessary to have external traceability if the Organisation doesn't use the standard for this.

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 Although this Control Point doesn't ask for GS1 standard is ticketed in GS1 Column because is completely necessary to have external traceability if the Organisation doesn't use the standard for this.

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

7 Although this Control Point doesn't ask for GS1 standard, it is "Mandatory Conditional" as it is completely necessary to have external traceability if the Organisation doesn't use the standard for this.

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
3.6.	Are all external (trading partner) <u>locations</u> , that need to be traced identified with a GS1 identification key (GLN) and a description in a Master Data record? (GTS: BR1, BR2, BRU4)	A Master Data record with a GS1 identification key and a description must exist for all trading partner's locations that need to be traced. This must be at a high level (see Party definition). The corresponding GS1 standard is the GLN and 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 ⁸ . All marked with ** are mandatory for US Bioterrorism Act).	Optional
3.7.	Are all <u>personnel</u> involved in the production and distribution chain recognized 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 • Position No N/A.	Recommended
4. ESTABLISHMENT OF PROCEDURES			
4.1.	Are the trade items distributed by the Organisation defined in a document (e.g. Product Specifications)	A document exists (e.g. Product Specifications) which describes in detail each trade item the Organisation distributes, that needs to be traced. The description must include at least: <ul style="list-style-type: none"> • Product name • Identification number • Composition • Packaging • Method(s) of distribution 	Mandatory (conditional)
4.2.	Are intermediate items <u>produced</u> by the Organisation that needs to be traced, defined in a document?	A document exists which describes in detail each intermediate item that needs to be traced. The description must include at least: <ul style="list-style-type: none"> • Product name • Identification number • Composition • Packaging • Method(s) of distribution 	Recommended

⁸ 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
4.3.	Are the trade items <u>received</u> by the Organisation that need to be traced, defined in a document?	A document exists which describes in detail each trade item the Organisation receives, that needs to be traced. The description must include at least: <ul style="list-style-type: none"> • Product name • Identification number • Composition • Packaging • Method(s) of distribution 	Mandatory (conditional)
4.4.	Does the Organisation have an effective process to align all the Master Data with its trading partners? (GTS: BR12, BR19)	A documented procedure exists in the Organisation which describes in detail how to align the Master Data with trading partners. The Master Data must include: <ul style="list-style-type: none"> • Parties • Physical locations • Assets • Trade items No N/A.	Mandatory
4.5.	Does the Organisation have an effective synchronization process with its trading partners by using GDSN? (GTS: BR12, BR19)	An effective process for synchronizing Master Data with trading partners exists in the Organisation and is documented in detail. The Master Data synchronized must include: <ul style="list-style-type: none"> • Parties, • Physical locations • Assets • Trade Items The GS1 standard process for synchronizing master data is the Global Data Synchronization Network (GDSN).	Recommended
4.6.	Does the Organisation have a documented effective process to review barcoding and assignment of numbers to ensure compliance with GS1 Standards? (GTS: BR11, BR13)	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.	Mandatory (conditional)
4.7.	Does a documented procedure exist which describes in detail the definition for the production batch / lot of each trade item created by the Organisation?	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.	Mandatory (conditional)
4.8.	Does a documented procedure exist which describes in detail the definition for the production batch / lot defined for each inventoried intermediate item that needs to be traced by the Organisation?	A documented procedure exists in the Organisation which describes in detail the definition for the production batch / lot for each inventoried intermediate item that needs to be traced by the Organisation.	Recommended
4.9.	Does a procedure exist, at each stage of the traceability flow, that uses digital or paper forms for the recording of data and to identify each person responsible for the input of recorded information? (GTS: BR11, BRU4, BRU11, BRU22)	Digital or paper forms exist which allow the recording of necessary data in each stage of traceability flow, identifying each person responsible for the input of recorded information. No N/A.	Mandatory

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
4.10.	Do effective mechanisms or tools exist that provide accurate and timely collection, recording, and sharing of traceability information? (GTS: BR13, BR14, BRU4, BRU10, BRU11, BRU18)	The Organisation has mechanisms or tools clearly defined and in operation which allows accurate and timely collection, recording and sharing of traceability information. No N/A.	Mandatory
4.11.	Is there a documented internal request process in place to obtain traceability information?	The Organisation has a documented procedure that defines the consultation process for the request of internal traceability information. The document must contain information of the records of each process involved (i.e. receipt, manufacture, packaging, product delivery) as well as those involved along the supply chain according to the objective and scope of the traceability system. The document also must specify information such as numbers of batch / lot, ingredients, descriptions, quantities, material types and categories among others No N/A.	Recommended
5. FLOW OF MATERIAL			
5.1.	Does a process flow diagram exist that reflects the Organisation's manufacturing operation from the point at which the products, product supplies, packaging and raw materials arrive until the trade item is delivered to the customer?	A schematic and systematic flow diagram must exist of the processes involved in the manufacture of trade items from the point at which the products, product supplies, packaging and raw materials arrive to the Organisation until the trade item is delivered to the customer. No N/A.	Recommended
5.2.	Has a traceability flow diagram been prepared that links traceability request processes with the Organisation's process flows so as to facilitate timely and accurate responses to traceability requests?	A schematic and systematic flow diagram must exist of the information linking between processes within the supply chain which may be used to perform traceability requests. No N/A.	Recommended
5.3.	Are trade items <u>distributed</u> by the Organisation identified physically with a global, unique identification number? (GTS: BR6)	The trade items distributed by the Organisation must have a global, unique identification number on the packaging or if not possible at least on the asset containing it or on an accompanying document. The corresponding GS1 standard is GTIN.	Mandatory (conditional)

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
5.4.	Are trade items <u>distributed</u> by the Organisation carrying a GS1 Data Carrier? (GTS: BR7, BR11)	<p>The trade items distributed by the Organisation must carry a GS1 Data Carrier attached to the packaging or on the asset containing it or on an accompanying document.</p> <p>The corresponding GS1 standards are:</p> <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 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, EPC tag 	Mandatory (conditional)
5.5.	Are trade items <u>distributed</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)
5.6.	Are logistic units <u>distributed</u> by the Organisation physically identified with a global, unique serial number? (GTS: BR6, BRU4)	The logistic units distributed by the Organisation must have standard serial number identification on the item or if not possible at least on the asset containing it or on an accompanying document. The corresponding GS1 standard is SSCC. No N/A.	Mandatory
5.7.	Are logistic units <u>distributed</u> by the Organisation carrying a GS1 Data Carrier? (GTS: BR7, BR11)	<p>The logistic units distributed by the Organisation must carry a GS1 Data Carrier attached to the packaging or on the asset containing it or on an accompanying document.</p> <p>The corresponding GS1 standards are GS1-128 or EPC tag.</p> <p>No N/A.</p>	Mandatory
5.8.	Are shipments <u>distributed</u> by the Organisation, that need to be traced, physically identified with a global, unique Shipment Identification Number? (GTS: BR6, BR7, BRU4)	The shipments distributed by the Organisation must have a global, unique Shipment Identification Number on the item or if not possible at least on the asset containing it or on an accompanying document. The corresponding GS1 standard is the GS1-128 with the Global Shipment Identification Number (GSIN AI 402).	Mandatory (conditional)
5.9.	Are intermediate items identified physically with an identification number?	All inventoried intermediate items must have an identification number on packaging or if not possible at least on the asset containing it or on an accompanying document.	Recommended
5.10.	Are intermediate items, identified with the production batch / lot or Serial Number?	All inventoried intermediate items must be identified with the production batch / lot or Serial Number on the packaging or on the asset containing it or on an accompanying document.	Recommended

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
5.11.	Are trade items <u>received</u> by the Organisation, that needs to be traced, physically identified with an identification number?	The trade items, received by the Organisation must have an identification number on packaging or if not possible at least on the asset containing it or on an accompanying document. No N/A	Mandatory
5.12.	Are trade items <u>received</u> by the Organisation, identified with the production batch / lot or Serial Number?	The trade items received by the Organisation must be identified with the production batch / lot or Serial Number on the packaging or on the asset containing it, or on an accompanying document. No N/A	Mandatory
5.13.	Are trade items <u>received</u> by the Organisation, that needs to be traced, physically identified with a global, unique identification number? (GTS: BR6, BR7, BRU4)	The trade items received by the Organisation must have a global, unique identification number on the packaging or if not possible at least on the asset containing it or on an accompanying document. The corresponding GS1 standard is the GTIN.	Optional
5.14.	Are trade items <u>received</u> by the Organisation carrying a GS1 Data Carrier? (GTS: BR6, BR7, BR11)	The trade items received by the Organisation must carry a GS1 Data Carrier attached to the packaging or on the asset containing it or on an accompanying document. The corresponding GS1 standards 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 tag • For trade item not crossing the point of sale (grouping of trade items): EAN-13, ITF-14, GS1-128, GS1 DataMatrix, EPC tag 	Optional
5.15.	Are logistic units <u>received</u> by the Organisation physically identified with an identification number?	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.	Recommended
5.16.	Are logistic units <u>received</u> by the Organisation physically identified with a global, unique serial number? (GTS: BR6, BR7, BRU4)	The logistic unit, received by the Organisation must have standard serial number identification on the item or if not possible at least on the asset containing it or on an accompanying document. The corresponding GS1 standard is SSCC.	Optional
5.17.	Are logistic units <u>received</u> by the Organisation carrying a global, unique identification? (GTS: BR7, BR11)	The logistic units received by the Organisation must carry a GS1 Data Carrier attached to the packaging or on the asset containing it or on an accompanying document. The corresponding GS1 standards are GS1-128 or EPC tag.	Optional

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
5.18.	Are shipments <u>received</u> by the Organisation that needs to be traced, physically identified with an identification number? (GTS: BR6, BR7, BRU4) ⁹	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)
5.19.	Are shipments <u>received</u> by the Organisation physically identified with a global, unique Shipment Identification Number? (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. The corresponding GS1 standard is the GS1-128 with the Global Shipment Identification Number (GSIN AI 402).	Optional
6. INFORMATION REQUIREMENTS			
6.1.	For each production batch/lot or Serial Number of a trade item, is it possible to obtain information regarding the processes involved in the manufacture of the trade item and are processing dates or sell by dates recorded?	For each production batch / lot or Serial Number of a trade item, all processes, reprocessing if applicable, transformation dates and sell by dates if applicable, must be identified and documented.	Mandatory (conditional)
6.2.	Is it possible to link the identification of a <u>received</u> logistic unit with the production batch / lot or Serial Number of the trade items contained within it, using available documentation? (GTS: BR13, BR14, BRU4, BRU6, BRU18)	For each logistic unit received it must be possible to relate by documentation its identification with the production batch / lot or Serial Number of the trade items contained within it.	Mandatory (conditional)
6.3.	Are all logistic units received by the Organisation that needs to be traced, identified with an identification key and a description in a record? (GTS: BR6, BR13, BRU4, BRU18) ¹⁰	A record with an identification key and a description must exist in one or more systems (electronic or physical) for each logistic unit received by the Organisation that needs to be traced. The description must include at least: <ul style="list-style-type: none"> • Supplier (GLN if used) • Receipt date 	Mandatory (conditional)
6.4.	Are all logistic units received by the Organisation that needs to be traced, identified with a GS1 identification key and a description in a record? (GTS: BR6, BR13, BRU4, BRU18)	A record with the GS1 identification key and a description must exist in one or more systems (electronic or physical) for each logistic unit received by the Organisation that needs to be traced. The corresponding GS1 standard is the SSCC. The description must include at least: <ul style="list-style-type: none"> • Supplier (GLN if used) • Receipt date 	Optional

9 Although this Control Point doesn't ask for GS1 standard is ticketed in GS1 Column because is completely necessary to have external traceability if the Organisation doesn't use the standard for this.

10 Although this Control Point doesn't ask for GS1 standard is ticketed in GS1 Column because is completely necessary to have external traceability if the Organisation doesn't use the standard for this.

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
6.5.	Are all logistic units delivered by the Organisation identified with a GS1 identification key and a description in a record? (GTS: BR6, BR13, BRU4, BRU18)	A record with the GS1 identification key and a description must exist in one or more systems (electronic or physical) for each logistic unit delivered by the Organisation. The corresponding GS1 standard is the SSCC. The description must include at least: <ul style="list-style-type: none"> • Recipient Identification (GLN if used) • Dispatch date No N/A	Mandatory
6.6.	Are all shipments received by the Organisation that needs to be traced, identified with an identification key and a description in a record? (GTS: BR6, BR13, BRU4) ¹¹	A record with an identification key and a description must exist in one or more systems (electronic or physical) for each shipment received by the Organisation that needs to be traced. The description must include at least: <ul style="list-style-type: none"> • Supplier Identification (GLN if used) • Receipt date 	Mandatory (conditional)
6.7.	Are all shipments received by the Organisation that needs to be traced, identified with a GS1 identification key and a description in a record? (GTS: BR6, BR13, BRU4)	A record with the GS1 identification key and a description must exist in one or more systems (electronic or physical) for each shipment received by the Organisation that needs to be traced. The corresponding GS1 standard is the GS1-128 with the Global Shipment Identification Number (GSIN AI 402). The description must include at least: <ul style="list-style-type: none"> • Supplier (GLN if used) • Receipt date 	Optional
6.8.	Are all shipments delivered by the Organisation that needs to be traced, identified with a GS1 identification key and a description in a record? (GTS: BR6, BR13, BRU4)	A record with the GS1 identification key and a description must exist in one or more systems (electronic or physical) for each shipment delivered by the Organisation that needs to be traced. The corresponding GS1 standard is the GS1-128 with the Global Shipment Identification Number (GSIN AI 402). The description must include at least: <ul style="list-style-type: none"> • Recipient Identification (GLN if used) • Dispatch date 	Mandatory (conditional)
6.9.	Is it possible to link the SSCC of each logistic unit <u>distributed</u> by the Organisation with the GTIN and batch / lot or Serial Number of the trade items contained within it, using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)	For each logistic unit distributed by the Organisation it must be possible to relate by documentation its SSCC number with the GTIN and production batch / lot or Serial Number of the trade items contained within it.	Mandatory (conditional)

11 Although this Control Point doesn't ask for GS1 standard is ticketed in GS1 Column because is completely necessary to have external traceability if the Organisation doesn't use the standard for this.

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
6.10.	Can a trade item <u>distributed</u> by the Organisation be related to the trade items <u>received</u> by it, using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)	It must be possible to relate by documentation, each batch / lot or Serial Number of trade items distributed by the Organisation to the batch / lot or Serial Number of the trade items received and used on its process.	Mandatory (conditional)
6.11.	Can a trade item <u>received</u> by the Organisation be related to the trade items, <u>distributed</u> by it, using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)	It must be possible to relate by documentation, each batch / lot or Serial Number of trade items received to the batch / lot or Serial Number of the trade items, distributed by the Organisation and used on its process.	Mandatory (conditional)
6.12.	Is it possible to link a batch / lot or Serial Number of a trade item <u>distributed</u> by the Organisation with the SSCC of the logistic units involved, using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)	It must be possible to relate by documentation, each batch / lot or Serial Number of a trade item distributed by the Organisation to the SSCC of the logistic units involved.	Mandatory (conditional)
6.13.	Is it possible to link a batch / lot or Serial Number of a trade item <u>received</u> by the Organisation with the identification of the logistic units involved, using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)	It must be possible to relate by documentation, each batch / lot or Serial Number of a trade item received by the Organisation to the identification of the logistic units involved.	Mandatory (conditional)
6.14.	Is it possible to determine the dates in which a trade item <u>received</u> was used to produce a batch / lot or Serial Number of any trade item of the Organisation using available documentation?	There is a registry that documents the use of a received trade item, identifying the date of use and the batch / lot or Serial Number of the trade item produced.	Recommended
6.15.	Is it possible to determine the supplier of a <u>received</u> logistic unit by its identification using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)	There is a registry that documents the identification of each logistic unit received by the Organisation from its suppliers	Mandatory (conditional)
6.16.	Is it possible to determine the customer to which a logistic unit was dispatched using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)	There is a registry that documents the identification of each logistic unit dispatched by the Organisation to its customers. No N/A.	Mandatory
6.17.	Is it possible to determine the customers to which a batch / lot or Serial Number of a trade item was <u>dispatched</u> using available documentation? (GTS: BR14, BRU4, BRU6, BRU18)	There is a registry that documents the identification of all the possible customers which a batch / lot or Serial Number of a trade item was dispatched by the Organisation.	Mandatory (Conditional)
6.18.	Is it possible to determine whether a batch / lot or Serial Number of a trade item was <u>dispatched</u> or is <u>still</u> in the Organisation using available documentation? (GTS: BR14, BRU3, BRU4, BRU7, BRU18)	There is a registry that documents whether a batch / lot or Serial Number of a trade item was dispatched or is still in the Organisation. No N/A.	Mandatory

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
6.19.	If a batch / lot or Serial Number of a trade item is still in the Organisation, is it possible to determine and verify its <u>exact location</u> , using available documentation? (GTS: BR13, BRU3, BRU4, BRU23) ¹²	There is a registry that documents the exact location (GLN if used) in the Organisation of all the batch / lot or Serial Numbers of trade item that are still in the Organisation and that registry can be verified.	Recommended
6.20.	If a batch / lot or Serial Number of a trade item was dispatched by the Organisation, is it possible to identify dispatch information, using available documentation? (GTS: BR13, BRU3, BRU4, BRU23)	If a batch / lot or Serial Number of a trade item was dispatched by the Organisation, it is possible to identify at least the following information: <ul style="list-style-type: none"> • Trade Item Identification (GTIN if used)* • Quantity* • Possible Customers (GLN if used)* • Possible Recipients (GLN if used)* • Transporter utilized in the dispatch (GLN if used), address, telephone number, and fax number and email address (if available)** • Dispatch documentation* • Dispatch date* (All marked with * are mandatory for GTS ¹³ . All marked with ** are mandatory for US Bioterrorism Act). No N/A.	Mandatory
6.21.	If a batch / lot or Serial Number of a trade item was imported or exported by the Organisation, is it possible to identify import/export information using available documentation? (GTS: BR13, BRU3, BRU4, BRU23)	If a batch / lot or Serial Number of a trade item was imported or exported by the Organisation, it is possible to identify at least the following information: <ul style="list-style-type: none"> • Supplying company (for imports) (GLN if used)** • Purchasing company (for exports) (GLN if used)** • Transportation company (GLN if used)** • Shipment Id. Number* • Logistic Unit Id. (SSCC if used)* • Shipment Identification Number (GSIN if used)* (All marked with * are mandatory for GTS ¹⁴ . All marked with ** are mandatory for US Bioterrorism Act).	Mandatory (conditional)

12 Although this Control Point doesn't ask for GS1 standard is ticketed in GS1 Column because is completely necessary to have external traceability if the Organisation doesn't use the standard for this.

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

14 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
6.22.	Is it possible to identify the delivery information for a batch / lot or Serial Number of a trade item received by the Organisation using available documentation? (GTS: BR13, BRU3, BRU4, BRU22)	For a batch / lot or Serial Number of a trade item received, it is possible to identify at least the following information: <ul style="list-style-type: none"> • Trade Item Identification (GTIN if used)* • Quantity* • Supplier (GLN if used)* • Dispatch documentation* • Transporter utilized in the dispatch (GLN if used), address, telephone number, and fax number and email address (if available)** • Receipt date* (All marked with * are mandatory for GTS ¹⁵ . All marked with ** are mandatory for US Bioterrorism Act).	Mandatory (conditional)
6.23.	Is it possible to provide detailed traceability information of trade items distributed by the Organisation to trading partners using available documentation? (GTS: BR13, BR15, BRU14, BRU15, BRU17)	It is possible for the following traceability information to be provided for each batch / lot or Serial Number of trade items distributed by the Organisation: <ul style="list-style-type: none"> • Trade Item identification (GTIN if used)* • Quantity* • Dispatch date* • Possible Customers to which the batch / lot or Serial Number was dispatched (GLN if used)* • Transporter utilized in the dispatch (GLN if used), address, telephone number, and fax number and email address (if available)** • Dispatch 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** (All marked with * are mandatory for GTS ¹⁶ . All marked with ** are mandatory for US Bioterrorism Act). No N/A.	Mandatory

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

16 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
6.24.	Is it possible to identify the delivery information for a batch / lot or Serial Number of a trade item received by the Organisation using available documentation? (GTS: BR13, BRU3, BRU4, BRU22)	For a batch / lot or Serial Number of a trade item received, it is possible to identify at least the following information: <ul style="list-style-type: none"> • Trade Item Identification (GTIN if used)* • Quantity* • Supplier (GLN if used)* • Dispatch documentation* • Transporter utilized in the dispatch (GLN if used), address, telephone number, and fax number and email address (if available)** • Receipt date* (All marked with * are mandatory for GTS ¹⁷ . All marked with ** are mandatory for US Bioterrorism Act).	Mandatory (conditional)
6.25.	Does a procedure exist which defines the Organisations response in the case of a traceability request from a trading partner that includes: an appointed responsible person, a responsive communication system and the provision of appropriate documentation?	There is a traceability response procedure in the case of a trading partner request which defines: <ul style="list-style-type: none"> • Response roles and responsibilities • Response communications systems • Identification of the documentation to be provided. No N/A.	Recommended
6.26.	For each batch / lot or Serial Number of a trade item distributed by the Organisation is it possible to observe and identify all associated quality control information?	For each batch / lot or Serial Number of a trade item distributed by the Organisation it is possible to identify at least: <ul style="list-style-type: none"> • Types of controls carried out • Person responsible for each control • Measurement variables • Observation applied 	Recommended
6.27.	Is there a standard traceability report that can be provided upon request to trading partners?	In the case of any traceability request from trading partners, a standard traceability report exists. No N/A.	Recommended
6.28.	Is the GS1 electronic document “Dispatch Advise” (DESADV) or EDI Advance Shipping Notice (ASN) used to send detailed dispatch 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. EDI Advance Shipping Notice (ASN) also can be used.	Recommended
6.29.	Is it possible to provide detailed traceability information of trade items to customers in accordance with industry agreements and in a timely fashion? (GTS: BRU25)	Traceability information is to be provided for a batch / lot or Serial Number of trade item distributed by the Organisation according to industry agreement (i.e. US Bioterrorism Act ask 4 hours in normal business hours).	Recommended

17 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
6.30.	Does the traceability request procedure for trading partners operate continuously?	A traceability response procedure operates continuously through normal business hours in the case of a trading partner request. No N/A.	Recommended
7. DOCUMENTATION REQUIREMENTS			
7.1.	Does a Traceability System Manual exist?	There is a Traceability System Manual which describes the objectives, scope and methodology as well as position inside of the organisation responsible to guarantee traceability of all trade items that the Organisation delivers. No N/A.	Recommended
7.2.	Does the Traceability System Manual comply with all standards, regulations and requirements stated in the objectives of the Traceability System?	The Traceability System Manual must reflect the information required by the standards, regulations and requirements stated in the objectives of the Traceability System. No N/A.	Recommended
7.3.	Does documentation exist within the Organisation which describes all relevant process stages from the time trade items are received to the time trade items are delivered to trading partners?	Documentation must exist which describes 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
7.4.	Are the responsibilities regarding administration of traceability information described in a document that includes organisational structure, operational responsibilities and system capabilities?	Documentation must exist which describes the organisational structure, operational responsibilities and system capabilities for traceability information management including: <ul style="list-style-type: none"> • Organisation • Dependency • Roles • Personnel • Infrastructure • Documentation methods • Software used (if applicable) No N/A.	Mandatory
7.5.	Is traceability documentation filed for the duration of the useful life of the trade item and kept for a minimum period of 1 year? (GTC: BR8)	All records are to be kept up to date for a period of one year or more in accordance with regulations, standards or industry requirements defined in the objectives of the Traceability System. No N/A.	Mandatory
7.6.	Is the Traceability System information filed in an organized manner and in a restricted location?	The Organisation has an area with restricted access where all Traceability System information is administered. No N/A.	Recommended

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
7.7.	Is the Traceability System documentation up to date and does it reflect the procedures that currently occur on the production line?	There is concurrence between the current production process and the current traceability documentation. It must be confirmed that what occurs in the production line is reflected in its documentation. No N/A.	Mandatory
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
8.4.	Is a computerised system used to manage traceability information?	The Organisation has a computerised system to manage traceability information. No N/A.	Recommended
9. TRAINING			
9.1.	Have specific instructions been given or Traceability System training provided to the Organisations personnel and are training records maintained?	Records indicate that required instructions have been given or a training program for the Traceability System is in effect. Copies of certificates of attendance or attendance registers are also filed signed by the participants of the course. No N/A.	Mandatory
9.2.	Have specific training been given to the all responsible of the traceability system about GS1 System and this training has been updated periodically	Records indicate that an updated training about GS1 System have been given to all responsible of the traceability system. Copies of certificates of attendance or attendance registers are also filed signed by the participants of the course No N/A.	Recommended
9.3.	Is a record of all traceability training carried out kept along with a signed employee attendance register?	Records must be kept for each employee indicating training programs required and carried out, including certificates of attendance, or with the signature of the employee on a list of attendance.	Recommended

N°	CONTROL POINTS	COMPLIANCE CRITERIA	Level
10. SUPPLY CHAIN COORDINATION			
10.1.	Is it possible to obtain traceability information of all trade items <u>received</u> from trading partners? (GTS: BR18, BR19, BRU17, BRU23, BRU26)	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 at least the following traceability information: <ul style="list-style-type: none"> • Product Identification (GTIN if used)* • Quantity* • Manufacture Date* • Dispatch Date* • Transporter (GLN if used), address, telephone number, and fax number and email address (if available)** (All marked with * are mandatory for GTS ¹⁸ . All marked with ** are mandatory for US Bioterrorism Act). No N/A.	Mandatory
10.2.	Is it possible to obtain traceability information from trading partners in a timely manner according to industry agreement? (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.	In the case of traceability inquiry is there a document that details traceability information required from each trading partners regarding traceable items and is this document updated at least annually?	Documentation exists, which is updated at least on an annual basis, indicating the level of traceability information required from each trading partner of a trade item that needs to be traced. No N/A.	Recommended
10.4.	Does a documented management procedure exist detailing how to manage a safety hazard 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
10.5.	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
10.6.	In the event of a safety hazard crisis, is there a communication procedure defined to communicate the crisis to listed internal and external contacts?	Documentation exist defining internal and external communication procedure in the event of a crisis. This document must also contain a list of key internal and external contacts. No N/A.	Recommended
10.7.	Does a documented management procedure exist where emergency protocols and actions are defined in order to inform trading partners about a safety hazard crisis?	Documentation exists indicating in detail how to inform trading partners about the crisis, actions that must be taken and the closure of the crisis. No N/A.	Recommended

18 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
10.8.	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
10.9.	Does the safety hazard crisis procedure operate 24/7?	It can be proved that the crisis 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 correct operation in accordance to the scope and objectives. No N/A.	Mandatory
11.2.	Guided by the monitoring and control plan does the Organisation record the results of its 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
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.	Is there written or saved information that documents the results of past traceability reviews and audits?	Documentation exists of the results of traceability reviews and audits previously carried out. No N/A.	Mandatory
12.3.	Does documentation exist that reflects actions taken in order to resolve non-conformities regarding the operation of the Traceability System?	Documentation exists which describes actions taken in order to resolve non-conformities regarding the operation of the Traceability System.	Mandatory (conditional)

3. Glossary of Business Terms

Term	Description
Batch / Lot	<p>[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.</p> <p>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 organization.</p>
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 bar code 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.
EPC tag	[GS1 General Specification] RFID tag that complies with the EPCglobal standard and contains an Electronic Product Code.
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

Term	Description
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.
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 utilized exclusively for GS1 System data structures.
GS1 DataBar	[GS1 General Specification] A family of bar code 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 Markup 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.

Term	Description
Master Data	<p>[GS1 GTS] Master Data describes each item and party involved in supply chain processes. Master Data is defined as data having the following characteristics:</p> <ul style="list-style-type: none"> 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	<p>Conducting a planned sequence of observations and measurements to assess whether control measures are operating as intended.</p>
Party	<p>[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).</p>
Point of Sale (POS)	<p>[GS1 General Specification] Refers to the retail checkout where omnidirectional bar codes must be used to enable very rapid scanning or low volume checkout where linear or 2D matrix bar codes are used with image-based scanners.</p>
Process	<p>[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, Traceability.</p>
Safety Hazard	<p>Chemical, biological or physical agent in product, or condition of product, with the potential to cause an adverse health effect.</p>
Shipment	<p>[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).</p>
SSCC (Serial Shipping Container Code)	<p>[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.</p>
SGTIN (Serialized Global Trade Item Number)	<p>[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 bar codes 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.</p>
Supplier	<p>[GS1 General Specification] The party that produces, provides, or furnishes an item or service.</p>
Traceability	<p>[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.</p>
Traceability System	<p>[GS1 GTS] The tools and organisation necessary to implement the traceability process in a given environment, party or group or parties</p>
Traceable Item	<p>[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.</p>

Term	Description
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.



Note: All terms contained in this glossary are correct as of the publication date. Please reference the glossary contained in the GS1 Global Data Dictionary (<http://gdd.gs1.org/gdd/public/>) for the most recent version of the Glossary.

Appendix A. Relation between the GTC Checklist and other Standards

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 fulfill 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)
- GlobalGap

! **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

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

- **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 Control Points
ISO 22005	1. CHOICE OF OBJECTIVES	1.1, 1.4, 1.5	34
	2. PRODUCT DEFINITIONS	2.1 ¹⁹ , 2.3 ²⁰	
	3. SUPPLY CHAIN PLACEMENT	3.1	

¹⁹ ISO 22005 requires identification, but not coding of all trade items

²⁰ ISO 22005 requires identification, but not coding of supplies and raw materials that affect the security of a trade item

Standard reference	GTC Section	Related GTC Control Points	Total Control Points
	4. ESTABLISHMENT OF PROCEDURES	4.1, 4.3, 4.7, 4.8, 4.9, 4.10	
	5. FLOW OF MATERIAL	5.5, 5.11, 5.12	
	6. INFORMATION REQUIREMENTS	6.1, 6.10, 6.11, 6.17, 6.22 ²¹ , 6.23 ²² , 6.24	
	7. DOCUMENTATION REQUIREMENTS	7.3, 7.4 ²³ , 7.5, 7.7	
	8. STRUCTURE & RESPONSIBILITIES	8.1, 8.2, 8.3	
	9. TRAINING	9.1	
	10. SUPPLY CHAIN COORDINATION	10.1 ²⁴	
	11. MONITORING	11.1	
	12. INTERNAL AND EXTERNAL AUDITS	12.1, 12.2, 12.3	

- **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 Control Points
ISO 9001	1. CHOICE OF OBJECTIVES	1.4	13
	2. PRODUCT DEFINITIONS	2.2, 2.5	
	3. SUPPLY CHAIN PLACEMENT	3.1	

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

22 ISO 22005 does not specify the information to provide to the customers

23 ISO 22005 does not specify specific information.

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

Standard reference	GTC Section	Related GTC Control Points	Total Control Points
	4. ESTABLISHMENT OF PROCEDURES	4.1, 4.9, 4.10	
	5. FLOW OF MATERIAL	5.4, 5.9	
	6. INFORMATION REQUIREMENTS	6.10, 6.11	
	7. DOCUMENTATION REQUIREMENTS	7.3, 7.4	
	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	

- 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, utilized 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 Control Points
HACCP	1. CHOICE OF OBJECTIVES	N/A	18
	2. PRODUCT DEFINITIONS	2.1 ²⁵ , 2.3 ²⁶	
	3. SUPPLY CHAIN PLACEMENT	3.1 ²⁷	
	4. ESTABLISHMENT OF PROCEDURES	4.1, 4.3, 4.10	

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

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

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

Standard reference	GTC Section	Related GTC Control Points	Total Control Points
	5. FLOW OF MATERIAL	5.5, 5.12	
	6. INFORMATION REQUIREMENTS	6.1, 6.10, 6.11, 6.17	
	7. DOCUMENTATION REQUIREMENTS	7.3 ²⁸ , 7.5	
	8. STRUCTURE & RESPONSIBILITIES	N/A	
	9. TRAINING	N/A	
	10. SUPPLY CHAIN COORDINATION	10.4, 10.5, 10.6, 10.7	
	11. MONITORING	N/A	
	12. INTERNAL AND EXTERNAL AUDITS	N/A	

- BRC (British Retail Consortium)**

The BRC Global Standard – Food “was developed to assist retailers in their fulfillment of legal obligations and protection of the consumer, by providing a common basis for the audit of companies supplying retailer branded food products”²⁹. 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 Control Points
BRC	1. CHOICE OF OBJECTIVES	N/A	21
	2. PRODUCT DEFINITIONS	2.1 ³⁰ , 2.3 ³¹	
	3. SUPPLY CHAIN PLACEMENT	3.1 ³²	
	4. ESTABLISHMENT OF PROCEDURES	4.1 ³³ , 4.3 ³⁴ , 4.10	

28 HACCP requests a detailed description of trade items.

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

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

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

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

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

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

Standard reference	GTC Section	Related GTC Control Points	Total Control Points
	5. FLOW OF MATERIAL	5.5 ³⁵ , 5.12 ³⁶	
	6. INFORMATION REQUIREMENTS	6.1, 6.10, 6.11, 6.17	
	7. DOCUMENTATION REQUIREMENTS	7.3, 7.5	
	8. STRUCTURE & RESPONSIBILITIES	N/A	
	9. TRAINING	N/A	
	10. SUPPLY CHAIN COORDINATION	10.4, 10.5, 10.6, 10.7, 10.8	
	11. MONITORING	11.1, 11.2	
	12. INTERNAL AND EXTERNAL AUDITS	N/A	

- **IFS (International Featured Standard)**

IFS FOOD, Version 5, 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 Control Points
IFS	1. CHOICE OF OBJECTIVES	N/A	21
	2. PRODUCT DEFINITIONS	2.1 ³⁷ , 2.3 ³⁸	
	3. SUPPLY CHAIN PLACEMENT	3.1 ³⁹	
	4. ESTABLISHMENT OF PROCEDURES	4.1 ⁴⁰ , 4.3 ⁴¹ , 4.10	

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

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

37 This point is required by HACCP, but is not explicit in IFS

38 This point is required by HACCP, but is not explicit in IFS

39 This point is required by HACCP, but is not explicit in IFS

40 This point is required by HACCP, but is not explicit in IFS

41 This point is required by HACCP, but is not explicit in IFS

Standard reference	GTC Section	Related GTC Control Points	Total Control Points
	5. FLOW OF MATERIAL	5.5 ⁴² , 5.12 ⁴³	
	6. INFORMATION REQUIREMENTS	6.1, 6.10, 6.11, 6.17	
	7. DOCUMENTATION REQUIREMENTS	7.3, 7.5	
	8. STRUCTURE & RESPONSIBILITIES	N/A	
	9. TRAINING	N/A	
	10. SUPPLY CHAIN COORDINATION	10.4, 10.5, 10.6, 10.7, 10.8	
	11. MONITORING	11.1, 11.2	
	12. INTERNAL AND EXTERNAL AUDITS	N/A	

- 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 Adressed
SQF	1. CHOICE OF OBJECTIVES	N/A	23
	2. PRODUCT DEFINITIONS	2.1, 2.3	
	3. SUPPLY CHAIN PLACEMENT	N/A	
	4. ESTABLISHMENT OF PROCEDURES	4.1, 4.2, 4.3, 4.9, 4.10	
	5. FLOW OF MATERIAL	5.3, 5.4	

42 This point is required by HACCP, but is not explicit in IFS

43 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
	6. INFORMATION REQUIREMENTS	6.1, 6.10, 6.11, 6.17, 6.24	
	7. DOCUMENTATION REQUIREMENTS	7.4, 7.5	
	8. STRUCTURE & RESPONSIBILITIES	N/A	
	9. TRAINING	N/A	
	10. SUPPLY CHAIN COORDINATION	10.4, 10.5, 10.6, 10.7, 10.8	
	11. MONITORING	11.1, 11.2	
	12. INTERNAL AND EXTERNAL AUDITS	N/A	

- GlobalGap**

GlobalGap 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 GlobalGap Standard:

Standard reference	GTC Section	Related GTC Control Points	Total Reference Control Points Addressed
GlobalGap	1. CHOICE OF OBJECTIVES	N/A	6
	2. PRODUCT DEFINITIONS	N/A	
	3. SUPPLY CHAIN PLACEMENT	N/A	
	4. ESTABLISHMENT OF PROCEDURES	4.9, 4.10	
	5. FLOW OF MATERIAL	N/A	
	6. INFORMATION REQUIREMENTS	6.10, 6.11, 6.20	
	7. DOCUMENTATION REQUIREMENTS	7.5	
	8. STRUCTURE & RESPONSIBILITIES	N/A	

Standard reference	GTC Section	Related GTC Control Points	Total Reference Control Points Addressed
	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.

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	x	x						
1.2								
1.3	x							
1.4		x					x	
1.5		x						
2. PRODUCT DEFINITIONS								
2.1	x	x	x	x	x	x		
2.2							x	
2.3		x	x	x	x	x		
2.4	x							
2.5	x						x	
3. SUPPLY CHAIN PLACEMENT								
3.1		x	x	x	x		x	
3.2	x							
3.3	x							
3.4	x							
3.5	x							
3.6	x							
3.7								
4. ESTABLISHMENT OF PROCEDURES								
4.1		x	x	x	x	x	x	
4.2						x		
4.3		x	x	x	x	x		
4.4	x							
4.5	x							
4.6	x							
4.7		x						
4.8								

Control Point	GTS	22005	HACCP	IFS	BRC	SQF	9001	Global GAP
4.9	X	X				X	X	X
4.10	X	X	X	X	X	X	X	X
4.11								
5. FLOW OF MATERIAL								
5.1								
5.2								
5.3	X					X		
5.4	X					X	X	
5.5	X	X	X	X	X			
5.6	X							
5.7	X							
5.8	X							
5.9							X	
5.10								
5.11		X						
5.12		X	X	X	X			
5.13	X							
5.14	X							
5.15								
5.16	X							
5.17	X							
5.18	X							
5.19	X							
6. INFORMATION REQUIREMENTS								
6.1		X	X	X	X	X		
6.2	X							
6.3	X							
6.4	X							
6.5	X							
6.6	X							
6.7	X							
6.8	X							
6.9	X							
6.10	X	X	X	X	X	X	X	X
6.11	X	X	X	X	X	X	X	X
6.12	X							
6.13	X							
6.14								
6.15	X							
6.16	X							
6.17	X	X	X	X	X	X		
6.18	X							
6.19	X							
6.20	X							X
6.21	X							
6.22	X	X						
6.23	X	X						

Control Point	GTS	22005	HACCP	IFS	BRC	SQF	9001	Global GAP
6.24	x	x				x		
6.25								
6.26								
6.27								
6.28	x							
6.29	x							
6.30								
7. DOCUMENTATION REQUIREMENTS								
7.1								
7.2								
7.3		x	x	x	x		x	
7.4		x				x	x	
7.5	x	x	x	x	x	x		x
7.6								
7.7		x						
8. STRUCTURE & RESPONSIBILITIES								
8.1		x						
8.2		x						
8.3		x						
8.4								
9. TRAINING								
9.1		x						
9.2								
9.3								
10. SUPPLY CHAIN COORDINATION								
10.1	x	x						
10.2	x							
10.3								
10.4			x	x	x	x		
10.5			x	x	x	x		
10.6			x	x	x	x		
10.7			x	x	x	x		
10.8				x	x	x		
10.9								
11. MONITORING								
11.1		x		x	x	x		
11.2				x	x	x		
12. INTERNAL AND EXTERNAL AUDITS								
12.1		x						
12.2		x						
12.3		x						

Appendix B. Bibliography

- **BRC GLOBAL STANDARD – FOOD**, Issue 4, January 2005, British Retail Consortium.
- **BRC GLOBAL STANDARD GUIDELINES**, “Traceability: Frequency of Testing”, October 2005, British Retail Consortium.
- **CAN- TRACE**, “Canadian Food Traceability Data Standard Version 2.0”, Agriculture and Agri-Food Canada, Oct 19, 2004
- **Codex Alimentarius Food Hygiene Basic Texts**. Food and Agricultural Organisation of the United Nations. World Health Organisation, Rome, 2001
- **GLOBALGAP**, “Control Points and Compliance Criteria Integrated Farm Assurance Fruit and Vegetables, Version 3.0 – 2 Sep 07”
- **FDA 306**, “Questions and Answers Regarding the Final Rule on Establishment and Maintenance of Records (Edition 2) Nov 10, 2005”
- **FDA 306 Checklist For Food Manufacturers**, Operation Technologies (2006)
- **Fresh Produce Traceability**, “A Guide to Implementation”, Produce Marketing Association, March 2005.
- **GS1 General Specifications**, Version 8.0, Issue 1, January 2008
- **GS1 Global Traceability Standard**, “Business Process and System Requirements for Full Chain Traceability”, Issue 1, Sep - 2007
- **GS1 Global User Manual**, Issue 8.1, August 2006
- **Guía para la Aplicación del Sistema de Trazabilidad en la Empresa Agroalimentaria**, Agencia Española de Seguridad Alimentaria (2004)
- **IFS FOOD**, Version 5, International Featured Standard.
- **HACCP Self Assessment Checklist**, “H013, Issue 1”, NCSI, September 2003
- **ISO 9001:2000**, “Quality management systems - Requirements”
- **ISO 22000:2005**, “Food safety management systems – Requirements for any Organisation in the food Chain”
- **ISO 22005:2007**, “Traceability in feed and food Chain – General principles and basic requirements for system design and implementation”
- **Manual para la Trazabilidad de Productos Hortofrutícolas Frescos de Exportación**, Asociación de Exportadores de Chile A.G. (ASOEX), Fundación para el Desarrollo Frutícola (FDF), Primera Edición, Septiembre 2005
- **NCh2983.c2005**, “Trazabilidad de alimentos y de la cadena alimentaria – Principios generales y guía para el diseño y desarrollo del sistema”, Instituto Nacional de Normalización, Gobierno de Chile (2005)
- **Public Law 107 – 188, 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.
- **Regulation (EC) N° 852/2004**, “on the hygiene of foodstuffs”, of the European Parliament and of the Council of April 29, 2004.

- **Regulation (EC) 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.
- **Regulation (EC) N° 1935/2004**, “on materials and articles intended to come into contact with food”, of the European Parliament and of the Council of October 27, 2004.
- **SQF 2000 CODE**, “A HACCP Supplier Assurance Code for the Food Industry, 5th Edition – Issued November 2005”, SQF Institute
- **Using Traceability in the Supply Chain to meet Consumer Safety Expectations**, ECR Europe, March 2004