



# Understanding Tech Traceability

May 13, 2021

*Organized by the Food Fraud Professional Development Group*

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# Understanding Tech Traceability

May 13, 2021

## Today's Panelists

Kelly Kell, GS1 US - Presenter

TJ Gupta, TagOne - Presenter

Karen Everstine, FoodChain ID - Moderator

# Speakers



Kelly Kell  
Director, Community Engagement  
GS1 US



TJ Gupta  
Co-Founder & CEO  
TagOne LLC



# Presentation for IAFP

A vibrant, stylized collage of icons representing supply chain management. The central element is a blue and white globe. Surrounding it are various icons: a yellow warehouse building, a purple cargo ship, a green forklift, a pink smartphone, a blue airplane, a yellow rocket, a green truck, a blue person carrying a black shopping bag, a red shopping bag, a blue pill, a red apple, a green laptop, a pink vacuum cleaner, and several interlocking gears in various colors (blue, green, yellow, pink). The background is white with a subtle grid pattern.

# Antitrust Caution

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\*If applicable





# Agenda

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- **Who is GS1**
- **What are GS1 Standards**
- **Leveraging GS1 Standards for Traceability**
- **Standards in Action: FDA Leafy Greens Pilot**



More than  
**6 billion**  
GS1 barcodes are  
scanned everyday



GS1 US® serves more  
than **300,000**  
**businesses** in the  
United States.



Over  
**1.5 million**  
companies around the  
world use GS1 Standards



GS1 US serves over **25**  
**industries** including  
retail grocery, food  
service, health care,  
apparel, and general  
merchandise



More than  
**30 million**  
products are registered  
by brand owners in the  
GS1 Global Data  
Synchronization  
Network™ (GDSN)



Over  
**25 million**  
products are assigned  
U.P.C.'s in the GS1 US  
Data Hub Product Tool



GS1 is made up of  
**110+ member**  
**organizations**  
serving businesses  
around the world



# Identify, Capture & Share in the Supply Chain

GS1 Standards make it possible to **identify**, **capture**, and **share** information automatically and accurately about products, business locations, and more. This way anyone who wants that information can understand it, no matter who or where they are.



**Identify**

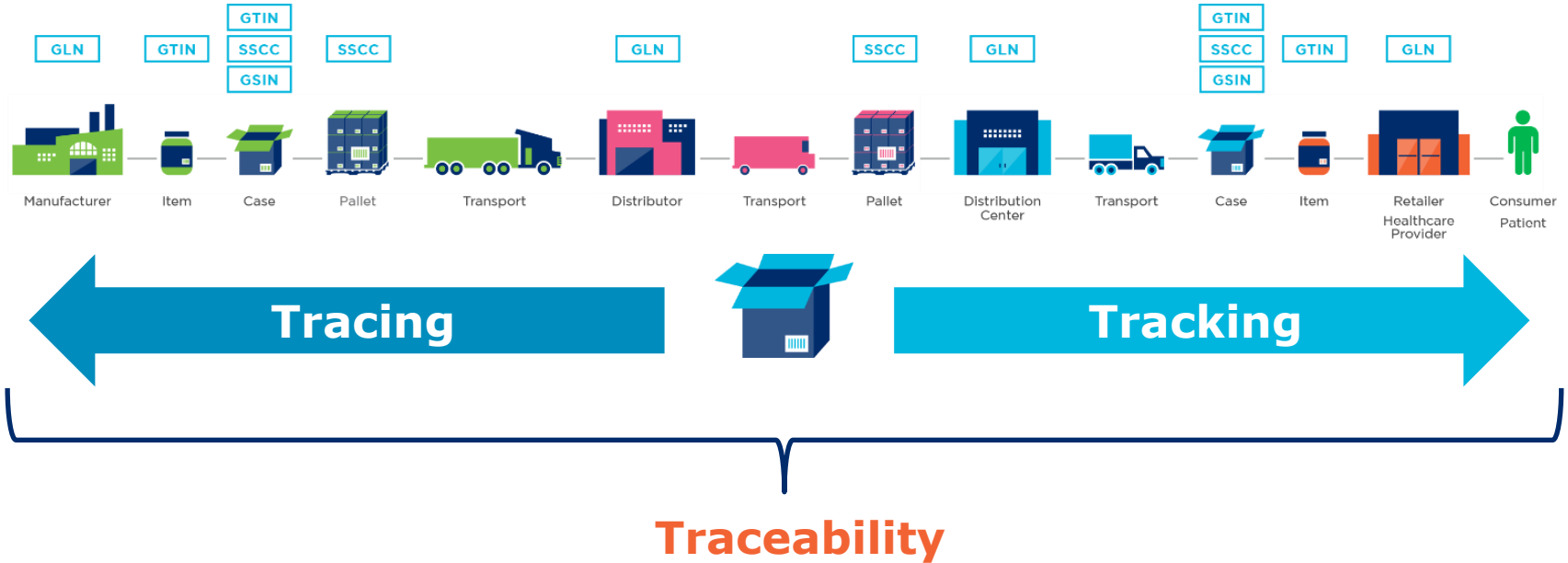


**Capture**



**Share**

# Foundation of Traceability is Unique Identification



# GS1 Standards



## Identify GS1 Identification Numbers

### Company

- Global GS1 Company Prefix
- Global Location Number (GLN)

### Product

- Global Trade Item Number® (GTIN®)
- Serialized Global Trade Item Number (EPC®/SGTIN)

### Location

- Global Location Number (GLN)

### Logistics

- Serial Shipping Container Code (SSCC)
- Global Shipment Identification Number (GSIN)

### Assets

- Global Individual Asset Identifier (GIAI)
- Global Returnable Asset Identifier (GRAI)

### Services and Other

- Global Service Relation Number (GSRN)
- Global Document Type Identifier (GDTI)



## Capture GS1 Data Carriers

### Barcodes

EAN®/UPC



GS1 DataBar®



GS1 DataMatrix



ITF-14



GS1-128



### EPC-Enabled RFID Tags

Electronic Product  
Code (EPC)  
RFID Encodings



UHF RFID



## Share GS1 Data Exchange

### Master Data

- Global Data Synchronization Network™ (GDSN®)
- GS1 US Data Hub | Location

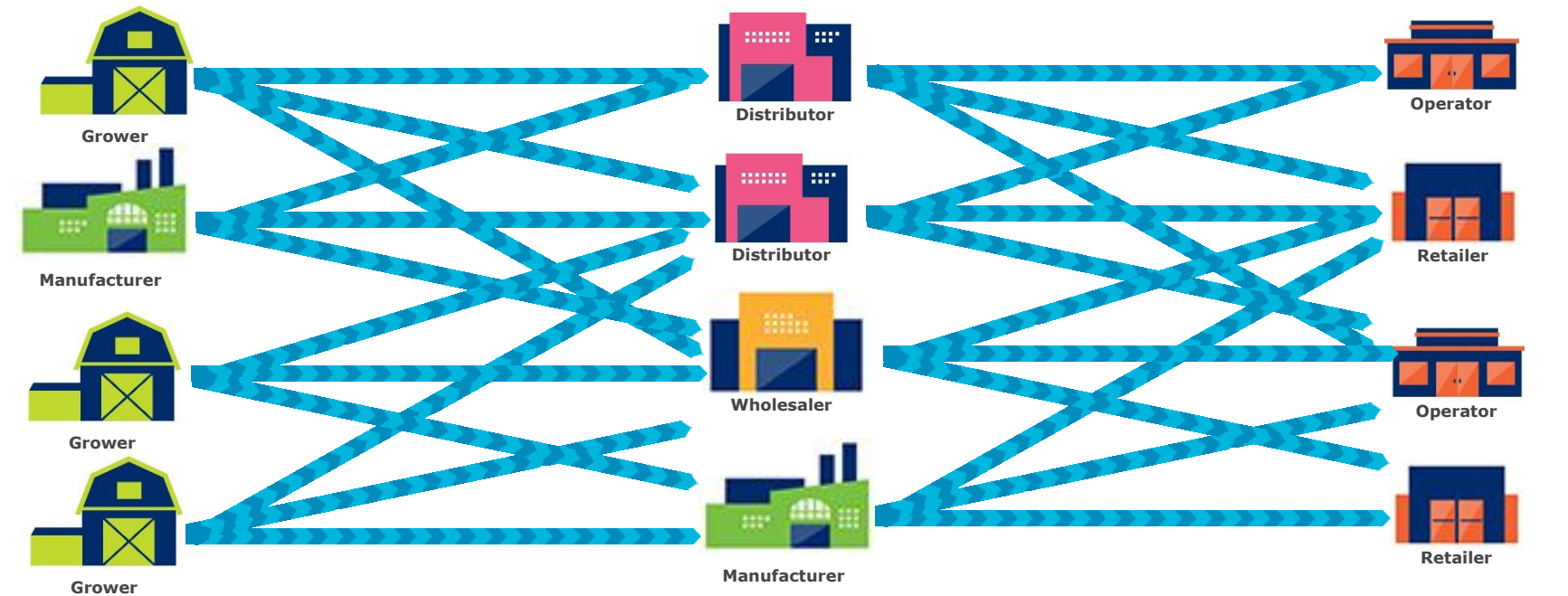
### Transactional Data

- Electronic Data Interchange (EDI)

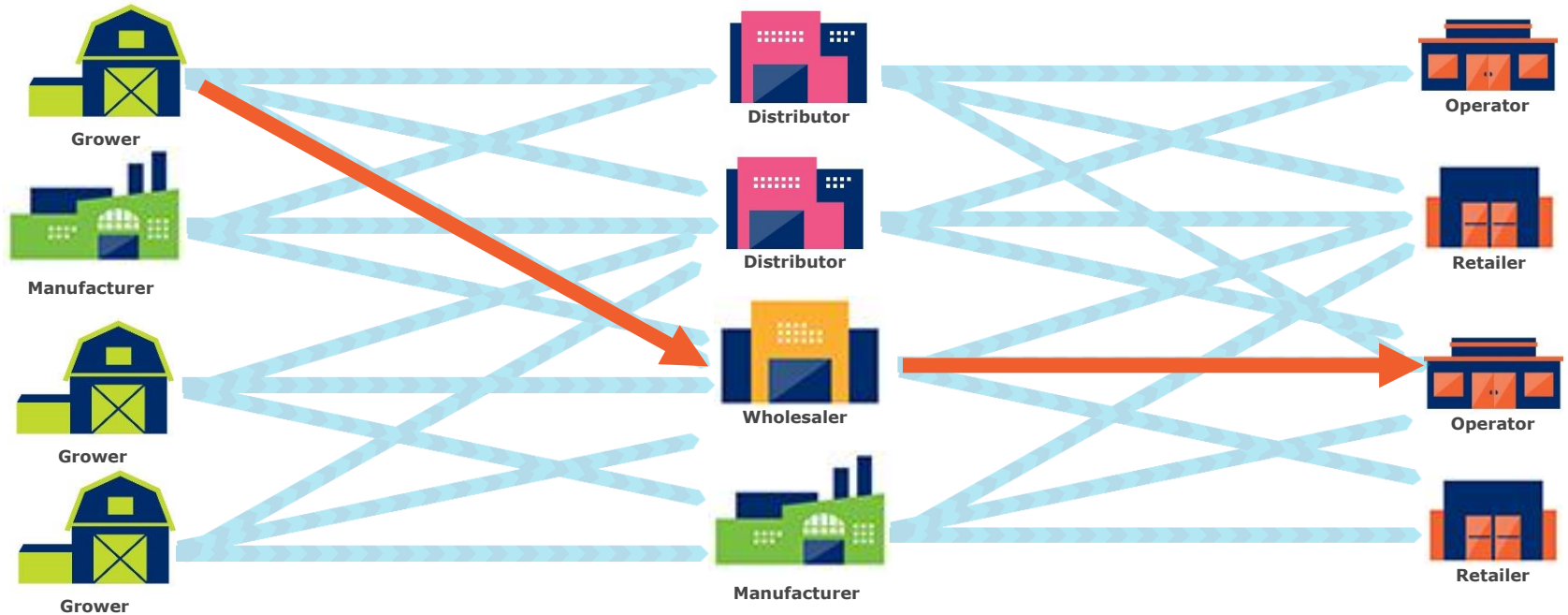
### Physical Event Data

- Electronic Product Code Information Services (EPCIS)

# Supply Chain or Supply Web?



# Where Did it Come From ...Where Did it Go?



# GS1 Standards in Traceability

## Critical Tracking Events

### Transform

Create Finished Goods



### Transport

Ship Finished Goods



### Receive

Receive Finished Goods



### Deplete

Finished Goods Sold at Point of Sale



### Deplete

Destroy Unsaleable Finished Goods



## Key Data Elements

When?  
What [Input]?  
What [Output]?  
Where?  
Why?

When?  
What?  
What?  
Where?  
Why?

When?  
What?  
What?  
Where?  
Why?

When?  
What?  
What?  
Where?  
Why?

When?  
What?  
What?  
Where?  
Why?



# Regulatory Food Safety Landscape



“The pilots provided valuable insights that will inform future outbreak response and recall protocols, helping industry to work together to support the FDA’s focus on tech-enabled traceability.”

- Bryan Hitchcock, Executive Director of IFT’s Global Food Traceability Center, on behalf of the six organizations

# Leafy Green Traceability Pilot

## Overview & Goals

- Prioritize work with leafy green stakeholders to design and initiate a pilot on concepts needed for traceability to further scale, such as testing **interoperability** of tracing systems and **public-private data sharing**.

## Goals

- Provide industry with better visibility into Federal Regulator's traceability challenges
- Help Romaine Task Force refine their CTE/KDE template



*The pilot created a space for collaboration among a diverse group of participants- all building on existing momentum and previous work within industries.*

# Leafy Green Traceability Pilot

## Who: Six Associations



## What: Developed and executed three leafy green traceback pilots.

- focused on various romaine-containing products; consideration for different product/supply chain configurations
- planned, initiated, and worked with identified volunteers/industry experts to execute each pilot scenario
- reviewed and synthesized the data in this final report to be shared with the US Food and Drug Administration FDA and leafy green stakeholders

<https://www.ift.org/leafygreens>

# Produce Traceback Template

	A	B	C	D	E	F	G	H	I	J	K	L	M	N
1	<b>Produce Traceback Template</b>													
2														
3	<b>Industry Descriptor</b>	<b>Example</b>	<b>Data</b>											
4	Item Description	Hearts of Romaine												
5	Commodity	Lettuce												
6	Finished Product Variety	Romaine												
7														
8	Inquiry Date: From YYYYMMDD	200508												
9	Inquiry Date: To YYYYMMDD	200510												
10														
11	Company Name / Information Provider:	Produce Suppliers, Inc.												
12	Company Contact:	Sam Smith												
13	Company Phone #:	555-555-1212												
14	Address: Street	456 Main Drive												
15	Address: City	Anytown												
16	Address: State or Province	CA												
17	Address: Zip Code or Postal	93902												
18	Address: Country Code	USA												
19	GLN (Optional)	1234567890123												
20														
21	Facility Name:	Produce Packing Co.												
22	Facility Address: Street	457 Main Drive												
23	Facility Address: City	Salinas												
24	Province	CA												
25	Facility Address: Zip Code or Postal Code	93902												
26	Facility Address: Country Code	USA												
27	GLN (Optional)	1234567890135												
28														
29														
30	<b>Outgoing Shipments:</b>													
31	Item Description	Shipment Date YYYYMMDD	Invoice #	PO#	BOL #	Customer Name	Customer GLN	Customer: Street Address	Customer: City	Customer: State or Province	or Postal Code	Customer: Country Code	Ship To: Location Name (if different)	Ship To: GLN
32	Romaine Lettuce Hearts	200508	9429101	ABC123	PP-12345	My Grocery Store, Inc.		123 Main Street	Anytown	PA	12345	USA	My Grocery Store	
33														
34														
35														
36														
37														
38														
39														

This template was initiated as part of the Romaine Task Force and finalized by Produce Traceability Initiative (PTI) working group is designed to transmit traceability data to regulators when a company is involved in a traceback investigation.

[https://www.produceability.org/documents/Produce\\_Traceability\\_Template\\_20200624.xlsx](https://www.produceability.org/documents/Produce_Traceability_Template_20200624.xlsx)



# Start with a consumer purchase & trace it back

Successfully able to **trace** back 3 product types, all containing romaine lettuce



# New Era of Smarter Food Safety

**The U.S. FDA has released a strategic blueprint that outlines how the U.S. FDA plans to leverage technology and other tools to create a more digital, traceable and safer food system.**

- Tech-Enabled Traceability and Foodborne Outbreak Response
- Smarter Tools and Approaches for Prevention
- Adapting to New Business Models and Retail Food Safety Modernization
- Food Safety Culture

<https://site.gs1us.org/New-Era-of-Smarter-Food-Safety.html>





# Understanding Tech Traceability

## How it Reduces Food Fraud (and other) Risks

TJ Gupta  
Co-Founder & CEO  
TagOne LLC





TagOne is a SaaS based Blockchain enabled, Traceability Management System delivering comprehensive transparency to the food and natural products industry





# Our History

## Dreamweaver Launched

TJ Gupta and Manish Gupta leave SAP to start a track and trace integration consulting firm, serving major enterprises including J&J, Roche and Bristol Myers Squibb.

## Paradigm Shift

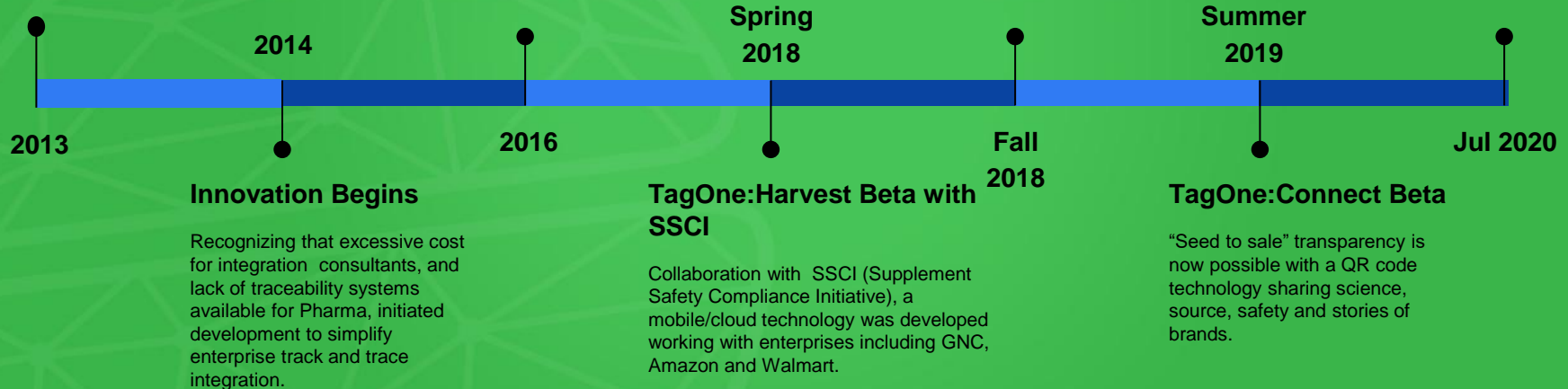
After family health issues, the team begins innovation in cloud and blockchain solutions for natural ingredients providing consumers with product source provenance.

## TagOne:Enterprise Beta & Partner Pilot

Blockchain enabled cloud solution is launched and first ingredient supplier is onboarded.

## GS1 Pilot Program

Entered in to pilot program partnership with GS1 to develop standards for hemp and CBD.





**Address Legal and  
Regulatory Risks**



**Improve  
Operational  
Efficiencies**



**Food Safety and  
Consumer Protection**

**Need for Comprehensive  
Transparency in the  
Food Industry?**

# What is Comprehensive Transparency?

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Full visibility of all supporting information (data and documents) for a product as it moves through the supply chain

- **Master Data**

- E.g., Supplier/Customer/Product/Location/Other

- **Transaction Data**

- E.g., Receiving/Processing/Manufacturing/Shipping/Other



- **Master Documents**

- E.g., Product Specs/MSDS/ GMP/GAP/USDA Organic/Allergen/ Gluten Free/Kosher/Halal/ Vegan/ Fair Labor/Fair Trade/Pictures/Other

- **Transaction Docs**

- E.g., Batch Production Records/Certificate of Analysis/Bill of Lading/ Packing Lists/Country of Origin/ Pictures/Other

# How Does TagOne Work

Our 3 Core Tenets



Industry Best Practices



**IoT/Smart Devices**

Capture data from any location globally



**Global Cloud Backbone**

Share data instantly



**Blockchain**

Data is secure and authenticated



Global Data Standards to  
ensure Interoperability

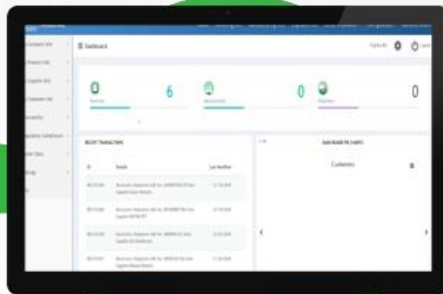
# How Does TagOne Work

## 3 Solution Components Capture KDE's from Seed to Sale Seamlessly



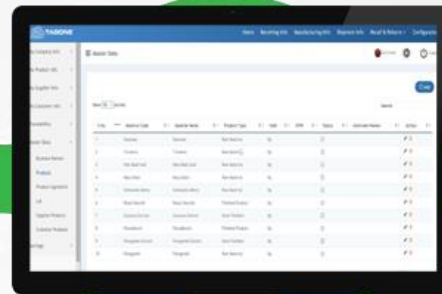
### TagOne:Harvest

Farm application to help you capture the first mile data crucial for comprehensive traceability



### TagOne:Enterprise

Cloud based platform helping you capture key supply chain transaction from the farm to the consumer. Track your Supplier/Buyer transactions, Manufacturing, Recalls & Returns, Document management and more!



### TagOne:Engage

Consumer application allowing you to share the safety, science, source and story of your brand at the scan of a QR code or click of a button

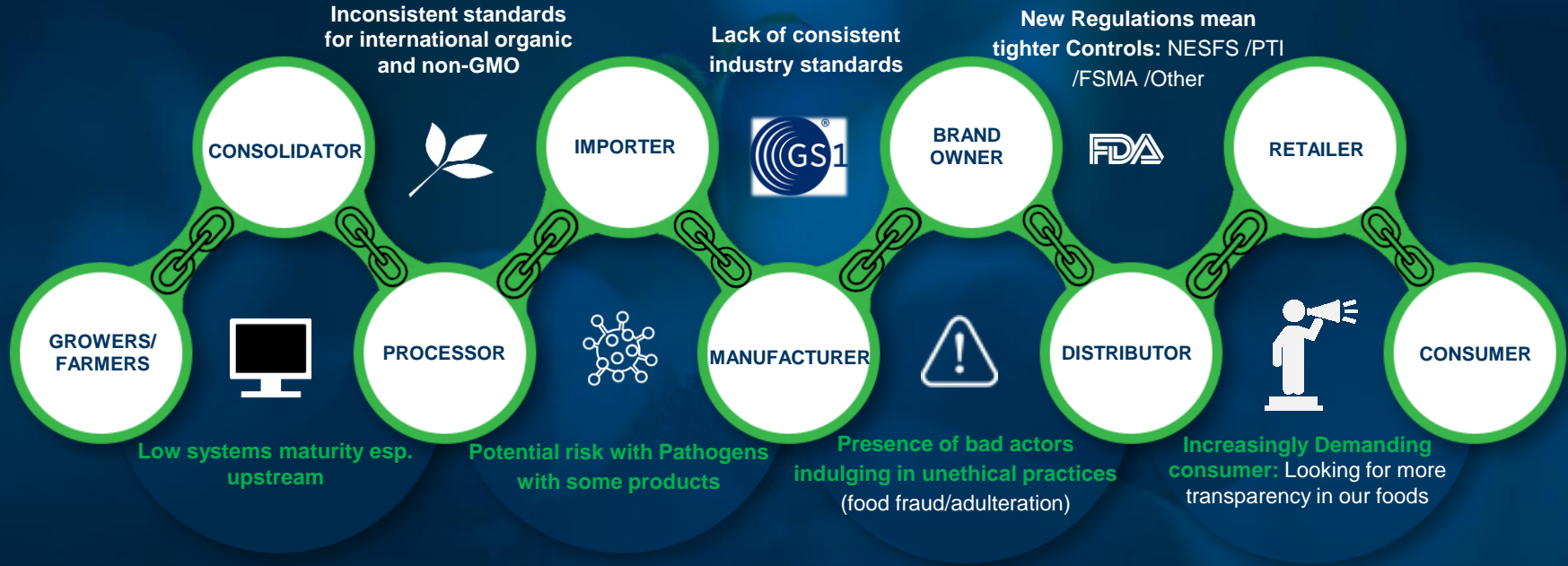
# Enhancing Transparency in the Food Supply Chain





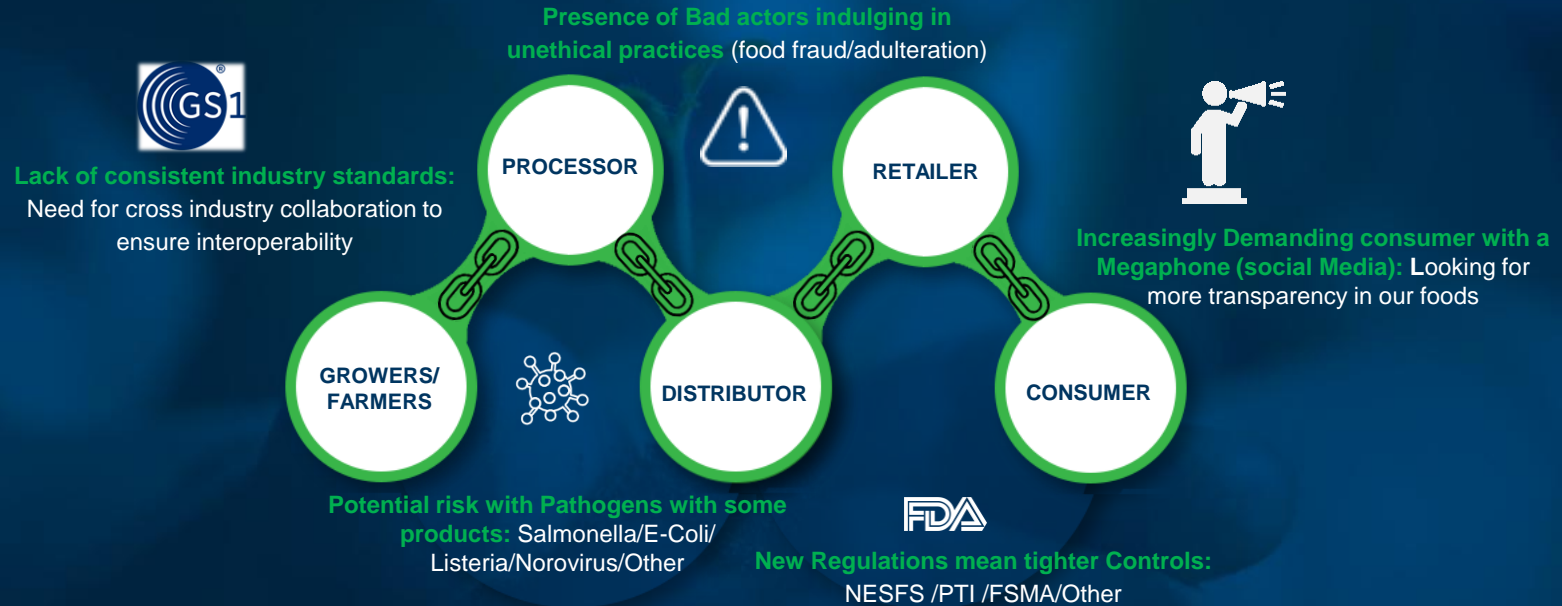
# The Food Supply Chain

## Global, Complex and Potentially Risky



# The Food Supply Chain

## Sometimes, Local/Predictable – Still Potential Risk





# Key to Comprehensive Transparency

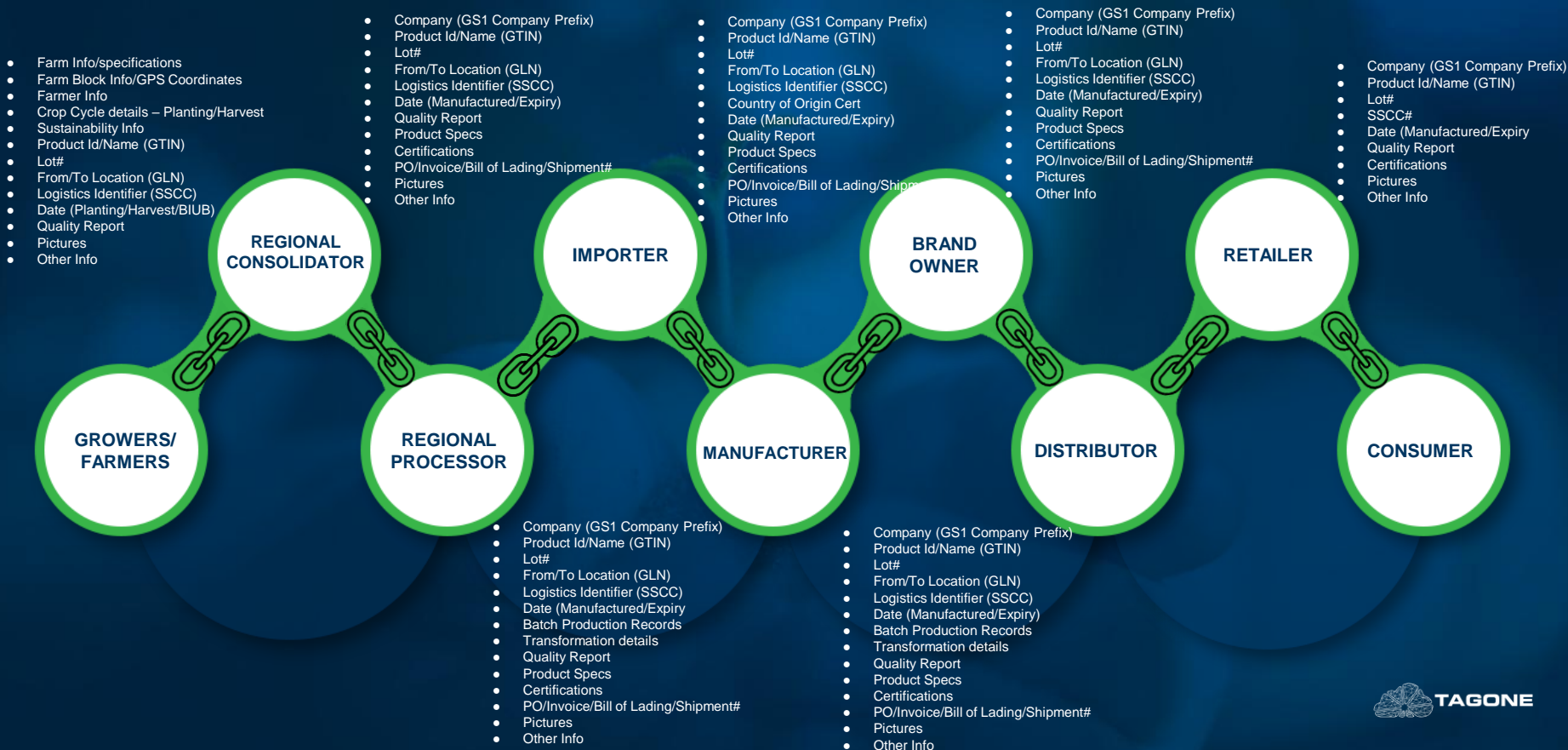
Linking every Transfer of Ownership & Transformation Event across the Supply Chain along with its supporting data and docs (CTE's and KDE's)



“Who? What? Where? When? Why?”

# Linking every Transfer of Ownership & Transformation Event

## Identify, Capture, Share



# Tying the Supply Chain Together in the TagOne AWS Cloud

## Identify, Capture, Share



# Tying the Supply Chain Together in the TagOne AWS Cloud

## Identify, Capture, Share



# Enabling Supply Chain Oversight

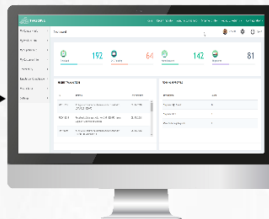
## Managing Ingredient Life Cycle Data: Ashwagandha Herb in Supplement Example

### Farmer



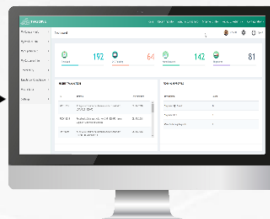
- Farm Info/specifications
- Farm Block Info/GPS Coordinates (GLN)
- Farmer Info
- Crop Cycle details – Planting/Harvest
- Sustainability Info
- Product Id/Name (GTIN)\*
- Lot#
- From/To Location (GLN)
- Logistics Identifier (SSCC)\*
- Date (Seeding/Harvest/BIUB/Other)
- Quality Report
- Pictures
- Other Info

### Processor



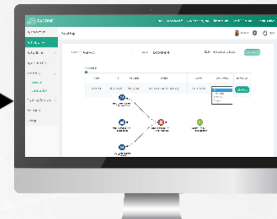
- Company (GS1 Company Prefix)
- Product Id/Name (GTIN)
- Lot#
- From/To Location (GLN)
- Logistics Identifier (SSCC)\*
- Date (Processing/Expiry/Other)
- Transformation details (Input/Output)
- Batch Production Records
- Quality Report/Certifications
- Product Specs
- PO/Invoice/Bill of Lading/Shipment#
- Pictures
- Other Info

### Distributor



- Company (GS1 Company Prefix)
- Product Id/Name (GTIN)
- Lot#
- From/To Location (GLN)
- Logistics Identifier (SSCC)\*
- Date (Processing/Expiry/Other)
- Quality Report
- Product Specs
- Certifications
- PO/Invoice/Bill of Lading/Shipment#
- Pictures
- Other Info

### Manufacturer



- Company (GS1 Company Prefix)
- Product Id/Name (GTIN)
- Lot#
- From/To Location (GLN)
- Logistics Identifier (SSCC)\*
- Date (Manufacturing/Expiry/Other)
- Transformation details (Input/Output)
- Master Manufacturing Record/ Batch Production Records
- Quality Report
- Product Specs
- Certifications
- PO/Invoice/Bill of Lading/Shipment#
- Pictures
- Other Info

### Consumer



- Detailed Product Info
- Product Ingredients
- Ingredient Traceability
- Origin of Supp.
- Supplier Details
- Sustainability
- CoA/Quality Reports
- Date (Manufacturing/Expiry/Other)
- Social Media Ref.



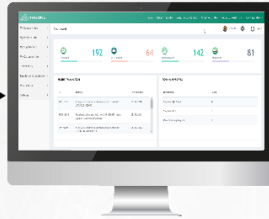
# Enabling Supply Chain Oversight – Blockchain View

## Managing Ingredient Life Cycle Data: Ashwagandha Herb in Supplement Example

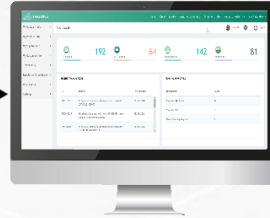
### Farmer



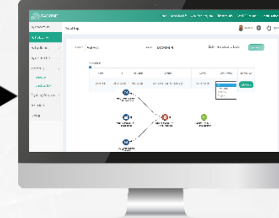
### Processor



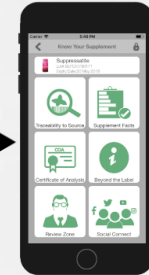
### Distributor



### Manufacturer



### Consumer



- Farm Info/specifications
- Farm Block Info/GPS Coordinates
- Farmer Info
- Crop Cycle details – Planting/Harvest
- Sustainability Info
- Product Id/Name (GTIN)
- Lot#
- From/To Location (GLN)
- Logistics Identifier (SSCC)
- Date (Seeding/Harvesting/BIUB/Other)
- Quality Report
- Pictures
- Other Info

- Company (GS1 Company Prefix)
- Product Id/Name (GTIN)
- Lot#
- From/To Location (GLN)
- Logistics Identifier (SSCC)
- Date (BIUB/Production/Other)
- Transformation details (Input/Output)
- Quality Report/Certifications
- Product Specs
- PO/Invoice/Bill of Lading/Shipment#
- Pictures
- Other Info

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- Product Id/Name (GTIN)
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- Logistics Identifier (SSCC)
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- Lot#
- From/To Location (GLN)
- Logistics Identifier (SSCC)
- Date (BIUB/Production/Other)
- Quality Report
- Product Specs
- Certifications
- PO/Invoice/Bill of Lading/Shipment#
- Pictures
- Other Info

- Detailed Product Info
- Product Ingredients
- Ingredient Sustainability
- Origin
- Supplier Data
- Sustainability
- CoA/Quality Report
- Social Media Ref.

# 2020 FDA's New Era of Smarter Food Safety Blueprint

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As part of FDA's NESFS Blueprint pre-defined specific CTE's & KDE's need to be tracked across the Supply Chain

## Summary of FDA's recommended CTE's & KDE's:

- Growing – Approx. 11 KDE's proposed (including sprouts)
- Receiving – Approx. 10 KDE's proposed
- First Receiver – Approx. 7 KDE's proposed
- Transformation – Approx. 8 KDE's proposed
- Creation – Approx. 6 KDE's proposed
- Shipping – Approx. 10 KDE's proposed



*\*TagOne covers 100% of the FDA proposed CTE's and KDE's across the Supply Chain*

# 2019 Leafy Green Pilot

## Pilot 3: Private label salad (under USDA) from national chain store

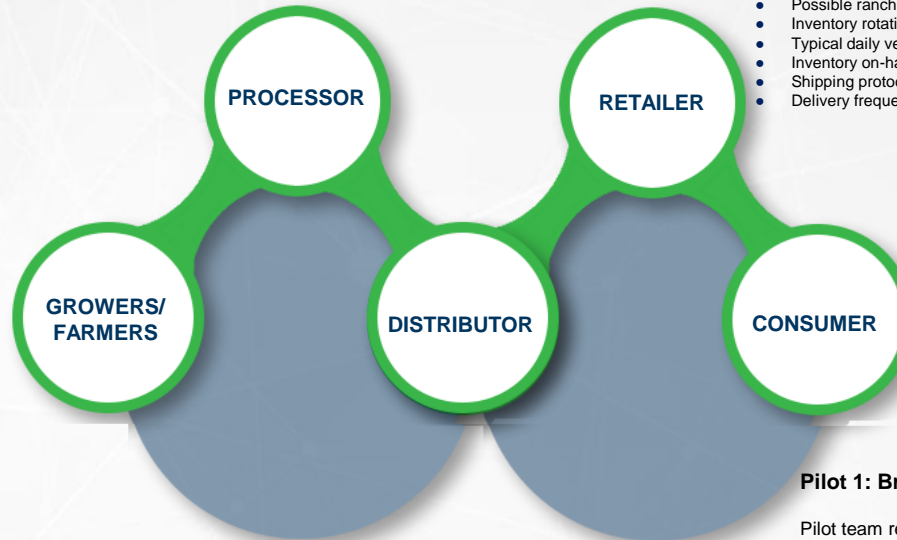
Pilot team reviewed following info from Retailer to make connections

- Purchase date and time
- Purchase location
- Items purchased
- UPC
- Brief description of product
- PO numbers
- ASN Info
- Sell or Purchase by dates
- Shelf-life info
- Store POS data
- On-hand inventory in store

## Pilot 2: Romaine hearts sold at Independent retailer using 3<sup>rd</sup> party distributor

Pilot team reviewed following info from Distributor to make connections

- Receipt data from brand owner
- Shipment data to Retailer
- Possible ranches and fields data – based on Distributor PO
- Inventory rotation practices
- Typical daily velocity
- Inventory on-hand by date
- Shipping protocol (e.g., FIFO, Code date)
- Delivery frequency



- Date of purchase
- Location of purchase
- Product description
- Brand (as applicable)
- Identifying Info (e.g., UPC, harvest region, Lot#)
- Shopper info
- Photographs of receipt and product

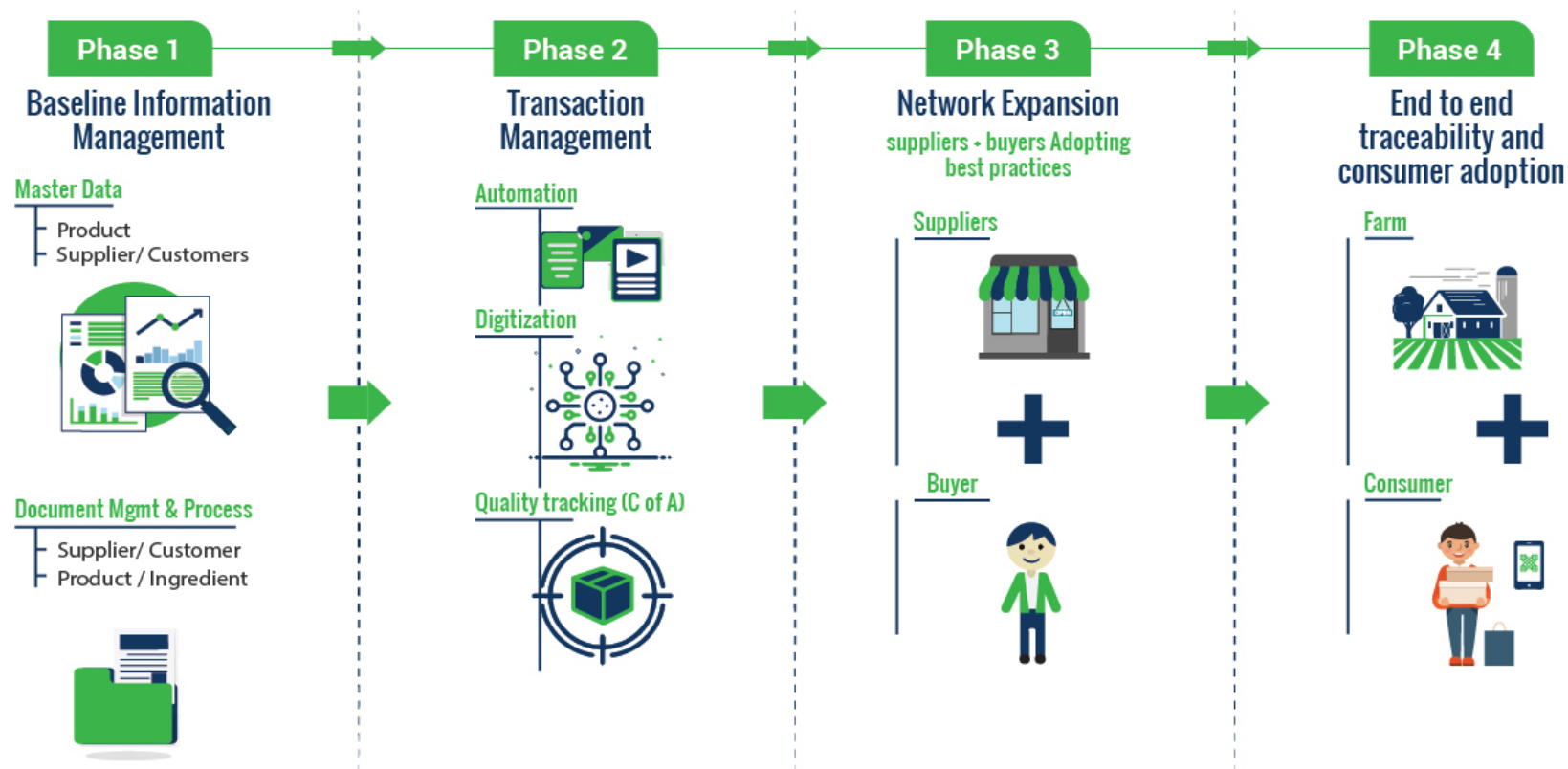
## Pilot 1: Branded bagged salad from regional chain grocery store

Pilot team reviewed following info from Retailer to make connections

- Lot # received at Retailer DC (BIUB Date)
- Daily Sales date from specific Store
- Delivery Times from DC to Retail store
- Shelf Stocking Patterns
- Inventory Reconciliation



# The Path to Full Traceability



# Comprehensive Supply Chain Transparency

Long List of Business Benefits...

## Address Legal & Regulatory Risks

- Provides a Single regulatory repository for both company Data & Documents
- Enables full tech traceability compliance with the New Era of Smarter Food Safety
- Enables compliance with FSMA/FSVP
- Automated Recalls & Returns
- Helps you expedite your GMP/GAP/Other certifications
- Eases your GFSI/SQF Audits
- Addresses multiple state labeling regulations (QR Code)
- Helps you warn consumers of recalls via the QR Code label warning functionality

## Improve Operational Efficiencies

- Gives companies visibility across supply chain and dramatically improves decision making ability
- Enables industry best practices across core transactions (CTE's) like Buy/Transform/Sell
- Implements MDM best practices and interoperability standards
- Gives you tighter operation linkages and control - Buy/Transform/Sell
- Improves supplier mgmt. by tracking supplier performance on product quality over time
- Helps you drive Internal (one-up, one-back) & external( beyond one-up one-back) product traceability

## Food Safety & Consumer Protection

- Ensures companies follow best practices in operations (GMP/GAP/GHP/other)
- Quality visibility (CoA/Certifications/other reports) at each step of product life cycle
- Audit trail of every transaction across the supply chain (identify bad actors easily)
- Higher confidence in food item produced
- Recalls and Returns faster
- Consumers get access to detailed food info before they buy (QR Code/other)
- Recall warnings via QR Code labels

## Closing Thoughts

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- Tech Traceability is key to ensuring comprehensive transparency across the food supply chain
- More transparency ensures better supply chain oversight and control on food movement across its life cycle including all its supporting data and documents
- This dramatically reduces the possibility of 3<sup>rd</sup> party food fraud, adulteration or diversion
- Comprehensive Transparency is a journey in which Tech Traceability solutions need to work closely with the right processes, standards and company culture to be successful

“Quality means doing it right when no one is looking.”

- HENRY FORD



TJ Gupta  
Co-Founder & CEO  
TagOne LLC  
tj@tagone.com  
Tel: 3029323406



## Questions?

Questions should be submitted to the presenters via the **Questions section** at the right of the screen.



International Association for  
**Food Protection**®

## Contact Information

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- TJ Gupta              [tj@tagone.com](mailto:tj@tagone.com)
- Kelly Kell             [KKell@gs1us.org](mailto:KKell@gs1us.org)

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- **May 19** How Not to Put the "No" in Innovation: How to Make Food Safety and Product Development Collaborations Work!
- **May 25** Process Validation to Meet FSMA Regulations – Tips & Tricks from Case Studies
- **May 26** Digitalizing Environmental Monitoring Programs to Unlock Their True Value in Ensuring Safe Quality Products
- **June 9** Low Water Activity Food Safety Series Part 4: Grain Based Foods and Ingredients



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