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Traceability of crustacean products — Specifications on the information to be recorded in captured crustacean distribution chains

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National foreword

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INTERNATIONAL STANDARD

ISO 18537

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Traceability of crustacean products — Specifications on the information to be recorded in captured crustacean distribution chains

Traçabilité des crustacés — Spécifications relatives aux informations à enregistrer dans les chaines de distribution de crustacés issus de la pêche

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Foreword

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The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

The committee responsible for this document is ISO/TC 234, *Fisheries and aquaculture*.

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Introduction

There are increasing demands for detailed information on the nature and origin of food products. Traceability is becoming a legal and commercial necessity.

The ISO definition of traceability concerns the ability to trace the history, application, and location of that which is under consideration, and for products this can include the origin of food materials and non food parts thereof, the processing history and the distribution and location of the product after delivery. Traceability includes not only the principal requirement to be able to physically trace products through the distribution chain, from origin to destination and vice versa, but also to be able to provide information on what they are made of and what has happened to them. These further aspects of traceability are important in relation to food safety, quality, and labelling.

The scheme specified in this International Standard does not demand perfect traceability, i.e. that a particular retail product should be traceable back to a capture operator and batch of origin. Pragmatically it is recognized that mixing of animals or materials is often commercially necessary at a number of stages in the distribution chains, e.g. in grading at first sale prior to sale and in the processing of raw materials into products. As a result there will be occasions where whole chain traceability of materials and products is neither possible nor commercially practical. These limitations are to be recognized and taken into consideration when auditing against this International Standard and are not to preclude compliance so as to disadvantage otherwise compliant operators. Where such mixing necessarily occurs, the food business shall generate a trade unit or units only from the point that identification of units is possible. The requirement for traceability is that the business records the IDs of created or received trade units that may be input into each subsequently created unit thereafter, and vice versa. The particular product or products are then traceable through the supply chain (as far as is practical) to generate information on the maximum number of stages of the chain as possible.

Given the variety of crustacean products and of their distribution chains that operate within and between different countries, and varying legal requirements, the information specifications cannot itemise all the information that may possibly be required in every situation. This International Standard provides a generic basis for traceability. Flexibility is allowed for businesses to record further information, in their own non-standardised files, but keyed to the same unit IDs.

The information remains in the ownership of the food business that generated it but is available when required by law for the purposes of traceability (in the event of a food safety problem) or by commercial agreement between businesses. The structure, names, and content of the information is standardised so that it can be readily communicated from business to business through the distribution chains, ensuring common understanding of terms and meanings.

Commercial arrangements for businesses to communicate information through the distribution chains are to be encouraged, particularly for the information desired by the trade to be visible at the various transaction points in the chains, but that is not the subject of this International Standard.

Though this International Standard is designed with electronic representation and communication of data in mind, the specifications may be met by paper systems.

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INTERNATIONAL STANDARD ISO 18537:2015(E)

Traceability of crustacean products — Specifications on the information to be recorded in captured crustacean distribution chains

1 Scope

This International Standard specifies the information to be recorded in wild-caught crustacean supply chains in order to establish the traceability of products originating from wild-caught crustacean. It specifies how crustacean products traded are to be identified and the information to be generated and held on those products by each of the food businesses that physically trade them through the distribution chains. It is specific to the distribution for human consumption of crustacean and their products, from wild-caught through to retailers or caterers.

The types of businesses identified in this International Standard for wild-caught crustacean distribution chains are:

— capture operators;

— landing businesses and first sale;

— processors;

— transporters and store operators;

— traders and wholesalers;

— retailers and caterers;

— logistics including materials brought from other domains.

Any given crustacean distribution chain may be made up of some or all of the above components but not necessarily in the sequence listed.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 8601, *Data elements and interchange formats — Information interchange — Representation of dates and times*

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

3.1
traceability
ability to trace the history, application, or location of that which is under consideration

Note 1 to entry: When considering product, traceability can relate to the following:

— origin of materials and parts,

— processing history, and

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— distribution and location of the product after delivery.

[SOURCE: ISO 9000:2005, 3.5.4, modified]

3.2
Unique Logistic Unit Identifier
ULUI
any composition established for transport and/or storage that needs to be identified and managed through the supply chain

3.3
Unique Trade Unit Identifier
UTUI
smallest unit, which is guaranteed to retain its integrity as it moves from one link of the chain to the next

Note 1 to entry: It is the smallest unit that is kept whole and undivided with no change in content or label/identification.

3.4
crustacean
aquatic animal belonging to the phylum Arthropoda

Note 1 to entry: Arthropoda is a major group of invertebrate organisms characterized by their chitinous exoskeleton and jointed appendages, occurring in marine and freshwaters and on land.

3.5
crustacean product
product prepared out of crustaceans or parts thereof

4 Abbreviations

CAC Codex Alimentarius Commission

EPC Electronic Product Code, a unique number provided by GS1 used to identify instances of trade items (individual trade units) particularly suited for representation in an RFID chip

FAO The Food and Agriculture Organization of the United Nations

FBO Food Business Operator, generic term for someone in the supply chain who processes, sends, or receives relevant trade units or logistic units

GLN Global Location Number, a 13-digit globally unique number provided by GS1 used to identify parties and physical locations

GMP Good Manufacturing Practice

GS1 Global non-profit organization dedicated to the design and implementation of global standards and solutions to improve the efficiency and visibility of supply and demand chains globally and across sectors; previously EAN/UCC.

GTIN Global Trade Item Number, an 8–14-digit globally unique number provided by GS1 used to identify types of trade items (product types)

HACCP Hazard Analysis Critical Control Points

HS Harmonized Commodity Description and Coding System

LAT Latin Name

LU Logistic Unit

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RFID Radio-Frequency Identification, the use of an object (typically referred to as an RFID tag) applied to or incorporated into a product for the purpose of identification and tracking using radio waves

RFMO Regional Fisheries Management Organization

SGTIN Serialized Global Trade Item Number, a unique number provided by GS1 used to identify instances of trade items (individual trade units) by extending the GTIN

SSCC Serial Shipping Container Code, an 18-digit globally unique number provided by GS1 used to identify logistics units

TSN Taxonomic Serial Number

TU Trade Unit

UI Unique Identifier

ULUI Unique Logistic Unit Identifier

UTUI Unique Trade Unit Identifier

5 Principle

The fundamental principle of chain traceability is that trade units (TU) shall be identified by unique codes (UI). This code may be globally unique in itself (for instance, the GS1 SGTIN or EPC numbers) or it could be unique in that particular scope only, which means that it should be no other TUs in that part of the chain that may have the same number. If the scope (the product type, the company, the chain, the sector, the country, or similar) is assigned a globally unique number, the combination of the globally unique scope number and the locally unique TU number shall constitute a globally unique identifier for the TU.

NOTE 1 The UTUI term is introduced to indicate a TU identifier which is, or might be, made globally unique.

Trade Units (TUs) may be grouped together to make Logistic Units (LUs) or LUs may be grouped together to make higher level LUs. A fundamental principle of chain traceability is that logistic units shall be identified by a unique code. This code shall be a national code which may be globally unique in itself (similar to the GS1 SSCC code) or it could be unique in that particular scope only, which means that there should be no other LUs in that part of the chain that may have the same number. If the scope (the product type, the company, the chain, the sector, the country) is assigned a globally unique number, the combination of the globally unique scope number and the locally unique LU number shall constitute a globally unique identifier for the LU.

NOTE 2 The ULUI term is introduced to indicate a LU identifier which is, or might be, made globally unique.

The key to the operation of this traceability scheme is the labelling of each unit of goods traded, whether of raw materials or finished products, with a unique ID. This shall be done by the food business that creates each unit. Businesses that transform units, such as processors who convert the units of raw materials received into the products dispatched, shall create new units and shall give them new IDs.

As indicated above, the simplest way of implementing UTUIs and ULUIs is to use the GS1 SGTIN/EPC and SSCC codes. This practice is recommended, but is not mandatory. The central principle behind this standard is that businesses which create TUs or LUs should assign unique numbers to them.

Each of the food businesses that create or physically trade in those units, throughout the distribution chains from catcher through to retailer or caterer, shall generate and hold the information necessary for traceability. The information is to be held on paper or electronically keyed to the unit IDs.

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