

Control and Traceability Standard for Vietnam

Standard	Location/ Facility		Examples of Evidence of Compliance in market	Examples of Evidence of Compliance exporter	Audit guidelines
	Feedlot	Abattoir			
1. Trained, competent staff are responsible for overseeing and verifying traceability at critical control points.	X	X	<ul style="list-style-type: none"> Contractual arrangements are in place between importers, feedlots and abattoirs requiring facility operators to have trained, competent staff responsible for overseeing and verifying traceability at critical control points including a dedicated animal welfare officer or an equivalent person who performs such duties. There is a documented list outlining the roles, responsibilities of staff responsible for overseeing and verifying traceability at critical control points. Staff with identified responsibility for overseeing and verifying traceability at critical control points are trained / capable and exhibit an understanding of their roles and responsibilities. Any changes to the roles, responsibilities or identity of staff responsible for overseeing and verifying traceability at critical control points are communicated to the exporter. 	<ul style="list-style-type: none"> Contractual arrangements are in place between exporters and importers requiring facility operators to have trained, competent staff responsible for overseeing and verifying traceability at critical control points. There is a flow chart or list of the roles, responsibilities and training / capability of staff responsible for overseeing and verifying traceability at critical control points. The exporter has a process for confirming the presence and capability of staff responsible for overseeing and verifying traceability at critical control points. The exporter has a dedicated Supply Chain Officer responsible for verifying all livestock movements and reconciliations at least weekly, undertaking internal audits of facilities and maintaining and monitoring of CCTVs and associated footage. 	<p>Exporter</p> <ul style="list-style-type: none"> The auditor should review documentation and evidence demonstrating there are trained, competent staff responsible for overseeing and verifying traceability at critical control points for at least: <ul style="list-style-type: none"> 10% of feedlots 10% of abattoirs <p>Critical Control Points Critical control points are arrival, dispatch and point of slaughter.</p> <p>Note Within a facility, a single person may be responsible across multiple critical control points to oversee and verify traceability.</p>

			<ul style="list-style-type: none"> Trained, competent staff are present and overseeing and verifying activities at critical control points. 		
2. Traceability SOPs exist and are understood by staff.	X	X	<ul style="list-style-type: none"> Contractual arrangements are in place between importers, feedlots and abattoirs ensuring facility operators have traceability SOPs onsite and in view of relevant staff. Relevant traceability SOPs are physically in view of relevant staff. Staff demonstrate an awareness and understanding of the traceability SOPs (e.g. through questioning or observation of adherence with the SOP). 	<ul style="list-style-type: none"> Contractual arrangements are in place between exporters and importers requiring facility operators to have traceability SOPs onsite and in view of relevant staff. The exporter reviews the SOPs on a regular basis and has a process for confirming that staff can view and are aware of the relevant SOPs. Training or awareness activities / programs which incorporate the traceability SOPs are held for staff through the supply chain. 	Frequent training or awareness programs on the SOPs can assist in reducing the risk of non-conformance with this standard.
3. Cattle / buffalo have individual identification prior to departure from a facility and at confirmation of death.	X	X	<ul style="list-style-type: none"> Contractual arrangements are in place between importers, feedlots and abattoirs that require all cattle / buffalo to have individual identification. Cattle / buffalo are inspected individually to ensure that they have identification prior to departure from each facility. Identifying tags are not removed until confirmation of death. Compliance with standard 4 (replacement of lost, damaged or ineffective tags). Compliance with standard 7 (individual identification is recorded and reported for all movements of livestock). The abattoir sends the RFID and/or visual tag scan file with each day's kill number to the supply chain officer at an agreed time. 	<ul style="list-style-type: none"> Contractual arrangements are in place between exporters and relevant supply chains participants which require all cattle / buffalo to have individual identification through the supply chain. Cattle / buffalo exported have individual identification. The exporter has a traceability system for recording movements of cattle / buffalo through a supply chain by individual identification. The exporter has a process to confirm that cattle / buffalo remain individually identified, which includes sampling of consignments. The exporter or its representative is receiving and reconciling the point of slaughter RFID and/or visual tag scan files from feedlot and abattoirs at least weekly. 	<p>Exporter</p> <ul style="list-style-type: none"> The auditor should confirm that the exporter is sampling each consignment for compliance with this standard. The exporter's sampling regime should be no less than: <ul style="list-style-type: none"> 10% of cattle and buffalo at each feedlot; and 10% of cattle and buffalo in supply chain abattoirs (this should include ensuring that tags are not removed until death is confirmed). <p>Facility</p> <ul style="list-style-type: none"> The auditor should view sufficient numbers of cattle / buffalo being prepared for transport or processed on the day of the audit to determine whether this standard is being met. It is suggested that at a minimum the auditor should view 10 per cent of the cattle or

					<p>buffalo being prepared for transport or processed on the day of the facility visit.</p> <ul style="list-style-type: none"> The auditor should also observe the facility's process for conducting individual inspections of animals for identification prior to transport.
4. Missing, damaged and ineffective tags are replaced at the first reasonable opportunity.	X	X	<ul style="list-style-type: none"> Contractual arrangements are in place between importers, feedlots and abattoirs that require missing, damaged or ineffective identifying tags to be replaced at the first reasonable opportunity. Employees at facilities routinely inspect cattle / buffalo for missing, damaged or ineffective tags. Missing, damaged and ineffective tags are replaced or, where tags are missing at point of slaughter it is reported to the importer / exporter to allow reconciliation against movement and slaughter records. Changes to tag numbers and tag replacements are recorded and reported to the importer/exporter within 48 hours. Trained staff at the facility are aware of the reporting requirements if a tag is replaced. 	<ul style="list-style-type: none"> Contractual arrangements are in place between the exporter and supply chain participants that require missing, damaged or ineffective identifying tags to be replaced at the first reasonable opportunity. The exporter receives and records notifications that tags have been replaced, the reasons for the replacement and the updated tag numbers at least weekly. The exporter has a process to reconcile changes to tag numbers. Sampling under Standard 3. 	<p>Exporter</p> <ul style="list-style-type: none"> Exporters should produce end of processing (EOP) reports for each consignment (finalised on its completion). The EOP should clearly identify any changes to tag numbers during the movement of cattle / buffalo through the supply chain.
5. Individual animal identification is linked to the exporter consignment and supply chain.	X	X	<ul style="list-style-type: none"> A data list exists identifying each animal to a specific consignment number. Staff have knowledge and awareness of cattle in each consignment and their location within the facility. 	<ul style="list-style-type: none"> A data list exists identifying each animal to a specific consignment number and to the exporter's nominated supply chain. EOP Reports identify cattle and buffalo to consignment. 	<p>Exporter</p> <ul style="list-style-type: none"> The auditor should review consignment data since the previous audit
6. Individual cattle and buffalo identification is recorded at the time of departure from each facility	X	X	<ul style="list-style-type: none"> Contractual arrangements are in place between importers, feedlots and abattoirs that require the identification and movement of animals to be recorded and reported to the nominated supply chain officer. 	<ul style="list-style-type: none"> Contractual arrangements are in place between the exporter and relevant supply chain participants that require the identification and movement of animals to be recorded and reported to the nominated supply chain officer. 	<p>Exporter</p> <ul style="list-style-type: none"> The auditor should sample the movement and processing data received for at least the following:

(including point of slaughter).			<ul style="list-style-type: none"> • There are records of the movement of cattle / buffalo from a facility or processing at an abattoir. These records include the individual identification of the cattle / buffalo and their destination. • Records of cattle / buffalo movements are sent to exporters at an agreed frequency, at least weekly. • The record of the each day's slaughter number is sent to the supply chain officer nightly. 	<ul style="list-style-type: none"> • Records of the movement and processing of cattle and buffalo are received from feedlots and abattoirs at least weekly • Exporters reconcile data received on movements and processing with consignment lists and previous movement data. • The exporter monitors the receipt of information against the required frequency and investigates and records failures by importers or facilities to report to the exporter within the specified frequency. • The exporter conducts routine, documented due diligence activities to reconcile the accuracy and factualness of the data received from supply chains. 	<ul style="list-style-type: none"> ○ 10% of the exporter's feedlots in each country exported to since the last audit date. ○ 10% of exporter's abattoirs in each country exported to since the last audit date. <p>Facility</p> <ul style="list-style-type: none"> • The auditor should, at a minimum review the data provided to the exporter on movement and processing of cattle / buffalo on at least: <ul style="list-style-type: none"> ○ 7 randomly selected dates since the last audit. <p>Note:</p> <ul style="list-style-type: none"> • If movement or processing data is being sent to the exporter only by a third party (e.g. the feedlot provides abattoir data, or the importer provides all data) then a suitable system for checking and confirming the validity of the data should be in place.
7. Cattle and buffalo that leave a consignment due to mortality, pregnancy or breeding are recorded and reconciled.	X	X	<ul style="list-style-type: none"> • Animals identified as pregnant, breeders or mortalities are recorded with identification sent to exporters within one week. 	<ul style="list-style-type: none"> • A data file exists that identifies all animals that have been removed from the consignment through pregnancy, mortality, breeding or non-shipment. • Exporters have a system for verifying (e.g. through sampling) reports of mortalities, pregnant cattle / buffalo or breeders – particularly where the reported numbers exceed expected /historical ranges. 	<p>Exporter</p> <p>Exporter systems for verifying reports of mortalities, pregnant cattle or breeder transfers – particularly where the reports are outside of expected or historical ranges – may include:</p> <ul style="list-style-type: none"> • Review or report from Supply Chain Officer, Animal Welfare Officer or other suitable employee; • Review of end of processing (EOP) reports; • Photographs of mortalities or pregnancies. <p>Note:</p>

					<p>Animals should only be removed from a consignment list in the following circumstances:</p> <ul style="list-style-type: none"> • An animal is identified as being pregnant or a breeder animal; or • An animal dies or is euthanized due to injury or illness; or • An animal is incorrectly listed or transferred to another consignment
<p>8. Essential traceability equipment is at the facility, maintained and in use.</p>	X	X	<ul style="list-style-type: none"> • Contractual arrangements are in place between importers, feedlots and abattoirs ensuring facility operators supply and maintain essential traceability equipment. • Essential traceability equipment is physically present, in use and in working order at each facility. • A current maintenance and repair logbook is onsite. The logbook should also identify the employee responsible for maintenance. • Problems with essential traceability equipment are recorded and reported to the exporter. 	<ul style="list-style-type: none"> • Contractual arrangements are in place between exporters and importers requiring that facility operator's supply and maintain essential animal traceability equipment. • A list exists of the essential traceability equipment within each supply chain facility. • The exporter has a process to confirm the presence and use of essential traceability equipment on the documented list. • The exporter regularly reviews the traceability equipment and maintenance log book. • Any traceability equipment issues are identified and reported to facility owners and importers and where necessary corrective action has taken place. 	<p>Essential traceability equipment is:</p> <p><u>Abattoir</u></p> <ul style="list-style-type: none"> • At least one RFID scanner <p><u>Feedlot</u></p> <ul style="list-style-type: none"> • At least one RFID scanner
<p>9. A process exists for recording individual identification in the event of equipment failure.</p>	X	X	<ul style="list-style-type: none"> • The exporter representative is notified immediately that there is equipment failure. • An SOP is in place that indicates the process and procedures to be undertaken in the event of an equipment failure. • Facility operators are aware and have an understanding of the SOP in the event of electronic equipment failure. 	<ul style="list-style-type: none"> • An SOP is in place through the supply chain that indicates the process and procedures for ensuring identification continues to be recorded in the event of an equipment failure. • A log is maintained by the exporter of reported equipment failures and where necessary corrective action is taken to 	<p>There may be varying SOPs within supply chains however examples could include:</p> <ul style="list-style-type: none"> • Movement or processing of animals ceases until the issues is fixed. • The movement and processing reverts to a manual system until the issues are fixed.

				resolve issues and verify the implementation of the appropriate SOP.	
10. Auditors and exporters can obtain information from facilities and supply chains in a regular, timely and effective manner.	X	X	<ul style="list-style-type: none"> Contractual arrangements are in place between importers, feedlots and abattoirs that require relevant information to be provided to exporters and auditors upon request. Auditors are able to access information and are not prevented from viewing relevant information or areas. 	<ul style="list-style-type: none"> Contractual arrangements are in place between the exporter and supply chain participants which require relevant information be provided to exporters and auditors upon request. Failures of facilities / importers to provide access to information for exporters or auditors is recorded and investigated, with appropriate corrective action taken. 	<ul style="list-style-type: none"> The auditor should immediately report to the exporter any incidence of a facility resisting providing information during an audit.
11. Exporter representatives have access to facilities within their supply chain (by seeking permission in accordance with the agreed access arrangements).	X	X	<ul style="list-style-type: none"> Contractual arrangements are in place between importers, feedlots and abattoirs to provide agreed access for exporter representatives. 	<ul style="list-style-type: none"> Contractual arrangements are in place between exporters and supply chain participants to allow access to agreed supply chain exporter representatives. Any incidence of agreed exporter representatives not having access to the supply chain in accordance with agreed access arrangements is logged and recorded. 	<ul style="list-style-type: none"> The auditor should immediately report to the exporter any incidence of resisting access.
12. Exporters are able to identify the location of individual animals within a supply chain through an electronic and visual traceability system	X	X	<ul style="list-style-type: none"> The facility has records of cattle and buffalo held or slaughtered which can be correlated with those records held by the exporter. 	<ul style="list-style-type: none"> Movement and processing data received from facilities is reconciled at least weekly and a final report (EOP) is prepared on completion of the consignment. The exporter has systems in place to identify the location of all individual animals in a supply chain to within, at a minimum, a week's accuracy. Exporters have systems for confirming the accuracy of electronic data / reconciliations with physical cattle and buffalo locations. 	<p>Exporter</p> <ul style="list-style-type: none"> The auditor should review the ability for individual animals to be located through the supply chain by identifying and having the exporter prove the location of: <ul style="list-style-type: none"> 25 random animals per consignment at the time of the audit. <p>Facility</p> <ul style="list-style-type: none"> The auditor should correlate the identification and location of cattle and buffalo recorded at the facility with records held by the exporter. This should sample a minimum of:

					<ul style="list-style-type: none"> ○ 10% of animals at the feedlot at the time of the audit. ○ 10% of animals in the abattoir at the time of the audit. <p>Note: Though varying systems may be in place, visual evidence is the most reliable means for the exporter to prove an animal is located in a facility or has been processed in a specific abattoir. This could be done through digital photos of each animal at the point of slaughter; identifying date, time, GPS and animal ID or a trained and reliable exporter representative checking animals with a data list at the time of slaughter with either form of identification being sent to the exporter for reconciliation with consignment and movement data.</p>
<p>13. A visual monitoring and/or electronic reporting system (CCTV and/or photos) exists and is operational at critical control point.</p>	X	X	<ul style="list-style-type: none"> • Contractual arrangements are in place between importers, feedlots and abattoirs requiring that facility operators have functional visual monitoring systems installed and operating at critical control points. • CCTV/photos record date, time and location • If CCTV cameras are used, they are visible, operational and maintained in at critical control points. • Data is accessible and available for audit purposes. 	<ul style="list-style-type: none"> • Contractual arrangements are in place between exporters and importers requiring facility operators to have functional visual monitoring and/or electronic reporting system at critical control points. • There is a monitoring plan for the CCTV footage/photos (e.g. through sampling of recorded footage/photos or / targeted surveillance) to verify compliance with the standard and verify the movement and processing data received and reported from feedlots and abattoirs on a regular basis. • There is documented evidence that the supply chain officer/exporter/exporter representative is monitoring CCTV footage/photos and conducting reconciliation and sampling against the 	<p>Exporter</p> <ul style="list-style-type: none"> • The auditor's review should include viewing real time or recorded CCTV footage and/or electronic reporting systems of open LNC's. This should be conducted for a minimum of: <ul style="list-style-type: none"> ○ 10% of an exporter's operational feedlots ○ 10% of an exporter's operational abattoirs • The auditor should review the process and records of verification conducted by the exporter in the preceding audit period.

				movement and processing data received/reported from each feedlot and abattoir on a regular basis (minimum weekly).	
14. Discrepancies, errors or any other evidence of a failure in the exporter's control or traceability system are identified, investigated and corrected.	X	X	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> The exporter reviews relevant data and information received to identify possible discrepancies, errors or failings. The exporter investigates all failures by supply chain participants to submit relevant data to it within agreed timeframes. Discrepancies, errors, or other evidence of a failure in an exporter's control and traceability system are investigated and where necessary corrective action applied. Records are kept of investigations and corrective actions. 	<p>Exporter</p> <ul style="list-style-type: none"> The auditor should review the exporter's systems for reviewing and analysing data / information for issues of concern – for example, internal audits or reconciliation activities. The auditor should view a record of discrepancies, errors, failures etc and the subsequent evidence of investigation and, if required, corrective action taken.
15. Records of relevant data and information are maintained to demonstrate compliance with the control and traceability standards.	X	X	<ul style="list-style-type: none"> N/A 	<ul style="list-style-type: none"> The exporter has a system for recording and reconciling relevant data and information and documenting substantive changes to the operation of its control and traceability standard. The exporter maintains records of data and information relevant to demonstrating compliance with the control and traceability standards for a period determined by Australian regulation. 	<p>Exporter</p> <ul style="list-style-type: none"> The auditor should view records documenting substantive changes to the operation of the control and traceability system. The auditor should sample consignments to assess the completeness and adequacy of the records maintained. The auditor should review the internal auditing system operated by the exporter that ensures data is received and correlated on a minimum of a weekly basis.

Definitions

Word or Phrase	Definition
Alternative identifying tag	A separate system that individually identifies the animal other than an electronic system.
Consignment facility plans	A physical map of the facility showing the location of separate consignments.
Consignment number	Identifying number that separates consignments this could be the LNC number or agreed importer/exporter identification system.
Confirmation of death.	Cessation of pulsatile bleeding and rhythmic breathing at the point of slaughter.
Contractual arrangements	A signed document that outlines the guidelines that meets the standard.
Corrective actions	A process that corrects an identified issue and/or breach of a standard.
Critical control points	Feedlot: arrival and dispatch Abattoir: restraining box
Data	CCTV footage from visual monitoring systems or photos from electronic recording systems
Dual identification	Two separate identification methods of individually identifying an animal.
Identifying tags	A physical identifier that individually identifies each animal.
Individually checked	Each animal is manually and or electronically recorded at the point in time relating to the standard.
Operational	Currently functioning to meet the standard.
Processes	A system or procedure that ensures the standard is being met.
Recorded	Manually or electronic information that is documented and stored to support the standard.
RFID	Radio Frequency Identification
SOPs	Standard Operating Procedure – a document describing the activities and tasks that must be completed

