



**First meeting of the Working Group  
on tracking and tracing systems, including  
the global information-sharing focal point and  
unique identification markings for cigarette  
packets and packages**

26 November – 28 November 2019  
Panama City, Panama

**FCTC/MOP1/WGT&T/1/2**  
**24 October 2019**

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**Draft questionnaire/survey instrument**

The first Meeting of the Parties ('MOP1') adopted decision [FCTC/MOP1\(6\)](#), entitled "Tracking and tracing systems, including the global information-sharing focal point and unique identification markings for cigarette packets and packages".

MOP1 mandated the **establishment of a Working Group** for the development and implementation of tracking and tracing systems in accordance with Article 8, including the global information-sharing focal point (Article 8.1) and unique identification markings for cigarette packets and packages (Article 8.3).

MOP1 mandated this Working Group to compile an overview of good practices employed by Parties willing to participate in this exercise, as regards the implementation of tracking and tracing systems (Article 8.1) as well as unique identification markings for cigarette packets and packages (Article 8.3) at the national or regional level.

**Questionnaire on tracking and tracing systems**

In order to facilitate their work, the Key Facilitators (Brazil, Senegal, Sri Lanka, EU) of the Working Group, with the support of the FCTC Secretariat, have drafted the accompanying questionnaire.

This questionnaire aims to collect as much information as possible on tracking and tracing systems that are established/being established at national or regional level in Parties to the Protocol, and also to the Convention in light of Article 15 FCTC.

The experiences of Parties in this regard will be summarised and collated in the comprehensive report compiling good practices and experiences on the implementation of tracking and tracing systems, as well as unique identification markings.

We ask that Parties provide as much detail as possible to allow for a comprehensive understanding of these tracking and tracing systems.

In addition, Parties which are in the process of setting up such systems at national or regional level are invited to give as much detail as possible about their plans. This should ideally include indicative timelines for the planned roll-out of these systems.

Responses to this questionnaire should only contain information which can be fully published. The Working Group may decide, in the interest of transparency, to publish all responses received on the website hosted by the FCTC Secretariat in advance of the second Meeting of the Parties ('MOP2').

When replying, authorities are invited to indicate a contact point so as to allow the Working Group to follow up on your responses for any clarifications.

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## Annex

### QUESTIONNAIRE ON TRACKING AND TRACING SYSTEMS

#### **Section 1. Introductory questions**

This section of the questionnaire is intended to contextualise the following sections by providing Parties with a possibility to describe their advancements towards the establishment of the tracking and tracing system.

	QUESTION		COMMENT
	<b>Introductory questions</b>		
<b>1</b>	Please briefly explain the state of play with regard to the establishment of a tracking and tracing system in your jurisdiction		Please provide as much detail as possible on the current state of play, any potential steps accomplished so far and any other information you can share
<b>2</b>	If a tracking and system has been established, please provide its launch date		Please provide a date
<b>3</b>	If the system has not been established yet, please indicate your best estimate as to its most likely launch date		Please provide an approximate date
<b>4</b>	Please indicate whether the (intended/actual) system is national or regional		For regional systems, please specify the concerned region.
<b>5</b>	Please indicate what advice you sought in the preparatory phases of establishing your system		Please provide as much detail as possible (e.g. initial studies etc.)
<b>6</b>	Please indicate how the system has been/will be adapted to tackle the particularities of the illicit trade market faced in your jurisdiction?		Please provide as much context as possible (e.g. no production etc.)

	QUESTION		COMMENT
7	If you have an established tracking and tracing system, please indicate whether you foresee review of, or changes to, that system		Please provide as much detail as possible (e.g. reasons for change, indicative timelines etc.)
8	If, as a Party to the Convention, you do not yet have a tracking and tracing system could you indicate what information you would require to assist you in your reflections in establishing a tracking and tracing system		Please provide as much detail as possible
9	Please indicate whether you were approached by the tobacco industry, or other vested commercial interests, in relation to the tracking and tracing system		Please provide as much detail as possible
10	Please indicate how transparency was ensured when consulting with stakeholders		Please provide as much detail as possible

## **Section 2. Establishment of a tracking and tracing system**

Article 8.2 of the Protocol states:

*Each Party shall establish, in accordance with this Article, a tracking and tracing system, controlled by the Party for all tobacco products that are manufactured in or imported onto its territory taking into account their own national or regional specific needs and available best practice.*

This section of the questionnaire focuses on the initial phase of establishing a tracking and tracing system, prior to its implementation. The below questions are aimed at collecting information on:

- (a) any legal act(s) enacted for the purpose of establishing the system;
- (b) specific needs of countries in establishing the system;
- (c) timeline for legal and technical implementation.

	QUESTION	Y/N	COMMENT
	<b>Establishment of the system</b>		
<b>11</b>	Please provide the legal act(s) establishing the system or describe the intended legislative actions required for providing the system with its legal basis.		Please provide a link or electronic copy of the legal act(s) or any announcements relating to the intended legislative actions.
<b>12</b>	How long did it take (or do you estimate to take) to establish the system?		Please provide as much detail as possible (e.g. the duration of different stages, preparation of legislation, technical-roll out, etc.)
<b>12 a</b>	As a complement, please give an indication of the makeup of the tobacco market in your jurisdiction.		Please provide as much detail as possible (e.g. number of actors, volume of product, distribution models, size of the market etc)
<b>13</b>	How is / will the system be financed?		Please provide as much detail as possible (e.g. publicly available information as to the systems costs and the (intended) methods of shifting the costs to the industry in line with Article 8.14 of the Protocol )
<b>14</b>	Which authority(ies) is/are/will be responsible for the operation of the system?		Please provide as much detail as possible
<b>15</b>	Is there a website, or other information that you can share, which authoritatively describes the main features of your system?		Please provide a link/pdf etc. as applicable



### **Section 3. Scope of the tracking and tracing system**

This section of the questionnaire focuses on the type of tobacco products and movements of tobacco products that are covered by tracking and tracing systems.

<b>QUESTION</b>		<b>Y/N</b>	<b>COMMENT</b>
<b>Scope of the system</b>			
<b>1 6</b>	What type of tobacco products are captured by the tracking and tracing system?		Please provide as much detail as possible (e.g. what tobacco products, timeline etc.)
<b>1 7</b>	Will the scope of the tracking and tracing system be extended to other tobacco products, if not currently covered, and when?		Please provide as much detail as possible (e.g. cigarette (incl. 'roll your own', other tobacco products etc.)
<b>1 8</b>	Does / will the tracking and tracing system capture all tobacco product manufacturing in, and tobacco product imports into, your jurisdiction?		Please provide as much detail as possible (e.g. any exceptions, such as on products manufactured in your jurisdiction and destined for export)
<b>1 8a</b>	Does / will the tracking and tracing system capture tobacco products for export?		Please provide as much detail as possible (e.g. any exceptions)
<b>1 8 b</b>	Does / will the tracking and tracing system cover tobacco products destined for duty free sales?		Please provide as much detail as possible
<b>1 9</b>	Which parts of the supply chain after manufacturing are / will be captured by the tracking and tracing system?		Please provide as much detail as possible (e.g. production, first purchaser, subsequent purchaser, distribution, wholesale, retail, consumer,

			warehousing and shipping, point of departure etc.).
<b>20</b>	Which events within the supply chain trigger the reporting obligations? What is the timeframe for reporting individual events, e.g. product dispatches or arrivals.		Please provide as much detail as possible



**Section 4. Unique identification markings**

Article 8. 3 states

*With a view to enabling effective tracking and tracing, each Party shall require that unique, secure and non-removable identification markings (hereafter called unique identification markings), such as codes or stamps, are affixed to or form part of all unit packets and packages and any outside packaging of cigarettes within a period of five years and other tobacco products within a period of ten years of entry into force of this Protocol for that Party.*

Article 8.4 requires that the following information form part of those unique identification markings

- (a) date and location of manufacture;*
- (b) manufacturing facility*
- (g) product description*
- (f) intended market of retail sale (where available)*

This section of the questionnaire focuses on how unique identification markings are generated, applied, encoded and what information they contain. Parties are also asked to submit samples of unique identification markings and their encoding structures.

QUESTION		Y/N	COMMENT
	<b>Unique identification markings</b>		
<b>21</b>	How are / will be the unique identification markings for the tracking and tracing system generated?		Please provide as much detail as possible (e.g. codes, stamps, both)
<b>22</b>	How is / will be the uniqueness of the identification markings achieved?		Please provide as much detail as possible (e.g. if uniqueness is

QUESTION		Y/N	COMMENT
			global and non-specific to the type of product)
<b>23</b>	How is / will be the security of traceability markings achieved?		Please provide as much detail as possible
<b>24</b>	What tobacco product packaging are / will be unique identification markings affixed to?		Please provide as much detail as possible (e.g. unit packets, cartons, master case, pallet)
<b>25</b>	What information forms / will form part of the unique identification marking?		Please provide as much detail as possible with reference to Art 8 (4.1 (a) date and location of manufacture, (b) manufacturing facility, (f) intended market of retail sale and (g) product description) and whether additional information is contained within
<b>25 a</b>	To what extent is the information forming part of the unique identification marking available to enforcement authorities outside your jurisdiction?		Please provide as much detail as possible
<b>25 b</b>	Is the unique identification marking visible to enforcement authorities outside your jurisdiction?		Please provide as much detail as possible
<b>26</b>	Please explain the encoding structure of the unique identification markings along with an example of current unique identification markings		Please provide as much detail as possible (e.g. any limitations on permitted character set(s), length, etc.)

QUESTION		Y/N	COMMENT
27	Does / will the system recognise unique identification markings from other jurisdictions?		Please provide as much detail as possible (e.g. which jurisdictions, unilateral or bilateral recognition)
28	Please explain what data carriers are / will be used to encode the traceability markings		Please refer to international standards if applicable, and whether any types of data carriers are specifically prescribed?
29	Please provide an estimate on how many unique identification markings are / will be stored in your system on average, if available		Please provide as much detail as possible (e.g. per year) - estimates can be approximated by the size of the market in terms of unit packs you may indicate how many UIMs are generated and applied
30	Please indicate for how long the unique identification markings are valid		Please indicate whether the unique identification markings have an expiration date (e.g. the time between generating and applying the uim)

**Section 5. Control of the system**

Article 8.2 of the Protocol states:

*Each Party shall establish, in accordance with this Article, a tracking and tracing system, controlled by the Party for all tobacco products that are manufactured in or imported onto its territory taking into account their own national or regional specific needs and available best practice.*

This section of the questionnaire focuses on the control mechanisms in place to ensure the system is managed by the national authorities.

No	QUESTION	Y/N	COMMENT
	<b>Control measures</b>		
<b>31</b>	How is / will be the non-removability of unique identification markings achieved?		Please provide as much detail as possible
<b>32</b>	How is / will be the functioning of the system controlled by your authorities?		Please provide as much detail as possible
<b>33</b>	Please explain which entities/authorities are / will be responsible for all stages of the traceability process		Please provide as much detail as possible
<b>34</b>	Does / will the system include any measures to prevent the manufacture of tobacco products without traceability markings?		Please provide as much detail as possible
<b>35</b>	What rules apply / will apply to the stored tracking and tracing information in terms of access and audit?		Please provide as much detail as possible
<b>36</b>	Please indicate how the information from the system is used by your authorities for enforcement purposes		Please provide as much detail as possible

<b>37</b>	Have you introduced any additional measures to secure the UIM?		Please provide as much detail as possible
<b>38</b>	How is independence from the tobacco industry ensured?		Please provide as much detail as possible
<b>39</b>	How is it ensured that obligations assigned to each Party in line with Article 8.12 are not performed by or delegated to the tobacco industry?		Please provide as much detail as possible

### **Section 6. Information storage and accessibility of information**

This section of the questionnaire focuses on the information stored by parties under Article 8.5, and the accessibility of that information under Article 8.6.

<b>No</b>	<b>QUESTION</b>	<b>Y/N</b>	<b>COMMENT</b>
	<b>System design</b>		
<b>40</b>	Does the system's design include a message dictionary or a data dictionary?		
<b>40 a</b>	If yes, please provide the data dictionary(ies)		Please provide a link or electronic copy
<b>41</b>	Please provide current examples of the format and content of the information required under Article 8.4.1 (a-j) as reported and stored in the system		Please provide a link or electronic copy
<b>42</b>	Is / will the format and content of information stored in the system ready for exporting via the non-proprietary and open standards of electronic data communication?		Please provide as much detail as possible
<b>43</b>	How long is / will be tracking and tracing information stored in your tracking and tracing system?		Please provide as much detail as possible (e.g. references to retention periods)
<b>44</b>	While a Global Information Sharing Focal Point has not yet been established, can you indicate the technical readiness of your system to interlink with a Global Information Sharing Focal Point?		Please provide as much detail as possible
<b>44 a</b>	Do you foresee at this stage any challenges in interlinking your system with a future Global Information Sharing Focal Point?		Please provide as much detail as possible

**Section 7. Additional information (optional)**

This section of the questionnaire provides Parties an opportunity to complete their answers with further information concerning their efforts in establishing the tracking and tracing system.

No	QUESTION		COMMENT
	<b>Additional information</b>		
45	Are there any particular areas in which you face a lack of expertise?		Please name the areas of missing expertise (e.g. IT systems, supply chain management, tobacco control policies, etc.)
46	Are there any particular obstacles that you face in establishing the tracking and tracing system?		Please explain the nature of obstacles (e.g. technical issues, conflicting legal provisions, etc.)
47	What are your needs in terms of technical support in order to advance the establishment of the traceability system?		Please explain
48	Please explain your expectations in terms of the tracking and tracing system's impact on the fight against the illicit trade of tobacco products		Please explain
49	Is there any other information / documents that you would like to share with other Parties		Please explain