

# LGAP RISK RATINGS

## What is a risk rating?

- Approved Auditors complete a risk assessment at the end of every external audit, allowing for the calculation of a risk rating.
- The risk rating does not impact an Operator or Facility's ability to obtain or maintain certification.
- Risk ratings are used to determine the frequency of the next internal audits and external audit. This is called the surveillance frequency.
- Achieving a reduction in the risk rating will reduce the number of internal and external audits required to be completed in one calendar year.
- A risk rating can change after each external audit meaning Operators and Facilities can work to reduce the risk rating and frequency of internal and external audits.

## Surveillance Frequency

	Low	Medium	High
Internal Audit	4 monthly	3 monthly	Monthly
External Audit	Annually	6 monthly	3 monthly

## Risk Assessment

- Approved Auditors use the information they collect at each external audit to undertake the risk assessment.
- The risk assessment collectively considers an Operator or Facility's practices, conformity history and the external audit results.
- To achieve a low-risk rating Operators and Facilities should take a practical approach to address as many risk assessment criteria as possible. The risk assessment criteria and associated considerations are outlined in the below table.

Risk Assessment Criteria	What is considered
<b>Facilities</b>	
Animal identification	The type of ID used e.g., physical tags, electronic ID's EID's, use of back up ID, type of identification required and in place for the level of certification held
Traceability	Method of recording traceability information Frequency of reporting e.g., real time, daily, weekly monthly
Electronic ID Management	If applicable – removal and destruction practices
Scope of Certification	Level of certification (1,2, 3 or a combination) Segregation of livestock of different levels
Site security	Physical and personnel
Monitoring practices	Technology and personnel available
Abattoirs only – Restraint & Slaughter	Restraint method Use of stunning
Past audit performance	Previous internal and external audit results
Current audit results	Number and level of nonconformities issued at current audit.
<b>Operators</b>	
Traceability	Frequency of reports and reconciliations
Monitoring of supply chains	Resources and technology used
Scope of Certification	Level and risk rating of facilities in supply chains
Operations	Supply chain structure
Past audit performance	Previous internal and external audit results
Current audit performance	Number and level of nonconformities issued at current audit