

AniMark®



Livestock Global Assurance Program

LGAP 1002 Livestock assurance - *Requirements for the management system of Operators and Facilities*

Version 1.2



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Foreword

The Livestock Global Assurance Program (LGAP) is an international certification program for Operators and Facilities that export, import, manage and process livestock.

The LGAP Standards underpin LGAP and include the following documents:

- LGAP 1000 *Livestock assurance - Fundamentals and vocabulary*,
- LGAP 1001 *Livestock assurance - Requirements for animal welfare and management*,
- LGAP 1002 *Livestock assurance - Requirements for the management system of Operators and Facilities*; and
- LGAP 1003 *Livestock assurance - Requirements for Operator chain of custody*.

The LGAP Standards have been prepared by the AniMark Standards Committee in accordance with internationally accepted standards development methodologies, including the opportunity for stakeholders and the public to provide comments.

This is the second edition of this Standard.

Document control

The latest version of all normative documents can be downloaded from the AniMark website:
<https://www.animark.com.au/>

Language

Original documents are in English. LGAP documents will be translated into other languages and published on the AniMark website. Once published, these official LGAP documents will be the only documents that may be used for certification in that language. In case of discrepancy between translations, the English version shall prevail.

Changes to documents

Normative documents are identified with a unique document code, a version number and date.

The date in the version name indicates the date the document becomes operative.

The updates will be sent to all LGAP Approved Certification Bodies, Certified Operators and Certified Facilities as official communication.



Introduction

This Standard is one of a suite of standards that support the operation of the Livestock Global Assurance Program (LGAP). Together they form a coherent set of standards for livestock assurance and assist organizations, of all types and sizes, to identify and fulfil their livestock assurance commitments.

LGAP is an international conformity assessment and certification program for Operators and Facilities that export, import, manage and process livestock, which are an important source of protein for the global community. How these livestock are treated through the supply chain is of increasing concern to the global community which is seeking assurances that certain expectations for animal welfare and management are met.

This Standard sets out requirements for the management system that all Operators and Facilities must have in order to be certified under LGAP. The management system requirements reflect the structure and content of similar management system standards, such as ISO 9001, *Quality management systems - Requirements*.

In fact, certification to ISO 9001 may be one way Operators or Facilities can demonstrate fulfilment of the requirements in this Standard. This recognises that in some cases Operators or Facilities may already have an ISO 9001 management system in place and this can be used to avoid duplicating management systems.

As with many other management system standards, this LGAP Standard covers the need for top management commitment, processes, documented information etc. Perhaps the most important aspect is that this Standard establishes the basis for Operators or Facilities to identify when they are nonconforming and requires them to take action to correct their operations. This encourages Operators or Facilities to learn from their past performance and continually improve their outcomes in terms of the welfare and management of livestock.

1 Scope

This Standard contains requirements for the management system of an Operator or Facility that manages livestock that are intended for slaughter and can be applied in any jurisdiction. Slaughter may be for food supply, or for cultural or religious observances.

The requirements cover leadership; processes; documented information; monitoring and verification; management review; internal audit; nonconformities and corrective actions.

This Standard is applicable to the following:

- a) Operators, including:
 - i) Exporter;
 - ii) Importer; and
- b) Facilities, including:
 - i) Feedlot or Farm; and
 - ii) Abattoir.

The transport of livestock between Importers and Facilities is also covered.

2 Normative references

There are no normative references.

3 Terms and definitions

For the purposes of this document, the terms and definitions given in LGAP 1000 apply.



4 Management system - General

Principle: The Operator or Facility has a management system suitable to the size and frequency of their operation that enables the consideration of risks, verifies conformity with the LGAP Certification Requirements and allows for continual improvement of performance.

GENERAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

4.1 The Operator or Facility shall establish and maintain a management system that enables the demonstration of the consistent fulfilment of the requirements of the LGAP Certification Requirements.

NOTE Fulfilment of the requirements in this Standard can be demonstrated using an ISO 9001 quality management system where that management system:

- a) includes within its scope the fulfilment of the LGAP Certification Requirements;
- b) covers all the requirements in this Standard; and
- c) is certified by a Certification Body that is approved by the Program Owner.

4.2 The management system of the Operator or Facility shall fulfil the requirements contained in sections 5, 6, 7, 8, 9, 10 and 11 and address the following:

- a) leadership and responsibilities;
- b) processes, risks and monitoring;
- c) documented information;
- d) management review;
- e) internal audits; and
- f) nonconformities and corrective action.

5 Leadership and responsibilities

GENERAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

- 5.1** The Operator's or Facility's top management shall demonstrate leadership and commitment to fulfilling the requirements of the LGAP Certification Requirements by:
- a) taking accountability for the performance of the Operator or Facility;
 - b) ensuring a management system is maintained and implemented;
 - c) communicating and promoting awareness of the requirements of the LGAP Standards and the management system to all personnel;
 - d) ensuring that the resources needed for the management system and fulfilment of the LGAP Certification Requirements are available;
 - e) engaging, directing, assigning responsibility and supporting persons to contribute to the effectiveness of the management system; and
 - f) reviewing the results of performance monitoring and undertaking improvement action where necessary.



6 Processes and risk

GENERAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

- 6.1** The management system shall:
- identify and manage risks, processes and resources; and
 - enable monitoring and verification of performance.
- 6.2** In identifying processes and monitoring performance the Operator or Facility shall apply a risk-based approach that identifies critical control points and applies risk management actions and treatments.

ADDITIONAL REQUIREMENTS FOR ALL OPERATORS

- 6.3** The Operator shall apply a risk-based approach that:
- identifies risks associated with events, locations and causes of uncertainty that may prevent the demonstration of fulfilment of LGAP Standards; and
 - applies risk actions and treatments, including the activities, processes, systems and resources allocated to avoid, reduce, mitigate or manage the risks.

7 Documented Information

GENERAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

7.1 The Operator's or Facility's management system shall include:

- a) documented information required by the LGAP Certification Requirements;
- b) documented information determined by the Operator or Facility as being necessary for the effectiveness of the management system.

NOTE The extent of documented information for a management system can differ from one organization to another due to:

- the size of the Operator or Facility and its type of activities, processes, products and services;
- the complexity of processes and their interactions; and
- the competence of persons.

7.2 Documented information required by the management system and by the LGAP Certification Requirements shall be controlled to ensure:

- a) it is available and suitable for use, where and when it is needed;
- b) it is adequately protected (e.g. from loss of confidentiality, improper use, or loss of integrity); and
- c) it is available to supply chain partners upon request.

7.3 For the control of documented information, the Operator or Facility shall address the following activities:

- a) distribution, access, retrieval and use;
- b) storage and preservation, including preservation of legibility;
- c) control of changes (e.g. version control); and
- d) retention and disposition.

7.4 Documented information of external origin determined by the Operator or Facility to be necessary for the planning and operation of the management system shall be identified and controlled.

NOTE Access can imply a decision regarding the permission to view the documented information only, or the permission and authority to view and change the documented information.

7.5 When creating and updating documented information the Operator or Facility shall ensure appropriate:

- a) identification and description (e.g. a title, date, author, or reference number);
- b) format (e.g. language, software version, graphics) and media (e.g. paper, electronic); and
- c) review and approve for suitability and adequacy.

7.6 All personnel involved in processes shall have access to the parts of the management system documented information that are applicable to their responsibilities.

7.7 Where an Operator or Facility arranges transport, the Operator or Facility shall ensure documented information includes:

- a) planning for the transport of livestock having consideration of:
 - i. the class and condition of livestock;
 - ii. the transport vehicles to be used;
 - iii. time off feed and water;
 - iv. expected climatic and environmental conditions;
 - v. road conditions, curfews and border crossings;
 - vi. duration of journey and rest stops;
 - vii. emergency events such as accidents, theft, breakdowns, acts of nature etc.;
 - viii. sick or injured animals, humane destruction and places for emergency unloading;
 - ix. the approach to maintaining internal traceability of the livestock during transport until they reach their intended destination; and
 - x. contingency plans for the disruption of the journey; and
- b) a list of approved transport operators that demonstrate they fulfil the requirements in Annex B of LGAP 1001 *Livestock assurance - Requirements for animal welfare and management*.

NOTE Transport operators can be owned and operated by the Operator or Facility.

ADDITIONAL REQUIREMENTS FOR IMPORTER OPERATORS AND ALL FACILITIES

7.8 Documented information shall include at least the following:

- a) processes for monitoring, including (where applicable):
 - i. animal handling at loading, unloading and through the site;
 - ii. effectiveness of restraint;
 - iii. where used, the effectiveness of the stunning outcome; and
 - iv. effectiveness of slaughter.
- b) internal traceability processes for identification and the recording of movement of animals, and such documented information shall:

- i. be established and implemented;
- ii. be those that ensure conformance with this Standard as well as those specified by supply chain partners to execute external traceability;

NOTE Supply chain partners may specify the format (e.g. electronic) and language etc. of such documented information.

- iii. be reviewed on a planned schedule of no less than every six months and such a review shall include an analysis of what has happened in the past period;
- iv. be readily accessible and understood by personnel with any responsibility for traceability;
- v. ensure specified livestock are only sent to and received from Operators and Facilities that are Certified under LGAP to the prescribed level; and

NOTE: Where specified livestock are required to be sent to sites which are not included in the scope of LGAP (e.g. breeding livestock), documented information includes that which demonstrates the legitimacy of these arrangements and that the animals were confirmed as received at that site.

- c) back up processes and documented information for activities or control points which have been identified as high or critical risk, which include the identification and appropriate use of any equipment necessary for executing such back up activities.

FURTHER ADDITIONAL REQUIREMENTS FOR ALL OPERATORS

7.9 Documented information shall include at least the following:

- a) processes for capacity planning taking into account the whole of the production cycle during the course of the year, and effect of the following:
 - i. capacity of downstream Operators and Facilities;
 - ii. anticipated climatic and environmental conditions; and
 - iii. anticipated cultural events.

- b) Contingency arrangements for situations where the supply chain is disrupted or there are capacity issues;

NOTE Disruptions can include but are not limited to:

- severe weather events and related damage;
- civil unrest or hostilities;
- disease outbreaks;
- theft of livestock;
- fire and related damage;
- transport related issues;
- accidents on-site or during transport;
- systemic or prolonged power supply failure; and
- suspension or withdrawal of own certification or of Facilities downstream.

- c) external traceability processes for identification and the recording of movement of animals shall:
 - i. be established and implemented to ensure conformity with this Standard;
 - ii. be able to interface with upstream and downstream internal traceability processes in order to be able to locate livestock until death;
 - iii. be understood by personnel with any responsibility for traceability; and
 - iv. be reviewed on a planned schedule of no less than every six months and such a review shall include an analysis of what has happened in the past period.

FURTHER ADDITIONAL REQUIREMENTS FOR FEEDLOT, FARM AND ABATTOIR FACILITIES

7.10 Documented information shall include at least the following:

- a) processes for animal health and welfare taking into account the whole of the production cycle during the course of the year, and effect of the following:
 - i. annual variations in demand and supply of livestock and capacity of the Facility;
 - ii. anticipated climatic and environmental conditions;
 - iii. anticipated cultural events;
 - iv. the prevention and control of common diseases; and
 - v. animal health and husbandry.

FURTHER ADDITIONAL REQUIREMENTS FOR ABATTOIR FACILITIES

7.11 Documented information shall include at least the following:

- a) processes for stunning and slaughter (with or without stunning) which shall include, where appropriate:
 - i. methods;
 - ii. application of the stunning device;
 - iii. equipment suitability for species, appropriate charge/setting (electrical and mechanical);
 - iv. assessment of effective stunning;
 - v. stun to slaughter interval;
 - vi. assurance of unconsciousness before animals have water thrown on them or be otherwise disturbed; and
 - vii. assurance of death prior to performing carcass dressing or cutting processes.

8 Monitoring

GENERAL REQUIREMENTS FOR IMPORTER OPERATORS AND ALL FACILITIES

- 8.1** Operators and Facilities shall have monitoring and verification in place that:
- a) enables measurement and reporting of performance in relation to the targets in the LGAP Standards;
 - b) demonstrates the effectiveness of corrective actions; and
 - c) applies the sampling techniques and frequencies as in LGAP 1001 Annex I.
- 8.2** Monitoring data shall be recorded and verified as part of the internal audit.
- 8.3** Monitoring data shall be used as the basis for reporting on achievement of the targets in the LGAP Standards.
- 8.4** Where targets in the LGAP Standards are not achieved, the Operator or Facility shall ensure corrections are made and effective corrective action has been undertaken as demonstrated through subsequent monitoring.

9 Management review

GENERAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

- 9.1** Top management shall review the Operator's or Facility's management system at least once a year. Alternatively, a complete review broken up into segments shall be completed within a 12-month time frame.
- 9.2** The management review shall be planned and carried out taking into consideration:
- a) the status of actions from previous management reviews;
 - b) changes in external and internal issues that are relevant to the management system;
 - c) information on the performance, including trends and indicators for:
 - i. nonconformities and corrective actions;
 - ii. monitoring, measurement and verification results;
 - iii. evaluation results;
 - iv. customer satisfaction;
 - v. issues concerning external providers and other relevant interested parties;
 - vi. adequacy of resources required for maintaining an effective quality management system; and
 - vii. process performance and conformity of products and services;
 - d) the effectiveness of actions taken to address risks and opportunities; and
 - e) new potential opportunities for continual improvement.
- 9.3** The outputs of the management review shall include decisions and actions related to:
- a) continual improvement opportunities; and
 - b) any need for changes to the management system, including resource needs.

10 Internal audit

GENERAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

10.1 The Operator or Facility shall conduct internal audits at a frequency specified in the LGAP Certification Rules, or completed within a segmented or rolling timeframe within the scheduled frequency, to provide information on whether the management system:

- a) conforms to:
 - i. the Operator's or Facility's own requirements for its management system; and
 - ii. the requirements of the LGAP Certification Requirements; and
- b) is effectively implemented and maintained.

NOTE The frequency of the internal audit is determined by the risk rating that is assigned to the Operator or Facility under LGAP.



10.2 The Operator or Facility shall:

- a) plan, establish, implement and maintain an internal audit programme(s) including the frequency, methods, responsibilities, planning requirements and reporting, which shall take into consideration the requirements of the LGAP Standards, the importance of the processes concerned, customer feedback, changes affecting the organization and the results of previous internal audits and external evaluations;
- b) follow the audit criteria and scope for each internal audit, as defined in the LGAP Certification Requirements and provided in the AniMark Conformance System;
- c) select internal auditors that demonstrate the competence criteria in Annex A, and conduct internal audits to ensure objectivity and the impartiality of the process;
- d) ensure that the results of the internal audits are reported to relevant management and are recorded on the AniMark Conformance System;
- e) take necessary correction and corrective actions without undue delay;
- f) record such correction and corrective action against the nonconformity raised in the AniMark Conformance System; and
- g) retain documented information as evidence of the implementation of the internal audit programme and the audit results.

NOTE 1 See ISO 19011 for guidance on how to prepare and undertake internal audits.

NOTE 2 Internal audits are to undertaken and recorded using the online AniMark Conformance System that is provided by the Program Owner.

11 Nonconformities and Corrective Actions

GENERAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

11.1 When a nonconformity occurs, including those arising from feedback and complaints, the Operator or Facility shall:

- a) react to the nonconformity and, as applicable:
 - i. make an immediate correction to control and stop the nonconformity; and
 - ii. deal with the consequences;
- b) evaluate the need for corrective action to eliminate the cause(s) of the nonconformity, in order that it does not recur or occur elsewhere, by:
 - i. reviewing the nonconformity;
 - ii. determining the causes of the nonconformity; and
 - iii. determining if similar nonconformities exist, or could potentially occur;
- c) undertake corrective action if required;
- d) review the effectiveness of any corrective action taken;
- e) within the prescribed timeframe, communicate to relevant supply chain partners and the Program Owner the:
 - i. occurrence of the nonconformity;
 - ii. correction or corrective action undertaken or to be undertaken to correct the nonconformity;
 - iii. the timeframe in which the correction or corrective action shall be or has been taken; and
 - iv. confirmed undertaking of correction or corrective action when it has been implemented;

NOTE 1 Such communication may be by notification of nonconformities raised and closed out in the AniMark Conformance System.

NOTE 2 Prescribed timeframes are specified in the LGAP Certification Rules.

- f) make changes to the management system if necessary; and
- g) record correction or corrective action in the AniMark Conformance System.



11.2 Corrective actions shall be appropriate to the effects of the nonconformities encountered.

NOTE 1 In some instances, it can be impossible to eliminate the cause of a nonconformity.

NOTE 2 Corrective action can reduce the likelihood of recurrence to an acceptable level.

11.3 The Operator or Facility shall retain documented information as evidence of:

- a) the nature of the nonconformities and any subsequent actions taken; and
- b) the results of any corrective action.

11.4 The Operator or Facility shall continually improve the suitability, adequacy and effectiveness of the management system.

11.5 The Operator or Facility shall consider the outputs of analysis and evaluation, and the outputs from management review, to confirm if there are areas of underperformance or opportunities that shall be addressed as part of continual improvement.



Annex A Personnel competencies – internal auditor(s)

(Normative)

Operators and Facilities shall demonstrate that its **internal auditor(s)** has the following competencies:

Knowledge	
a) the LGAP Certification Requirements	✓
b) workplace requirements for maintaining flow and order of animals	✓
c) impact of stress and injury on the animal	✓
d) impact of stress and injury on product quality	✓
e) identification of livestock	✓
f) hazards of handling stock	✓
g) feed and water requirements where relevant	✓
h) relevant processes and documented information associated with tasks undertaken	✓
i) workplace processes and documented information for receipt and/or dispatch of animals	✓
j) processes and documented information for monitoring and verifying traceability activities and data	✓
k) correct operation of infrastructure and equipment related to the scope of LGAP	✓
l) backup processes and responding to emergency situations	✓
Skills	
m) identify sick or injured animals	✓
n) identify out-of-specification animals	✓
o) determine if documented information for livestock movement are accurate and complete	✓
p) identify incorrect operation of infrastructure or equipment	✓
q) identify incorrect application of processes and documented information	✓
r) identify signs and causes of stress in animals	✓
s) conduct trace forward and trace backwards exercise with livestock movements	✓