

AniMark[®]



Livestock Global Assurance Program

LGAP 1002 Livestock assurance – Requirements for management systems of Operators, Facilities and Traceability System Providers

Version 2.0

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Contents

Foreword.....	4
Document control	5
Introduction	6
1 Scope	7
2 Normative references	8
3 Terms and definitions	8
4 Management system - General	9
5 Leadership and responsibilities	10
6 Processes and risk	11
7 Documented Information	13
8 Verification, monitoring and reporting	18
9 Management review.....	21
10 Internal audit	22
11 Nonconformities and Corrective Actions	23
Annex A Personnel competencies – internal auditor(s)	25

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, Facilities and Traceability System Providers;*
- LGAP 1003 *Livestock assurance - Requirements for Operator chain of custody; and*
- *LGAP 1004 Livestock assurance – Requirements for traceability systems used by Operators and Facilities.*

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.

The AniMark Board has adopted the LGAP Standards for application under LGAP.

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. *Changes from the previous version are marked in italics.*

The updates will be sent to all LGAP Approved Certification Bodies, Certified Operators, Certified Facilities *and Traceability System Providers* 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.

Tracing animals as they move through the supply chain is critical to assuring the appropriate treatment of livestock is maintained. Livestock traceability also underpins animal health, disease control, food safety and product integrity.

This Standard sets out requirements for the management system that all Operators and Facilities must have in order to be certified under LGAP, *as well as those Traceability System Providers are required to fulfil in order to have their traceability systems approved for use by Operators and Facilities 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 a way Operators, Facilities *or Traceability System Providers* can demonstrate fulfilment of the requirements in this Standard. This recognises that in some cases Operators, *Facilities or Traceability System Providers* 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, Facilities *or Traceability System Providers* to identify when they are nonconforming and requires them to take action to correct their operations. This encourages Operators, Facilities *and Traceability System Providers* to learn from their past performance and continually improve their outcomes in terms of the welfare and management of livestock.

Operators, Facilities and Traceability System Providers that fulfil the relevant requirements of the LGAP Standards may seek certification in accordance with the LGAP Certification Rules.

1 Scope

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

This Standard also contains requirements for the management system of a Traceability System Provider that provides a traceability system for an Operator or Facility to manage their internal or external traceability of livestock, as well as a Traceability System Provider which offers traceability services to an Operator or Facility.

Traceability systems are considered to be a component of a management system.

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

This Standard is applicable to the following:

- a) Operators, including:
 - i) Exporters; and
 - ii) Importers;
- b) Facilities, including:
 - i) Feedlots or Farms; and
 - ii) Abattoirs; and
- c) *Traceability System Providers, including:*
 - i) *Operators;*
 - ii) *Facilities; and*
 - iii) *third parties.*

Traceability System Providers who are also Operators or Facilities are not expected to duplicate their management systems for the different roles they have but rather ensure the scope of their management system fulfils their relevant requirements as both a Traceability System Provider and an Operator or Facility.

The transport of livestock between Importer *Operators* 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 *Livestock assurance - Fundamentals and vocabulary* apply.

4 Management system - General

Principle: The Operator, Facility or Traceability System Provider 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, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS

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

NOTE 1 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.

NOTE 2 A traceability system is considered a component of a management system.

- 4.2** The management system of the Operator, Facility or Traceability System Provider 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 and risks;
- c) documented information;
- d) *verification, monitoring and reporting*;
- e) management review;
- f) internal audits; and
- g) nonconformities and corrective action.

5 Leadership and responsibilities

GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS

- 5.1 The Operator's, Facility's or *Traceability System Provider'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, Facility, or *Traceability System Provider*;
 - 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, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS

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

ADDITIONAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES USING TRACEABILITY SYSTEMS APPROVED UNDER LGAP 1004

- 6.3** *The Operator or Facility shall incorporate processes established by their Traceability System Provider into their management system, including processes related to:*
- a) *the operation of the traceability system;*
 - b) *individually, uniquely and accurately identifying traceability locations and parties;*
 - c) *placement, installation, handling, usage and maintenance of any infrastructure and equipment required for the effective operation of the traceability system;*
 - d) *identification of individual animals or groups of animals;*
 - e) *the security of identifiers, checking animals for the presence of identifiers and managing missing identification;*
 - f) *verifying the validity, reliability and accuracy of the traceability data on the register;*
 - g) *the capturing of supporting evidence including visual static imagery and video surveillance where used;*
 - h) *providing traceability data to traceability parties;*
 - i) *performing reconciliations and maintaining documented information to support the occurrence and outcomes of reconciliations;*
 - j) *ensuring traceability data, documented information and supporting evidence are valid and reliable;*
 - k) *monitoring the occurrence of incidents, maintain monitoring data and taking action where incidents occur;*
 - l) *conducting traceability tests and maintaining documented information to demonstrate the outcome of the traceability tests;*
 - m) *the retention, security and management of traceability data, monitoring data and supporting evidence on the register;*
 - n) *fulfilment of compliance requirements; and*
 - o) *reporting the outcomes of monitoring processes, incidents and traceability tests.*

ADDITIONAL REQUIREMENTS FOR ALL OPERATORS AND TRACEABILITY SYSTEM PROVIDERS

- 6.4** The Operator or Traceability System Provider shall apply a risk-based approach that:
- a) identifies risks associated with events, locations and causes of uncertainty that may prevent the demonstration of fulfilment of LGAP Standards; and
 - b) 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, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS

7.1 The Operator's, Facility's or Traceability System Provider's management system shall include:

- a) documented information required by the LGAP Certification Requirements;
- b) documented information determined by the Operator, Facility or Traceability System Provider 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, Facility or Traceability System Provider 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 *it is*:

- a) available and suitable for use, where and when it is needed;
- b) *readily accessible to authorised parties*;
- c) secure;
- d) *retained for the minimum period required by compliance requirements or for no less than two years, whichever is the greater; and*
- e) available to *traceability parties* and supply chain partners upon request.

7.3 For the control of documented information, the Operator, Facility or Traceability System Provider 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, Facility or Traceability System Provider 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, Facility or *Traceability System Provider* 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.

ADDITIONAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

- 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 N 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.

ADDITIONAL REQUIREMENTS FOR IMPORTER OPERATORS, ALL FACILITIES AND TRACEABILITY SYSTEM PROVIDERS WITH TRACEABILITY SERVICES

7.9 Documented information shall include at least the following:

- a) 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 *traceability parties* and supply chain partners to execute external traceability;
NOTE *Traceability parties* and 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.

- b) 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

7.10 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:
 1. ensure conformity with this Standard;
 2. *where relevant, be consistent with any processes provided by their Traceability System Provider;*
 - ii. be able to *be connected* 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

7.11 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

7.12 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 Verification, monitoring and reporting

GENERAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES

- 8.1** Operators and Facilities shall have *verification and monitoring* in place that, *as applicable to their scope of certification*:
- enables *monitoring, analysis* and reporting of performance in relation to the targets in *LGAP 1001*;
 - demonstrates the effectiveness of corrective actions; and
 - applies the sampling techniques and frequencies as in *LGAP 1001 Annex J*;
 - results in monitoring data which forms the basis for reporting on the achievement of the targets in LGAP 1001.*
- 8.2** Monitoring data, *traceability data, supporting evidence, the outcome of any analyses undertaken and any other documented information* shall be:
- maintained* and verified as part of the internal audit; *and*
 - upon request, provided to traceability parties.*
- 8.3** 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.

ADDITIONAL REQUIREMENTS FOR ALL OPERATORS AND FACILITIES USING TRACEABILITY SYSTEMS APPROVED UNDER LGAP 1004

- 8.4** *Following the processes established at 6.3, the Operator or Facility shall monitor the following:*
- when an animal or group of animals has been assigned to the incorrect:*
 - traceability party for physical custody; or*
 - specified supply chain, where relevant;*
 - the number of:*
 - identifiers that are lost or replaced;*
 - livestock that become breeding livestock; and*
 - livestock losses or mortalities (other than due to slaughter);*
 - instances where traceability data provided to or received by traceability parties is inconsistent with the requirements of LGAP 1001;*
 - outcomes of reconciliations of livestock numbers; and*
 - outcomes of traceability testing.*

8.5 *Monitoring data shall be maintained to demonstrate fulfilment of 8.4.*

8.6 *At prescribed timeframes, the Operator or Facility shall undertake analysis of the:*

- a) traceability data;*
- b) supporting evidence;*
- c) documented information; and*
- d) monitoring data.*

NOTE Timeframes are prescribed in the LGAP Certification Rules.

8.7 *The Operator or Facility shall review the outcome of each analysis conducted at 8.7 to determine if there are any irregularities or anomalies:*

- a) in relation to:*
 - i. the number of:*
 - 1. identifiers which are lost or replaced;*
 - 2. livestock that become breeding livestock; and*
 - 3. livestock losses or mortalities (other than due to slaughter);*
 - ii. reconciliations of livestock;*
 - iii. outcomes of traceability tests; and*
 - iv. the traceability data or supporting evidence that occur more than once in relation to the same:*
 - 1. animal or group of animals;*
 - 2. traceability location;*
 - 3. traceability party; or*
 - 4. type of irregularity or anomaly.*

8.8 *Where irregularities or anomalies in 8.8 are identified, the Operator or Facility shall immediately:*

- a) review the irregularity or anomaly to determine:*
 - i. the cause of the irregularity or anomaly; and*
 - ii. if the irregularity or anomaly could potentially reoccur;*
- b) if necessary, change the relevant processes to ensure the cause of the irregularity or anomaly cannot reoccur;*
- c) report the irregularities or anomalies to the relevant Traceability System Provider, traceability parties and the Program Owner; and*
- d) upon request provide all traceability data, supporting evidence, monitoring data and the analysis undertaken to traceability parties and the Program Owner.*

8.9 Documented information shall be maintained to demonstrate fulfilment of 8.7 and 8.8.

**ADDITIONAL REQUIREMENTS FOR ALL OPERATORS USING TRACEABILITY SYSTEMS
APPROVED UNDER LGAP 1004**

8.10 At prescribed timeframes, the Operator shall:

- a) undertake reconciliations throughout the supply chain between:
 - i. the traceability location of animals or groups of animals;
 - ii. the traceability party who had physical custody at each traceability location;
 - iii. the traceability data for all animals or groups of animals; and
 - iv. supporting evidence; and
- b) maintain documented information to demonstrate the outcomes of the reconciliations undertaken at a).

NOTE Timeframes are prescribed in the LGAP Certification Rules.

9 Management review

GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS

- 9.1** Top management shall review the Operator's, Facility's or Traceability System Provider'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 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, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS

10.1 The Operator, Facility or Traceability System Provider 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, Facility's or Traceability System Provider'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, Facility or Traceability System Provider under LGAP.

10.2 The Operator, Facility or Traceability System Provider 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 IT 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 IT 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 IT 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 IT Conformance System that is provided by the Program Owner.

11 Nonconformities and Corrective Actions

GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS

11.1 When a nonconformity occurs, including those arising from feedback and complaints, the Operator, Facility or Traceability System Provider 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, *traceability parties* 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 *IT* 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 *IT* 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, Facility or *Traceability System Provider* 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, Facility or *Traceability System Provider* shall continually improve the suitability, adequacy and effectiveness of the management system.

11.5 The Operator, Facility or *Traceability System Provider* 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, Facilities and Traceability System Providers shall demonstrate that its **internal auditor(s)** has the following competencies, *as relevant*:

Knowledge	Operators and Facilities	Traceability System Providers	Traceability System Providers with Traceability Services
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) <i>capturing traceability data and supporting evidence</i>	✓		✓
k) processes and documented information for monitoring and verifying traceability activities and data	✓	✓	✓
l) correct operation of infrastructure and equipment related to the scope of LGAP	✓	✓	✓
m) backup processes and responding to emergency situations	✓	✓	✓
Skills	Operators and Facilities	Traceability System Providers	Traceability System Providers with Traceability Services
n) identify sick or injured animals	✓		
o) identify out-of-specification animals	✓		
p) determine if documented information for livestock movement are accurate and complete	✓		✓
q) identify incorrect operation of infrastructure or equipment	✓		✓
r) identify incorrect application of processes and documented information	✓		✓
s) identify signs and causes of stress in animals	✓		
t) <i>performing reconciliations</i>	✓		✓
u) conduct <i>traceability tests including trace forward and trace backwards</i> exercise with livestock movements	✓		✓