

AniMark®



Livestock Global Assurance Program

Traceability System Provider Guidance Manual

Guidance on meeting the
Livestock Global Assurance Program Standards

Version 1.0

September 2021

© AniMark Limited 2021

All rights reserved. Unless otherwise specified, or required in the context of its implementation, no part of this publication may be reproduced or utilized otherwise in any form or by any means, electronic or mechanical, including photocopying, or posting on the internet or an intranet, without prior written permission. Permission can be requested from AniMark at the address below.

AniMark Limited
Chief Executive Officer
PO Box 1359
Milton QLD 4064
AUSTRALIA
Phone: +61 (0)7 2102 3640
Email: info@animark.com.au
Website: www.animark.com.au
Published in Australia

Contents

Document Control	4
Introduction	5
Application of the LGAP Standards	6
1 LGAP 1002 – LIVESTOCK ASSURANCE – REQUIREMENTS FOR THE MANAGEMENT SYSTEM OF OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS	7
Management system - General	7
Leadership and responsibilities	9
Processes and risk	10
Documented Information	13
Management review	18
Internal audit.....	20
Nonconformities and Corrective Actions	22
2 LGAP 1004 – LIVESTOCK ASSURANCE – REQUIREMENTS OF TRACEABILITY SYSTEMS USED BY OPERATORS AND FACILITIES	25
Purpose of the system.....	25
Operation of the system	29
Resources	34
Location and party identification	39
Animal identification	41
Management of animal movement	52
Registers	58
Verification, monitoring and reporting.....	64
3 TRACEABILITY SERVICES	83

Document Control

Date	Amendment	Approved by	Version no.
02/08/2021	Document created	Program Operations Manager	1.0

Introduction

This guidance document has been prepared to assist Traceability System Providers meet the requirements under the LGAP Standards.

The guidance document provides the Standard, the requirement, and examples of how conformance may be demonstrated. These examples are also used by internal and external auditors when conducting audits.

The specific versions of the documents that make up the LGAP Certification Requirements related to this version of the guidance document are:

(a) the LGAP Certification Rules; and

(b) the LGAP Standards - which consist of:

- i) LGAP 1000 Livestock assurance – Fundamentals and vocabulary*
- ii) LGAP 1001 Livestock assurance – Requirements for animal welfare and management*
- iii) LGAP 1002 Livestock assurance – Requirements for the management system of Operators, Facilities and Traceability System Providers;*
- iv) LGAP 1003 Livestock assurance – Requirements for Operator Chain of Custody; and*
- v) LGAP 1004 – Livestock assurance – Requirements of traceability systems used by Operators and Facilities.*

This guidance document is not a set of further requirements. Rather, it provides examples of how a Traceability System Provider may demonstrate their fulfillment of the LGAP Certification Requirements. Traceability System Provider may establish alternative ways of demonstrating their fulfillment of the LGAP Certification Requirements that differ from the examples provided in this guidance document.

Operators and Facilities can refer to guidance materials specifically for their operation, available from the Program Owner.

This guidance document supplements training provided under LGAP for Traceability System Provider.

Application of the LGAP Standards







The LGAP Standards specify requirements associated with the activities of Operators (Exporters and Importers), Facilities (Feedlots, Farms and Abattoirs) and Traceability System Providers (internal (e.g., Operators or Facilities) or external (e.g., third parties)).

The application of specific LGAP Standards, as well as requirements within each Standard is dependent on the activity undertaken by the Operator, Facility or Traceability System Provider.

Diagram 1 provides an overview of how each of the main Standards are applied.

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

Diagram 1: Application of the LGAP Standards

	LGAP1000 Principles & Definitions 	LGAP1001 Animal Welfare & Management 	LGAP1002 Management Systems 	LGAP1003 Chain of Custody 	LGAP1004 Traceability Systems <i>Voluntary</i> 
Facilities <i>(if using a certified system)</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>
Operators <i>(if using a certified system)</i>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Traceability System Providers <i>(Internal or external)</i> <i>Voluntary</i>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>

1 LGAP 1002 – LIVESTOCK ASSURANCE – REQUIREMENTS FOR THE MANAGEMENT SYSTEM OF OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS

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.

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS	
4.1.	X	X	X	<p>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.</p> <p>NOTE 1 Fulfilment of the requirements in this Standard can be demonstrated using an ISO 9001 quality management system where that management system:</p> <ol style="list-style-type: none"> 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. <p>NOTE 2 A traceability system is considered a component of a management system.</p>	<ul style="list-style-type: none"> • The Operator or Facility should be able to identify what constitutes its management system and have records available to demonstrate this. • Use of the LGAP Management System Manual templates. • If ISO9001 certification is held the ISO 9001 certificate must specifically mention LGAP Standards, and the certified management system covers the processes related to LGAP, and that the Certification Body is approved by the Program Owner.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
4.2.	X	X	X	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: <ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> • Use of the LGAP Management System Manual or the Facility's/Operator's/Traceability System Provider's own management system.

Leadership and responsibilities

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS					
5.1.	X	X	X	<p>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:</p> <ul style="list-style-type: none"> 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 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 	<ul style="list-style-type: none"> • Maintain copies of documented information, which should at least cover: <ul style="list-style-type: none"> ○ main processes; ○ responsibilities and competencies of human resources; and ○ activities to undertake monitoring of performance. • Many Traceability System Providers will have some form of operational manual, however in some cases a simple flow chart noting the process to be followed, the resources involved, and the monitoring activities to be undertaken is all that is required to demonstrate fulfilment of this requirement. • Examples of communication of the documented information between top management and personnel include: <ul style="list-style-type: none"> ○ position descriptions; and ○ reports on the management system.

Processes and risk

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS					
6.1.	X	X	X	The management system shall: a) identify and manage risks, processes and resources; and b) enable monitoring and verification of performance.	<ul style="list-style-type: none"> • Develop appropriate processes, standard operating procedure and/or work instructions. • Processes may include: <ul style="list-style-type: none"> ○ Correct operation of the system ○ Personnel competency & responsibilities ○ installation/placement, use, maintenance of equipment and infrastructure ○ animal identification, EID control, USE, prevention of re-use ○ traceability party and location identification ○ capture, collection, and storage of traceability data and supporting evidence ○ monitoring, analysis, and verification of traceability data ○ Reconciliation and traceability tests • Maintain monitoring data as per LGAP 1004.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
6.2.	X	X	X	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.	<ul style="list-style-type: none"> • Review of the documented information such as risk identification, risk assessments, risk ratings, controls for risks, reporting risks etc. • Personnel can explain processes and monitoring activities and associated documented information. • Once the processes are determined, each process should be reviewed for key points that are critical to the system. • If a critical control point is not met, action must be taken to bring the system back into conformance. • This risk treatment or action also needs to be determined and documented so personnel know what to do if something goes wrong.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
				ADDITIONAL REQUIREMENTS FOR ALL OPERATORS AND TRACEABILITY SYSTEM PROVIDERS	
6.4	X	X	X	<p>The Operator or Traceability System Provider shall apply a risk-based approach that:</p> <ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> • Review of the documented information such as risk identification, risk assessments, risk ratings, controls for risks, reporting risks • Personnel can explain the processes and monitoring activities and associated documented information. • For example if there is a risk of traceability failure during religious events, this should be identified, and controls documented.

Documented Information

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS					
7.1.	X	X	X	The Operator's, Facility's or Traceability System Provider's management system shall include:	
	X	X	X	a) documented information required by the LGAP Certification Requirements;	<ul style="list-style-type: none"> • Develop appropriate processes, standard operating procedure and/or work instructions. • Maintain appropriate documented information, records etc.
	X	X	X	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: <ul style="list-style-type: none"> – 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. 	<ul style="list-style-type: none"> • Develop appropriate processes, standard operating procedure and/or work instructions. • Consider size, activities, processes, products, services, and personnel competence. • Maintain appropriate documented information, records etc.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
7.2.	X	X	X	Documented information required by the management system and by the LGAP Certification Requirements shall be controlled to ensure it is: <ul style="list-style-type: none"> 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) it is available to traceability parties and supply chain partners upon request. 	<ul style="list-style-type: none"> • Develop appropriate control processes and consider security of such documented information as well as how long such documented information is kept. • Maintain correspondence or file notes recording action taken when requests are made. • Current versions should be available to personnel. Superseded versions should be removed from circulation. • Records should be kept for a minimum of two years, or longer if required by law. • Documented information should be stored securely so that it cannot be lost, damaged, hacked or subject to fraud.
7.3.	X	X	X	For the control of documented information, the Operator, Facility or Traceability System Provider shall address the following activities: <ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> • Develop appropriate control processes and consider security of such documented information.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
7.4.	X	X	X	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.	<ul style="list-style-type: none"> • Develop appropriate control processes and consider security of such documented information. • Controlled document list associating the documents with specific LGAP Standards requirements.
7.5.	X	X	X	When creating and updating documented information the Operator, Facility or Traceability System Provider shall ensure appropriate: <ol style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> • Develop appropriate control processes for such documented information. • Consider documented information translated into various languages as appropriate to employees. • Controlled document list associating the documents with specific LGAP Standards requirements.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
7.6.	X	X	X	All personnel involved in processes shall have access to the parts of the management system documented information that are applicable to their responsibilities.	<ul style="list-style-type: none"> • Develop appropriate control processes and consider access of such documented information. • Personnel must have access to appropriate parts of the management system, for example processes, procedures or documented information applicable to their responsibilities. • For example – a user who is responsible for carrying out traceability tests must have access to instructions for how to perform the traceability tests.
				ADDITIONAL REQUIREMENTS FOR IMPORTER OPERATORS, ALL FACILITIES AND TRACEABILITY SYSTEM PROVIDERS WITH TRACEABILITY SERVICES	

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
7.9			X	<p>Documented information shall include at least the following:</p> <p>a) internal traceability processes and procedures for identification and the recording of movement of animals and such documented information shall:</p> <ol style="list-style-type: none"> 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; <p>NOTE Traceability parties and supply chain partners may specify the format (e.g. electronic) and language etc. of such documented information.</p> <ol style="list-style-type: none"> 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 <p>NOTE: Where specified livestock are required to be sent to sites which are not included in the scope of LGAP (e.g. breeding livestock), appropriate documented information must be maintained which demonstrate the legitimacy of these arrangements and that the animals were confirmed as received at that site.</p> <p>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.</p>	<ul style="list-style-type: none"> • Develop appropriate processes, standard operating procedure and/or work instructions for identification (consistent with LGAP 1001 and those provided by Traceability System Providers and scope of certification) and movement recording within the site. • Implement internal traceability systems, or use traceability systems that are mandated by supply chain participants (e.g. upstream Operators). <ul style="list-style-type: none"> ○ <i>Small establishments:</i> <ul style="list-style-type: none"> ▪ May be pictorial SOPs where required. ▪ May be produced centrally and shared across businesses (where procedures are the same).

Management review

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS					
9.1.	X	X	X	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.	<ul style="list-style-type: none"> • Schedule and undertake a review of the management system at least one a year. • Maintain documented information associated with management review.
9.2.	X	X	X	<p>The management review shall be planned and carried out taking into consideration:</p> <ol style="list-style-type: none"> 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: <ol style="list-style-type: none"> 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; 	<ul style="list-style-type: none"> • Maintain documented information associated with management review.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
				d) the effectiveness of actions taken to address risks and opportunities; and e) new potential opportunities for continual improvement.	
9.3.	X	X	X	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.	<ul style="list-style-type: none"> • Maintain documented information associated with management review.

Internal audit

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS	
10.1.	X	X	X	<p>The Operator, Facility or Traceability System Provider shall conduct internal audits at a frequency as 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;</p> <p>a) conforms to:</p> <ol style="list-style-type: none"> 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; <p>b) is effectively implemented and maintained.</p> <p>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.</p>	<ul style="list-style-type: none"> • Ensure an individual is assigned as the internal auditor, ensure the individual assigned meets the Certification Requirements and competencies in LGAP 1002. • Ensure internal audits are conducted based on the specified surveillance frequency. • Ensure internal audits are conducted using the AniMark IT Conformance System.
10.2.	X	X	X	<p>The Operator, Facility or Traceability System Provider shall:</p> <p>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;</p> <p>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;</p>	<ul style="list-style-type: none"> • Ensure an individual is assigned as the internal auditor, ensure the individual assigned meets the Certification Requirements and competencies in LGAP 1002. • Ensure internal audits are conducted based on the specified surveillance frequency.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
				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; and f) record such correction and corrective action against the nonconformity raised in the AniMark Conformance System; and	<ul style="list-style-type: none"> • Ensure internal audits are conducted using the AniMark IT Conformance System. • Ensure records and information relating to internal audits are available to Auditor.
	X	X	X	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.	

Nonconformities and Corrective Actions

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL OPERATORS, FACILITIES AND TRACEABILITY SYSTEM PROVIDERS	
11.1.	X	X	X	When a nonconformity occurs, including those arising from feedback and complaints, the Operator, Facility or Traceability System Provider shall: <ol style="list-style-type: none"> a) react to the nonconformity, and as applicable: <ol style="list-style-type: none"> 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: <ol style="list-style-type: none"> i. reviewing the nonconformity; ii. determining the causes of the nonconformity; and iii. determining if similar nonconformities exist, or could potentially occur; 	<ul style="list-style-type: none"> • Ensure internal audits are conducted using the AniMark IT Conformance System. • Ensure corrective action is recorded in the AniMark IT Conformance System. • Ensure nonconformities are closed out in the AniMark IT Conformance System. • Develop and maintain a Feedback and Complaints register. • Maintain correspondence or file notes recording communication to relevant parties.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
				<p>c) undertake corrective action if required;</p> <p>d) review the effectiveness of any corrective action taken;</p> <p>e) within the prescribed timeframe, communicate to relevant supply chain partners, traceability parties and the Program Owner the:</p> <ul style="list-style-type: none"> 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; <p>NOTE 1 Such communication may be by notification of nonconformities raised and closed out in the AniMark IT Conformance System</p> <p>NOTE 2 Prescribed timeframes are specified in the LGAP Certification Rules.</p> <p>f) make changes to the management system if necessary; and</p> <p>g) record correction or corrective action in the AniMark IT Conformance System.</p>	
11.2.	X	X	X	<p>Corrective actions shall be appropriate to the effects of the nonconformities encountered.</p> <p>NOTE 1 In some instances, it can be impossible to eliminate the cause of a nonconformity.</p> <p>NOTE 2 Corrective action can reduce the likelihood of recurrence to an acceptable level.</p>	<ul style="list-style-type: none"> • Ensure corrective action is recorded in the AniMark IT Conformance System. • Ensure nonconformities are closed out in the AniMark IT Conformance System. • Develop and maintain a Feedback and Complaints register.

Clause	Traceability System Provider	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMANCE Such evidence may be reviewed during an evaluation activity
11.3.	X	X	X	<p>The Operator, Facility or Traceability System Provider shall retain documented information as evidence of:</p> <p>a) the nature of the nonconformities and any subsequent actions taken; and</p> <p>b) the results of any corrective action.</p>	<ul style="list-style-type: none"> • Ensure corrective action is recorded in the AniMark IT Conformance System. • Ensure nonconformities are closed out in the AniMark IT Conformance System. • Develop and maintain a Feedback and Complaints register.
11.4.	X	X	X	<p>The Operator, Facility or Traceability System Provider shall continually improve the suitability, adequacy and effectiveness of the management system.</p>	<ul style="list-style-type: none"> • Ensure a continual review of the documented information associated with nonconformities and corrective actions. • The absence of systematic and repeated nonconformities.
11.5.	X	X	X	<p>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.</p>	<ul style="list-style-type: none"> • Ensure a continual review of the documented information associated with nonconformities and corrective actions.

2 LGAP 1004 – LIVESTOCK ASSURANCE – REQUIREMENTS OF TRACEABILITY SYSTEMS USED BY OPERATORS AND FACILITIES

Purpose of the system

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL TRACEABILITY SYSTEM PROVIDERS	
4.1	X			<p>The primary purpose of the traceability system shall be to monitor and track the movement of livestock through LGAP certified Facilities by:</p> <p>a) tracking movements of individually identified animal or collectively identified groups of animals:</p> <ol style="list-style-type: none"> i. into and out of a traceability location; and ii. as they change physical custody between traceability parties; 	<ul style="list-style-type: none"> • The Traceability System Provider can explain or has documented the primary purpose of the system. • Visually review the system and observe it being operated by the Traceability System Provider or a user. • Conduct traceability exercises in line with Annex D. • Maintain documented information including outcomes of traceability exercises. • System and User documentation.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
4.1	X			b) enabling, upon reasonable request of a traceability party or Program participant, confirmation of an animal or group of animals: <ul style="list-style-type: none"> i. current presence at a traceability location; or ii. last critical movement event; 	<ul style="list-style-type: none"> • Documentation, explanation or observation aligns to all parts of this requirement.
4.1	X			c) enabling an animal or group of animals to be traced, within 10 days of initiating the tracing effort, from a traceability location to the: <ul style="list-style-type: none"> i. traceability location where the animal or group of animals: <ul style="list-style-type: none"> 1. came from; and 2. was sent to; and ii. traceability party at 1. and 2. who had physical custody; d) securely capturing and storing traceability data and supporting evidence that demonstrates the validity and reliability of the traceability system; and e) ensuring traceability data and supporting evidence can be securely exchanged between different traceability systems such that an animal or group of animals can be traced and located through all traceability locations the animal or group of animals has moved between.	

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
4.2	X			<p>Where the traceability system serves another purpose, that purpose shall not interfere with the efficacy of the primary purpose.</p> <p>EXAMPLES of other purposes can include:</p> <ul style="list-style-type: none"> - financial management or accounting; - facility capacity management; - animal health monitoring; and - supply chain logistics and management. 	<ul style="list-style-type: none"> • The Traceability System Provider can explain or has documented any other purpose of the system. • The Traceability System Provider can explain any other purpose of the system and how this purpose does not interfere with the primary purpose. • Visually review the system and observe it being operated by the Traceability System Provider or a User. • System and User documentation. • Documentation, explanation or observation aligns to this requirement.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				ADDITIONAL REQUIREMENTS FOR TRACEABILITY SYSTEM PROVIDERS THAT PROVIDE SUPPLY CHAIN TRACEABILITY SYSTEMS	
4.3		X		<p>The primary purpose of the traceability system shall also:</p> <p>a) enable an animal or group of animals to be:</p> <ol style="list-style-type: none"> i. where relevant, connected to a specified supply chain; ii. located at a traceability location; and iii. within 10 days of initiating the tracing effort: <ol style="list-style-type: none"> 1. traced through every traceability location that animal or group of animals has moved. 	<ul style="list-style-type: none"> • The Traceability System Provider can explain or has documented the primary purpose of the system. • The Traceability System Provider can explain the system’s primary purpose and how each part of this requirement is met. • Visually review the system and observe it being operated by the Traceability System Provider or a user. • Conduct traceability exercises in line with Annex D. • Maintain documented information including outcomes of traceability exercises. • System and User documentation. • Documentation, explanation or observation aligns to all parts of this requirement.

Operation of the system

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL TRACEABILITY SYSTEM PROVIDERS	
5.1	X			The Traceability System Provider shall ensure: a) the traceability system is not owned, operated or controlled by an entity which: <ul style="list-style-type: none"> i. has a direct financial interest in an Approved Certification Body; or ii. acts as an Approved Auditor; 	<ul style="list-style-type: none"> • The Traceability System Provider has documented information in relation to the organisational arrangements such as a constitution, contracts, related entities list, organisational chart etc. • Entities associated with the Traceability Service Provider are checked against Approved Certification Bodies and Approved Auditors through AniMark.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
5.1	X			b) terms of use are specified for users of the traceability system and include arrangements for: <ol style="list-style-type: none"> i. ownership of the: <ol style="list-style-type: none"> 1. traceability system intellectual property; 2. traceability data and supporting evidence captured, collected and stored; and 3. infrastructure or equipment provided to users by the Traceability System Provider to enable the effective operation of the traceability system; ii. licencing of intellectual property and information to users; 	<ul style="list-style-type: none"> • Documented Terms of Use that are provided to clients and Users and fulfil all parts of this requirement. • System and User documentation and contracts.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
5.1	X			iii. arrangements for how information is: <ol style="list-style-type: none"> 1. collected; 2. captured; 3. transmitted; 4. stored; 5. used; 6. shared; 7. reported; 8. disclosed; 9. accessed; 10. amended; and 11. secured; 	<ul style="list-style-type: none"> • System and user documentation and contracts.
5.1	X			c) specifications in relation to any infrastructure or equipment required by users to effectively operate the traceability system;	<ul style="list-style-type: none"> • User documentation including infrastructure or equipment specifications and arrangements.
5.1	X			d) termination of users and provision for retention of traceability data and supporting evidence and access after termination	<ul style="list-style-type: none"> • User documentation and contracts.
5.1	X			e) warranties and liability limitations; and	<ul style="list-style-type: none"> • User documentation and contracts.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
5.1	X			f) dispute procedures and governing law;	<ul style="list-style-type: none"> User documentation and contracts.
5.1	X			g) access to the traceability system, including different parts of the traceability system, is appropriately defined for different users or user groups including users who are Program participants; NOTE Program participants are prescribed in the LGAP Certification Rules	<ul style="list-style-type: none"> System and User documentation, including specification of user groups and access arrangements. Approved Auditors, AniMark personnel and Approved Certification Body personnel are provided with access to the traceability system upon request.
5.1	X			h) the traceability system is secure;	<ul style="list-style-type: none"> System documentation that outlines security arrangements. Any certifications relevant to system security such as those under ISO/IEC 27000.
5.1	X			i) there is no hinderance or disruption to access to traceability data; and	<ul style="list-style-type: none"> System and User documentation, including access arrangements. Complaints register is maintained and demonstrates no unreasonable hinderances or disruptions for users. Approved Auditors, AniMark personnel and Approved Certification Body personnel are provided with access to the traceability system upon request and such access is not unreasonably hindered or disrupted.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
5.1	X			<p>j) the terms of use and usage of the traceability system enables all users who are Program participants to fulfil their:</p> <ul style="list-style-type: none"> i. obligations under LGAP; and ii. compliance requirements. <p>NOTE Obligations are prescribed by the LGAP Certification Requirements.</p>	<ul style="list-style-type: none"> • Documented Terms of Use that are provided to clients and Users and do not conflict with LGAP obligations and compliance requirements. • System and User documentation and contracts. • Complaints register is maintained and demonstrates Program participants are not prevented from fulfilling their LGAP obligations and compliance requirements.
5.2	X			<p>The Traceability System Provider shall ensure its traceability system does not prevent its Operator or Facility users from connecting information from different traceability systems together, in particular connecting different:</p> <ul style="list-style-type: none"> a) identification methods for traceability locations, parties and animals; b) traceability data for events and key data elements; c) monitoring data; and d) supporting evidence. <p>NOTE Operators and Facilities can have more than one traceability system in operation. To meet their individual LGAP Certification Requirements each Operator or Facility may need to be able to connect information from these different traceability systems. The intention is not system integration but rather that the traceability system should not prevent an Operator or Facility from making these connections.</p>	<ul style="list-style-type: none"> • The Traceability System Provider can explain or has documented how its system does not prevent users from connecting information from different traceability systems. • Visually review the system and observe how this may occur from a user's perspective. • Conduct traceability exercises in line with Annex D but on the hypothetical basis that connections between systems are required. • Maintain documented information including outcomes of traceability exercises. • Complaints register is maintained and demonstrates Operators and Facilities are not prevented from connecting information from different traceability systems.

Resources

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL TRACEABILITY SYSTEM PROVIDERS	
6.1	X			<p>The Traceability System Provider shall:</p> <p>a) determine the number of personnel necessary to fulfil the requirements of this Standard; and</p> <p>b) identify and have access to such personnel.</p> <p>NOTE Determination of the number of personnel is influenced by:</p> <ul style="list-style-type: none"> – the nature of the traceability system; – the inherent risk associated with the environment the traceability system operates in; – the users of the traceability system; – the services provided with the traceability system. 	<ul style="list-style-type: none"> • Undertake and keep records of estimating, planning or budgeting for personnel based on anticipated activities. • Keep documented information for personnel that may include: <ul style="list-style-type: none"> ○ copies of qualifications etc.; ○ records of past employment, references and curriculum vitae; ○ training records; ○ results of observations, peer assessments, witnessing and examinations, performance appraisals or improvement plans;
6.2	X			<p>The Traceability System Provider shall establish processes for the correct operation of the traceability system by all personnel and users.</p>	<ul style="list-style-type: none"> • Documented process and standard operating procedures.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
6.3	X			<p>The Traceability System Provider shall:</p> <p>a) demonstrate that its personnel have at least the relevant competencies contained in Annex A;</p>	<ul style="list-style-type: none"> • Keep documented information for personnel that demonstrates consideration of Annex A, this may include: <ul style="list-style-type: none"> ○ copies of qualifications etc.; ○ records of past employment, references and curriculum vitae; ○ training records; and ○ results of observations, peer assessments, witnessing and examinations, performance appraisals or improvement plans.
6.3	X			<p>b) make available training and resources to its Operator and Facility users to enable them to demonstrate they have, at a minimum, the relevant competencies contained in Annex A of LGAP 1001 <i>Livestock assurance – Requirements for animal welfare and management</i>;</p>	<ul style="list-style-type: none"> • User documentation that demonstrates consideration of Annex A of LGAP 1001 <i>Livestock assurance – Requirements for animal welfare and management</i>.
6.3	X			<p>c) identify and allocate internal responsibilities for fulfilling requirements, including specific personnel with responsibility for:</p> <ol style="list-style-type: none"> i. the day-to-day application of this Standard; ii. performing processes to ensure the traceability system performs as intended; iii. conducting traceability tests; and iv. communicating and reporting internally and to users any issues with the traceability system which may impact a Facility or Operator user's ability to continue to fulfil their LGAP Certification Requirements; and 	<ul style="list-style-type: none"> • Prepare and keep documented information showing responsibilities and task descriptions. • Prepare and keep documented information showing allocation of responsibilities to specific people. • Prepare and keep documented information from observation/interviews of relevant persons during the audit.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
6.3	X			d) establish processes to support the fulfilment of a), b) and c).	<ul style="list-style-type: none"> • Prepare and keep documented processes that align to a), b) and c).
6.4	X			<p>The Traceability System Provider shall establish processes for the infrastructure and equipment required for the effective operation of the traceability system, including optimal:</p> <p>a) placement and installation;</p> <p>b) handling and usage;</p> <p>c) contingency arrangements in the event of infrastructure or equipment failure; and</p> <p>d) maintenance.</p>	<ul style="list-style-type: none"> • Prepare and keep documented processes that align to all parts of the requirement.
6.5	X			The Traceability System Provider shall maintain documented information to support the fulfilment of 6.1 through to 6.4.	<ul style="list-style-type: none"> • Prepare and keep documented information that align to all parts of this section.
				ADDITIONAL REQUIREMENTS FOR TRACEABILITY SYSTEM PROVIDERS THAT ALSO PROVIDE TRACEABILITY SERVICES	
6.6			X	<p>The Traceability System Provider shall:</p> <p>a) demonstrate that its personnel have at least the relevant competencies contained in Annex B;</p>	<ul style="list-style-type: none"> • Keep documented information for personnel that demonstrates consideration of Annex B, this may include: <ul style="list-style-type: none"> ○ copies of qualifications etc.; ○ records of past employment, references and curriculum vitae; ○ training records; and ○ results of observations, peer assessments, witnessing and examinations, performance appraisals or improvement plans.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
6.6			X	<p>b) identify and allocate responsibilities for fulfilling requirements, including specific personnel with responsibility for:</p> <ol style="list-style-type: none"> i. the identification of animals; ii. capturing traceability data; iii. collecting and storing traceability data and supporting evidence; iv. providing traceability data to traceability parties; v. undertaking reconciliations; vi. performing processes to ensure the traceability data and supporting evidence are valid, reliable and accurate; vii. monitoring processes and incidents; viii. conducting analyses; and ix. reporting the outcomes of monitoring processes, incidents, traceability tests and analysis to users and other Program participants as relevant; <p>NOTE The performance of b) is expected to be based on the processes established in different parts of this Standard, including:</p> <ul style="list-style-type: none"> - animal identification: section 8; - capturing, collecting and storing traceability data: section 9 and 10; and - verification, monitoring, analysis and reporting activities: section 11. 	<ul style="list-style-type: none"> • Prepare and keep documented information showing responsibilities and task descriptions. • Prepare and keep documented information showing allocation of responsibilities to specific people. • Ensure responsibilities allocated are based on processes established in the sections identified in the requirement. • Prepare and keep documented information from observation/interviews of relevant persons during the audit.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
6.6			X	c) ensure any infrastructure and equipment required for the efficient operation of the traceability system are: <ol style="list-style-type: none"> i. physically present where required; ii. in good repair and effective working order; iii. maintained in accordance with a maintenance schedule with associated documented information; and iv. used in accordance with processes, documented information and instructions 	<ul style="list-style-type: none"> • Regular inspections of equipment and infrastructure required to operate the system to determine the requirements are fulfilled. Equipment may be permanently fixed on site or may be portable. • Planned maintenance schedule and records are available. This may be a calendar of events or diary etc. • Observation/interviews demonstrate staff are aware how infrastructure and equipment is required to be used based on processes, documented information and instructions.
6.6			X	d) ensure any back up infrastructure and equipment that are required in the event of a failure are readily available when needed; and	<ul style="list-style-type: none"> • Regular inspections of equipment and infrastructure required in the event of a failure. Equipment may be permanently fixed on site or may be portable. • Observation/interviews demonstrate staff are can access equipment when needed.
6.6			X	e) maintain processes and documented information to support the fulfilment of a) through to d).	<ul style="list-style-type: none"> • Prepare and keep processes and documented information that align to a) through d). • Conduct regular tests of the procedures to ensure personnel are competent.

Location and party identification

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL TRACEABILITY SYSTEM PROVIDERS	
7.1	X			The traceability system shall have a means of: a) individually, uniquely and accurately identifying the: <ul style="list-style-type: none"> i. traceability location where animals are or will be physically held or will transit; ii. traceability party who, while the animals are at the traceability location has physical custody of those animals; and 	<ul style="list-style-type: none"> • System documentation that demonstrates traceability locations and parties can be individually, uniquely and accurately identified. For example, this may be through allocation of an alpha/numeric system or GPS based. • Visually review the system and observe how traceability locations and parties are identified within the system. Consider who has access to modify this identification and if a history of changes is kept.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
7.1	X			b) connecting the identification relied upon in a) to the: <ol style="list-style-type: none"> i. traceability location's name; ii. traceability party's name; iii. type of: <ol style="list-style-type: none"> 1. traceability location; and 2. traceability party; and iv. traceability location and party's: <ol style="list-style-type: none"> 1. physical address; 2. GPS location; and 3. LGAP Certification Number. 	<ul style="list-style-type: none"> • Visually review the system and observe how the information in b) is connected to the identification used in a) and whether i) through iv) is fulfilled. • Consider who has access to modify this information and if a history is kept of such changes. • Pick a known traceability location or party (for example using either physical address, GPS location or LGAP Certification Number) and review their identification in the system to determine if it is consistent with what is known of that location or party.

Animal identification

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
GENERAL REQUIREMENTS FOR ALL TRACEABILITY SYSTEM PROVIDERS					
8.1	X			<p>The traceability system shall have a method of identifying animals individually or collectively as a group that is consistent with each Operator or Facility user's level of LGAP certification.</p> <p>NOTE 1 Identification methods permissible for Operators or Facilities under LGAP based on certification level are provided in Annex B, LGAP 1001 <i>Livestock assurance – Requirements for animal welfare and management</i>.</p> <p>NOTE 2 The method used can be that established by the Traceability System Provider, Operator or Facility.</p>	<ul style="list-style-type: none"> System documentation that demonstrates animals can be identified with each user's level of LGAP Certification as provided in Annex B, LGAP 1001 <i>Livestock assurance – Requirements for animal welfare and management</i>. Consider the method of identification used against Annex B and with consideration of the level of certification sought or held by Users.
8.2	X			<p>The method of identifying animals or groups of animals shall ensure all animals can be accurately connected to the:</p> <ol style="list-style-type: none"> Operator or Facility's correct LGAP certification level; correct traceability party; correct traceability location; relevant critical movement event; and where relevant, the specified supply chain. <p>NOTE Operators or Facilities may have more than one level of certification under LGAP.</p>	<ul style="list-style-type: none"> Visually review the system and observe how the method used is connected to the items specified in a) through e). Consider who has access to modify this information and if a history is kept changes. Pick a known Certified Operator or Facility who is a User of the system and ensure what is provided in the system is consistent with what is known about that Certified Operator or Facility (for example their certification level, traceability party or location, or supply chain).

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.3	X			<p>The method of identification shall not:</p> <p>a) be toxic to the animal; or</p> <p>b) present a food safety risk.</p>	<ul style="list-style-type: none"> • Check to ensure the method of identification is not toxic to livestock. • Use of food grade ink, edible paint or other non-toxic substances.
8.4	X			<p>Where the Traceability System Provider provides identification for use with the traceability system and the method of identification relies upon individual unique identifiers, then:</p> <p>a) production and distribution of the identifiers shall be controlled;</p>	<ul style="list-style-type: none"> • Develop appropriate control processes and consider security of such documented information. This may include, for example maintaining a register of all identifiers: <ul style="list-style-type: none"> ○ produced (lot numbers, batch numbers, individual numbers etc.); and ○ distributed including details of who they are distributed to (for example connecting individual identifier numbers to a traceability location or party etc.).

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.4	X			b) identifiers shall ensure Operators and Facilities are able to fulfil relevant animal identification and movement requirements in sections 6 and 8, and Annex B in <i>LGAP 1001 Livestock assurance – Requirements for animal welfare and management</i> ;	<ul style="list-style-type: none"> • Documented information that demonstrates sections 6 and 8, and <i>Annex B</i> have been considered in the production and distribution of identifiers for use under the system. • Visually review the system and observe how identifiers are used in a manner consistent with requirements in sections 6 and 8, and <i>Annex B in LGAP 1001</i>. • Observation/interviews demonstrate staff can explain that the identifiers do not conflict with an Operator or Facilities ability to fulfil requirements in sections 6 and 8, and <i>Annex B in LGAP 1001</i>.
8.4	X			c) the identifiers shall be able to be secured to an animal such that: <ul style="list-style-type: none"> i. from the time of application, they remain associated with the correct animal for that animal’s lifetime; and ii. when removed, it shall not be possible to reapply the same identifier securely without visible evidence of tampering; 	<ul style="list-style-type: none"> • Documented information that demonstrates the outcomes of any structural testing or animal trials. • Visually review the identifiers and test if they are able to be easily disassociated with an animal or reapplied once applied without visible evidence of tampering.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.4	X			d) processes shall be established to ensure that, once identifiers are removed from an animal, Operator and Facility users: <ul style="list-style-type: none"> i. do not reuse identifiers; and ii. return used identifiers to the Traceability System Provider or legal owner of the identifier; or iii. destroy used identifiers; and 	<ul style="list-style-type: none"> • Documented processes that address items i. - iii.
8.4	X			e) identifiers that are returned to the Traceability System Provider: <ul style="list-style-type: none"> i. shall not be reused; and ii. can be: <ul style="list-style-type: none"> 1. returned to the legal owner of the identifier; or 2. destroyed; 	<ul style="list-style-type: none"> • Documented process for handling returned identifiers consistent with the requirement.
8.4	X			f) documented information shall be maintained to demonstrate a and e) ii. NOTE The method of destruction shall render the identifier inoperable and unable to be reused.	<ul style="list-style-type: none"> • Documented information to demonstrate this, for example maintaining a register of returned identifiers and what occurred upon their return and that this reflects the processes documented.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.5	X			<p>The Traceability System Provider shall establish processes for:</p> <ul style="list-style-type: none"> a) keeping unused identifiers secure at all times; b) checking animals for identification during: <ul style="list-style-type: none"> i. critical movement events; and ii. their time within a traceability location; and c) if animals are found to be missing identification or require replacement identification: <ul style="list-style-type: none"> i. reapplying identification at the first opportunity; ii. recording the application of the replacement identification, with at least the following collected and stored on the register: <ul style="list-style-type: none"> 1. date of use; 2. number of identifiers used; 3. identifier’s identification number; and 4. a description of the livestock that identifiers are applied to; 	<ul style="list-style-type: none"> • Documented processes that demonstrate fulfilment of a) through f).

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.5	X			<ul style="list-style-type: none"> iii. ensuring the record of application is collected and stored on the register; iv. notifying the traceability parties at the traceability location of the replacement; and v. where identification documentation is used, recording the application of the replacement identification and any other changes on identification documentation; and 	
8.5	X			<ul style="list-style-type: none"> d) if animals are found to be missing identification or require replacement identification: <ul style="list-style-type: none"> i. reapplying identification at the first opportunity; ii. recording the application of the replacement identification, with at least the following collected and stored on the register: <ol style="list-style-type: none"> 1. date of use; 2. number of identifiers used; 3. identifier's identification number; and 4. a description of the livestock that identifiers are applied to; 	

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.5	X			<ul style="list-style-type: none"> iii. ensuring the record of application is collected and stored on the register; iv. notifying the traceability parties at the traceability location of the replacement; and v. where identification documentation is used, recording the application of the replacement identification and any other changes on identification documentation; and 	
8.5	X			<ul style="list-style-type: none"> e) returning used identifiers to the Traceability System Provider or legal owner of the identifier; or f) destroying used identifiers. <p>NOTE 1 Missing identification can include physically absent, damaged or ineffective.</p> <p>NOTE 2 The method of destruction shall render the identifier inoperable and unable to be reused.</p>	

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				ADDITIONAL REQUIREMENTS FOR TRACEABILITY SYSTEM PROVIDERS THAT ALSO PROVIDE TRACEABILITY SERVICES	
8.6			X	Animals shall be checked for identification based on the processes established at 8.5 during: a) critical movement events; and b) their time within a traceability location.	<ul style="list-style-type: none"> • Physically check and observe animal identification during such movements consistent with the process established. • Develop a standard operating procedure or work instruction for personnel consistent with the process established. • Personnel can explain the process established.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.7			X	<p>If animals are found to be missing identification or require replacement identification, the Traceability System Provider shall, based on the processes established at 8.5:</p> <ul style="list-style-type: none"> a) reapply identification at the first opportunity; b) record the application of the replacement identification; c) ensure the record of application is collected and stored on the register; d) notify the traceability location and traceability parties of the replacement; and e) where identification documentation is used, record the application of the replacement identification and any other changes on the identification documentation. <p>NOTE Missing identification can include physically absent, damaged or ineffective.</p>	<ul style="list-style-type: none"> • Develop a standard operating procedure or work instruction for personnel based on the processes established. • Develop and maintain records. • Review records in the register. • Maintain correspondence or file notes recording notifications to the traceability location and traceability parties. • Develop and maintained appropriate identification documentation.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.8			X	<p>Where identifiers are used:</p> <p>a) unused identifiers shall be kept in a secure location at all times;</p> <p>b) their use shall be recorded, with at least the following collected and stored on the register:</p> <ul style="list-style-type: none"> i. date of use; ii. number of identifiers used; iii. identifier's identification number; and iv. a description of the livestock that identifiers are applied to, including if they were used as a replacement for existing identifiers; <p>c) they shall only be removed from live animals:</p> <ul style="list-style-type: none"> i. in response to a health and welfare issue; ii. because the identifier is at risk of becoming detached; or iii. where the identifier is non-functioning; and 	<ul style="list-style-type: none"> • Keep identifiers in secure storage. • Consider storage location and control assess such as restricting the number of people that must have access and method of access (e.g. use of lock and key or combination code). • Develop and maintain records. • Review the records in the register and ensure personnel with access complete this whenever such identifiers are used. • Develop a standard operating procedure or work instruction for personnel.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
8.8			X	<p>d) found or removed used identifiers shall:</p> <ul style="list-style-type: none"> i. be recorded, with at least the following collected and stored on the register: <ul style="list-style-type: none"> 1. the identifier's identification number; 2. date found or removal; and 3. reason for removal; ii. not be reused; and iii. be returned to the Traceability System Provider or legal owner of the identifier; or iv. be destroyed. <p>NOTE The method of destruction shall render the identifier inoperable and unable to be reused.</p>	<ul style="list-style-type: none"> • Maintaining a register of found or removed identifiers that includes information in i. as well as action taken in relation to ii. through i.v. • Review records in the register and ensure personnel with access complete this whenever such identifiers are found or removed. • Develop a standard operating procedure or work instruction for personnel. • Personnel can explain the process established.

Management of animal movement

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL TRACEABILITY SYSTEM PROVIDERS	
9.1	X			<p>The traceability system shall have a method for accurately capturing the movement of animals or groups of animals between traceability locations and parties so that from any traceability location, the following can be traced:</p> <p>a) the traceability location where the animals:</p> <ol style="list-style-type: none"> i. came from; and ii. were sent to; and <p>b) the traceability party at i) and ii) who had physical custody; and</p> <p>c) where necessary, the specified supply chain.</p>	<ul style="list-style-type: none"> • System documentation that demonstrates animal movement between traceability locations and parties is captured and that requirements a) through c) can be fulfilled. • Visually review the system being used and observe how items a) and c) are captured. • Review and discuss any system reports that assist to demonstrate fulfilment of this requirement. • Observation/interviews demonstrate staff can explain the method and that it aligns to system documentation and observation of the system being used.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
9.2	X			<p>The traceability system shall, at a minimum, enable the capture of accurate traceability data in relation to:</p> <p>a) the following types of events:</p> <ol style="list-style-type: none"> i. the master level event; ii. transaction events between traceability parties that includes at least a change of physical custody; iii. critical movement events in relation to animals or groups of animals: <ol style="list-style-type: none"> 1. entering a traceability location; and 2. exiting a traceability location; and <p>b) key data elements relevant to the event consisting of:</p> <ol style="list-style-type: none"> i. information identified in Annex C; and ii. details relating to the type of event that occurred using a method: <ol style="list-style-type: none"> 1. applied consistently; and 2. able to be understood by users and auditors. 	<ul style="list-style-type: none"> • System documentation that demonstrates a) and b) can be fulfilled. • Visually review the system being used and observe how items a) and b) are captured. • Review and discuss any system reports that assist to demonstrate fulfilment of this requirement. • Observation/interviews demonstrate staff can explain the method and that it aligns to system documentation and observation of the system being used.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity																												
9.2	X			<p>EXAMPLES of methods that can be used to provide detail for the type of event can include using a status as provided in Table 1:</p> <p>Table 1: Examples of methods that can be used to provide detail relating to the type of event</p> <table border="1" data-bbox="658 520 1375 1107"> <thead> <tr> <th>EXAMPLE Status</th> <th>Detail relating to the type of event</th> </tr> </thead> <tbody> <tr> <td colspan="2">Type of event: Master level event</td> </tr> <tr> <td>AV</td> <td>Arrival</td> </tr> <tr> <td colspan="2">Type of event: Transaction event</td> </tr> <tr> <td>ID</td> <td>Change of identifier or method of identification</td> </tr> <tr> <td>PC</td> <td>Change of traceability party with physical custody</td> </tr> <tr> <td colspan="2">Type of event: Critical movement event</td> </tr> <tr> <td>DE</td> <td>Death – Emergency destruction</td> </tr> <tr> <td>DN</td> <td>Death – Natural causes</td> </tr> <tr> <td>DS</td> <td>Death – Slaughter</td> </tr> <tr> <td>ET</td> <td>Entering the traceability location</td> </tr> <tr> <td>EX</td> <td>Exiting the traceability location – Transfer</td> </tr> <tr> <td>EB</td> <td>Exiting the traceability location – Breeding</td> </tr> <tr> <td>TL</td> <td>Theft or loss</td> </tr> </tbody> </table> <p>NOTE Table 1 is provided as an example only and does not define the different types of events nor imply the status must be used.</p>	EXAMPLE Status	Detail relating to the type of event	Type of event: Master level event		AV	Arrival	Type of event: Transaction event		ID	Change of identifier or method of identification	PC	Change of traceability party with physical custody	Type of event: Critical movement event		DE	Death – Emergency destruction	DN	Death – Natural causes	DS	Death – Slaughter	ET	Entering the traceability location	EX	Exiting the traceability location – Transfer	EB	Exiting the traceability location – Breeding	TL	Theft or loss	<ul style="list-style-type: none"> Table is example only; system documentation will provide the method used unique to each system.
EXAMPLE Status	Detail relating to the type of event																																
Type of event: Master level event																																	
AV	Arrival																																
Type of event: Transaction event																																	
ID	Change of identifier or method of identification																																
PC	Change of traceability party with physical custody																																
Type of event: Critical movement event																																	
DE	Death – Emergency destruction																																
DN	Death – Natural causes																																
DS	Death – Slaughter																																
ET	Entering the traceability location																																
EX	Exiting the traceability location – Transfer																																
EB	Exiting the traceability location – Breeding																																
TL	Theft or loss																																

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
9.3	X			Traceability data shall be able to be captured: <ul style="list-style-type: none"> a) as the event occurs; or b) immediately after. 	<ul style="list-style-type: none"> • System documentation demonstrates how and when traceability data is captured. • Visually review the system being used and observe how and when traceability data is captured. • EXAMPLE: EID's may be scanned and transferred immediately into the system as the livestock enter a traceability location. • EXAMPLE: EID's are scanned as livestock arrive onsite and data is stored locally in a wand for upload at the end of the activity. • EXAMPLE: Animal group ID and count are checked manually by personnel on arrival at the traceability location against incoming paperwork. • Review and discuss any system reports that assist to demonstrate fulfilment of this requirement. • Observation/interviews demonstrate staff can explain the method and that it aligns to system documentation and observation of the system being used.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
9.4	X			<p>Where the traceability system is to be used at sites where livestock from the same species:</p> <p>a) come from specified supply chains that are certified under LGAP and non-LGAP certified sources; or</p> <p>b) are from specified supply chains that are certified under LGAP for which different levels of certification are being sought or applies;</p> <p>the Traceability System Provider shall establish processes to identify, segregate and manage the different groups of livestock in a way that will allow the relevant LGAP requirements to be applied to the correct group of livestock.</p> <p>EXAMPLE An abattoir may be processing local cattle in accordance with Level 1 certification requirements and cattle from a specified source of supply (e.g. Australia) in accordance with Level 2 certification requirements. In these situations, the abattoir demonstrates it identifies, segregates and manages the two groups of livestock to ensure they are not mixed, and that the correct certification requirements are fulfilled for each group.</p>	<ul style="list-style-type: none"> • Documented processes that demonstrate fulfilment of requirement. • Observation/interviews demonstrate staff can explain the process. • Process should detail how livestock from different specified supply chains or those from non-LGAP sources are identified and segregated from those from LGAP sources. • Segregation could be through time, space i.e. in a different pen or sent on a different truck or a clear identification such as a visual tag or marking is applied.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				ADDITIONAL REQUIREMENTS FOR TRACEABILITY SYSTEM PROVIDERS THAT ALSO PROVIDE TRACEABILITY SERVICES	
9.5			X	<p>The Traceability System Provider shall:</p> <ul style="list-style-type: none"> a) capture, and collect and store on the register accurate traceability data based on the processes established at 9.2 and 9.3; and b) identify, segregate and manage the different groups of livestock based on the processes established at 9.4. 	<ul style="list-style-type: none"> • Visually review the system being used. • Review and discuss any system reports that assist to demonstrate fulfilment of this requirement. • Pick a known Certified Operator or Facility who is a User of the system and ensure what is provided in the system is consistent with what is known about that Certified Operator or Facility (for example their certification level, traceability party or location, supply chain, segregation processes etc.). • Conduct traceability tests as per Annex D and keep documented information to support the outcomes of the tests.

Registers

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
GENERAL REQUIREMENTS FOR ALL TRACEABILITY SYSTEM PROVIDERS					
10.1	X			<p>The traceability system shall have a register that enables accurate traceability data captured from events to be collected and stored such that it can show:</p> <p>a) the current traceability location of the animal or group of animals;</p> <p>b) the traceability location where the animal or group of animals:</p> <ol style="list-style-type: none"> i. came from; and ii. were sent to; and <p>c) the traceability party at i) and ii) who had physical custody</p>	<ul style="list-style-type: none"> • System documentation that demonstrates how this requirement can be fulfilled. • Visually review the register in the system and observe how the current location, location animals came from, were sent to, traceability parties and who had physical custody is able to be captured. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled.
10.2	X			<p>The traceability system shall ensure traceability data is able to be collected and stored on the register:</p> <p>a) within:</p> <ol style="list-style-type: none"> i. a timeframe that ensures the primary purpose 4.1 and 4.3 can be achieved; or ii. the timeframe specified by traceability parties, where less than that specified in i); 	<ul style="list-style-type: none"> • Review any contracts or requirements from traceability party's and consider how the system ensures such party's timeframes can be met. • Visually review the system being used and observe how this requirement is fulfilled. • Conduct traceability tests as per Annex D and keep documented information to support the outcomes of the tests.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
10.2	X			b) using effective methods to facilitate data transmission in a secure manner; and c) in a format: <ul style="list-style-type: none"> i. compatible with the receiving traceability party's traceability system; and ii. that is secure. NOTE This requirement does not exclude traceability data being amended or corrected by authorised parties where legitimately required.	<ul style="list-style-type: none"> • Consider data transmission method and who can intercept the transmission and alter information and how easily this could occur as well as contingency arrangements for this occurring. • Review any contracts or requirements from traceability party's and consider how the system ensures compatibility with such requirements. • Consider who has access to modify this information and if a history is kept of such changes and any approval workflows. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled.
10.3	X			The traceability system shall enable traceability data to be stored on the register when received from traceability parties	<ul style="list-style-type: none"> • System documentation that demonstrates how this requirement can be fulfilled. • Visually review the system being used and observe how this requirement is fulfilled. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
10.4	X			<p>The traceability system shall ensure traceability data required by traceability parties to meet their obligations under LGAP and any compliance requirements is able to be provided to traceability parties:</p> <p>a) within:</p> <ul style="list-style-type: none"> i. a timeframe that ensures the primary purpose at 4.1 and 4.3 can be achieved; or ii. the timeframe specified by traceability parties, where less than that specified in i); <p>b) using effective methods to facilitate data transmission in a secure manner; and</p> <p>c) in a format:</p> <ul style="list-style-type: none"> i. compatible with the receiving traceability party's traceability system; and ii. that is secure. <p>NOTE This requirement does not exclude traceability data being amended or corrected by authorised parties where legitimately required.</p>	<ul style="list-style-type: none"> • System documentation that demonstrates how this requirement can be fulfilled. • Review any contracts or requirements from traceability party's and consider how the system ensures compatibility with such requirements. • Visually review the system being used and observe how this requirement is fulfilled. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled. • Conduct traceability tests as per Annex D and keep documented information to support the outcomes of the tests, in particular time taken to achieve the outcome. • Consider data transmission method and who can intercept the transmission and alter information and how easily this could occur as well as contingency arrangements for this occurring. • Consider who has access to modify this information and if a history is kept of such changes and any approval workflows.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
ADDITIONAL REQUIREMENTS FOR TRACEABILITY SYSTEM PROVIDERS THAT ALSO PROVIDE TRACEABILITY SERVICES					
10.5			X	Traceability data shall be collected and stored on the register: a) within a timeframe that ensures the primary purpose can be achieved; and b) using the methods and formats established at 10.2.	<ul style="list-style-type: none"> • Visually review the system being used and observe how this requirement is fulfilled. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled. • Conduct traceability tests as per Annex D and keep documented information to support the outcomes of the tests, in particular time taken to achieve the outcome. • Consider if what is observed or documented aligns to requirements at 10.2.
10.6			X	As soon as it is received, traceability data from traceability parties shall be: a) checked to ensure it is valid, reliable and accurate; and b) stored on the register. NOTE Processes to check the validity, reliability and accuracy of the traceability data are addressed in section 11.	<ul style="list-style-type: none"> • Consider documented process and compare to observation of the system being operated. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled. • Consider if what is observed or documented aligns to requirements in section 11.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
10.7			X	Traceability data required by traceability parties to meet their obligations under LGAP and any compliance requirements shall be provided to traceability parties: a) within a timeframe that ensures the primary purpose can be achieved; and b) using the methods and formats established at 10.4.	<ul style="list-style-type: none"> • System and user documentation that demonstrates how this requirement can be fulfilled. • Review any contracts or requirements from traceability party's and consider how the system ensures compatibility with such requirements. • Visually review the system being used and observe how this requirement is fulfilled. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled. • Consider if what is observed or documented aligns to requirements at 10.4.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
10.8			X	<p>Where anomalies in the reliability and accuracy of the traceability data are identified:</p> <p>a) the relevant traceability parties shall be immediately notified; and</p> <p>b) action shall be taken to:</p> <ol style="list-style-type: none"> i. identify the cause of the anomaly; ii. where legitimately required, correct the traceability data so it is reliable and accurate; iii. remedy the cause of the anomaly such that it does not occur again; and iv. keep relevant traceability parties updated on action. <p>NOTE This requirement only relates to traceability data being amended or corrected by authorised parties where legitimately required.</p>	<ul style="list-style-type: none"> • System and user documentation that demonstrates how this requirement can be fulfilled. • Maintain correspondence or file notes recording notifications to the traceability location and traceability parties. • Review documented information relating to the identified of anomalies and how these were investigated, what action was taken to resolve. Consider if the anomalies occur repeatedly as this may indicate the root cause of the anomaly has not been corrected. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled. • Consider who has access to modify this information and if a history is kept of such changes and any approval workflows.

Verification, monitoring and reporting

The clause is applicable to a Certified Entity if there is a 'X' in the corresponding column.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				GENERAL REQUIREMENTS FOR ALL TRACEABILITY SYSTEM PROVIDERS	
11.1	X			<p>The Traceability System Provider shall establish processes to verify the validity, reliability and accuracy of the traceability data on the register by checking it is:</p> <ul style="list-style-type: none"> a) complete and includes all key data elements; b) an accurate representation of: <ul style="list-style-type: none"> i. the animal or group of animals: <ul style="list-style-type: none"> 1. the traceability data is supposed to represent; and 2. their current and historical traceability locations; ii. the traceability party who, at the current and historical traceability locations, had physical custody; c) precise and clear; 	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • EXAMPLE: process or instructions exist for how the system verifies the data or the checks a user must perform to verify the data. • EXAMPLE: the system checks for all key data elements, the user checks the data is an accurate representation. • Supporting evidence – may include photo, video, documented information is relevant to the data. • Review the system for access for internal auditors, Approved Auditors, traceability parties and the Program Owner.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.1	X			<p>d) supported by evidence:</p> <ul style="list-style-type: none"> i. demonstrating the validity, reliability and accuracy of the traceability data; and <p>e) as may be prescribed by the Program Owner; and able to be accessed and audited by:</p> <ul style="list-style-type: none"> i. internal auditors; ii. Approved Auditors; iii. traceability parties; and iv. the Program Owner or its agents. 	
11.2	X			<p>The Traceability System Provider shall establish processes to ensure supporting evidence:</p> <p>a) consists of:</p> <ul style="list-style-type: none"> i. documented information; and 	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • EXAMPLE: Processes which detail: <ul style="list-style-type: none"> ○ what supporting evidence is used; ○ Who and how it is collected; ○ What the evidence must contain; ○ Where it is stored; ○ Group ID information required;

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.2	X			ii. where group identification is used, identification documentation specifying at least the: <ol style="list-style-type: none"> 1. number of animals in the group; 2. species; 3. date of introduction into the current traceability location; 4. current traceability location; 5. destination traceability location; 6. traceability party who has physical custody at the current traceability location; 7. type of physical group identifier, where used; and b) can include visual information comprising: <ol style="list-style-type: none"> i. static visual imagery; and ii. video surveillance. 	
11.3	X			The Traceability System Provider shall establish processes to ensure visual information used as supporting evidence retains any original metadata created when the visual information was captured for verification purposes if necessary.	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • EXAMPLE: if an image is captured to verify slaughter, and the camera captures the time, date and location of the image capture as metadata the process should detail how this is preserved if the image is stored or transferred.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.4	X			<p>Where supporting evidence relies on static visual imagery, the Traceability System Provider shall establish processes to ensure such imagery is:</p> <p>a) captured:</p> <ul style="list-style-type: none"> i. as the event occurs; or ii. immediately afterwards; and iii. using equipment that produces images able to be clearly viewed at a minimum display resolution of 1024 pixels wide by 768 pixels high. <p>b) framed, focused and with sufficient lighting to ensure the:</p> <ul style="list-style-type: none"> i. facial and physical characteristics of each animal can be clearly seen; and ii. legibility of any numbering or coding relied upon for identifiers; <p>EXAMPLES of images which may not be captured or framed appropriately or are not clear include those that are blurry, obscured, incomplete or captured in an area with insufficient lighting or using unsuitable equipment or with an unsuitable pixel dimension.</p>	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • EXAMPLE: a process which details: <ul style="list-style-type: none"> ○ how, when, where, why and by who photos are taken to achieve the display resolution, framing, timing requirements. ○ how the images are marked with the required information and connected to the location. ○ How the images are transmitted to maintain markings, connection and quality.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.4	X			<p>c) marked with the:</p> <ul style="list-style-type: none"> i. GPS location where the static visual image was captured; and ii. date and time the event took place using a format consistent with ISO 8601; <p>d) connected with the:</p> <ul style="list-style-type: none"> i. identification of the traceability location where the static visual image was captured, including: <ol style="list-style-type: none"> 1. traceability location name; 2. physical address; 3. GPS location; 4. LGAP Certification Number; and <p>NOTE The LGAP Certification Number is the number recorded on the AniMark IT Conformance System for the Operator or Facility registered to that traceability location.</p> 5. type of traceability location; and 	

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.4	X			<p>ii. GPS location:</p> <ol style="list-style-type: none"> 1. marked on the static visual image; and 2. related to the LGAP Certification Number of the traceability location where the static visual image was captured; and <p>e) transmitted in a manner which preserves aspects from a) to c).</p> <p>NOTE 1 Imagery may be one image or a series of images.</p>	
11.5	X			<p>Where supporting evidence relies on video surveillance as evidence then the Traceability System Provider shall establish processes to ensure the video surveillance footage is:</p> <ol style="list-style-type: none"> a) captured as the event occurs; b) framed and focused with sufficient lighting to clearly see: <ol style="list-style-type: none"> i. each animal; and ii. the area and activity around the animal; <p>EXAMPLES of images which may not be captured or framed appropriately or are not clear include those that are blurry, obscured, incomplete or captured in an area with insufficient lighting or using unsuitable equipment.</p>	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • EXAMPLE: a process which details: <ul style="list-style-type: none"> ○ how, when, where, why and by who video is taken to achieve framing requirements, timing requirements. ○ how the video is reviewed, by who and when. ○ how video is marked with the required information and connected to the location. ○ How the video is secured and transmitted to maintain markings, connection and quality.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.5	X			<p>c) marked with the:</p> <ul style="list-style-type: none"> i. GPS location where the video surveillance footage was captured; and ii. date and time the event took place using the format specified in ISO 8601; <p>NOTE The marking may be on the video surveillance footage itself or in the meta data.</p> <p>d) connected with the:</p> <ul style="list-style-type: none"> i. identification of the traceability location where the video surveillance footage was captured, including: <ol style="list-style-type: none"> 1. traceability location name; 2. physical address; 3. GPS location; 4. LGAP Certification Number; and <p>NOTE The LGAP Certification Number is the number recorded on the AniMark IT Conformance System for the Operator or Facility registered to that traceability location.</p> 5. type of traceability location; and 	

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.5	X			ii. GPS location: <ol style="list-style-type: none"> 1. marked on the video surveillance footage; and 2. related to the LGAP Certification Number of the traceability location where the video surveillance footage was captured; e) secure; and f) reviewed without delay after each event to ascertain that key data elements for critical movement events can be connected to the video surveillance footage.	
11.6	X			Where GPS is unavailable to be used to fulfil 11.4 and 11.5 c) i. and d) ii.: <ol style="list-style-type: none"> a) a suitable alternative to GPS shall be used; and b) the alternative shall encompass a reference point unique to that traceability location. NOTE A suitable alternative to GPS can include maintaining static visual imagery of the traceability location as a reference point that can be used to compare with the image captured.	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • EXAMPLE: the process could detail: <ul style="list-style-type: none"> ○ The location of the camera, reference point description, a reference photo that includes a clear marking or point that is then used to compare against all images captured.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.7	X			<p>The Traceability System Provider shall establish processes for:</p> <p>a) performing reconciliations between:</p> <ul style="list-style-type: none"> i. the traceability location of an animal or group of animals; ii. traceability data for that animal or group of animals; and iii. supporting evidence; and <p>b) maintaining documented information to support the occurrence and outcomes of reconciliations.</p>	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • EXAMPLE: a process that details how and when reconciliations will be performed and what evidence is to be checked and what action to take if the reconciliation does not equal 100%. What records will be kept to show the reconciliation was performed and any actions taken.
11.8	X			<p>The Traceability System Provider shall establish processes to monitor the occurrence of the following incidents and maintain monitoring data:</p> <p>a) the animal or group of animals traceability location is not:</p> <ul style="list-style-type: none"> i. known; or ii. included in the scope of certification for an Operator or Facility; <p>b) the animal or group of animals has been assigned to the incorrect:</p> <ul style="list-style-type: none"> i. traceability party for physical custody; or ii. specified supply chain, where relevant; 	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • Process should be established for how traceability data is monitored for the types of incidents and anomalies listed.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.8	X			<p>c) traceability data has been provided to or received by traceability parties inconsistent with the requirements of 10.4;</p> <p>d) evidence exists which questions the validity, reliability or accuracy of the:</p> <ul style="list-style-type: none"> i. traceability data; or ii. supporting evidence; <p>e) when:</p> <ul style="list-style-type: none"> i. animals enter a traceability location that is not certified under LGAP to the appropriate level; ii. the number of livestock sent to a traceability location exceeds that traceability location’s capacity; iii. there is no connection between the GPS location and the: <ul style="list-style-type: none"> 1. identification of the traceability location; 2. critical movement event; 3. LGAP Certification Number; and 4. supporting evidence; iv. reconciliations of livestock numbers do not equal 100%; and 	

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.8	X			v. anomalies in the traceability data or supporting evidence are identified and occur more than once in relation to the same: <ol style="list-style-type: none"> 1. animal or group of animals; 2. traceability location; 3. traceability party; or 4. type of anomaly. 	
11.9	X			The Traceability System Provider shall establish processes to: <ol style="list-style-type: none"> a) monitor the: <ol style="list-style-type: none"> i. number of: <ol style="list-style-type: none"> 1. identifiers that are lost or replaced; 2. livestock that become breeding livestock; 3. livestock losses or mortalities (other than due to slaughter); and ii. time taken between livestock exiting the consigning traceability location and entering the destination traceability location; and b) maintain monitoring data that demonstrates the occurrence and outcomes of a). 	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • Process should be established for how traceability data is monitored for the items listed and maintain data.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.10	X			<p>The Traceability System Provider shall:</p> <p>a) establish processes for:</p> <ol style="list-style-type: none"> i. conducting traceability tests in accordance with Annex D; and ii. maintaining documented information which demonstrate the outcomes of the traceability tests; <p>b) perform traceability tests at prescribed timeframes; and</p> <p>c) maintain documented information which show the outcomes of the traceability tests.</p> <p>NOTE Timeframes are prescribed in the LGAP Certification Rules.</p>	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. EXAMPLE: a process that details how and when traceability exercises will be performed and what evidence is to be checked and what action to take if the traceability is not possible. What records will be kept showing the exercise was performed and any actions taken. • Calendar entry or similar showing due dates for when tests are required that match the LGAP Certification Rules.
11.11	X			<p>The Traceability System Provider shall immediately:</p> <p>a) raise a complaint with the Program Owner should evidence exist to indicate a nonfulfillment by an Operator or Facility user of any of the LGAP Certification Requirements; and</p> <p>b) provide all traceability data, supporting evidence and any analysis undertaken to the Program Owner in support of a).</p>	<ul style="list-style-type: none"> • Maintain a register of complaints. • Records of any complaints and data provided to the Program Owner.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.12	X			<p>The Traceability System Provider shall establish processes to ensure traceability data, supporting evidence and monitoring data are:</p> <ol style="list-style-type: none"> a) retained for the minimum period required by compliance requirements or for no less than two years from the date of creation, whichever is the greater; b) secure; c) readily accessible to authorised parties; and d) managed in a manner which fulfils <i>LGAP 1002 - Livestock assurance - Requirements for the management system of Operators, Facilities and Traceability System Providers</i>. 	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • Check of system and data for retention period. • System and data security protocols exists. • System access is possible to authorised parties. • Document control is in place (LGAP1002).
11.13	X			<p>The Traceability System Provider shall establish processes to ensure the traceability system fulfils all compliance requirements relevant to traceability data and supporting evidence applicable to the jurisdiction where the:</p> <ol style="list-style-type: none"> a) traceability system is: <ol style="list-style-type: none"> i. legally owned; ii. operated; and iii. used; and 	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled. • Check legal requirements for compliance requirements in country of operation, use and ownership.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.13	X			b) traceability data and supporting evidence is: <ol style="list-style-type: none"> i. captured in; ii. collected from; iii. stored in; iv. transmitted through; and v. used. 	
				ADDITIONAL REQUIREMENTS FOR TRACEABILITY SYSTEM PROVIDERS THAT ALSO PROVIDE TRACEABILITY SERVICES	
11.14			X	The Traceability System Provider shall: <ol style="list-style-type: none"> a) verify the validity, reliability and accuracy of the traceability data on the register using the process established at 11.1; b) ensure supporting evidence is maintained based on the process established at 11.2 and, where relevant, 11.3, 11.4 and 11.5; c) perform reconciliations following the processes established at 11.7 and maintain documented information to demonstrate the outcome of the reconciliations; d) monitor the occurrence of incidents following the process established at 11.8 and maintain monitoring data; 	<ul style="list-style-type: none"> • Maintain and review documented information, supporting evidence, monitoring data etc. that demonstrates the occurrence and outcomes of items a) through g) and that the processes followed for each item is consistent with the processes established in section 11.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.14			X	e) monitor and maintain monitoring data following the processes established at 11.9; f) conduct traceability tests in accordance with the processes established at 11.10 and maintain documented information to demonstrate the outcome of the traceability tests; and g) retain, secure and manage traceability data, supporting evidence, documented information and monitoring data based on the process established at 11.12.	
11.15			X	Where monitoring identifies the occurrence of the incidents in 11.7 then the Traceability System Provider shall: h) take action immediately to: <ol style="list-style-type: none"> i. remedy the situation; ii. deal with the consequences; and iii. inform relevant traceability parties about the occurrence of the incident; i) review the incident to determine: <ol style="list-style-type: none"> i. the cause of the incident; and ii. if other incidents could potentially occur; j) if necessary, change the traceability system or process to ensure the cause of the incident cannot reoccur; and	<ul style="list-style-type: none"> • Keep an “incidents register” that demonstrates the identification of incidents and actions taken when they occur. • Maintain documented information that demonstrates incidents are identified and actions taken along with review process. • Maintain correspondence or file notes recording notifications to the traceability parties. • Review documented information relating to monitoring incidents and what action was taken to resolve, the review process and any changes that were made. Consider if the incidents occur repeatedly as this may indicate the root cause of the incident has not been corrected. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.15			X	<p>k) at the completion of the review, inform relevant traceability parties about the:</p> <ul style="list-style-type: none"> i. cause of the incident; ii. action taken to remedy the incident; iii. outcomes of the review of the incident; iv. timeframe in which the traceability system shall be changed or has been changed, where changes are determined to be necessary; and v. confirmed changes to the traceability system when such have been implemented; <p>NOTE Timeframes are prescribed in the LGAP Certification Rules.</p>	
11.16			X	<p>At prescribed timeframes, the Traceability System Provider shall undertake analysis of the:</p> <ul style="list-style-type: none"> a) traceability data; b) supporting evidence; c) documented information; and d) monitoring data. <p>NOTE Timeframes are prescribed in the LGAP Certification Rules.</p>	<ul style="list-style-type: none"> • Maintain documented information that demonstrates analysis is undertaken consistent with processes and prescribed timeframes. • Review documented information relating to monitoring incidents and what action was analysis. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.17			X	<p>The Traceability System Provider shall review the outcome of the analysis conducted at 11.16 to determine if there are any irregularities or anomalies:</p> <p>a) in relation to:</p> <ul style="list-style-type: none"> i. the number of: <ul style="list-style-type: none"> 1. identifiers which are lost or replaced; 2. livestock that become breeding livestock; or 3. livestock losses or mortalities (other than due to slaughter); or ii. time taken between livestock exiting the consigning traceability location and entering the destination traceability location is greater than the expected or normal journey time; or iii. livestock being sent to a traceability location when it exceeds that traceability locations capacity. <p>b) the traceability data or supporting evidence that occur more than once in relation to the same:</p> <ul style="list-style-type: none"> i. animal or group of animals; ii. traceability location; iii. traceability party; or iv. type of anomaly. 	<ul style="list-style-type: none"> • Maintain documented information relating to reviewing the outcome of analysis. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
11.18			X	<p>Where any irregularities or anomalies in 11.17 are identified, the Traceability System Provider shall immediately:</p> <p>a) review the irregularities or anomalies to determine:</p> <ol style="list-style-type: none"> i. the cause of the irregularity or anomaly; and ii. if the irregularity or anomaly could potentially reoccur; <p>b) if necessary, change the traceability system or relevant processes to ensure the cause of the irregularity or anomaly cannot reoccur;</p> <p>c) report the irregularities or anomalies to traceability parties and the Program Owner; and</p> <p>upon request provide all traceability data, supporting evidence, monitoring data and the analysis undertaken to traceability parties and the Program Owner.</p>	<ul style="list-style-type: none"> • Maintain documented information that demonstrates irregularities and anomalies are identified and actions taken along with review process. • Maintain correspondence or file notes recording notifications to the traceability parties and the Program Owner. • Review documented information relating to irregularities and anomalies and what action was taken to resolve, the review process and any changes that were made. Consider if the irregularities and anomalies occur repeatedly as this may indicate the root cause of the irregularities and anomalies has not been corrected. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled.
				<p>FURTHER ADDITIONAL REQUIREMENTS FOR TRACEABILITY SYSTEM PROVIDERS WITH SUPPLY CHAIN SYSTEMS</p>	
11.19		X		<p>The Traceability System Provider shall establish a process for reconciling all movements of animals or groups of animals between traceability locations and parties throughout the supply chain.</p>	<ul style="list-style-type: none"> • System and user documentation, including processes, that demonstrates how this requirement is fulfilled.

Clause	Traceability System Providers	+ Supply Chain Traceability Systems	+ Traceability Services	Requirement	EXAMPLES OF DEMONSTRATING CONFORMITY Such evidence may be reviewed during an evaluation activity
				FURTHER ADDITIONAL REQUIREMENTS FOR TRACEABILITY SYSTEM PROVIDERS WITH SUPPLY CHAIN SYSTEMS THAT ALSO PROVIDE TRACEABILITY SERVICES	
11.20		X	X	a) The Traceability System Provider shall perform reconciliations: <ol style="list-style-type: none"> i. following the processes established in 11.19; and ii. at prescribed timeframes. NOTE Timeframes are prescribed in the LGAP Certification Rules.	<ul style="list-style-type: none"> • Maintain documented information that demonstrates reconciliations are performed consistent with the processes established in section 11 and the prescribed timeframes. • Observation/interviews demonstrate staff can explain how the requirement is fulfilled.

3 TRACEABILITY SERVICES

- Where a Traceability System Provider also provides traceability services the analysis, monitoring and verification activities must be performed has been summarised below.
- These activities must be carried out at the internal audit frequency set through the risk rating (low/medium/high).

FREQUENCY OF ANALYSIS, MONITORING AND VERIFICATION

	Risk Rating		
	Low risk	Medium risk	High risk
Internal audit	4 monthly	3 monthly	Monthly

SUMMARY OF TRACEABILITY SERVICES ANALYSIS, MONITORING AND VERIFICATION

Activity	Explanation
(11.7) Perform reconciliation of livestock	Reconciliation of livestock should equal 100%
<p>(11.8) Monitor for the occurrence of:</p> <p>a) the animal or group of animals traceability location is not: i. known; or ii. included in the scope of certification for an Operator or Facility</p> <p>b) the animal or group of animals has been assigned to the incorrect: i. traceability party for physical custody; or ii. specified supply chain, where relevant</p> <p>c) traceability data has been provided to or received by traceability parties inconsistent with the requirements of 10.4</p> <p>d) evidence exists which questions the validity, reliability or accuracy of the:</p> <p>11. traceability data; or ii. supporting evidence</p> <p>e) when: i. animals enter a traceability location that is not certified under LGAP to the appropriate level ii. the number of livestock sent to a traceability location exceeds that traceability location's capacity iii. there is no connection between the GPS location and the: 1. identification of the traceability location 2. critical movement event 3. LGAP Certification Number; and 4. supporting evidence iv. reconciliations of livestock numbers do not equal 100% v. anomalies in the traceability data or supporting evidence are identified and occur more than once in relation to the same:</p>	<p>Traceability data and supporting evidence needs to be checked to ensure it is correct and then also to ensure the correct animals have been sent to the correct location.</p> <p>The occurrence of these issues does not mean a nonconformity however errors in traceability data need to be checked and fixed or explained.</p>

Activity	Explanation
1. animal or group of animals 2. traceability location 3. traceability party; or 4. type of anomaly	
(11.9) Monitor the: <ul style="list-style-type: none"> i. number of: <ul style="list-style-type: none"> 1. identifiers that are lost or replaced 2. livestock that become breeding livestock 3. livestock losses or mortalities (other than due to slaughter) ii. time taken between livestock exiting the consigning traceability location and entering the destination traceability location 	<p>The occurrence of these does not mean a nonconformity. This monitoring data needs to be analysed to detect any anomalies or irregularities.</p> <p>Anomalies and irregularities need to be investigated and either explained or corrected.</p>
(11.10) Conduct traceability tests in accordance with Annex D	<p>Traceability should be possible and achieve the primary purpose of the system.</p>
(11.20) Where the traceability system is a supply chain system then reconciling all movements of animals or groups of animals between traceability locations and parties throughout the supply chain must also occur.	<p>ONLY TRACEABILITY SYSTEM PROVIDERS WITH SUPPLY CHAIN SYSTEMS THAT ALSO PROVIDE TRACEABILITY SERVICES</p> <p>100% of animals through the supply chain should be accounted for</p>