

Livestock Global Assurance Program

LGAP Certification Rules

Version 3.0

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Introduction

The Livestock Global Assurance Program (LGAP) is a conformity assessment and certification program for Operators and Facilities that export, import, manage and process livestock. LGAP is designed to:

- define and support animal welfare, husbandry and management practices based on international precedents and scientific evidence, with particular reference to the OIE Terrestrial Animal Health Code, Section 7 – Animal Welfare (OIE Code) and the Exporter Supply Chain Assurance System (ESCAS);
- promote the humane and considerate treatment of livestock;
- enable the traceability of animals within and between Operators and Facilities which handle livestock;
- define responsibilities for people managing livestock throughout the supply chain;
- provide assurance that systems and processes for the welfare and management of livestock are functioning effectively;
- continually improve such systems, processes and supporting procedures;
- provide assurances that effective animal welfare standards are in place and are being fulfilled; and
- provide benchmarking and an evidence-based approach to monitoring performance.

Livestock are an important source of protein for the global community. How livestock are treated throughout the supply chain is of great concern to the livestock export industry and the broader community, given the links between animal welfare and productivity, as well as the contribution animals make to human wellbeing.

Such expectations are described in the World Organisation for Animal Health (WOAH) Code and supported by specific market and trade regulations and requirements. As this program has been developed with the support of the Australian Government, primarily for the Australian livestock export industry, these Standards and Rules also align with ESCAS.

The operation of LGAP is supported by Certification Requirements which consist of the LGAP Standards and Certification Rules. Together, these Certification Requirements form a program that delivers livestock welfare assurance and assists relevant organisations to identify and fulfil their livestock welfare assurance commitments.

The LGAP Standards provide a method through which the guidance in the OIE Code is converted into a set of verifiable requirements for the welfare of livestock through the supply chain to the point of slaughter.

The LGAP Standards and Rules specify requirements for a single level of certification. This single level reflects the guidance contained in the internationally agreed OIE Code, as well as ESCAS.

Operators, Facilities and Traceability System Providers that fulfil the relevant requirements of the LGAP Standards may seek certification in accordance with the LGAP Certification Rules. Further information on certification can be sourced from AniMark®:

www.animark.com.au

This document contains the LGAP Certification Rules, which must be followed to achieve LGAP certification. The LGAP System Standards that shall be followed are contained in the accompanying document, **LGAP Standards**.

All relevant terms and definitions can be found at Appendix G.

1. Scope

This document sets out the Certification Rules that shall be met, together with the LGAP Standards, to be eligible for LGAP Certification. This certification applies to Operators and Facilities that export, import, manage and process livestock that are intended for slaughter. Specifically, this program applies from immediately following the discharge of livestock in their destination market through to confirming death post-slaughter and focuses on those Operators and Facilities that can impact animal welfare.

LGAP also provides for certification of Traceability System Providers' traceability systems and approval of Service Providers who provide certain services to Program participants.

The LGAP Standards and Rules do not cover the issues of food safety or biosecurity.

The livestock species covered by the LGAP Standards and Rules are bovine (i.e. cattle), bubaline (i.e. buffalo), caprine (i.e. goats) and ovine (i.e. sheep).

The LGAP Standards and Rules are applicable to:

- a) Operators, including:
 - i) Exporters of livestock;
 - ii) Importers of livestock;
- b) Facilities, including:
 - i) Feedlots, Depots or Farms where livestock are aggregated and fed for maintenance or weight gain; and
 - ii) Abattoirs where livestock are slaughtered and processed for food supply; and
- c) Traceability System Providers, which may be:
 - i) Operators who provide a traceability system for their own use or the use of downstream Operators and Facilities in their supply chain;
 - ii) Facilities who provide a traceability system for their own use; or
 - iii) Third parties who provide traceability systems to Operators or Facilities for their individual use or for use by all Operators and Facilities within an entire supply chain.

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

LGAP approval is applicable to:

- a) Service Providers, including:
 - i) Certification Bodies; and
 - ii) Auditors.

In accordance with the ISO/IEC Directives, Part 2, the following verbal forms of expression are used under LGAP:

- 'shall' indicates a requirement;
- 'should' indicates a recommendation;
- 'may' indicates a permission;
- 'can' indicates a possibility or a capability.

2. Program participants and responsibilities

2.1 Program participants

Operation of LGAP is undertaken through the involvement of the following participants:

- a) the Program Owner;
- b) Approved Certification Bodies;
- c) Approved Auditors;
- d) Traceability System Providers;
- e) Applicants;
- f) Certified Operators; and
- g) Certified Facilities.

2.2 Responsibilities of the participants

2.2.1 Program Owner

The responsibilities of the Program Owner include:

- a) establishing, maintaining and reviewing the Certification Requirements, including these Certification Rules;
- b) administering and operating LGAP in an effective, impartial and objective manner;
- c) ensuring the Program Owner and its personnel do not have any direct or indirect pecuniary or other interest that conflicts, or could conflict, with the proper carrying out of Program Owner responsibilities;
- d) ensuring that Program Owner personnel for a period of at least two years prior to commencement or at any time during employment are not an owner, board member, employee or close family member of any Certified Entity;
- e) approving Certification Bodies and Auditors under these Certification Rules;
- f) appointing Approved Certification Bodies to undertake evaluation and certification activities pursuant to LGAP;
- g) authorising Approved Auditors operating under Approved Certification Bodies to undertake auditing activities pursuant to LGAP;
- h) fostering the support, recognition, and adoption of LGAP; and
- i) managing information and communications, providing notice, and maintaining confidentiality in accordance with the Certification Requirements.
- j) Taking all actions, decisions and approvals, as necessary, to ensure the effective operation of LGAP. This will be especially important during the implementation of LGAP.

2.2.2 Approved Certification Body

The responsibilities of an Approved Certification Body are:

- a) carrying out evaluation and certification activities in accordance with the Certification Requirements in an impartial and objective manner, including:

- i) carrying out evaluation, audit, risk assessment, nonconformity management and administrative activities;
 - ii) making certification decisions and issuing certificates in the prescribed formats;
 - iii) monitoring corrective action requests, following up and evaluating corrective actions to ensure resolution or escalation as prescribed in Annex D; and
 - iv) undertaking investigations as required to determine the ongoing conformity with the Certification Requirements of Certified Entities assigned to the Approved Certification Body.
- b) ensuring each Applicant and Certified Entity which is allocated to them by the Program Owner consistently fulfil the Certification Requirements on an ongoing basis;
 - c) administering any transitional arrangements associated with changes to LGAP or the Certification Requirements;
 - d) identifying, analysing and managing any conflicts of interest arising from its activities and relationships, or the activities and relationships of other persons, bodies or Operators, Facilities or Traceability System Providers that may impact on the impartiality and objectivity of certification pursuant to LGAP;
 - e) ensuring the competency of Approved Auditors and other personnel critical for the operation of LGAP;
 - f) ensuring Approved Auditors are rotated after completing the four consecutive audits or one three-year certification cycle of an Applicant or Certified Entity.

NOTE: In the event rotation is unable to be achieved due to availability of Approved Auditors, the Approved Certification Body shall apply to the Program Owner for exemption and such application shall be made 30 days before the rotation would be due to occur.

- g) managing information and communications, providing notice and maintaining confidentiality in accordance with the Certification Requirements;
- h) providing unobstructed access to the Program Owner without any necessary prior notice to sites, locations, areas, equipment, personnel and subcontractors utilised in the performance of certification activities;
- i) allowing for the participation of observers nominated by the Program Owner in any activities;
- j) investigating and keeping adequate records associated with complaints and appeals;
- k) undertaking unscheduled audits as directed by the Program Owner;
- l) using, entering and maintaining, in a timely and accurate manner, and in accordance with the timeframes in Annex A, all relevant data on the AniMark IT CS using the English language, including but not limited to:
 - i) Applicant, Operator, Facility and Traceability System Provider information;
 - ii) evaluation information, audit reports, nonconformities, corrective actions;
 - iii) Operator, Facility and Traceability System Provider performance indicators and risk assessment outcomes;
 - iv) outcomes of investigations, complaints and appeals;
 - v) certification decisions;
 - vi) issuing certificates and maintenance of certification status;
 - vii) details of Approved Auditors;

- m) at all times keeping secure all data related to LGAP, including data on the AniMark IT CS;
- n) providing an annual report to the Program Owner pertaining to the Certification Body management system activities associated with providing certification under the LGAP, including but not limited to:
 - i) accreditation body reports and accreditation status;
 - ii) internal audit reports;
 - iii) management reviews;
 - iv) impartiality mechanism reports;
 - v) nonconformities and follow up of corrective actions; and
 - vi) complaints and appeals; and
- o) any other requirements established by the Program Owner from time-to-time.

2.2.3 Approved Auditor

The responsibilities of an Approved Auditor are:

- a) undertaking audit and other evaluation activities as directed by the Approved Certification Body in an impartial, objective and timely manner;
- b) entering and maintaining relevant, accurate data regarding audit and other evaluation activities on the AniMark IT CS in the English language as directed by the Approved Certification Body and in accordance with the timeframes in Annex A;
- c) maintaining appropriate levels of competency to effectively perform evaluation and audit activities in line with Annex C;
- d) at all times keeping secure all data related to LGAP, including data on the AniMark IT CS;

NOTE Data includes any usernames and passwords or other security credentials necessary for accessing and using the AniMark IT CS.

- e) managing information and communications, providing notice and maintaining confidentiality in accordance with the Certification Requirements; and
- f) any other requirements established by the Program Owner from time-to-time.

2.2.4 Applicants and Certified Entities

The responsibilities of Applicants and Certified Entities are:

- a) making applications to become certified;
- b) demonstrating their ongoing fulfilment of the Certification Requirements which includes ensuring internal audits are undertaken within the timeframes required;
- c) appointing an internal auditor who shall:
 - i) understand the Certification Requirements;
 - ii) have knowledge and skills related to the appropriate conduct of internal audits;
 - iii) have attended a training course authorised by the Program Owner;
 - iv) ensure objectivity and the impartiality of the internal audit process. Specifically, internal auditors may not:

1. audit their own area of responsibility or an area in which they have contributed either through the provision of services, technology, knowhow, training, consultation or other such contributions; or
 2. be associated in any way, either directly or indirectly, with the Operator, Facility or Traceability System Provider's allocated Approved Certification Body or Approved Auditor.
- d) entering and maintaining relevant data on the AniMark IT CS pursuant to LGAP, in accordance with the timeframes specified in Annex A.
 - e) facilitating and providing access to sites, information, personnel or any other resources required to evaluate conformity, including in situations where the certification status is suspended or withdrawn, to enable the following to be undertaken:
 - i) evaluations - including planned, and unscheduled audits, evaluations and risk assessments;
 - ii) investigations of complaints or market feedback;
 - iii) verification of corrective actions; and
 - iv) verification that contingency arrangements have been implemented.
 - f) undertaking corrective actions and closing out of nonconformities in a comprehensive manner in the timeframes prescribed in Annex D;
 - g) adhering to the terms of certification decisions and use of certification marks (8.15 where relevant);
 - h) managing information and communications, providing notice and maintaining confidentiality in accordance with the Certification Requirements;
 - i) keeping secure at all times all data related to LGAP, including data on the AniMark IT CS;
 - j) conducting their operations in a manner that does not present a risk to the reputation of LGAP.

3. Certification Requirements and Scope

3.1 Certification Requirements

The Certification Requirements under LGAP include:

- a) the LGAP Certification Rules (this document);
- b) the LGAP Standards
 - i) Animal Welfare;
 - ii) Control and Traceability
 - iii) Management Systems to Deliver Animal Welfare
 - iv) Third Party Traceability Systems Used by Operators and Facilities
- c) any notices, policies, procedures, approvals or other documents or instructions issued by the Program Owner from time-to-time to enable the operation of LGAP.

3.2 Scope of Certification

Certification under LGAP is limited to Certified Operators, Certified Facilities or Traceability System providers. Operators and Facilities relate to either Exporters, Importers, Feedlots, Farms or Abattoirs. Only Operators or Facilities that conform to the LGAP Standards for cattle, buffalo, sheep and/or goats are eligible for Certification.

3.3 Application of LGAP Standards

The following LGAP Standards are applicable to all Operators and Facilities:

- Animal Welfare
- Control and Traceability
- Management Systems to Deliver Animal Welfare

Third Party Traceability Systems Used by Operators and Facilities are applicable to Traceability System Providers.

4. Requirements for an Approved Certification Body

An Approved Certification Body shall demonstrate and maintain fulfilment of the following:

- a) relevant requirements in the Certification Requirements, including personnel competency requirements provided in Annex C;
- b) all the requirements specified in ISO/IEC 17065:2012, Conformity assessment -- Requirements for bodies certifying products, processes and services, and as further elaborated in Annex B;
- c) satisfactory ongoing performance in relation to their responsibilities and those of their Approved Auditors, as may be reviewed by the Program Owner; and
- d) formal approval from the Program Owner that the Certification Body is able to deliver certification services under LGAP, the requirements for which may be specified from time-to-time and may include necessary regulatory approvals or accreditation from accreditation bodies that are recognised by the Program Owner.

5. Requirements for Approved Auditors

Approved Auditors shall demonstrate and maintain fulfilment with the following requirements:

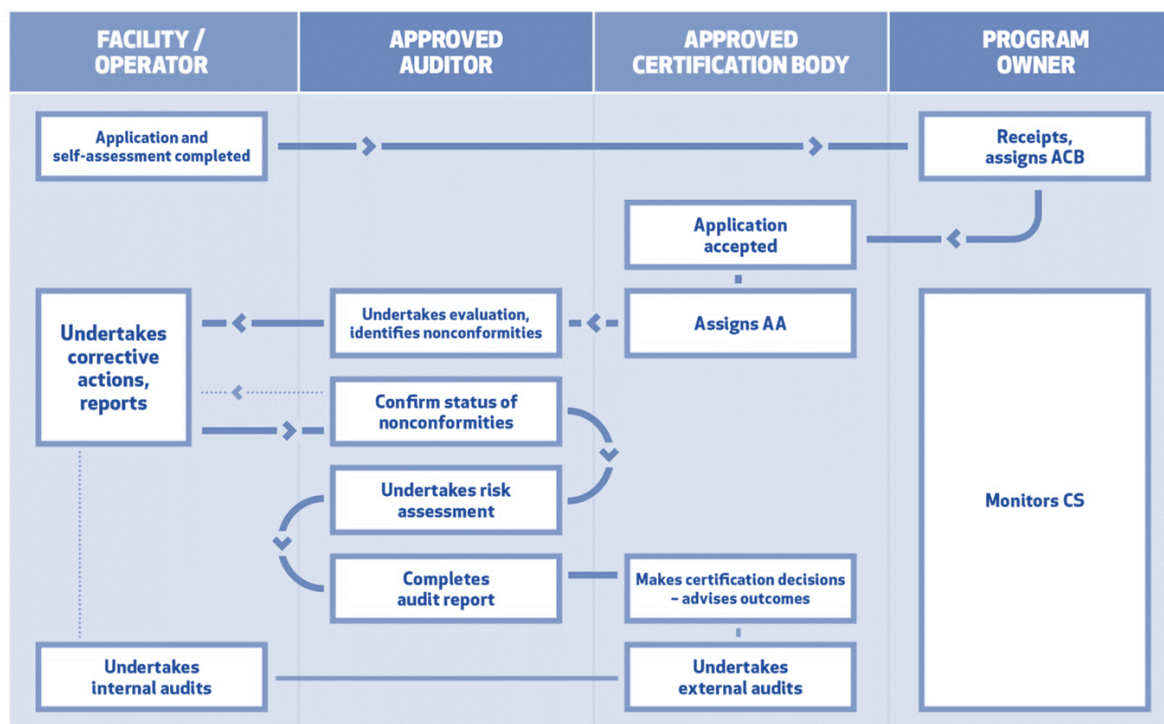
- a) relevant requirements as specified in the Certification Requirements;
- b) have legally enforceable agreements in writing with any Approved Certification Bodies for which they carry out evaluation and audit activities;
- c) competency, continuing professional development and other requirements identified in Annex C;
- d) satisfactory ongoing performance in relation to their responsibilities as reviewed by the Program Owner; and
- e) hold formal recognition from the Program Owner that the auditor is approved as being able to deliver auditing services under LGAP.

6. Certification Process

6.1 Certification process overview

6.1.1 The LGAP certification process overview is provided in Figure 1. It is based on the certification process requirements set out in ISO/IEC 17065:2012, Conformity assessment -- Requirements for bodies certifying products, processes and services.

Figure 1 LGAP Certification process overview



6.2 Application

- 6.2.1 The Applicant shall apply to the Program Owner using the prescribed application form and include all documentation that is requested.
- 6.2.2 The application form requires the Applicant to specify all information required on the prescribed application form including whether the applicant is applying for full certification or provisional certification.
- 6.2.3 The application form includes a declaration to be agreed upon by the Applicant committing it to:
- continually and consistently demonstrate the fulfilment of Certification Requirements;
 - payment of all fees;
 - providing access to information, sites, infrastructure, equipment, livestock and personnel for the purposes of audit, evaluation, investigation, nonconformity and certification activities; and
 - indemnify the Program Owner, Approved Certification Bodies, Approved Auditors and their personnel against any loss or damages incurred in the undertaking of certification activities in relation to the Applicant.

- 6.2.4 The submission of the application form is considered proof of the Applicant's understanding, confirmation, and agreement to the declaration.
- 6.2.5 Where a separate management system is used at each site, a separate application and certification shall be required for each site.
- 6.2.6 Where the same management system applies to two or more sites that carry out the same type of activity (e.g. two or more abattoirs), only one application is required but each site must be listed separately.
- 6.2.7 Where the Applicant undertakes more than one type of activity at a site (e.g. being a feedlot and an abattoir) they must apply for two separate certifications.
- 6.2.8 Upon acceptance by the Program Owner, the Applicant will be required to pay the appropriate fees before being given access to relevant parts of the AniMark IT CS.

6.3 Self-assessment

- 6.3.1 The Applicant shall undertake a self-assessment during the application process for full certification. The purpose of the self-assessment is to provide an opportunity for the Applicant to understand the Certification Requirements and establish its internal processes and systems to enable demonstration of conformity.
- 6.3.2 The self-assessment shall be submitted to the Program Owner when the application for full certification is lodged.

6.4 Application review and confirmation

- 6.4.1 The Program Owner shall:
 - a) review the submitted application and any associated documentation to confirm:
 - i) the application and associated documents are complete;
 - ii) the certification being sought is covered under the scope of LGAP;
 - iii) any associated fees have been paid; and
 - b) accept or decline the application; and:
 - i) where declined, an explanation will be provided to the Applicant; or
 - ii) where the application is accepted assign the application to an Approved Certification Body to complete the application review and confirmation process and formally notify the Applicant of the application's acceptance.
- 6.4.2 Upon receipt of the assigned application, the Approved Certification Body shall:
 - a) review the submitted application and any associated documentation to confirm that the Approved Certification Body has the competency and capacity to undertake the certification activities;
 - b) assign the application to an Approved Auditor for ongoing evaluation and management; and
 - c) formally notify the Applicant of the allocation of the Approved Auditor.

6.5 Internal audit

- 6.5.1 Using the AniMark IT CS, the Applicant is required to:
 - a) undertake internal audits at the frequency prescribed by the risk rating received following a risk assessment (see Annex E); and

- b) upload the results of internal audits, including identified nonconformities within the timeframes prescribed in Annex A.
- 6.5.2 When an internal audit results in a nonconformity being raised, the Applicant shall:
 - a) undertake the appropriate correction and corrective action in accordance with the timeframes prescribed in Annex D; and
 - b) record evidence of the correction and corrective actions in the AniMark IT CS.
- 6.5.3 Failure to:
 - a) undertake internal audits at a frequency prescribed in Annex E; and
 - b) undertake correction and corrective action in response to a nonconformity within the timeframes prescribed in Annex D; or
 - c) record correction and corrective action in the AniMark IT CS;
 shall result in a critical nonconformity being raised by the Approved Certification Body or the Program Owner.
- 6.5.4 The occurrence of internal audit outcomes conflicting with external audit outcomes repeatedly shall result in a critical nonconformity being raised by the Approved Certification Body or the Program Owner.

6.6 Evaluation

- 6.6.1 The principal evaluation technique in LGAP is an audit.
- 6.6.2 The audit shall be undertaken by the assigned Approved Auditor.
- 6.6.3 The evaluation plan consists of:
 - a) desk top document review - a review of the application and any submitted documents against the Certification Requirements. This may include consideration of historic ESCAS compliance documentation such as audit reports, contractual arrangements, standard operating procedures, record templates and supply chain management plans;
 - b) self-declaration of conformity - receipt of a formal declaration by the Applicant or Certified Entity that it fulfils the Certification Requirements. A declaration and/or contractual arrangements which demonstrate commitment to fulfillment of ESCAS requirements may be accepted for the purpose of provisional certification.
 - c) on-site audit of the Certified Entity to gather evidence on the extent to which the Applicant or Certified Entity is fulfilling the LGAP Certification Requirements. For Certified Operators or Certified Facilities, on-site audits must occur when livestock are being managed by the Applicant or Certified Operator or Certified Facility and shall focus on observed practices, competencies and behaviours appropriate to the scope of certification being sought, and dialogue with the personnel that are directly involved with the livestock; and
 - d) review of the Certified Entity's management system, including a specific review of monitoring and performance improvement activities in response to internal audit and external evaluation activities, nonconformities, complaints, suggestions for improvement and the outcomes of corrective actions and management reviews.
- 6.6.4 In the case of the Approved Auditor witnessing activities that result, or are likely to result, in adverse animal welfare or traceability outcomes, they may request

immediate correction and make subsequent audit observations or raise nonconformities.

- 6.6.5 In the case of Operator or Facility Applicants that have not yet managed livestock or are applying specifically for provisional certification, a preliminary evaluation may be undertaken covering the items in 6.6.3 (a), (b) and (d). Demonstration of the fulfilment of these items at this stage may result in provisional certification being granted.
- 6.6.6 Operator or Facility Applicants with provisional certification must undertake an on-site audit in accordance with item 6.6.3 (c) during the first time that they manage livestock and/or when they apply to progress from provisional certification to full certification. Satisfactory fulfilment of requirements at the on-site audit can result in a decision by the Approved Certification Body for full certification.
- 6.6.7 The Approved Auditor may contact the Applicant or Certified Entity, to request further information or documents (if required) in order to confirm the Applicant or Certified Entity, has demonstrated fulfilment of the Certification Requirements.

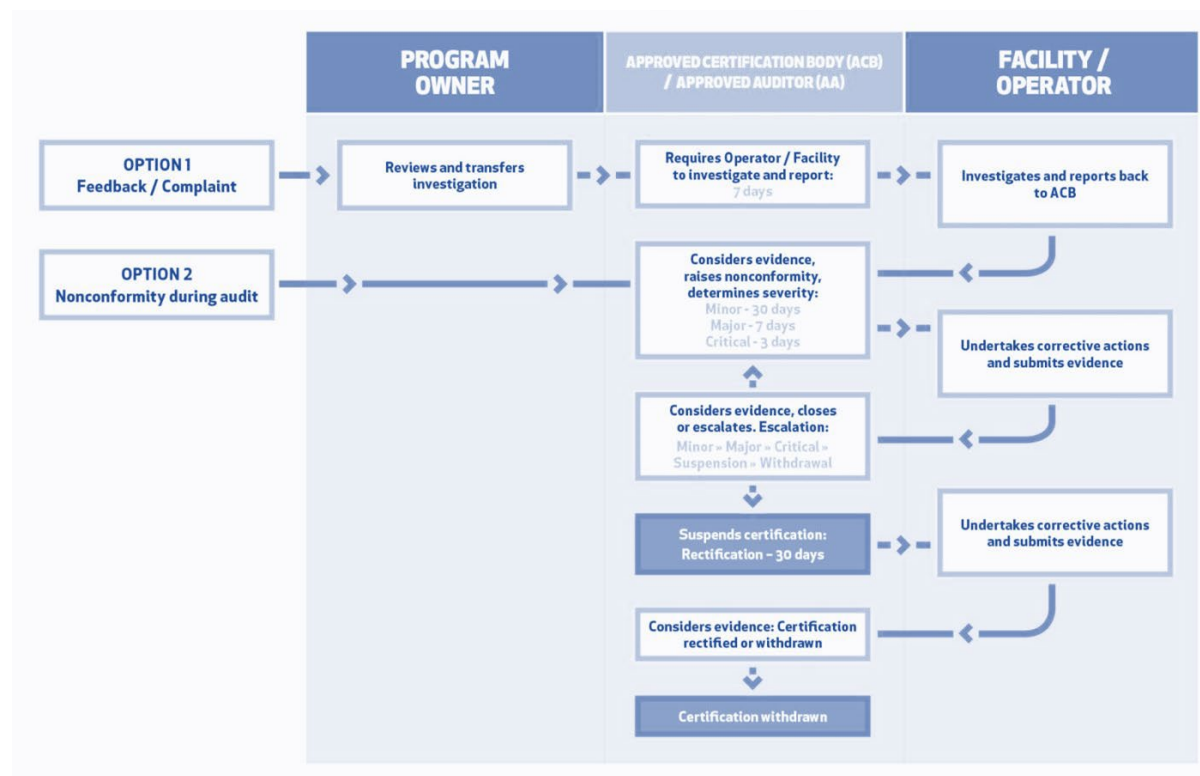
6.7 Nonconformities

6.7.1 Nonconformities can arise:

- through failure of the Applicant or Certified Entity, to demonstrate their fulfilment of the Certification Requirements through the certification process; or
- as the result of feedback from interested parties or complaints about the Applicant or Certified Entity's non-fulfilment of the Certification Requirements, outside of the certification process.

6.7.2 Nonconformities shall be categorised as being minor, major or critical as defined in Annex D.

Figure 2 LGAP nonconformity management process overview



- 6.7.3 The nonconformity management process typically follows that provided in Figure 2. However, this may be varied at the Program Owner's discretion. An Approved Certification Body or Approved Auditors may also vary the process in consultation with the Program Owner.
- 6.7.4 Nonconformities through the certification process
- 6.7.4.1 During typical evaluation activities undertaken as part of the certification process, an Approved Auditor may identify a nonfulfillment of a requirement and raise a formal nonconformity against the requirement.
- 6.7.4.2 Nonconformities identified during evaluation activities shall be recorded in the AniMark IT CS by the Approved Auditor. When a nonconformity is raised, the Applicant or Certified Entity is to undertake the appropriate correction and corrective action in accordance with:
- a) any direction provided to them by the Approved Auditor; and
 - b) their own management system.
- 6.7.4.3 Evidence of correction and corrective actions shall be recorded in the AniMark IT CS against the nonconformity.
- 6.7.4.4 If the nonconformity is part of an evaluation activity for initial certification or recertification, the Approved Auditor shall note this in their Evaluation Report using the AniMark IT CS.
- 6.7.4.5 In the case of initial certification, the Approved Auditor shall not recommend certification be granted until such time as all nonconformities have been closed out.
- 6.7.4.6 In the case of recertification or surveillance, the nonconformity shall be required to be closed out within the timeframes prescribed in Annex D or the unresolved nonconformity shall be escalated in the manner described in subclause 6.8.
- 6.7.5 Nonconformities outside of the certification process
- 6.7.5.1 Where feedback or a complaint indicates a potential nonconformity, the matter shall be managed in accordance with clause 9.
- 6.7.5.2 If the result of the process followed in clause 9 results in a nonconformity, then, to the satisfaction of the Program Owner, Approved Certification Body or Approved Auditor, the Applicant or Certified Entity must respond with evidence that the nonconformity has been adequately resolved through appropriate corrective action within the timeframes prescribed in Annex D.
- 6.7.5.3 Evidence of correction and corrective actions shall be recorded in the AniMark IT CS against the nonconformity.

6.8 Escalation of nonconformities

- 6.8.1 If the Certified Entity does not respond with sufficient evidence within the prescribed timeframe, the nonconformity shall be escalated in the following manner:
- a) if the nonconformity is a minor, it shall be escalated to a major;
 - b) if the nonconformity is a major it shall be escalated to a critical;
 - c) if the nonconformity is critical, certification shall be suspended (refer 7.3): and
 - d) if certification is suspended and the nonconformity remains open, certification shall be withdrawn (refer 7.4).

- 6.8.2 If a nonconformity is escalated, a revised due date for completion of the specified corrective actions will be notified to the Certified Entity. The Program Owner and Approved Certification Bodies may raise nonconformities, request correction or corrective action or escalate nonconformities in the manner prescribed.

6.9 Evaluation report

- 6.9.1 For an Applicant or Certified Entity, the Approved Auditor shall prepare an Evaluation Report containing:
- a) their findings in relation to each of the components of the evaluation plan (see 6.6);
 - b) any outstanding nonconformities; and
 - c) a certification decision recommendation including any conditions.
- 6.9.2 The evaluation report shall be submitted to the Approved Certification Body for review and a certification decision.
- 6.9.3 The evaluation report shall be recorded within the AniMark IT CS within the timeframes specified in Annex A.

6.10 Risk assessment and risk rating

- 6.10.1 After undertaking the evaluation activities, the Approved Auditor or the Program Owner shall undertake a risk assessment of the Applicant or Certified Entity to establish a risk rating. The risk assessment methodology shall be prescribed by the Program Owner (see Annex E) and be recorded within the AniMark IT CS within the timeframes specified in Annex A.
- 6.10.2 The scope of the risk assessment is limited to an assessment of risk factors which may impact an Operator, Facility or Traceability System Provider's ability to continue to conform with the Certification Requirements and an assessment of the controls they have in place to minimise or eliminate those risk factors.
- 6.10.3 Risk assessments will vary depending on the type of Operator, Facility or Traceability System or Service being assessed. The outcome of the risk assessment will be a risk rating as defined in Annex E.
- 6.10.4 The risk rating informs the frequency and nature of the surveillance activities and internal audits that apply to Operators, Facilities and Traceability System Providers. At the end of every evaluation activity the risk assessment will be repeated, and the risk rating assigned accordingly.
- 6.10.5 An Applicant or Certified Entity may appeal a decision on a risk rating under the provisions of subclause of 6.12 of these Certification Rules.
- 6.10.6 The risk rating shall be displayed on the dashboard within the AniMark IT CS.
- 6.10.7 The Program Owner reserves the right to set an alternative risk rating after considering the Operator, Facility or Traceability System Provider's performance in fulfilling the Certification Requirements.

6.11 Certification decision

- 6.11.1 In considering a certification decision for an Applicant or Certified Entity the Approved Certification Body or Program Owner shall assign each evaluation report to a person that is responsible for reviewing the evaluation report and making a certification decision.

- 6.11.2 The person reviewing the evaluation report and making the certification decision must be different from those persons involved in:
- a) undertaking the audit or evaluation;
 - b) closing nonconformities; or
 - c) preparing the evaluation report, and
 - d) must not have had a relationship with the Applicant or Certified Entity within the previous 12 months (e.g. as an owner, employee, contractor, service provider, consultant or any other such relationship that may give rise to a conflict of interest).
- 6.11.3 The certification decision shall be based on the application, any submitted documents or other correspondence and the evaluation report's content and findings.
- 6.11.4 The certification decision shall consider whether to:
- a) grant or maintain certification, and if so, whether such certification granted or maintained is:
 - i) provisional;
 - ii) temporary; or
 - iii) full;
 - b) decline certification;
 - c) reduce or expand certification; or
 - d) suspend or withdraw certification.
- 6.11.5 The certification decision shall be communicated to the Applicant or Certified Entity by the Approved Certification Body or the Program Owner.
- 6.11.6 The certification decision shall be recorded on the AniMark IT CS within the timeframes specified in Annex A.
- 6.11.7 Where temporary certification is granted, a commencement and expiry date for certification shall be specified.
- 6.11.8 Where certification is granted to an Operator or Facility for a specified supply chain, the relevant livestock shall only be received from, or sent to, other Operators or Facilities that also have certification within the same specified supply chain.

6.12 Appeals

- 6.12.1 Appeals relating to a certification decision or a decision on a risk rating may be lodged by the Applicant or Certified Entity to the Approved Certification Body using the prescribed form within 14 days of receipt of the decision and risk rating notification.
- 6.12.2 The Approved Certification Body shall appoint one or more competent persons to consider the merits of the appeal and prepare a finding. The person appointed to do this shall not have otherwise been involved in undertaking the audit, preparing the evaluation report, making the certification decision, or assigning a risk rating, and must not have had a relationship with the Applicant, Certified Entity within the previous 12 months (e.g. as an owner, employee, contractor, service provider or consultant or any other such relationship).

- 6.12.3 The final decision to uphold or overturn the appeal shall be communicated to the Applicant or Certified Entity by the Approved Certification Body within seven days of the decision being made.
- 6.12.4 The Approved Certification Body must inform the Program Owner within seven days of the receipt of any appeal application and must also inform the Program Owner of the final decision to uphold or overturn the appeal within seven days of the decision being made.
- 6.12.5 The Program Owner shall be the final arbiter of appeals and shall only consider appeals against decisions when they have followed the appeal process prescribed above. In such cases, the appeal shall be by way of a review only of evidence considered during the original appeal.
- 6.12.6 The appeal to the Program Owner must be lodged within seven days of the Approved Certification Body's appeal decision being communicated to the Applicant or Certified Entity. All associated evidence is to be submitted in English using the electronic complaint form available from the Program Owner's website.
- 6.12.7 The Program Owner may hear new evidence only where it has agreed to do so on prior application. An application to present new evidence must be made in the prescribed manner, setting out the nature and the relevance of the new evidence, and why it was not presented, or could not reasonably have been obtained and presented, during the original appeal. Save in exceptional circumstances, the Program Owner shall not grant leave to present new evidence.
- 6.12.8 The Program Owner shall consider the appeal based on its appeals policy.

6.13 Certificate

- 6.13.1 If the certification decision is positive the Approved Certification Body or Program Owner shall issue a certificate to the Applicant or Certified Entity:
- a) in the prescribed format using the AniMark IT CS;
 - b) in the timeframe prescribed in Annex A; and
 - c) if all fees have been paid by the Applicant, or Certified Entity.
 - i) With the exception of temporary certification, certificates are valid for three years from the date of issue.
 - ii) Certificates for temporary certification shall specify the commencement and expiry date.
 - iii) Only the copy of a certificate maintained on the AniMark IT CS is valid under LGAP.

6.14 Certification Directory

- 6.14.1 The Program Owner shall maintain a Certification Directory that shall contain at least the following information:
- a) a listing of each Applicant and Certified Entity including the:
 - i) identifier;
 - ii) region or province and country;
 - iii) scope of certification as per Annex G;

- iv) their current certification status (e.g. Under evaluation, Certified (Full), Certified (Provisional), Certified (Temporary), Not certified, Suspended (Voluntary), Suspended, Withdrawn (Voluntary), Withdrawn; and
- v) date certification was attained.

6.15 Certification Mark

- 6.15.1 The Program Owner owns and maintains a Certification Mark or Marks. Details of the Certification Mark are in Annex F and maintained on the Program Owner's website.
- 6.15.2 A Certified Entity holding a current certificate may replicate and use the relevant Certification Mark on printed and electronic media, subject to the following requirements:
- a) the Mark is not used to make or permit any misleading statement regarding certification;
 - b) the Mark is not used to make or permit the use of a certification document or any part thereof in a misleading manner;
 - c) upon suspension or withdrawal of its certification, the Operator, Facility or Traceability System Provider:
 - i) discontinues the use of the Mark in all media;
 - ii) amends all media when the scope of certification has been reduced;
 - iii) does not imply that the certification applies to activities or products that are outside the scope of certification; and
 - iv) does not use its certification in such a manner that would bring LGAP into disrepute and lose public trust.

6.16 Surveillance

- 6.16.1 Approved Certification Bodies shall undertake surveillance activities of each allocated Certified Entity based on the risk rating that has been assigned to the Certified Entity.
- 6.16.2 The frequency and nature of surveillance activity is based on the risk rating and shall be prescribed by the Program Owner in Annex E. The Program Owner reserves the right to set alternative internal audit and surveillance activity frequencies taking into account the Certified Entity's performance in fulfilling the Certification Requirements and its certification status.

6.17 Recertification

- 6.17.1 The Program Owner will monitor the AniMark IT CS (particularly nonconformances) and, subject to demonstrating ongoing conformance and evidence of corrective actions being addressed, Certified Entities will be granted recertification annually on the anniversary of their original certification.

7. Changes to certification

7.1 9.1. General

- 7.1.1 Changes that may materially affect the Applicant or Certified Entity's ability to fulfil the Certification Requirements shall be notified to, and considered by, the Program Owner.
- 7.1.2 The Program Owner may refer the change to the Approved Certification Body for further action.
- 7.1.3 Changes that may materially affect the Applicant or Certified Entity's ability to fulfil the Certification Requirements include but are not limited to:
- a) changes in the Certification Requirements, including the Certification Rules;
 - b) those circumstances listed in clause 7 of these Certification Rules related to changes that must be notified to the Approved Certification Body;
 - c) results of feedback or complaints from interested parties;
 - d) results of nonconformities or lack of action on nonconformities;
 - e) voluntary requests for suspension or withdrawal from an Applicant or Certified Entity;
 - f) a lack of response or a decision not being recertified;
 - g) changes in ownership, structure or control of the Applicant or Certified Entity;
 - h) insolvency;
 - i) changes in the business environment affecting the Applicant or Certified Entity;
 - j) changes in business operations, including supplier structure, suppliers, purchasers, site relocations, major expansions or closures, compliance requirements;
 - k) changes in key personnel (i.e. board or top management or the equivalent);
 - l) any changes to the Traceability System Provider's traceability system or traceability services; or
 - m) Major changes to the management system.
- 7.1.4 After due consideration of the changes the Approved Certification Body or Program Owner may:
- a) take no action;
 - b) undertake evaluation activities;
 - c) reconfirm the current certification;
 - d) expand or reduce the current scope of certification;
 - e) suspend the certification; or
 - f) withdraw the certification.

7.2 Transfer of certification

- 7.2.1 Within the three-year certification period a Certified Entity may apply to the Program Owner to transfer certification from one Approved Certification Body to another Approved Certification Body, provided the following conditions are met:
- a) the Certified Entity applies to the Program Owner for a transfer;
 - b) the Program Owner shall conduct a thorough pre-transfer review and determine whether to approve the transfer. The pre-transfer review shall be documented and cover the following aspects:
 - i) the current certification status of the Certified Entity including confirmation that the certificate is not suspended, withdrawn or subject to a corrective action, review or appeal process that is likely to result in suspension;
 - ii) the reasons for seeking a transfer of certification;
 - iii) consideration of the last certification or recertification evaluation reports, subsequent surveillance reports and any outstanding nonconformities that may arise from them;
 - iv) status of complaints and corrective actions;
 - v) that all outstanding major and critical nonconformities are closed out before the transfer is transacted. An action plan for the close out of these nonconformities at some point in the future is not permissible – major and critical nonconformities must be closed out in their entirety before the transfer can take place;
 - vi) consideration of any current legal compliance issues with the Certified Entity.
 - c) if the Program Owner approves the transfer, then it shall allocate the Certified Entity to an accepting Approved Certification Body subject to the accepting Approved Certification Body confirming it has the competence and capacity to service the certification; and
 - d) the Program Owner shall inform the existing Approved Certification Body of its decision.
- 7.2.2 Where doubt exists after the transfer as to the adequacy of a current or previously held certification, the accepting Approved Certification Body shall, depending upon the extent of doubt, either:
- a) treat the Certified Entity as a new Applicant; or
 - b) conduct an evaluation concentrating on identified problem areas; and
 - c) inform the Program Owner who may follow up with the originating Approved Certification Body.
- 7.2.3 The decision as to the action required will depend upon the nature and extent of any problems found and shall be explained to the Certified Entity. The justification for the decision shall be documented and a record maintained by the Approved Certification Body on the AniMark IT CS.
- 7.2.4 The Program Owner may transfer the certification of a Certified Entity at any time from one Approved Certification Body to another Approved Certification Body where the originating Approved Certification Body is unable to continue to provide the certification or meet their contractual obligations with the Program Owner.

- 7.2.5 The Program Owner shall allocate the Certified Entity to an accepting Approved Certification Body subject to the accepting Approved Certification Body confirming it has the competence and capacity to provide the evaluation and certification services.

7.3 Suspension of certification

- 7.3.1 The Approved Certification Body may suspend the certification of a Certified Entity until an appropriate investigation or resolution has taken place for situations that include:
- a) the Certified Entity, fails to:
 - i) demonstrate fulfilment within the prescribed timeframe of changes to the Certification Requirements;
 - ii) notify the Program Owner of any changes to certification in line with clause 7.1;
 - iii) provide access to sites, information, personnel or any other resources required to evaluate conformity with the Certification Requirements; or
 - iv) provide information requested by the Approved Certification Body or Program Owner within the timeframe specified;
 - v) close out a critical nonconformity within the timeframe prescribed in Annex D;
 - b) a change under clause 7.1 of these Rules that would give rise to concerns at a level equivalent to a major or critical nonconformity;
 - c) actions or lack of action by a Certified Entity, means they can no longer fulfil the Certification Requirements and their continued certification would bring LGAP, the Program Owner, Approved Certification Body or Approved Auditor into disrepute;
 - d) the Certified Operator or Certified Facility requests a suspension of its certification;
 - e) the Traceability System Provider requests a suspension of its traceability system or traceability services certification; or
 - f) immediately upon instruction by the Program Owner.
- 7.3.2 The Approved Certified Body shall inform the Certified Entity of the suspension with the reasons for its decision. In the case of a suspended Traceability System Provider, the Approved Certification Body shall identify which traceability system or traceability service the suspension applies to.
- 7.3.3 In such cases the Certified Operator or Certified Facility that is suspended shall:
- a) immediately notify the following parties of the suspension:
 - i) the owner of any livestock covered by LGAP certification that remain at the Certified Operator or Certified Facility's site;
 - ii) supply chain partners; and
 - iii) relevant traceability parties.
 - b) ensure livestock that are covered by the scope of LGAP certification which remain onsite continue to be handled, managed or processed in accordance with the Certification Requirements and continue to communicate with relevant supply chain partners about such handling, management or processing;

- c) fulfil the requirements of these Certification Rules, especially 6.15 (Certification Mark); and
 - d) not use their certificate or the Certification Mark on any media to state or give the impression that they are or remain certified.
- 7.3.4 In such cases the Traceability System Provider has its traceability system or traceability service suspended, the Traceability System Provider shall:
- a) discontinue all references to the approval status for that suspended traceability system or traceability service, including removing any such references from websites, marketing material or other communications;
 - b) submit to the Program Owner for approval all communication regarding the suspension of approval the Traceability System Provider shall make with customers;
- NOTE Communication relates to the manner in which the suspension of approval is explained.
- c) using the communication approved by the Program Owner, inform its past and existing customers:
 - i) that the approval for that traceability system or traceability service is suspended;
 - ii) how they can transition to an alternative traceability system or traceability service; and
 - iii) undertake any other such action requested by the Program Owner.
- 7.3.5 The Approved Certification Body shall update the status of the Operator, Facility or Traceability System Provider to suspended in the AniMark IT CS. The certification status change will be displayed on the Certification Directory.
- 7.3.6 The Approved Certification Body may issue critical or major nonconformities or instructions for the corrective action that the suspended Operator, Facility or Traceability System Provider must undertake within the timeframes prescribed in Annex D in order to lift the suspension.
- 7.3.7 If corrective action is undertaken and it is demonstrated the reason for the suspension has been appropriately dealt with and closed out within the prescribed timeframe, the Approved Certification Body may reinstate the certification and update the AniMark IT CS accordingly. The certification status change will be displayed on the Certification Directory.
- 7.3.8 In any case of voluntary or involuntary suspension of an Operator, Facility or Traceability System Provider's traceability system or traceability service, there must be an onsite audit undertaken by an Approved Auditor before certification can be reinstated.
- 7.3.9 If corrective action to lift a suspension is not undertaken within the prescribed timeframe, the Approved Certification Body may withdraw the certification of a Certified Entity in line with 7.4.
- 7.3.10 The Program Owner may suspend a Certified Entity in the same manner as an Approved Certification Body, including issuing nonconformities or instructions for corrective actions and suspending certification for a contractual or administrative reason.

7.4 Withdrawal of certification

7.4.1 Temporary or provisional certification

Certified Entity's with temporary or provisional certification shall have certification automatically withdrawn on the expiry date specified on their certificate.

7.4.2 Involuntary withdrawal

The Approved Certification Body may at their own discretion, withdraw the certification of a Certified Entity in cases where:

- a) there has been no satisfactory action to resolve a suspension within the timeframe prescribed in Annex D;
- b) there is evidence of serious misconduct, including fraudulent, dishonest or criminal activities, by the Certified Entity;
- c) the Certified Entity has had their certificate suspended once previously within the period of validity of the certificate;
- d) the Certified Entity fails to recertify within the specified timeframe;
- e) the Certified Entity becomes bankrupt;
- f) continued certification could bring the Program Owner or LGAP into disrepute;
- g) the Certified Entity requests withdrawal of certification; or
- h) immediately upon instruction by the Program Owner.

7.4.3 In such cases the Operator or Facility that has had their certification withdrawn shall:

- a) at their own expense, immediately arrange with the owner of any livestock covered by LGAP certification for those livestock to be either:
 - i) transferred to another Certified Operator or Certified Facility; or
 - ii) slaughtered in accordance with the Certification Requirements;
- b) provide a written declaration to the Approved Certification Body confirming no livestock covered by the scope of LGAP certification remain on site or custody.
- c) fulfil the requirements of these Certification Rules, especially 6.15 Certification Mark; and
- d) not use their certificate or the Certification Mark on any media to state or give the impression that they are or remain certified.

7.4.4 In such cases the Traceability System Provider that has had the certification of its traceability system or traceability service withdrawn shall:

- a) discontinue all references to the certification status for that withdrawn traceability system or traceability service, including removing any such references from websites, marketing material or other communications;
- b) submit to the Program Owner for approval all communication regarding the withdrawal of certification the Traceability System Provider shall make with customers;

NOTE Communication relates to the manner in which the withdrawal of certification is explained.

- c) using the communication approved by the Program Owner, inform its past and existing customers:
 - i) that the certification for that traceability system or traceability service is withdrawn; and
 - ii) how they can transition to an alternative traceability system or traceability service if they so choose; and
 - d) undertake any other such action requested by the Program Owner.
- 7.4.5 The Approved Certification Body shall update the withdrawn status of the Operator, Facility or Traceability System Provider's traceability system or traceability service on the AniMark IT CS with the reasons for the withdrawal. The certification status change will be displayed on the Certification Directory.
- 7.4.6 Withdrawn certifications cannot be reinstated, and the withdrawn Operator, Facility or Traceability System Provider must re-apply to obtain certification following the process in section 8.
- 7.4.7 Recertification after withdrawal cannot occur within a period set by the Program Owner from the time the withdrawn status is updated on the AniMark IT CS and Certification Directory.
- 7.4.8 The Program Owner may move to withdraw a Certified Entity's certification in the same manner as an Approved Certification Body, including withdrawing certification for a contractual or administrative reason.

7.5 Voluntary withdrawal

- 7.5.1 An Applicant or Certified Entity or may, by written notice to the Program Owner, request withdrawal of certification or application for certification at any time.
- 7.5.1.1 For Certified Operators or Certified Facilities, voluntary withdrawal shall only be granted once livestock covered by LGAP certification have at the withdrawn Operator or Facility's own expense, been:
- a) transferred to another Certified Operator or Certified Facility; or
 - b) slaughtered in accordance with the Certification Requirements.
- 7.5.1.2 Withdrawal is effective upon confirmation by the Program Owner to the withdrawn Operator, Facility or Traceability System Provider of the change in status.
- 7.5.1.3 Traceability System Providers shall:
- a) a) discontinue all references to the certification status for that voluntarily withdrawn traceability system or traceability service, including removing any such references from websites, marketing material or other communications; and
 - b) b) undertake any other such action requested by the Program Owner.
- 7.5.1.4 Where a Certified Entity or voluntarily withdraws certification, a written application may be made to the Program Owner at any time for reinstatement of certification. Reinstatement can only occur once the certification process outlined in section 8 is followed.

7.6 Lapsed applications

- 7.6.1 If an application for certification is not granted or denied within 12 months from date of application submission, then the application will lapse.

- 7.6.2 An Applicant whose application has lapsed but who wishes to obtain certification must reapply for certification following the process outlined in section 6.

8. Fees and charges

- 8.1 Fees and charges associated with LGAP shall be set and communicated by the Program Owner.
- 8.2 All fees and charges shall be paid in accordance with contractual and payment terms to ensure ongoing certification status is maintained. Failure to make payment may result in suspension or withdrawal of certification by the Program Owner.
- 8.3 Unless otherwise stated fees shall not be refundable.

9. Complaints

9.1 Types of complaints:

- 9.1.1 There are four types of complaints recognised under these Certification Rules as follows:
- a) complaints made to Certified Entities regarding their adherence to the Certification Requirements;
 - b) complaints made to the Program Owner or Approved Certification Body regarding a Certified Entity's adherence to the Certification Requirements;
 - c) complaints made to the Program Owner or Approved Certification Body, regarding the performance of the Program Owner, Approved Certification Body, or an Approved Auditor; and
 - d) complaints made to the Program Owner regarding misrepresentation of LGAP certification.
- 9.1.2 A complaint shall be deemed to have been received when:
- a) a written complaint has been submitted from the complainant;
 - b) the nature of the complaint corresponds to one of the categories listed in 9.1.1;
 - c) the complainant has access to the direct or first-hand basis of the complaint; and
 - d) the complaint is specific and includes appropriate objective justification and evidence to substantiate any claim (credibility).
- 9.1.3 In addition, for complaints made to the Program Owner for types listed in 9.1.1b), c) and d), such complaints shall also be deemed to have been received when the written complaint and all associated evidence is submitted in English using the electronic complaint form available via the Program Owner's website.
- 9.1.4 All complaints shall be acknowledged and addressed as quickly as possible following the appropriate complaints procedure.
- 9.1.5 Complaints based upon hearsay or without appropriate objective justification and evidence will not be accepted by the Program Owner.

9.2 Complaints about adherence to Certification Requirements

- 9.2.1 Applicants and Certified Entities shall have a complaints registration and resolution procedure, which allows for investigation of the complaint and undertaking corrective or preventative action.
- 9.2.2 Records of complaint handling by the Applicant, or the Certified Entity shall be made available for review during evaluations. The Applicant or Certified Entity shall report the occurrence of such complaints to the Approved Certification Body at the same frequency as their surveillance activities.

9.3 Complaints received by the Program Owner or Approved Certification Body about an Applicant or Certified Entity

- 9.3.1 Complaints received by the Program Owner or Approved Certification Body shall follow that entities complaints procedure which as a minimum must ensure the following process is followed:

- a) In the first instance the Program Owner or Approved Certification Body will endeavour to identify and provide details of the complaint to the relevant Applicant or Certified Entity for explanation or resolution. The Applicant or Certified Entity shall provide a response to the Program Owner or Approved Certification Body within seven (7) days of receiving the complaint.
- b) Where the complainant is dissatisfied with the response, or if the Program Owner or Approved Certification Body is concerned about the Applicant's or Certified Entity's fulfilment of the Certification Requirements, the Program Owner or Approved Certification Body may investigate the complaint further, including requesting any further information and cooperation from the Applicant or Certified Entity or undertaking any further evaluation activities.
- c) The outcome of this investigation process may result in the allocation of nonconformities or the suspension or withdrawal of the Certified Entity's certification.
- d) Where the complaint is upheld, the expense of further evaluation activities shall be borne by the Applicant or Certified Entity.
- e) All complaints received by the Program Owner or Approved Certification Body shall be recorded in the AniMark IT CS within the timeframes prescribed in Annex A.

9.4 Complaints about the Program Owner or Approved Certification Body's services or personnel

- 9.4.1 Complaints received by the Program Owner or Approved Certification Body in relation to its services and personnel shall be investigated by the Program Owner or Approved Certification Body in accordance with its complaints handling procedures.
- 9.4.2 All complaints received by an Approved Certification Body shall be notified by the Approved Certification Body to the Program Owner and recorded in the AniMark IT CS within the timeframes prescribed in Annex A.

9.5 Complaints about the misrepresentation of LGAP certification

- 9.5.1 Complaints received by the Program Owner or Approved Certification Body in relation to misrepresentation of LGAP certification shall be investigated by the Program Owner.
- 9.5.2 All complaints received by the Approved Certification Body shall be notified by the Approved Certification Body to the Program Owner and recorded in the AniMark IT CS within the timeframes prescribed in Annex A.

10. Communications, notices and confidentiality

10.1 12.1. Communications

10.1.1 Except for information that is provided publicly:

- a) in the Certification Directory; or
- b) through legitimate use of the certificate or the Certification Mark pursuant to the Certification Requirements;

all other information and communication pertaining to LGAP shall be approved by the Program Owner prior to release.

10.1.2 In addition to the information noted in 10.1.1, the Program Owner shall make available to the public the following information:

- a) an outline of the certification process;
- b) the Certification Requirements;
- c) information about the fees for certification; and
- d) information on handling complaints and appeals.

10.1.3 Subject to the payment of any relevant fee or other undertaking, the Program Owner will make available to the parties (Approved Certification Bodies, Approved Auditors, Applicants and Certified Entities) the following information as necessary:

- a) appropriate forms, templates, guidance documents, marks etc.; and
- b) arrangements associated with changes to LGAP and the Certification Requirements, including deadlines for transition.

10.1.4 The Approved Certification Body shall inform Applicants and Certified Entities of the following:

- a) allocation of the Approved Auditor;
- b) any arrangements for evaluations and audits;
- c) arrangements for demonstration of appropriate close out of any nonconformities;
- d) certification decisions;
- e) arrangements for ongoing certification, including steps to be undertaken to address changes to Certification Requirements;
- f) any suspension or withdrawal of certification; and
- g) any complaints or feedback that have been received.

10.1.5 Applicants, Certified Entities and Approved Certification Bodies shall inform the Program Owner of matters that may affect their capacity to continue to fulfil the Certification Requirements, including but not limited to changes to:

- a) legal, commercial, organizational status or ownership;
- b) organization and management (e.g. key managerial, decision-making or technical staff);
- c) contact address and sites;
- d) the specified supply chains or operational arrangements;

- e) any changes to the Traceability System Provider's traceability system or traceability services;
- f) major changes to the management system and processes; and
- g) any intention to voluntarily suspend or withdrawal from certification.

10.2 Notices

- 10.2.1 Each party shall nominate and maintain a formal authorised representative who is responsible for the receipt and transmission of all formal communication between the parties. Up-to-date contact details for the authorised representative are to be maintained on the AniMark IT CS.
- 10.2.2 Formal communications between the parties shall be addressed to the relevant authorised representative and shall be in writing and transmitted through traditional mail or email. The Program Owner may also utilise web notifications to convey formal communications.
- 10.2.3 The Program Owner shall provide a notice of the occurrence of a suspension or withdrawal to all Certified Entities located in the country of the suspension or withdrawal.

NOTE: To protect confidentiality this notice shall not include identifying information about the suspended or withdrawn party only that a suspension or withdrawal has occurred.

10.3 Confidentiality

The Program Owner, Approved Certification Bodies, Applicants and Certified Entities shall have legally enforceable agreements with all external and internal personnel (including any committees) to maintain all information associated with LGAP and certification or approval as confidential, except in relation to the following:

- a) information that is required to be submitted and transferred between the Program Owner, Approved Certification Body, Applicant or Certified Entity, to enable LGAP to operate, including review of such information for the purposes of accreditation, peer assessment or other forms of third-party recognition;
- b) information regarding the status of an Applicant or Certified Entity including history of conformity, risk rating and other items, as displayed on the dashboard within the AniMark IT CS;
- c) upon request, the confirmation of the status of:
 - i) an Operator or Facility as being an Applicant, Certified Operator or Certified Facility; or
 - ii) a Traceability System Provider having a traceability system or traceability service certified;
- d) information that is publicly available on the Certification Directory;
- e) information in the form of generalised statements and data that the Program Owner considers necessary in order to inform interested parties and communicate about LGAP;
- f) any information that the Program Owner is obligated to disclose to fulfil its contractual obligations with any private or public third party and where such a third party may publicly disclose or use for the purposes of prosecuting or defending legal proceedings, information provided to it by the Program Owner. Such information may include but shall not be limited to:

- i) details of an Applicant or Certified Entity including:
 - 1. name;
 - 2. location;
 - 3. date applied for certification
 - 4. date certified;
 - 5. scope of certification; and
 - 6. certification status, including history of status changes;
- ii) audit reports including any evidence recorded as part of the audit process;
- iii) nonconformities and planned or implemented correction or corrective action, including any evidence of such;
- iv) any feedback or complaints, including any investigations or outcomes of such, along with any evidence obtained during the process; and
- v) any other such information required to support decisions made in relation to the status of an Applicant or Certified Entity ; and
- g) where the Program Owner is required to disclose such information to third parties, the Program Owner shall inform the Applicant or Certified Entity of the necessity to disclose that information; and
- h) any other information that the Program Owner or the Approved Certification Body must disclose as required by law, and in which case prior to release of such information the Program Owner or Approved Certification Body shall inform the relevant Applicant or Certified Entity of the intent to disclose that information.

11. Review and changes to the Program

11.1 The Program Owner shall at a minimum:

- a) annually review the performance of Approved Certification Bodies and Approved Auditors, with a full reapproval process occurring once every three years;
- b) annually review the operation of LGAP; and
- c) review the Certification Requirements once every three years.

11.2 The Program Owner reserves the right to change the Certification Requirements at any time.

11.3 The Program Owner shall communicate any changes via the AniMark IT CS and website and all Approved Certification Bodies, Approved Auditors, Applicants and Certified Entities are obligated to demonstrate at their own expense their conformity with those changes within the timeframe set by the Program Owner.

11.4 The Program Owner shall not be liable for any costs or loss of certification arising from changes to Certification Requirements.

Annex A Prescribed Timeframes

Action	Responsible	Timeframe required
Notification to AniMark and recording of complaints when received by the Approved Certification Body.	Approved Certification Body	2 business days
Recording of complaints in the AniMark IT CS when received by AniMark.	AniMark	1 business day
Recording of internal audit observations and nonconformities in AniMark IT CS.	Operator/Facility/Traceability System Provider	On or before the due date
<i>Issuance of nonconformities to Operator/Facility or Traceability System provider following external audit</i>	Approved Auditor	At the closing meeting of external audit
Recording of external audit observations, nonconformities and risk assessment in the AniMark IT CS.	Approved Auditor	2 business days after the completion of onsite audit
Assessment & Closure of nonconformity responses	Approved Certification Body/Approved Auditor	2 business days after the receipt of the corrective action response
Escalation of Nonconformities	Approved Certification Body	If no response is received, the day immediately following the due date
Certification Decision is made and recorded in the AniMark IT CS.	Approved Certification Body	2 business days from receipt of review in ACB portal Or 2 business days after all NC's are closed
Issuing of Certificate via the AniMark IT CS.	Approved Certification Body	Immediately following a positive certification decision
Request an appeal to the Approved Certification Body on a certification decision or Risk Rating.	Operator/Facility/Traceability System Provider	14 business days from receipt of decision from Approved Certification Body
Request an appeal to AniMark following an appeal to the Approved Certification Body	Operator/Facility/Traceability System Provider	14 business days from receipt of appeal decision from Approved Certification Body
<i>Conducting analyses required under LGAP Standard</i>	<i>Operator/Facility/Traceability System Provider</i>	<i>Based on the internal audit frequency set through the risk rating.</i>

Annex B ISO/IEC 17065 Requirements as applied under LGAP

ISO/IEC 17065:2012 content	Application of ISO/IEC 17065 requirements under the LGAP Certification Rules
1 Scope	No change.
2 Normative references	No change.
3 Terms and definitions	No changes to the terms and definitions. 3.8 'product requirement' includes the LGAP Standards identified in clause 5 of these Certification Rules. 3.9 'certification scheme' means LGAP. 3.10 'scope of certification' see Annex G of the LGAP Certification Rules
4 General requirements	
4.1 Legal and contractual matters	No change to the requirements. The certification agreement is covered through the application form that is completed by Operators, Facilities and Traceability System Providers and submitted to AniMark. It commits the Operator, Facility or Traceability System Providers to fulfil the Certification Requirements which address all the requirements in subclause 4.1.2.
4.1.2	Certification Bodies are contracted by AniMark to ensure the Operators, Facilities or Traceability System Provider fulfil the Certification Requirements. Under LGAP there is no need for the Certification Body and Operator, Facility or Traceability System Provider to have a further certification agreement, as the LGAP provisions already address these requirements in ISO/IEC 17065.
4.2 Management of impartiality	No change to the requirements.
4.2.10	The specified period within which personnel shall not be used to review or make a decision for a product for which they have provided consultancy is 12 months. No change to the requirements. AniMark requires Approved Certification Bodies to hold the following insurance:
4.3 Liability and financing	a. AUD 2,000,000 in professional indemnity insurance; and b. AUD 10,000,000 in public liability insurance. Copies of certificates of insurance are to be provided in with the tender
4.4 Non-discriminatory conditions	No change to the requirements.
4.5 Confidentiality	No change to the requirements.
4.6 Publicly available information	No change to the requirements.
5 Structural requirements	
5.1 Organizational structure and top management	No change to the requirements.
5.2 Mechanism for safeguarding impartiality	No change to the requirements.
6 Resource requirements	
6.1 Certification body personnel	No change to the requirements.
6.1.1 General	No change to the requirements.
6.1.2 Management of competence for personnel involved in the certification process	No change to the requirements. The competence criteria for personnel involved in the certification process including Approved Auditors are contained in Annex C of the Certification Rules.
6.1.3 Contract with personnel	No change to the requirements.
6.2 Resources for evaluation	No change to the requirements. No change to the requirements. Outsourcing of auditing activities may only be to Approved Auditors. The Approved Certification Body outsourcing to Approved Auditors remains responsible for the competence and audit activities of the Approved Auditors. The competence criteria for Approved Auditors are those contained in Annex C of the Certification Rules.
6.2.2.1	The evaluation (including the audit) process shall be as prescribed in the Certification Rules, and the two-stage audit process as identified in ISO/IEC 17021 is not required under LGAP.
7 Process requirements	
7.1 General	No change to the requirements.

7.2 Application	No change to the requirements.
7.3 Application review	No change to the requirements.
7.4 Evaluation	No change to the requirements. A generic evaluation plan that is based on the content of clause 8 Certification Process is acceptable.
7.5 Review	No change to the requirements.
7.6 Certification decision	No change to the requirements.
7.7 Certification documentation	No change to the requirements.
7.8 Directory of certified products	No change to the requirements.
7.9 Surveillance	No change to the requirements. The surveillance activities shall be those as stated in subclause 8 of these Certification Rules.
7.10 Changes affecting certification	No change to the requirements.
7.11 Termination, reduction, suspension or withdrawal of certification	No change to the requirements.
7.12 Records	No change to the requirements. All records of certification under LGAP are to be entered and maintained in to the AniMark IT CS.
7.13 Complaints and appeals	No change to the requirements.
8 Management system requirements	
8.1 Options	No change to the requirements.
8.2 General management system documentation (Option A)	No change to the requirements.
8.3 Control of documents (Option A)	No change to the requirements.
8.4 Control of records (Option A)	No change to the requirements.
8.5 Management review (Option A)	No change to the requirements.
8.6 Internal audits (Option A)	No change to the requirements.
8.7 Corrective actions (Option A)	No change to the requirements.
8.8 Preventive actions (Option A)	No change to the requirements.

Annex C Requirements for Approved Certification Bodies and Auditors

C.1 Approval of Certification Bodies and Auditors

C1.1 Certification Bodies and Auditors must be approved by the Program Owner before they undertake evaluation and certification activities under LGAP.

C1.2 Approval may be granted with conditions (e.g., specifying areas of geographical operation or types of evaluation that may be undertaken) as determined by the Program Owner.

C1.3 Approvals shall be for three years, subject to ongoing fulfilment of the approval requirements and satisfactory performance reviews performed by the Program Owner or their agent.

C1.4 The Program Owner reserves the right to suspend or withdraw approval at any time.

C.2 Applications to become an Approved Certification Body

C2.1 A Certification Body seeking approval shall apply to the Program Owner using the prescribed application form. The application shall include all documentation that is requested to demonstrate how the Certification Body meets the approval requirements specified section 4 and Annexes B and C.

NOTE Additional documentation to support the application may be requested by the Program Owner at any point.

C2.2 A Certification Body's application shall include at least one Auditor for approval and nominate a Certification Manager.

NOTE 1 Auditors must operate under the control of a Certification Body and be nominated in the Certification Body's application. AniMark does not accept applications from Auditors directly.

NOTE 2 Where an Approved Certification Body is seeking approval for an Auditor during the Approved Certification Body's approval period, C.2 applies.

C2.3 The submission of the Application Form is considered proof of the Applicant's understanding and agreement to the declaration.

C.3 Evaluation of Applications to become an Approved Certification Body or Auditor

C3.1 The Program Owner shall review the Certification Body's application and make an approval decision.

C3.2 The Program Owner shall review the application and all associated documents to determine if the Applicant and any nominated Auditors meet all relevant Certification Requirements.

C.4 Approval Decision

C4.1 The Approval Decision shall be based on the application and any submitted documents or other correspondence provided by the Applicant as well as the Program Owner's own enquiries.

C4.2 The Program Owner shall decide to either grant or decline approval to the Certification Body.

C4.3 For Certification Bodies, if approval is granted the Program Owner shall enter into an Approval Agreement with the Approved Certification Body.

C4.4 An Approved Certification Body must have appropriate legal agreements in place with Approved Auditors and such agreements shall reflect relevant conditions in the Approval Agreement.

C.5 Performance Reviews of Approved Certification Bodies and Auditors

C5.1 The Program Owner shall undertake annual performance reviews of each Approved Certification Body.

C5.2 Performance reviews shall consider the Approved Certification Body's:

- a) performance of Approved Auditors;
- b) services provided during the review period;
- c) performance in relation to the relevant Certification Requirements;

- d) adherence to the timeframes prescribed in Annex A;
- e) professional development requirements (for Approved Auditors);
- f) market feedback and complaints; and
- g) any requirements specified in the Approval Agreement.

C5.3 The results of the performance review along with relevant feedback shall be communicated to the Approved Certification Body.

C.6 Approved Certification Body re-approval

C6.1 Before inviting the Approved Certification Body to be re-approved, the Program Owner shall consider the performance review results conducted under C.5.

C6.2 If the performance review is satisfactory, the Program Owner shall invite the Approved Certification Body to be re-approved for the following three-year period and:

- a) confirm those Approved Auditors for which continued approval is sought; and
- b) nominate any new Auditors they are seeking approval for.

C6.3 The re-approval decision and updated Approval Agreement (if relevant) will be the issued by the Program Owner to the Approved Certification Body.

C.7 Approved Certification Body and Auditor Suspension and Withdrawal

C7.1 The Program Owner may suspend or withdrawal an Approved Certification Body or Auditor's approval (either in full or in part) at any time.

C7.2 If an Approved Certification Body has its approval suspended or withdrawn all associated Approved Auditors are taken to also be suspended or withdrawn.

NOTE If an Approved Auditor is approved to perform evaluation activities for more than one Approved Certification Body, they may continue to provide evaluation activities for the Approved Certification Body who is not suspended or withdrawn provided the Approved Auditor's continues to mee the approval requirements.

C7.3 The decision to suspend approval shall be communicated to the suspended Approved Certification Body or Auditor with reasons and instructions for action that the suspended Approved Certification Body or Auditor must undertake to lift the suspension.

C7.4 If action is undertaken and it is demonstrated the reason for the suspension has been corrected, the Program Owner may reinstate the approval of the Certification Body or Auditor.

C7.5 If action to lift a suspension is not undertaken, the Program Owner may withdraw the approval of the suspended Certification Body or Auditor.

C7.6 If an Approved Certification Body or Auditor has their approval suspended or withdrawn the Program Owner may where necessary, re-allocate all Applicant or Certified Entities to an alternative Approved Certification Body.

C7.7 In such cases an Approved Certification Body that is suspended or withdrawn, or has one of its Approved Auditors suspended, it shall:

- a) immediately cease all evaluation and certification activities under LGAP;
 - b) fulfil the requirements of these Certification Rules, especially 6.15; and
- not use their approval on any media to state or give the impression that they are or remain approved.

Table C.7 — Table of Certification Body personnel knowledge and skills

Table C.7 specifies the knowledge and skills that a Certification Body shall define for specific certification functions.

“□” indicates that the certification body shall define the criteria and depth of knowledge and skills. The knowledge and skill requirements specified in Table C. are explained in more detail in the text following the table and are referenced by the number in parenthesis.

Knowledge and skills	Certification functions		
	Conducting the application review to determine audit team competence required, to select the audit team members	Reviewing audit reports and making certification decisions	Auditing and leading the audit team
Knowledge of business management practices			□ (see C.10.3.1)
Knowledge of audit principles, practices and techniques		□ (see C.8.1)	□ (see C.10.3.2)
Knowledge of specific standards/normative documents	□ (see C.9.1)	□ (see C.8.2)	□ (see C.10.3.3)
Knowledge of certification body's processes	□ (see C.9.2)	□ (see C.8.3)	□ (see C.10.3.4)
Knowledge of client's business sector	□ (see C.9.3)	□ (see C.8.4)	□ (see C.10.3.5)
Knowledge of the client's products, processes, and organization	□ (see C.9.4)		□ (see C.10.3.6)
Language skills appropriate to all levels within the client organization			□ (see C.10.3.7)
Note-taking and report-writing skills			□ (see C.10.3.8)
Presentation skills			□ (see C.10.3.9)
Interviewing skills			□ (see C.10.3.10)
Audit-management Skills			□ (see C.10.3.11)
NOTE Risk and complexity are other considerations when deciding the level of expertise needed for any of these functions.			

C.8 Competence requirements for personnel reviewing audit reports and making Certification Decisions

The functions of these personnel may be fulfilled by one or more persons.

C.8.1 Knowledge of audit principles, practices, and techniques, as specified in these Rules sufficient to understand a certification audit report.

C.8.2 Knowledge of Certification Requirements for certification sufficient to make a decision on the basis of a certification audit report.

C.8.3 Knowledge of a Certification Body's processes sufficient to determine if expectations of the certification body have been fulfilled based on the information submitted for review

C.8.4 Knowledge of the terminology, practices, and processes common to a client's business sector sufficient to understand an audit report in the context of the Certification Requirements.

C.9 Competence requirements for personnel conducting the application review to determine the audit team competence required, to select the audit team members, and to determine the audit time

The functions of these personnel may be fulfilled by one or more persons.

C.9.1 Knowledge of specific standards/normative documents and knowledge of the Certification Requirements.

C.9.2 Knowledge of a Certification Body's processes sufficient to assign competent audit team members and accurately determine audit time.

C.9.3 Knowledge of the terminology, practices, and processes common to a client's business sector sufficient to assign competent audit team members and accurately determine audit time.

C.9.4 Knowledge related to the types of products or processes of a client sufficient to assign competent audit team members and accurately determine audit time.

C.10 Requirements for Approved Auditors

C10.1 Before being confirmed as an Approved Auditor, each auditor shall:

- a) have legally enforceable agreements in writing with any Approved Certification Bodies for which they carry out evaluation and audit activities;
- b) hold a lead auditor qualification that is recognised by the Program Owner;
- c) complete an approved training course in auditing to the Certification Requirements;
- d) meet the requirements specified in 6.1 and the competence requirements specified in C10.3;
- e) observe at least one evaluation activities for LGAP certification, which must be onsite during an LGAP evaluation of an Operator or Facility;
- f) be able to read, write and converse in the English language and have working language skills for communicating effectively with the Applicant or Certified Entity being evaluated; and
- g) meet conflict of interest requirements as detailed in C.12.

C10.2 Requirements for Approved Auditor training and continuing professional development

Once confirmed as an Approved Auditor, each Auditor shall complete relevant professional development activity in each rolling three-year period comprising of at least the following:

- a) have carried out minimum 2 evaluations per year for each scope of approval held;
- b) attendance at all annual Approved Auditor training sessions;
- c) satisfactory witness assessment carried out by one or more Approved Certification Bodies, or the Program Owner;
- d) ongoing monitoring of the relevant LGAP information updates provided by the Program Owner to improve / maintain their current knowledge.

C10.3 Competence requirements for Approved Auditors

C.10.3.1 Knowledge of business management practices

Knowledge of general organization types, size, governance, structure and workplace practices, information and data systems, traceability systems, documentation systems, and information technology.

C.10.3.2 Knowledge of audit principles, practices, and techniques

Knowledge of generic audit principles, practices, and techniques, as specified in ISO 19011 and the Certification Requirements sufficient to conduct certification audit and evaluation activities, including the verification of the effective management and control of processes, management reviews, internal audits, livestock traceability exercises and corrective and preventive actions by Operators, Facilities and Traceability System Providers.

C.10.3.3 Knowledge of specific standards/normative documents

Knowledge of the Certification Requirements sufficient to determine if it has been effectively implemented and conforms to requirements.

C.10.3.4 Knowledge of certification body's processes

Knowledge of a Certification Body's processes sufficient to perform in accordance with the Certification Body's procedures and processes.

C.10.3.5 Knowledge of client's business sector

Knowledge of the terminology, practices, and processes common to a client's business sector sufficient to understand the sector's expectations in the context of the Certification Requirements.

C.10.3.6 Knowledge of client's products, processes, and organization

Knowledge related to the types of processes of an Operator, Facility or Traceability System Provider sufficient to understand how such an organization can operate, and how the organization can apply the requirements of the Certification Requirements. Specifically, Auditors shall have the following *knowledge*:

Table C10.3.6 – Auditor Knowledge

Knowledge required by the Auditor	Audited Entity				
	Exporter	Importer	Feedlot/ Farm	Abattoir	Traceability System Provider
Auditing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Operation of supply chains	<input type="checkbox"/>	<input type="checkbox"/>			
Methods of livestock identification	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Processes to control and record livestock movements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Systems, processes, and agreements to enable traceability of livestock throughout the supply chain	<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
Relevant regulatory requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Knowledge required by the Auditor	Audited Entity				
	Exporter	Importer	Feedlot/ Farm	Abattoir	Traceability System Provider
Transportation methods		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Animal handling methods		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Animal behaviour, health, husbandry, and welfare relevant to the species		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Environmental conditions and physical infrastructures		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Equipment and infrastructure required to achieve internal and/or external traceability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Slaughtering equipment and processes				<input type="checkbox"/>	
Appropriate methods of assessing the outcome of slaughter				<input type="checkbox"/>	
Emergency procedures, including emergency slaughter		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Processes for monitoring, verification, and reporting	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

C.10.3.7 Language skills appropriate to all levels within the client organization

Capable of communicating effectively to persons at any level of an organization using appropriate and relevant language(s), terms, expressions, and speech. All Approved Auditors must be able to read, write and converse in the English language.

C.10.3.8 Notetaking and report-writing skills

Capable of reading and writing with sufficient speed, accuracy, and comprehension to record, take notes, and effectively and accurately communicate audit findings and conclusions.

C.10.3.9 Presentation skills

Capable of presenting audit findings and conclusions to be easily understood. For the team leader, presenting to top management (e.g., closing meeting at the end of an onsite audit) audit findings, conclusions, and recommendations appropriate to the audience.

C.10.3.10 Interviewing skills

Capable of interviewing to obtain relevant information by asking open-ended, well formulated questions and listening to understand and evaluate the answers.

C.10.3.11 Audit-management skills

Capable of conducting and managing an audit to achieve the audit objectives within the agreed timeframe. For the team leader, capable of facilitating meetings for the effective exchange of information and capable of making assignments or re-assignments where necessary.

C.11 Use of audit teams and competency requirements of teams

C.11.1 At times the size and complexity of an Operator, Facility or Traceability System Provider is such that a team of Auditors may be required, rather than an individual Auditor.

C.11.2 Where an audit team is required in order to undertake an evaluation it is recognised that not all of the auditors need to have all of the necessary competencies to carry out the audit. However, the overall team must have all the competency requirements specified in these Certification Rules.

C.11.3 Approved Certification Bodies shall be able to justify the competencies of audit teams if requested to do so through the Program Owner's approval process. All members of an audit team must be Approved Auditors.

C.12 Conflict of interest requirements

C.12.1 Approved Certification Bodies and Approved Auditors shall not conduct evaluations of *Operators, Facilities or Traceability System Providers*, or issue certificates where a conflict of interest exists or potentially exists.

C.12.2 Where conflicts of interest exist or potentially exist, an Approved Certification Body may request the Program Owner to consider any arrangements they have in place to manage such a conflict of interest and therefore allow an Approved Certification Body and/or Approved Auditor to conduct evaluations and issue certificates.

C.12.3 Conflict of interest situations include but are not limited to:

- a) the evaluation of an Operator, Facility or *Traceability System Provider* where Approved Certification Body personnel have provided specific direction to that Operator, Facility or *Traceability System Provider* on how to conform with the LGAP Certification Requirements (e.g. design or drafting the Operator, Facility or *Traceability System Provider's* LGAP management system, consultative or advisory services in relation to managing traceability or animal welfare).
Should Approved Certification Body personnel have provided such specific advice as outlined in a), then a period of 12 months shall elapse before that Approved Certification Body may provide audit and certification services to that Operator, Facility or *Traceability System Provider*;
- b) where any Approved Certification Body personnel or *Approved Auditors* is or was in the previous 24 months an owner, board member, employee, close family member or associate of the Program Owner, any Operator, Facility or *Traceability System Provider* or a provider of products, services or solutions which would assist an Operator, Facility or *Traceability System Provider* in conforming with the Certification Requirements;
- c) arranging training or participating as a trainer for a company offering specific training on auditing or complying with requirements under LGAP. This may or may not be approved LGAP training;
- d) arranging training or participating as a trainer for a company offering specific training in which specific solutions to risks associated with the company's LGAP management system, *traceability system or traceability service* and conformity activities are discussed or provided;
- e) where any Approved Certification Body personnel has a direct financial interest in the business to be audited;
- f) where any Approved Certification Body personnel, including employees, close family members, associates, agents or contractors, has provided a product or service that would assist the Operator, Facility or *Traceability System Provider* to be audited in conforming with the Certification Requirements;
- g) preferential treatment of a person, organization or interest (including, but not limited to, pecuniary, commercial, political or religious) during a LGAP audit as a result of Approved Certification Body personnel's previous association with that person, organization or interest;
or
- h) where the Approved Certification Body personnel, or a close family member or associate of the Approved Certification Body personnel, has a direct relationship with a direct competitor of the business being audited. In this situation, the proprietor of the business should be notified of the relationship and allowed to decide whether the Approved Certification Body may continue to conduct the audit and certification of their business. Should the proprietor refuse, the Approved Certification Body should inform the Program Owner, who shall subsequently determine an appropriate course of action.

C.12.4 Failure to declare a potential conflict of interest by an Approved Auditor to the Approved Certification Body and/or by the Approved Certification Body to the Program Owner will result in a review of the Approved Certification Body's and/or Approved Auditor's approval. This may result in the approval being revoked.

C.12.5 Items considered not to present a conflict of interest, include but are not limited to:

- a) situations where personnel from the Approved Certification Body have provided general advice to a business, providing this advice does not include or provide specific direction to the business in how to manage a risk associated with LGAP or other areas of conformity;
- b) explaining nonconformities identified during a LGAP audit; or
- c) where information is provided that is generic information freely available in the public domain, and company-specific solutions are not provided or discussed.

Annex D Nonconformities

D.1 Definitions of nonconformities

There are three levels of nonconformity in LGAP, defined as follows:

Critical	<p>a) a non-fulfilment of a requirement that prevents the Applicant or Certified Entity achieving the intended outcomes which results in:</p> <ul style="list-style-type: none"> i. an adverse animal welfare outcome or the loss of animal traceability; or ii. a systematic and repeated failure to identify or acknowledge nonconformities and undertake corrective actions; or iii. reputational or liability risk for LGAP or the Program Owner; or <p>b) a major nonconformity for which the Applicant or Certified Entity has failed to resolve within the prescribed timeframe.</p>
Major	<p>a) a non-fulfilment of a requirement that adversely affects the Applicant or Certified Entity achieving the intended outcomes which results in, or has the potential to result in:</p> <ul style="list-style-type: none"> i. i. an adverse animal welfare outcome or the loss of animal traceability. ii. ii. a failure to identify or acknowledge nonconformities and undertake corrective actions; or iii. iii. reputational or liability risk for LGAP or the Program Owner; or <p>b) a minor nonconformity for which the Applicant or Certified Entity has failed to resolve within the prescribed timeframe.</p>
Minor	<p>a) a non-fulfilment of a requirement that does not affect the capability of the Applicant or Certified Entity to achieve the intended outcomes.</p>

D.2 Assigning nonconformities

The framework for determining the severity of nonconformity is provided in the following matrix, which considers the impact and the number of instances:

IMPACT	NUMBER OF INSTANCES		
	Infrequent	Numerous	Systemic
High welfare impact	Major	Major	Critical
Moderate welfare impact	Minor	Minor	Major
High traceability impact	Minor	Major	Critical
Moderate traceability impact	Minor	Major	Critical
Management system/paperwork	Minor	Major	Major

Each nonconformity must be evaluated based on the matrix above to determine the severity taking into account the specific circumstances witnessed by the auditor or as a result of customer feedback or complaints.

The meanings of the impacts and number of instances included in the matrix are provided below.

D.3 Impacts

- a) **high welfare impact** – circumstances which cause the animals:
 - i) pain; or
 - ii) distress;
- b) **moderate welfare impact** – circumstances which cause the animals short term discomfort;
- c) **high traceability impact** – circumstances in which:
 - i) animals cannot be traced; or
 - ii) animals are deliberately moved outside of a Certified Operator or Certified Facility to an uncertified Operator or Facility or other site; or
 - iii) if animals escape from a Certified Operator or Certified Facility and the fate of the animals is not known;
- d) **moderate traceability impact** – circumstances in which:
 - i) animals are moved without the knowledge of the Certified Operator or Certified Facility to an uncertified Operator or Facility or other site; or
 - ii) where animals escape from a Certified Operator or Certified Facility and the fate of the animals is known;
- e) **management system/paperwork** – related to management system or paperwork (e.g. records, documented procedures) but excludes system or paperwork related to traceability;

D.4 Number of Instances

- a) **infrequent** – a small number of occurrences or people:
 - i) for which a procedure is in place to prevent occurrence; or
 - ii) management intervention occurs and corrective action is applied;
- b) **numerous** – more than one person or multiple occurrences (not multiple animals):
 - i) for which a procedure is in place to prevent occurrences; or
 - ii) management intervention occurs but only after multiple occurrences and corrective action is applied;
- c) **systemic** – occurs (may only occur once) but:
 - i) no system is in place to prevent ongoing occurrence, allowing for systemic failure; or
 - ii) no management intervention occurs, or corrective action applied; or
 - iii) there is either:
 - no system; or
 - the issue is ingrained in the behaviour of personnel or within the system;

– or management believes the behaviour is acceptable and takes no action to resolve or only resolves after identification by the auditor.

NOTE 1 Unacceptable practice should always be raised as a major or critical nonconformity. Unacceptable practices are those identified in LGAP Standards.

NOTE 2 Except in the case of force majeure, instances of animals being deliberately moved out of a Certified Operator or Certified Facility and into another non-Certified environment (purposeful leakage) should always be raised as a major or critical nonconformity. Force majeure may not necessarily excuse a party's nonconformity with Certification Requirements and may only apply for the period that force majeure is evident.

Nonconformity Level	Timeframe to Close Nonconformity
Minor	30 days
Major	7 days
Critical	3 days
Suspension	30 days

Annex E Risk Assessment and Surveillance Frequency

The scope of the risk assessment is limited to an assessment of risk factors which may impact an Applicant's or Certified Entity's ability to continue to conform with the Certification Requirements and an assessment of the controls the Applicant or Certified Entity has in place to minimise or eliminate those risk factors.

Risk assessments vary depending on the type of Operator, Facility, traceability system or traceability service being assessed. The outcome of the risk assessment shall be a risk rating as defined in Table E1.

Approved Auditors shall undertake a risk assessment of Applicant and Certified Entities in accordance methods prescribed by the Program Owner from time-to-time and available in the AniMark IT CS.

The outcome of the risk assessment shall be a risk rating for each Applicant, Certified Entity and this in turn will set the frequency for subsequent internal audits and external surveillance activities.

NOTE: The risk rating for a Traceability System Provider may vary for each traceability system or traceability service they provide.

In the case of full certification, the AniMark IT CS will automatically set due dates in the AniMark IT CS for internal audit and external surveillance activities in accordance with the stated frequency in Table E1. In the cases of provisional or temporary certification, due dates shall be set at the Approved Certification Body and Program Owners discretion.

The Program Owner reserves the right to set an alternative risk rating taking into account the Applicant or Certified Entity's performance in fulfilling the Certification Requirements.

The Program Owner reserves the right to set alternative internal audit and surveillance activity frequencies taking into account the Applicant or Certified Entity's performance in fulfilling the Certification Requirements.

Any Certified Entity that has its certification involuntarily suspended or withdrawn will automatically receive a high-risk rating upon rectification. The high-risk rating will be applicable until the next external audit is conducted, at which time the Certified Entity's risk rating will be reassessed.

Table E1: Surveillance frequencies

	Risk Rating		
	Low Risk	Medium Risk	High Risk
Internal Audit	4 Monthly	3 Monthly	Monthly
Surveillance activities (including on-site or other audits or methods as approved by the Program Owner)	Annual	6 Monthly	3 Monthly
	Unscheduled (10% of all Certified Operators and Facilities per year)		
	Supply Chain Audits (5% of all Exporter Operator Supply Chains per year)		

Operators and Facilities that are selected for unscheduled audits are normally given notice of no more than 24 hours.

Annex F LGAP Certification Mark

F.1 Use of the Mark

F1.1 A Certified Entity as defined in the Certification Rules, is an Authorised User of the Certification Mark.

F1.2 An Authorised User may only use the Certification Mark in accordance with the Usage Guidelines for the LGAP Certification Mark.

F1.3 Other parties may be deemed to be an Authorised User of the Certification Mark, provided they have signed a Licence Agreement with the Program Owner and procedures have been put in place to ensure that the Certification Mark is only used in conformity with any conditions attached to that Licence Agreement.

F1.4 An Authorised User may identify the Certification Mark as a certification trademark.

F1.5 An Authorised User will not use the Certification Mark on any product that comes from an animal or on product packaging for products that may reach end users.

F1.6 An Authorised User may use the Certification Mark on stationery such as sales and contractual documents, letterheads, business cards, invoices, compliment slips, delivery slips, on advertising such as advertisements, displays, posters, TV advertisements, promotional videos, websites, brochures, on outdoor advertisements such as billboards and signs, on flags, on vehicles, on larger boxes or on over-packaging not reaching end users, on window stickers, on promotional goods such as pocket diaries, coffee mugs, coasters, doormats.

F1.7 Where the Certification Mark is used as per the above, the Authorised User shall ensure that the certification status promoted relates to the certified entity and not product certification.

F1.8 An Authorised User will not use the Certification Mark on test reports or certificates of compliance (such as calibration certificates or certificates of analysis) or reports or certificates relating to components not covered under the scope of LGAP (such as food safety).

F1.9 An Authorised User may use the Certification Mark on its website, provided that the Certification Mark is used as a hypertext link from its website to the Program Owner website.

F.2 Discontinuation of use

The Authorised User must immediately stop using the Certification Mark if they:

- a) voluntarily withdraws from LGAP; or
- b) has its certification suspended, or withdrawn; or
- c) fails to maintain certification;

F.3 Penalties

In case of improper use of the Certification Mark, the Program Owner may suspend or withdraw the certification and the right to use the Certification Mark in accordance with the suspension or withdrawal procedures contained in these Certification Rules.

Annex G Terms and Definitions

Consistent with the ISO/IEC Directives, Part 2, the following verbal forms of expression are used under LGAP:

- 'shall' indicates a requirement;
- 'should' indicates a recommendation;
- 'may' indicates a permission;
- 'can' indicates a possibility or a capability.

A term in a definition or note which is defined elsewhere in this clause is indicated by boldface followed by its entry number in parentheses. Such a boldface term may be replaced in the definition by its complete definition.

A concept limited to a special meaning in a particular context is indicated by designating the subject field in angle brackets, < >, before the definition, for example, traceability <external> (4.115).

NOTE 1 The notes appended to certain definitions offer clarification or examples to facilitate understanding of the concepts described. In certain cases, the notes may differ in different languages for linguistic reasons, or additional notes may be given.

No.	Term	Definition
1	Abattoir	A location where livestock are slaughtered and processed. NOTE 1 Slaughter is typically for food supply. NOTE 2 Also referred to as a slaughterhouse or processing establishment.
2	Adverse environmental conditions	Situations that result, or could result, in poor animal welfare outcomes due to climatic, physical or physiological causes.
3	Animal husbandry	The practice of caring for livestock .
4	AniMark IT Conformance System	The information technology system used to monitor and manage information related to evaluation, auditing and conformity under LGAP .
5	Appeal	A documented objection to an Approved Certification Body's certification decision by an Applicant , or Certified Entity .
6	Applicant	An Operator, Facility, Traceability System Provider or Service Provider that has submitted an application to the Program Owner , to be certified or approved pursuant to the Certification Requirements . NOTE In some cases, sponsors may submit an application on behalf of an Applicant . The Applicant remains responsible for demonstrating their fulfilment of the Certification Requirements .
7	Applicant (status)	The status given to an Applicant , within the AniMark IT Conformance System .

No.	Term	Definition
8	Application form	A documented form (in electronic or hard copy format) prescribed from time-to-time by the Program Owner listing all the information and associated documentation that must be completed by the Applicant and submitted to the Program Owner .
9	Approved	The granting of approval .
10	Approved (status)	The status given to a Service Provider to indicate they are approved .
11	Approved Auditor	An Auditor , operating under an Approved Certification Body , approved by the Program Owner to undertake audits, assessments and other evaluation activities pursuant to the Certification Requirements .
12	Approved Certification Body	A Certification Body approved by the Program Owner to provide evaluation and auditing services and carry out certification activities pursuant to the Certification Requirements .
13	Auditor	A person, who undertakes audit, assessments and other evaluation activities.
14	Authorised representative	A person that is nominated by the Program Owner , Approved Certification Body , Applicant or Certified Entity that is the formal contact point and whose up-to-date contact details are maintained on the Certification Directory .
15	Back up	An activity, procedure, process, infrastructure or equipment used if the original activity, procedure, process, infrastructure or equipment fails or is not available.
16	Baulking	An animal stopping and either refusing to proceed or attempting to turn back.
17	Capture	Obtaining traceability data at the point of origin.
18	Casting	The practice of bringing an animal to the ground to enable restraint .
19	Certification Body	A legal entity that provides evaluation and auditing services and carries out certification activities.
20	Certification Directory	A directory that is owned by the Program Owner that lists all Applicants and Certified Entities and gives the current status of certification and details of certificates.
21	Certification Mark	A mark owned by the Program Owner for representation to the marketplace that an Operator , Facility or Traceability System Provider's Traceability System is certified under LGAP .
22	Certification Requirements	The requirements that Operators , Facilities , Traceability System Providers and Service Providers demonstrate they fulfil to be certified or approved.
23	<i>Certification Rules</i>	<i>The rules for the administration and operation of LGAP.</i>

No.	Term	Definition
24	Certified	The granting of certification.
25	Certified Entity	A collective term referring to Certified Operators, Certified Facilities and Traceability System Providers who provide a Certified Traceability System or Certified Traceability Service . NOTE Traceability System Providers are not individually certified but rather their system is.
26	Certified (Full) (status)	The status given to a fully Certified Operator or Certified Facility, Traceability System Provider within the AniMark IT Conformance System .
27	Certified (Provisional) (status)	The status given to an Operator or Facility that has achieved provisional certification , within the AniMark IT Conformance System .
28	Certified (Temporary) (status)	The status given to an Operator or Facility that has been granted a temporary certification , within the AniMark IT Conformance System .
29	Certified Facility	Any Facility that has demonstrated their fulfilment of the Certification Requirements and has been certified pursuant to LGAP .
30	Certified Operator	Any Operator that has demonstrated their fulfilment of the Certification Requirements and has been certified pursuant to LGAP .
31	Certified Traceability Service	A Traceability System with Traceability Services that has demonstrated fulfilment of the Certification Requirements and has been certified pursuant to LGAP for use by Certified Operators or Certified Facilities .
32	Certified Traceability System	A Traceability System that has demonstrated fulfilment of the Certification Requirements and has been certified pursuant to LGAP for use by Certified Operators or Certified Facilities .
33	Collect	Transcribing or converting captured traceability data from one medium to another and entering it into the register .
34	Compatible groups	Groups of animals that, when held together, will not result in an adverse animal welfare outcome.
35	Complaint	A documented concern about the performance of the Program Owner, Approved Certification Body, Approved Auditor, Traceability System Provider or other person affecting LGAP , or about an Applicant , or Certified Operator, Certified Facility, Certified Traceability System , or Certified Traceability Service .
36	Compliance requirements	Regulatory or other requirements relating to any issue. NOTE This can include requirements under other conformity assessment programs.

No.	Term	Definition
37	Connect	To have a mutual relationship with. The process of establishing a relationship between two or more objects. Where a relationship between two or more objects has been established. To join two or more objects together. NOTE Objects may be physical objects or data and information.
38	Correction	Action to eliminate a detected nonconformity ¹
39	Corrective action	Action to eliminate the cause of a nonconformity and prevent reoccurrence. ¹
40	Critical control point	An activity, step, point, process or documented information defined by the Operator or Facility that are necessary to control in order to prevent a nonconformity and ensure ongoing fulfilment of the Certification Requirements .
41	Dashboard	A component of the AniMark IT Conformance System which can be accessed by Applicants and Certified Entities .
42	Day	Considered to be a business day.
43	Documented information	Information required to be controlled and maintained by a Facility , Operator or Traceability System Provider and the medium on which it is contained ² . NOTE 1 Documented information can be in any format and media and from any source.
44	Electric goad	A battery or mains operated electric baton designed to encourage animals to move, through the administration of an electric shock.
45	Electronic device	An electronic identification mechanism used to identify animals.
46	Equipment	Mechanical or electrical items that enable the activities of the Facility or Operator .
47	Event	A movement or exchange that needs to be traced.
48	Event <critical movement>	The entry or exit of an animal or group of animals into or out of a traceability location . NOTE Exiting the traceability location can be as a result of transfer to another traceability location for production, processing or breeding or death through natural causes or slaughter, including emergency slaughter.
49	Event <master level>	The first movement of an animal or group of animals into the originating traceability location . NOTE This can mean birth or importation.
50	Event <transaction>	An exchange between traceability parties where the physical custody or ownership of an animal or group of animal's changes.

¹ International Organization for Standardization (ISO) and the International Electrotechnical Commission (IEC) (2012). *ISO/IEC Directives*, ISO Supplement, Appendix 3 (3rd Edition)

² International Organization for Standardization (ISO) (2015). *ISO 9001 Quality Management Systems*.

No.	Term	Definition
51	Facility	A legal entity that undertakes activities associated with feedlots, farms, depots (see <i>feedlot</i>), or abattoirs .
52	Fall	An animal losing an upright position suddenly in which a part of the body other than the limbs touches the ground. ³
53	Farm	A site where livestock are: a) raised; or b) aggregated and fed.
54	Feedlot	A site where livestock are aggregated and intensively managed and fed a ration. NOTE Can also be referred to as a depot or registered establishment.
55	Flight zone	The distance from an animal at which a handler will cause a fight or flight (movement) response. NOTE For further information on flight zone, refer to Chapter 7.5 of the OIE <i>Terrestrial Animal Health Code</i> .
56	Force majeure	An extraordinary event or circumstance beyond the control of the Program Owner, Approved Certification Body, Approved Auditor, Operator, Facility or Traceability System Provider , such as a war, strike, riot, crime, political unrest, acts of higher authorities (such as police, government officials, etc.) or an act of nature (such as pandemic, cyclone, hurricane, flooding, earthquake, volcanic eruption, etc.) which prevents fulfilment of their roles and responsibilities pursuant to the Certification Requirements .
57	Full approval	A type of attestation that verifies the Service Provider has demonstrated they or their service fulfil all Certification Requirements .
58	Full certification	A type of attestation that certifies the Operator, Facility or Traceability System Provider has demonstrated fulfilment of all the Certification Requirements .
59	Hobbling	The practice of tying the legs of an animal to restrict movement and enable restraint .
60	Holding pen	Infrastructure in which animals are held during feeding or lairage . NOTE This does not include infrastructure where animals are being handled.
61	Hospital pen/ segregation areas	Areas to hold animals for further observation or treatment.
62	Identifier	A specific form of identification .
63	Identifier <physical>	A physical tag, marking, electronic device or other item that has been applied to a number of similar animals to identify them as a group.

³ Temple Grandin and American Meat Institute Animal Welfare Committee (2012). *AMI Foundation Animal Care and Handling Guidelines & Audit Guide*, August 2012. Certified and Accredited by the Professional Animal Auditor Certification Organization.

No.	Term	Definition
64	Identification	The method of identifying an animal or group of animals or the fact of being identified.
65	Identification documentation	A specific form of documented information used to assist in the identification of livestock where the group identification method is used.
66	Identifier <individual unique>	A physical tag, barcode, electronic device or other item that individually and uniquely identifies animals.
67	Infrastructure	Physical items that enable the activities of the Facility or Operator .
68	Investigation	The process of gathering evidence in response to a complaint or market feedback related to a suspected nonfulfillment of a requirement.
69	Isolation	Holding animals without visual or audible contact with animals of the same species.
70	Key data element	Specific information captured , collected and stored in relation to a master level event , transaction events or critical movement events .
71	Lairage	Infrastructure that has water and feed for livestock and is used to hold animals before their slaughter .
72	Lifetime	From the moment an animal enters an originating traceability location until its death or it becomes a breeder.
73	Livestock	Bovine (i.e. cattle), bubaline (i.e. buffalo), caprine (i.e. goats) and ovine (i.e. sheep).
74	Livestock handling tool	Non-electric implement designed to encourage livestock movement by making the handler appear bigger.
75	LGAP	Livestock Global Assurance Program.
76	Management system	Set of interrelated or interacting elements of an organization to establish policies and objectives and processes to achieve those objectives. ¹
77	Monitoring	Observation of a specified critical control point , event or situation in order to verify conformity with the requirements of the Certification Requirements .
78	Monitoring data	A recorded count or measurement of the results of monitoring .
79	Nonconformity	Nonfulfillment of a requirement or failure to demonstrate fulfilment of a requirement.
80	Not approved (status)	The status given to a Service Provider that it has not achieved approval under LGAP .
81	Not certified (status)	The status given to an Operator , Facility or Traceability System Provider that has not achieved certification under LGAP , within the AniMark IT Conformance System .

No.	Term	Definition
82	Nowhere to go	No space for livestock to move.
83	Operator	A legal entity involved in the exportation (Exporter) of livestock .
84	Pressure	The process of moving into an animal's flight zone (applying pressure) and then out of the flight zone (releasing pressure) to encourage movement.
85	Preventive action	Action to eliminate the cause of a potential nonconformity . ¹
86	Primary purpose	The main function of the traceability system , the reason it exists.
87	Program	Livestock Global Assurance Program (LGAP).
88	Program Owner	AniMark Limited, ABN 28 627 096 691
89	Program participants	Participants involved in the operation of LGAP , as provided in the Certification Rules .
90	Provisional approval	A type of attestation that verifies that a Service Provider has demonstrated fulfilment of some of the relevant Certification Requirements .
91	Provisional certification	A type of attestation that certifies that the Operator , Facility , Traceability System or Traceability Service has demonstrated fulfilment of some of the Certification Requirements .
92	Reconciliation	To check against another for accuracy and consistency.
93	Recumbency	The state of lying on the side (lateral recumbency) or on the sternum.
94	Register	A record containing regular entries of items and details which can be used to accept, store and transmit information.
95	Restraint	Positioning the animal for animal husbandry , management, stunning or slaughter .
96	Reuse	The process of collecting, recovering, accounting for and disinfecting used components (separately or as a whole) in identifiers and reissuing them for the same purpose.
97	Secure	Appropriate protections and controls to minimise the risk of, where relevant: <ul style="list-style-type: none"> – loss of confidentiality; – improper use; – loss of integrity; – unauthorised access; – unauthorized changes; – predation; – escape; and – theft.

No.	Term	Definition
98	Segregation	The separation of livestock either by holding them physically separate or having them present on site at different times. NOTE Separation does not imply isolation .
99	Service Provider	An entity or individual that provides services to Program participants .
100	Site	Geographical location of the operation of an Operator or a Facility . NOTE 1 An Operator or a Facility may have operations at one or more sites. NOTE 2 Geographical location may be identified through global positioning system coordinates (GPS), street addresses etc.
101	Slaughter	Process of bleeding (throat cut or thoracic stick) to cause death of the animal. NOTE Also may be referred to as sticking, bleeding or exsanguination.
102	Slip	Loss of footing resulting in part of the limb (e.g. knee or hock) making contact with the ground. ³
103	Specified supply chain	The individual supply chain from which specific livestock are sourced from and moved through.
104	Static visual imagery	A specific form of documented information relating to an digital image that does not move.
105	Stunning	Practice of rendering an animal unconscious and insensible to pain.
106	Supply chain	The network of Operators and Facilities involved in moving livestock from supplier to customer.
107	Supply Chain Traceability System	A system providing traceability from the originating master level event to the end of its lifetime .
108	Suspended	The loss of the right to use certification or approval for a specified time.
109	Suspended (status)	<i>The status given to a Certified Entity that has had their certification suspended, within the AniMark IT Conformance System.</i>
110	Suspended (Voluntary) (status)	<i>The status given to a Certified Entity that has voluntarily suspended their certification, within the AniMark IT Conformance System.</i>
111	Surveillance	The systematic iteration of audit and evaluation activities as a basis for maintaining the validity of certification.
112	Target	A specified measure that must be achieved to fulfil a requirement and that is evaluated based on monitoring data .

No.	Term	Definition
113	Top management	<p>Person or group of people who directs and controls a Facility, Operator or Traceability System Provider at the highest level.¹</p> <p>NOTE 1 Top management has the power to delegate authority and provide resources within the organization.</p> <p>NOTE 2 If the scope of the management system covers only part of an organization then top management refers to those who direct and control that part of the organization.</p>
114	Traceability	Ability to identify animals and monitor and track their movement.
115	Traceability <external>	<p>Documented information exchanged between Operators and Facilities to achieve traceability.</p> <p>EXAMPLE tallies and monitoring data related to animal identification and recording of movement and associated business processes and procedures.</p>
116	Traceability <internal>	Documented information of a proprietary nature that allows a Facility or Operator to achieve traceability within its own operations.
117	Traceability data	Details, especially facts or numbers, collected to be examined and considered and used in relation to a master level event , transaction events , critical movement events and key data elements .
118	Traceability location	<p>Geographical location where animals are kept, reared, housed, gathered or temporarily handled.</p> <p>NOTE 1 A traceability location will typically be a Facility or Operator's site.</p> <p>NOTE 2 Can also be referred to as premises, establishment, holding or site.</p>
119	Traceability location <originating>	<p>The traceability location where the animal or group of animals enters the supply chain.</p> <p>NOTE This can include location of birth or importation.</p>
120	Traceability party	<p>The entity that has either ownership or physical custody of the individual animal or group of animals at a traceability location and as they move between traceability locations.</p> <p>NOTE Types of traceability parties can include Operators or Facilities.</p>
121	Traceability services	<p>Activities performed and resources provided by a Traceability System Provider that enable traceability in place of a Facility or Operator performing those activities or providing those resources.</p> <p>NOTE Traceability services are usually provided by a Traceability System Provider in addition to a traceability system.</p>
122	Traceability system	A group of interacting and interrelated items, rules, processes and parts forming a unified whole to achieve the primary purpose .
123	Traceability System Provider	The entity providing the traceability system , including its personnel, agents and representatives.
124	User	An individual person who uses the traceability system .
125	User group	Category of users .

No.	Term	Definition
126	Under evaluation (status)	The status given to an Applicant whose application is currently being considered for certification within the AniMark IT Conformance System .
127	Veterinarian	A person qualified in veterinary medicine or veterinary science and recognized by the relevant authority.
128	Veterinary guidance	Recommendation or supervision by a veterinarian .
129	Video surveillance	Use of video cameras to monitor and record an animal, a group of animals or a place.
130	Video surveillance footage	A specific form of documented information relating to the electronic recording produced by video surveillance .
131	Visual information	A specific form of documented information used as supporting evidence.
132	Vocalisation	An audible sound (e.g. bellow) from bovine (i.e. cattle) in response to direct handling or restraint .
133	Withdrawn	The permanent loss of certification or approval .
134	Withdrawn (status)	The status given to a Certified Entity that has had their certification withdrawn , within the AniMark IT Conformance System .
135	Withdrawn (Voluntary) (status)	<i>The status given to a Certified Entity that has voluntarily withdrawn their certification, within the AniMark IT Conformance System.</i>
136	Withholding period (WHP)	The minimum period of time that must lapse between the last application (including through the feeding of treated feed) of a substance to an agricultural commodity and the use of that commodity.

Annex H Document Control

Version #	Operative Date	Reason for Change
2.0	23/06/2021	Initial adoption of new Standards
3.0	TBA	Post Implementation Review

The latest version of the LGAP Standards and Rules can be downloaded from the AniMark website: <https://www.animark.com.au/>