

# Livestock Global Assurance Program

## Certification Rules

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**Final 1.0**

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## Foreword

The Livestock Global Assurance Program (LGAP) is an international certification program designed to foster world's best practice in the management and welfare of livestock that are intended for slaughter for food supply, or for cultural or religious observances.

LGAP was developed in a collaborative partnership between Meat & Livestock Australia, the Australian Livestock Export Corporation and the Australian Government through research and development projects undertaken between 2013 and 2016.

LGAP was developed in response to increasing expectations of the international community for assurance of the appropriate management of livestock and reflects contemporary international expectations in terms of specifying requirements for animal welfare, management systems, chain of custody and traceability as expressed in the OIE guidelines, international standards and scientific research.

Operators and Facilities fulfilling the LGAP Certification Requirements (i.e. the LGAP Certification Rules and LGAP Standards) may seek certification under LGAP.

This is the first edition of the Certification Rules.

## Document control

### Language

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

### Changes to documents

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

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

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

Date	Amendment	Approved by	New version number
31/01/2016	Public Version		1.0

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# 1 Introduction

The Livestock Global Assurance Program (LGAP) is an international certification program designed to foster world's best practice in the management and welfare of livestock that are intended for slaughter<sup>1</sup> for food supply, or for cultural or religious observances.

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

Livestock are an important source of protein for the global community. How livestock are treated through the supply chain is of increasing concern to the global community which is seeking assurances that certain expectations for animal welfare are met.

Such expectations are generally provided in the guidance that is contained within the World Organisation for Animal Health (OIE) Terrestrial Animal Health Code (OIE Code) and supported by specific market and trade regulations and requirements.

LGAP provides a method through which the guidance in the OIE Code is converted into a set of verifiable international requirements for the welfare and management of livestock which Operators and Facilities can then be audited against and certified by independent third-party certification bodies.

The Program is designed to:

- define and support animal welfare, husbandry and management practices based on international precedents and scientific evidence;
- 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 assurances 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.

LGAP encourages the adoption of animal welfare for all animals managed by an Operator or Facility, and in doing so aims to improve animal welfare for both domestically and internationally sourced livestock.

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

To be certified under LGAP, Operators and Facilities must demonstrate that they fulfil the Certification Requirements detailed in clause 5 of this document.

LGAP certification may be specified by:

<sup>1</sup> Future editions of this Standard are expected to cover breeding livestock.

- regulators to regulate supply, production, management or processing of livestock;
- livestock organisations, including industry bodies, that wish to set a benchmark for their members to maintain during the supply, management and processing of livestock;
- commercial and retail supply chains that require their suppliers to demonstrate a commitment to animal welfare and traceability outcomes; and
- any other parties that have an interest in animal welfare and traceability.

## 2 Scope of the Program

LGAP provides for certification of Operators and Facilities that export, import, manage and process livestock that are intended for slaughter and can be applied in any jurisdiction. Slaughter may be for food supply, or for cultural or religious observances.

The requirements under LGAP cover animal welfare and health; personnel; infrastructure and equipment; animal identification and movement; transport; slaughter and processing.

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

LGAP certification is applicable to the following types of Operators and Facilities:

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

Management of livestock for the following purposes are not directly addressed through LGAP:

- animals used for research and educational activities;
- animals in animal shelters and zoos; companion animals;
- management of stray and wild animal populations;
- aquatic animals;
- management of livestock for public or animal health purposes under the direction of the competent authority;
- humane killing traps for nuisance and fur species;
- animals used in competitive sports;
- animals exported for breeding;

- transport of livestock by sea and air across international borders subsequent to initial export from country of origin; or
- animals slaughtered for the pet food industry.

### 3 Terms and definitions

Under these Certification Rules the following terms and definitions apply:

Appeal	A documented objection to an Approved Certification Body's certification decision by an Operator or Facility.
Applicant	An Operator or Facility that has submitted an application to be certified 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.
Applicant (status)	The status given to an Applicant, in particular within the LGAP Conformance System
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.
Approved Auditor	A person, operating under an Approved Certification Body, approved by the Program Owner to undertake audits pursuant to the Certification Requirements.
Approved Certification Body	Any legal entity approved by the Program Owner to provide evaluation and auditing services and carry out certification activities pursuant to the Certification Requirements.
Authorised Representative	A person that is nominated by the Program Owner, Approved Certification Body, Applicant, Operator or Facility, that is the formal contact point and whose up-to-date contact details are maintained on the Certification Directory.
Certification Directory	A directory that is owned by the Program Owner that lists all Applicants, Certified Operators and Certified Facilities and gives the current status of certification and details of certificates.
Certification Mark	A mark owned by the Program Owner for representation to the marketplace that the Operator or Facility is certified under LGAP.
Program	Livestock Global Assurance Program (LGAP).
Certification Requirements	The requirements that Operators and Facilities demonstrate they fulfil in order to be certified.



Certification Rules	The rules for the administration and operation of LGAP.
Certified	The granting of certification.
Certified (Full) (status)	The status given to a fully certified Operator or Certified Facility, in particular within the LGAP Conformance System.
Certified (Provisional) (status)	The status given to an Operator or Facility that has achieved provisional certification, in particular within the LGAP Conformance System.
Certified (Temporary) (status)	The status given to an Operator or Facility that has been granted a temporary certification, in particular within the LGAP Conformance System.
Certified Facility	Any Facility that has demonstrated their fulfilment of the Certification Requirements and has been certified pursuant to LGAP.
Certified Operator	Any Operator that has demonstrated their fulfilment of the Certification Requirements and has been certified pursuant to LGAP.
Complaint	A documented concern about the performance of the Program Owner, Approved Certification Body, Approved Auditor or other person affecting LGAP, or about an Applicant, or Certified Operator or Certified Facility.
Days	Considered to be business days.
Facility	A legal entity that undertakes activities associated with feedlots, farms or abattoirs.
Force majeure	An extraordinary event or circumstance beyond the control of the Program Owner, Approved Certification Body, Approved Auditor, Operator or Facility, 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 cyclone, hurricane, flooding, earthquake, volcanic eruption, etc.) which prevents fulfilment of their roles and responsibilities pursuant to the Certification Requirements.
Full certification	A type of attestation that certifies the Operator or Facility has demonstrated fulfilment of all the certification requirements.
LGAP	Livestock Global Assurance Program.
LGAP Conformance System	The system used to monitor and manage information related to evaluation, auditing and conformity under LGAP.
LGAP CS	LGAP Conformance System.
Nonconformity	Non-fulfilment of a requirement or failure to demonstrate fulfilment of a requirement.

Not Certified (status)	The status given to an Operator or Facility that has not achieved certification under LGAP, in particular within the LGAP Conformance System.
Operator	A legal entity involved in the exportation (Exporter) or importation (Importer) of livestock.
Operator Dashboard	A component of the LGAP CS which can be accessed by Operators.
Program Owner	Meat & Livestock Australia Limited ACN 081 678 364 jointly with Australian Livestock Export Corporation Limited ACN 88 082 408 740
Provisional certification	<p>A type of attestation that certifies that the Operator or Facility has demonstrated fulfilment of some of the certification requirements.</p> <p>NOTE Provisional certification may be given to Operators and Facilities that have not yet managed livestock but appear to be ready to do this in accordance with the certification requirements. Such Operators and Facilities are further assessed for full certification when their first group of livestock is managed.</p>
Specified supply chain	The individual supply chain from which specific livestock are sourced from and moved through.
Supply chain	The network of Operators and Facilities involved in moving livestock from supplier to customer.
Suspended	The loss of the right to use certification for a specified time.
Suspended (status)	The status given to a Certified Operator or Certified Facility that has had their certification suspended, in particular within the LGAP Conformance System.
Suspended (Voluntary) (status)	The status given to a Certified Operator or Certified Facility that has voluntarily suspended their certification, in particular within the LGAP Conformance System.
Surveillance	The systematic iteration of audit and evaluation activities as a basis for maintaining the validity of certification.
Under Evaluation (status)	The status given to an Applicant whose application is currently being considered for certification, in particular within the LGAP Conformance System.
Withdrawn	The permanent loss of certification.
Withdrawn (status)	The status given to a Certified Operator or Certified Facility that has had their certification withdrawn, in particular within the LGAP Conformance System.
Withdrawn (Voluntary) (status)	The status given to a Certified Operator or Certified Facility that has voluntarily withdrawn their certification, in particular within the LGAP Conformance System.



## **4 Program ownership and responsibilities**

### **4.1 Program ownership**

LGAP is owned and administered by the Program Owner.

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

- a) the Program Owner;
- b) Approved Certification Body(ies);
- c) Approved Auditors; and
- d) Applicants, Certified Operators and Certified Facilities.

The Certification Requirements, including these Certification Rules, shall form part of the legally enforceable agreements between the above parties.

### **4.2 Responsibilities of the parties**

#### **4.2.1 Program Owner**

The responsibilities of the Program Owner include:

- a) establishing, maintaining and reviewing the Certification Requirements, including these Certification Rules;
- b) notifying any changes to LGAP and the Certification Requirements to the parties and setting any transition deadlines or arrangements;
- c) administering and operating LGAP in an effective, impartial and objective manner;
- d) maintaining finances, reserves and insurances to ensure ongoing operation of LGAP and to cover liabilities arising from its operation;
- e) appointing one or more Approved Certification Bodies to undertake certification activities pursuant to LGAP, including undertaking assessments and witnessing certification bodies;
- f) authorising one or more Approved Auditors operating under Approved Certification Bodies to undertake auditing activities pursuant to LGAP, including undertaking assessments and witnessing of auditors;
- g) appointing other personnel critical for the operation of LGAP;
- h) fostering the support, recognition and adoption of LGAP internationally; and
- i) managing information and communications, providing notice and maintaining confidentiality in accordance with the Certification Requirements.

#### **4.2.2 Approved Certification Bodies**

The responsibilities of the Approved Certification Bodies are:

- a) carrying out certification activities (including carrying out evaluation and audit activities, making certification decisions and issuing certificates in the prescribed formats) in accordance with the Certification Requirements in an impartial and objective manner;
- b) administering any transitional arrangements associated with changes to LGAP or Certification Requirements;
- c) 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 or Facilities that may impact on the impartiality and objectivity of certification pursuant to LGAP;
- d) maintaining finances, reserves and insurances to ensure ongoing delivery of certification activities and to cover liabilities arising from operation of LGAP;
- e) ensuring the competency of Approved Auditors and other personnel critical for the operation of LGAP;
- f) managing information and communications, undertaking notice and maintaining confidentiality in accordance with the Certification Requirements;
- g) using, entering and maintaining, in a timely and accurate manner, and in accordance with the timeframes in Annex A, all relevant data on the LGAP CS using the English language, including but not limited to:
  - i. Applicant, Operator and Facility information;
  - ii. evaluation information, audit reports, nonconformities, corrective actions;
  - iii. Operator and Facility performance indicators and risk assessment outcomes;
  - iv. certification decisions;
  - v. uploading certificates and maintenance of certification status on the Certification Directory;
  - vi. details of Approved Auditors;
  - vii. certification body management system activities associated with providing certification under the LGAP, such as:
    - accreditation body reports and accreditation status;
    - internal audit reports;
    - management reviews;
    - impartiality mechanism reports;
    - nonconformities and follow up of corrective actions; and
    - complaints; and
- h) any other reporting requirements established by the Program Owner from time-to-time.

### 4.2.3 Approved Auditors

The responsibilities of the Approved Auditors 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 data on the LGAP CS in the English language as directed by the Approved Certification Body in a timely and accurate manner, and in accordance with the timeframes in Annex A;
- c) maintaining appropriate levels of competency to effectively perform evaluation and audit activities;
- d) managing information and communications, providing notice and maintaining confidentiality in accordance with the Certification Requirements; and
- e) any other reporting requirements established by the Program Owner from time-to-time.

### 4.2.4 Applicants and Certified Operators and Certified Facilities

The responsibilities of Applicants and Certified Operators and Certified Facilities are:

- a) making applications to become certified;
- b) demonstrating their ongoing fulfilment of the Certification Requirements;
- c) entering and maintaining relevant data on the LGAP CS pursuant to LGAP, including results of internal audits in accordance with the timeframes in Annex A;
- d) facilitating and providing access to information, sites, infrastructure, equipment, livestock and personnel, including in situations where the certification status is suspended or withdrawn, to enable audits, evaluations (including planned, random and unannounced audits and evaluations) to be undertaken;
- e) facilitating and providing access to information, sites, infrastructure, equipment, livestock and personnel, including in situations where the certification status is suspended or withdrawn, to enable:
  - i) investigations of complaints or market feedback to be undertaken;
  - ii) corrective actions to be undertaken and verified; and
  - iii) contingency plans to be implemented;
- f) undertaking corrective actions and closing out of nonconformities in a comprehensive and timely manner;
- g) adhering to the terms of certification decisions and use of certification marks;
- h) managing information and communications, providing notice and maintaining confidentiality in accordance with the Certification Requirements; and
- i) conducting their operations in a manner that does not present a risk to the reputation of LGAP.

## 5 Certification Requirements

### 5.1 Certification Requirements

The Certification Requirements under LGAP include:

- a) the LGAP Certification Rules (this document);
- b) the LGAP Standards - which consist of:
  - i) LGAP 1000 *Livestock assurance - Fundamentals and vocabulary*;
  - ii) LGAP 1001 *Livestock assurance – Requirements for animal welfare and management*;
  - iii) LGAP 1002 *Livestock assurance – Requirements for the management system of Operators and Facilities*; and
  - iv) LGAP 1003 *Livestock assurance – Requirements for Operator chain of custody*; and
- c) any notices, policies, procedures or other documents or instructions issued by the Program Owner from time-to-time to enable the operation of LGAP.

### 5.2 Application of LGAP Standards

The LGAP Standards shall be applicable to Operators and Facilities in the following manner:

Standard / Application	LGAP 1000	LGAP 1001	LGAP 1002	LGAP 1003
Exporter Operator	Applicable		Applicable	Applicable
Importer Operator	Applicable	Applicable	Applicable	Applicable
Feedlot Facility	Applicable	Applicable	Applicable	
Farm Facility	Applicable	Applicable	Applicable	
Abattoir Facility	Applicable	Applicable	Applicable	

## 6 Requirements for Approved Certification Bodies

Approved Certification Bodies shall demonstrate and maintain fulfilment of the following:

- a) relevant requirements in the Certification Requirements;
- 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 from time-to-time by the Program Owner; and
- d) formal recognition from the Program Owner that the certification body is approved as being 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.

## 7 Requirements for Approved Auditors

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

- a) relevant requirements in the Certification Requirements;
- b) have legally enforceable agreements 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; and
- d) satisfactory ongoing performance in relation to their responsibilities as may be reviewed from time-to-time by the Program Owner.

Approved auditors will hold formal recognition from the Program Owner that the auditor is approved as being able to deliver auditing services under LGAP.

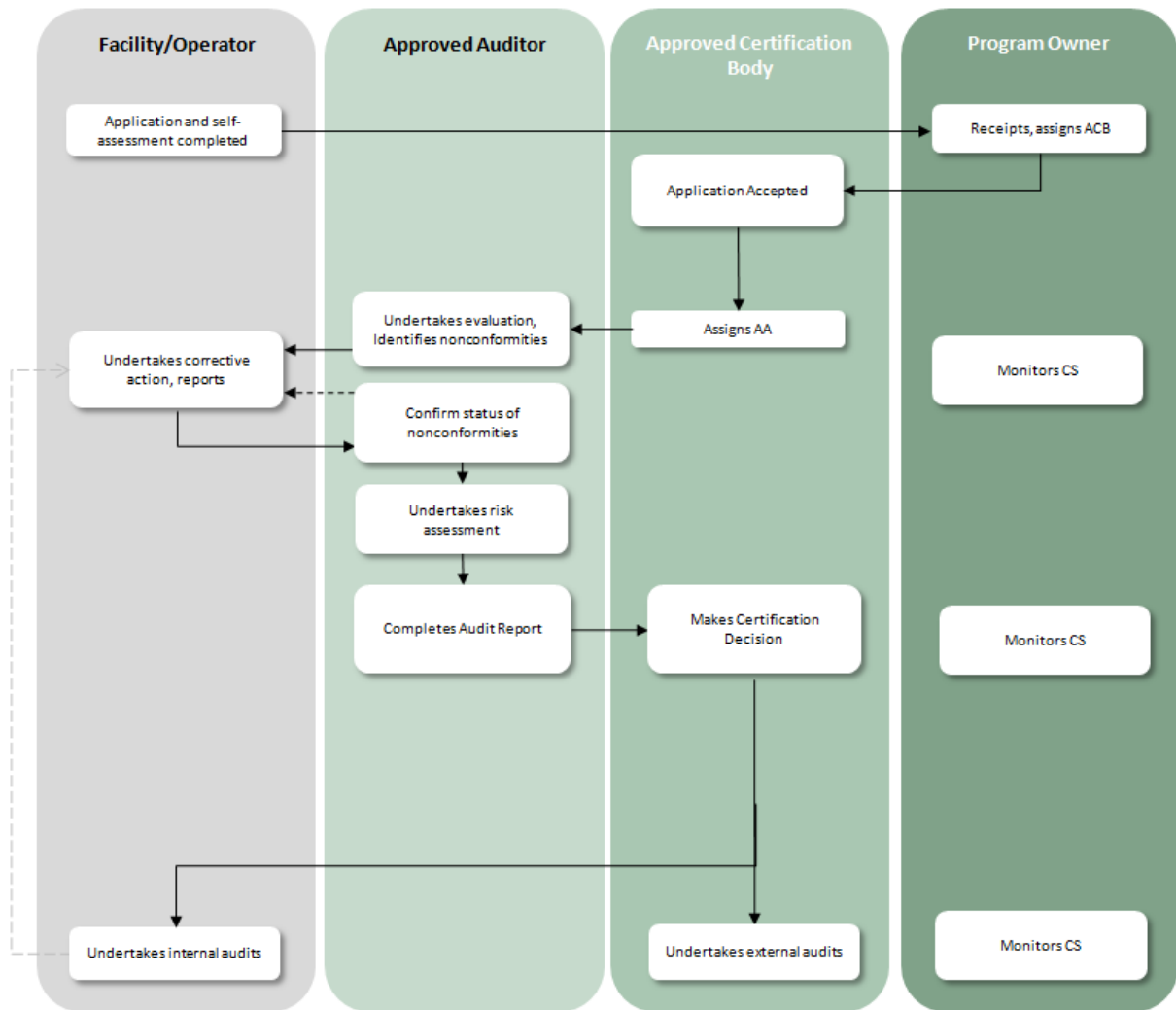
## 8 Certification process

### 8.1 Certification process overview

The flow chart in Figure 1 provides an overview of the certification process. 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*





## 8.2 Application

The Applicant shall submit an application to the Program Owner using the prescribed Application Form and include all documentation that is requested.

The Application Form requires the Applicant to specify:

- the entity details, including the legally registered name and contact details;
- a formal Authorised Representative, as well as their contact details including email address;
- the person/s nominated as the internal auditor, and their contact details, including email address;
- the type of Operator or Facility it is (i.e. Exporter, Importer, Feedlot, Farm or Abattoir);
- the species to be covered in the scope of certification (Bovine (e.g. cattle), Bubaline (e.g. buffalo), Caprine (e.g. goats) or Ovine (e.g. sheep));
- the level or combination of levels of certification (as provided in Annex G)
- where Level 2 or Level 3 is selected, the specified supply chain for each species;

**NOTE** If two or more specified sources of supply are used for the same species, and different levels of certification are requested for each specified source of supply (e.g. Level 1 certification for local cattle and Level 2 for cattle from Australia) then the Operator or Facility must demonstrate that they have appropriately identified, segregated and managed the cattle from the different specified supply chains).

h) if the Applicant is an abattoir, the extent to which stunning or no stunning is used.

The Application Form includes a declaration to be agreed upon by the Applicant committing it to:

- a) continually and consistently demonstrate the fulfilment of Certification Requirements; and
- b) 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 or Certified Operator or Certified Facility.

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

Where a separate management system is used at each site, a separate application and certification shall be required for each site.

Where the same management system applies to two or more sites that carry out the same type of activity (eg two or more abattoirs), only one application is required but each site must be listed separately.

Where an Operator or Facility undertakes more than one type activity at a site (eg being an importer and a feedlot, or being a feedlot and an abattoir) they must apply for two separate certifications.

Upon an application's acceptance by the Program Owner, the Facility or Operator will be required to pay the appropriate fees before being given access to relevant parts of the LGAP CS.

### **8.3 Self-assessment**

After completing the Application Form, the Applicant shall undertake a self-assessment using the LGAP CS. 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.

The self-assessment shall be submitted to the Program Owner. Payment of any relevant fees is to be made at the time the self-assessment is submitted.

### **8.4 Application review and confirmation**

The Program Owner shall:

- a) review the submitted application, self-assessment 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) approve or decline the application; and:
  - i. where declined, an explanation will be provided to the Applicant; or
  - ii. where approved, 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 approval.

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, taking into account the official language of the Operator or Facility. Assigned Approved Auditors must be rotated after two 3-year certification cycles with the same Operator or Facility;
- c) formally notify the Applicant of the allocation of the Approved Auditor.

## 8.5 Internal audit

Using the LGAP CS, the Facility or Operator is required to:

- a) undertake at least one internal audit and upload the results prior to the first on-site audit by the Approved Auditor; and
- b) upload the results of all subsequent internal audits which are to be undertaken at a frequency that is prescribed by the risk rating of the Facility or Operator (see Annex E).

Internal auditors shall have knowledge and skills in how to conduct internal audits and understand the Certification Requirements. Internal auditors must have attended a training course authorised by the Program Owner.

Internal auditors must be appointed by the Facility or Operator to ensure objectivity and the impartiality of the process. In particular, internal auditors may not:

- a) audit their own area of responsibility or an area in which they have contributed either through the provision of service, technology, knowhow, training, consultation or other; or
- b) be associated in any way, either directly or indirectly, with the Facility's or Operator's allocated Approved Certification Body or Approved Auditor.

When an internal audit results in a nonconformity being raised, the Facility or Operator is to undertake the appropriate correction and corrective action in accordance with their own management system. Evidence of correction and corrective actions shall be recorded in the LGAP CS.

Failure to undertake internal audits at a frequency prescribed in Annex E or record corrective action in the LGAP CS shall result in a critical nonconformity being raised by the Approved Certification Body or the Program Owner.

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.

## 8.6 Evaluation

The principle evaluation technique in LGAP is an audit.

The audit shall be undertaken by the assigned Approved Auditor.

The evaluation plan consists of:

- a) desk top document review - a review of the application and any submitted documents against the Certification Requirements;
- b) self-declaration of conformity - receipt of a formal publicly available declaration by the Applicant, Certified Operator or Certified Facility that it fulfils the Certification Requirements;
- c) on-site audit of the Applicant, Certified Operator or Certified Facility to gather evidence on the extent to which the Applicant, Certified Operator or Certified Facility is fulfilling the LGAP Certification Requirements. On-site audit must occur when livestock are being managed by the Applicant, Certified Operator or Certified Facility and shall focus on observed practices, competencies and behaviours appropriate to the scope of certification being sought, and dialog with the personnel that are directly involved with the livestock; and
- d) review of the Applicant's, Certified Operator's or Certified Facility'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.

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.

In the case of new Applicants that have not yet managed livestock, a preliminary evaluation may be undertaken covering items (a), (b) and (d) in the above list. Demonstration of the fulfilment of these items at this stage may result in a provisional certification being granted.

Operators and Facilities with provisional certification must undertake an on-site audit in accordance with item (c) in the above list during the first time that they manage livestock. Satisfactory fulfilment of requirements at the on-site audit can result in a decision by the Approved Certification Body for full certification.

The Approved Auditor shall contact the Applicant, Certified Operator or Certified Facility to request further information or documents (if required) in order to confirm the Applicant, Certified Operator or Certified Facility demonstrated fulfilment of the Certification Requirements.

Facilities and Operators will be required to pay the scheduled fees prior to external evaluation activities occurring.

## 8.7 Nonconformities

Nonconformities can arise through:

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

If, after requesting additional information from the Applicant, Certified Operator or Certified Facility within a specified period, no information is forthcoming or is inadequate, the Approved Auditor may issue and communicate to the Applicant, Certified Operator or Certified Facility one or more formal nonconformities.

The nonconformities shall be categorised as being minor, major or critical as defined in Annex D.

If the nonconformity is part of an evaluation activity for initial certification or recertification, the Approved Auditor shall note this in their Evaluation Report. If the nonconformity is a major or critical nonconformity, the Approved Auditor shall not recommend that certification be granted or continued until such time as the nonconformity has been corrected.

If the nonconformity is part of an evaluation activity for surveillance, the Approved Auditor shall note this in their Evaluation Report and the nonconformity shall be required to be closed out within a prescribed timeframe.

If the nonconformity has resulted from actions not associated with a specific evaluation activity, such as in response to feedback or a complaint, the nonconformity shall be required to be closed out within a prescribed timeframe.

To the satisfaction of the Approved Auditor, the Applicant, Certified Operator or Certified Facility must respond with evidence that the nonconformity has been adequately resolved through appropriate corrective action within the timeframes prescribed in Annex D.

If the Certified Operator or Certified Facility does not respond with sufficient evidence within the prescribed timeframe, the nonconformity may 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 9.3); or
- d) if certification is suspended and the nonconformity remains open, certification shall be withdrawn (refer 9.4).

If a nonconformity is escalated, a revised due date for completion of the specified corrective actions will be notified to the Applicant, Certified Operator or Certified Facility.

## 8.8 Evaluation Report

The Approved Auditor shall prepare an Evaluation Report containing:

- a) their findings in relation to each of the components of the evaluation plan (see 8.6);

- b) any outstanding nonconformities; and
- c) a certification decision recommendation including any conditions.

The Evaluation Report shall be submitted to the Approved Certification Body for review and a Certification Decision. The Evaluation Report shall be recorded within the LGAP CS within the timeframes specified in Annex A.

## 8.9 Risk Assessment and Risk Rating

After undertaking the evaluation activities or preparing the Evaluation Report, the Approved Auditor shall undertake a Risk Assessment of the Applicant, Certified Operator or Certified Facility and establish a Risk Rating. The Risk Assessment methodology shall be prescribed by the Program Owner (see Annex E) and be recorded within the LGAP CS within the timeframes specified in Annex A.

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

Risk Assessments will vary depending on the type of Operator or Facility being assessed. The outcome of the Risk Assessment will be a Risk Rating as defined in Annex E.

The Risk Rating of the Certified Operator or Certified Facility informs the frequency and nature of the surveillance activities and internal audits that apply to that Certified Operator or Certified Facility. At the end of every evaluation activity the Risk Assessment will be repeated and the Risk Rating reassigned accordingly.

Applicants, Certified Operators and Certified Facilities may appeal a decision on a Risk Rating under the provisions of subclause of 8.11 of these Certification Rules.

The risk rating of the Certified Operator or Certified Facility shall be displayed on the Operator Dashboard within the LGAP CS.

The Program Owner reserves the right to set an alternative Risk Rating taking into account the Facility's or Operator's performance in fulfilling the Certification Requirements.

## 8.10 Certification Decision

The Approved Certification Body shall assign each Evaluation Report to a person that is responsible for reviewing the Evaluation Report and making a Certification Decision.

The person reviewing the Evaluation Report and making the Certification Decision must be different from those persons involved in undertaking the audit, or preparing the Evaluation Report, and must not have had a relationship with the Applicant, Certified Operator or Certified Facility 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).

The Certification Decision shall be based on the application, any submitted documents or other correspondence and the Evaluation Report's content and findings.

The Certification Decision to grant, decline, maintain, suspend, reduce, expand or withdraw certification shall be communicated to the Applicant, Certified Operator or Certified Facility by the Approved Certification Body, along with a specified timeframe within which the

Applicant, Certified Operator or Certified Facility may lodge an Appeal against the Certification Decision. The specified timeframe shall be 14 days from the receipt of the decision.

The Certification Decision to grant, decline, maintain, suspend, reduce, expand or withdraw certification shall be recorded on the LGAP CS within the timeframes specified in Annex A.

Where Level 2 certification is granted to a Facility or Operator for a specified supply chain, the relevant livestock shall only be received from, or sent to, other Facilities or Operators that also have Level 2 certification for the same specified supply chain.

## 8.11 Appeals

Appeals relating to a Certification Decision or a decision on a risk rating may be lodged by the Applicant, Certified Operator or Certified Facility to the Approved Certification Body using the prescribed form within 14 days of receipt of the decision and risk rating notification.

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 Operator or Certified Facility within the previous 12 months (e.g. as an owner, employee, contractor, service provider or consultant or any other such relationship).

The final decision to accept or decline the Appeal shall be communicated to the Applicant, Certified Operator or Certified Facility by the Approved Certification Body within seven days of the decision being made.

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 accept or decline the Appeal within seven days of the decision being made.

## 8.12 Certificate

If the Certification Decision is positive and after the expiry of any period during which an Appeal may be lodged, or where the Applicant, Certified Operator or Certified Facility has indicated it will not appeal the Certification Decision, the Approved Certification Body shall issue a certificate to the Certified Operator or Certified Facility:

- a) in the prescribed format using the LGAP CS; and
- b) in the timeframe prescribed in Annex A.

Certificates are valid for three years from the date of issue.

Only the copy of a certificate maintained on the LGAP CS is valid under LGAP.

## 8.13 Certification Directory

The Program Owner shall maintain a Certification Directory that shall contain at least the following information:

- a) a listing of each Applicant, Certified Operator and Certified Facility, including the name of the Operator or Facility, the type of Operator or Facility, the region or province and

country of the Operator or Facility and the scope of certification as it relates to species only; and

- b) their current certification status (e.g. Applicant, Under Evaluation, Certified (Full), Certified (Provisional), Certified (Temporary), Not Certified, Suspended (Voluntary), Suspended, Withdrawn (Voluntary), Withdrawn).

## 8.14 Certification Mark

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.

Certified Operators and Certified Facilities 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 Certified Operator or Certified Facility discontinues the use of the mark in all media;
- d) amends all media when the scope of certification has been reduced;
- e) does not imply that the certification applies to activities or products that are outside the scope of certification; and
- f) does not use its certification in such a manner that would bring LGAP into disrepute and lose public trust.

## 8.15 Surveillance

Approved Certification Bodies shall undertake surveillance activities of each allocated Certified Operator or Certified Facility based on the risk rating that has been assigned to the Certified Operator or Certified Facility.

The frequency and nature of surveillance activity is based on the risk rating and shall be prescribed by the Program Owner from time-to-time (see Annex E). The Program Owner reserves the right to set alternative internal audit and surveillance activity frequencies taking into account the Facility's or Operator's performance in fulfilling the Certification Requirements.

## 8.16 Recertification

Prior to the end of each three-year certification period the Program Owner shall contact the Certified Operator or Certified Facility inviting them to be recertified for the following three year period.

The Certified Operator or Certified Facility must effectively repeat all certification process steps except for those associated with an initial application (i.e. the recertification process shall repeat steps 8.2 to 8.11).

The result of a decision to recertify will be the issuing of a new certificate for the following three-year period and its entry by the Approved Certification Body into the LGAP CS.



## 9 Changes, suspension and withdrawal of certification

### 9.1 Changes to certification

Changes that may materially affect the Applicant, Certified Operator or Certified Facility's ability to fulfil the Certification Requirements shall be notified to, and considered by, the Program Owner.

The Program Owner may refer the change to the Approved Certification Body for further action.

Changes that may materially affect the Applicant, Certified Operator or Certified Facility'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 13 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, Certified Operator or Certified Facility; or
- f) a lack of response or a decision not be recertified.

After due consideration of the changes the Approved Certification Body 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.

### 9.2 Transfer of certification

Within the 3-year certification period, Certified Operators and Certified Facilities may apply to the Program Owner to transfer their certification from one Approved Certification Body to another Approved Certification Body, provided the following conditions are met:

- a) the Certified Operator or Certified Facility 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 Operator or Certified Facility including confirmation that the certificate is not suspended 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 Operator or Certified Facility;
- c) if the Program Owner approves the transfer, then it shall allocate the Certified Operator or Certified Facility 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.

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 Operator or Certified Facility 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.

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 Operator or Certified Facility. The justification for the decision shall be documented and a record maintained by the Approved Certification Body.

### 9.3 Suspension of certification

The Approved Certification Body may suspend the certification of a Certified Operator or Certified Facility until an appropriate investigation and resolution has taken place for situations that include:

- a) a change under clause 9.1 of these Rules that would give rise to concerns at a level equivalent to a major or critical nonconformity;
- b) there has been no satisfactory action to close out a critical nonconformity within the timeframe prescribed in Annex D; or

- c) actions or lack of action by a Certified Operator or Certified Facility means they can no longer fulfil the Certification Requirements and there is a legal or reputation risk to LGAP, Program Owner, Approved Certification Body or Approved Auditor; or
- d) the Certified Operator or Certified Facility requests a suspension of its certification;

The Approved Certified Body shall inform the Certified Operator or Certified Facility of the suspension with the reasons for its decision.

In such cases the Certified Operator or Certified Facility that is suspended shall:

- a) immediately arrange with the owner of any livestock covered by LGAP certification for that livestock to be transferred to another Certified Operator or Certified Facility – this shall be at the suspended Operator's or Facility's own expense;
- b) fulfil the requirements of these Certification Rules, especially 8.14; and
- c) not use their certificate or the Certification Mark on any media to state or give the impression that they are or remain certified.

The Approved Certification Body shall update the suspended status of the Certified Operator or Certified Facility on the Certification Directory with the reasons for the suspension.

After appropriate investigation, the Approved Certification Body may issue critical or major nonconformities and instructions for the corrective action that the Certified Operator or Certified Facility must undertake within 30 days.

If corrective action is undertaken and it is demonstrated the nonconformity has been appropriately dealt with and closed out within the prescribed timeframe, the Approved Certification Body may reinstate the certification and update the LGAP CS and Certification Directory accordingly.

In any case of voluntary or involuntary suspension, there must be an extraordinary onsite audit undertaken by the assigned Approved Auditor before the certification can be reinstated.

If corrective action is not undertaken within the prescribed timeframe, the Approved Certification Body may withdraw the certification of a Certified Operator or Certified Facility.

The Program Owner may suspend a Certified Operator or Certified Facility in the same manner as an Approved Certification Body.

## **9.4 Withdrawal of certification**

### **9.4.1 Involuntary withdrawal**

The Approved Certification Body may at their own discretion, withdraw certification in cases where:

- a) there has been no satisfactory action to resolve a suspension within 30 days;
- b) there is evidence of serious misconduct by the Certified Operator or Certified Facility;
- c) continued certification could result in reputational damage or potential liabilities to LGAP, Program Owner, Approved Certification Body or Approved Auditor; or

d) the Certified Operator or Certified Facility requests withdrawal of CS certification.

In such cases the Certified Operator or Certified Facility shall:

- a) immediately arrange with the owner of any livestock covered by LGAP certification for that livestock to be transferred to another Certified Operator or Certified Facility – this shall be at the withdrawn Operator's or Facility's own expense;
- b) fulfil the requirements of these Certification Rules, especially 8.14; and
- c) not use their certificate or the Certification Mark on any media to state or give the impression that they are or remain certified.

The Approved Certification Body shall update the withdrawn status of the Operator or Facility on the Certification Directory with the reasons for the withdrawal.

Withdrawn certifications cannot be reinstated and the withdrawn Operator or Facility must re-apply to obtain certification.

Recertification after withdrawal cannot occur within a period set by the Program Owner from the time the withdrawn status is updated on the Certification Directory.

The Program Owner may move to withdraw a Certified Operator's or Facility's certification in the same manner as an Approved Certification Body.

#### **9.4.2 Voluntary withdrawal**

A Certified Facility or Operator may, by written notice to the Program Owner, request withdrawal of certification at any time.

Withdrawal is effective upon receipt by the Program Owner of the notice.

Where a Certified Facility or Operator voluntarily withdraws certification, a written application may be made at any time for reinstatement of certification.

## **10 Fees and Charges**

Fees and charges associated with LGAP shall be set and communicated from time-to-time by the Program Owner.

Certificates shall not be granted until all outstanding fees and charges have been paid.

Unless otherwise stated fees shall not be refundable.

## 11 Complaints

### 11.1 Types of complaints

There are several types of complaints recognised under these Certification Rules as follows:

- a) complaints made to Certified Operators and Certified Facilities regarding their adherence to the Certification Requirements;
- b) complaints made to the Program Owner or Approved Certification Body regarding adherence to the Certification Requirements by a Certified Operator or Certified Facility;
- 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;
- d) complaints made to the Program Owner regarding misrepresentation of LGAP certification.

A complaint shall be deemed to have been received when:

- i) a written complaint has been submitted from the complainant;
- ii) the nature of the complaint corresponds to one of the categories listed above;
- iii) the complainant has access to the direct or first-hand basis of the complaint;
- iv) the complainant submits the complaint within seven days of the basis of the complaint occurring, and any further evidence to support the complaint is submitted within a further seven days of the initial complaint being made;
- v) the complaint is specific and includes appropriate objective justification and evidence to substantiate any claim (credibility).

In addition, for complaints made to the Program Owner for types listed in b), 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.

For complaints made to the Program Owner for types listed in b), c) and d), the Program Owner may require an upfront payment of a complaints fee from any complainant upon the submission of a complaint before such a complaint is considered. In this case, such a fee will be held, interest-free, in trust and either:

1. returned to the complainant if the complaint is upheld; or
2. remitted to the Program Owner if the complaint is not upheld.

All complaints shall be addressed as quickly as possible following the appropriate complaints procedure.

Complaints based upon hearsay or without appropriate objective justification and evidence will not be accepted by the Program Owner.

## 11.2 Complaints received by Applicants or Certified Operators and Facilities about their adherence to Certification Requirements

Applicants and Certified Operators and Certified Facilities shall have a complaints registration and resolution procedure, which allows for investigation of the complaint and undertaking corrective or preventative action.

Records of complaint handling by the Applicant, Certified Operator or Certified Facility shall be made available for review during evaluations. The Applicant, Certified Operator or Certified Facility shall report the occurrence of such complaints to the Approved Certification Body at the same frequency as their surveillance activities.

## 11.3 Complaints received by the Program Owner or Approved Certification Body about an Applicant or Certified Operator or Certified Facility

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, Certified Operator or Certified Facility for explanation or resolution. The Applicant, Certified Operator or Certified Facility 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 Operator's or Facility'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, Certified Operator or Certified Facility 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 Operator's or Certified Facility's certification.
- d) Where the complaint is upheld, the expense of further evaluation activities shall be borne by the Applicant, Certified Operator or Certified Facility.
- e) All complaints received by the Program Owner or Approved Certification Body shall be recorded in the LGAP CS within the timeframes prescribed in Annex A.

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

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.

All complaints received by the Approved Certification Body shall be notified by the Approved Certification Body to the Program Owner and recorded in the LGAP CS within the timeframes prescribed in Annex A.

## 11.5 Complaints about the misrepresentation of LGAP certification

Complaints received by the Program Owner or Approved Certification Body in relation to misrepresentation of LGAP certification shall be investigated by the Program Owner.

All complaints received by the Approved Certification Body shall be notified by the Approved Certification Body to the Program Owner and recorded in the LGAP CS within the timeframes prescribed in Annex A.

## 12 Communications, notices and confidentiality

### 12.1 Communications

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.

In addition to the above information, 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.

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 Operators and Facilities) the following information as necessary:

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

The Approved Certification Body shall inform Applicants and Certified Operators and Certified Facilities of the following:

- a) acceptance of applications;
- 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.

Applicants, Certified Operators and Certified Facilities shall inform the Approved Certification Body of matters that may affect the capacity of the Applicant, Certified Operator or Certified Facility 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) major changes to the management system and processes; and
- f) any intention to voluntarily suspend or withdrawal from certification.

## 12.2 Notices

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 LGAP CS.

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.

## 12.3 Confidentiality

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

- a) information that is required to be submitted and transferred between the Program Owner, Approved Certification Bodies, Applicant and Certified Operator or Certified Facility, 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, Certified Operator or Certified Facility including conformance history, risk rating and other items, as displayed on the Operator Dashboard within the LGAP CS.
- c) upon request, the confirmation of the status of an Operator or Facility as being an Applicant or Certified Operator or Certified Facility;
- d) information that is publicly available on the Certification Directory; or



- 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 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, Certified Operator or Certified Facility of the intent to disclose that information.

### **13 Review and changes to the Certification Program**

The Program Owner shall review the operation of LGAP at least once every three years.

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

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

### **14 Governing Law**

All legally binding agreements between the Program Owner and any other Party are to be construed as in accordance with the laws of New South Wales, Australia and the parties submit to the non-exclusive jurisdiction of the courts of New South Wales, Australia.

## Annex A Prescribed timeframes

Action	Timeframe required
Notification to the Program Owner and recording of complaints in the LGAP CS when received by the Approved Certification Body.	As prescribed by the Program Owner.
Recording of complaints in the LGAP CS when received by the Program Owner.	As prescribed by the Program Owner.
Recording of audit observations	As prescribed by the Program Owner.
Recording and submission of the Evaluation Report and Auditor Recommendation.	As prescribed by the Program Owner.
Completion of a Facility or Operator risk assessment using the LGAP CS	As prescribed by the Program Owner.
Certification Decision made and recorded in the LGA CS	As prescribed by the Program Owner.
Issuing of Certificate via the LGAP CS	As prescribed by the Program Owner.

## Annex B ISO/IEC 17065 Requirements as applied under LGAP

(Normative)

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.
4 General requirements	
4.1 Legal and contractual matters	No change to the requirements.
4.1.2	The certification agreement is covered through the application form that is completed by Operators and Facilities and submitted to the Program Owner. It commits the Operator or Facility to fulfil the Certification Requirements which address all the requirements in subclause 4.1.2. Certification bodies are contracted by the Program Owner to ensure the Operators and Facilities fulfil the Certification Requirements. Under LGAP there is no need for the certification body and Operator or Facility to have a further certification agreement, as the Program 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 an Operator or Facility for which they have provided consultancy is 12 months.
4.3 Liability and financing	No change to the requirements. The Program Owner requires Approved Certification Bodies to hold the following insurance:  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 Application Form.
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.

ISO/IEC 17065:2012 content	Application of ISO/IEC 17065 requirements under the LGAP Certification Rules
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	<p>No change to the requirements.</p> <p>The competence criteria for personnel involved in the certification process including LGAP Approved Auditors are contained in Annex C of these Certification Rules.</p> <p>All Approved Certification Body and Approved Auditors must be fluent in English.</p>
6.1.3 Contract with personnel	No change to the requirements.
6.2 Resources for evaluation	No change to the requirements.
6.2.2.1	<p>No change to the requirements.</p> <p>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 LGAP Approved Auditors are those contained in Annex C of these Certification Rules.</p> <p>The evaluation (including the audit) process shall be as prescribed in these Certification Rules, and the two-stage audit process as identified in ISO/IEC 17021 is not required under LGAP.</p>
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	<p>No change to the requirements.</p> <p>A generic evaluation plan that is based on the content of clause 8 Certification Process is acceptable.</p>
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	<p>No change to the requirements.</p> <p>The surveillance activities shall be those as stated in subclause 8.15 of these Certification Rules.</p>
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.

ISO/IEC 17065:2012 content	Application of ISO/IEC 17065 requirements under the LGAP Certification Rules
	All records of certification under LGAP are to be entered and maintained in to the LGAP 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 audit (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 Competency and other requirements for Approved Certification Bodies and Auditors**

(Normative)

### **C.1 Approval of Certification Bodies and Auditors**

The Program Owner shall approve the Certification Bodies and Auditors that can undertake evaluation and certification activities under LGAP.

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

Approvals shall be confirmed for a specified period (e.g. three years), subject to ongoing fulfilment of the approval criteria and requirements and satisfactory performance reviews that may be carried out by the Program Owner or their agent.

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

### **C.2 Applications to be an Approved Certification Body or Auditor**

Certification Bodies or Auditors wanting to be approved shall apply to the Program Owner at prescribed times using the prescribed form and including the relevant documentation. In some cases this may be provided through a tendering process or any other means as determined by the Program Owner.

### **C.3 Criteria for Approved Certification Bodies and Auditors**

The Program Owner shall review applications to be an Approved Certification Body or Auditor and make a decision based on:

- a) fulfilment of the relevant Certification Requirements;
- b) relevant international standards;
- c) the demonstration of competency in the following knowledge and skills for personnel involved in certification activities; and
- d) outcomes of performance reviews and market feedback.

Table C.3 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.3 are explained in more detail in the text following the table and are referenced by the number in parenthesis.;

**Table C.3 — Table of knowledge and skills**

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.4.1)
Knowledge of audit principles, practices and techniques		✓ (see C.5.1)	✓ (see C.4.2)
Knowledge of specific standards/normative documents	✓ (see C.6.1)	✓ (see C.5.2)	✓ (see C.4.3)
Knowledge of certification body's processes	✓ (see C.6.2)	✓ (see C.5.3)	✓ (see C.4.4)
Knowledge of client's business sector	✓ (see C.6.3)	✓ (see C.5.4)	✓ (see C.4.5)
Knowledge of the client's products, processes and organization	✓ (see C.6.4)		✓ (see C.4.6)
Language skills appropriate to all levels within the client organization			✓ (see C.4.7)
Note-taking and report-writing skills			✓ (see C.4.8)
Presentation skills			✓ (see C.4.9)
Interviewing skills			✓ (see C.4.10)
Audit-management Skills			✓ (see C.4.11)
NOTE Risk and complexity are other considerations when deciding the level of expertise needed for any of these functions.			

## C.4 Competence requirements for Approved Auditors

### C.4.1 Knowledge of business management practices

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

### C.4.2 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, and corrective and preventive actions by Operators and Facilities.

#### C.4.3 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.4.4 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.4.5 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.4.6 Knowledge of client's products, processes and organization

Knowledge related to the types of processes of an Operator or Facility 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:

Knowledge required by the Auditor	Audited Operator or Facility			
	Exporter	Importer	Feedlot/ Farm	Abattoir
Auditing				
Methods of livestock identification	✓	✓	✓	✓
Processes to control and record livestock movements	✓	✓	✓	✓
Systems and agreements to enable traceability of livestock throughout the supply chain	✓	✓		
Relevant regulatory requirements	✓	✓	✓	✓
Transportation methods		✓	✓	✓
Animal handling methods		✓	✓	✓
Animal behaviour, health, husbandry and welfare relevant to the species		✓	✓	✓
Environmental conditions and physical infrastructures		✓	✓	✓
Slaughtering equipment and processes				✓



Knowledge required by the Auditor	Audited Operator or Facility			
	Exporter	Importer	Feedlot/ Farm	Abattoir
Appropriate methods of assessing the outcome of slaughter				✓
Emergency procedures, including emergency slaughter		✓	✓	✓

#### **C.4.7 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.4.8 Note-taking 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.4.9 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.4.10 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.4.11 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.5 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.5.1 Knowledge of audit principles, practices and techniques**

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

#### **C.5.2 Knowledge of specific management system standards/normative documents**

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

**C.5.3 Knowledge of certification body's processes**

Knowledge of a certification body's processes sufficient to determine if expectations of the certification body have been fulfilled on the basis of the information submitted for review.

**C.5.4 Knowledge of client's business sector**

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.6 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.6.1 Knowledge of specific standards/normative documents**

Knowledge of Certification Requirements.

**C.6.2 Knowledge of certification body's processes**

Knowledge of a certification body's processes sufficient to assign competent audit team members and accurately determine audit time.

**C.6.3 Knowledge of client's business sector**

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.6.4 Knowledge of client's products, processes and organization**

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.7 Conflict of interest requirements**

Approved Certification Bodies and Approved Auditors shall not conduct evaluations of or issue certificates to Operators and Facilities where a conflict of interest exists or potentially exists.

Where conflicts of interest exist or potentially exist, Approved Certification Bodies may request the Program Owner to consider any arrangements the Approved Certification Body may 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.

Conflict of interest situations include but are not limited to:

- a) the evaluation of an Operator or Facility where Approved Certification Body personnel have provided specific direction to that Operator or Facility on how to conform with the LGAP Certification Requirements (e.g. design or drafting the Operator or Facility'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 or Facility;

- b) 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;
- c) 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 and conformance activities are discussed or provided;
- d) where any Approved Certification Body personnel has a direct financial interest in the business to be audited;
- e) where any Approved Certification Body personnel has provided an information system that would assist the business to be audited in conforming to the LGAP Certification Requirements;
- f) 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
- g) 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.

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.

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 conformance;
- b) explaining nonconformities identified during a LGAP audit; or

where information is provided that is generic information freely available in the public domain, and company-specific solutions are not provided or discussed.

## **C.8 Approved Auditor training and continuing professional development**

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

- a) have a lead auditor qualification that is recognised by the Program Owner;

- b) complete an approved training course in auditing to the LGAP Certification Requirements;
- c) have at least 24 hours of experience as an observer on evaluation activities for LGAP certification, of which a minimum of 16 hours must be onsite during an LGAP evaluation of an Operator or Facility; and
- d) be subject to a satisfactory witness assessment carried out by one or more Approved Certification Bodies, or the Program Owner.

Once confirmed as an Approved Auditor, each auditor shall complete at least 32 hours of relevant professional development activity in each rolling three-year period comprising of at least the following:

- a) attendance at annual LGAP Approved Auditor training sessions;
- b) eight hours of training in one or more the following areas:
  - i. animal husbandry, behaviour, welfare;
  - ii. animal handling;
  - iii. livestock identification, movement recording and traceability;
- c) four hours of general training on audit processing and techniques; and
- d) ongoing monitoring of the relevant LGAP information updates provided by the Program Owner to improve / maintain their current knowledge.

## **C.9 Use of audit teams and competency requirements of teams**

At times the size and complexity of an Operator or Facility is such that a team of auditors may be required, rather than an individual auditor.

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.

Approved Certification Bodies shall be able to justify the competencies of audit teams if requested to do so through the Program Owner's monitoring process.

All members of an Audit Team must be LGAP Approved Auditors.

## Annex D Nonconformities

(Normative)

### D.1 Definitions of nonconformities

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

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

### D.2 Assigning nonconformities

The framework for determining the severity of nonconformity is provided in the following matrix, consisting of a considering the impact and the number of instances:

	<i>Paucal</i>	Numerous	Systemic
<b>High welfare impact</b>	Minor	Major	Critical
<b>Moderate welfare impact</b>	Minor	Minor	Major
<b>High traceability impact</b>	Minor	Major	Critical
<b>Moderate traceability impact</b>	Minor	Major	Critical
<b>Management system/ paperwork</b>	Minor	Minor	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 as follows:

- 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 Certified 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 Certified 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;
- f) *paucal* - 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;
- g) *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;
- h) *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 practices should always be raised as a major or critical nonconformity. Unacceptable practices are those identified in LGAP 1001 *Livestock assurance - Requirements for animal welfare and management*, Annex H.

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.

### **D.3 Timeframes for closing nonconformities**

The following timeframes are prescribed for the correction of nonconformities:

- a) minor - 30 days;
- b) major - 7 days;
- c) critical - 3 days; and
- d) suspension - 30 days.

## Annex E Risk Assessment and Surveillance Frequency

(Normative)

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

Risk Assessments vary depending on the type of Operator or Facility being assessed. The outcome of the Risk Assessment will be a Risk Rating as defined in Table E1.

Approved Auditors shall undertake a Risk Assessment of Certified Operators and Certified Facilities in accordance methods prescribed by the Program Owner from time-to-time and available in the LGAP CS.

The outcome of the Risk Assessment will be a Risk Rating for each Certified Operator and Certified Facility, and this in turn will set the frequency for subsequent internal audits and external surveillance activities.

The Approved Certification Bodies will set due dates in the LGAP CS for internal audit and external surveillance activities in accordance with the stated frequency in Table E1.

The Program Owner reserves the right to set an alternative Risk Rating taking into account the Facility's or Operator'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 Facility's or Operator's performance in fulfilling the Certification Requirements.

**Table E1: Surveillance frequencies**

	Risk Rating		
	Low risk	Medium risk	High risk
Internal audit	4 monthly	3 monthly	Monthly
Surveillance activities (including on-site audit)	Annual	6 monthly	3 monthly
	Random (10% of all Certified Operators and Facilities per year)		

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



## Annex F LGAP Certification Mark

(Normative)

### E.1 Use of the Mark

A Certified Operator or Certified Facility as defined in the Certification Rules, is an Authorised User of the Certification Mark.

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

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 conformance with any conditions attached to that Licence Agreement.

An Authorised User may identify the Certification Mark as a certification trade mark.

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.

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, web sites, 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.

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.

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).

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 following URL of LGAP: <http://www.livestockglobalassurance.org>

### E.2 Discontinuation of use

If an Authorised User:

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

then the Authorised User must immediately stop using the Certification Mark.

### **E.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 LGAP Scopes of Certification

(Normative)

For each and every site of the Certified Operator or Certified Facility that is covered by LGAP certification the following scope of certification shall be stated:

<b>Certification Scheme</b>	'Livestock Global Assurance Program (LGAP)'	
<b>Certification Standard</b>	'LGAP Standards' or 'LGAP Chain of Custody Standard' (Operators only)	
<b>Certification status</b>	'Certified (Provisional)' or 'Certified (Full)'	
<b>Certified Operator or Certified Facility</b>	'Exporter', 'Importer', 'Feedlot', 'Farm', 'Abattoir'	
<b>Species</b>	For each species and specified supply chain selected, the certification level must be stated	If 'Abattoir' is selected as the Certified Facility then for each species and specified supply chain must state whether stunning or non-stunning is being used
<b>'Cattle'</b>		
'<Name of Specified Supply Chain>' or 'All'	'Level 1', 'Level 2' or 'Level 3'	'Stunning' or 'Non-stunning'
'<Name of Specified Supply Chain>' or 'All'	'Level 1', 'Level 2' or 'Level 3'	'Stunning' or 'Non-stunning'
Add further rows as required	'Level 1' or 'Level 2'	'Stunning' or 'Non-stunning'
<b>'Buffalo'</b>		
'<Name of Specified Supply Chain>' or 'All'	'Level 1', 'Level 2' or 'Level 3'	'Stunning' or 'Non-stunning'
'<Name of Specified Supply Chain>' or 'All'	'Level 1', 'Level 2' or 'Level 3'	'Stunning' or 'Non-stunning'
Add further rows as required	'Level 1' or 'Level 2'	'Stunning' or 'Non-stunning'
<b>'Goats'</b>		
'<Name of Specified Supply Chain>' or 'All'	'Level 1', 'Level 2' or 'Level 3'	'Stunning' or 'Non-stunning'
Add further rows as required	'Level 1' or 'Level 2'	'Stunning' or 'Non-stunning'
<b>'Sheep'</b>		
'<Name of Specified Supply Chain>' or 'All'	'Level 1', 'Level 2' or 'Level 3'	'Stunning' or 'Non-stunning'
'<Name of Specified Supply Chain>' or 'All'	'Level 1', 'Level 2' or 'Level 3'	'Stunning' or 'Non-stunning'
Add further rows as required	'Level 1' or 'Level 2'	'Stunning' or 'Non-stunning'

Under LGAP, the following levels will be allowable within the scope of certification for Certified Facilities:

Factor	Level 1	Level 2	Level 3
Requirements	Refer LGAP Standards		
Multiple levels of certification on the same site	Allowable with strict segregation and traceability of livestock required – affects risk rating		Allowable for the combination of Level 2 / Level 3 certification only; or Level 3 for all livestock
Equivalence	OIE	ESCAS	
Application	Local Livestock	Australian Livestock	

Under LGAP, the following levels will be allowable within the scope of certification for Certified Operators:

Factor	Level 1	Level 2	Level 3
Downstream Supply Chain	Contains any Level 1 Facility	Contains Level 2 or Level 3 Facilities Combined	Contains Level 3 Facilities Only

#### Example of Scope of Certification for an Exporter exporting cattle to Indonesia and sheep to Kuwait and Qatar

Site	XXX Exporters Pty Ltd, Perth, Australia			
Certification scheme	Livestock Global Assurance Program (LGAP)			
Certification standard	LGAP 1002 (version xx, 20xx) and LGAP 1003 (Version xx, 20xx)			
Certification status	Certified (Provisional)			
Certification activity	Exporter			
Species	Cattle	Buffalo	Goats	Sheep
Certification level	1	-	-	2
Specified supply chain	Indonesia			Kuwait Qatar

**Example of Scope of Certification for an Importer in Vietnam importing Australian cattle, and also non-Australian buffalo**

Site	XXX Livestock Importers, Hanoi, Vietnam			
Certification scheme	Livestock Global Assurance Program (LGAP)			
Certification standard	LGAP 1001 (Version xx, xxxx), LGAP 1002 (version xx, xx) and LGAP 1003 (Version xx, 20xx)			
Certification status	Certified (Full)			
Certification activity	Importer			
Species	Cattle	Buffalo	Goats	Sheep
Certification level	2	1	-	-
Specified supply chain	Imported from Australia	Local		

**Example of Scope of Certification for Farm in Malaysia managing goats exported from Australia and local cattle and buffalo**

Site	Fresh Farm, Kuala Lumpur, Malaysia			
Certification scheme	Livestock Global Assurance Program (LGAP)			
Certification standard	LGAP 1001 (Version xx, xx) and LGAP 1002 (version xx, xx)			
Certification status	Certified (Full)			
Certification activity	Farm			
Species	Cattle	Buffalo	Goats	Sheep
Certification level	1	-	2	-
Specified supply chain	Local		Imported from Australia	

**Example of Scope of Certification for an Abattoir slaughtering Australian cattle and Indonesian cattle**

Site	Abattoir Enterprises, Jakarta, Indonesia				
Certification scheme	Livestock Global Assurance Program (LGAP)				
Certification standard	LGAP 1001 (Version xx, xx) and LGAP 1002 (version xx, xx)				
Certification status	Certified (Full)				
Certification activity	Abattoir				
Species	Cattle	Cattle	Buffalo	Goats	Sheep
Certification level	2	1	1	1	-
Specified supply chain	Imported from Australia	Local			