



## Information for Pig, Dairy and Poultry Members

### **EVERY MEMBER - EVERY STANDARD - EVERY DAY**

### **RISK BASED APPROACH TO INSPECTIONS**

1. Red Tractor works to reassure the British public that they can be confident that farmers like yourself are producing great food which is traceable, safe and farmed with care. This is increasingly challenging, as we face external scrutiny by the media, activists and consumers and increasingly important, as we increase the awareness of Red Tractor through TV and social media.
2. To deliver on this consumer promise we are constantly developing the management of our scheme and over the last year have been working on new measures which will help us towards “Every member, every standard, every day”. We know this will be welcomed by our members who are proud to be Red Tractor members.
3. One new measure is a risk based approach to inspections which we have recently announced. This means those members who are found not to be conforming to our standards will receive an increase in inspection frequency, some of which will be unannounced, and if we continue to see non-conformances they will be suspended or withdrawn from the scheme. This will ensure that the reputation of our members who are conforming to all our standards is maintained. Focusing assessor resource in a more targeted way will benefit all and help support those who need it.

#### **Current system**

4. As a Red Tractor member, you know that you can only gain certification and obtain “Assured” status if you conform to all the standards and you must continue to meet all the standards at all times (Rule 4). Our current system of measuring compliance is based on a routine inspection frequency i.e. annual/ 18-month pre-booked inspections. This regime is the same for all members regardless of whether they have no non-conformances against the standards or have multiple non-conformances every time.
5. Our rules already allow Red Tractor and your Certification Body to specify ‘Special Conditions of Certification’ for continued certification of the Scheme, this may include additional assessments over and above the normal routine frequency at the members cost (Rule 41). We do impose this rule in some cases and some members are required to pay for additional spot check inspections some of which are occasionally unannounced.



### Categorisation according to risk

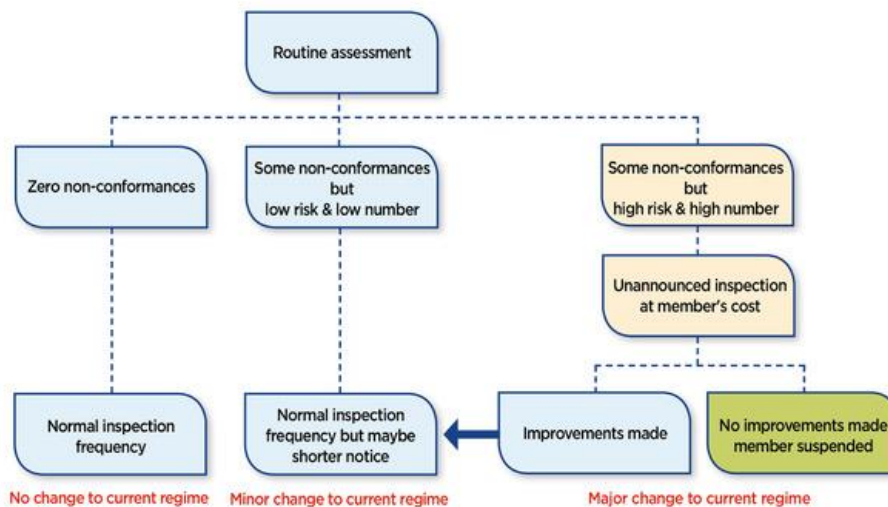
6. We have spent considerable time focusing on the best way to identify higher risk members in a fair and objective way. We have recognised that simply counting the number of non-conformances would not achieve the desired outcome as two members could have the same number of non-conformances, but one could be considerably higher risk than another. For example, one may have a lot of non-conformances which are predominantly record based whilst the other could have the same number of physical (e.g. welfare, feed contamination, housing cleanliness etc) non-conformances. It would not be appropriate for both members to be categorised in the same way.

7. We have spent time developing an internal system which uses both the nature and number of non-conformances to categorise each member according to risk. To do this we have risk weighted each standard with some being weighted more strongly than others.

8. Examples include the standard that requires livestock to be handled in a way that avoids injury and minimises stress, this has been given a greater risk weighting than the requirement for a farm map. The requirement to keep movement records has been given greater risk weighting than a complaints record.

9. That is not to say that some standards are of less importance and don't need to be complied with. All standards are vital to ensure the Red Tractor food safety, animal welfare and environmental assurances to consumers can be upheld and you need to conform to them all every day.

### How it will work





10. You will continue to receive your normal routine inspection which will be reported as usual to Red Tractor. Our system will consider the non-conformances, if any are identified, as described above, we will then notify the Certification Body if additional or different inspections are required in future.

11. We fully expect the majority of our members, who continue to demonstrate that they are conforming to our standards, to continue with their routine inspection frequency and therefore will see no change. However, for some members who we consider to be higher risk and require more support in maintaining conformance, additional unannounced inspections (i.e. special conditions) will be triggered.

12. Following your inspection and depending on the non-conformances identified, your Certification Body will confirm the next steps you must take to continue to be a certified member of the Red Tractor scheme.

Inspection outcome	Action required	Certification status	Future Inspections
No non-conformances	None	Continuous	Unchanged *
Non-conformances identified – low risk category	Rectify all non-conformances within 28 days of inspection	Continuous ( <i>subject to action completed in timescale</i> )	Normal inspection frequency ( <i>may be shorter notice/unannounced</i> ).
Non-conformances identified – higher risk category	a. Rectify all non-conformances b. Agree and pay for an unannounced inspection c. Complete and return questionnaire d. It is recommended that members complete a contingency plan in case of suspension from scheme All within 28 days of inspection	Continuous ( <i>subject to all action completed in timescale</i> )	Normal inspection frequency + unannounced inspection within 12 months

\* In the future you will be invited to adopt a more innovative assessment system which will benefit you.

### Unannounced inspections

13. We recognise that there are practicalities that need to be considered when doing an unannounced inspection. Members who are required to agree to these terms (table above) will be asked to complete a questionnaire to ensure the inspector has all the information in order to reduce the risk of disruption or no-one being available. This will include details of routine activities on the farm (e.g. breeding, weaning, milking times, routine vet visits, biosecurity policy, market days) and when it is likely to be de-stocked if applicable. In addition, emergency contact details for at least 3 people, who can be contacted should no-one be present on the farm, will need to be provided. Members will need to notify the certification body if anything subsequently changes.



14. In circumstances where the assessor arrives to carry out an unannounced inspection and no-one is available and can't be contacted, the assessor will wait a minimum of 1 hour. If after this time it has still not been possible to start the inspection, then a card will be left for the member explaining that it was not possible to carry out the inspection. The Certification Body will then contact the member to make arrangements for payment for another unannounced inspection.

15. Each unannounced inspection will take the form of a focussed spot check. If non-conformances are identified they will be reported back to Red Tractor in the normal way and the member will be categorised according to risk in the same way as outlined overleaf and the Certification Body will be notified.

### **Outcome of unannounced inspection**

16. Members who have demonstrated an improvement and are no longer categorised as higher risk will be informed by their Certification Body. Their certified membership will be confirmed as continuous, and they will continue in future with the normal routine inspection frequency, albeit possibly at shorter notice in future.

17. Members who have not demonstrated an improvement and are still categorised as higher risk will be notified by their Certification Body that their certified membership of the Red Tractor scheme has been suspended. They will not be allowed to market any livestock or milk as assured whilst suspended. The non-conformances must be rectified and only once the member has done this and agreed to be subject to another unannounced inspection, and paid the associated fee, will their certified membership of the Red Tractor scheme be confirmed as continuous.

18. Should this second unannounced inspection demonstrate no improvement and the member is still categorised as higher risk their certified membership will be WITHDRAWN and a minimum period before an application to re-join the scheme will be imposed.

### **Appeals Procedure**

19. Should a member wish to complain or appeal against non-conformances raised during an audit, this should be done through the usual appeals process with the Certification Body. If a member wishes to dispute their categorisation as part of the risk-based approach to inspections, this can be done directly to Red Tractor; please see the documented RT Complaints Procedure available online.



### **Certification Body and Assessor impartiality**

20. The independence of our Certification Bodies and assessors is vitally important to the integrity of Red Tractor. All assessors are fully trained, qualified and monitored to ensure they are competent to carry out the inspection in a consistent way. To ensure assessors and Certification Bodies remain impartial they will not be involved in determining the categorisation of the member.