



# Fresh Produce Standards

1st October 2017 (updated 1<sup>st</sup> October 2019)  
Version 4.1





# Welcome

Welcome to the Red Tractor Assurance for Farms – Fresh Produce Scheme Standards, part of the Red Tractor Food Assurance Scheme assuring food safety, animal welfare, hygiene and environmental protection through every part of the food chain.

These Standards have been written and revised by our Technical Advisory Committees (TACs) in consultation with customers, farmer representatives and the wider industry to ensure they are clear and provide meaningful, credible farm assurance for all. This is essential with the increasing demand for traceability of food, growing consumer awareness of animal welfare issues in livestock production and a need to minimise pesticide residues.

For more information about the Red Tractor Assurance Scheme visit [www.redtractorassurance.org.uk](http://www.redtractorassurance.org.uk)

## GUIDE

Scheme members are advised this manual must be read in conjunction with the 'How the Red Tractor Assurance Scheme Works' leaflet which details the Rules of the Scheme that all members are bound by.

The standards are organised in sections. The AIM of each standard or group of standards is clearly explained. All of the words against each standard including the column 'How you will be measured' form part of the standard.

Standard coding begins with a two letter prefix that identifies the section (e.g. EC for Environmental Protection and Contamination Control). Assessors will use this code together with a code to identify the enterprise to which it relates (e.g. PR for Fresh Produce) to identify any non-conformances on the report at the end of the assessment.

**Key** – those standards which have greater significance (all other standards are normal)

**Recommendation** – those which do not affect certification

**New** – a completely new standard which the member must now adhere to

**Revised** – a standard that has changed and requires the member to take some different or additional action to before

**Upgraded** – the standard has been upgraded to a Key standard or from a Recommendation to a full standard

**Appendix** – this is referenced in the 'How you will be measured' column and indicates that additional information is provided in the Appendices at the back of this manual

**R** - this icon indicates that a record is required



**Where to find help** - at the end of each section we have indicated where you can get extra guidance if you need it. (Our interactive pdf version of this document available on [www.redtractorassurance.org.uk](http://www.redtractorassurance.org.uk) will automatically take you to the right documents and sources of more help).



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## What has changed since October 2017

DATE OF CHANGE	STANDARD	PAGE
01 January 2018	<b>TI.c</b>	<b>7</b>
01 January 2018	<b>SC.a</b>	<b>6</b>
01 October 2018	<b>HS.a/ PH.a</b>	<b>22</b>
01 October 2018	<b>HS.j</b>	<b>24</b>
01 October 2018	<b>HS.g</b>	<b>24</b>
01 October 2018	<b>HS.k/ PH.m</b>	<b>25</b>

DATE OF CHANGE	STANDARD	PAGE
01 October 2019	<b>RA.a</b>	<b>3</b>
01 October 2019	<b>EC.f.3.1</b>	<b>12</b>
01 October 2019	<b>HS.g</b>	<b>24</b>
01 October 2019	<b>PH.i</b>	<b>28</b>
01 October 2019	<b>PH.p</b>	<b>30</b>
01 August 2020	<b>Member rules</b>	<b>56</b>




## CROPPING CATEGORIES

Fresh produce	<b>Category 0</b> (those you can eat raw and have a significant risk or history of pathogen contamination)
	<b>Category 1</b> (those you can eat raw and which do not have a protective skin that is removed before eating; they may also have a significant risk or history of pathogen contamination)
	<b>Category 2</b> (those you can eat raw and which either have a protective skin or grow clear of the ground, or that have no history of pathogen contamination)
	<b>Category 3</b> (those that the customer always cooks)

An up-to-date list of the crop categories can be found on the Red Tractor website.

## RISK ASSESSMENT (RA)


STANDARDS	HOW YOU WILL BE MEASURED
<b>AIM: To produce safe and legal product</b>	
<b>RA.a Key</b> <b>Growers must follow good hygiene practice and manage their operations in a way that controls food safety problems (or 'hazards'). A formal risk assessment must be carried out on all crops from planting through to packing and storage and crop production processes and vehicles which are the member's responsibility for product transportation, to identify any physical, chemical, allergenic or microbiological food safety risks (hazards) (Revised)</b>	The scope of the Risk Assessment includes: <ul style="list-style-type: none"> <li>– all crops being grown</li> <li>– all stages of crop production, transportation of products and inputs used in crop production</li> <li>– consideration of field location risks (risks may differ depending on field locations and local/ adjacent activities)</li> <li>– all relevant physical, chemical, microbiological, allergenic risks assessed and any hazards clearly identified</li> <li>– risk assessment reviewed routinely (minimum annually)</li> </ul> ■ Further information on the Risk Assessment can be found in the relevant <a href="#">Appendix</a>
<b>RA.b</b> <b>The Risk Assessment must include a flow diagram of the production processes and identify the points in the process where specifically identified (RA.a) risks occur (Revised)</b>	■ Risks qualified ■ Flow diagram has been developed for each type of crop production
<b>RA.c</b> <b>Where a risk (hazard) has been identified in the Risk Assessment (RA.a) there must be clear preventative actions identified and implemented within the operation to mitigate or control the risk to an acceptable level and ensure that crops are food safe (Revised)</b>	<b>ALL CROP CATEGORIES</b> <ul style="list-style-type: none"> <li>■ Preventative actions are detailed</li> <li>■ Preventative actions set out who is responsible for their action</li> <li>■ Preventive actions identify how to assess they are being effectively implemented</li> </ul>
	<b>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</b> <ul style="list-style-type: none"> <li>■ The staff responsible for the preventative actions are trained to understand their importance and the actions to be taken in the event of a failure</li> </ul>
	<b>ADDITIONAL REQUIREMENTS FOR CAT 0 &amp; 1</b> <ul style="list-style-type: none"> <li>■ Actions to be taken in the event of a failure of the preventative action are documented</li> <li>■ Where a preventative action has failed, the failure has been investigated, the corrective actions identified, implemented, documented and signed off by senior management</li> </ul>

STANDARDS	HOW YOU WILL BE MEASURED		
<b>RA.d</b> The Risk Assessment and preventative actions must be reviewed regularly and whenever the processes/ products change to ensure that actions are effective/ working (Revised)	ALL CROP CATEGORIES <ul style="list-style-type: none"> <li>Preventative actions are reviewed at least annually</li> </ul>	<b>R</b> <ul style="list-style-type: none"> <li>Review date on the Risk Assessment (RA.a)</li> </ul>	
	ADDITIONAL REQUIREMENTS FOR CAT 0, 1 & 2 <ul style="list-style-type: none"> <li>Review includes looking at complaints and any relevant test results including microbiological testing data</li> </ul>		
		ADDITIONAL REQUIREMENTS FOR CAT 0 & 1 <ul style="list-style-type: none"> <li>The internal audit system covers regular audits of the preventive actions to ensure they are effective/ working</li> </ul>	<b>R</b> <ul style="list-style-type: none"> <li>Internal audit reports</li> </ul>
		ADDITIONAL REQUIREMENTS FOR CAT 0, 1 & 2 <ul style="list-style-type: none"> <li>The Risk Assessment lead has received some risk assessment training</li> </ul>	
<b>RA.e</b> The Risk Assessment must be performed by suitably trained staff with a wide knowledge to ensure all aspects of the process have been thoroughly assessed (New)	ALL CROP CATEGORIES <ul style="list-style-type: none"> <li>The staff completing the Risk Assessment have wide knowledge of all areas of the business</li> </ul>	<b>R</b> <ul style="list-style-type: none"> <li>Training records</li> <li>Risk assessment meeting records</li> </ul>	
	ADDITIONAL REQUIREMENTS FOR CAT 0, 1 & 2 <ul style="list-style-type: none"> <li>The Risk Assessment lead has received some risk assessment training</li> </ul>		
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>For more information on microbiological contamination risks visit: <a href="http://freshproducetool.foodstandards.gov.scot/resources">http://freshproducetool.foodstandards.gov.scot/resources</a></li> </ul>		

## MALICIOUS CONTAMINATION (MC)

STANDARDS	HOW YOU WILL BE MEASURED
<b>AIM: To protect products from the potential for microbial, chemical or physical contamination introduced by a third party</b>	
<b>MC.a</b> The threat and potential of malicious contamination is fully considered within the Risk Assessment (New)	<ul style="list-style-type: none"> <li>Where risks have been identified actions have been taken to increase the controls on access to crops, stores, packhouses, fridges and dispatch areas even in remote, rural locations</li> </ul>


## INTERNAL AUDITS (IA)

STANDARDS	HOW YOU WILL BE MEASURED	RECORDS
<b>AIM: To ensure growers understand the standards</b>		
<b>IA.a</b> A minimum of one internal audit per annum must be completed against the scheme standards	<ul style="list-style-type: none"> <li>Audit:               <ul style="list-style-type: none"> <li>is documented</li> <li>details non-conformances and corrective actions</li> </ul> </li> </ul>	<b>R</b> <ul style="list-style-type: none"> <li>Internal audit</li> </ul>
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>A self-audit template can be found on <a href="http://assurance.redtractor.org.uk/tools-and-library/checklists">http://assurance.redtractor.org.uk/tools-and-library/checklists</a></li> </ul>	


## DOCUMENTS AND PROCEDURES (DP)

STANDARDS	HOW YOU WILL BE MEASURED
<b>AIM: Plans and procedures in place to ensure safe and legal food production</b>	
<p><b>DP.a.2</b>  <b>A farm map or farm maps must be available on site for all sites (New)</b></p>	<ul style="list-style-type: none"> <li>■ Farm map(s) are accessible and available for all staff and visitors to reference</li> <li>■ Farm map(s) which may include: fields, orchards, watercourses (details of water sources and irrigation distribution systems), glasshouses, growing houses (including polytunnels), packhouses, staff accommodation, any rented land and storage, hazards (e.g. power lines) footpaths, Sites of Special Scientific Interest (SSSI), Nitrate Vulnerable Zones (NVZs)</li> </ul> <p>NB. This could include a Google map/earth screenshot</p> <div style="text-align: right;"> <span style="border: 1px solid black; border-radius: 50%; padding: 2px 5px;">R</span>            ■ Farm Map(s)         </div>
<p><b>DP.b</b>  <b>A documented plan for the effective management of serious incidents and potential emergency situations (including food safety incidents which may lead to/ include a product withdrawal or product recall) must be in place and known to key staff (Revised)</b></p>	<ul style="list-style-type: none"> <li>■ You have considered the risks to your farm in accordance with your Risk Assessment</li> <li>■ Plan(s) define:               <ul style="list-style-type: none"> <li>– staff responsible for implementing the plan(s)</li> <li>– relevant contact details (including out of hours' phone numbers) e.g. Environment Agency hotline, energy suppliers, supply chain contact, laboratory, etc.</li> <li>– key staff have access to and are familiar with the plan(s) and documented tests are performed</li> <li>– plan(s) are in a language that ensures key staff understand</li> <li>– instances in which it would be implemented</li> </ul> </li> <li>■ Further information on the Food Safety Incident Management Plan can be found in the relevant <a href="#">Appendix</a></li> </ul> <div style="text-align: right;"> <span style="border: 1px solid black; border-radius: 50%; padding: 2px 5px;">R</span>            ■ Emergency and Food Safety Incident Management plan(s)         </div>
<p><b>DP.b.1</b>  <b>A documented Fire Risk Assessment for the control and prevention of fires in all farm buildings must be in place and known to key staff (New)</b></p>	<div style="text-align: right;"> <span style="border: 1px solid black; border-radius: 50%; padding: 2px 5px;">R</span>            ■ Fire Risk Assessment         </div>
<p><b>DP.c</b>  <b>Systems must be in place for recording, investigating and resolution of any complaints received that are relevant to the requirements of the Fresh Produce Standards (Revised)</b></p>	<ul style="list-style-type: none"> <li>■ All complaints (e.g. foreign bodies, food poisoning, noise, smoke) made by the Local Authority, general public, customers (e.g. processor feedback) or other</li> <li>■ Systems include recording of the:               <ul style="list-style-type: none"> <li>– complaint</li> <li>– investigation result</li> <li>– complaints trending for food safety issues</li> <li>– action(s) taken to prevent the issue happening again</li> </ul> </li> </ul> <div style="text-align: right;"> <span style="border: 1px solid black; border-radius: 50%; padding: 2px 5px;">R</span>            ■ Complaints records            ■ Complaints trending         </div>
<p><b>DP.d</b>  <b>Producers must ensure that new production sites are suitable for use (Revised)</b></p>	<ul style="list-style-type: none"> <li>■ The Certification Body has been informed of the site and it has been added to your Red Tractor membership</li> <li>■ New sites (purchased or newly rented), or land that is new to a particular crop have been risk assessed before use</li> <li>■ Risk assessment has taken into account the prior use of land from physical, chemical, microbiological and allergenic risks</li> </ul>
<p><b>DP.e</b>  <b>Where records are required by the standards they must be retained for a minimum of two years unless otherwise specified in the standard</b></p>	

## STAFF AND LABOUR PROVIDERS (SC)


STANDARDS	HOW YOU WILL BE MEASURED	
<b>AIM: All staff (including, but not limited to full, part-time, temporary and family members) are trained and competent to carry out the activities they do</b>		
<b>SC.a Key</b> <b>Systems must be in place to ensure that all new staff are effectively trained and deemed competent to carry out the activities they are employed to do (Revised)</b>	<ul style="list-style-type: none"> <li>■ Nobody starts work without an induction, supervision and explanation of the tasks they will carry out</li> <li>■ For any specific tasks referenced within the Standards (e.g. PPP application) additional training is given prior to being left to complete the task unsupervised, if it has not already been given</li> <li>■ Training delivered in a manner that ensures all staff understand, whatever their language</li> </ul>	
<b>SC.b</b> <b>The performance and competence of staff must be regularly reviewed and refresher training implemented as required</b>	<ul style="list-style-type: none"> <li>■ Staff are observed regularly and the output of their work reviewed</li> <li>■ Refresher training is implemented immediately if issues are found</li> </ul>	
<b>SC.c</b> <b>Records of training must be kept (Revised)</b>	<ul style="list-style-type: none"> <li>■ A training record is available for all, including:                             <ul style="list-style-type: none"> <li>– name</li> <li>– start date, if applicable</li> <li>– training given/ events attended/ experience/ level of training</li> <li>– date of training</li> <li>– who provided the training</li> <li>– employee signature</li> <li>– details of competency (if assessed was training completed successfully)</li> </ul> </li> <li>■ A completed and signed food safety policy declaration is recorded and updated annually</li> <li>■ Records kept for the duration of employment for temporary staff</li> <li>■ Where staff are trained to undertake specific tasks this is listed in the record</li> <li>■ Records kept for two years after the staff member has left employment</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Staff training record</li> <li>■ Signed food safety policy declaration</li> </ul>
<b>SC.d</b> <b>Where labour providers are used to supply temporary or permanent staff an agreement must be in place to ensure competent persons are provided</b>	<ul style="list-style-type: none"> <li>■ Agreement in place where labour providers are used regularly or on an ad-hoc basis</li> <li>■ Agreement confirms that labour provided are competent and that a Gangmasters Licence is held</li> <li>■ You have taken all reasonable steps to ascertain if the labour provider has a valid licence e.g. copy of a valid licence, checks made on the Gangmasters and Labour Abuse Authority (GLAA) website</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Labour provider agreement</li> </ul>
<b>SC.e</b> <b>Where contractors are employed to undertake work on the production of crops (including post-harvest applications), a Contractors' Commitment Document is in place which confirms that the contractor will comply with the Red Tractor Fresh Produce Scheme requirements</b>	<ul style="list-style-type: none"> <li>■ Contractors' Commitment Document is signed by both contractor and producer</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Contractors' Commitment Document</li> </ul>
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ For further information on Gangmasters Licensing and to check the licence status of a labour provider visit: <a href="http://www.gla.gov.uk">http://www.gla.gov.uk</a></li> <li>■ For more information on the food safety declaration, please visit the Red Tractor website: <a href="https://assurance.redtractor.org.uk/tools-and-library/templates">https://assurance.redtractor.org.uk/tools-and-library/templates</a></li> </ul>	

## TRACEABILITY AND ASSURANCE STATUS (TI)


STANDARDS	HOW YOU WILL BE MEASURED
<b>AIM: Clear identification of product to deliver food chain traceability</b>	
<b>TI.a Key</b> Systems must be in place that deliver traceability of product throughout the operation	<ul style="list-style-type: none"> <li>■ Product identification/ coding throughout the operation</li> <li>■ Identification/ coding provides traceability to field, orchard, glasshouse and growing house (including polytunnels), storage</li> </ul>
<b>TI.b</b> Records of bought-in seeds or plants must be kept (Revised)	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Records detail:                             <ul style="list-style-type: none"> <li>– suppliers</li> <li>– variety names</li> <li>– purity</li> <li>– germination rates</li> <li>– batch numbers</li> </ul> </li> </ul>
	<p>ADDITIONAL REQUIREMENT FOR CAT 0</p> <ul style="list-style-type: none"> <li>■ Microbiological testing certificates for seed</li> </ul>
<b>TI.c</b> Systems must be tested annually to ensure the traceability system is effective (Revised)	<ul style="list-style-type: none"> <li>■ Records of a product traceability check:                             <ul style="list-style-type: none"> <li>– records include details of the product looked at and include all the paperwork for that production from seed to farm-gate/ dispatch</li> <li>– paperwork for the product traceability check demonstrates that the traceability system is effective</li> <li>– where the traceability check shows that improvements to the system are required there is evidence that the improvements have been implemented</li> </ul> </li> <li>■ Quantities whether produced, stored or purchased for assured (and where applicable) non-assured products are recorded. These volumes are then balanced against out-going quantities and waste to produce a final or 'mass balance'</li> </ul>
<p><b>Where to find help</b> </p> <ul style="list-style-type: none"> <li>■ Templates and information on how to complete a mass balance can be found on the Red Tractor website: <a href="https://assurance.redtractor.org.uk/tools-and-library/templates">https://assurance.redtractor.org.uk/tools-and-library/templates</a></li> </ul>	

## VERMIN CONTROL (VC)

STANDARDS	HOW YOU WILL BE MEASURED
<b>AIM: Effective and responsible control of birds, rodents, insects and other animals to prevent contamination and food safety risk</b>	
<b>VC.a Key</b> Systems must be in place to control pests and vermin in all operational areas, including packing and storage areas, glasshouses and similar structures (Revised)	<ul style="list-style-type: none"> <li>■ Evidence that control is effective and being managed e.g. there is no evidence of contamination by vermin</li> <li>■ Systems include, but are not limited to, baiting and trapping</li> <li>■ System managed in-house by a demonstrably competent person or by an external contractor</li> <li>■ If used traps regularly checked and the locations and dates of the checks are recorded</li> <li>■ Where EFK (Electronic Fly Killing) units are used they are checked regularly to ensure they are working effectively and to remove dead flies</li> </ul>
<b>VC.b</b> Bait must be used responsibly (Revised)	<ul style="list-style-type: none"> <li>■ Prior to treatment with baits, a written site survey and environmental risk assessment are undertaken in accordance with the Appendix</li> <li>■ Use of non-chemical control methods considered first, followed by the least toxic alternatives (Risk Hierarchy)</li> <li>■ Growers are aware of the risks associated with non-chemical control methods e.g. potential contamination from stick/ glue boards and break-back traps</li> <li>■ Baits used are approved for use in the UK</li> <li>■ Where baits are used a bait plan is in evidence                             <ul style="list-style-type: none"> <li>– plan includes map/ location of bait points, bait used, bait point checks and replenishment dates</li> </ul> </li> <li>■ Safe positioning of bait; non-target animals do not have access and there is no risk of bait or bait stations contaminating product</li> <li>■ Granular bait is not used in areas where product is stored or packed</li> <li>■ Dead and dying rodents are removed and disposed of in line with bait manufacturer's instructions</li> </ul>

STANDARDS		HOW YOU WILL BE MEASURED
<b>VC.b.1</b> Permanent baiting must not routinely be undertaken (New)		<ul style="list-style-type: none"> <li>Baits only sited where evidence shows they are continuously effective</li> <li>At the end of treatment, baits are removed and disposed of in line with manufacturers' instructions</li> </ul>
<b>VC.c</b> Buildings used for packing and storing product must be maintained and proofed in a manner that prevents the ingress of pests and vermin (Revised)		<ul style="list-style-type: none"> <li>Where products are stored in a walled area, gaps are left between the product and the wall</li> </ul>
<b>VC.d</b> Domestic animals must not be allowed in any operational areas, including packing and storage areas (Revised)		<p>ADDITIONAL REQUIREMENT FOR CAT 0 &amp; 1</p> <ul style="list-style-type: none"> <li>Warning notices on any footpaths through production areas or close to crops</li> </ul>
<b>VC.d.1 Recommendation</b> It is recommended that precautionary measures are taken where appropriate to discourage pest and vermin activity in crops and cropping areas (New)		<ul style="list-style-type: none"> <li>Where areas of potential wild animal activity have been identified in the Risk Assessment, appropriate mitigation strategies have been implemented. These include but are not limited to: <ul style="list-style-type: none"> <li>bird scaring devices</li> <li>rabbit fencing</li> <li>crop covers</li> <li>barriers</li> <li>management of local pest and vermin populations</li> </ul> </li> </ul>
<b>Where to find help</b>		<ul style="list-style-type: none"> <li>The Campaign for Responsible Rodenticide Use Code is published on <a href="http://www.thinkwildlife.org/crru-code">www.thinkwildlife.org/crru-code</a></li> <li>For more guidance on vermin control see the AHDB Guide Rodent Control on Farms</li> <li>For more information on the use of vertebrate traps see the Chartered Institute of Environmental Health Code of Practice for the Use of Vertebrate Traps <a href="http://www.cieh.org/Code_of_practice_for_the_use_of_vertebrate_traps.html">http://www.cieh.org/Code_of_practice_for_the_use_of_vertebrate_traps.html</a></li> </ul>

## ENERGY EFFICIENCY & CLIMATE CHANGE (EE)

STANDARDS		HOW YOU WILL BE MEASURED
<b>AIM: To ensure optimal use of energy</b>		
<b>EE.a</b> Where a business uses a significant amount of energy, a written energy policy must be in place detailing how energy is used and the plans that are in place to ensure optimal energy consumption (Revised)	<ul style="list-style-type: none"> <li>Where viable, the use of renewable energy is encouraged</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>Energy Policy</li> </ul>
<b>EE.b Recommendation</b> It is recommended that energy use on farm is monitored (Revised)	<ul style="list-style-type: none"> <li>Farming equipment is selected and maintained for optimal energy consumption</li> <li>The use of non-renewable energy sources are kept to a minimum</li> <li>Where appropriate Greenhouse Gas (GHG) emissions are monitored and measured</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>Energy use records</li> </ul>
<b>Where to find help</b>		<ul style="list-style-type: none"> <li>To help monitor and measure your GHG emissions you can visit an online calculator e.g. <a href="http://www.cffccarboncalculator.org.uk">http://www.cffccarboncalculator.org.uk</a>, <a href="https://coolfarmtool.org/coolfarmtool/">https://coolfarmtool.org/coolfarmtool/</a></li> </ul>

## RESIDUES AND CONTAMINANTS (RC)

STANDARDS		HOW YOU WILL BE MEASURED
<b>AIM: Contamination and residues are minimised and where applicable monitored</b>		
<b>RC.a</b> Plans must be in place to minimise the use of PPPs without compromising product quality	<ul style="list-style-type: none"> <li>Specific guidance within relevant crop specific protocol has been taken into account</li> </ul>	
<b>RC.b</b> Consideration must be given to the impact that residue reduction plans might have	<ul style="list-style-type: none"> <li>Consideration for potential impact on: <ul style="list-style-type: none"> <li>Integrated Pest Management (IPM) plan</li> <li>pesticide resistance strategy</li> <li>product yield</li> <li>product quality</li> </ul> </li> </ul>	



STANDARDS	HOW YOU WILL BE MEASURED	
<b>RC.c</b> <b>Dispatched product must be tested for pesticide residues at least annually or product is included in a third party PPP residue monitoring system (Revised)</b>	<ul style="list-style-type: none"> <li>■ Testing completed by an accredited laboratory e.g. NAMAS or UKAS accredited laboratory</li> <li>■ Samples collected in accordance with documented applicable sampling procedure</li> <li>■ Actions taken as a result of any poor residue analysis results</li> <li>■ Residues levels comply with relevant MRLs</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Residue test results and documented actions</li> <li>■ Documented sampling procedure</li> </ul>
<b>RC.d</b> <b>Pesticide residue analysis results must be traceable to the producer, production site or batch</b>		
<b>RC.e</b> <b>A list of current applicable MRLs must be available for the markets where product is intended to be sold and if MRLs are stricter in the country where product is intended to be sold they have been taken into account during production</b>	<ul style="list-style-type: none"> <li>■ Information/ lists can be obtained from: <ul style="list-style-type: none"> <li>– customers/ buyers of products</li> <li>– confirmation that product complies with a residue screening system that meets the applicable country's MRLs</li> </ul> </li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ MRL list</li> </ul>

## ENVIRONMENTAL PROTECTION AND CONTAMINATION CONTROL (EC)

STANDARDS	HOW YOU WILL BE MEASURED	
<b>AIM: A well maintained farm</b>		
<b>EC.a</b> <b>The farm must be maintained in a manner that does not present risks to food safety or environmental protection (Revised)</b>	<ul style="list-style-type: none"> <li>■ Accumulated rubbish, redundant equipment or scrap kept in controlled areas separate from crop storage areas/ public access</li> <li>■ No unintended build-up of vegetation around farm structures that might harbour vermin</li> </ul>	
<b>AIM: No chemical or physical contamination, pollution or spread of disease from any potential contaminants or wastes</b>		
<b>EC.b Key</b> <b>Potential pollutants are stored in a manner that minimises the risk of contamination or pollution</b>	<ul style="list-style-type: none"> <li>■ Potential pollutants include, but are not limited to, silage, silage effluent, slurry, anaerobic digestate, agricultural fuel oil, empty containers, packhouse waste, paints, disinfectants, baits, other chemical products</li> <li>■ Fuel tanks bunded where required by legislation</li> </ul>	
<b>EC.c Key</b> <b>All wastes must be disposed of in a manner that minimises the risk of contamination or pollution (Revised)</b>	<ul style="list-style-type: none"> <li>■ Wastes generated by on-farm activities include, but are not limited to, used plastics, chemicals, oils and empty containers</li> <li>■ Wastes are disposed of by registered waste carriers</li> <li>■ Wastes are not burnt (with the exception of vegetation and untreated wood)</li> <li>■ Empty PPP containers are cleaned using an integrated pressure rinsing device, or triple rinsed appropriately, and the rinsate returned to the spray tank</li> <li>■ Non-returnable empty PPP containers are not reused and are stored and disposed of in accordance with legislation</li> <li>■ Returnable containers are kept safe and secure until disposal or recovery takes place</li> <li>■ The disposal of redundant PPPs is carried out by an approved chemical waste contractor or the supplying company</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Waste Transfer Notes/ receipts</li> <li>■ PPP disposal records</li> </ul>
<b>EC.c.1</b> <b>There must be a documented and implemented Waste and Recycling Management Plan</b>	<ul style="list-style-type: none"> <li>■ Plan includes all identified waste and details measures taken to reduce wastage and, whenever possible, recycle to avoid use of landfill or burning</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Waste and Recycling Management Plan</li> </ul>

STANDARDS	HOW YOU WILL BE MEASURED	
<p><b>EC.c.2</b> There must be a documented and implemented Pollution Prevention Management Plan (Revised)</p>	<ul style="list-style-type: none"> <li>■ Plan contains statement on policy to minimise environmental pollution from farm processes</li> <li>■ The plan identifies all potential pollutants within the business e.g. chemicals, oil, fuel, noise, light, dark smoke (See relevant Appendix)</li> <li>■ Plan documents what measures are in place to prevent pollution of the local environment</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Pollution Prevention Management Plan</li> </ul>
<p><b>AIM: Plant Protection Products (PPPs) are suitable for use and are stored and managed in a safe and responsible manner to prevent contamination and pollution</b></p>		
<p><b>EC.d Key</b> PPPs used must be approved for use on the target crop in the UK (Revised)</p>	<ul style="list-style-type: none"> <li>■ PPPs include: <ul style="list-style-type: none"> <li>– pesticides</li> <li>– insecticides</li> <li>– fungicides</li> <li>– herbicides</li> <li>– molluscicides e.g. slug pellets</li> <li>– nematicides</li> <li>– post-harvest products (e.g. CIPC)</li> </ul> </li> <li>■ Approved PPPs in use and manufacturers' instructions followed</li> <li>■ No unapproved PPPs in store (e.g. when the MAPP number has expired and its use-up-period ended)</li> </ul>	
<p><b>EC.d.1</b> PPPs must be appropriate for the control required as recommended on the product label or Extension of Authorisation for Minor Uses (EAMU)</p>	<ul style="list-style-type: none"> <li>■ Consideration is given to the environmental impact and residue levels</li> <li>■ Particular attention is paid to: <ul style="list-style-type: none"> <li>– maximum permitted dose rates</li> <li>– restrictions on repeated applications to a single crop</li> <li>– latest application stage and/or harvest interval</li> </ul> </li> <li>■ The Defra Code of Practice for Using Plant Protection Products is adhered to if reduced spray volume applications are used</li> </ul>	
<p><b>EC.e Key</b> PPPs must be stored in a dedicated agro-chemical store in a manner that minimises the risk of contamination or pollution (Revised)</p>	<ul style="list-style-type: none"> <li>■ No contamination of crops, final product, feedstuffs, fertilisers, animals, soils, groundwater or watercourses by PPPs</li> </ul>	
<p><b>EC.e.1 Key</b> The PPP store must be of a suitable design and construction (Revised)</p>	<ul style="list-style-type: none"> <li>■ Adequate ventilation</li> <li>■ Lighting sufficient to read labels on products</li> <li>■ Frost-proof</li> <li>■ Away from areas presenting a risk of fire and at least 4m from flammable materials or sources of ignition</li> <li>■ There are warning signs on the door, or adjacent to the door</li> <li>■ Kept locked, with keys limited to those with training in PPP handling</li> <li>■ An outside cage only used if the product is supplied in a container purposefully designed for outside storage</li> <li>■ Shelving is strong enough to support PPPs and made of impermeable materials</li> </ul>	
<p><b>EC.e.2</b> The store, including doors but not roof, must be constructed of materials that will resist fire for 30 minutes or longer</p>		
<p><b>EC.e.3</b> PPPs must be kept in their original packaging</p>	<ul style="list-style-type: none"> <li>■ PPPs from broken packaging transferred to a suitable container with a fitted lid/ cap and display original label information</li> </ul>	

STANDARDS	HOW YOU WILL BE MEASURED	
<b>EC.e.4</b> <b>Emergency facilities to deal with chemical spillages must be in place (Revised)</b>	<ul style="list-style-type: none"> <li>■ Emergency facilities include: <ul style="list-style-type: none"> <li>– sand/ absorbent granules</li> <li>– an adequate sump or ability to retain any spillages (i.e. bunded)</li> </ul> </li> <li>■ Adequate facilities for washing off any accidental splash or spillages on operators</li> <li>■ A spill kit is located in or near all stores</li> <li>■ A first aid kit is located in or near all stores</li> </ul>	
<b>EC.e.5</b> <b>Stored powders must not be able to become contaminated by stored liquids</b>	<ul style="list-style-type: none"> <li>■ Powders and granules are stored above liquids</li> </ul>	
<b>EC.e.6</b> <b>A list of stored PPPs must be kept and a copy held at a suitable location away from the store itself (Revised)</b>	<ul style="list-style-type: none"> <li>■ An up-to-date list is kept in the PPP store</li> <li>■ The list covers the product and the amount stored (number of units/ bottles of each product is acceptable)</li> <li>■ A copy is kept away from the store (e.g. in the farm office), updated at least seasonally and is available for use by emergency services</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ List of stored PPPs</li> </ul>
<b>AIM: PPPs are correctly applied to prevent contamination or pollution of the wider environment</b>		
<b>EC.f Key</b> <b>PPPs must be applied in a manner that minimises the risk of contamination or pollution (Revised)</b>	<ul style="list-style-type: none"> <li>■ Only used on the crops/ plants being protected</li> <li>■ Areas of high pollution risk on the farm are identified on farm map(s) and PPP application does not occur in these areas</li> <li>■ Farm map(s) are provided to any contractors undertaking spraying</li> <li>■ Manufacturers' instructions are followed at all times, including during handling and filling</li> <li>■ PPPs are not applied in unsuitable conditions e.g. when there is a risk of drift or movement to non-target areas or soil conditions are unsuitable</li> <li>■ Care is taken when applying near hedgerows, woodlands, wetlands, on-site accommodation, private homes or public places i.e. schools, parks, playgrounds</li> <li>■ Local beekeepers are given a minimum of 48 hours' notice of the intention to apply a PPP that is hazardous to bees</li> <li>■ Certain PPPs carry 'buffer zone' requirements. The product label will clearly state the buffer zone requirement and applicable scheme (e.g. Local Environment Risk Assessment for Pesticides (LERAP) or equivalent) for the product being used. Growers have ensured that the correct buffer zone requirement and scheme (including any engineering controls) have been observed and recorded</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Farm map(s) identifying areas of high pollution risk</li> </ul>
<b>EC.f.1</b> <b>When mixing PPPs handling and filling instructions on the label must be followed</b>		
<b>EC.f.2 Key</b> <b>Systems must be in place to ensure statutory harvest intervals for PPPs are complied with</b>	<ul style="list-style-type: none"> <li>■ Harvest dates are recorded in order that they can be compared with PPP records application</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Harvest date records</li> </ul>
<b>EC.f.3 Key</b> <b>Where Metaldehyde is used, it must be used in a manner that reduces the risk to water, birds and small mammals (New)</b>	<ul style="list-style-type: none"> <li>■ Appropriate active per hectare has been used to avoid drainage and run-off</li> <li>■ No applications are made during heavy rain or when drains are flowing</li> <li>■ Consideration is given to the proximity of watercourses, as demonstrated on the farm map(s)</li> <li>■ Consideration is given to the maximum permitted dose rate and maximum application rates</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Metaldehyde application records</li> <li>■ Farm Map(s) showing areas of high pollution risk</li> </ul>


STANDARDS	HOW YOU WILL BE MEASURED	
<p><b>EC.f.3.1</b> Where granular nematicides are used, they must be used in line with the Nematicide Stewardship Programme (NSP) Best Practice Protocol (New)</p>	<ul style="list-style-type: none"> <li>■ Staff applying granular nematicides have completed relevant training on the Nematicide Stewardship Best Practice Protocol</li> <li>■ The applicator is checked prior to the start of the season and on each working day to ensure all pipework is correctly fitted, the hopper bungs are in place and the hopper lids are secure. When the applicator is in use granules are monitored to check they are flowing correctly</li> <li>■ Applicators in potatoes are fitted with a device in the cab which allows the operator to shut off nematicide granule flow at least 3 meters from the end of each row. For all other crops the applicator must be able to turn off the flow of granules before the row</li> <li>■ Designated areas for filling hoppers in each field are used which can easily be checked for spillages. Spillages should be dealt with according to manufacturer's recommendations and the NSP Protocol to ensure no granules are left on the surface</li> <li>■ Treated fields are checked 24-48 hours after application for any adverse effects to wildlife. If any are found contact the Wildlife Incident Investigation Scheme (WIIS) and the granule manufacturer</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Record of attending ARTIS stewardship training, PA4G certificate or ARTIS on-line E-learning modules completed</li> <li>■ Pre and during season applicator check record</li> <li>■ Record of field checks post application</li> </ul>
<p><b>EC.f.4 Recommendation</b> It is recommended that records of PPP application instructions/ agronomist recommendations are kept (New)</p>	<ul style="list-style-type: none"> <li>■ Instructions/ recommendations may include: <ul style="list-style-type: none"> <li>– name of person issuing instruction</li> <li>– date of instruction</li> <li>– reason for application</li> <li>– application method</li> <li>– crop and variety</li> <li>– crop location/ field name/ area/ store (e.g. glasshouse)</li> <li>– area treated</li> <li>– product name</li> <li>– active ingredient</li> <li>– rate of application</li> <li>– volume of water</li> <li>– harvest intervals</li> <li>– special precautions required</li> </ul> </li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ PPP instruction records</li> </ul>
<p><b>EC.f.5</b> Measuring equipment must be clean, free from accumulated residues and accurately measure PPPs (New)</p>	<ul style="list-style-type: none"> <li>■ Graduated (including jugs and buckets) are clean and legible</li> <li>■ Scales calibrated annually and records kept</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Scale calibration records</li> </ul>
<p><b>EC.g Key</b> PPP application must be undertaken by competent operators</p>	<ul style="list-style-type: none"> <li>■ Competence is demonstrated by holding relevant City and Guilds NPTC (relevant PPP Pesticide Application (PA) certificates or equivalent)</li> <li>■ Operators include those applying granular/ dust PPPs or post-harvest treatments or seed treatments</li> <li>■ If PPP application operations are undertaken by a contractor, checks are made that certificates of competence are held</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ City and Guilds NPTC certificates or equivalent</li> </ul>
<p><b>EC.g.2</b> All PPP applicator operators must be registered with the National Register of Sprayer Operators (NRoSO) (Revised)</p>	<ul style="list-style-type: none"> <li>■ If operations are contracted, the contractor's name and valid NRoSO membership number and expiry date are recorded</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Contractor's name, NRoSO membership number(s) and expiry date</li> </ul>
<p><b>EC.g.3</b> Where an adviser advises on pesticide usage a BASIS Professional Register number and the adviser's name must be provided (Revised)</p>		<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ BASIS Professional Register number and the adviser's name</li> </ul>

STANDARDS	HOW YOU WILL BE MEASURED										
<p><b>EC.h</b> Records must be kept of all PPP applications for a minimum of three years (Revised)</p>	<ul style="list-style-type: none"> <li>■ Records kept for applications made both by staff and contractors</li> <li>■ Records include:               <ul style="list-style-type: none"> <li>– reference to technical instruction</li> <li>– name of operator</li> <li>– date of application</li> <li>– start and finish times</li> <li>– reason for application</li> <li>– application method and machinery used</li> <li>– crop and variety</li> <li>– crop location/ field name/ area/ store (e.g. glasshouse)</li> <li>– area to be treated</li> <li>– product name</li> <li>– active ingredient</li> <li>– rate of application</li> <li>– volume of water</li> <li>– harvest intervals</li> <li>– special precautions required (e.g. LERAP)</li> <li>– for outdoor crops, weather conditions (including wind speed and direction) at application</li> </ul> </li> <li>■ Where necessary access to the EAMU is available</li> </ul>										
<p><b>EC.i</b> All PPP application equipment must be maintained and tested</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%; text-align: left;">Equipment:</th> <th style="width: 50%; text-align: left;">Testing Frequency:</th> </tr> </thead> <tbody> <tr> <td>3m+ Boom Sprayer</td> <td rowspan="3" style="text-align: center; vertical-align: middle;">Annual (there is a valid NSTS certificate)</td> </tr> <tr> <td>Granular Nematicide Applicator</td> </tr> <tr> <td>CIPC Foggers</td> </tr> <tr> <td>Slug Pelleter (Including Electric Spinning Disc And Hydraulic/ PTO Fertiliser Spreaders)</td> <td rowspan="2" style="text-align: center; vertical-align: middle;">NSTS tested once, unless the equipment is less than five years old on 26<sup>th</sup> November 2016, and thereafter NSTS tested once every 6 years</td> </tr> <tr> <td>≤3m/ Granular Herbicide Applicator (Boom Type)</td> </tr> </tbody> </table> <ul style="list-style-type: none"> <li>■ This does not apply to handheld and knapsack sprayers</li> <li>■ Outside contractors also hold valid NSTS certificates</li> </ul>		Equipment:	Testing Frequency:	3m+ Boom Sprayer	Annual (there is a valid NSTS certificate)	Granular Nematicide Applicator	CIPC Foggers	Slug Pelleter (Including Electric Spinning Disc And Hydraulic/ PTO Fertiliser Spreaders)	NSTS tested once, unless the equipment is less than five years old on 26 <sup>th</sup> November 2016, and thereafter NSTS tested once every 6 years	≤3m/ Granular Herbicide Applicator (Boom Type)
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≤3m/ Granular Herbicide Applicator (Boom Type)											
<p><b>EC.i.1</b> All PPP application equipment must be checked to ensure accurate application (Revised)</p>	<ul style="list-style-type: none"> <li>■ All PPP application equipment is calibrated between seasons of use</li> <li>■ Equipment used to apply granular PPPs and any equipment used to apply slug pellets is calibrated whenever there is a change of product</li> </ul>										
<p><b>EC.i.2</b> All handheld applicators and knapsack sprayers must be checked on an annual basis and results recorded</p>											
<p><b>EC.i.3</b> PPP's must be transported in a safe manner, as detailed in the Code of Practice for Using Plant Protection Products (Revised)</p>	<p><b>Diluted (Ready-To-Use) PPP</b></p> <ul style="list-style-type: none"> <li>■ Transporting product through water and crossing watercourses is avoided wherever possible</li> <li>■ Valves which control the flow of PPPs to the spraying equipment shut during transport unless constant agitation is mentioned specifically on the label</li> <li>■ Hoses, nozzles and other fittings are maintained in line with manufacturers' instructions</li> </ul>	<p><b>Un-diluted (Concentrate) PPP</b></p> <ul style="list-style-type: none"> <li>■ Transported in a secure chest/ cabinet/ container</li> <li>■ Transporting product through water and crossing watercourses is avoided wherever possible</li> </ul>									

STANDARDS	HOW YOU WILL BE MEASURED	
<p><b>EC.i.4</b>  <b>Surplus spray mix must be dealt with in a manner that minimises the risk of contamination and pollution</b></p>	<ul style="list-style-type: none"> <li>■ Surplus is sprayed onto designated areas (e.g. sprayed or unsprayed crop left specifically for the purpose) or securely stored pending collection by a registered waste contractor</li> <li>■ Tank washings and rinsates are treated in a biobed or biofilter and treated under a registered waste exemption or disposed directly to the ground in accordance with an appropriate permit</li> <li>■ Care is taken not to exceed maximum rate</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Tank washings/ rinsates permit</li> </ul>
<p><b>EC.i.5 Recommendation</b>  <i>It is recommended that records of disposal of surplus spray mix are kept</i></p>		<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Disposal of surplus spray mix records</li> </ul>
<p><b>EC.i.6 Recommendation</b>  <i>It is recommended that PPP application equipment is stored in a manner that minimises the risk of contamination or pollution (New)</i></p>	<ul style="list-style-type: none"> <li>■ Where equipment is stored in a building it is in a well-ventilated area</li> <li>■ Equipment is regularly cleaned down</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Cleaning records</li> </ul>
<p><b>AIM: Fertilisers are stored and managed in a safe and responsible manner to prevent theft, contamination and pollution</b></p>		
<p><b>EC.j</b>  <b>Manufactured fertilisers must be stored in a manner that minimises the risk of theft</b></p>	<ul style="list-style-type: none"> <li>■ Stored in a secure building/ compound where there is no public access and located away from and not visible from a public highway</li> <li>■ Checks are made to ensure fertiliser has not been tampered with, moved or stolen</li> <li>■ If a discrepancy or theft is discovered it is reported to the police and the anti-terrorist hotline immediately</li> </ul>	
<p><b>EC.k Key</b>  <b>Fertilisers must be stored in a manner that minimises the risk of contamination or pollution</b></p>	<ul style="list-style-type: none"> <li>■ There is no risk of contamination to fresh produce, plant propagation material, feedstuffs, PPPs, animals, soils, groundwater or watercourses</li> <li>■ Granular fertiliser is stored on hard, dry surfaces</li> <li>■ Fertiliser spillage can be contained</li> <li>■ Fertiliser is stored at least 10m from a watercourse and at least 50m from a well, spring or borehole</li> <li>■ Fertilisers that pose a combustion or oxidiser hazard are not stored with PPPs or any other flammable material</li> <li>■ Fertilisers are not stored with PPPs or any other flammable material</li> <li>■ Fertilisers are stored in accordance with manufacturers' guidelines</li> </ul>	
<p><b>EC.k.1</b>  <b>Liquid fertiliser must be stored in suitable tanks/ bowsers</b></p>	<ul style="list-style-type: none"> <li>■ Liquid fertiliser stored in accordance with Defra's 'Protecting our Water, Soil and Air – A Code of Good Agricultural Practice for farmers, growers and land managers'</li> <li>■ If not banded to Environment Agency standards, liquid fertiliser tanks have lockable or removable tap handles</li> <li>■ If sight glasses are fitted they are secured to avoid accidental or malicious spillage</li> </ul>	
<p><b>EC.k.2</b>  <b>Manufactured fertiliser stock records must be kept and updated at least every three months and detail quantities received and used</b></p>		<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Manufactured fertiliser stock records</li> </ul>
<p><b>EC.k.3 Recommendation</b>  <i>It is recommended that you notify the relevant authorities if you are storing certain amounts and/or types of fertiliser</i></p>	<ul style="list-style-type: none"> <li>■ If storing more than 150 tonnes of fertilisers, which contain ammonium nitrate, where the Nitrogen content is greater than 15.75% you have notified the Fire and Rescue Service</li> <li>■ If storing more than 25 tonnes in total of any fertilisers or other substances with an oxidiser warning sign on the bag or container you have notified both HSE and the Fire and Rescue Service</li> </ul>	
<p><b>AIM: Fertilisers / soil improvement products are legal, suitable for their intended use and applied in a manner that prevents contamination, pollution and minimises the risk of microbial contamination</b></p>		




STANDARDS	HOW YOU WILL BE MEASURED	
<p><b>EC.I Key</b> Only appropriate, safe and suitable fertilisers and soil improvement products must be applied. They have been deemed as appropriate, safe and suitable in the Risk Assessment (Revised)</p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Products include, but are not limited to, manure, composts, anaerobic digestate, treated sewage sludge, biostimulants and plant strengtheners</li> <li>■ Any material originating outside the holding, including waste materials, that are applied to land have agricultural benefit and are permitted for use. Exemptions/ permits to use such materials are held and Waste Transfer Notes are kept</li> <li>■ Organic crop debris may be composted on the farm and re-used for soil conditioning where there is no risk of disease carry-over</li> <li>■ No untreated abattoir or catering derived animal by-products are spread to land</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Waste Transfer Notes/ delivery records/ invoices</li> <li>■ Records of product source</li> </ul>
	<p>ADDITIONAL REQUIREMENT FOR CAT 0 &amp; 1</p>	
	<ul style="list-style-type: none"> <li>■ All staff and contractors involved in applying manure-based products understand the microbiological risks they pose</li> </ul>	
<p><b>EC.I.1</b> Sewage sludge must only be used if treated</p>	<ul style="list-style-type: none"> <li>■ Sewage sludge used in accordance with the Defra Code of Practice for the Agricultural Use of Sewage Sludge</li> <li>■ Untreated sewage sludge is not used</li> </ul>	
<p><b>EC.I.2 Recommendation</b> <i>It is recommended that sewage sludge is assured under the Biosolids Assurance Scheme (New)</i></p>		<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Farmer Notification Form</li> </ul>
<p><b>EC.m Key</b> Fertilisers and soil improvement products must be applied in a manner which minimises the risk of contamination or pollution (Revised)</p>	<ul style="list-style-type: none"> <li>■ A Manure Management Plan is kept and followed when applying manures and/or slurries to land</li> <li>■ Soil improvement products applied in accordance with Appendices (Safe Applications to Land and Manure Management Plan)</li> <li>■ Before application, factors including NVZ restrictions, soil type, soil conditions, growing medium, crop requirements, slope, weather conditions, grazing or planting intervals and the position of surface water, water supplies and abstraction points, even on neighbouring land, are considered</li> <li>■ Grazing and planting intervals in the Appendix (Safe Applications to Land) are adhered to</li> <li>■ Staff and contractors have knowledge of high risk (including microbiological risk) areas, activities and crops on-farm</li> <li>■ Products are not applied at high risk times e.g. waterlogged or frozen ground</li> <li>■ The quantity and timing of fertiliser and soil improvement products minimises the risk to the product and the environment</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Manure Management Plan</li> </ul>
<p><b>EC.m.1</b> All equipment used for applying manufactured fertilisers must be checked to ensure accurate application (Revised)</p>	<ul style="list-style-type: none"> <li>■ Manufactured fertiliser application equipment is calibrated at least annually</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Calibration records</li> </ul>
<p><b>EC.m.2</b> Where an adviser advises on fertiliser usage a FACTS Professional Register number and the adviser's name must be provided (Revised)</p>		<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ FACTS Professional Register number and adviser's name</li> </ul>
<p><b>EC.m.3</b> Fertiliser rates must be based on a calculation of the nutrient requirements of the crop and on regular analysis of nutrient levels in soil, plant or nutrient solution</p>	<ul style="list-style-type: none"> <li>■ Proper account is taken of nutrient content of organic manure</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Analysis results or standard analysis (e.g. RB 209)</li> </ul>


STANDARDS	HOW YOU WILL BE MEASURED	
<b>EC.m.4</b> <b>The supply and timing of nutrient application must be matched to meet crop demand</b>	<ul style="list-style-type: none"> <li>■ Non-target areas are protected from run-off and leaching</li> <li>■ Nutrient loss is minimised by adopting good practices</li> </ul>	
<b>EC.m.5</b> <b>Documentary evidence detailing the chemical content (N, P, K) of all purchased manufactured fertilisers must be kept for twelve months</b>	<ul style="list-style-type: none"> <li>■ Documents detailing chemical content of manufactured fertilisers</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Invoices/ delivery records</li> </ul>
<b>EC.m.6</b> <b>Records must be kept of all applications of fertilisers/ soil improvement products (Revised)</b>	<ul style="list-style-type: none"> <li>■ Records include: <ul style="list-style-type: none"> <li>– reference to technical instruction</li> <li>– name of operator</li> <li>– date of application</li> <li>– reason for application</li> <li>– application method</li> <li>– crop and variety</li> <li>– crop location/ field name/ area (e.g. glasshouse)</li> <li>– area treated</li> <li>– type and quantity of fertiliser/ soil improvement product</li> <li>– rate of application</li> <li>– special precautions required</li> </ul> </li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Fertiliser/ soil improvement product application records</li> </ul>
<b>EC.m.7 Recommendation</b> <i>It is recommended that a cropping/ nutrient management plan is developed</i>	<ul style="list-style-type: none"> <li>■ <i>Cropping/ nutrient management plan is based on risk and soil analysis and takes into account timing, frequency and quantity of applications</i></li> <li>■ <i>Plan ensures that nutrient loss is minimised</i></li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ <i>Cropping/ nutrient management plan</i></li> </ul>
<b>EC.m.8 Recommendation</b> <i>It is recommended that records are kept of all technical application instructions/ professional adviser recommendations for fertiliser and soil improvement products (New)</i>	<ul style="list-style-type: none"> <li>■ <i>Instructions/recommendations include:</i> <ul style="list-style-type: none"> <li>– name of person issuing technical instruction</li> <li>– date of instruction/ recommendation</li> <li>– reason for application</li> <li>– application method</li> <li>– crop and variety</li> <li>– crop location/ field name/ area (e.g. glasshouse)</li> <li>– area to be treated</li> <li>– type and quantity of fertiliser/ soil improvement product</li> <li>– rate of application</li> <li>– special precautions required</li> </ul> </li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ <i>Technical application instructions/ professional adviser recommendations</i></li> </ul>
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ The Defra guidance document Protecting our Water, Soil &amp; Air - A Code of Good Agricultural Practice for farmers, growers and land managers; the DARD Code of GAP for the prevention of pollution of water, air &amp; soil; the Code of GAP for the Protection of Water, Soil and Air for Wales 2011</li> <li>■ Guidance to the Environmental Permitting Regulations can be found at <a href="https://www.gov.uk">https://www.gov.uk</a></li> <li>■ The Code of Practice for Using Plant Protection products and the Code of Practice for Using Plant Protection Products in Scotland</li> <li>■ For a list of approved pesticides visit <a href="http://www.pesticides.gov.uk">www.pesticides.gov.uk</a></li> <li>■ For information on pesticide approvals, label information and MRL's visit the LIAISON website</li> <li>■ For a template IPM plan and more information on biobeds visit <a href="http://www.voluntaryinitiative.org.uk">http://www.voluntaryinitiative.org.uk</a></li> <li>■ HSE Guidance on storing pesticides for farmers and other professional users</li> <li>■ Information on sprayer certificates of competency can be found at <a href="http://www.cityandguilds.com">www.cityandguilds.com</a></li> <li>■ Details of NSTS approved test centres can be found at <a href="http://www.nsts.org.uk">www.nsts.org.uk</a></li> <li>■ For information on the importance of fertiliser security visit <a href="http://www.secureyourfertiliser.gov.uk">www.secureyourfertiliser.gov.uk</a></li> <li>■ For more information about the Fertiliser Industry Assurance Scheme (FIAS) visit <a href="https://www.aictradeassurance.org.uk/fias/documents/fias-standards/">https://www.aictradeassurance.org.uk/fias/documents/fias-standards/</a></li> <li>■ For guidance on fertiliser use see the AHDB Fertiliser Manual RB209: <a href="http://www.ahdb.org.uk/projects/CropNutrition.aspx">http://www.ahdb.org.uk/projects/CropNutrition.aspx</a></li> <li>■ To find out the environmental state of water bodies around and through your land use the Environment Agency's "What's in your Backyard Tool": <a href="http://apps.environment-agency.gov.uk/wiyby/default.aspx">http://apps.environment-agency.gov.uk/wiyby/default.aspx</a></li> <li>■ To find your local beekeeper visit: <a href="https://www.beeconnected.org.uk">https://www.beeconnected.org.uk</a></li> <li>■ For information about the responsible use of Metaldehyde visit: <a href="http://www.getpelletwise.co.uk">http://www.getpelletwise.co.uk</a></li> </ul>	



## ENVIRONMENT IMPACT/ CONSERVATION AND SUSTAINABILITY (EI)

STANDARDS		HOW YOU WILL BE MEASURED	
<b>AIM: Minimise the adverse impact the farm has on wildlife, flora, fauna and the environment, including soil, water and air</b>			
<b>EI.a</b> <b>Producers must be aware of any practices that have an adverse environmental impact</b>	<ul style="list-style-type: none"> <li>■ Important features of biodiversity and conservation value are identified on and around the farm</li> <li>■ Practices are adopted to minimise detrimental impact on such features</li> <li>■ Consideration has been given to how the environment can be managed for the benefit of the local community, flora and fauna</li> </ul>		
<b>EI.b</b> <b>A plan for the management of wildlife and conservation of the environment for the farm must be in place and activities implemented on farm</b>	<ul style="list-style-type: none"> <li>■ Plan includes:                             <ul style="list-style-type: none"> <li>– activities to minimise the environmental impact</li> <li>– activities to avoid damage and deterioration to habitats</li> </ul> </li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ Wildlife Management and Environment Conservation Plan</li> </ul>
<b>EI.c Recommendation</b> <i>It is recommended that consideration is given to the conversion of unproductive sites to conservation areas for the encouragement of natural flora, fauna and increase of biodiversity</i>	<ul style="list-style-type: none"> <li>■ Consideration has been given to low lying wet areas, woodlands, headland strip and areas of impoverished soil</li> </ul>		
<b>EI.d Recommendation</b> <i>It is recommended that a baseline audit to understand existing animal and plant diversity on-farm is undertaken</i>		<b>R</b>	<ul style="list-style-type: none"> <li>■ Baseline audit</li> </ul>
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ To find out the environmental state of water bodies around and through your land use the Environment Agency's "What's in your Backyard Tool": <a href="http://apps.environment-agency.gov.uk/wiyby/default.aspx">http://apps.environment-agency.gov.uk/wiyby/default.aspx</a></li> </ul>		


## INTEGRATED CROP MANAGEMENT (IM)

STANDARDS		HOW YOU WILL BE MEASURED	
<b>AIM: Integrated Crop Management is followed on-farm</b>			
<b>IM.a</b> <b>Integrated Crop Management (ICM) must be in place to proactively manage crop production</b>	<ul style="list-style-type: none"> <li>■ ICM is discussed with relevant staff, advisers and contractors</li> <li>■ Consideration is given to all areas of good agricultural practice with an emphasis on optimising the use of PPPs and fertilisers and improved protection of the environment</li> <li>■ As part of ICM an Integrated Pest Management (IPM) plan is documented and followed</li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ IPM plan</li> </ul>
<b>IM.b</b> <b>Regular crop inspections must be undertaken and recorded</b>		<b>R</b>	<ul style="list-style-type: none"> <li>■ Crop inspection records/ diary notes</li> </ul>
<b>IM.c</b> <b>Relevant pests, diseases, weeds must be monitored regularly and recorded (Revised)</b>	<ul style="list-style-type: none"> <li>■ Recording is carried out directly or through participation in a relevant prediction programme</li> <li>■ Documented thresholds with corresponding technical options are used where applicable, to avoid the routine application of PPPs</li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ Records of pests, diseases and weeds on-farm</li> </ul>
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ For a template IPM plan visit <a href="http://www.voluntaryinitiative.org.uk/schemes/integrated-pest-management/">http://www.voluntaryinitiative.org.uk/schemes/integrated-pest-management/</a></li> </ul>		

## SITE, SOIL AND SUBSTRATE MANAGEMENT (SM)


STANDARDS	HOW YOU WILL BE MEASURED	
STANDARDS	HOW YOU WILL BE MEASURED	
<b>AIM: Soil is managed in a way that helps maintain soil condition</b>		
<b>SM.a</b> <b>Producers must have systems in place that aim to maintain soil structure and control erosion (Revised)</b>	<ul style="list-style-type: none"> <li>■ A Soil Management Plan is in place</li> <li>■ Crop rotations are employed whenever possible, details recorded and retained for 3 years</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Soil Management Plan</li> <li>■ Crop rotation records</li> </ul>
<b>SM.b Recommendation</b> <i>It is recommended that producers know the classification of soils on their farm and production practices are adjusted to maintain soil structure and control erosion</i>	<ul style="list-style-type: none"> <li>■ <i>Characteristics and production potential are taken into account, as is the conservation of soil organic matter</i></li> </ul>	
<b>SM.c Recommendation</b> <i>It is recommended that specific scientific tests are undertaken, where available, to ascertain pest and disease levels in the soil and to help schedule crop rotations</i>		<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Test results</li> </ul>
<b>SM.d Recommendation</b> <i>It is recommended that soil types are mapped for the farm so they can be used to plan rotations, planting and growing plans</i>	<ul style="list-style-type: none"> <li>■ Map identifies soil:                             <ul style="list-style-type: none"> <li>– texture</li> <li>– analysis</li> </ul> </li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Farm Map(s)</li> </ul>
<b>SM.e Recommendation</b> <i>It is recommended that soil management is discussed with advisers and relevant staff in order to ensure that cultivations are appropriate for soil type, cropping, topography, erosion risk and climate</i>		
<b>SM.f Recommendation</b> <i>It is recommended that your Soil Management Plan aims to minimise compaction</i>		
<b>SM.g Recommendation</b> <i>It is recommended that chemical fumigation of soil is avoided</i>	<ul style="list-style-type: none"> <li>■ Alternatives can be used:                             <ul style="list-style-type: none"> <li>– field rotation</li> <li>– planting of break crops</li> <li>– use of disease resistant cultivars</li> <li>– conversion to soil-free cultivation</li> </ul> </li> </ul>	
<b>SM.h</b> <b>Where chemical soil fumigants are used records must be kept</b>	<ul style="list-style-type: none"> <li>■ Records include:                             <ul style="list-style-type: none"> <li>– reason for use</li> <li>– date</li> <li>– location</li> <li>– active ingredient</li> <li>– quantity used/ dose</li> <li>– name of operator</li> <li>– machinery used/ method of application</li> <li>– pre-planting interval</li> </ul> </li> </ul>	
<b>AIM: Substrates are managed efficiently and in a way that reduces any potential adverse environment impact</b>		
<b>SM.i</b> <b>Substrates (including peat and peat substitutes) must be traceable to source and not originate from designated conservation areas (Upgraded)</b>	<ul style="list-style-type: none"> <li>■ Records show substrate source technical specifications and/or analysis results</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Substrate traceability records</li> </ul>
<b>SM.j</b> <b>Recycling of substrates must be undertaken where feasible and documented (Upgraded)</b>	<ul style="list-style-type: none"> <li>■ Where inert substrates are not recycled, the reasons are documented</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Substrate recycling records</li> </ul>



STANDARDS		HOW YOU WILL BE MEASURED	
<b>SM.k Recommendation</b> <i>It is recommended that in those crop production systems where it is relevant, growth media and substrates are re-used/ sterilised, preferably by steaming</i>	<ul style="list-style-type: none"> <li>■ Re-used substrate is recorded</li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ Re-used substrate use records</li> </ul>
<b>SM.l</b> <b>Where chemical sterilisation of substrates is undertaken it must be recorded</b>	<ul style="list-style-type: none"> <li>■ Records include: <ul style="list-style-type: none"> <li>– name of operator</li> <li>– date</li> <li>– location</li> <li>– chemical name</li> <li>– quantity used</li> <li>– active ingredient</li> <li>– machinery used</li> <li>– method used</li> <li>– pre-planting interval</li> </ul> </li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ Chemical sterilisation records</li> </ul>
<b>SM.m Recommendation</b> <i>It is recommended that substrates which contain recycled materials are used and records kept</i>		<b>R</b>	<ul style="list-style-type: none"> <li>■ Substrate use records</li> </ul>
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ For guidance on how to complete a Soil Management Plan visit the Red Tractor website <a href="http://www.redtractorassurance.org.uk">www.redtractorassurance.org.uk</a></li> </ul>		

## WATER MANAGEMENT (IG)


STANDARDS		HOW YOU WILL BE MEASURED	
<b>AIM: To prevent the product being contaminated by water used on-farm</b>			
<b>IG.a.1</b> <b>There must be a documented Water Risk Assessment which relates to crop category and covers all water used in crop production (irrigation, mixing of fertilisers and PPPs, crop and equipment washing {where appropriate}) (New)</b>	<ul style="list-style-type: none"> <li>■ The Water Risk Assessment takes into account: <ul style="list-style-type: none"> <li>– all water used in crop production</li> <li>– all applicable microbiological, chemical and physical risks</li> <li>– all sources of water used on the farm</li> <li>– any water distribution and storage facilities</li> </ul> </li> <li>■ The Water Risk Assessment is reviewed annually</li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ Water Risk Assessment</li> </ul>
<b>IG.a Key</b> <b>Untreated sewage water must not be used</b>	<ul style="list-style-type: none"> <li>■ Untreated sewage water is defined as water contaminated with human and/or municipal waste</li> </ul>		
<b>IG.b</b> <b>Water used in crop production (irrigation, mixing of fertiliser and PPPs, crop and equipment washing must be tested at a frequency which is in response to the Water Risk Assessment and in line with the Water Matrix Appendix (Revised)</b>	<ul style="list-style-type: none"> <li>■ Microbiological testing frequency is dependent on crop category</li> <li>■ Water is tested for E. coli</li> <li>■ E. coli thresholds are dependent on crop category- Further information can be found in the Water Matrix Appendix</li> <li>■ Growers are aware of any critical values expected by their customers</li> </ul>		
<b>IG.c</b> <b>Controls and test results must be kept, regularly reviewed and any improvement action taken must be recorded for all water used in crop production (irrigation, mixing of fertiliser and PPPs, crop and equipment washing) (Revised)</b>		<b>R</b>	<ul style="list-style-type: none"> <li>■ Water test results</li> </ul>
<b>IG.d Recommendation</b> <i>It is recommended that analysis of irrigation water is completed by a laboratory accredited to ISO 17025 for microbiological, chemical and mineral pollutants</i>			

STANDARDS		HOW YOU WILL BE MEASURED	
<b>AIM: Sustainable use of water</b>			
<b>IG.e</b> Crop irrigation must be based on an identified need (Revised)	<ul style="list-style-type: none"> <li>■ The need can be identified by:               <ul style="list-style-type: none"> <li>– Substrate moisture measurements</li> <li>– Scheduling</li> </ul> </li> </ul>		
<b>IG.f</b> Records must be kept of irrigation water usage (Upgraded)	<ul style="list-style-type: none"> <li>■ Primary source of each application identified</li> <li>■ Volume and timing recorded</li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ Irrigation records</li> </ul>
<b>IG.g</b> A documented Water Management Plan must be produced and used to identify opportunities for water use efficiency and reducing waste (Upgraded)	<ul style="list-style-type: none"> <li>■ Examples could include:               <ul style="list-style-type: none"> <li>– computer modelling of crop's water requirements</li> <li>– maintenance plans to reduce possibility of leakage</li> <li>– collection and re-use of some water, such as from glasshouse roofs and winter rainfall</li> <li>– water audit</li> </ul> </li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ Water Management Plan</li> </ul>
<b>IG.h</b> The use of water abstracted from sustainable sources is regulated by the competent authorities and producers sourcing abstracted water must hold an appropriate licence where required		<b>R</b>	<ul style="list-style-type: none"> <li>■ Abstraction Licence</li> </ul>
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ For further information on irrigation visit the UK Irrigation Association website at <a href="http://www.ukia.org">www.ukia.org</a></li> </ul>		


## SEED, ROOTSTOCK AND YOUNG PLANTS (SN)

STANDARDS		HOW YOU WILL BE MEASURED	
<b>AIM: Responsible use of chemicals on seed, rootstock and young plants</b>			
<b>SN.a Key</b> Only approved PPPs must be used for the treatment of seed, rootstock or young plants			
<b>SN.b</b> Records must be kept of any PPP applications made in-house to seed, rootstock or young plants	<ul style="list-style-type: none"> <li>■ Records detail:               <ul style="list-style-type: none"> <li>– crop name and variety</li> <li>– crop location</li> <li>– reason for application</li> <li>– date of application</li> <li>– quantity used</li> <li>– product trade name</li> <li>– name of operator and machinery used</li> <li>– harvest interval</li> </ul> </li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ In-house seed, rootstock or young plant treatment records</li> </ul>
<b>SN.c</b> Records must be held for any bought-in seed, rootstock or young plants that have been treated with PPPs where the crop is harvested within 12 months of planting (Revised)	<ul style="list-style-type: none"> <li>■ Records detail:               <ul style="list-style-type: none"> <li>– crop name and variety</li> <li>– reason for application</li> <li>– date of application</li> <li>– quantity used</li> <li>– product trade name</li> <li>– active ingredient</li> </ul> </li> </ul>	<b>R</b>	<ul style="list-style-type: none"> <li>■ Bought-in seed, rootstock or young plant treatment records/ Plant Propagator's assurance certificate</li> </ul>
<b>SN.d Recommendation</b> <i>It is recommended that producers have an awareness of the potential disease risks with young plants and nursery stock imported from overseas</i>	<ul style="list-style-type: none"> <li>■ <i>Producer is aware of the risks of notifiable and resistant pests and diseases</i></li> </ul>		

## CHOICE OF VARIETY OR ROOTSTOCK AND PLANT HEALTH CERTIFICATION (CV)

STANDARDS		HOW YOU WILL BE MEASURED
<b>AIM: Controls to ensure the production of quality product is maximised</b>		
<b>CV.a</b> <b>Plant health quality control systems must be in place for all seeds, nursery stock and young plants</b>	<ul style="list-style-type: none"> <li>■ Pest and disease monitoring is recorded for seeds, nursery stock and young plants that are bought-in and produced in-house</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Quality certificate</li> <li>■ Pest and disease monitoring records</li> </ul>
<b>CV.b Recommendation</b> <i>It is recommended that there is an awareness of the importance of effective crop husbandry in relation to 'mother crops' where beneficial results may be experienced in the subsequent crop</i>	<ul style="list-style-type: none"> <li>■ <i>For example, the production of seed potatoes, strawberries</i></li> </ul>	
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ For information on the Safe Haven Scheme for Seed Potatoes see <a href="http://assurance.redtractor.org.uk/standards/supply-chains">http://assurance.redtractor.org.uk/standards/supply-chains</a></li> </ul>	

## TEMPORARY CROP PROTECTION STRUCTURES (TC)

STANDARDS		HOW YOU WILL BE MEASURED
<b>AIM: Minimise the impact of polytunnels on the local environment</b>		
<b>TC.a Recommendation</b> <i>It is recommended that producers adhere to the requirements of the NFU/ British Summer Fruits Association Code of Practice for the Use of Polytunnels for the Production of Soft Fruit</i>	<ul style="list-style-type: none"> <li>■ <i>Polytunnels are not sited within 30m of the boundary of the nearest residential dwelling, unless as a result of prior agreement with the neighbour concerned</i></li> <li>■ <i>All reasonably practical steps have been taken, using tree or hedge planting, to mitigate the visual impact of polytunnels from the immediate view of neighbouring residential dwellings</i></li> <li>■ <i>Reasonably practical steps have been taken to minimise noise in early morning (before 7am) or late evening (after 8pm)</i></li> <li>■ <i>Growers store unused polythene away from public view</i></li> <li>■ <i>Polythene covering the frames of a polytunnel is removed for a minimum period of six months in any calendar year</i></li> <li>■ <i>Where polytunnels are removed from a site, the growers remove the polythene from the hoops within one month of the completion of cropping, unless to do so would cause damage to the soil because of poor weather conditions</i></li> <li>■ <i>Waste polythene is removed and recycled in an approved manner</i></li> <li>■ <i>Records are kept of the following:</i> <ul style="list-style-type: none"> <li>– <i>type of crop</i></li> <li>– <i>how the crop was grown (in the ground, in bags or off the ground)</i></li> <li>– <i>date when the framework and polythene cover are to be erected and the expected date of removal of the cover (and frame if appropriate)</i></li> <li>– <i>area and percentage of the total area of the farm covered by polytunnels</i></li> <li>– <i>any notices given, including to any neighboring residential dwellings, before work commences</i></li> </ul> </li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Use of polytunnels records</li> </ul>
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ For a copy of the NFU/ British Summer Fruits Association Code of Practice for the Use of Polytunnels for the Production of Soft Fruit Copies visit: <a href="http://adlib.everysite.co.uk/adlib/defra/content.aspx?doc=139730&amp;id=139732">http://adlib.everysite.co.uk/adlib/defra/content.aspx?doc=139730&amp;id=139732</a></li> </ul>	

## HARVEST AND FIELD PACKING (HS)


STANDARDS	HOW YOU WILL BE MEASURED	
<b>AIM: To prevent product contamination from staff</b>		
<p><b>HS.a</b>  <b>Written staff hygiene policies and procedures must be in place, communicated to staff and compliance monitored (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Hygiene policy includes:               <ul style="list-style-type: none"> <li>– all staff to wash hands (with running water and non-perfumed soap) and dry hands before starting work and after using toilets</li> <li>– no jewellery with the exception of a plain wedding band or religious jewellery with no stones/ jewels</li> <li>– no watches</li> <li>– no rings or studs worn in exposed parts of the body</li> <li>– no eating, spitting or chewing in cropping areas</li> <li>– no smoking including e-cigarettes in cropping areas</li> <li>– banning personal phones in the field or production areas has been considered (excludes supervisory staff and lone worker phones)</li> <li>– no excessive make-up, false nails, false eyelashes or hair extensions where they present a contamination risk to the crop</li> </ul> </li> </ul> <p>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</p> <ul style="list-style-type: none"> <li>■ Hygiene policy requires:               <ul style="list-style-type: none"> <li>– hands kept clean and no nail varnish</li> <li>– no perfume or aftershave</li> <li>– reporting of wounds and use of blue and/or metal-detectable (only where metal-detectors are used) plasters for skin cuts or wounds, the issue of which is controlled and recorded</li> </ul> </li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Staff Hygiene Policy</li> <li>■ Plaster issue record</li> </ul>
<p><b>HS.b</b>  <b>All staff handling fresh produce must be trained in personal hygiene requirements</b></p>	<ul style="list-style-type: none"> <li>■ Training covering all applicable requirements of HS.a and HS.f completed as part of the staff induction before starting work</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Staff training records/ agency labour training records</li> </ul>
<p><b>HS.c</b>  <b>All visitors that enter production areas must be made aware of any site hygiene requirements (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Hygiene Policy in place for visitors/ contractors</li> </ul> <p>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</p> <ul style="list-style-type: none"> <li>■ Procedure in place to ensure all visitors/ contractors on site have been made aware of the Hygiene Policy</li> <li>■ Visitors/ contractors declare that they understand and will comply with the Hygiene Policy</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Visitor/ Contractor Hygiene Policy</li> </ul>



STANDARDS	HOW YOU WILL BE MEASURED	
<b>HS.d</b> <b>Personal Protective Equipment (PPE) appropriate to the crop type being produced must be provided and maintained in good condition (Revised)</b>	ALL CROP CATEGORIES	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ PPE requirements, where appropriate, are clearly defined by the business</li> <li>■ Where PPE is required to prevent product contamination, it is not taken back home/to accommodation</li> <li>■ If used PPE is clean and fit for purpose</li> </ul> ■ PPE requirement policy
	ADDITIONAL REQUIREMENTS FOR CAT 0 & 1	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ PPE is not worn in the smoking area or toilets</li> <li>■ Where gloves are used, a glove use procedure is in place which includes:               <ul style="list-style-type: none"> <li>– Only intact and clean gloves are used</li> <li>– Glove storage</li> <li>– Staff to discard when torn or heavily soiled</li> <li>– Hand washing before and after gloves are put on</li> </ul> </li> </ul> ■ Glove use procedure
	ADDITIONAL REQUIREMENTS FOR CAT 0	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ System for managing the laundering of non-disposable overalls:               <ul style="list-style-type: none"> <li>– laundered by an audited contracted facility or</li> <li>– laundered in-house in a manner that minimises the risk of cross-contamination</li> </ul> </li> <li>■ Hair (including beard snoods if appropriate) is covered at all times</li> </ul> ■ Contract laundry audit report
	■ System for managing the laundering of non-disposable overalls: <ul style="list-style-type: none"> <li>– laundered by an audited contracted facility or</li> <li>– laundered in-house in a manner that minimises the risk of cross-contamination</li> </ul> ■ Hair (including beard snoods if appropriate) is covered at all times	
<b>HS.e Key</b> <b>Clean and maintained facilities that are accessible to all staff and enable them to ensure an appropriate degree of personal hygiene must be provided (Revised)</b>	ALL CROP CATEGORIES	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ For every 20 staff there is a minimum of one toilet provided</li> <li>■ Portable toilets are not placed in close proximity to the crop where there could be a risk of contamination during cleaning or in case of a spill</li> <li>■ Facilities:               <ul style="list-style-type: none"> <li>– provide non-perfumed soap, water, hand drying facilities (paper towels) and toilet paper</li> <li>– are routinely checked to ensure soap, water and paper towel supplies are maintained</li> <li>– maintained in a clean and usable condition and toilet cleaning records kept</li> <li>– water used in hand washing is potable and does not pose a risk of contamination</li> </ul> </li> </ul> ■ Staff Hygiene Policy ■ Toilet cleaning records
	ADDITIONAL REQUIREMENTS FOR CAT 0, 1 & 2	
	■ Hand sanitisers do not replace handwashing and have only been used after hands are washed	
<b>HS.f</b> <b>Written procedures for reporting any infectious diseases must be in place and communicated to staff and visitors (Revised)</b>	ALL CROP CATEGORIES	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Policy in place for all staff returning to work after Gastro Intestinal (GI) illnesses</li> <li>■ Policy on GI illnesses and return to work is communicated to staff (via Hygiene Policy) and visitors/ contractors (HS.c - Visitor/ Contractor Hygiene Policy)</li> </ul> ■ Visitor/ Contractor Policy ■ Hygiene policy ■ Return to work policy
	ADDITIONAL REQUIREMENTS FOR CAT 1 & 2	
	<ul style="list-style-type: none"> <li>■ Formal recording of all incidences of GI illnesses is in place and operating effectively</li> <li>■ Supervisory/ management staff are trained in assessing risk</li> </ul>	
	ADDITIONAL REQUIREMENTS FOR CAT 0	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Formal recording of all incidences of GI illnesses is in place and operating effectively</li> <li>■ At least one member of staff is formally trained in assessing staff returning to work after GI illness</li> <li>■ Staff are interviewed by their supervisor on returning to work to verify that the symptoms have ceased and the person is no longer a risk</li> </ul> ■ Return to work assessments

STANDARDS	HOW YOU WILL BE MEASURED	
<b>AIM: To prevent product contamination from tools and equipment</b>		
<p><b>HS.g</b>  <b>All tools, equipment, crates, boxes and transportation used in direct contact with the product during harvesting must be kept clean and routinely maintained to prevent product contamination (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Cleaning schedules are in place that document how and when to clean</li> <li>■ Cleaning takes place away from the crops and irrigation water sources</li> <li>■ Damaged containers are repaired/ replaced</li> <li>■ Maintenance schedules are in place for all appropriate equipment including vehicles which are under the member's responsibility and are being used to load and transport produce</li> </ul> <hr/> <p>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</p> <ul style="list-style-type: none"> <li>■ When not in use, cleaned containers are stored in a manner that prevents the risk of contamination (e.g. from pests, birds, dust, water, etc.)</li> <li>■ Only specified food-grade cleaning chemicals and lubricants are used where relevant (e.g. food contact surfaces)</li> <li>■ When not in use, harvesting equipment is stored in a manner that prevents the risk of contamination</li> </ul> <hr/> <p>ADDITIONAL REQUIREMENTS FOR CAT 0 &amp; 1</p> <ul style="list-style-type: none"> <li>■ Where containers such as crates and bins are stored outside, they are cleaned and/or disinfected prior to being used for product</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Cleaning schedules</li> <li>■ Cleaning records</li> <li>■ Maintenance records</li> </ul>
<p><b>HS.h</b>  <b>Containers/ crates/ boxes used to store and transport product must be dedicated to that use (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Product containers/ crates/ boxes are not used to store any chemicals, waste or other debris that could contaminate product</li> </ul> <p>NB : Waste does not include waste product</p> <hr/> <p>ADDITIONAL REQUIREMENTS FOR CAT 0 &amp; 1</p> <ul style="list-style-type: none"> <li>■ Overfilling of containers and bins is avoided to prevent transfer of contaminants onto product during stacking</li> <li>■ Excessive dirt or mud is removed from containers during harvest</li> <li>■ Harvesting containers/ crates are not placed directly on the ground, especially if subsequently stacked</li> </ul>	
<p><b>HS.i</b>  <b>Suitability of multi-purpose trailers must be assessed as part of the Risk Assessment and cleaned prior to being used to transport product (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Cleaning procedures are in place</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Risk Assessment</li> <li>■ Cleaning procedures</li> <li>■ Cleaning records</li> </ul>
<p><b>HS.j</b>  <b>Controls must be in place to protect product from contamination with any broken glass, hard plastic, wood or other foreign bodies (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Where glass and hard plastics cannot be covered e.g. tractors and trailers, regular checks are made to ensure there is no damage</li> <li>■ Containers, crates and boxes are checked prior to filling</li> <li>■ Damaged wooden crates, pallets or trays are repaired or disposed of</li> </ul> <hr/> <p>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</p> <ul style="list-style-type: none"> <li>■ Written procedures are in place for handling glass and hard plastic in glasshouses and regular checks are carried out to ensure there is no damage</li> <li>■ Written procedures for how to deal with any glass and hard plastic breakages are in place</li> <li>■ All staff are trained in how to deal with glass/ hard plastic breakages and understand the Glass and Hard Plastic Policy/ Procedure</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Glass and hard plastic checks records</li> <li>■ Glass and Hard Plastic Policy/ procedures</li> <li>■ Training Records</li> </ul>



STANDARDS	HOW YOU WILL BE MEASURED	
<b>HS.k</b> <b>Controls must be in place to prevent the risk of product contamination from foreign body risks such as knives, cutting blades, secateurs, maintenance tools, gloves and plasters (Revised)</b>	<ul style="list-style-type: none"> <li>■ Equipment is managed to ensure that it does not represent any risk of contamination to product through loss or damage</li> <li>■ System to manage knives, blades and tools, which includes:               <ul style="list-style-type: none"> <li>– controlled issue and collection at end of shifts</li> <li>– routine inspection of blades for damage</li> <li>– lost items investigated</li> </ul> </li> </ul>	
<b>AIM: To produce safe and legal product and to prevent product contamination from the general operation or packaging</b>		
<b>HS.k.1</b> <b>A written procedure must be in place that details actions to be taken in the event of identification of contamination in a field crop (New)</b>	<ul style="list-style-type: none"> <li>■ Contamination including glass, foreign objects, oil, diesel, wood, metal, dead animals and bird and animal excrement</li> </ul>	<span style="border: 1px solid black; border-radius: 50%; padding: 2px 5px;">R</span> ■ Contamination procedure
<b>HS.l</b> <b>Procedures must be in place to ensure that final product packaging used is clean and free from contamination</b>	<ul style="list-style-type: none"> <li>■ Packaging stored in clean area free from contamination</li> <li>■ Packaging checked before use</li> </ul>	
<b>HS.m</b> <b>Controls must be in place to ensure that the correct packaging and coding is applied to all packed product</b>	<ul style="list-style-type: none"> <li>■ No opportunity for the Red Tractor logo to be applied on non-assured product</li> </ul>	<span style="border: 1px solid black; border-radius: 50%; padding: 2px 5px;">R</span> ■ Documented controls for packaging
<b>HS.n</b> <b>Equipment used for weighing or temperature control of product must be calibrated in line with equipment suppliers' recommendations</b>	<ul style="list-style-type: none"> <li>■ Equipment is :               <ul style="list-style-type: none"> <li>– uniquely identified</li> <li>– routinely calibrated, either externally or internally</li> </ul> </li> </ul>	<span style="border: 1px solid black; border-radius: 50%; padding: 2px 5px;">R</span> ■ Calibration records
<b>HS.o</b> <b>Packed product must be covered to avoid contamination and must not be left in fields overnight (Revised)</b>	ALL CROP CATEGORIES	
	<ul style="list-style-type: none"> <li>■ Includes during transportation from field to storage</li> </ul>	
	ADDITIONAL REQUIREMENTS FOR CAT 0, 1 & 2	
	<ul style="list-style-type: none"> <li>■ Materials used for covering, if reused, are cleaned between uses</li> </ul>	
<b>HS.p</b> <b>All non-produce waste must be removed from fields and disposed of appropriately</b>	<ul style="list-style-type: none"> <li>■ No packaging waste and other materials to be left in field</li> </ul>	
<b>HS.q</b> <b>Water used in field for final product washing/ in direct contact with the product (including ice) must be deemed acceptable by the Water Matrix and Risk Assessment and is stored in a clean container (Revised)</b>		
<b>HS.q.1 Recommendation</b> <i>It is recommended that, based on the Risk Assessment, water analysis is completed by an ISO 17025 laboratory, test results are monitored and actions taken on poor results</i>		<span style="border: 1px solid black; border-radius: 50%; padding: 2px 5px;">R</span> ■ Water testing results
<b>HS.s</b> <b>Product is cooled as soon as possible after harvest in order to ensure product integrity (New)</b>	<ul style="list-style-type: none"> <li>■ Temperatures and cooling times are defined by the Risk Assessment</li> </ul>	
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ For more information on microbiological contamination risks visit: <a href="http://freshproducetool.foodstandards.gov.scot/resources">http://freshproducetool.foodstandards.gov.scot/resources</a></li> </ul>	

## PRODUCE HANDLING AND PACKHOUSE PACKING (PH)

STANDARDS	HOW YOU WILL BE MEASURED	
<b>AIM: To prevent product contamination from staff</b>		
<p><b>PH.a</b>  <b>Written staff hygiene policies and procedures must be in place, communicated to staff and compliance monitored (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Hygiene policy includes:               <ul style="list-style-type: none"> <li>– staff to wash (with running water and non-perfumed soap) and dry hands before starting work and after using toilets</li> <li>– no watches</li> <li>– no jewellery with the exception of a plain wedding band or religious jewellery with no stones/ jewels</li> <li>– no rings or studs worn in exposed parts of the body</li> <li>– no eating, spitting or chewing in cropping areas</li> <li>– no smoking including e-cigarettes in packing and storage areas</li> <li>– banning personal phones in production areas has been considered (excludes supervisory staff and lone worker phones)</li> <li>– no excessive make-up, false nails, false eyelashes or hair extensions where they present a contamination risk to the product</li> </ul> </li> </ul> <hr/> <p>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</p> <ul style="list-style-type: none"> <li>■ Hygiene policy requires:               <ul style="list-style-type: none"> <li>– hands kept clean and no nail varnish</li> <li>– no perfume or aftershave</li> <li>– reporting of wounds and use of blue and/or metal-detectable (only where metal-detectors are used) plasters for skin cuts or wounds, the issue of which is controlled and recorded</li> </ul> </li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Staff Hygiene Policy</li> <li>■ Plaster issue record</li> </ul>
<p><b>PH.b</b>  <b>All staff handling fresh produce must be trained in personal hygiene requirements</b></p>	<ul style="list-style-type: none"> <li>■ Training covering all applicable requirements of PH.a and PH.h completed as part of the staff induction before starting work</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Staff training Records</li> <li>■ Agency labour training records</li> </ul>
<p><b>PH.c</b>  <b>All visitors that enter production areas must be made aware of any site hygiene requirements (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Hygiene Policy in place for visitors/ contractors</li> </ul> <hr/> <p>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</p> <ul style="list-style-type: none"> <li>■ Procedure in place to ensure all visitors/ contractors on site have been made aware of Hygiene Policy</li> <li>■ Visitors/ contractors declare that they understand and will comply with the Hygiene Policy</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Visitor/ Contractor Hygiene Policy</li> </ul>
<p><b>PH.d</b>  <b>Signs must be clearly displayed in the packing facilities which describe the main hygiene instructions for workers and visitors</b></p>		



STANDARDS	HOW YOU WILL BE MEASURED	
<p><b>PH.e</b>  <b>Personal Protective Equipment (PPE) appropriate to the crop type being produced must be provided and maintained in good condition (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ PPE requirements are clearly defined by the business</li> <li>■ PPE is clean and fit for purpose</li> <li>■ PPE (with the exception of headgear) is not worn in the smoking area, toilets or taken home</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ PPE requirement policy</li> </ul>
	<p>ADDITIONAL REQUIREMENTS FOR CAT 0,1 &amp; 2</p> <ul style="list-style-type: none"> <li>■ Where gloves are used, a glove use procedure is in place which includes: <ul style="list-style-type: none"> <li>– Only intact and clean gloves are used</li> <li>– Glove storage</li> <li>– Staff to discard when torn or heavily soiled</li> <li>– Hand washing before and after gloves are put on</li> </ul> </li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Glove use procedure</li> </ul>
	<p>ADDITIONAL REQUIREMENTS FOR CAT 0 &amp; 1</p> <ul style="list-style-type: none"> <li>■ System for managing the laundering of non-disposable overalls: <ul style="list-style-type: none"> <li>– laundered by an audited contracted facility or</li> <li>– laundered in-house in a manner that minimises the risk of cross-contamination</li> </ul> </li> <li>■ Hair (including beards if appropriate) is covered at all times</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Contract laundry audit report</li> </ul>
<p><b>PH.f Key</b>  <b>Clean and maintained facilities that are accessible to all staff and enable them to ensure an appropriate degree of personal hygiene must be provided (Revised)</b></p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ For every 20 staff there is a minimum of one toilet provided</li> <li>■ Toilets are not placed in close proximity to the packing and storage environment where there would be risk of contamination during cleaning or in case of a spill</li> <li>■ Facilities: <ul style="list-style-type: none"> <li>– provide non-perfumed soap, water, hand drying facilities (paper towels) and toilet paper</li> <li>– are routinely checked to ensure soap, water and paper towel supplies are maintained</li> <li>– maintained in a clean and usable condition and toilet cleaning records kept</li> </ul> </li> <li>■ Water used in hand washing is potable and does not pose a risk of contamination</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Staff Hygiene Policy</li> <li>■ Toilet cleaning records</li> </ul>
	<p>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</p>	
	<ul style="list-style-type: none"> <li>■ Hand sanitisers do not replace handwashing and have only been used after hands are washed</li> </ul>	
<p><b>PH.g</b>  <b>Signs must be clearly displayed which describe the requirement for hands to be washed after using toilets</b></p>		


STANDARDS	HOW YOU WILL BE MEASURED	
<p><b>PH.h</b> Written procedures for reporting any infectious diseases must be in place and communicated to staff and visitors (Revised)</p>	<p>ALL CROP CATEGORIES</p>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Visitor/ Contractor Hygiene Policy</li> <li>■ Hygiene policy</li> </ul>
	<ul style="list-style-type: none"> <li>■ Policy in place for all staff returning to work after Gastro Intestinal (GI) illnesses.</li> <li>■ Policy on GI illnesses and return to work is communicated to staff (via Hygiene Policy) and visitors/ contractors (PH.c – Visitor/ Contractor Hygiene Policy)</li> </ul>	
	<p>ADDITIONAL REQUIREMENTS FOR CAT 1 &amp; 2</p>	<ul style="list-style-type: none"> <li>■ Return to work assessments</li> </ul>
	<ul style="list-style-type: none"> <li>■ Formal recording of all incidences of GI illnesses in place and operating effectively</li> <li>■ Supervisory/ management staff trained in assessing risk</li> </ul>	
<p>ADDITIONAL REQUIREMENTS FOR CAT 0</p>		
<ul style="list-style-type: none"> <li>■ Formal recording of all incidences of GI illnesses is in place and operating effectively</li> <li>■ At least one member of staff is formally trained in assessing staff return to work after GI illness</li> <li>■ Staff are interviewed by their supervisor on returning to work to verify that the symptoms have ceased and the person is no longer a risk</li> </ul>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Cleaning schedules</li> <li>■ Cleaning records</li> <li>■ Grader/ washing equipment /vehicle maintenance records</li> <li>■ Training records</li> </ul>	
<p><b>AIM: To prevent product contamination from tools and equipment</b></p>		
<p><b>PH.i</b> Produce handling, loading, transporting, packing and storage facilities, including boxes, must be kept clean and routinely maintained (Revised)</p>		<p>ALL CROP CATEGORIES</p>
		<ul style="list-style-type: none"> <li>■ Cleaning schedules are in place that document how and when to clean all pieces of equipment</li> <li>■ Graders, washing equipment and vehicles which are under the member's responsibility and are being used for loading and transport of product are maintained and inspected daily when in use</li> <li>■ Floors are fit for purpose and gently sloped towards the drains</li> <li>■ Drains are cleaned at a frequency determined by the Risk Assessment to prevent biofilm build-up</li> <li>■ Waste is disposed of at a frequency that discourages flies</li> </ul>
	<p>ADDITIONAL REQUIREMENTS FOR CAT 0, 1 &amp; 2</p>	
	<ul style="list-style-type: none"> <li>■ Staff are trained in cleaning requirements</li> <li>■ When not in use, cleaned containers are stored in a manner that prevents the risk of contamination (e.g. from pests, birds, dust, water, etc.)</li> </ul>	
<p>ADDITIONAL REQUIREMENTS FOR CAT 0 &amp; 1</p>	<ul style="list-style-type: none"> <li>■ Floors are kept as dry as possible to minimise Listeria risk</li> <li>■ Pooling of water is avoided</li> </ul>	
<p><b>PH.i.1</b> Water used post-harvest for final product washing/ in direct contact with the product (including ice) must be deemed acceptable by the Water Matrix and Risk Assessment and is stored in a clean container (New)</p>		
<p><b>PH.i.2 Recommendation</b> <i>It is recommended that, based on the Risk Assessment, water analysis is completed by an ISO 17025 laboratory, test results are monitored and actions taken on poor results (New)</i></p>	<p><b>R</b></p> <ul style="list-style-type: none"> <li>■ Water testing results</li> </ul>	



STANDARDS	HOW YOU WILL BE MEASURED	
<p><b>PH.j</b> Chemicals used must be authorised for food industry use, technical data sheets held and stored in a dedicated area (Revised)</p>	<p>ALL CROP CATEGORIES</p> <ul style="list-style-type: none"> <li>■ Technical data sheets confirm chemicals are fit for purpose</li> <li>■ Chemicals are stored in an appropriate secure area when not in immediate use</li> </ul> <hr/> <p>ADDITIONAL REQUIREMENTS FOR CAT 0 &amp; 1</p> <ul style="list-style-type: none"> <li>■ Only specified and approved food-grade cleaning chemicals are used</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Technical data sheets</li> </ul>
<p><b>PH.k</b> Lubricants which may come into contact with product must be authorised for food industry use</p>		
<p><b>PH.l</b> Controls must be in place to protect product from contamination with any broken glass, hard plastic, wood or other foreign bodies (Revised)</p>	<ul style="list-style-type: none"> <li>■ Glass and hard plastics are protected in areas with open product</li> <li>■ A Glass and Hard Plastic Policy/ Procedure is in place which: <ul style="list-style-type: none"> <li>– lists all glass and hard plastics in the production area on a register</li> <li>– the register is checked monthly for accuracy</li> <li>– where glass and hard plastics cannot be covered regular checks (based on a frequency determined by the Risk Assessment) are made when in use to ensure there is no damage</li> <li>– sets out actions to be taken in the event of a glass breakage</li> </ul> </li> <li>■ Pre-production check sheets ensure all staff check their lines at the start of shift for any damage that could introduce contamination into the product</li> <li>■ Containers, crates and boxes are checked prior to filling</li> <li>■ Damaged wooden crates, pallets or trays are repaired or disposed of</li> <li>■ All staff are trained in how to deal with glass and hard plastic breakages and understand the Glass and Hard Plastic Policy/ procedure</li> </ul>	<p style="text-align: center;"><b>R</b></p> <ul style="list-style-type: none"> <li>■ Glass and Hard Plastic Policy/ Procedure</li> <li>■ Glass and hard plastic register</li> <li>■ Glass and hard plastic check records</li> <li>■ Training records</li> </ul>
<p><b>PH.m</b> Controls must be in place to prevent the risk of product contamination from foreign body risks such as knives, cutting blades, secateurs, maintenance tools, gloves and plasters (Revised)</p>	<ul style="list-style-type: none"> <li>■ Equipment is managed to ensure that it does not represent any risk of contamination to product through loss or damage</li> <li>■ System to manage knives, blades and tools includes: <ul style="list-style-type: none"> <li>– controlled issue and collection at end of shifts</li> <li>– routine inspection of blades for damage</li> <li>– lost items investigated</li> </ul> </li> </ul>	
<p><b>PH.n Recommendation</b> <i>It is recommended that forklifts and other driven equipment used within the packhouse are maintained to avoid product contamination, with special attention given to emissions</i></p>	<ul style="list-style-type: none"> <li>■ <i>Forklifts and other driven transport trolleys are electric or gas driven</i></li> </ul>	
<p><b>PH.n.1</b> Containers/ crates/ boxes used to store product must be dedicated for that purpose (New)</p>	<ul style="list-style-type: none"> <li>■ Product containers/ crates/ boxes are not used to store any chemicals, waste or other debris that could contaminate product</li> </ul> <p>NB : Waste does not include waste product</p>	


STANDARDS	HOW YOU WILL BE MEASURED	
<b>AIM: To produce safe and legal product and to prevent product contamination from the general operation or packaging</b>		
<b>PH.n.2</b> Regular checks must be in place to ensure that buildings that product may enter, be handled in or stored in are free from foreign body risks (New)		
<b>PH.n.3</b> Microbiological testing of the end product must be used to monitor and verify the safety of the processes and the end product of Category 0 crops. Testing must be performed by an accredited laboratory (ISO 17025) (New)	REQUIREMENT FOR CAT 0 <ul style="list-style-type: none"> <li>■ Results are trended to determine effects of temperature, season, rainfall, etc.</li> </ul>	<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Microbiological test results</li> </ul>
<b>PH.o</b> Controls must be in place to ensure packaging is suitable for product, clean and free from contamination	<ul style="list-style-type: none"> <li>■ Packaging stored in clean area free from contamination</li> <li>■ Packaging checked before use</li> </ul>	
<b>PH.p</b> Controls must be in place to ensure that the correct packaging and coding is applied to all packed product	<ul style="list-style-type: none"> <li>■ No opportunity for the Red Tractor logo to be applied on non-assured product</li> <li>■ Where final packing takes place, product labelling is done in accordance to applicable food regulations in the country of intended sale and according to customer specifications</li> <li>■ Products originating from certified operations are not labelled, marked or described in a manner, which implies that meet specific food safety criteria</li> </ul>	<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Documented controls for packaging</li> </ul>
<b>PH.q</b> Equipment used for weighing or temperature control of product must be calibrated in line with equipment suppliers' recommendations	<ul style="list-style-type: none"> <li>■ Equipment is:               <ul style="list-style-type: none"> <li>– uniquely identified</li> <li>– routinely calibrated, either externally or internally</li> </ul> </li> </ul>	<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Calibration records</li> </ul>
<b>PH.r</b> Cleaning agents and machinery lubricants must be stored in a secure area separate from product handling and storage areas (New)		
<b>PH.s</b> Controls must be in place to ensure that products are not contaminated with allergens (New)	<ul style="list-style-type: none"> <li>■ Allergens on site have been identified as part of the Risk Assessment (including lubricants)</li> <li>■ Preventative actions are in place which prevent products being contaminated with allergens</li> <li>■ Staff are trained in the importance of the preventative actions and actions to be taken in the event of a failure</li> </ul> <p>N.B An up-to-date list of allergens can be found on the FSA website: <a href="https://www.food.gov.uk/sites/default/files/top-allergy-types.pdf">https://www.food.gov.uk/sites/default/files/top-allergy-types.pdf</a></p>	<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Allergen risk assessment</li> <li>■ Training records</li> </ul>
<b>PH.t</b> Where preventative actions cannot guarantee a product is not contaminated with a known allergen on site, the product is labelled (New)	<ul style="list-style-type: none"> <li>■ Can demonstrate what products could be contaminated and they are labelled</li> </ul>	<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Product labels</li> </ul>

## POST HARVEST TREATMENT (HT)



STANDARDS		HOW YOU WILL BE MEASURED	
<b>AIM: To prevent PPP residues from post-harvest treatments</b>			
<b>HT.a Key</b> Post-harvest treatments must only be used where there is no alternative to ensure the quality of product			
<b>HT.b</b> Post-harvest treatment applications must be recorded		<ul style="list-style-type: none"> <li>■ Records include, as a minimum:               <ul style="list-style-type: none"> <li>– reason for treatment</li> <li>– product name, batch and active ingredient</li> <li>– type of treatment and quantity used</li> <li>– operator name and application machinery used</li> <li>– location</li> <li>– date of application</li> </ul> </li> </ul>	<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Post-harvest treatment records</li> </ul>
<b>HT.c Key</b> Post-harvest PPP application records must be linked to consignments leaving the production/ storage sites so that the labelled interval between treatment and consumption can be adhered to			
<b>HT.d</b> Systems must be in place to ensure that post-harvest treatments do not contaminate other products/ crops		<ul style="list-style-type: none"> <li>■ Awareness of possible contamination risks</li> <li>■ Controls are in place where risks of cross-contamination have been identified</li> </ul>	
<b>Where to find help</b> 	<ul style="list-style-type: none"> <li>■ For further information on CIPC visit <a href="http://www.cipccompliant.co.uk">www.cipccompliant.co.uk</a></li> </ul>		

## STORAGE (ST)


STANDARDS		HOW YOU WILL BE MEASURED		
<b>AIM: Storage conditions do not compromise product quality or safety</b>				
<b>ST.a</b> Storage areas must be managed and maintained in a safe hygienic condition to ensure crops stored do not become contaminated e.g. glass, hard plastic etc. (Revised)		<ul style="list-style-type: none"> <li>■ Glass and hard plastics are protected from damage</li> <li>■ A Glass and Hard Plastic Policy/ procedure is in place which:               <ul style="list-style-type: none"> <li>– lists all glass and hard plastics in the storage area on a register</li> <li>– the register is checked monthly for accuracy</li> <li>– where glass and hard plastics cannot be covered, regular checks (based on a frequency determined by the Risk Assessment) are made to ensure there is no damage</li> <li>– sets out actions to be taken in the event of a glass breakage and who responds</li> </ul> </li> <li>■ Long-term controlled atmosphere stores are kept secure when holding crop</li> </ul>	<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Glass and Hard Plastic Policy/ procedure</li> <li>■ Glass and hard plastic register</li> <li>■ Glass and hard plastic check records</li> </ul>	
<b>ST.b</b> Temperature and humidity of storage facilities used to store product must be monitored and documented to ensure correct storage conditions are maintained (Revised)		ALL CROP CATEGORIES		
		<ul style="list-style-type: none"> <li>■ Optimal storage conditions and acceptable ranges are clearly defined for products being stored</li> <li>■ Storage conditions are routinely monitored to ensure conditions are within acceptable range</li> </ul>		<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Storage and product checks</li> </ul>
		ADDITIONAL REQUIREMENTS FOR CAT 0, 1 & 2		<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">R</div> <ul style="list-style-type: none"> <li>■ Out of temperature procedures</li> <li>■ Calibration records</li> </ul>
<ul style="list-style-type: none"> <li>■ Documented procedures that set out actions to be taken where storage conditions or product temperatures are found to be outside the acceptable range</li> <li>■ All temperature monitoring equipment is routinely calibrated</li> </ul>				

STANDARDS	HOW YOU WILL BE MEASURED
<b>ST.c</b> Ingress of light must be controlled for light sensitive product being stored in longer term facilities	<ul style="list-style-type: none"> <li>For example louvres are designed and constructed in order to protect the crop from exposure to light when open</li> </ul>
<b>ST.d</b> Stored packed product must be rotated to ensure product quality and safety	<ul style="list-style-type: none"> <li>First in, first out system in operation</li> </ul>
<b>ST.e</b> Product stores must be cleaned each season, inspected and maintained (New)	<ul style="list-style-type: none"> <li>Stores are part of annual maintenance and cleaning programme</li> </ul>
	<p style="text-align: right;">  <ul style="list-style-type: none"> <li>Store maintenance records</li> </ul> </p>

## THIRD PARTY STORAGE (TP)

STANDARDS	HOW YOU WILL BE MEASURED
<b>AIM: To ensure that third party storage conditions do not compromise product quality or safety</b>	
<b>TP.a</b> Where third party storage facilities are being used to hold harvested or packed product a contract or formal agreement must be in place defining storage requirements (Revised)	<ul style="list-style-type: none"> <li>Contract/ agreement, which confirms that third party storage conditions are in line with the Red Tractor Assurance for Farms - Fresh Produce Standards for storage and relevant crop protocols which includes: <ul style="list-style-type: none"> <li>allergen status</li> <li>temperature and storage conditions</li> <li>traceability</li> </ul> </li> </ul>
<b>TP.b</b> Regular checks of storage providers to ensure they are meeting requirements must be in place (Revised)	<ul style="list-style-type: none"> <li>Checks are carried out to ensure that the product is being stored in line with the contract/ agreement held with the store owner</li> </ul>
	<p style="text-align: right;">  <ul style="list-style-type: none"> <li>Contract/ agreement</li> </ul> </p> <p style="text-align: right;">  <ul style="list-style-type: none"> <li>Store audits</li> </ul> </p>


## GENETICALLY MODIFIED ORGANISMS (GM)

STANDARDS	HOW YOU WILL BE MEASURED
<b>AIM: If grown, strict rules must be followed in order to meet legal requirements and to prevent cross-contamination</b>	
<b>GM.a Key</b> Production of any Genetically Modified crops must comply with legal requirements	<p style="text-align: right;">  <ul style="list-style-type: none"> <li>Records of GM status and variety grown</li> </ul> </p>
<b>GM.b Recommendation</b> <i>It is recommended that suppliers inform all potential customers of any developments including trials relating to the use or production of products derived from genetic modification and the use of GM cultivars is agreed with individual customers prior to planting</i>	
<b>GM.c</b> GM crops or other GM material must not be stored with other crops unless they are separated by a rigid physical barrier	<ul style="list-style-type: none"> <li>Animal feed may contain GM material and is therefore stored separately from crops</li> </ul>
<b>GM.d</b> If GM and non-GM crops are mixed in storage the whole bulk must be regarded as Genetically Modified and labelled as such	
<b>GM.e</b> The Code of Practice on the Provision of Information Relating to Genetically Modified Crops must be adhered to	



## HEALTH AND SAFETY AND WORKER WELFARE (HW)

STANDARDS	HOW YOU WILL BE MEASURED	
<b>AIM: A safe working environment for staff and visitors</b>		
<b>HW.a</b> <b>A Health and Safety at work policy must be in place, visible to all and communicated to all staff prior to commencing work (Revised)</b>	<ul style="list-style-type: none"> <li>■ Clearly displayed where all staff can see it or signed off by each member of staff separately</li> <li>■ Policy must be in appropriate languages to ensure all staff understand information</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Health and Safety policy</li> </ul>
<b>HW.a.1</b> <b>Maintenance records and procedures must be kept for food contact equipment and machinery (New)</b>	<ul style="list-style-type: none"> <li>■ Records and procedures are available to all operators</li> <li>■ Electrical/ gas installations and maintenance is compliant with safety standards</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Maintenance and procedure records</li> </ul>
<b>HW.b</b> <b>All visitors must be made aware of the site health and safety requirements</b>		
<b>HW.c</b> <b>A named member of management must have clear accountability for the Health and Safety of the site, including ensuring there is provision for safe operating practices to be in place</b>	<ul style="list-style-type: none"> <li>■ Named in Health and Safety policy (where business employs 5 or more people)</li> <li>■ Communicated to all staff</li> </ul>	
<b>HW.d</b> <b>Health and Safety meetings must be in place for the site which include both management and workers</b>	<ul style="list-style-type: none"> <li>■ Where business employs 5 or more people:                             <ul style="list-style-type: none"> <li>– meetings are held at least once per annum</li> <li>– meeting dates are communicated to staff</li> <li>– staff have representation at the meetings</li> <li>– staff representatives are able to feed staff views and concerns into the meetings</li> </ul> </li> </ul>	
<b>HW.d.1 Recommendation</b> <i>It is recommended that Health and Safety meetings are recorded</i>	<ul style="list-style-type: none"> <li>■ <i>Meetings are minuted with clear actions and shared with staff</i></li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ <i>Minutes of meetings and actions</i></li> </ul>
<b>HW.e</b> <b>There must be adequate levels of staff trained in first aid on all sites and in the field for the scale of the business</b>	<ul style="list-style-type: none"> <li>■ A suitably stocked first-aid kit</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ First Aid certificates</li> </ul>
<b>HW.f</b> <b>A COSHH assessment must be carried out for all businesses as required under the Control of Substances Hazardous to Health Regulations (COSHH) 2002</b>		<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ COSHH assessment</li> </ul>
<b>HW.g</b> <b>Hazards must be clearly identified by warning signs</b>		
<b>AIM: Consideration is given to the health and welfare of staff completing high risk activities</b>		
<b>HW.h</b> <b>There must be a documented procedure which regulates the re-entry intervals for PPPs applied to crops where relevant</b>	<ul style="list-style-type: none"> <li>■ Procedures are in line with manufacturers' instructions</li> <li>■ Staff undertaking activities that might be affected by re-entry intervals are aware of the procedure</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Re-entry interval procedure</li> </ul>
<b>HW.i</b> <b>There must be documentation available to demonstrate that all re-entry intervals for PPPs applied to the crops have been monitored</b>		
<b>HW.i.1</b> <b>The risks posed by activities must be assessed for high risk staff (New)</b>	<ul style="list-style-type: none"> <li>■ High risk staff include, but are not limited to, breastfeeding and/or pregnant women</li> <li>■ Breastfeeding and/or pregnant women are restricted from entry to crop and product handling areas for a minimum of 48hrs after applications of PPPs, unless a longer duration is stipulated on the label</li> </ul>	

STANDARDS		HOW YOU WILL BE MEASURED	
<b>HW.j</b> Staff who apply PPPs must be offered regular health checks		<ul style="list-style-type: none"> <li>■ Checks are carried out in line with the guidelines laid down in the Defra Code of Practice for Using Plant Protection Products</li> </ul>	
<b>HW.k</b> Staff using or applying PPPs must be able to access facilities or contact assistance easily in the event of an accident (Revised)		<ul style="list-style-type: none"> <li>■ Facilities to deal with accidental operator contamination are easily accessible at all times</li> </ul>	
<b>HW.l</b> Staff using or applying PPPs must be provided with clean, well maintained personal protective equipment (PPE) (Revised)		<ul style="list-style-type: none"> <li>■ PPE is cleaned, maintained, and stored securely in a well ventilated area separated from other clothing and materials</li> <li>■ PPE is disposed of according to manufacturers' instructions</li> <li>■ New PPE is stored securely, separate from other materials and equipment</li> </ul>	
<b>HW.l.1</b> Personal clothes must be stored in secure facilities separate from other materials and equipment (New)			
<b>HW.m</b> Respiratory protective equipment (RPE) must be well maintained and in effective working order (Revised)		<ul style="list-style-type: none"> <li>■ Filters are within date</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ RPE maintenance records</li> <li>■ Filter change date and expected expiry date</li> </ul>
<b>HW.n</b> PPE must be transported safely		<ul style="list-style-type: none"> <li>■ PPE not transported in sprayer cabs</li> </ul>	
<b>HW.o</b> Procedures for staff taking samples from controlled atmosphere stores must be in place and all staff undertaking this activity must be trained		<ul style="list-style-type: none"> <li>■ Procedures in place for all stores where the storage atmosphere poses a risk to staff safety</li> </ul>	<div style="text-align: center;"><b>R</b></div> <ul style="list-style-type: none"> <li>■ Staff Training Record</li> </ul>
<b>AIM: Suitable facilities for staff that are housed on site</b>			
<b>HW.p</b> On site living quarters must be habitable and have basic services (Revised)		<ul style="list-style-type: none"> <li>■ Accommodation is clean</li> <li>■ A clean and functioning refrigerator available for food</li> <li>■ Designated dining area</li> <li>■ Where vending machines are provided, they are clean and maintained</li> <li>■ Potable water is available for drinking and hot water for washing</li> <li>■ Washing and toilet facilities available</li> <li>■ Electricity/ gas available and safe</li> <li>■ Heating arrangements available</li> </ul>	
<b>Where to find help</b>		<ul style="list-style-type: none"> <li>■ For best practice guidance on caravan accommodation for temporary workers see the Fresh Produce Consortium (FPC) "Guidance on provision of caravan accommodation for temporary workers in the UK"</li> <li>■ The St John's Ambulance website provides a first aid requirements calculator; <a href="http://www.sja.org.uk">www.sja.org.uk</a></li> </ul>	

## AN INTRODUCTION TO RISK ASSESSMENTS FOR FRESH PRODUCE

This appendix explains how to clearly identify and implement effective controls to reduce or eliminate food safety risks within the production process.

The Red Tractor Assurance Fresh Produce Scheme expects its members to identify and prevent food safety problems occurring. An approach to this is to identify risks and their points within the production process, and to implement procedures to prevent or minimise them.

Legally growers have to comply with the EU Food Hygiene regulations and follow good hygiene practice and manage their operations in a way that controls food safety problems. Carrying out a Risk Assessment provides evidence of how they have implemented this requirement

(see <https://www.food.gov.uk/business-industry/farmingfood/primprodqanda>).

Each growing situation will be unique in terms of the risk and technical challenges, so no two risk assessments are likely to be the same. There are some generic areas of risk such as pest control in buildings, while others such as animal manures and irrigation water are specific to the crop

Most crop production operations follow a basic pattern of selection of raw material inputs, crop production operations carried out, harvesting, post-harvest handling operations, storage, through to transport to customer. There may be other steps or variations but most crop production operations are very similar.

The risk assessment starts by breaking down the crop production operation into steps, e.g. selection of crop variety, cultivations, crop protection measures, harvesting, and post-harvest handling. The risks associated with each of these steps are then considered. A risk in terms of food safety is anything that may cause harm to the consumer. Risks may be microbiological, physical (e.g. stones), allergenic or chemical (e.g. pesticide residues).

### IMPLEMENTATION OF A RISK ASSESSMENT FOR HORTICULTURAL PRODUCTION

This system is suitable for small, medium or large crop production operations. It is a flexible management tool which can be applied to a wide range of simple or complex operations including arable crops, field vegetables, protected crops, soft fruit and top fruit production.

#### Stage 1. Developing a Risk Assessment

Initially you will need to identify the “scope” i.e. the growing, harvesting and packing operations that you will be risk assessing.

Secondly clearly identify the areas of risks you will be looking to identify during the risk assessment (see Table RA.1 below for examples).

Thirdly get together the staff within the business who have the skills and knowledge of the operation.

Table RA.1 Potential Risks to Be Reviewed During the Risk Assessment			
Physical	<ul style="list-style-type: none"> <li>■ Foreign bodies such as glass, metal, plastic, golf balls etc.</li> <li>■ Risks posed by the land itself and its surroundings e.g. previous use, livestock grazing, public rights of way etc.</li> <li>■ Proximity of other high risk activities e.g. waste sites, waste treatment facilities, abattoir's etc.</li> <li>■ Hydrological features e.g. flood risk, groundwater, surface water flow, infiltration, soil moisture etc.</li> <li>■ Wildlife and/or domestic animals e.g. presence of animal feces, bird's nests, hair/fur, burrowing etc.</li> </ul>		
Chemical	<table border="0" style="width: 100%;"> <tr> <td style="vertical-align: top;"> <ul style="list-style-type: none"> <li>■ Heavy metals</li> <li>■ Plant Protection Products (PPPs)</li> <li>■ Fertilisers</li> <li>■ Biostimulants</li> <li>■ Rodenticides</li> <li>■ Cleaning chemicals</li> <li>■ lubricants</li> </ul> </td> <td style="vertical-align: top;"> <ul style="list-style-type: none"> <li>■ Perchlorates</li> <li>■ Heavy metals from historic industrial or mining activities</li> <li>■ Grease</li> <li>■ Oil</li> <li>■ Fuel</li> </ul> </td> </tr> </table>	<ul style="list-style-type: none"> <li>■ Heavy metals</li> <li>■ Plant Protection Products (PPPs)</li> <li>■ Fertilisers</li> <li>■ Biostimulants</li> <li>■ Rodenticides</li> <li>■ Cleaning chemicals</li> <li>■ lubricants</li> </ul>	<ul style="list-style-type: none"> <li>■ Perchlorates</li> <li>■ Heavy metals from historic industrial or mining activities</li> <li>■ Grease</li> <li>■ Oil</li> <li>■ Fuel</li> </ul>
<ul style="list-style-type: none"> <li>■ Heavy metals</li> <li>■ Plant Protection Products (PPPs)</li> <li>■ Fertilisers</li> <li>■ Biostimulants</li> <li>■ Rodenticides</li> <li>■ Cleaning chemicals</li> <li>■ lubricants</li> </ul>	<ul style="list-style-type: none"> <li>■ Perchlorates</li> <li>■ Heavy metals from historic industrial or mining activities</li> <li>■ Grease</li> <li>■ Oil</li> <li>■ Fuel</li> </ul>		

AN INTRODUCTION TO RISK ASSESSMENTS FOR FRESH PRODUCE

Microbiological	<ul style="list-style-type: none"> <li>■ Bacteria, viruses and moulds e.g. Salmonella, E. coli and Norovirus</li> <li>■ Potential contamination from humans (staff and public), vermin, wild and/or domestic animals, insects, tools, equipment and vehicles</li> <li>■ Contamination of water sources</li> <li>■ Temperature abuse due to poor chill chain management</li> <li>■ Fertilisers e.g. manures</li> <li>■ Neighbouring agricultural activities</li> <li>■ Contamination from pests and vermin</li> <li>■ Contamination from environmental events e.g. flooding</li> </ul>
Allergenic	<ul style="list-style-type: none"> <li>■ Cross contamination for allergenic crops</li> <li>■ Contamination from allergens (nuts, lubricants) from surrounding environment</li> <li>■ Contamination from staff</li> </ul>
Customer Expectations	<ul style="list-style-type: none"> <li>■ Products meet customer specific expectations</li> </ul>
Food Fraud	<ul style="list-style-type: none"> <li>■ Counterfeit PPPs</li> <li>■ Propagation material</li> <li>■ Non-food grade packaging material</li> </ul>

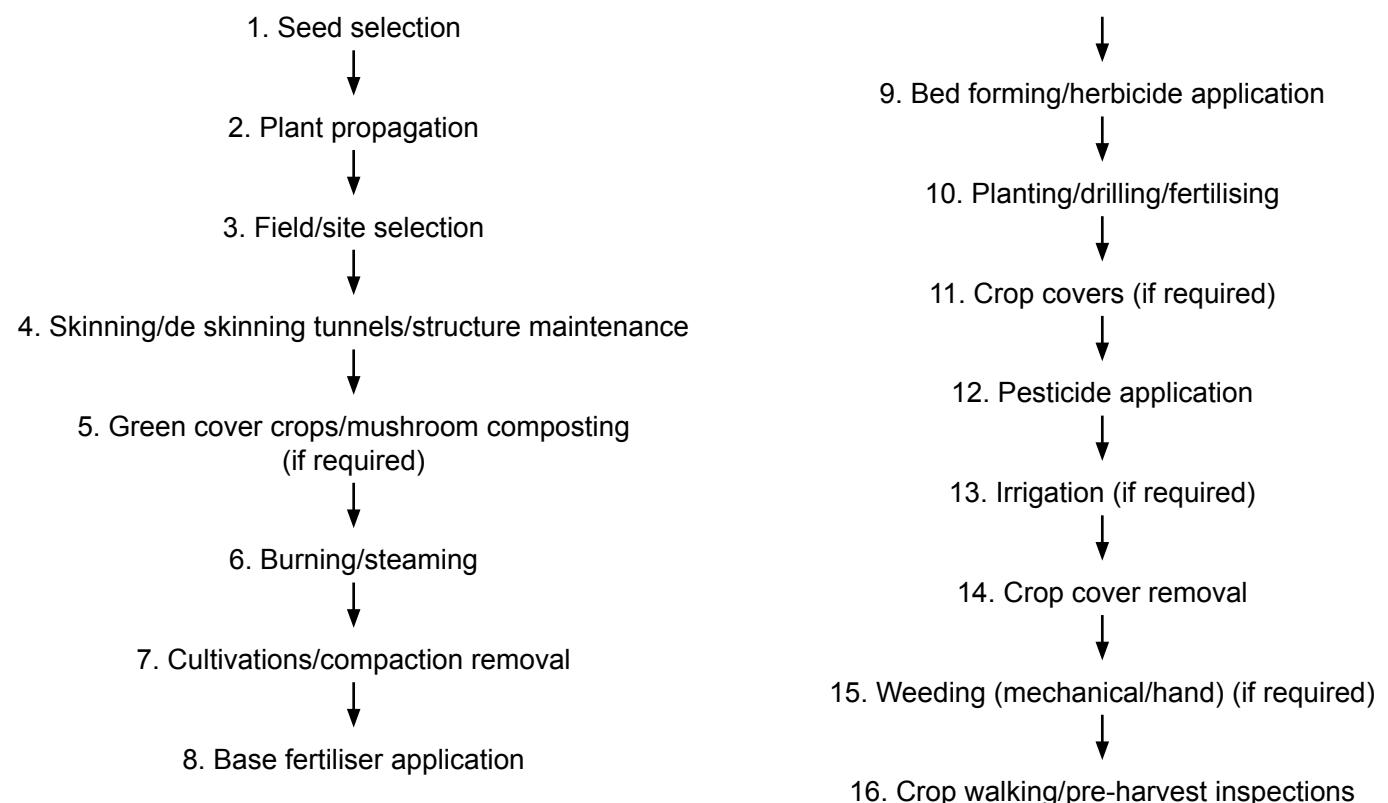
Stage 2: Developing a “Process Flow”

Using both your own and your team’s knowledge of the operations develop a simple “map” of the growing process in order of them happening. This ideally should be in the form of a simple flow diagram:

Example 1 – Simplistic Flow Diagram for Baby Leaf

Bed-forming ► Planting of Seed ► Irrigation ► Pesticide Application ► Foliar Feeds ► Crop Assessment ► Harvest ► Cooling ► Inspection ► Packing ► Distribution

Example 2 – Simplistic Flow diagram for field/tunnel selection and the growing of field crops



### AN INTRODUCTION TO RISK ASSESSMENTS FOR FRESH PRODUCE

#### Stage 3: Identifying Risks

The next stage is to critically look at the risks throughout the growing operation.

Use each process step identified in stage 2 what risks (examples outlined in Table RA.1) could affect the crop and at what point in the process flow of production.

You should have identified a list of food safety risks associated with your specific crop production and location

Additional guidance on this can be found on <http://freshproducetool.foodstandards.gov.scot>

#### Stage 4: Managing Risk

For each risk identified a suitable control should be put in place. This can sound complex but most of these will already exist within your business and this process only gives an ordered way of managing and seeing the importance of these controls

##### For example:

##### Example 1:

**Risk Identified:** Non-approved pesticide residues or MRL exceedance

**Control:** Only use Pesticides that are approved for specific crop, advice from BASIS consultant, spray operator trained, sprayer annually checked

##### Example 2:

**Risk Identified:** Soft fruit pickers not washing their hands

**Control:** Business has hygiene policy clearly defined, all pickers are trained before they start work, hand washing compliance checked by supervisor

There will be others risk that are identified through this process that are not controlled or managed by your current management processes. These could represent considerable food safety risk to the crops you are producing and need to be managed:

##### Example 3:

**Risk Identified:** Potential Nut contamination of crops from nut trees in hedgerows. **Control:** A control should be developed that works for your business (cutting the tree down might seem the easiest but not the most environmentally friendly approach). Some controls could include:

- Arranging rotation so there is no cropping in field with nut trees when the nuts are ripe
- Having an X meter exclusion zone around the tree that's not harvested

##### At the end of the process you should have:

- Clear idea of what risks and crop production processes are in scope
- A simple flow diagram of the process
- A list of the food safety risks associated with each process step that affect your specific crop production process/location
- And most importantly a document that details the controls and management process, you have implemented/ identified that control the food safety risks within your business

The risk assessment needs to be revised annually or when there have been significant changes to the production process.

It can be appropriate to get help for professional organisation or consultants to aid you in developing a risk assessment, but you know your own business better than anyone, and with some guidance, are the best person to carry out the assessment.

## FOOD SAFETY INCIDENT MANAGEMENT PLAN

The procedure below outlines an example Food Safety Incident Management Plan for a Critical issue eg. PPPs, glass, foreign objects, oils etc

Details of the primary person responsible for ensuring this procedure is adhered to:		
Full Name:		
Position:		
Emergency Telephone Number:		
CRITICAL ISSUES 1-4		
1. Unapproved pesticide applied to crop	Within 5 minutes of the person responsible (stated above) being made aware of an unapproved pesticide being applied to a crop, this procedure must be immediately followed	
2. Exceeded maximum rate applied to crop	Within 5 minutes of the person responsible (stated above) being made aware of an exceeded pesticide ratio application, this procedure must be immediately followed	
3. Unapproved pesticide residue reported from crop sampling	Within 5 minutes of the person responsible (stated above) being made aware of an unapproved pesticide residue being reported back for a crop, this procedure must be immediately followed in full	
4. Exceeded maximum residue level reported from Crop sampling	Within 5 minutes of the person responsible (stated above) being made aware of an exceeded maximum residue being reported back for a crop , this procedure must be immediately followed in full	
↓		
IMMEDIATE NEXT STEPS		
Gather all relevant paperwork	Spray Records and/or residue sampling records	
↓		
Contact customers using emergency telephone numbers provided	IMMEDIATELY inform your customer(s) of ALL the details, be prepared to email, fax, and verbally forward all paperwork	
↓		
CUSTOMER 24 Hour Emergency Contact Details		
Trading Name:	Contact Names:	Telephone Number(s):
	Primary Contact:	Office: Mobile:
	Secondary Contact:	Office: Mobile:

**FOOD SAFETY INCIDENT MANAGEMENT PLAN**

Stop harvesting affected crop		Where crop is being harvested contact staff immediately and STOP harvesting
↓		
<b>IMMEDIATE NEXT STEPS</b>		
Segregate and quarantine in storage and clearly label on all sides of containers 'hold' from affected source		Where product has been harvested and stored, yet remains within the control of the business, clearly mark each side of bin/trays ensuring no product gets mixed up with non-affected product or dispatched from site
↓		
Secure all crop in potentially affected fields		Where crop is still to be harvested, ensure all Staff and Customer(s) are aware this crop/field reference <b>MUST NOT</b> be harvested. Clearly mark at field entrance <b>MUST NOT BE HARVESTED</b>
↓		
<b>Next steps - Critical Issues 2 &amp; 4 ONLY</b>		
↓		
2	Maximum residue test and/or re-test product	Exceeding the maximum application rate specified in the statutory box within the product label is a breach of the approval and therefore a breach of UK Pesticide Legislation. However, where this issue has been identified whilst 'some' of the affected crop is left in the field (and/or storage) and/or 'some' has left the control of the farm business, i.e. has moved further along the food chain, it is imperative that the chemical composition of the product in terms of Maximum Residue Levels (Legal Trading Limits) has not been exceeded (high risk potential Food Safety breach). Samples must be taken from the remaining affected field (and/or stored stock) and arrangements will be made by your customer(s) to collect the samples. Results will be requested within 24 hours and all costs charged to the producer business. These results will be reported back to your customer(s) immediately, after which you will be made aware of the results and any subsequent actions necessary to be taken.
4	Maximum residue test and/or re-test product	Where Maximum Residue Level sampling is undertaken internally within your business and results reported which exceed the Maximum Residue Levels, the product is in breach of Legal Trading Limits, and cannot legally be sold. Where this issue has been identified whilst 'some' of the affected crop is left in the field (and/or storage) and 'some' has left the control of the farm business, i.e. has moved further along the food chain, it is imperative that the chemical composition of the product in terms of Maximum Residue Levels is re-checked by the laboratory responsible for producing the original Maximum Residue Level exceedence results. Further samples must be taken from the remaining affected field (and/or stored stock) and arrangements will be made by your customer(s) to collect the samples. Results will be requested within 24 hours and all costs charged to the producer business. These results will be reported back to your customer(s) immediately, after which you will be made aware of the results and any subsequent actions necessary to be taken.

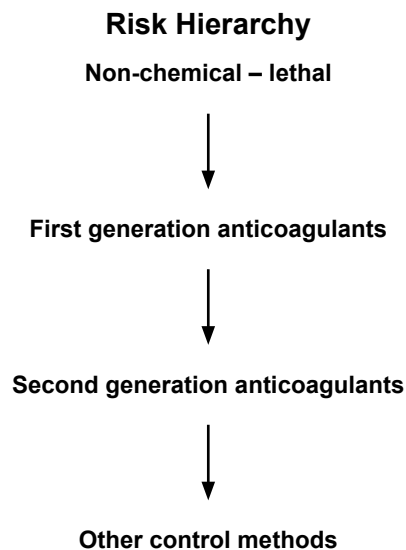
### VERMIN CONTROL

#### Site Survey

A site survey is a record of every inspection and/or survey undertaken; inspecting the farm for signs of rodent activity or environmental management requirements. The site survey must outline the following:

- Date of inspection
- Locations inspected
- Findings (including type, level and extent of infestation and all potential opportunities e.g. feed spills/gaps/habitats)
- Actions required (including what needs to be completed and by whom)
- Date completed (initials to verify)

Where the site survey identifies a rodent infestation, the concept of a 'risk hierarchy' must be used when considering the rodent control strategy. This means considering the use of non-chemical control methods first, followed by the least toxic alternatives.



#### Environmental Risk Assessment

Where actions are identified as part of the site survey which involve the use of rodenticides, an environmental risk assessment must be carried out. The risk assessment must cover the following:

- What the treatment is designed to achieve, what methods of rodent control will be used and how success will be measured
- Which non-target species may be present in or near the treatment site
- What steps have been/will be taken to prevent, or adequately control, exposure of wildlife/domestic pets and the environment
- How dead rodents and rodenticides will be disposed of
- Once the infestation has been removed/controlled, what measures can be implemented to prevent re-infestation

### VERMIN CONTROL

#### Bait Plan

A plan must be in place to control vermin and records must be kept of baits used and checks made. The plan should be completed by the person with responsibility for vermin management and must be kept up-to-date. The plan must be kept for 2 years following changes.

The bait plan must cover the following:

- Map of bait point locations
- Bait used
- Bait point inspection and replenishment dates

#### COSHH Assessment

The Control of Substances Hazardous to Health Regulations 2002 (the COSHH assessment) requires assessments are carried out to identify any risks to operators and others who may be affected by treatments involving hazardous substances. The Health and Safety Executive provide an e-tool for completing the COSHH assessment, which can be found here: <http://coshh-tool.hse.gov.uk/>.

More information on responsible rodenticide use can be found at <http://www.ahdb.org.uk/projects/documents/LRAHDBRodentStrategyGuide2016.pdf>

### DARK SMOKE

The darker the smoke, the more polluting it tends to be. Smoke darker than a specified shade of grey is officially classified as 'dark smoke'.

The Ringelmann chart is used to define dark smoke. The chart has 5 shades of grey with 0 being clear and 5 being black. Smoke is considered 'dark' if it is shade 2 or darker.

Local councils can introduce extra controls on emissions if there are air quality problems in your area.

For more information on dark smoke see: <https://www.gov.uk/preventing-air-pollution/dark-smoke>

### SAFE APPLICATIONS TO LAND

All applications to land must be carried out in accordance with the 'Safe Applications to Land Matrix' and legislation. Environmental Permits or exemptions must be held where applicable. The Environment Agency website has information on spreading waste on land which may be helpful.

**Note: Producers should always check with buyers to ensure that any applications of sludge, compost, digestate and other materials originating outside the farm are acceptable to customers.**

#### Sewage Sludge (biosolids)

The Biosolids Assurance Scheme was established by the UK water industry. The scheme details comprehensive controls for the treatment and recycling of biosolids to ensure sewage sludge derived products are safe to use and pose no threat to the food chain, consumers and the environment.

Untreated sewage sludge has not been permitted on any agricultural land since 2006.

Treated sewage sludges can only be used under strictly controlled conditions. Prior to application the soil must be tested by the sludge supplier. Applications of sewage sludge to land must be in accordance with suppliers' instructions (i.e. the way the sludge has been treated may affect where and when the sludge can be applied).

Two types of treated sewage sludge are permitted by the scheme:

1. Conventionally treated sludge - has been subjected to defined treatment processes and standards that ensure at least 99% of pathogens have been destroyed. The most common form of treatment is anaerobic digestion.
2. Enhanced treated sludge - will be free from Salmonella and will have been treated so as to ensure that 99.9999% of pathogens present in the original sludge have been destroyed.

#### Farmyard Manure (FYM) – Fresh, Stored or Treated

Batch storage of solid manures and slurries for at least 6 months (that is with no additions of fresh manure made to the store during this period) or 'active' treatment, are effective methods of killing pathogens. Composting of solid manures is a particularly effective method of controlling microbial pathogens, but for best results the process needs to be actively managed. The manure should be treated as a batch and turned regularly (at least twice within the first 7 days) either with a front-end loader or preferably with a purpose-built compost turner. This should generate high temperatures over a period of time (e.g. above 55°C for 3 days) which are effective in killing pathogens and this temperature should be monitored. Allow the compost to mature as part of the treatment process. The whole process should last at least 3 months.

Lime treatment of slurry (addition of quick lime or slaked lime to raise the pH to 12 for at least 2 hours) is an effective method of inactivating bacterial pathogens. Allow the slurry to mature as part of the batch treatment process for at least 3 months prior to land spreading.

#### Compost, Digestates and other Recycled Materials

It is recommended that digestates and composts sourced from external contractors for application to land have been produced to the relevant PAS specification (PAS 110 for digestate, PAS 100 for compost) and are applied following the associated Quality Protocol. The specifications and Quality Protocols provide safeguards on the feedstock materials, the processing stages and end product quality.

For all fruit and vegetable crops information about the feedstock should be built into your risk assessment. Particular hazards might include potential foreign bodies arising from contamination of feedstocks with glass, metal or hard plastic especially when the material is used on land used for potatoes and root crops.

#### Biostimulants

Some biostimulants products are derived from mammalian tissue by-products, including pork and beef material. It is essential to check the acceptability of their use with your trade customers or buyers.

SAFE APPLICATIONS TO LAND

Safe Applications to Land Matrix

	Anaerobic Digestate (PAS 110 and pasteurised);	Anaerobic Digestate (PAS 110, not pasteurised) Anaerobic Digestate (not assured) Raw manure/ slurry	Composts (including PAS100 and non-assured; green and green/food) Treated manure/ slurry	Conventional treated sewage sludge	Enhanced treated sewage sludge	Land where immediate previous use has been as grazing land
Fresh produce	Category 1	Any time before drilling/ planting	Any time before drilling/ planting <sup>1</sup>	Not within 30 months of harvest	Not within 10 months of harvest	Not within 12 months of drilling/ planting
	Category 2	Any time before drilling/ planting	Not within 12 months of harvest and at least 6 months before drilling/ planting	Not within 30 months of harvest	Not within 10 months of harvest	Not within 12 months of harvest and at least 6 months before drilling/ planting
	Category 3	Any time before drilling/ planting	Any time before drilling/ planting	Not within 12 months of harvest	Not within 10 months of harvest	Any time before drilling/ planting

**NB. The Safe Application to Land Matrix isn't applicable to Category 0 crop practices**

**Notes**

1. Target of zero and absolute limit of <0.1% (m/m dry weight) glass must be achieved
2. Green compost (PAS100 assured) may be applied as mulch

**Cropping Categories**

<b>Fresh produce</b>	<b>Category 0</b> (those you can eat raw and have a significant risk or history of pathogen contamination)
	<b>Category 1</b> (those you can eat raw and which do not have a protective skin that is removed before eating; they may also have a significant risk or history of pathogen contamination)
	<b>Category 2</b> (those you can eat raw and which either have a protective skin or grow clear of the ground, or that have no history of pathogen contamination)
	<b>Category 3</b> (those that the customer always cooks)

An up-to-date list of the crop categories can be found on the Red Tractor website.



### SAFE APPLICATIONS TO LAND

#### Further Information

A web-based tool, developed by HDC and the FSA, is available to help growers assess the risks from faecal wastes as soil conditioners and fertilisers. (<http://freshproducetool.foodstandards.gov.scot/>)

FSA (2009) Managing Farm Manures for Food Safety – Guidelines for growers to reduce the risks of microbiological contamination of ready-to-eat crops (<http://food.gov.uk/multimedia/pdfs/manuresguidance.pdf>)

FSA Report B17007 (2009) A review of the published literature describing foodborne illness outbreaks associated with ready to eat fresh produce and an overview of current UK fresh produce farming practices ([http://www.foodbase.org.uk/results.php?f\\_report\\_id=340](http://www.foodbase.org.uk/results.php?f_report_id=340))

FSA Report B05003 (2004) Pathogens in organic wastes: their levels and survival both during storage & following application to agricultural land ([www.foodbase.org.uk/results.php?f\\_category\\_id=&f\\_report\\_id=23](http://www.foodbase.org.uk/results.php?f_category_id=&f_report_id=23))

FSA Report B17002 (2002) Assessment of the risks to food safety associated with spreading of animal manure and abattoir waste on agricultural land ([www.foodbase.org.uk/results.php?f\\_category\\_id=&f\\_report\\_id=195](http://www.foodbase.org.uk/results.php?f_category_id=&f_report_id=195))

## MANURE MANAGEMENT PLAN

Standard EC.m requires a Manure Management Plan to be kept and followed when applying manures and/or slurries to land. Where land falls in an NVZ, a completed and more detailed plan should already be in place and will meet the scheme requirements.

The scheme recommends the use of the Tried and Tested website ([www.triedandtested.org](http://www.triedandtested.org)) for resources, templates and in the development of your Manure Management Plan.

### As a minimum, all holdings must have a Manure Management Plan that:

- includes a farm map identifying **where** and **when** manure can/ cannot be applied. The map must show the areas stated in table A – and it is recommended that colour coding is used
- includes calculations of the Total Area Required to apply the manure/ slurry produced without exceeding a total nitrogen application rate of 250kg/ha/year (or less as required by legislation). Use the following calculation and the hectares needed by stock unit in Table B:
  - Number of stock units (by stock type) x months housed x Ha needed by stock unit = Total Area Required
  - E.g. 75 cows (650kg) x 6months x 0.039 = 17.55 ha required

If the map and calculations prove you have a Total Spreadable Area greater than the Total Area Required, the plan is complete. If the Total Spreadable Area is less than the Total Area Required, a more detailed plan or an alternative action is necessary.

Table A

Area	Area includes, but is not limited to:
<b>Non-spreading areas</b>	Fields where manure would not normally be spread; non-farmed woodlands or fields too far away from farm buildings
<b>Water</b>	Any ditches, watercourses and ponds, springs, wells and boreholes used for drinking water or farm dairies
<b>Do not spread areas</b>	Areas where manure should not be spread. At least 10m either side of ditches and watercourses, 50m around springs, wells and boreholes, steep slopes with a high risk of run-off, Environmentally Sensitive Areas, Sites of Specific Scientific Interest
<b>High risk areas</b>	Fields next to a watercourse, spring or borehole with soil at field capacity with moderate slope or slowly permeable soil; where soil depth over fissured rock is less than 30cm; with effective pipe or field drains
<b>Very high risk areas</b>	Fields likely to flood in some/ most winters; next to a watercourse, spring or borehole where surface is severely compacted or waterlogged or have a steep slope and the soil is at field capacity or have a moderate slope and slowly permeable soil
<b>Low risk areas</b>	All other areas not already marked

## MANURE MANAGEMENT PLAN

Table B

Stock Unit	Hectares needed by Stock Unit		Stock Unit	Hectares needed by stock unit	
Cow (650kg)	0.039		Bull	0.019	
Cow (550kg)	0.032		Youngstock 1-2yr (400kg)	0.016	
Cow (450kg)	0.025		Youngstock 6-12months	0.008	
Heifer 2yr+ (500kg)	0.019		Calf	0.005	
Adult Sheep	0.003		Lamb (6-12 months)	0.002	
Lamb (up to 6 months)	0.001				
	Hectares needed by pig			Hectares needed by pig	
	at 250kg/ha	at 170 kg/ha		at 250kg/ha	at 170 kg/ha
Maiden gilts	0.052	0.076	Growers 8-12 weeks	0.025	0.037
Breeding sows & boars	0.080	0.118	Finishers over 12 weeks	0.042	0.062
Weaners 4-8 weeks	0.013	0.019			

### WATER MATRIX

The Water Matrix supports the microbiological risk assessment of water used in primary agricultural production.

The Matrix sets frequencies (high, medium, low) for analysis of the water for indicators of faecal contamination (Indicator E. coli) during the use of the water (growing season or period of application of the water source) and corresponding thresholds, depending on the intended use of the water and the water source.

- **High frequency**- one analysis per month (minimum of two tests before first harvest)
- **Medium frequency**- one analysis twice a year (minimum of one test before first harvest)
- **Low frequency**- once a year

The grower must take a number of samples depending on the intended use of the water and the crop category (0,1,2,3). In the case of irrigation, the samples must be taken during peak-use period.

If the test results are unfavourable or identify a potential problem, the grower must take corrective actions to reduce the risk to the consumer and after that, another water test should be carried out to verify the effectiveness of the actions taken.

Matrix key:

- **High**: If there is no other alternative, this water can be used subject to sampling at a high frequency using the E. Coli thresholds as an indicator that the water is suitable for use or consider water treatment/disinfection.
- **Medium**: This water can be used subject to sampling at a medium frequency using the E. Coli thresholds as an indicator that the water is suitable for use
- **Low**: This water can be used but subject to sampling at a low frequency using the E. Coli thresholds as an indicator that the water is suitable for use
- : This water can be used without any sampling or analysis. There will need to be evidence of a water authority test certificate.

## Appendix IG.b (continued)

### WATER MATRIX

Categories (Crop categories can be found on the Red Tractor website)	Intended use of the water	Mains water supply (1)		Treated/disinfected water (2)	
		Risk Level	Test Frequency	Risk Level	Test Frequency (11)
<b>CROP PRODUCTION WATER USE</b>					
Category 0 Crops - Salad cress and micro leaves	Irrigation (any use)	Low	Annual	High	Monthly
	Application of pesticide, fertilisers etc.				
Category 1 Crops- eg. Salads, herbs, strawberries etc.	Irrigation in direct contact with edible portion of the crop		Water authority test certificate	Low	Annual
	Dilution of PPP's, fertiliser, cleaning of equipment in direct contact with edible portion of the crop		Water authority test certificate	Low	Annual
	Irrigation <b>NOT</b> in direct contact with edible portion of the crop		Water authority test certificate	Low	Annual
	Dilution of PPP's, fertiliser, cleaning of equipment in <b>NOT</b> in direct contact with edible portion of the crop		Water authority test certificate	Low	Annual
Category 2 Crops - eg. Brassicas, bulb onions, legumes, carrots etc.	Irrigation (where use is in direct contact with edible portion- e.g. overhead irrigation)		Water authority test certificate	Low	Annual
	Dilution of PPP's, fertiliser, cleaning of equipment in direct contact with edible portion of the crop		Water authority test certificate	Low	Annual
	Irrigation (where use is <b>NOT</b> in direct contact with edible portion of crop e.g. trickle application)		Water authority test certificate		
	Dilution of PPP's, fertiliser, cleaning of equipment in <b>NOT</b> in direct contact with edible portion of the crop		Water authority test certificate		
Category 3 crops - eg. Potatoes	Irrigation (where the crop is likely to be eaten cooked and in direct contact with edible portion of crop - e.g. sprouts or leeks)		Water authority test certificate	Low	Annual
	Dilution of PPP's, fertiliser, cleaning of equipment on crops likely to be eaten cooked (in direct contact with edible portion of crop - e.g. sprouts or leeks)		Water authority test certificate	Low	Annual
	Irrigation (where the crop likely to be eaten cooked and <b>NOT</b> in direct contact with edible portion of crop - e.g. potatoes)		Water authority test certificate		
	Dilution of PPP's, fertiliser, cleaning of equipment on crops likely to be eaten cooked ( <b>NOT</b> in direct contact with edible portion of crop - e.g. potatoes)		Water authority test certificate		
<b>Post Harvest Uses</b>					
Categories - 1, 2 & 3 (8)	Use for desoiling and stone separation		Water authority test certificate	Low	Annual
	Post harvest cooling and transport of crops that are likely to be cooked before consumption (12)		Water authority test certificate	Low	Annual
	Water used for first-wash, cooling and drenching, post harvest transport (e.g. flume) of crops likely to be eaten raw (9) (12)		Water authority test certificate	Low	Annual
	Water used in cleaning equipment and food contact surfaces (12)		Water authority test certificate	Low	Annual
<b>Only Potable Water</b>					
Category - 0	Final rinse, ice or drenching for cooling	Low	Annual	High	Monthly
Categories - 1, 2 & 3	Final rinse, ice or drenching for cooling		Water authority test certificate	Medium	2 per year

#### Guidance notes

- (1) Use of municipal water directly on crop does **NOT** require testing other than where indicated. Where municipal water is stored in open reservoir prior to use see point 6
- (2) Treated/ disinfected water can be from any primary sources that has passed through a validated treatment process (e.g. UV, Chlorine, Chlorine Dioxide etc. which has been proved to be effective in reducing microbial loading to an acceptable level) that is under direct control/management of the grower/producer. This is required to be well managed (i.e. critical control point)
- (3) Rainwater (water collected from rainfall (or snow) and sometimes also called rain harvested water) captured from building roofs etc. - generally low risk of microbial contamination
- (4) Water taken from borehole or well point that is either applied directly to the crops or stored in a reservoir prior to application. Where water is stored in a reservoir see point 6
- (5) Water taken from a river/stream/canal can show significant variation in levels microbial contamination between tests as rivers open to contamination outside growers control e.g. upstream sewage outfalls, upstream livestock production etc. and need more frequent testing on higher risk crops where the water is in contact with edible portion of the crop
- (6) Where water is stored in an open reservoir, no matter its original source, it is open to potential microbial contamination from the local environment, farming and neighbouring activities and wildlife etc.

Water Sources								Maximum acceptable level – indicator of faecal contamination: <i>E coli</i> (7)
Rainwater (untreated) (3)		Borehole/well water (untreated) (4)		Surface water (untreated) - river/canal /stream (5)		Reservoirs - water from any water source held in an open reservoir prior to use (6)		
Risk Level	Test Frequency	Risk Level	Test Frequency	Risk Level	Test Frequency	Risk Level	Test Frequency	
Unacceptable	N/A	Unacceptable	N/A	Unacceptable	N/A	Unacceptable	N/A	<10 CFU/100ml
Medium	2 per year	Medium	2 per year	High	Monthly	High	Monthly	<100 CFU/100ml
Medium	2 per year	Medium	2 per year	High	Monthly	High	Monthly	
Medium	2 per year	Medium	2 per year	Medium	2 per year	Medium	2 per year	<1000 CFU/100ml
Medium	2 per year	Medium	2 per year	Medium	2 per year	Medium	2 per year	
Medium	2 per year	Medium	2 per year	High	Monthly	High	Monthly	<1000 CFU/100ml
Medium	2 per year	Medium	2 per year	High	Monthly	High	Monthly	
Low	Annual	Low	Annual	Medium	2 per year	Medium	2 per year	
Low	Annual	Low	Annual	Medium	2 per year	Medium	2 per year	
Low	Annual	Medium	2 per year	Medium	2 per year	Medium	2 per year	<1000 CFU/100ml
Low	Annual	Medium	2 per year	Medium	2 per year	Medium	2 per year	
		Low	Annual	Low	Annual	Low	Annual	<10,000 CFU/100ml
		Low	Annual	Low	Annual	Low	Annual	
<b>Post Harvest Uses</b>								
Low	Annual	Medium	2 per year	Medium	2 per year	Medium	2 per year	<1000 CFU/100ml
Low	Annual	Medium	2 per year	Medium	2 per year	Medium	2 per year	
Medium	2 per year	High	Monthly	High	Monthly	High	Monthly	<100 CFU/100ml
Medium	2 per year	High	Monthly	High	Monthly	High	Monthly	
<b>Only Potable Water</b>								
Unacceptable	N/A	Unacceptable	N/A	Unacceptable	N/A	Unacceptable	N/A	Potable standard (10)
High	Monthly	High	Monthly	High	Monthly	High	Monthly	Potable standard (10)

(7) Where testing results for faecal indicator levels (*E coli*) are greater than maximum acceptable standard, the grower must develop a corrective action plan to reduce risk to consumers and address the adverse microbial levels e.g. water treatment, application methods, period between last application and harvest, use alternative source etc.

(8) Category 0 crops use post harvest must meet mains/ drinking water standards

(9) Washing is classed as use of water to remove soiling etc. on crops and is not for washing in terms of producing a ready to eat product

(10) Potable water standard as defined by DEFRA Drinking Water Inspectorate

(11) For water which is required to be tested at high frequency, a minimum of two tests must be taken before harvest. For medium testing a minimum of one test must be taken before harvest.

(12) Any recirculated water used post-harvest must be treated e.g. re-circulated water systems, flumes etc.

<http://dwi.defra.gov.uk/consumers/advice-leaflets/standards.pdf>

**NB. The Water Matrix is based on the Water Matrix in the European Commission's Guidance Document on Addressing Microbiological Risks in Fresh Fruit and Vegetables at Primary Production through Good Hygiene**

## UK CROPS GROWN, PROTOCOLS AND CATEGORIES

The table below lists fresh produce crops which are grown in the UK and are assured under the Red Tractor Fresh Produce Version 4 standards. It lists the crops, the associated crop protocol which you are required to comply with (if applicable) and the category the crop falls under. Currently, some crops do not have an additional crop protocol and are only assessed against the main Fresh Produce standards, these crops are listed in the table.

Crops assured under Red Tractor	RT Protocol	Category
Apples	Fruit, top	2
Apricots	Fruit, stone	2
Aronia berries (chokeberries)	Fruit, bush	2
Asparagus	Asparagus	2
Aubergines	Aubergine	3
Baby leaf – crops defined as 'young leaves and petioles of any crops grown for harvest beyond seedling stage but before true leaf has formed'	Main fresh produce standards	1
Basil (herb)	Herbs, culinary	1
Batavia Lettuce	Lettuce – field Lettuce – protected	1
Bay (herb)	Herbs, culinary	1
Beetroot	Beetroot	2
Blackberries	Fruit, cane	2
Blackcurrants	Fruit, bush	2
Blueberries	Blueberries	2
Bok choy	Chinese Cabbage, Pak Choi, Choi Sum – outdoor Chinese Cabbage, Pak Choi, Choi Sum – protected	2
Borage (herb)	Herbs, culinary	1
Brassica spp	Broccoli	2
Broad beans/ Fava beans	Beans, broad – fresh Beans, broad – processed	2
Broccoli	Broccoli	2
Broccoli Romanesco	Broccoli	2
Broccolini	Broccoli	2
Brussel sprouts	Brussels Sprouts	3
Butterhead Lettuce	Lettuce – field Lettuce – protected	1
Cabbage	Cabbage	2
Capsicums (Peppers/ Chillies)	Peppers, chilli Peppers, sweet – protected	2
Carrots	Carrots	2
Cauliflower	Cauliflower	2
Celeriac	Celariac	2
Celery	Celery	1
Chard	Chard	2
Cherries	Fruit, Stone	2
Chervil (herb)	Herbs, culinary	1
Chicory	Chicory	1
Chinese Cabbage	Chinese Cabbage, Pak Choi, Choi Sum – outdoor Chinese Cabbage, Pak Choi, Choi Sum – protected	2
Chives (Herb)	Herbs, culinary	1
Choi Sum	Chinese Cabbage, Pak Choi, Choi Sum – outdoor Chinese Cabbage, Pak Choi, Choi Sum – protected	2
Coriander (Herb)	Herbs, culinary	1
Cos Lettuce	Lettuce – field Lettuce – protected	1
Courgettes	Courgettes, Marrows, Squash and Pumpkins	2
Cucumber	Cucumber	2

Crops assured under Red Tractor	RT Protocol	Category
Curly parsley (herb)	Herbs, culinary	1
Damsons	Fruit, stone	2
Dill (Herb)	Herbs, culinary	1
Elderflower	Main fresh produce standards	3
Endive	Chicory	1
Escarole Lettuce	Lettuce – field Lettuce –protected	1
Fennel	Fennel	2
Fennel (herb)	Herbs, culinary	1
Fenugreek (herb)	Herbs, culinary	1
Flat parsley (herb)	Herbs, culinary	1
French Beans	Green beans – fresh Green beans – processed	2
Frisse Lettuce	Lettuce – field Lettuce – protected	1
Garlic	Garlic	2
Garlic chives (herb)	Herbs, culinary	1
Globe Artichoke	Main fresh produce standards	3
Gooseberries	Fruit, bush	2
Green beans	Green beans – fresh Green beans – processed	2
Green cabbage	Cabbage	2
Hops	Hops	3
Horseradish	Main Fresh Produce standards	3
Iceburg lettuce	Lettuce – field Lettuce – protected	1
Jerusalem artichoke	Parsley Root	3
Kale	Kale	2
Kalettes	Kale	2
Kiwiberries	Main fresh produce standards	2
Kohl-rabi	Swede, Turnip, Kohl Rabi	3
Leeks	Leeks	3
Lemon Balm (herb)	Herbs, culinary	1
Lemon thyme (herb)	Herbs, culinary	1
Lime Leaves (herb)	Herbs, – culinary	1
Little Gem lettuce	Lettuce – field Lettuce – protected	1
Loganberries	Fruit, cane	2
Lollo Rosso Lettuce	Lettuce – field Lettuce – protected	1
Majoram (herb)	Herbs, culinary	1
Mange tout (inc. sugar snap peas)	Peas, picking – fresh Peas vining – processed	2
Marrow	Courgette, Marrow, Pumpkin, Squash	2
Melons	Melons	2
Mint (herb)	Herbs, culinary	1
Mushrooms	Mushrooms	2
Nectarines	Fruit, stone	2
Onions	Onions, bulb Onions, salad	Bulb (2) Salad (1)
Oregano (Herb)	Herbs, culinary	1
Pak Choi	Chinese Cabbage, Pak Choi, Choi Sum – outdoor Chinese Cabbage, Pak Choi, Choi Sum – protected	2
Parsley root	Parsley Root	3



## UK CROPS GROWN, PROTOCOLS AND CATEGORIES

Parsnips	Parsnips	2
<b>Crops assured under Red Tractor</b>	<b>RT Protocol</b>	<b>Category</b>
Peaches	Fruit, stone	2
Pears	Fruit, top	2
Peas	Peas, picking – fresh Peas vining – processed	2
Plums	Fruit, stone	2
Potatoes	Potatoes	3
Pumpkins	Courgette, Marrow, Pumpkin, Squash	2
Purple Sprouting Broccoli	Broccoli	2
Quince	Fruit, top	2
Radicchio	Chicory	1
Radish	Radish	1
Rainbow Chard	Chard	1
Raspberries	Fruit, cane	2
Red cabbage	Cabbage	2
Red Currants	Fruit, bush	2
Rhubarb	Rhubarb	2
Rocket (arugula)	Herbs, culinary	1
Romaine Lettuce	Lettuce, field Lettuce, protected	1
Romenesco cauliflower	Cauliflower	2
Rosemary (Herb)	Herbs, culinary	1
Runner beans	Beans, runner	2
Sage (Herb)	Herbs, culinary	1
Salad cress and micro leaves – <i>defined as ‘crops which are harvested at seedling stage’</i>	Main fresh produce standards	0
Salsify	Main fresh produce standards	3
Samphire (herb)	Herbs, culinary	1
Savoury (herb)	Herbs, culinary	1
Shallots	Onions, bulb	2
Sorrel (herb)	Herbs, culinary	1
Spinach	Spinach	1
Spring Onions	Onions, salad	1
Squashes; butternut	Courgette, Marrow, Pumpkin, Squash	2
Strawberries	Strawberry	1
Swede (Rutabagas)	Swede, Turnip, Kohl Rabi	3
Sweet Potatoes	Potatoes	3
Sweetcorn	Sweetcorn	2
Sweetheart cabbage	Cabbage	2
Swiss Chard	Chard	1
Tarragon (herb)	Herbs, culinary	1
Tayberry	Fruit (Cane)	2
Tender Stem Broccoli	Broccoli	2
Thyme (Herb)	Herbs, Culinary	1
Tomatoes	Tomatoes – outdoor Tomatoes – protected	2
Turnips	Swede, Turnip, Kohl Rabi	3
Vine grapes	Main fresh produce standards	3
Watercress	Watercress	1
Watermelon	Melon	2
White currants	Fruit, bush	2
Winter white cabbage	Cabbage	2



# How the Red Tractor Assurance Scheme works

**The Red Tractor Assurance Scheme exists to certify and signify the conformance by each of its members to a series of integrated standards that apply to different farming enterprises and different steps in the food supply chain.**

As a business operating in the farming or food supply industry, you can apply to join the Scheme for a single farming enterprise or food supply chain activity or whatever combination of enterprises or activities fits your business needs.

To become and remain a member, you must at all times conform to the standards and the membership rules (as they may both be amended by RTA from time to time).

To join the Scheme, you should contact any one of the Certification Bodies who are independent contractors, licensed by RTA to manage membership (although, for dairy farms, your first purchaser of milk will choose a Certification Body and arrange your application or transfers, as appropriate). You will find all the enterprises and activities that the Scheme covers and the Certification Bodies listed on the back page of this booklet. You can apply to join at any time throughout the year and your membership must be renewed annually. You will need to enter a contract directly with your chosen Certification Body and that contract will (in addition to these Rules) govern the terms on which your Certification Body will manage your initial application, assessment and certification against the standards and your annual renewal. The Certification Body will also be your routine point of contact.

Before applying, you are advised to carefully read the membership rules and the standards which set out what you have to do and how you will be assessed. If you operate more than one farming enterprise or food supply chain activity, you can select which of these you want to be assessed and certified<sup>1</sup>. If applying for more than one, your Certification Body may apply a discount and will co-ordinate the assessment together in a single visit where possible. Alternatively, you can choose more than one Certification Body for the different enterprises or activities and the assessments will be carried out separately.

You may change your Certification Body at any time and still maintain 'Red Tractor Assured' status as long as you have no outstanding non-conformances or obligations. If you are not satisfied with the way your application, assessment or certification decision has been conducted, you may lodge an appeal in writing with your Certification Body within such time period as your Certification Body may stipulate from time to time. All appeals will be investigated and dealt with in accordance with the Certification Body's appeal procedure or, if so directed, RTA's appeal procedure.

**Your attention is drawn in particular to the limitation of liability provisions set out in Rules 74 – 76.**

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<sup>1</sup> With the exception of: (a) Dairy, where beef assurance is required for the cattle (see Rule 23); and (b) Beef and Lamb, where, if both cattle and sheep are farmed, both have to be assessed and certified.

# HOW THE RED TRACTOR ASSURANCE SCHEME WORKS

## 1. Application

Send application and fee to your chosen Certification Body detailing all the relevant holdings/ premises. Receipt will be acknowledged in 14 days and the assessment will be arranged.

## 2. Initial Assessment

The assessor will talk to you about your business as you walk together around (or facilitate remote viewing via video-streaming of) the facilities, look at the livestock/crop as applicable and check your paperwork. They will need to talk to your staff too about what they do. Any areas which do not meet the Standards (which we refer to as “non-conformances”) will be highlighted to you throughout the assessment. They are not allowed to advise on, or suggest, how you need to correct things. You will be left or sent a report which will contain details of any non-conformances, an indication of the evidence you will be expected to provide (e.g. invoices, photos, photocopies, letter from vet) and the timescales for action.

## 3. Non-conformances

You must supply your Certification Body with evidence that you have corrected everything as explained in the non-conformance report. In some cases, a re-visit may be required and this may incur a charge. Your application will lapse if you do not correct everything satisfactorily and in good time.

## 4. Issue Certificate of Conformity

Once satisfactory evidence has been provided, you will be entered as ‘Assured’ on the Scheme Member Checker database and you can then sell your product(s) as ‘Assured’. You may receive an actual certificate in electronic format or printed but the status on the Scheme Member Checker database is definit

## 5. Renewal

You will be invited to renew your membership annually, 12 months after the initial assessment and every 12 months thereafter. You will receive a renewal notice and a maximum of two reminder letters.

## 6. Routine Assessments and Spot Checks

An assessor will make regular visits (or carry out remote assessments) similar to your initial assessment to check you are continuing to conform to the Standards at all times. These assessments will normally be once per membership year with the exception of the RTA dairy and beef and lamb farm schemes which will be once every 18 months. You may also be subject to spot check visits, some of which may be unannounced as part of our risk based approach to inspections. If you do not conform to any Standards you must provide evidence, normally within 28 days, that you have rectified them as outlined at Steps 2 and 3 above. If you have a major non-conformance or excessive non-conformances against the Standards, your certification may be suspended until you have shown you have put this right. (Assessment arrangements for meat and poultry processing, livestock transport, livestock markets and livestock collection centres are outlined in the online standards manual.)

**Suspension:** Your membership and certification can also be suspended if you have not put non-conformances right within the time stipulated or if an unannounced spot check as a result of our risk based approach to inspections shows no improvement and the member is still categorised as high risk. Suspension is only lifted once you have proved that you have corrected the non-conformances. In some cases, a re-visit may be required. **You must not sell products as ‘Red Tractor Assured’ whilst your certification is suspended.**

**Withdrawal:** If within 3 months of the suspension date you have not demonstrated that you have corrected the non-conformances, the Certification Body will withdraw certification and your membership will automatically terminate. The Certification Body will also withdraw certification and your membership will automatically terminate if you are still categorised as high risk following two consecutive unannounced spot checks as a result of our risk based approach to inspections. You can only regain certification by following the procedure for a new applicant and as long as no other sanctions or non-conformances remain. Your right to sell products as ‘Red Tractor Assured’ will cease immediately if your certification is withdrawn or if your membership is terminated for any other reason or expires and is not renewed within one month of expiry in accordance with the membership rules.

## RED TRACTOR ASSURANCE MEMBERSHIP RULES (1st August 2020)

Your attention is drawn in particular to the limitation of liability provisions set out in Rules 74 to 76.

We are Assured Food Standards, trading as Red Tractor Assurance ('RTA'), a not for profit company, owned and funded by organisations and trade bodies from across the British farming and food industry.

1. These rules together with the accompanying explanation of how the Scheme works and any additional sector specific rules issued from time to time by RTA as contemplated in Rule 5 (as amended from time to time, 'these Rules') govern the terms and conditions for membership of the Red Tractor Assurance Scheme ('the Scheme').
2. In these Rules:
  - a. 'Applicant Business' means applicants for membership of the Scheme;
  - b. 'Assessment' means the assessment of your conformance to the Standards by your Certification Body's appointed assessor, whether carried out on application, renewal, on a revisit to assess previously identified non-conformances or by way of spot checks, whether announced or unannounced and whether by way of personal visit, remote assessment via video-streaming and/or the review of documentation uploaded by you to the Red Tractor Portal;
  - c. 'Associate', in respect of a Member, means any shareholder, officer, agent, employee, contractor or relative of that Member and any relative of any such person;
  - d. 'Certification Body' means a certification body (acting as an independent contractor) which is licensed by RTA to carry out certification and assess conformance to the Standards, all such bodies being set out from time to time in RTA's website at <https://assurance.redtractor.org.uk/standards/contact-certification-bodies>;
  - e. 'Enterprise' means a farming enterprise or activity which is covered by any of the particular Standards;
  - f. 'Member' means a member of the Scheme;
  - g. 'Member Logos' means the Member logos set out from time to time in the RTA Website at <https://assurance.redtractor.org.uk/contentfiles/files/SchemeLogoRules.pdf>;
  - h. 'Membership' means membership of the Scheme;
  - i. 'Red Tractor Assurance Claim' means a claim to source and supply food or drink products which are eligible to carry any version of the Red Tractor logo;
  - j. 'Red Tractor Portal' means the online portal onto which you may upload documentation in advance of an Assessment and which can be accessed at <https://portal.redtractor.org.uk/#/home>;
  - k. 'relative' in relation to a person includes the mother, father, stepfather, stepmother, sister, brother, wife, husband, civil partner, daughter, son, grandparent, grandchild, parent-in-law, son-in-law, daughter-in-law, sister-in-law, brother-in-law, step parent, step child, step sister, step brother, foster child, legal guardian, domestic partner or fiancé/fiancée of that person or of that person's spouse, former spouse, civil partner or former civil partner;
  - l. 'RTA Website' means the website of RTA at <https://assurance.redtractor.org.uk> (or any replacement website RTA may establish and operate from time to time);
  - m. 'Scheme Member Checker' means the database of Members maintained by RTA at <https://checkers.redtractor.org.uk/rtassurance/services.eb>;
  - n. 'Standards' means the Red Tractor Assurance Scheme farm standards for each farming sector (currently, beef & lamb, dairy, pigs, poultry, crops and fresh produce) and supply chain standards (currently, livestock transport, meat and poultry processing, livestock markets and collection centres, safe haven and cold crush) as set out in the RTA Website at <https://assurance.redtractor.org.uk/standards> and as set out at the end of this document, as updated from time to time; and
  - o. 'you' means such Applicant Business or Member as the context permits.
3. You can only gain certification and obtain 'Red Tractor Assured' status for an Enterprise to which your application relates if you conform to the Standards applicable to that Enterprise and you must continue to meet these Rules and those Standards at all times. Failure to comply with these Rules or the Standards may result in your certification (whether for a particular Enterprise or for all Enterprises carried out by you) being suspended or withdrawn and your Membership being terminated.
4. RTA may update these Rules and the Standards at any time. You will be given notice of the specific changes made to the Standards and when they will come into effect. When changes are made to the Rules, we will give you notice of that fact and confirm in such notice when the amended Rules will come into effect and how you can view and download or otherwise obtain the amended Rules. You must ensure full compliance with all such changes to the Standards and the Rules to retain 'Red Tractor Assured' status.
5. From time to time RTA may publish (including via the RTA Website) additional sector specific rules and guidance which will be supplementary to and deemed to be part of these Rules (for example, rules and guidance in respect of contract farming in the combinable crops sector and the Safe Haven New Entrants and Suspended Member Protocols).

6. These Rules are in addition to any statutory requirements. Nothing in these Rules shall be deemed to provide exemption from current legislation and you must comply with all legislation relevant to the scope of the Scheme at all times.
7. Where the words 'include(s)', 'including' or 'in particular' are used in these Rules, they are deemed to have the words 'without limitation' following them.

### Claiming Products or Services are 'Red Tractor Assured'

8. Subject always to the provisions of Rules 68 to 73 (and in particular the restrictions in Rule 70 on using the relevant Member Logo(s) or any other version of the Red Tractor logo on, or applying any such logo or a Red Tractor Assurance Claim to, food packs (including packaging such as meat, fruit or vegetable boxes, milk cartons or bottles) or using any such logo or making such a claim at the point of sale of food products (including online sales) unless you have a processors and packers licence issued by RTA (see <https://trade.redtractor.org.uk/>), you must not claim that products you sell and/or services you provide are, or describe them as, 'Red Tractor Assured', 'RT Assured', 'RTA Assured', 'RTA', 'RT' or 'Assured' or 'Certified' for the purposes of the Scheme unless and until you have been through the application and Assessment process referred to in the above explanation of how the Scheme works and a certificate of conformity to the relevant Standards has been issued for the Enterprise to which those products or services relate. Thereafter, subject always to Rules 68 to 73, you must not claim that products you sell and/or services you provide are, or describe them as, 'Red Tractor Assured', 'RT Assured', 'RTA Assured', 'RTA', 'RT' or 'Assured' or 'Certified' for the purposes of the Scheme:
  - a. if and to the extent that such products or services relate to a business, Enterprise, activity, location, holding, site, store or vehicle which is not included in the scope of your certification;
  - b. if your certification has been (and for so long as it remains) suspended or has been withdrawn for any reason;
  - c. if you do not renew your Membership on time in accordance with these Rules;
  - d. if your Membership terminates for any reason; or
  - e. if you have voluntarily left the Scheme.

### Application

9. Any sole trader, partnership, limited or unlimited company or limited liability partnership (or other form of trading entity approved by RTA), farming or carrying out an Enterprise, can apply to be a Member. Similar schemes operate in the devolved regions of the UK covering some Enterprises and where this applies you should join the local scheme.
10. You can apply to join the Scheme for a single Enterprise or whatever combination of Enterprises fits your business needs. The exceptions to this are: beef and lamb, where, if both cattle and sheep are farmed, both have to be assessed and certified; and dairy, where beef assurance is required for the cattle (see Rule 23).
11. You can only apply for Membership through a Certification Body, which is an independent contractor licensed by RTA to certify conformance to the Standards.
12. Each sole trader, partnership, limited or unlimited company or limited liability partnership (or other form of business approved by RTA) farming or carrying out an Enterprise must be registered as a Member in its own right in order to exercise the rights afforded by Membership and each Member must have at all times a named nominated person ('Nominated Person') who has functional responsibility for the management decisions and operating systems being assessed.
13. The Nominated Person of the Applicant Business must sign the membership application form provided by your chosen Certification Body ('your Certification Body') and subsequent renewal application forms (and RTA and your Certification Body shall be entitled to assume that the Nominated Person is authorised to sign such forms on your behalf). In submitting an application or renewal fee and/or such forms, you are agreeing with RTA and your Certification Body to be bound by these Rules and the Certification Body's terms of engagement.
14. Any false or misleading statement made on the Membership or renewal application forms, during Assessments, or in any other communication, may lead to suspension or withdrawal of your certification and even exclusion from future Membership. You must provide, upon request by RTA or your Certification Body, any information relevant to conformance with the Standards or these Rules.
15. Any act or omission to act (whether by you, your officers, employees or agents or a third party and whether or not in relation to your premises, site or holding) which impacts on your conformance to the Standards, these Rules or any relevant legislation, will be deemed to be your responsibility for the purpose of assessing your compliance with the Standards and these Rules. Any rights and remedies available to and sanctions imposed by RTA or your Certification Body in respect of any non-conformance to the Standards ('non-conformance') or breach of these Rules may, at the discretion of RTA or your Certification Body, be deemed to apply also to any other person who operates or proposes to operate from the same premises, site or holding as you and who is or wishes to become a Member.



## Holdings, Sites, Stores and Vehicles

16. You must disclose in your Membership or renewal application form all holdings, sites, stores and vehicles which you want to be included in the scope of your certification (having regard to Rules 17, 18 and 19 below).
17. Subject always to Rules 12, 18 and 19, where a Membership or renewal application form lists more than one holding, site, store, or vehicle, they must all be managed on a day to day basis by the same person. A separate application must be made in respect of any holding, site, store or vehicle of a Member which is managed on a day to day basis by a different person. If there is any uncertainty over whom any holding, site, store, or vehicle is managed by, RTA or your Certification Body may require you to provide such documentary evidence as it sees fit and its decision shall be final, subject always to Rule 83 to 85 (Complaints and Appeal Procedure).
18. Unless RTA or your Certification Body otherwise permits in writing in its absolute discretion, separate Membership or renewal applications will be required in accordance with the following principles or as RTA or your Certification Body may direct:

Enterprise / Activity	Separate Membership for each:
Farms / Safe Haven / Cold Crush	<ul style="list-style-type: none"> <li>Enterprise</li> <li>Holding / site within each such Enterprise: subject to the provisions of Rule 19 below.</li> </ul>
Livestock Transport	Commercial Livestock Vehicle / Trailer
Livestock Market	Site with separate Animal Gatherings Order Approval Number
Collection Centre	Site with separate Animal Gatherings Order Approval Number
Meat and Poultry Processing	Site with separate FSA Approval Number

19. Additional farm holdings may be allowed within an application for a main site or holding provided the additional holdings fall within the relevant description set out below and subject always to such holdings being managed on a day to day basis by the same person.

Dairy	Poultry	Pigs	Beef/Lamb	Crops	Fresh Produce
Each milking premises requires a separate registration	A self-contained live poultry facility functioning with defined poultry stock management, operational control and bio-security standards	Main holding + max 3 small nursery or finishing units	Main site + additional sites where livestock are kept.	Main holding + any additional sites where fertilisers and pesticides are kept or harvested products stored or processed.	
		Additional sites must be sufficiently close to the main site or holding as agreed by the Certification Body.			

## Dairy Members

20. Dairy farm assurance is normally arranged by the dairy purchaser (i.e. the first purchaser of milk from the farm and with whom the milk producer enters a milk supply contract). Separate membership rules (the 'Dairy Purchaser Membership Rules') apply to dairy purchasers. Dairy purchasers who wish to become a dairy purchaser member of the Red Tractor Dairy Farm Assurance Scheme must complete the application form available upon request by emailing "memberhelp@redtractor.org.uk" and are required to ensure that all milk producers supplying milk to them have a valid certificate evidencing conformance to the Red Tractor Dairy Farm Assurance Standards.
21. By agreeing to supply milk to a dairy purchaser member of the Red Tractor Dairy Farm Assurance Scheme, a milk producer shall be deemed to have agreed to be bound by these Rules and upon the issue of a valid certificate evidencing conformance to the Red Tractor Dairy Farm Assurance Standards, the milk producer shall become a milk producer member of the Red Tractor Dairy Farm Assurance Scheme. If the dairy purchaser membership of the dairy purchaser to whom a milk producer member supplies milk is suspended or terminated, the milk producer membership of the milk producer itself will also be suspended or terminated (as the case may be). If a dairy purchaser member has given notice to terminate its membership of the Red Tractor Dairy Farm Assurance Scheme in accordance with the Dairy Purchaser Membership Rules, each milk producer member supplying milk to that dairy purchaser member must (until such termination) continue to comply with these Rules and permit dairy Assessments to continue to be carried out.
22. Individual dairy farms which are both a milk producer and a milk processor may, on an exceptional basis and at RTA's absolute discretion, be accepted into membership of the Red Tractor Dairy Farm Assurance Scheme as both a milk producer member and a dairy purchaser member. Any such member (referred to as an "Independent Member") must comply with both these Rules and the Dairy Purchaser Membership Rules. If an Independent

Member's dairy purchaser membership is suspended or terminated in accordance with the Dairy Purchaser Membership Rules, the Independent Member's milk producer membership shall automatically be suspended or terminated (as appropriate). Similarly, if an Independent Member's milk producer membership is suspended or terminated in accordance with these Rules, the Independent Member's dairy purchaser membership shall automatically be suspended or terminated (as appropriate).

23. Cattle on dairy farms must also be beef assured (i.e. certification to the RTA beef Standards or to the beef assurance scheme in any relevant devolved region of the UK – see Rule 9). If you do not want your beef assurance to be assessed by the Certification Body which assesses your certification to the Red Tractor Dairy Farm Assurance Standards, you must, at the time of your dairy Assessment, demonstrate to the dairy assessor that your beef assurance is in place and commit to it being maintained.

## Initial Assessment and Certification

24. A full initial Assessment must be completed and you must conform to all the Standards (not including 'recommendations') before your certification can be progressed and your Membership confirmed.
25. To enable a full Assessment to take place you must grant the assessor access to (or take all steps necessary to facilitate the carrying out of a remote visual Assessment, such as via video-streaming and/or by uploading records and documents to the Red Tractor Portal, of):
- all parts of the holding, site, store or vehicle, key members of staff and records/documents to which he/she reasonably requests access;
  - all livestock and, where relevant, allow the assessor to carry out welfare outcome scoring.
26. Without prejudice to Rule 53.d, an assessor may refuse to carry out or finish an Assessment:
- if he/she believes the presence of a third party may, intentionally or otherwise, influence its outcome in an inappropriate manner;
  - if he/she feels threatened or that he/she has been subjected to abusive behaviour at any time during the visit; or
  - if the site is empty or non-operational.

27. If any of the Standards has not been met, then a non-conformance will be raised. Certification will be dependent upon you carrying out improvements to the satisfaction of the Certification Body and within the specified time period(s).

28. Certificates and, where applicable, stickers confirming certification status, only relate to the assessed holding(s) or site(s) and are not transferable to any other holding or site or to any other business or person. All such certificates and stickers remain the property of your Certification Body. Whilst certificates and stickers may be useful in confirming 'Red Tractor Assured' status, the only definitive proof of certification and 'Red Tractor Assured' status is the Scheme Member Checker database managed and operated by or on behalf of RTA.

## Membership Renewal

29. Your Membership must be renewed annually. Failure to renew within one month after an annual renewal date will result in your Membership being terminated. If you subsequently apply again to be a Member, you will be treated as a new applicant and a full initial Assessment will be required. In such a case, your Membership and certification will not be backdated.

## Material Changes

30. You must keep your Certification Body informed of any material changes to your operation (when compared to the operation as at the date of your most recent Assessment) which might affect your certification. Examples of such 'material changes' include:
- additional holdings or sites (e.g. crop storage facilities, livestock grazing);
  - a change in the person who manages on a day to day basis any Enterprise, holding, site store or vehicle within your certification;
  - additional commercial livestock vehicles;
  - the site becoming empty of livestock at any time;
  - the site becoming restocked; and/or
  - changes to the activity being carried out on the holding or site (e.g. a farm or haulier also operating as a collection centre, or a meat processor beginning to process new species such as pork or poultry).
31. If you are the subject of an event described in Rule 53.g, or if any action is taken which is likely to lead to such an event, you must inform your Certification Body immediately giving details of any person appointed (or proposed to be appointed) as receiver, liquidator, administrative receiver, administrator or other such officer pursuant to any such arrangement or related order.
32. If, where you are a company or limited liability partnership, one of your members or any other person (including any group company) with whom you are connected, is the subject of an event described in Rule 53g or if any action is taken which is likely to lead to such an event, in circumstances which could result in you being unable properly to perform your obligations as a Member under these Rules, you must inform your Certification Body immediately, giving details of any person appointed (or proposed to be appointed) as receiver, liquidator, administrative receiver, administrator or other such officer pursuant to any such arrangement or order.



33. When certified against the Red Tractor Fresh Produce Standard only, you may ask your Certification Body for a voluntary suspension of one, some or all of the crop types covered by the certification.

#### **Changing Certification Body**

34. You can change your Certification Body at any time, in accordance with Rules 35 to 38.
35. You must declare on your application to the proposed new Certification Body whether you have previously applied to become, or have been, or are currently, a Member. If that is the case, you must confirm the Certification Body to whom you applied, your previous Membership number and details of all sites previously assessed (as well as the CPH number and PRIMO/ Herd mark, where applicable).
36. Your proposed new Certification Body will request and be given access to your historical data and records from your existing Certification Body before confirming continued certification.
37. The proposed new Certification Body may reject your application to transfer if you have outstanding non-conformances still to be rectified or if any other previously imposed certification or Membership condition prevents the application from being accepted. In such a case, before any transfer takes place, you must clear non-conformances to the satisfaction of your existing Certification Body. Unless otherwise agreed in writing by RTA, any previously imposed conditions (e.g. more frequent or unannounced inspections) shall continue to apply to and may be enforced by the new Certification Body.
38. If your application to transfer is accepted by the new Certification Body, it will take effect immediately upon such acceptance being confirmed and you do not need to inform your former Certification Body of the transfer.

#### **Routine Assessments and Spot Checks**

39. You must allow your Certification Body's appointed assessors to carry out routine Assessments, revisits and spot checks, whether in person or remotely (whether via video streaming and/or review of documents and records uploaded to the Red Tractor Portal or otherwise) and where Assessments are requested to be carried out remotely you must take all reasonable steps necessary to enable remote Assessment to take place.
40. Each of RTA, your Certification Body and any third party duly authorised to act on behalf of either or both of them, has the right to carry out an Assessment or spot check at short notice or unannounced.
41. The assessor may be accompanied by an observer.
42. If any of the Standards are not met, a non-conformance will be raised. Continued certification will be dependent upon you carrying out improvements to the satisfaction of the Certification Body and within the time period(s) specified.

#### **Special Conditions of Certification**

43. RTA and your Certification Body shall each be entitled, at any time and each in its absolute discretion, to specify 'Special Conditions of Certification' for your Membership and/or continued certification. This may include:
- additional announced or, if so specified, unannounced Assessments or spot checks by the Certification Body over and above the normal routine Assessments, all such additional Assessments and spot checks being at your cost; and
  - obtaining evidence from a third party expert (nominated by RTA or the Certification Body and appointed at your cost) that the Standards are being met.

#### **Fees**

44. You must, on initial application and annually thereafter, pay to your Certification Body an annual Membership fee for each Enterprise being assessed. The annual Membership fee is made up of an amount equal to the annual participant fee(s) which RTA charges the Certification Body for each Enterprise assessed by it (and which your Certification Body charges on to you) and an amount to cover your Certification Body's own charges. Details of the annual participant fees and any other fees charged by RTA to Certification Bodies can be downloaded at: <https://assurance.redtractor.org.uk/who-we-are/how-we-are-funded>. Your Certification Body may change the annual Membership fee from time to time and will review the fee annually. Your Certification Body (or RTA) will notify you of any changes in the annual Membership fee.
45. You must pay any additional charges your Certification Body may impose for:
- visits to additional holdings/sites not close to the main holding or site;
  - visits to additional holdings/sites/vehicles notified to the Certification Body after any previous Assessment;
  - the assessor having to return, whether to complete an Assessment report where, through no fault of the assessor, it could not initially be completed in full, or to check that non-conformances have been rectified; and
  - any additional Assessments or spot checks required under any Special Conditions of Certification specified by RTA or your Certification Body, as contemplated in Rule 43.
46. For milk producer members, some fees may be met by your milk purchaser. You should contact your milk purchaser for further details.
47. You are responsible for any external third party fees required to meet the requirements of the Standards (for example, Quarterly Veterinary Reports

on farms certified to the RTA Pig Standards) and any Special Conditions of Certification specified under Rule 43.

48. You are responsible for any costs you incur in meeting the Standards and rectifying non-conformances.
49. If you fail to pay any fees required to be paid by you under these Rules, RTA or your Certification Body shall each be entitled to reject your Membership or renewal application or to suspend or withdraw certification for any relevant Enterprise(s).

#### **Suspending Certification**

50. Your Certification Body has the right to suspend your certification if:
- you unreasonably delay or refuse a routine Assessment, revisit or spot check;
  - circumstances on a relevant holding or site prevent the assessor from completing an Assessment in full;
  - major non-conformances (meaning for the purpose of these Rules a non-conformance to the Standards or breach of these Rules which is treated as a 'major' non-conformance by assessors at the time of the relevant Assessment);
  - an excessive number of non-conformances are found during an Assessment;
  - the same non-conformance is found on successive Assessment visits;
  - you fail to rectify any non-conformance within a specified timescale;
  - you fail to comply with these Rules or the Standards;
  - evidence which your Certification Body or RTA reasonably believes to be reliable is received from a third party, indicating that you are not conforming to the Standards to a material extent; or
  - being a milk producer member of the Red Tractor Dairy Farm Assurance Scheme, the dairy purchaser membership of that scheme of the dairy purchaser to whom you supply milk is suspended.

If your certification has been suspended and you do not take the necessary action to rectify any notified non-conformance(s) within 3 months of such suspension, your certification may be withdrawn with immediate effect by written notice served by your Certification Body, whereupon your Membership will be automatically terminated.

#### **Termination of Membership and Withdrawing Certification**

51. Each of RTA and your Certification Body may refuse applications or impose particular conditions for re-entry into the Scheme where an application relates to an Enterprise, business, holding, site, store and/or vehicle in respect of which certification has previously been withdrawn in accordance with these Rules (and even if all relevant non-conformances have been rectified).
52. RTA and the Certification Bodies will not accept a Membership or renewal application (including from a new applicant) if the application relates to an Enterprise, business, holding, site, store or vehicle in respect of which Membership or certification conditions or other restrictions or sanctions have been imposed under these Rules and remain outstanding or in place (as the case may be), unless it can be demonstrated to the satisfaction of RTA and the Certification Body that the Applicant Business is not connected to the Member subject to those conditions, restrictions or sanctions (other than being connected purely in terms of operating from the same holding, site, store or vehicle) and there are no other reasons for refusing such an application.
53. Each of your Certification Body and RTA may, in its absolute discretion, refuse an application for Membership, and/or your Certification Body may withdraw certification (whether for a particular Enterprise or for all Enterprises carried out by you) and/or RTA may, by written notice, immediately terminate your Membership:
- if you fail to comply with these Rules or the Standards;
  - if the Certification Body or RTA considers that it is necessary to do so to prevent RTA or the Scheme from being brought into disrepute;
  - if any act or omission by you or any of your Associates (i) has brought or may, in the reasonable opinion of the Certification Body or RTA, bring RTA or the Scheme into disrepute or (ii) has damaged or may, in the reasonable opinion of the Certification Body or RTA, damage the integrity of the Standards;
  - if, notwithstanding the rights under Rule 26.b, an assessor, employee or officer of the Certification Body or RTA feels threatened or that he has been subjected to abusive behaviour by you or any of your Associates;
  - if, without prejudice to Rules 53.a, b, c and d, a material breach by you of these Rules (including a major non-conformance to the Standards) which is not capable of being remedied has occurred or a material breach by you of these Rules (including a major non-conformance to the Standards) which is capable of remedy has not been remedied within 30 days (or such other period as RTA or your Certification Body notify you in the case of a major non-conformance of the Standards) after service of a written notice requiring it to be remedied;
  - if you are still categorised as high risk following two consecutive unannounced spot checks as a result of our risk based approach to inspections;
  - upon your voluntary or compulsory bankruptcy or liquidation, the



appointment of a receiver, liquidator, administrative receiver, administrator or other such officer over any of your assets, or your entry into any composition or arrangement with your creditors;

- h. if you are subject to a change of control ("control" being defined as in the Income and Corporation Taxes Act 1988) which, in the reasonable opinion of RTA or the Certification Body, is likely to have a detrimental effect on the integrity, goodwill or reputation of RTA, the Certification Body, the Standards or the Member Logos;
- i. in the event of an act of gross negligence or fraud on your part or the part of any of your Associates;
- j. if, after your certification has been suspended under Rule 50, you do not take the necessary action to rectify notified non-conformances within 3 months of such suspension;
- k. if you fail to pay any amount owing to RTA or your Certification Body under these Rules;
- l. if you, any of your Associates, any person involved in the day to day management of an Enterprise, holding, site, store or vehicle within your certification or any other person involved with livestock in relation to any such Enterprise, holding, site, store or vehicle, is banned from keeping livestock;
- m. if, being a milk producer member of the Red Tractor Dairy Farm Assurance Scheme, the dairy purchaser membership of that scheme of the dairy purchaser to whom you supply milk is terminated; or
- n. if RTA ceases to operate the Scheme.

For the avoidance of doubt, if your certification is withdrawn in respect of all relevant Enterprises, you shall automatically cease to be a Member.

#### Termination of Membership by Member

54. You may give notice in writing to terminate your Membership in the event of the voluntary or compulsory winding-up or liquidation of RTA, the appointment of a receiver, liquidator, administrative receiver, administrator or other such officer over any of the assets of RTA, or RTA entering into any composition or arrangement with its creditors.
55. You may at any time give notice in writing immediately to terminate your Membership. For the avoidance of doubt, this Rule 55 does not apply to milk producer members of the Red Tractor Dairy Farm Assurance Scheme.

#### Indemnity and Inadequacy of Damages

56. You undertake to indemnify RTA and your Certification Body against all liabilities, costs, expenses, damages or losses (including any direct or indirect loss of profit, loss of business, loss of goodwill, loss of reputation or consequential loss, and all interest, penalties and legal and other professional costs and expenses) suffered or incurred by RTA or your Certification Body arising out of or in connection with any event or circumstance referred to in Rules 53.a to 53.m (inclusive) or any other breach by you of these Rules.
57. Without prejudice to any other rights or remedies that RTA or the Certification Body may have, you acknowledge and agree that damages alone may not be an adequate remedy for any breach by you of these Rules. Accordingly, RTA and the Certification Body shall be entitled, without proof of special damages, to the remedies of injunction, specific performance or other equitable relief for any threatened or actual breach of these Rules.

#### Prosecutions, Regulatory Sanctions and Third Party Evidence

58. You must notify your Certification Body of any prosecution that has at any time been brought or is or is likely to be brought against you or any of your Associates, or in relation to any Enterprise, business, site, holding, store or vehicle owned or occupied by you or any of your Associates or referred to in a Membership or renewal application, which relates to any issues covered in the Standards, including food safety, product traceability, animal health, animal welfare, animal identification and movements, veterinary medicine records, trade description, animal transport, environmental legislation or relevant consumer protection legislation.
59. For the purpose of Rule 58, 'prosecution' shall include, in respect of farms, any penalty relating to Cross-Compliance requirements that directly relates to issues covered in the Standards.
60. You will be asked to sign a declaration relating to prosecutions and penalties in the initial Membership application form, renewal forms and other Scheme documents. Any information relating to such matters received by RTA or your Certification Body will be investigated and appropriate action taken.

#### Confidentiality and Data Protection

61. Your details will be treated in confidence save as set out below, and your personal data will be treated in accordance with the terms of our Privacy Policy. RTA and your Certification Body may however provide to any third parties who have a legitimate interest in knowing the same (including your customers and suppliers), details of your certification status (being full, suspended, withdrawn or a non-member), the date of your last Assessment, your certification expiry date and your certification renewal date. This information may be made available through the on-line Scheme Member Checker and lists of certified, suspended and/or withdrawn Members may be published by RTA from time to time.
62. If a matter arises which is or could constitute or lead to an infringement of any laws or regulations relating to the scope of Red Tractor either (a) by you or any of your Associates or (b) which is connected directly or indirectly

to you, your Membership or any Enterprise, you agree that any relevant regulatory or administrative body or agency, including the Food Standards Agency, the National Food Crime Unit, the Animal and Plant Health Agency, Local Authorities, the Rural Payments Agency, the Environment Agency, Natural England, any equivalent bodies in devolved regions of the UK and any of their respective successor bodies or agencies and any third party acting in good faith on their behalf or in their interests, shall be entitled to provide to RTA and/or your Certification Body any reports or documentation produced by such body, agency or third party in respect of the relevant matter (whether or not requested by RTA or your Certification Body) and that each of RTA and your Certification Body may request such reports and documentation from such bodies, agencies and third parties. Each such body, agency and third party shall be entitled to rely on your consent under this Rule 62 to the disclosure of such reports and documentation to RTA and/or your Certification Body.

63. Without limiting Rules 61 and 62, each of RTA and your Certification Body may transfer data and information about your certification and Membership to their respective successors, any transferee(s) of their respective businesses and any new operator(s) of all or part of the Scheme, provided such transferee(s) shall have the same rights and obligations with regard to such data and information as the relevant transferor(s).
64. RTA shall be entitled to produce and publish statistical reports drawing upon aggregated Scheme data, provided that individual performance data cannot be traced back to you.
65. Membership data may be retained on RTA's databases (subject always to the provisions of Rules 61 to 64) for ten years after you have ceased to be a Member (or such longer period as RTA reasonably considers necessary to enable it effectively to monitor trends in membership and performance).
66. RTA is entitled to receive copies of Assessment reports from your Certification Body.
67. In exceptional circumstances, where an assessor comes across evidence of an immediate and significant risk of unacceptable animal welfare practices, food contamination or environmental pollution, RTA and your Certification Body may each immediately notify any competent authorities, notwithstanding any other provision of these Rules or any other agreement you may have with either RTA or your Certification Body.

#### Member Logos

68. Using the Member Logos: For so long as you are a Member, you are entitled to indicate that you hold a certificate of conformity to the relevant Standards and, for that purpose only, you may refer to your operations (but only insofar as they are covered by your certificate of conformity) as 'Red Tractor Assured' and (subject always to Rules 69 to 73) use the appropriate Member Logo(s) on stationery and publicity materials (including on your website) provided that you follow all directions on the use of the Member Logos given from time to time by RTA or set out on the RTA Website at <https://assurance.redtractor.org.uk/standards/member-rules>. You agree to observe all such directions.
69. Farm Shops, Farmers Markets and food/drink product sales via all other channels, such as meat/vegetable/fruit box schemes, including online sales and use of Red Tractor supplied marketing materials: Subject always to Rule 70, if you sell your own Red Tractor Assured meat, fruit or vegetable food or drink products to the public, whether through your own farm shop, or at farmers markets or other events, or via any other channels, including online sales of meat/vegetable/fruit boxes via your website/apps, you are, for so long as you are a Member, allowed to use the appropriate Member Logo(s) in your shop, or on your market/fair stall, or within the content of your websites/apps for online sales which describes your Red Tractor Assured farm operations only and provided always that:
  - a. the relevant Member Logo(s) are only used in your own farm shop or on such stall in relation to Red Tractor Assured meat, fruit and vegetable food or drink products of your own farm and no other products (and the Member Logo(s) must be positioned carefully so that the public is not misled into thinking that those other products are Red Tractor Assured);
  - b. Member Logo(s) used in your website/apps are only used to describe your Red Tractor Assured farm operations and are not used to describe any products or displayed next to or in connection any product or price lists;
  - c. you follow all directions on the use of the Member Logos which may from time to time be given by RTA or set out on the RTA Website at <https://assurance.redtractor.org.uk/contentfiles/files/SchemeLogoRules.pdf>;
  - d. if you are a milk producer member and sell raw milk to the public, you may not use the Member Logo denoting your membership of the Red Tractor Dairy Farm Assurance Scheme (or use any other version of the Red Tractor logo or make any Red Tractor Assurance Claim) in any way whatsoever (including in relation to any marketing materials, whether your own or those supplied by RTA); and
  - e. if you are milk producer member and do not sell raw milk to the public, provided you comply with Rule 68, you may use the Member Logo denoting your membership of the Red Tractor Dairy Farm Assurance Scheme on your stationery and publicity materials (including on your website).



In addition, for so long as you are a Member (other than a milk producer who sells raw milk to the public) you may use marketing materials supplied by RTA to help promote the Scheme provided that you not do so in a way which might mislead the public in relation to the scope of your Red Tractor Assured products or activities or in a way which ties such materials to actual products.

70. Restriction on using the Member Logos or Red Tractor logo on food products, including on product packaging (including any meat/vegetable/fruit boxes or milk cartons or bottles): You may not use or print any Member Logos or any other version of the Red Tractor logo on, or apply any such logo or a Red Tractor Assurance Claim to, food packs (including any packaging such as meat/vegetable/fruit boxes, milk cartons or bottles) or use any such logo or make a Red Tractor Assurance Claim in connection with the sale of food or drink products (including online sales) unless you have a processors and packers licence issued by RTA. To apply for a processors and packers licence, go to <https://trade.redtractor.org.uk/apply-for-a-red-tractor-license/>.
71. The rights to use Member Logos under Rules 68 and 69 are limited to using the entire designation and in an identical form or forms to that or those directed by RTA from time to time. These rights are personal to you as a Member and may not be assigned, transferred or sub-licensed to any other person.
72. As a Member, you shall not use (or authorise or license others to use) the Member Logos and/or the Red Tractor logo or name in any way other than as expressly permitted in these Rules (or in a processors and packers licence granted to you) and you shall not use or authorise or license any other person to use any name, mark, sign or device which is or could reasonably be regarded as similar to the Member Logos and/or the Red Tractor logo or name; nor shall you file or cause to be filed any application for any trade mark or certification mark which is or could reasonably be regarded as similar to the Member Logos and/or the Red Tractor logo; nor shall you register or attempt to register any company in a name which is or could reasonably be regarded as similar to any of the names 'Red Tractor', 'Red Tractor Assurance', 'Red Tractor Assured', 'RTA', 'Assured Food Standards' or 'AFS'. You will not oppose or cause any oppositions to be filed to any trade mark or certification mark applications filed by or on behalf of RTA, nor object to or take any adverse action in respect of any of RTA's trade mark or certification mark registrations; nor will you register or attempt to register the Member Logos and/or the Red Tractor Logo or name, or any name, mark, sign, or device which is or could reasonably be regarded as similar to the Member Logos and/or the Red Tractor logo or name, anywhere in the world or otherwise cause any question to be raised concerning RTA's ownership of the Member Logos or the Red Tractor logo or name, or the validity or enforceability of such rights; nor will you do or say anything that could damage the goodwill and/or reputation of RTA, the Scheme Logos or the Red Tractor logo.
73. Your right to use any Member Logo and/or the Red Tractor name in accordance with these Rules:
  - a. may be terminated by RTA on one month's written notice;
  - b. may be terminated by RTA immediately on written notice if you fail to observe the provisions of these Rules or the directions of RTA with regards to the use of such logos;
  - c. will automatically terminate in so far as use of such logos on products is concerned if and for so long as your certification has been suspended; and
  - d. will automatically terminate if your certification has been withdrawn or your Membership is terminated for any reason or has expired (and is not renewed in accordance with Rule 29).

#### Limitation of Liability

74. Nothing in these Rules shall limit or exclude the liability of RTA or any Certification Body or any of their respective officers, employees, agents or subcontractors for (a) death or personal injury caused by the negligence of any such person; or (b) fraud or fraudulent misrepresentation.
75. Subject to Rule 74:
  - a. neither RTA nor any Certification Body, nor any of their respective officers, employees, agents or subcontractors, shall under any circumstances be liable, whether in contract, tort (including negligence), breach of statutory duty or otherwise, for any loss of profit, loss caused by business interruption, or any indirect or consequential loss suffered or incurred by a Member and arising under or in connection with the Scheme (including in relation to the administration of the Scheme, the carrying out of Assessments, any rejection of a Membership or renewal application, any suspension or withdrawal of certification or any termination of Membership);
  - b. neither RTA nor any Certification Body, nor any of their respective officers, employees, agents or subcontractors, shall under any circumstances be liable, whether in contract, tort (including negligence), breach of statutory duty, or otherwise, for any losses, liabilities, damages, charges, costs or expenses of whatever nature, suffered or incurred by a milk producer member as a result of or in connection with the purchaser of that milk producer member's milk having its dairy purchaser membership of the Red Tractor Dairy Farm

Assurance Scheme suspended or terminated in accordance with the Dairy Purchaser Membership Rules;

- c. the total liability to any Member of RTA and its officers, employees and agents in respect of all losses, liabilities, damages, charges, costs or expenses of whatever nature, suffered or incurred by that Member and arising under or in connection with the Scheme (including in respect of the administration of the Scheme, the carrying out of Assessments, any rejection of a Membership or renewal application, any suspension or withdrawal of certification or any termination of Membership), and whether in contract, tort (including negligence), breach of statutory duty or otherwise, shall not exceed £300,000 in aggregate in respect of all and any such claims arising in any period of 12 months ending on 31 March (provided that for this purpose a claim will be deemed to have arisen on the date on which the event, act or omission giving rise to such losses, liabilities, damages, charges, costs or expenses occurred); and
  - d. you shall not be able to recover from both RTA and your Certification Body for the same loss.
76. RTA is not a party to the contract you must enter with your Certification Body to govern its Assessment of your conformance (or non-conformance) to the Standards. Subject to Rule 74, neither RTA nor any of its officers, employees or agents shall under any circumstances be liable, whether in contract, tort (including negligence), breach of statutory duty or otherwise, for any acts or omissions of your Certification Body or its assessors or other agents in connection with that contract or the services proposed to be carried out under it by your Certification Body.
  77. The Member shall not be entitled (whether under these Rules and/or in respect of any other membership or licence the Member may have with RTA) to recover damages, or obtain payment, reimbursement, restitution or indemnity more than once in respect of the same loss, shortfall, damage, deficiency, breach or other event or circumstance.

#### Variation of Rules and Standards

78. RTA shall be entitled at any time to change and update the Standards and these Rules. You will be given notice of any the specific changes made to the Standards and when they will come into effect. When changes are made to the Rules, we will give you notice of that fact and confirm in such notice when the amended Rules will come into effect and how you can view and download or otherwise obtain the amended Rules. RTA and each Certification Body shall each be entitled at any time to change its operating procedures where, in its absolute discretion, it considers it necessary to do so. You will be given advance written notice of any such changes to operating procedures and of when they will come into effect.

#### Force Majeure

79. RTA shall not be liable to a Member if any delay or failure by RTA or its employees, officers, agents or independent contractors to perform their obligations under these Rules or any related agreement is the result of a Force Majeure Event. For the purpose of this Rule, 'Force Majeure Event' means an event beyond the reasonable control of RTA (or its employees, officers, agents or independent contractors) including acts of God, flood, drought, earthquake or other natural disaster, epidemic or pandemic, terrorist attack, civil war, civil commotion or riots, war, threat of or preparation for war, armed conflict, nuclear, chemical or biological contamination or sonic boom, any law or any action taken by a government, local or public authority, collapse of buildings, fire, explosion or accident, interruption or failure of a utility service.

#### No Waiver

80. A waiver of any right of RTA under these Rules is only effective if it is in writing and shall not be deemed to be a waiver of any subsequent breach or default. No failure or delay by RTA in exercising any right or remedy under these Rules or by law shall constitute a waiver of that or any other right or remedy, nor preclude or restrict its further exercise. No single or partial exercise of such right or remedy shall preclude or restrict the further exercise of that or any other right or remedy.

#### Notices

81. A notice given under or in connection with these Rules shall be in writing and:
  - (a) in the case of a notice to RTA, sent by email to [Memberhelp@redtractor.org.uk](mailto:Memberhelp@redtractor.org.uk) or by first class post to RTA's registered office from time to time; and
  - (b) in the case of a notice to the Member, sent by email or first class post to the email or postal address set out in the Membership or renewal application (or such replacement email or postal address as may subsequently have been notified in writing to RTA) and, in the absence of any such addresses, by post to its registered office (in the case of a company) or last known business address in any other case.
82. A notice shall be deemed to be delivered by 9.00am on the second business day (excluding weekends and bank holidays) after posting in the case of first class post and on sending in the case of email.



### Complaints and Appeal Procedure

83. If you wish to raise a formal complaint (such as a formal expression of dissatisfaction about RTA's personnel, services, decisions, contractors or the services of your Certification Body), you should supply details of the complaint and evidence supporting it in accordance with RTA's complaints procedure, a copy of which will be provided upon request (provided that where your complaint relates to an RTA decision or to the outcome of any appeal to your Certification Body your complaint must be sent to RTA within 14 days after the date of the RTA decision or (as the case may be) within 14 days after you have been notified of the outcome of the appeal to your Certification Body).
84. If you are not satisfied with the way your application, Assessment or any certification decision has been conducted, you may lodge an appeal in writing with your Certification Body within such period as your Certification Body may stipulate from time to time. All such appeals will be investigated and dealt with in accordance with the Certification Body's appeal procedure or, if so directed, RTA's appeal procedure. Copies of the relevant appeal procedure will be provided by your Certification Body (or RTA as appropriate) upon request.
85. Decisions taken by RTA to terminate your membership at any time are subject to a right to appeal in accordance with RTA's appeal procedure (which requires you to appeal within 14 days after the date of the RTA decision). Copies of the RTA appeal procedure will be provided by RTA upon request.

### Entire Agreement, Third Party Rights and Governing Law

86. These Rules and the documents specifically referred to in these Rules as being available via the RTA Website (including the Standards) represent the entire understanding between you and RTA in relation to your Membership. You acknowledge that you have not relied upon any statement from RTA (written or oral) which is not contained in these Rules (or such documents) in applying to be a Member or renewing your Membership.
87. Subject to the rights of the bodies, agencies and third parties referred to in Rule 62 and to the rights of Certification Bodies as referred to in Rule 88, these Rules are not intended to benefit, or be enforceable by, anyone other than RTA and each Member.
88. Where a Certification Body is referred to in these Rules, the relevant Certification Body shall be able to enforce the rights expressly or impliedly ascribed to it to the fullest extent permitted by law. Furthermore, any successor to RTA (or any transferee of the business of RTA or of RTA's rights under and in relation to the Scheme) shall be entitled to enforce RTA's rights under these Rules and any successor to your Certification Body (or any transferee of the business of your Certification Body) shall be entitled to enforce your Certification Body's rights under these Rules.
89. These Rules and any disputes or claims arising out of or in connection with their subject matter or formation are governed by and shall be construed in accordance with English law. The courts of England have exclusive jurisdiction to settle any dispute or claim that arises out of or in connection with these Rules or their subject matter or formation.





# Standing together for British agriculture

Our standards start with the consumer.  
We monitor what they value the most  
about their food and understand what  
they expect from farmers.

These values are translated in to practical  
on-farm standards so Red Tractor farmers  
can demonstrate they are producing what  
consumers want.



# Certification Bodies

Your routine point of contact with the Scheme is through your Certification Body.

Certification Bodies are licensed by Red Tractor to manage membership applications and to carry out assessment and certification against the Standards. The table below shows which Certification Bodies apply to each enterprise.

Certification Body	Beef and Lamb	Dairy	Combinable Crops and Sugar Beet	Fresh Produce	Pigs	Poultry		
						Chickens	Turkey	Duck
NSF	✓	✓	✓	✓	✓	✓		
SAI Global	✓	✓	✓	✓		✓	✓	✓
Lloyd's Register	✓	✓	✓	✓	✓			
NIFCC (Northern Ireland)		✓				✓		
QWFC (Wales)		✓						



## NSF Certification

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## Lloyd's Register

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## NIFCC [Northern Ireland]

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