

Memorandum of Understanding for Earned Recognition

Between:

**The Food Standards Agency
and
Assured Food Standards trading as Red
Tractor Assurance**

Agreement start: April 2024

Review due: April 2025

Version: 2.0



Table of Contents

1. Purpose.....	3
2. Scope.....	3
3. Background to Earned Recognition.....	3
4. Overview of the Parties Concerned	5
5. General Principles of Collaboration between the FSA and RTA	6
6. Governance	7
7. Roles and Responsibilities – The Food Standards Agency.....	8
8. Roles and Responsibilities – Red Tractor Assurance	10
9. Application of this MoU	11
Annex A - Assurance schemes recognised under this MoU as qualifying for Earned Recognition	13
Annex B – Legislation Coverage	14
Annex C – Criteria for Earned Recognition	17
Annex D - FSA Governance of Earned Recognition	23
Annex E - Data management.....	26
Annex F – Contact Details	29
Glossary of Terms and Abbreviations	30

This Memorandum of Understanding (MoU) is an agreement between the following organisations:

- a) The Food Standards Agency (FSA) of Foss House, Kings Pool, 1-2 Peasholme Green, York, YO1 7PR.
- b) Assured Food Standards, trading as Red Tractor Assurance (RTA), 20 St Dunstan's Hill, London, EC3R 8HL

1. Purpose

This MoU seeks to set-out the general principles of collaboration, cooperation, roles and responsibilities that support the approach to Earned Recognition (ER) between the FSA and RTA.

2. Scope

The scope of Earned Recognition applies to:

- Animal Feed
- Dairy Hygiene
- Food Hygiene at the level of Primary Production

The RTA schemes approved to qualify for Earned Recognition are detailed in Annex A.

3. Background to Earned Recognition

Feed and food businesses are responsible for ensuring that the production and use of feed and food satisfies the requirements of the law detailed in Annex B.

Regulation 2017/625 lays down the rules for the performance of official controls and official control activities in respect of food, feed and animal health and welfare. Article 9 (1) (d) of Regulation 2017/625 refers to the reliability and

results of own controls that have been performed by the operators, or by a third party at their request, including, where appropriate, private quality assurance schemes, for the purpose of ascertaining compliance with the rules.

There are flexibilities that allow a reduced inspection frequency (Earned Recognition) for compliant businesses who are members of FSA approved assurance schemes. By recognising their track record of compliance, Earned Recognition aims to reduce the burden of official controls on compliant businesses that meet specific standards and criteria. This has an additional benefit of freeing up resources within enforcing authorities to concentrate on higher risk and less compliant businesses. Those who qualify for Earned Recognition through FSA approved assurance are able to benefit by receiving less frequent inspections from their enforcement authority.

When an assurance scheme is approved for Earned Recognition, compliant members of that scheme are able to benefit from a reduced frequency of official controls on the basis that they are taking positive action to reduce risks and comply with legislative requirements, verified through a third-party certification process.

For food businesses operating at the level of primary production, the Food Law Code of Practice enables enforcement authorities to make the best use of evidence available when prioritising and considering whether an inspection is necessary, including membership of an approved assurance scheme.

For feed businesses, the Feed Law Code of Practice enables enforcement authorities to reduce inspection frequencies providing the business has a satisfactory level of current compliance and is a member of an approved assurance scheme.

Earned Recognition through FSA Approved Assurance status, can be awarded by the demonstration of the assurance scheme's compliance with the 'Criteria for

Earned Recognition', as set out in Annex C. This process examines the governance of the scheme, checks that the scheme standards reflect legislative requirements for the sector under consideration, and that the certification process is robust and impartial.

4. Overview of the Parties Concerned

Food Standards Agency

The FSA is a non-Ministerial government department responsible for food and feed safety and other interests of consumers in relation to food and feed. The FSA is the Competent Authority responsible for ensuring the delivery of official feed and food law controls in England, Wales and Northern Ireland.

Official controls are delivered by a range of enforcement authorities in the UK. In England and Wales, these include the FSA operations and local authorities. In Northern Ireland, official controls are delivered by district councils and DAERA (Department of Agriculture, Environment and Rural Affairs) on behalf of the FSA.

Red Tractor Assurance

RTA is a food and farm standards assurance scheme covering all areas of domestic food production (except fish and eggs) from food safety and traceability to animal welfare and environmental protection. The RTA logo and claim can be applied to products to show that the product has been produced, processed, handled and packed by businesses in that supply chain and have met RTA standards and that products are fully traceable back to independently inspected farms.

RTA's administrative costs are met by assurance fees and licence payments from farmers and food companies. RTA is owned by the food industry, including the National Farmers' Union (England & Wales), the Ulster Farmers' Union, the National Farmers Union of Scotland, the Agriculture and Horticulture

Development Board, Dairy UK and the British Retail Consortium. The Food and Drink Federation also provides input. RTA operates independently on a not-for-profit basis, with an independent chair. This ensures that no one organisation or sector in the food chain has undue influence.

The RTA Board is drawn from key representatives from across the food supply chain that it serves. The Board also includes independent experts – prominent academics and specialist scientists, plus experts representing consumers, veterinary science and the environment.

To become a member of RTA, farmers must be certified to the RTA scheme standards. Conformance is verified by independent third-party Certification Bodies in accordance with rules set by RTA. The earned recognition criteria require Certification Bodies to be accredited by the United Kingdom Accreditation Service (UKAS) to ISO/IEC 17065. Cattle and sheep farms are assessed every 18 months and all other types of enterprise every year, taking account of seasonal variations.

5. General Principles of Collaboration between the FSA and RTA

The FSA and RTA agree to adopt the following principles when implementing this MoU to ensure food is safe and is what it says it is:

- Maintain high standards for food and feed safety in accordance with the law
- Share information to develop effective working practices.
- Work collaboratively to eliminate duplication of effort, mitigate risk and reduce cost.
- Act in a timely manner.
- Coordinate communications in relation to Earned Recognition and ensure the details in Annex F are kept up to date.

- Ensure resources and systems are put in place to fulfil the responsibilities set out in this MoU, and;
- Support the purpose and effective implementation of the objectives of the MoU.

6. Governance

This MoU is not legally binding. The MoU does not confer any legally enforceable rights on the parties, nor does it subject the parties to any legally enforceable obligations.

This MoU does not create any legal partnership between the parties, nor constitute the parties as agents of each other for any purpose. No party has authority to bind the other to take or refrain from taking any action, and each party hereby undertakes with the other not to hold itself out to any third party as having the authority to so bind the other.

The FSA and RTA are jointly responsible for the development and support of governance systems as detailed in Annex C, D, E and F.

If there is any dispute arising out of or in connection with this MoU, the concerned parties shall try to settle it amicably in the first instance. In the event resolution is not reached, the dispute shall be referred to:

- FSA – <https://www.food.gov.uk/about-us/our-complaints-policy>
- RTA – <https://redtractorassurance.org.uk/complaints-procedure/>

The MoU is a voluntary arrangement. However, if RTA fails to meet the Earned Recognition criteria, in the first instance the FSA will work with them on an action plan to return to compliance. Should this fail to return the scheme to compliance, however, the FSA may withdraw Approved Assurance status and therefore the policy of Earned Recognition would no longer apply. Should the

FSA remove 'Approved Assurance' status, it will liaise with RTA and the relevant bodies representing enforcement authorities.

This MoU shall commence on the date it is agreed and, unless terminated, shall continue, subject to annual review.

7. Roles and Responsibilities – The Food Standards Agency

The FSA is responsible for assessing and approving a scheme for Earned Recognition. The FSA will assess the scheme against 'Criteria for Earned Recognition' (see Annex C). The FSA will work with RTA to document compliance with FSA requirements and together drive forward continuous improvements if required. The four key areas of assessment focus on:

- governance,
- scheme standards
- the certification process
- monitoring / review processes

When the FSA is satisfied that the scheme meets the approval criteria for ER, it will be approved and recognised as an FSA Approved Assurance scheme. Enforcement authorities will be informed of the arrangements.

The FSA will be responsible for verifying ongoing compliance with the 'Criteria for Earned Recognition'.

The primary responsibilities of the FSA in relation to Earned Recognition are to:

- administer the MoU with the parties concerned to formally agree approved status, roles and responsibilities.
- evaluate evidence supplied by RTA to determine whether it continues to meet the 'Criteria for Earned Recognition'.

- comply with applicable laws and standards, including relevant procurement rules.
- organise meetings and exchange of management data with the assurance scheme in line with Annexes D and E. Review this data and discuss the performance of the scheme.
- process and exchange information with RTA in a timely manner, adhering to the requirements of the Data Protection Act 2018 (DPA), UK General Data Protection Regulation (UK GDPR), Freedom of Information Act 2000 (FOI), the Environmental Information Regulations 2004 (EIR), and the FSAs appropriate exercise of its powers pursuant to section 19 of the Food Standards Act 1999.
- ensure RTA information is held under appropriate security safeguards, and where no other obligations or duties apply.
- ensure that data is shared in accordance with the accompanying 'Data Sharing Agreement' and data sharing restrictions are observed where applicable.
- notify the RTA of any changes to legislation or guidance relevant to the assurance schemes covered by this MOU
- adhere to all statutory requirements and best practice (including any relevant Governmental protocols such as the Ministerial and Civil Service Codes and the Security Policy Framework <http://www.cabinetoffice.gov.uk/resource-library/security-policy-framework>);
- notify the RTA, if FSA become aware of enforcement action relating to scheme members which results in prosecution.
- work with RTA to continually improve the ER process and where necessary, subject to legislative restrictions, share information that supports this.
- work with other government departments to promote, where possible, a joint approach to ER.
- work with enforcement authorities to ensure:

- the consistent application of the Earned Recognition process.
- a proportion of businesses with Earned Recognition are inspected (taking account of any frequencies set out in the Food and/or Feed Code of Practice).
- that when Earned Recognition is removed from a business, enforcement authorities report their findings to the FSA.
- that where authorities report removal of Earned Recognition to FSA, that information is forwarded to RTA.

8. Roles and Responsibilities – Red Tractor Assurance

The primary responsibilities of RTA in relation to ER are to:

- ensure contracted Certification Bodies (CBs) provide a sufficient number of suitably qualified and experienced assessors so that assessments can be performed efficiently and effectively.
- ensure approved schemes remain compliant with the 'Criteria for Earned Recognition' as set out in Annex C.
- notify the FSA of any proposed changes to the operation and management of the approved scheme that impacts on any of the criteria detailed in Annex C prior to implementation.
- ensure documents containing the mapping of the scheme standards against legislative requirements are kept up to date, with revised copies sent to the FSA.
- ensure the FSA are aware of any proposed changes to scheme standards before commencing a stakeholder consultation and that any final changes to the scheme have been mapped to relevant legislation and validated by the FSA in advance of the new version of the scheme standard being published.
- provide and update the FSA with contact details relating to the Certification Bodies contracted to carry out scheme assessments.
- work with the FSA to continually improve the Earned Recognition process.

- ensure management data is provided to support the Earned Recognition process, as specified in Annexes D and E
- support the process of meetings with the FSA, as detailed in Annex D
- subject to the requirements of the DPA, UK GDPR, FOI and the EIR, ensure information supplied by FSA is stored securely, access is restricted and is not processed outside of the Data Sharing Agreement.
- ensure that members are supplied with a privacy notice compliant with the UKGDPR, which includes notification that information will be shared with the FSA for the purposes of this MoU.
- notify the FSA and appropriate enforcement authorities of matters in relation to their remit immediately, when a certification body becomes aware of a serious threat to public health or animal health, any situation where there is an immediate and significant risk of unacceptable animal welfare practices, food/feed contamination, environmental pollution, or any unlawful or fraudulent practices. RTA is to provide the FSA and the relevant enforcement authority with the specific details of such non-compliance including name, address and assessment report to facilitate any remedial action and enforcement.
- follow up exception reports in a timely manner. Conduct an immediate risk assessment of the reported non-compliances, before providing an interim response and rationale for proposed action to the FSA. Outcomes of subsequent investigations and follow up visits should be provided to the FSA within 7 working days.
- inform the FSA immediately if a Certification Body loses their UKAS accreditation.
- keep abreast of any changes to legislation or guidance relevant to the assurance schemes covered by this MoU.
- ensure the details in Annex F are kept up to date.

9. Application of this MoU

The enforcement of legislation identified in Annex B of this MoU extends to England, Wales, and Northern Ireland.

Memorandum of Understanding between the Food Standards Agency and Red Tractor Assurance in relation to Earned Recognition for feed/dairy/food hygiene at the level of primary production.

The Food Standards Agency agrees and accepts the roles and responsibilities and principles as detailed in this MoU in relation to the approved assurance schemes listed in Annex A.	Red Tractor Assurance agrees and accepts the roles and responsibilities and principles as detailed in this MoU in relation to working with the FSA in relation to attaining approved status for its schemes listed in Annex A.
On behalf of FSA	On behalf of RTA
Rebecca Kirk, Head of Regulatory Compliance Division	Jim Moseley, Chief Executive Officer
Signature <i>Rebecca Kirk</i>	Signature <i>J Moseley</i>
Date 15th April 2024	Date

Annex A - Assurance schemes recognised under this MoU as qualifying for Earned Recognition

This MoU recognises the following RTA schemes for Earned Recognition within FSA's remit as detailed below:

- Beef & Lamb
- Dairy
- Crops and Sugar Beet
- Pigs
- Chicken
- Fresh Produce

Annex B – Legislation Coverage

The following legislation is covered by the MoU and any relevant amendments to them. Unless stated otherwise, regulatory references for England & Wales below refer to assimilated law.

England and Wales:

- Regulation (EC) No 625/2017 of the European Parliament and of the Council on official controls and other official activities performed to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products, etc.
- Regulation (EC) No 178/2002 of the European Parliament and of the Council laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety.
- Regulation (EC) No 183/2005 of the European Parliament and of the Council laying down requirements for feed hygiene.
- Regulation (EC) No 767/2009 of the European Parliament and of the Council on the placing on the market and use of feed.
- Regulation (EC) No 1829/2003 of the European Parliament and of the Council on genetically modified food and feed.
- Regulation (EC) No 1830/2003 concerning the traceability and labelling of genetically modified organisms and the traceability of food and feed products produced from genetically modified organisms.
- Regulation (EC) No 1831/2003 of the European Parliament and of the Council on additives for use in animal nutrition.
- Directive 2002/32/EC of the European Council and of the Council of 7 May 2002 on undesirable substances in animal feed.
- Regulation (EU) No 225/2012 amending Annex II to Regulation (EC) No 183/2005 of the European Parliament and of the Council as regards the approval of establishments placing on the market, for feed use, products derived from vegetable oils and blended fats and as regards the specific requirements for

production, storage, transport and dioxin testing of oils, fats and products derived thereof.

- The Animal Feed (Composition, Marketing & Use) (England) Regulations 2015
- The Animal Feed (Composition, Marketing & Use) (Wales) Regulations 2016
- Regulation (EC) No 852/2004 of the European Parliament and of the Council on the hygiene of foodstuffs.
- Regulation (EC) No 853/2004 of the European Parliament and of the Council laying down specific hygiene rules for food of animal origin.
- Regulation (EU) 1375/2015 laying down specific rules on official controls for *Trichinella* in meat.

Northern Ireland:

- Regulation (EU) 625/2017 of the European Parliament and of the Council of 15 March 2017 on official controls and other official activities performed to ensure the application of food and feed law, rules on animal health and welfare, plant health and plant protection products.
- Regulation (EC) No 178/2002 of the European Parliament and of the Council of 28 January 2002 laying down the general principles and requirements of food law, establishing the European Food Safety Authority and laying down procedures in matters of food safety.
- Regulation (EC) No 183/2005 of the European Parliament and of the Council of 12 January 2005 laying down requirements for feed hygiene.
- Regulation (EC) No 767/2009 of the European Parliament and of the Council of 13 July 2009 on the placing on the market and use of feed.
- Regulation (EC) No 1829/2003 of the European Parliament and of the Council of 22 September 2003 on genetically modified food and feed.
- Regulation (EC) No 1830/2003 of the European Parliament and of the Council of 22 September 2003 concerning the traceability and labelling of genetically modified organisms and the traceability of food and feed products produced from genetically modified organisms.

- Regulation (EC) No 1831/2003 of the European Parliament and of the Council of 22 September 2003 on additives for use in animal nutrition.
- Directive 2002/32/EC of the European Council and of the Council of 7 May 2002 on undesirable substances in animal feed.
- Regulation (EU) No 225/2012 amending Annex II to Regulation (EC) No 1831/2003 of the European Parliament and of the Council as regards the approval of establishments placing on the market, for feed use, products derived from vegetable oils and blended fats and as regards the specific requirements for production, storage, transport and dioxin testing of oils, fats and products derived thereof.
- Regulation (EC) No 853/2004 of the European Parliament and of the Council of 29 April 2004 on the hygiene of foodstuffs.
- Regulation (EC) No 853/2004 of the European Parliament and of the Council of 29 April 2004 laying down specific hygiene rules for food of animal origin.
- Regulation (EU) 1375/2015 of 10 August 2015 laying down specific rules on official controls for *Trichinella* in meat.

Annex C – Criteria for Earned Recognition

Criteria for Earned Recognition

1.0 Standard Setting

1.1 The industry scheme and its standards must cover applicable legislative requirements for the sector it covers, and include the following aspects of governance surrounding the establishment and setting of standards:

- a) **Governance:** The role and governance of the standard setting body should be clearly defined within the scheme and include representatives of all relevant stakeholders.
- b) **Standards:** There should be clearly defined processes for developing and reviewing scheme standards, with access to expertise and experience in relation to the sector to which the standards relate.
- c) **Legislation:** Processes should be in place to ensure standards are developed, mapped to the relevant requirements of legislation listed above in Annex B and where relevant, are reviewed in line with legislative changes; subject to point d below. The FSA must approve the legislative mapping prior to the publication of RTA standards.
- d) **Risk based:** A risk-based approach to standard setting should be used, drawing upon HACCP or an equivalent risk assessment process that identifies safety hazards and controls. However, requirements of relevant legislation must be met as a minimum.

2.0 Compliance and Certification

2.1 The industry schemes should clearly describe compliance as well as processes for assessment and review, in particular:

- a) **Compliance:** The scheme should provide guidance on interpretation and assessment of compliance and how non-conformities with standards are dealt with.
- b) **Monitoring:** Systems should be in place to monitor scheme requirements (the standards and process for assessment), to ensure they achieve acceptable levels of compliance; and
- c) **Review:** The scheme should have appropriate mechanisms for the development and review of scheme requirements (the standards and process for assessment), with the ability of relevant stakeholders, including competent authorities to contribute to this process.

2.2 The industry scheme must have the following processes/criteria in place for its certification bodies:

- a) UKAS accreditation (or equivalent) having ISO/IEC 17065 accreditation.
- b) A quality management system, including clearly defined management structure, processes for monitoring assessments and the objective collection and recording of evidence as part of the certification process.

- c) A certification process that is reviewed at least annually to ensure it is operating effectively and in accordance with the requirements of the assurance scheme.
- d) A process to ensure non-conformances are tracked, closed off or otherwise addressed subject to the scheme's requirements.
- e) A process to monitor the competence / performance of assessors.
- f) A process to ensure those responsible for certification are kept up to date with developments in standards and guidance for interpretation of standards; and
- g) A certification decision-making process that is clear, transparent, proportional, consistent and documented.

3.0 Assessment Process

3.1 The industry scheme will need to demonstrate the following:

- a) The assessment process must be underpinned with guidance that deals with the assessment of standards and how non-conformities are dealt with in relation to the risk posed by non-compliance. Guidance should include procedures for dealing with repeat non-conformities, failure to rectify non-conformities and situations when certification should be withheld or suspended and circumstances in which it might be re-instated. In addition, the guidance must include verification of corrective action.

- b) The assessment must be carried out by assessors who are impartial, suitably qualified and experienced and maintain relevant sector knowledge.
- c) Frequency of assessments must be no less than the minimum set by legislation, the code of practice or Manual of Official Controls (MOC) for the sector covered by the assurance scheme. Assessments must be risk based and take into account previous history.
- d) An assessment must review all the standards set by the scheme applicable to the business which, as a minimum must include an onsite assessment, observation of operations and examination of records. The use of remote assessment may replace the onsite assessment of some of the minimum assessment requirements subject to prior agreement with the FSA's Regulatory Compliance Division.
- e) Comprehensive records of assessment findings should be maintained (date, name of assessor, scope of assessment, non-conformities, timescales for rectification etc), and;
- f) Assessments/audits should be unannounced as far as possible. There may be circumstances where short notice may be considered appropriate. Short notice means 24 hours where possible, but no more than 48 hours, examples of where notice may be considered appropriate are:
 - when the purpose of an assessment is to see a particular process in operation; or

- to examine records or see livestock, which can only be made available when the relevant personnel are present.

4.0 Assessor Authorisation/Competence

4.1 The industry scheme should have defined the following and have systems in place to ensure the certification body has:

- a) Criteria for appointing and authorising assessors including reference to professional qualifications, auditing skills, relevant experience and arrangements for ensuring on-going competency; and
- b) Induction and continued learning to enable assessors to demonstrate a clear understanding of scheme requirements, procedures and guidance for interpretation of standards and how nonconformities are handled.

5.0 Standard Mapping

5.1 Scheme standards will need to encompass relevant legislation applicable to the sector the scheme identifies with. The FSA will work with the scheme to ensure applicable legislation is identified.

5.2 If the FSA identifies that the scheme fails to cover any of the relevant legislative measures, the assurance scheme will be notified and required to amend the scheme by an agreed timeline in order to ensure ongoing FSA Approved Assurance status.

6.0 Data Sharing and Communications

6.1 The industry scheme must ensure that:

- a) Information is made available to the FSA and enforcement authorities to determine membership of the scheme (i.e., new members / members who choose to leave and members who are withdrawn from the scheme). Such data should be kept up to date.
- b) Processes are in place to ensure that the FSA and enforcement authorities are informed immediately of any serious threat to public health, animal health or when there is an immediate and significant risk of unacceptable animal welfare practices, food/feed contamination, environmental pollution, or any unlawful or fraudulent practices.
- c) Processes are in place to ensure the FSA and the enforcement authorities are informed of members withdrawn due to non-conformance, within 7 working days, and;
- d) Processes are in place to ensure that when the scheme operator receives concerning information about a scheme member, the information is assessed and followed up with appropriate risk-based action; the outcomes of which must be shared with the FSA, as soon as reasonably practicable but no later than 7 working days after becoming aware of the concerning information.

6.2 The industry scheme must have systems and/or procedures in place to:

- a) Provide agreed data and information to the FSA.
- b) Communicate effectively with the FSA and enforcement authorities
- c) Notify the FSA of changes to the scheme, particularly any changes to scheme standards that impact legislative requirements, prior to implementation and external publication.
- d) Participate in regular meetings with the FSA to discuss the operation of the scheme.
- e) Adhere to the terms of the data sharing agreement.

Annex D - FSA Governance of Earned Recognition

Frequency	Activities	Inputs	Outputs	Responsibility
Annual	<ul style="list-style-type: none"> Review of approved scheme against the FSA Criteria for Earned Recognition and requirements of the MoU. 	<ul style="list-style-type: none"> Evidence to show compliance with the FSA Criteria for Earned Recognition. Review of management data as required in Annexes D and E. Review any changes to legislation to ensure that those changes have been incorporated into (or will be incorporated into) the scheme's standards. 	<ul style="list-style-type: none"> Documented desktop assessment comprising of evidence to support continued justification of Earned Recognition Site visit to observe the process undertaken to establish whether it was in keeping with scheme requirements. 	<ul style="list-style-type: none"> Review lead taken by the FSA Nominated resource from RTA.

Frequency	Activities	Inputs	Outputs	Responsibility
Annual	<ul style="list-style-type: none"> FSA officials to review the evidence to justify continued support for Earned Recognition 	<ul style="list-style-type: none"> FSA review of governance and performance information e.g. evidence of compliance with key requirements, results of monitoring, data management as set out in Annexes C, D and E 	<ul style="list-style-type: none"> Decision concerning the continuing justification for approved scheme status. Confirmation of outcome to RTA 	<ul style="list-style-type: none"> Review lead taken by FSA.
Quarterly	<ul style="list-style-type: none"> Meeting between FSA and RTA 	<ul style="list-style-type: none"> Management data as set out in Annexes D and E 	<ul style="list-style-type: none"> Notes of meetings 	<ul style="list-style-type: none"> Lead taken by the FSA

Frequency	Activities	Inputs	Outputs	Responsibility
		<ul style="list-style-type: none"> Review of exception reports and follow up action plans 		<ul style="list-style-type: none"> Nominated resource from RTA
Ad-hoc	Meeting between FSA and RTA to discuss issues that may arise between the scheduled quarterly meetings	<ul style="list-style-type: none"> Any data or relevant information 	<ul style="list-style-type: none"> Notes of meetings 	<ul style="list-style-type: none"> Lead taken by the FSA Nominated resource from RTA

Annex E - Data management

Data requirement	Frequency of data provision	Responsibility
Membership of schemes		
The identification of members/participants of the scheme indicating when the member was audited/assessed.	To be continuously available	RTA
The identification of members/participants that join the scheme.	Monthly	RTA
The identification of members/participants that are withdrawn due to non-compliance.	Within 7 days	RTA
The identification of members/participants that are withdrawn for other reasons (e.g. non-payment).	Monthly	RTA
Total number of scheme members	Annually	RTA
Management of the assessment programme/process		
Number of completed assessments/audits and the number of overdue assessments/audits for the reporting period.	Quarterly	RTA
The number of full assessments/audits: <ul style="list-style-type: none"> • completed unannounced • completed at short notice 	Quarterly	RTA

<ul style="list-style-type: none"> completed remotely. 		
<p>If relevant, the number of spot checks/partial assessments:</p> <ul style="list-style-type: none"> completed unannounced or short notice. 	Quarterly	RTA
Update on any auditor/assessor training planned or completed, if required.	Quarterly	RTA
Number of witness assessments of auditors/assessors carried out by the certification body and/or the scheme and the outcome.	Quarterly	RTA
Performance of scheme members		
<p>For each approved scheme - levels of conformance against specific clauses identified by the FSA, including those categorised as key to public health:</p> <ul style="list-style-type: none"> the number of non-conformances; and the percentage of non-conformances against the total number of assessments/ audits completed. 	Quarterly	RTA
Provision of 'Dairy Feeds' list for England, Wales and Northern Ireland	Monthly - Electronic access to RTA database to view the information.	RTA

Aggregated compliance information from regulators to be shared with the scheme.	As a minimum annually.	FSA
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Annex F – Contact Details

FSA

England:

Head of Regulatory Standards & Industry Assurance

Email: earnedrecognitionssupport@food.gov.uk

Wales:

Head of Local Authority Delivery

Email: lasupportwales@food.gov.uk

Northern Ireland:

Head of Operational Policy and Delivery

Email: earnedrecognitionssupport@food.gov.uk

RTA

Head of Operations

Email : enquiries@redtractor.org.uk

Glossary of Terms and Abbreviations

- **RTA Audit** - Where an independent assessor contracted by the Certification Body checks for evidence of compliance against the RT standards by visiting the food and feed businesses and checking the relevant parts of the holding, site, store, records and all livestock where relevant. In some circumstances this may be done by reviewing evidence remotely via video-streaming
- **Competent Authority** - Has the meaning as defined in Article 3(3) of Regulation (EU) 625/2017 to mean the Competent Authority responsible for the performance of official controls and of other official activities, in accordance with that Regulation and the rules referred to in Article 1(2).
- **DAERA** – Department of Agriculture, Environment and Rural Affairs of Northern Ireland
- **Earned Recognition (ER)** – Food and feed business operators who demonstrably maintain high standards of food and feed safety by taking appropriate steps to comply with the law, may have these standards recognised by the Competent Authority when determining the frequency of their official controls and therefore earn recognition.
- **Enforcement authority** - Has the meaning as defined by Regulation 2(1) of The Food Safety and Hygiene (England) Regulations 2013 to mean the authority which, is responsible for executing and enforcing the Hygiene Regulations.
- **Establishment** - Has the meaning as defined by Article 3(d) of Regulation (EC) No 183/2005 to mean any unit of a feed business. It does not simply mean “premises” but is directly linked to the business occupying the establishment (establishment denotes both premises and manner in which those premises are being used by the FeBO).
- **Feed Establishment** - Has the meaning as defined by Article 3(d) of Regulation (EC) No 183/2005 to mean any unit of a feed business. It does not simply mean “premises” but is directly linked to the business occupying

the establishment (establishment denotes both premises and manner in which those premises are being used by the FeBO).

- **Feed Business** - Has the meaning as defined by Article 3(5) of Regulation (EC) No 178/2002 to mean any undertaking whether for profit or not and whether public or private, carrying out any operation of production, manufacture, processing, storage, transport, or distribution of feed including any producer producing, processing, or storing feed for feeding to animals on his own holding.
- **Feed Business Operator (FeBO)** - Has the meaning as defined by Article 3(6) of Regulation (EC) No 178/2002 to mean the natural or legal persons responsible for ensuring that the requirements of the relevant legislation are met within the feed business under their control.
- **Food Establishment** - Has the meaning as defined by Article 2(c) (EC) No 852/2004 to mean any unit of a food business.
- **Food business** - Has the meaning as defined by Article 3(2) of Regulation (EC) No 178/2002 to mean any undertaking, whether for profit or not and whether public or private, carrying out any of the activities related to any stage of production, processing, and distribution of food.
- **Food Business Operator (FBO)** - Has the meaning as defined by Article 3(3) of Regulation (EC) No 178/2002 to mean the natural or legal persons responsible for ensuring that the requirements of food law are met within the food business under their control.
- **Food Standards Agency (FSA)** - The Central Competent Authority for England, Wales, and Northern Ireland.
- **Local Authority (LA)** - Has the meaning set out in Section 1 of the Local Government Act 1972. 24
- **MoU** - Memorandum of Understanding
- **Non-compliance** - Where a RTA assessment has found the FeBO to be non-compliant with a RTA standard
- **Official Control** - Has the meaning as defined by Article 2 (1) of EC (no) 625/2017 to mean activities performed by the competent authorities, or by the delegated bodies or the natural persons to which certain official control

tasks have been delegated in accordance with this Regulation, in order to verify:

- (a) compliance by the operators with this Regulation and with the rules referred to in Article 1(2); and
- (b) that animals or goods meet the requirements laid down in the rules referred to in Article 1(2), including for the issuance of an official certificate or official attestation.

- **RTA** – Red Tractor Assurance