

# **Cross Compliance Verifiable Standards 2017**

**Verifiable standards for classifying breaches of:**

**Good Agricultural and Environmental Conditions (GAEC)  
and Statutory Management Requirements (SMR)**

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# Introduction

As a condition of receiving support scheme payments farmers have to comply with a number of requirements and if a farmer is found to have breached a requirement their payments are reduced, recovered or withheld. The Verifiable Standards tables provide details of the requirements and how breaches are classified in terms of Extent, Severity and Permanence. The classification of a breach, in conjunction with the Penalty Tables, determines the level of penalty that's applied to a support scheme payments. The following annotated table explains the format of the Verifiable Standards and the terms that are used to classify breaches of the requirements.

Aim – tells you what the requirement sets out to achieve.

There are 13 **SMRs** (Statutory Management Requirements), based on existing EU requirements and 7 **GAECs** (Good agricultural and Environmental Conditions) standards.

## GAEC 5 – Maintain land management reflecting site specific conditions to limit erosion

The aim of these rules is to protect soil against erosion in certain situations

Requirement details: What you have to do.

| You must |  |   |   |  |
|----------|--|---|---|--|
| A1       | Livestock: You must prevent the erosion of the banks of water courses, watering points and feeding areas from overgrazing or heavy poaching by livestock   |   |   |  |
|          | Description of breach  | Extent                                  | Severity  | Permanence   |
|          | The farmer has caused <b>significant soil erosion</b> by failing to prevent overgrazing, heavy trampling or heavy poaching by livestock.   | On farm effect<br>or<br>Off farm effect | Low - up to 0.5ha<br><br>Medium - more than 0.5 ha but less than 5ha<br><br>High - more than 5ha. | Rectifiable – if there is a high risk of erosion<br><br>Permanent – erosion has occurred |
| A2       | Late harvested crops: You must put in place appropriate measures to limit soil erosion if agronomic or weather conditions prevent the subsequent crop or a cover from being sown (appropriate measures could include grubbing, sediment traps and sediment fences) |   |   |  |
|          | Description of breach  | Extent                                  | Severity  | Permanence   |
|          | The farmer has not put in place appropriate measures to limit soil erosion, when agronomic or weather conditions have prevented the subsequent crop or a cover crop from being sown.   | On farm effect<br>or<br>Off farm effect | Low - up to 0.5ha<br><br>Medium - more than 0.5 ha but less than 5ha<br><br>High - more than 5ha. | Rectifiable – if there is a high risk of erosion<br><br>Permanent – erosion has occurred |

This coding is used by Scottish Government RPID.

**Description of breach:** If you fail to meet a requirement this gives details of the possible cross compliance breach.

**Extent –** is the breach confined to your farm or does it have wider implications?

**Severity –** how significant are the consequences of the breach?

**Permanence –** does the breach have a lasting effect? Can the effect be remedied by reasonable means?



## GAEC 1 – Buffer strips along watercourses

The aim of this is to protect water against pollution and run-off. The requirements restrict storage, application of fertilisers and pesticides and cultivations along water courses

**\* Severity relates to the shortfall in the buffer strip and the total distance within the business over which the shortfall occurs.**

| <b>You must not</b> |   |  |   |  |
|---------------------|---|--|---|--|
| <b>B1</b>           | <b>You must not apply organic manure to land situated within:</b> <ul style="list-style-type: none"> <li>10 metres of any surface water or</li> <li>50 metres of any well, borehole etc.</li> </ul> |  |   |  |
|                     | Description of breach   | Extent   | Severity *  | Permanence   |
|                     | The farmer has applied organic manure to land situated within <ul style="list-style-type: none"> <li>10 metres of any surface water or</li> <li>50 metres of any well, borehole etc</li> </ul>      | <b>On-farm effect<br/>or<br/>Off farm effect</b> | <u><b>Application of organic manure (surface water)</b></u> <ul style="list-style-type: none"> <li><b>Directly entering surface water</b><br/> <b>Medium</b> – up to 50m<br/> <b>High</b> – over 50m</li> </ul>                               | <b>Permanent</b> if there is pollution                             |
|                     |   |  | <ul style="list-style-type: none"> <li><b>Within 5m of any surface water</b><br/> <b>Very low</b> – up to 50m<br/> <b>Low</b> – over 50m up to 250m<br/> <b>Medium</b> – over 250m up to 500m<br/> <b>High</b> – over 500m</li> </ul>         | <b>Rectifiable</b><br>or<br><b>Permanent</b> if there is pollution |
|                     |   |  | <ul style="list-style-type: none"> <li><b>Between 5 and 10m of any surface water</b><br/> <b>Very low</b> – up to 75m<br/> <b>Low</b> - over 75m up to 400m<br/> <b>Medium</b> – over 400m up to 750m<br/> <b>High</b> – over 750m</li> </ul> |  |

|  |  |  |   |   |
|--|--|--|---|---|
|  |  |  | <u><b>Application of organic manure (borehole)</b></u><br><br><b>Medium</b> - between 25m and 50m<br><b>High</b> – within 25m | <b>Rectifiable</b><br>or<br><b>Permanent</b> if<br>there is pollution |
|--|--|--|---|---|

| B2 | You must not locate a field heap within: <ul style="list-style-type: none"><li>• 10 metres of any surface water or</li><li>• 50 metres of any well, borehole etc</li></ul>  |   |  |  |
|----|---|---|--|--|
|    | Description of breach   | Extent                                  | Severity *   | Permanence   |
|    | The farmer has located a field heap within: <ul style="list-style-type: none"><li>• 10 metres of any surface water or</li><li>• 50 metres of any well, borehole etc</li></ul>   | On-farm effect<br>or<br>Off farm effect | <u>Location of field heap (surface water)</u><br><br>Medium – between 5m and 10m of any surface water<br>High – within 5m of any surface water | Rectifiable<br>or<br>Permanent if there is pollution |
|    |   |   | <u>Location of field heap (borehole)</u><br><br>Medium – between 25m and 50m<br>High – within 25m  | Rectifiable<br>or<br>Permanent if there is pollution |
| B3 | You must not apply a chemical fertiliser (that doesn't contain nitrogen) to any land if there is a significant risk of the fertiliser entering surface water, taking into account: <ul style="list-style-type: none"><li>• the slope of the land, particularly if greater than 12 degrees</li><li>• any ground cover</li><li>• the proximity of the land to any surface water</li><li>• weather conditions</li><li>• the type of fertiliser being applied</li></ul> |   |  |  |
|    | Description of breach   | Extent                                  | Severity *   | Permanence   |
|    | The farmer has applied chemical fertiliser that doesn't contain nitrogen (e.g. P and K only) to land, with a significant risk of the fertiliser entering surface water taking into account:   | On-farm effect<br>or<br>Off farm effect | <ul style="list-style-type: none"><li>• Directly entering surface water</li></ul> Medium – up to 50m<br>High – over 50m                        | Permanent if there is pollution                      |

|  |  |  |  |   |
|--|--|--|--|---|
|  | <ul style="list-style-type: none"> <li>the slope of the land, particularly if greater than 12 degrees</li> <li>any ground cover</li> <li>the proximity of the land to any surface water</li> <li>weather conditions</li> <li>the type of fertiliser being applied</li> </ul> |  | <ul style="list-style-type: none"> <li><b>Risk of entering surface water</b><br/> <b>Very low</b> – up to 50m<br/> <b>Low</b> – over 50 up to 250m<br/> <b>Medium</b> – over 250m up to 500m<br/> <b>High</b> – over 500m</li> </ul> | <b>Rectifiable</b><br>or<br><b>Permanent</b> if<br>there is pollution |
|--|--|--|--|---|

|           |   |  |  |  |
|-----------|---|--|--|--|
| <b>B4</b> | <p><b>You must not apply a nitrogen fertiliser to land if there is a significant risk of the fertiliser entering surface water, taking into account:</b></p> <ul style="list-style-type: none"> <li>• the slope of the land, particularly if greater than 12 degrees</li> <li>• any ground cover</li> <li>• the proximity of the land to any surface water</li> <li>• weather conditions</li> <li>• the type of fertiliser being applied</li> </ul> |  |  |  |
|           | <b>Description of breach</b>  | <b>Extent</b>                                    | <b>Severity *</b>  | <b>Permanence</b>  |
|           | <p>The farmer has applied nitrogen fertiliser to land, with a significant risk of the fertiliser entering surface water taking into account:</p> <ul style="list-style-type: none"> <li>• the slope of the land, particularly if greater than 12 degrees</li> <li>• any ground cover</li> <li>• the proximity of the land to any surface water</li> <li>• weather conditions</li> <li>• the type of fertiliser being applied</li> </ul>             | <b>On-farm effect<br/>or<br/>Off farm effect</b> | <ul style="list-style-type: none"> <li>• <b>Directly entering surface water</b><br/><b>Medium</b> – up to 50m<br/><b>High</b> – over 50m</li> </ul>  | <b>Permanent</b> if there is pollution                             |
|           |   |  | <ul style="list-style-type: none"> <li>• <b>Risk of entering surface water</b><br/><b>Very low</b> – up to 50m<br/><b>Low</b> – over 50 up to 250m<br/><b>Medium</b> – over 250m up to 500m<br/><b>High</b> – over 500m</li> </ul> | <b>Rectifiable</b><br>or<br><b>Permanent</b> if there is pollution |



| B5 | You must not cultivate land or directly apply pesticides within two meters of the top of the bank of any surface water, unless exemptions apply  |  |   |   |
|----|--|--|---|---|
|    | Description of breach  | Extent   | Severity *  | Permanence  |
| B5 | <p>The farmer has cultivated land within two metres of the top of the bank of surface water, and the following exemptions do not apply;</p> <ul style="list-style-type: none"> <li>— <b><i>Creating a green cover where one does not already exist</i></b></li> <li>— <b><i>Establishing a new hedge</i></b></li> </ul>    | <p>On-farm effect<br/>or<br/>Off farm effect</p> | <p><b><u>Cultivations</u></b></p> <ul style="list-style-type: none"> <li>• <b>Directly resulting in soil entering surface water</b><br/> <b>Medium</b> – up to 50m<br/> <b>High</b> – over 50m</li> </ul>                                     | <b>Permanent</b> if soil enters surface water                             |
|    |  |  | <ul style="list-style-type: none"> <li>• <b>Within 1m of the top of the bank</b><br/> <b>Very low</b> – up to 50m<br/> <b>Low</b> – over 50m up to 250m<br/> <b>Medium</b> – over 250m up to 500m<br/> <b>High</b> – over 500m</li> </ul>     | <b>Rectifiable</b><br>or<br><b>Permanent</b> if soil enters surface water |
|    |  |  | <ul style="list-style-type: none"> <li>• <b>Between 1m and 2m of the top of the bank</b><br/> <b>Very low</b> – up to 75m<br/> <b>Low</b> – over 75m to 400m<br/> <b>Medium</b> – over 400 up to 750m<br/> <b>High</b> – over 750m</li> </ul> |   |
| B5 | <p>The farmer has applied pesticides within two metres of the top of the bank of surface water, and the following exemptions do not apply;</p> <ul style="list-style-type: none"> <li>— <b><i>Controlling injurious weeds, invasive species and, after prior written consent certain other weed species</i></b></li> </ul> |  | <p><b><u>Applications of Pesticide</u></b></p> <ul style="list-style-type: none"> <li>• <b>Pesticides directly entering surface water</b><br/> <b>Medium</b> – up to 50m<br/> <b>High</b> – over 50m</li> </ul>                               | <b>Permanent</b> if there is pollution                                    |
|    |  |  | <ul style="list-style-type: none"> <li>• <b>Within 1m of the top of the bank</b><br/> <b>Very low</b> – up to 50m<br/> <b>Low</b> – over 50m up to 250m<br/> <b>Medium</b> – over 250m up to 500m<br/> <b>High</b> – over 500m</li> </ul>     | <b>Rectifiable</b><br>or<br><b>Permanent</b> if                           |

|  |  |  |  |                    |
|--|--|--|--|--------------------|
|  |  |  | <ul style="list-style-type: none"> <li>Between 1m and 2m of the top of the bank</li> </ul> <p> <b>Very low</b> – up to 75m<br/> <b>Low</b> – over 75m to 400m<br/> <b>Medium</b> – over 400 up to 750m<br/> <b>High</b> – over 750m </p> | there is pollution |
|--|--|--|--|--------------------|

## GAEC 2 – Abstraction of water for irrigation

The aim of these rules is to protect water resources by licensing abstraction of water for irrigation

### You must

|    |   |   |   |   |
|----|---|---|---|---|
| A1 | <p>You must comply with the authorisation procedures for abstracting water for irrigation. The procedures differ depending on the quantity of water involved:</p> <p>If you abstract less than (&lt;) 10 cubic metres of water each day you have to follow General Binding Rule 2 (GBR 2). Complying with GBR 2 means there is no requirement to contact the Scottish Environmental Protection Agency (SEPA) to register or apply for a licence</p> |   |   |   |
|    | Description of breach   | Extent                                  | Severity  | Permanence                              |
|    | The farmer does not have an irrigation licence  | On farm effect<br>or<br>Off farm effect | <b>Very low</b> - (warning letter, 0% penalty) for failing to submit a complete record of the volumes of water abstracted under the licence   | <b>Rectifiable</b>                      |
|    |   |   | <b>Low</b> - Failure to have an appropriate valid registration at the time of abstraction.<br><br><b>Medium</b> - Failure to have an appropriate valid simple licence at the time of abstraction.<br><br><b>High</b> - Failure to have an appropriate valid complex licence at the time of abstraction. | <b>Rectifiable<br/>or<br/>Permanent</b> |

| A2  | You must comply with all the conditions of a water abstraction licence. Some of the conditions relate to: <ul style="list-style-type: none"> <li>• abstraction sites</li> <li>• abstraction periods</li> <li>• maximum daily abstraction volumes</li> <li>• submitting an annual data return even if you don't abstract any water</li> </ul> |   |   |   |
|---|--|---|---|---|
|   | Description of breach  | Extent                                  | Severity  | Permanence  |
|   | The farmer has failed to comply with the conditions of an abstraction licence.   | On farm effect<br>or<br>Off farm effect | <p><b>Very low</b> – Failure to comply with the conditions of a licence. Potential impact assessed as <b>Category 4</b> (see below).</p> <p><b>Low</b> - Failure to comply with the conditions of a licence. Potential impact assessed as <b>Category 3</b> (see below).</p> <p><b>Medium</b> - Failure to comply with the conditions of a licence. Potential impact assessed as <b>Category 2</b> (see below).</p> <p><b>High</b> - Failure to comply with the conditions of a licence. Potential impact assessed as <b>Category 1</b> (see below).</p> <hr/> <p><b>High</b> - failure to comply with any condition set in a Notice issued under the Water Environment (Controlled Activities) (Scotland) Regulations 2005 (as amended).</p> | <p><b>Rectifiable</b> if there is no environmental impact<br/>or<br/><b>Permanent</b></p> |
| GAEC 2: Abstraction of water for irrigation – categories for assessing the potential impact on the environment. |  |   |   |   |

|  |  |
|--|--|
|  | <p><b>Category 4</b> – considered to have no potential environment impact.</p> <p><b>Category 3</b> – considered to have the potential to have a minor environmental impact.</p> <p><b>Category 2</b> – considered to have the potential to have a significant environmental impact.</p> <p><b>Category 1</b> – considered to have the potential to have a major environmental impact.</p> |
|--|--|

## GAEC 3 – Protection of groundwater against pollution

The aim of these rules is to protect groundwater against pollution

### You must

| A1 | You must ensure that a licence is in place to allow or carry out a disposal of list I and list II substances, such as waste sheep dip and/or pesticide washings to land. |   |          |            |
|----|--|---|----------|------------|
|    | Description of breach  | Extent                                  | Severity | Permanence |
|    | The farmer has carried out or permitted unauthorised disposal of list I or list II substances, such as waste sheep dip or pesticide washings                             | On-farm effect<br>or<br>Off-farm effect | High     | Permanent  |

| A2 | You must comply with the conditions of any licence granted by SEPA to allow or carry out a disposal of list I and list II substances, such as waste sheep dip and/or pesticide washings to land.  |  |   |                    |
|----|---|--|---|--------------------|
|    | Description of breach   | Extent   | Severity  | Permanence         |
| A2 | The farmer has failed to comply with the conditions of the CAR authorisation.   | On-farm effect<br>or<br>Off-farm effect<br>– if disposals relate to unsuitable sites | <ul style="list-style-type: none"> <li><b>Records</b><br/><b>Low</b> - Incomplete records (minor omissions but a full assessment is still possible)</li> </ul>  | <b>Rectifiable</b> |
|    |   |  | <ul style="list-style-type: none"> <li><b>Records</b><br/><b>High</b> - No records or incomplete records which prevent a full assessment</li> </ul>   | <b>Permanent</b>   |
|    |   |  | <ul style="list-style-type: none"> <li><b>Maximum volume exceeded -</b><br/><b>Very Low</b> - the excess can be accommodated by a variation to the disposal volume on the existing site<br/><b>Medium</b> - the excess cannot be accommodated without adding a new disposal site<br/><b>High</b> - the excess cannot be accommodated by adding a new disposal site</li> </ul> | <b>Permanent</b>   |
|    |   |  | <ul style="list-style-type: none"> <li><b>The number of permitted disposals on authorised sites has been exceeded –</b><br/><b>Very Low</b> - The existing disposal site can be sub divided to accommodate the additional disposals<br/><b>Medium</b> - At least one new disposal site has to be added to accommodate the additional disposals</li> </ul>                     |                    |
|    |   |  | <ul style="list-style-type: none"> <li><b>Disposal on an unauthorised site –</b><br/><b>Medium</b> - the disposal site is suitable and can be added to the authorisation<br/><b>High</b> - The disposal site is not suitable</li> </ul>   |                    |
| A2 | <p>The farmer has failed to comply with the conditions of a Notice served under The Water Environment (Controlled Activities) (Scotland) Regulations 2011 in relation to List I and List II substances.</p> <p><i>Failure to comply with a notice issued in relation to a groundwater activity will usually be regarded as intentional but may depend on the nature of the failure; e.g. recipient has tried to comply but has not done so word for word.</i></p> | On-farm effect<br>or<br>Off-farm effect  | <p><b>Medium</b></p> <p><b>High</b> - SEPA description of major pollution incident</p>  | <b>Permanent</b>   |





| <b>You must not</b> |   |                        |   |                   |
|---------------------|---|------------------------|---|-------------------|
| <b>B1</b>           | <b>You must not carry out or permit an activity which is likely to cause pollution of groundwater by an indirect or direct discharge of List I or List II substances from any non-disposal activity</b> |                        |   |                   |
|                     | <b>Description of breach</b>  | <b>Extent</b>          | <b>Severity</b>   | <b>Permanence</b> |
|                     | The farmer has carried out or permitted an activity that is likely to cause pollution of groundwater by an indirect or direct discharge of List I or List II substances from any non-disposal activity  | <b>Off-farm effect</b> | <b>Medium</b><br><b>High</b> - SEPA description of major pollution incident | <b>Permanent</b>  |

## GAEC 4 – Minimum soil cover

The aim of this rule is to protect soil against erosion after harvest until the end of winter ('winter' is up to and including the last day of February)

### You must

| A1 | The land after harvest must be covered by the stubble of the previous crop, by another crop or by grass unless: <ul style="list-style-type: none"><li>• agronomic or weather conditions are such that cultivating land would be detrimental to the use for the land for agricultural production</li><li>• the land is being prepared for sowing the subsequent crop. Secondary cultivations and final seed beds must only be created very close to sowing</li></ul>   |  |  |   |
|----|---|--|--|---|
|    | Description of breach   | Extent   | Severity   | Permanence  |
|    | <p>Soil erosion has occurred or there is a high risk of soil erosion because after harvest land is not covered by the stubble of the previous crop, by another crop or by grass</p> <p>The farmer will not break this rule where;</p> <ul style="list-style-type: none"><li>• agronomic or weather conditions are such that cultivating land would be detrimental to the use of the land for agricultural production or</li><li>• the land is being prepared for sowing the subsequent crop. Secondary cultivations and final seed beds must only be created very close to sowing</li></ul> | <p><b>On farm effect</b><br/>or<br/><b>Off farm effect</b></p> | <p><b>Low</b> - up to 5ha</p> <p><b>Medium</b> - more than 5ha up to 10ha</p> <p><b>High</b> - more than 10ha.</p> | <p><b>Rectifiable</b> – if there is a high risk of erosion</p> <p><b>Permanent</b> – erosion has occurred</p> |

## GAEC 5 – Maintain land management reflecting site specific conditions to limit erosion

The aim of these rules is to protect soil against erosion in certain situations

| You must |  |   |   |  |
|----------|--|---|---|--|
| A1       | Livestock: You must prevent the erosion of the banks of water courses, watering points and feeding areas from overgrazing or heavy poaching by livestock |   |   |  |
|          | Description of breach  | Extent                                  | Severity  | Permanence   |
|          | The farmer has caused <b>significant soil erosion</b> by failing to prevent overgrazing, heavy trampling or heavy poaching by livestock.                 | On farm effect<br>or<br>Off farm effect | <b>Very Low</b> – limited erosion confined to occasional sites. | <b>Rectifiable</b> –<br>Warning letter to be issued detailing follow up action required and the time in which this has to be completed. Timescales for follow up action should be kept to a <b>minimum</b> to ensure the effectiveness of the control. |

|  |  |  |   |                         |
|--|--|--|---|-------------------------|
|  |  |  | <p><b>Low</b> – moderate erosion identified across multiple sites where the banks of water courses etc. have predominately shallow sloping sides.</p> <p><b>Medium</b> – moderate erosion identified across multiple sites where the banks of water courses etc have predominately steeply sloping sides.</p> <p><b>High</b> – severe erosion identified at single or multiple sites.</p> | <p><b>Permanent</b></p> |
|--|--|--|---|-------------------------|

| A2 | Late harvested crops: You must put in place appropriate measures to limit soil erosion if agronomic or weather conditions prevent the subsequent crop or a cover from being sown (appropriate measures could include grubbing, sediment traps and sediment fences) |   |  |  |
|----|--|---|--|--|
|    | Description of breach  | Extent                                  | Severity   | Permanence   |
|    | The farmer has not put in place appropriate measures to limit soil erosion, when agronomic or weather conditions have prevented the subsequent crop or a cover crop from being sown.   | On farm effect<br>or<br>Off farm effect | Low - up to 5ha<br><br>Medium - more than 5ha up to 10ha<br><br>High - more than 10ha. | Rectifiable – if there is a high risk of erosion<br><br>Permanent – erosion has occurred |

## GAEC 6 – Maintenance of soil organic matter

The aim of these rules is to maintain soil organic matter levels

### You must

| A1 | You must comply with the requirements of the Muirburn code as they relate to the maintenance of soil organic matter. The following would be considered to be a breach of the requirements: <ul style="list-style-type: none"> <li>leaving a fire unattended</li> <li>being unable to control a fire or having not made provision for its proper control</li> <li>causing damage to any woodland</li> </ul> |  |  |                         |
|----|--|--|--|-------------------------|
|    | Description of breach  | Extent   | Severity   | Permanence              |
|    | <p>The farmer has not followed the requirements of the Muirburn code. Whereby -</p> <ul style="list-style-type: none"> <li>the fire has been left unattended</li> <li>the fire has not been able to be controlled or no provisions were made for its proper control</li> <li>the fire has caused damage to woodland</li> </ul>   | <p>On farm effect<br/>or<br/>Off farm effect</p> | <p><b>Low</b> – unintentional burning up to 10ha</p> <p><b>Medium</b> - unintentional burning more than 10ha up to 50ha</p> <p><b>High</b> - unintentional burning more than 50ha.</p> | <p><b>Permanent</b></p> |

### You must not

| B1 | You must not burn arable stubble except for reasons other than plant disease or pest control  |  |  |                         |
|----|---|--|--|-------------------------|
|    | Description of breach   | Extent   | Severity   | Permanence              |
|    | <p>The farmer has burned arable stubble</p> <p>(the farmer will not break this rule if he has carried this out for the purposes of plant disease or pest control)</p> | <p>On farm effect<br/>or<br/>Off farm effect</p> | <p><b>Low</b> - burning up to 1ha</p> <p><b>Medium</b> - burning more than 1ha up to 5ha</p> <p><b>High</b> - burning more than 5ha.</p> | <p><b>Permanent</b></p> |
| B2 | You must not plough rough grazing or other semi-natural areas unless approved as part of an Environmental Impact Assessment (EIA)                                     |  |  |                         |
|    | Description of breach   | Extent   | Severity   | Permanence              |

|  |   |   |   |                  |
|--|---|---|---|------------------|
|  | The farmer has ploughed up rough grazings and other semi-natural areas without approval under the Environmental Impact Assessment (Agriculture) (Scotland) Regulations 2006 | <b>On farm effect</b><br>or<br><b>Off farm effect</b> | <b>Low</b> - ploughing up to 1ha<br><br><b>Medium</b> – ploughing more than 1ha up to 5ha<br><br><b>High</b> – ploughing more than 5ha. | <b>Permanent</b> |
|--|---|---|---|------------------|

## GAEC 7 – Retention of landscape features

The aim of these rules is to protect landscape features

### You must not

|    |  |   |  |  |
|----|--|---|--|--|
| B1 | <p>You must not remove or destroy any of the following without the prior written consent of the Scottish Ministers:</p> <ul style="list-style-type: none"> <li>• drystone or flagstone dykes;</li> <li>• ponds, watercourses or;</li> <li>• turf and stone-faced banks;</li> <li>• walls;</li> <li>• hedges;</li> <li>• trees (in line, in a group or isolated).</li> </ul> <p>Consent is not required to: widen field entrances to enable access for livestock or farm machinery or fell trees that are dead, diseased, damaged or insecurely rooted and are likely to cause a danger by falling over</p> |   |  |  |
|    | Description of breach  | Extent                                  | Severity   | Permanence   |
|    | The farmer has removed or destroyed a landscape feature without written consent of the Scottish Ministers  | On farm effect<br>or<br>Off farm effect | <p><b><u>Dykes, banks, walls, hedges and watercourses</u></b></p> <p><b>Low</b> - up to 100m of feature affected.</p> <p><b>Medium</b> - more than 100m up to 500m of feature affected.</p> <p><b>High</b> - more than 500m of feature affected.</p> | <p><b>Rectifiable or Permanent</b> if the feature can't be reinstated by reasonable means.</p> |
|    |  |   | <p><b><u>Ponds</u></b></p> <p><b>Medium</b> – one pond</p> <p><b>High</b> – two or more ponds</p>  |  |
|    |  |   | <p><b><u>Trees (in line, in a group or isolated)</u></b></p> <p><b>Very Low</b> – tree(s) felled which were exempt from requiring a felling licence</p>  | <p><b>Rectifiable</b></p>  |
|    |  |   | <p><b>Low</b> – tree(s) felled which would have been granted a felling licence if applied for</p>  | <p><b>Rectifiable or</b></p>   |



|  |  |  |  |   |
|--|--|--|--|---|
|  |  |  | <b>Medium</b> – tree(s) felled which would not have been granted a felling licence if applied for and not subject to a tree preservation order (TPO) | <b>Permanent</b> if mature tree(s) have been felled |
|  |  |  | <b>High</b> – tree(s) felled subject to a tree preservation order (TPO)  |   |

| B2 | You must not trim hedges or lop branches off trees during the bird nesting and rearing season starting on March 1 and ending on August 31 except for road safety reasons. Hedgelaying can be carried out up to and including March 31 |   |   |  |
|----|---|---|---|--|
|    | Description of breach   | Extent                                  | Severity  | Permanence   |
|    | The farmer has carried out hedge trimming and/or lopped branches off trees between 1 March and 31 August (inclusive)  | On farm effect<br>or<br>Off farm effect | Low - one length cut<br>Medium - two to four lengths cut<br>High – five or more lengths cut | Rectifiable<br>or<br>Permanent if there is evidence nests have been destroyed or birds have been disturbed |

**\* Severity relates to the shortfall in the buffer strip and the total distance within the business over which the shortfall occurs.**

| B3 | You must not cultivate land or apply fertilisers or pesticides within two metres of the centre line of a hedge, unless the exemptions apply  |   |  |  |
|----|--|---|--|--|
|    | Description of breach  | Extent                                  | Severity*  | Permanence   |
| B3 | <p>The farmer has cultivated land within 2m of the centre line of a hedge, and the following exemptions do not apply;</p> <ul style="list-style-type: none"> <li>— <b><i>Creating a green cover where one does not already exist</i></b></li> <li>— <b><i>Establishing a new hedge</i></b></li> </ul>  | On farm effect<br>or<br>Off farm effect | <p><b><u>Cultivations</u></b></p> <ul style="list-style-type: none"> <li>• <b>Within 1m of the centre line</b> <p><b>Very low</b> – up to 100m<br/> <b>Low</b> – over 100m up to 500m<br/> <b>Medium</b> – over 500m up to 1000m<br/> <b>High</b> – over 1000m</p> </li> <li>• <b>Between 1m and 2m of the centre line</b> <p><b>Very low</b> – up to 150m<br/> <b>Low</b> – over 150m to 800m<br/> <b>Medium</b> – over 800 up to 1500m<br/> <b>High</b> – over 1500m</p> </li> </ul>               | <p><b>Rectifiable or Permanent</b> if there is evidence the hedge has been damaged</p> |
| B3 | <p>The farmer has applied pesticides within 2m of the centre line of a hedge, and the following exemptions do not apply;</p> <ul style="list-style-type: none"> <li>— <b><i>Establishing a new hedge</i></b></li> <li>— <b><i>Controlling injurious weeds, invasive species and, after prior written consent certain other weed species</i></b></li> </ul> |   | <p><b><u>Applications of pesticides</u></b></p> <ul style="list-style-type: none"> <li>• <b>Within 1m of the centre line</b> <p><b>Very low</b> – up to 100m<br/> <b>Low</b> – over 100m up to 500m<br/> <b>Medium</b> – over 500m up to 1000m<br/> <b>High</b> – over 1000m</p> </li> <li>• <b>Between 1m and 2m of the centre line</b> <p><b>Very low</b> – up to 150m<br/> <b>Low</b> – over 150m to 800m<br/> <b>Medium</b> – over 800 up to 1500m<br/> <b>High</b> – over 1500m</p> </li> </ul> | <p><b>Rectifiable or Permanent</b> if there is evidence the hedge has been damaged</p> |

(B3 continued on next page)

|    |  |   |   |  |
|----|--|---|---|--|
| B3 | The farmer has applied fertilisers within 2m of the centre line of a hedge, and the following exemptions do not apply;<br><br>— <i>Establishing a new hedge</i>        | On farm effect<br>or<br>Off farm effect | <u>Applications of fertilisers</u><br><br>• Within 1m of the centre line<br><br>Very low – up to 100m<br>Low – over 100m up to 500m<br>Medium – over 500m up to 1000m<br>High – over 1000m  | Rectifiable<br>or<br>Permanent if there is evidence the hedge has been damaged |
|    |  |   | • Between 1m and 2m of the centre line<br><br>Very low – up to 150m<br>Low – over 150m to 800m<br>Medium – over 800 up to 1500m<br>High – over 1500m  |  |
| B4 | You must not alter, damage or destroy a Scheduled Ancient Monument without prior written consent of the Scottish Ministers (known as Scheduled Monument Consent (SMC)) |   |   |  |
|    | Description of breach  | Extent                                  | Severity  | Permanence   |
|    | The farmer has altered, damaged and/or destroyed any SAMs without prior consent of the Scottish Ministers (known as Scheduled Monument Consent (SMC))                  | On farm effect<br>or<br>Off farm effect | Low – SAM altered or damage caused but does not affect integrity of SAM and can be rectified.<br><br>Medium - Permanent damage caused but does not affect integrity of SAM.<br><br>High - Damage affected the integrity of the SAM. | Rectifiable<br>or<br>Permanent   |

## SMR 1 – Protection of water in Nitrate Vulnerable Zones (NVZ)

*The aim of these requirements is to reduce pollution of water caused or induced by nitrates from agricultural sources and to prevent further pollution from arising. They apply if you farm land within a Nitrate Vulnerable Zone (NVZ).*

| You must |   |   |   |             |
|----------|---|---|---|-------------|
| A1       | You must prepare an annual Fertiliser and Manure Management Plan by 1 <sup>st</sup> March   |   |   |             |
|          | Description of breach   | Extent                                  | Severity  | Permanence  |
| A1       | The farmer has not prepared a plan by 1 <sup>st</sup> March   | On-farm effect<br>or<br>Off-farm effect | High  | Permanent   |
| A1       | The farmer has not completed a storage calculation (where required)   | On-farm effect<br>or<br>Off-farm effect | High  | Permanent   |
| A1       | The farmer has not carried out a risk assessment for organic manures (if applied on farm)<br>or<br>The farmer has carried out an inaccurate risk assessment for organic manures | On-farm effect<br>or<br>Off-farm effect | Medium - Organic Manure applied but no obvious sign of pollution and other AP rules not breached as a result          | Rectifiable |
|          |   |   | High - Organic manure applied and pollution occurs as a result, or other AP rules breached as a result                | Permanent   |
|          |   |   | Very low - Risk assessment completed, but wrongly assessed (No actual pollution or breach of AP occurred as a result) | Rectifiable |
|          |   |   | High - Risk assessment completed, but wrongly assessed (Actual pollution or breach of AP occurred as a result)        | Permanent   |

*(A1 continued on next page)*

| A1<br>cont... | You must prepare an annual Fertiliser and Manure Management Plan by 1 <sup>st</sup> March |   |   |                    |
|---------------|---|---|---|--------------------|
|               | Description of breach   | Extent                                  | Severity  | Permanence         |
| A1            | The farmer has not completed an Nmax calculation  | On-farm effect<br>or<br>Off-farm effect | <b>Medium</b> - No nitrogen fertiliser has been applied to the crop type  | <b>Rectifiable</b> |
|               |   |   | <b>High</b> - Nitrogen fertiliser has been applied to the crop type   | <b>Permanent</b>   |
| A1            | The farmer has completed an incorrect Nmax calculation for a crop type                    | On-farm effect<br>or<br>Off-farm effect | <b>Very low</b> - Nmax calculated incorrectly, nitrogen already applied to the crop type but does not exceed actual Nmax. i.e. Crop type nitrogen fertiliser programme is complete or Nmax for crop type is never likely to be exceeded   | <b>Rectifiable</b> |
|               |   |   | <b>Medium</b> - Nmax calculated incorrectly, nitrogen already applied to the crop type but does not exceed actual Nmax. Crop type nitrogen fertiliser programme is not complete. i.e. further nitrogen fertiliser applications are required for crop type or is likely to exceed the Nmax limit for a crop type | <b>Rectifiable</b> |
|               |   |   | <b>High</b> - Nmax calculated incorrectly and nitrogen already applied to the crop type results in a breach of Nmax   | <b>Permanent</b>   |

| A2 | <p><b>You must prepare a fertiliser and manure plan annually, which must contain</b></p> <ul style="list-style-type: none"> <li>• areas of farm &amp; fields,</li> <li>• soil types,</li> <li>• quantity of nitrogen fertiliser applied to each crop,</li> <li>• type &amp; date of crop sown,</li> <li>• type and date of each application of nitrogen fertiliser to crops,</li> <li>• number of livestock, their species and type, and length of time kept on the farm,</li> <li>• quantity type and nitrogen content of livestock manures retained and used on the farm,</li> <li>• quantity, type and nitrogen content of livestock manures moved off the farm, the date of the movement and the name and address of the person receiving it ;</li> <li>• quantity, type and nitrogen content of organic manures imported moved onto the farm, the date of the movement and the name and address of the supplier; and</li> <li>• the quantity and type of chemical fertilisers brought onto, used and retained on farm.</li> </ul> <p><b>The occupier must retain these records for a period of 3 years from the end of the year to which the records relate</b></p> |   |          |            |
|----|--|---|----------|------------|
|    | Description of breach  | Extent                                  | Severity | Permanence |
|    | The farmer has no records or missing essential elements - unable to determine compliance with specific requirements of the Action Programme  | On-farm effect<br>or<br>Off-farm effect | High     | Permanent  |
| A3 | <p><b>Storage of livestock manure</b></p> <ul style="list-style-type: none"> <li>• You must have sufficient storage to meet the minimum stage requirements for your farm, taking into account any exclusions which apply.</li> </ul>   |   |          |            |
|    | Description of breach  | Extent                                  | Severity | Permanence |
|    | The farmer has insufficient storage to meet the minimum requirements   | On-farm effect<br>or<br>Off-farm effect | High     | Permanent  |





| A4 | You must comply with closed period restrictions for chemical and organic nitrogen fertilisers  |   |  |            |
|----|--|---|--|------------|
|    | Description of breach  | Extent                                  | Severity   | Permanence |
| A4 | The farmer has applied organic manures with high available N content during the relevant closed period.  | On-farm effect<br>or<br>Off-farm effect | High   | Permanent  |
| A4 | The farmer has applied chemical nitrogen fertiliser during the relevant closed period.   | On-farm effect<br>or<br>Off-farm effect | High   | Permanent  |
| A4 | The Farmer has applied Organic Manure with high available N content to bare ground or stubble during July, August or September and crop not sown within 6 weeks of the first application (subject to general compliance with the closed periods) | On-farm effect<br>or<br>Off-farm effect | <p><b>Very low</b> - No crop sown but able to demonstrate intention to sow and was prevented by severe weather conditions</p> <p><b>Medium</b> - Crop sown late, unable to justify late sowing of crop due to severe weather conditions following application</p> <p><b>High</b> - Crop not sown, unable to demonstrate intention to sow crop (no seed on farm or invoice to support intention to sow)</p> | Permanent  |
| A4 | The farmer has exceeded the Quantitative Restrictions either side of the closed period   | On-farm effect<br>or<br>Off-farm effect | Medium   | Permanent  |

|    |  |   |   |                  |
|----|--|---|---|------------------|
| A4 | The farmer has applied livestock manure to any area of the farm within 3 weeks of a previous application | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b> | <b>Low</b> - No Risk of pollution to the water environment<br><br><b>Medium</b> - Risk of Pollution to water environment or on an area which should be designated as high risk for livestock manure application | <b>Permanent</b> |
|----|--|---|---|------------------|

| A5 | You must maintain the structural integrity of manure and silage effluent stores and provide appropriate facilities at stores to prevent pollution of the water environment   |   |  |             |
|----|--|---|--|-------------|
|    | Description of breach  | Extent                                  | Severity   | Permanence  |
| A5 | The farmer's existing storage facility for manure or silage has structural defects or is leaking   | On-farm effect<br>or<br>Off-farm effect | Medium – No actual pollution of water Environment                    | Rectifiable |
|    |  |   | High – Actual pollution of water environment occurring, has occurred | Permanent   |
| A5 | The farmer is storing silage (except wrapped or bagged silage) in a facility that does not have an impermeable base, or does not have facilities for collecting run-off.<br><br>OR<br>The farmer's permanent storage facility for livestock manure (other than slurry) is either: <ul style="list-style-type: none"><li>• not sited on an impermeable surface</li><li>• on impermeable surface but not covered by waterproof covering, or</li><li>• does not have collection facilities for collecting run-off etc</li></ul> | On-farm effect<br>or<br>Off-farm effect | Medium – No actual pollution of water Environment                    | Rectifiable |
|    |  |   | High – Actual pollution of water environment occurring, has occurred | Permanent   |
| A6 | You must comply with farm and field based limits   |   |  |             |
|    | Description of breach  | Extent                                  | Severity   | Permanence  |
| A6 | The whole farm limit for livestock manure N breached   | On-farm effect<br>or<br>Off-farm effect | High   | Permanent   |
| A6 | The Individual field limit for organic manure, other than compost, breached  | On-farm effect<br>or<br>Off-farm effect | Medium   | Permanent   |
| A6 | The individual field limit for compost breached  | On-farm effect                          | Medium   | Permanent   |

|  |  |                              |  |  |
|--|--|------------------------------|--|--|
|  |  | or<br><b>Off-farm effect</b> |  |  |
|--|--|------------------------------|--|--|

| <b>You must not</b> |  |  |  |                   |
|---------------------|--|--|--|-------------------|
| <b>B1</b>           | <b>You must not apply slurry with a raised splash plate (except on growing arable crops)</b>     |  |  |                   |
|                     | <b>Description of breach</b>   | <b>Extent</b>                                    | <b>Severity</b>  | <b>Permanence</b> |
|                     | The farmer has applied slurry with raised splash-plate spreader (except on growing arable crops) | <b>On-farm effect<br/>or<br/>Off-farm effect</b> | <b>Low</b> or<br><b>High</b> – if pollution has occurred | <b>Permanent</b>  |

| <b>B2</b> | <b>You must not inappropriately use or locate field middens</b>                                |  |   |                    |
|-----------|--|--|---|--------------------|
|           | <b>Description of breach</b>   | <b>Extent</b>                                    | <b>Severity</b>   | <b>Permanence</b>  |
| <b>B2</b> | The farmer has temporary field heap containing non-solid manure                                | <b>On-farm effect<br/>or<br/>Off-farm effect</b> | <b>Very low</b> – No actual pollution of water environment                    | <b>Rectifiable</b> |
|           |  |  | <b>High</b> – Actual pollution of water environment occurring or has occurred | <b>Permanent</b>   |
| <b>B2</b> | The farmer has stored neat poultry manure in temporary field heap without an impermeable cover | <b>On-farm effect<br/>or<br/>Off-farm effect</b> | <b>Medium</b> – No actual pollution of the water environment                  | <b>Rectifiable</b> |
|           |  |  | <b>High</b> – Actual pollution of water environment occurring or has occurred | <b>Permanent</b>   |

(B2 continued on next page)

| B2<br>cont.... | You must not inappropriately use or locate field middens  |   |   |   |
|----------------|---|---|---|---|
|                | Description of breach   | Extent                                  | Severity  | Permanence  |
| B2             | The farmer has located a field heap within <ul style="list-style-type: none"> <li>10 metres of any surface water or</li> <li>50 metres of any well, borehole etc</li> </ul> Or on any other site that is a high risk or no spreading area | On-farm effect<br>or<br>Off-farm effect | <u>Location of field heap (surface water)</u> <ul style="list-style-type: none"> <li><b>Medium</b> – between 5m and 10m of any surface water</li> <li><b>High</b> – within 5m of any surface water</li> </ul> | <b>Permanent</b>  |
|                |   |   | <u>Location of field heap (borehole)</u> <ul style="list-style-type: none"> <li><b>Medium</b> – between 25m and 50m of a borehole</li> <li><b>High</b> – within 25m of a borehole</li> </ul>                  | <b>Permanent</b>  |
| B2             | The farmer has not used the contents of a temporary field heap within 12 months of manure first being placed there  | On-farm effect<br>or<br>Off-farm effect | <b>Very low</b> - (if very low risk of pollution <b>and</b> the heap is identified on the RAMS map to confirm this).  | <b>Rectifiable</b>  |
|                |   |   | <b>High</b> – (if high risk of pollution, and/or the heap is not identified on the RAMS map so low risk cannot be verified)   | <b>Rectifiable or Permanent</b> (if pollution has occurred) |
| B2             | The farmer has created a temporary field heap on the site of a previous heap within 24 months   | On-farm effect<br>or<br>Off-farm effect | <b>Very Low</b>   | <b>Rectifiable</b>  |

| B3 | You must not apply a nitrogen fertiliser to land when ground conditions are unsuitable or if there is a risk of the fertiliser entering a watercourse |        |          |            |
|----|---|--------|----------|------------|
|    | Description of breach   | Extent | Severity | Permanence |

|    |   |   |  |           |
|----|---|---|--|-----------|
| B3 | The farmer has applied Nitrogen fertiliser in an inaccurate manner.   | On-farm effect<br>or<br>Off-farm effect | Low or<br>High – if pollution has occurred   | Permanent |
| B3 | The farmer has applied Nitrogen fertiliser to land when: <ul style="list-style-type: none"> <li>the soil is waterlogged or the land is flooded</li> <li>the soil has been frozen for 12 hours or longer in the preceding 24 hours or the land is covered by snow</li> </ul> | On-farm effect<br>or<br>Off-farm effect | Medium   | Permanent |
| B3 | The farmer has applied organic manure to land situated within <ul style="list-style-type: none"> <li>10 metres of any surface water or</li> <li>50 metres of any well, borehole etc</li> </ul>  | On-farm effect<br>or<br>Off-farm effect | <u>Application of organic manure (surface water)</u> <ul style="list-style-type: none"> <li>Directly entering surface water <p>Medium – up to 50m<br/>High – over 50m</p> </li> </ul>                      | Permanent |
|    |   |   | <ul style="list-style-type: none"> <li>Within 5m of any surface water <p>Very low – up to 50m<br/>Low – over 50m up to 250m<br/>Medium – over 250m up to 500m<br/>High – over 500m</p> </li> </ul>         |           |
|    |   |   | <ul style="list-style-type: none"> <li>Between 5 and 10m of any surface water <p>Very low – up to 75m<br/>Low over - 75m up to 400m<br/>Medium – over 400m up to 750m<br/>High – over 750m</p> </li> </ul> |           |
|    |   |   | <u>Application of organic manure (borehole)</u> <p>Medium - between 25m and 50m<br/>High – within 25m</p>  | Permanent |



|    |  |   |  |                   |
|----|--|---|--|-------------------|
| B3 | The farmer has allowed nitrogen fertiliser of any type to enter a watercourse  | On-farm effect<br>or<br>Off-farm effect | High   | Permanent         |
| B3 | <p>The farmer has applied nitrogen fertiliser (organic manures or chemical fertiliser) to land, with a significant risk of the fertiliser entering surface water taking into account:</p> <ul style="list-style-type: none"> <li>the slope of the land, particularly if greater than 12 degrees</li> <li>any ground cover</li> <li>the proximity of the land to any surface water</li> <li>weather conditions</li> <li>the type of fertiliser being applied</li> </ul> | On-farm effect<br>or<br>Off farm effect | <p><b>Medium</b> – Risk of Nitrogen fertiliser entering surface water</p> <p><b>High</b> – Nitrogen fertiliser has entered surface water</p> | Permanent         |
| B4 | <b>You must not exceed the Nmax limit as calculated for any crop type</b>  |   |  |                   |
|    | <b>Description of breach</b>   | <b>Extent</b>                           | <b>Severity</b>  | <b>Permanence</b> |
|    | Nitrogen available to any crop type exceeds Nmax   | On-farm effect<br>or<br>Off-farm effect | High   | Permanent         |

## SMR 2 - Conservation of wild birds

*The aim of these rules is to protect wild birds, their eggs and nests if you have land classified as a Special Protection Area (SPA). They apply to all wild birds*

Breaches of SMR 2 can vary greatly. The Extent, Severity and Permanence of each breach will be assessed individually taking into account all the facts surrounding the breach. SGRPID may require to seek advice from Scottish National Heritage to obtain technical information to decide the categorisation of the breach.

| You must |   |   |                                   |                                |
|----------|---|---|-----------------------------------|--------------------------------|
| A1       | You must notify Scottish Natural Heritage in writing of any proposal to carry out, cause or permit any specified operation (i.e. ORC) (or where a special nature conservation order applies (unless covered by the terms of a management agreement, scheme or notice) and obtain consent before starting that operation |   |                                   |                                |
|          | Description of breach   | Extent                                  | Severity                          | Permanence                     |
| A1       | The farmer has carried out, caused or permitted a specified operation for which no notice/consent has been given  | On-farm effect<br>or<br>Off-farm effect | Low<br>or<br>Medium<br>or<br>High | Rectifiable<br>or<br>Permanent |
| A1       | The farmer has carried out, caused or permitted a specified operation on land where a special nature conservation order is in force for which no notice/consent has been given  | On-farm effect<br>or<br>Off-farm effect | Low<br>or<br>Medium<br>or<br>High | Rectifiable<br>or<br>Permanent |
| A1       | The farmer has carried out, caused or permitted a specified operation with notice/consent but has failed to adhere to the terms of the consent  | On-farm effect<br>or<br>Off-farm effect | Low<br>or<br>Medium<br>or<br>High | Rectifiable<br>or<br>Permanent |



| A2 | You must comply with any nature conservation, management, restoration orders relevant to the purpose of the SPA |   |                                   |                                |
|----|---|---|-----------------------------------|--------------------------------|
|    | Description of breach   | Extent                                  | Severity                          | Permanence                     |
| A2 | The farmer has failed to comply with a nature conservation order(Nature Conservation Act s. 23-27)              | On-farm effect<br>or<br>Off-farm effect | Low<br>or<br>Medium<br>or<br>High | Rectifiable<br>or<br>Permanent |
| A2 | The farmer has failed to comply with a land management order (Nature Conservation Act s. 29-36)                 |   |                                   |                                |
| A2 | The farmer has failed to comply with a restoration order (Nature Conservation Act s. 40)                        |   |                                   |                                |

| You must not |  |   |                                   |            |
|--------------|--|---|-----------------------------------|------------|
| B<br>1       | You must not intentionally or recklessly destroy or damage the special interest features of the area or disturb any fauna that are a special interest feature. (This requirement can apply to actions that take place other than on the SPA itself but which have the same consequences)   |   |                                   |            |
|              | Description of breach  | Extent                                  | Severity                          | Permanence |
|              | <p>The farmer has intentionally or recklessly caused damage or destruction of the special interest or disturbance of the fauna (that is also an interest feature of the SPA)</p> <p>You will not break the rules above, if:</p> <ul style="list-style-type: none"> <li>• you have a planning permission to carry out the work</li> <li>• you have consent from a public body or statutory authority that has complied with its duty to consult Scottish Natural Heritage before giving it consent</li> <li>• it is an emergency operation (provided that Scottish Natural Heritage is told as soon as possible after the emergency)</li> </ul> | On-farm effect<br>or<br>Off-farm effect | Low<br>or<br>Medium<br>or<br>High | Permanent  |

## SMR 3 - Conservation of flora and fauna

*The aim of these requirements is to protect species of flora and fauna, if you have land designated as a Special Area of Conservation (SAC)*

Breaches of SMR 3 can vary greatly. The Extent, Severity and Permanence of each breach will be assessed individually taking into account all the facts surrounding the breach. SGRPID may require to seek advice from Scottish National Heritage to obtain technical information to decide the categorisation of the breach.

| You must |   |   |                       |                                |
|----------|---|---|-----------------------|--------------------------------|
| A1       | You must notify Scottish Natural Heritage in writing of any proposal to carry out, cause or permit any specified operation (i.e. ORC) or where a special nature conservation order applies (unless covered by the terms of a management agreement, scheme or notice) and obtain consent before starting that operation. |   |                       |                                |
|          | Description of breach   | Extent                                  | Severity              | Permanence                     |
| A1       | The farmer has carried out, caused or permitted a specified operation for which no notice / consent has been given.   | On-farm effect<br>or<br>Off-farm effect | Low<br>Medium<br>High | Rectifiable<br>or<br>Permanent |
| A1       | The farmer has carried out, caused or permitted a specified operation on land where a Special Conservation Order (or Nature Conservation Order) applies for which no notice / consent has been given.   | On-farm effect<br>or<br>Off-farm effect | Low<br>Medium<br>High | Rectifiable<br>or<br>Permanent |
| A1       | The farmer has carried out, caused or permitted a specified operation with notice / consent but has failed to adhere to the terms of the consent.   | On-farm effect<br>or<br>Off-farm effect | Low<br>Medium<br>High | Rectifiable<br>or<br>Permanent |

| A2 | You must comply with any nature conservation, management, restoration orders relevant to the purpose of the SAC |   |                      |                                |
|----|---|---|----------------------|--------------------------------|
|    | Description of breach   | Extent                                  | Severity             | Permanence                     |
| A2 | The farmer has failed to comply with a nature conservation order (Nature Conservation Act s. 23-27)             | On-farm effect<br>or<br>Off-farm effect | Medium<br>or<br>High | Rectifiable<br>or<br>Permanent |
| A2 | The farmer has failed to comply with a land management order (Nature Conservation Act s. 29-36)                 |   |                      |                                |
| A2 | The farmer has failed to comply with a restoration order (Nature Conservation Act s. 40)                        |   |                      |                                |

| You must not |   |   |                                   |                                |
|--------------|---|---|-----------------------------------|--------------------------------|
| B1           | You must not intentionally or recklessly destroy or damage the protected features that are relevant to the purpose of the SAC or disturb any protected fauna that are a special interest feature. (This requirement can apply to actions that take place on land other than the SAC itself but which have the same consequences).   |   |                                   |                                |
|              | Description of breach   | Extent                                  | Severity                          | Permanence                     |
|              | <p>The farmer has intentionally or recklessly caused damage or destruction of the special interest or disturbance of the fauna that are also a special feature of the SAC</p> <p>You will not break the rules above, if:</p> <ul style="list-style-type: none"> <li>• you have a planning permission to carry out the work</li> <li>• you have consent from a public body or statutory authority that has complied with its duty to consult Scottish Natural Heritage before giving it consent</li> <li>• it is an emergency operation (provided that Scottish Natural Heritage is told as soon as possible after the emergency)</li> </ul> | On-farm effect<br>or<br>Off-farm effect | Low<br>or<br>Medium<br>or<br>High | Rectifiable<br>or<br>Permanent |

## SMR 4 – Food and Feed Law

*The aim of these requirements is to ensure the safe production of food for human consumption and food or feed that is fed to food producing animals (these requirements apply if you are a food or feed producer or keep food producing animals)*

| You must             |  |  |  |                  |
|----------------------|--|--|--|------------------|
| A1                   | You must arrange for unsafe food or unsafe feed to be withdrawn from the market if you believe you have supplied it and inform both your local authority and the Food Standards Scotland (FSS)   |  |  |                  |
| A2                   | You must destroy unsafe feed unless the competent authority tells you to do otherwise  |  |  |                  |
| A3                   | You must tell consumers of food, or the users of the feed, of the reason for any withdrawal if it may have reached them  |  |  |                  |
| A4                   | You must arrange for unsafe food or unsafe feed to be recalled if there is no other way of achieving a sufficiently high level of health protection  |  |  |                  |
|                      | Description of breach  | Extent   | Severity   | Permanence       |
| A1<br>A2<br>A3<br>A4 | Where there has been a feed safety incident and the farmer has not followed the due processes.<br><br>“Due processes” - procedures to withdraw feed include holding any unused stock and not using it for feed. Recall would include contacting customers receiving non-complying feed. The competent authorities that must be informed of a withdrawal or recall are either the local authority (the trading standards department) or the Food Standards Scotland. Destruction would probably be under the direction of a local authority inspector and would often be as a result of a sample of feed having been tested positive for a contaminant, which breached a statutory maximum permitted level. Other acceptable uses might be considered depending on the case as long as these did not have implications for the food chain (e.g. industrial use) | <b>Off-farm effect</b><br><br>The breach might be in relation to a nationwide recall of batches. A farmer must keep records of those they have immediately supplied with a feed but not other parties, which might receive the feed subsequently | <b>Medium</b> – if feed is unlikely to have an adverse affect on animal or consumer health<br><br><b>High</b> – if feed is likely to have an adverse affect on animal or consumer health | <b>Permanent</b> |
| A5                   | You must immediately tell both your local authority and the FSS if food which you have supplied, or is in your possession and you intend to sell, could be injurious to health and of the actions you have taken to prevent risks to the final consumer  |  |  |                  |
|                      | Description of breach  | Extent   | Severity   | Permanence       |
|                      | Where there has been a food safety incident and the farmer has not followed the requirements concerning notification, recall and withdrawal.   | <b>On Farm or Off-farm effect</b>  | <b>High</b>  | <b>Permanent</b> |





| Traceability |  |   |  |                    |
|--------------|--|---|--|--------------------|
| A6           | <p>You must put in place systems and procedures related to the traceability of inputs* to your farm.</p> <p>These systems must identify:</p> <ul style="list-style-type: none"> <li>• The name and address of your supplier</li> <li>• The nature and quantity of the products that were supplied to you</li> <li>• The date of the transaction (delivery)</li> </ul> <p>*Inputs are: food, feed, food-producing animals, and any other substance intended/ expected to be incorporated into a feed.</p> |   |  |                    |
|              | Description of breach  | Extent  | Severity   | Permanence         |
|              | Traceability of inputs - Key pieces of information are missing, or information is not kept at all.   | <p><b>On-farm effect</b></p> <p>Although limited to on-farm the consequences of poor traceability systems could affect entire food chain. This would only raise serious implications in the event of a recall/ withdrawal where records were unavailable and there was a serious risk to human health</p> | <p><b>Low</b> - Information largely available but incomplete (where records can be completed using information available on farm)</p> <p><b>Medium</b> –Poor or inadequate system of keeping the required information. Cannot fully meet inspection requirements (records can't be completed using information available on farm)</p> <p><b>High</b> - No system or information kept</p> | <b>Rectifiable</b> |
| A7           | <p>You must put in place systems and procedures related to the traceability of your products when they leave the farm.</p> <p>These systems must identify;</p> <ul style="list-style-type: none"> <li>• The name and address of your customer</li> <li>• The nature and quantity of the products that were supplied to that customer</li> <li>• The date of the transaction (when the product left the farm)</li> </ul>  |   |  |                    |
|              | Description of breach  | Extent  | Severity   | Permanence         |

|  |  |  |  |                    |
|--|--|--|--|--------------------|
|  | Traceability of outputs -Key pieces of information are missing, or information is not kept at all. | <p><b>On-farm effect</b></p> <p>Although limited to on-farm the consequences of poor traceability systems could affect entire food chain. This would only raise serious implications in the event of a recall/ withdrawal where records were unavailable and there was a serious risk to human health.</p> | <p><b>Low</b> - Information largely available but incomplete (where records can be completed using information available on farm)</p> <p><b>Medium</b> –Poor or inadequate system of keeping the required information. Cannot fully meet inspection requirements (records can't be completed using information available on farm)</p> <p><b>High</b> - No system or information kept</p> | <b>Rectifiable</b> |
|--|--|--|--|--------------------|

| A8                                     | You must store this information in a format which is readily available and produce it when requested  |   |   |                    |
|--|---|---|---|--------------------|
|  | Description of breach   | Extent  | Severity  | Permanence         |
|  | Information is kept but not in a systematic manner: it cannot be produced on demand, taking into account a test of reasonableness. (For Cross Compliance purposes, this effectively means within the period of the Cross Compliance inspection.)  | <b>On-farm effect</b><br><br>Although limited to on-farm the consequences of poor traceability systems could affect entire food chain. This would only raise serious implications in the event of a recall/ withdrawal where records were unavailable and there was a serious risk to human health. | <b>Low</b> - Information largely available but incomplete (where records can be completed using information available on farm)<br><br><b>Medium</b> –Poor or inadequate system of keeping the required information. Cannot fully meet inspection requirements (records can't be completed using information available on farm)<br><br><b>High</b> - No system or information kept   | <b>Rectifiable</b> |
| Hygiene of foodstuffs and feed hygiene |   |   |   |                    |
| A9                                     | You must store and handle waste and/or hazardous substances in order to prevent contamination to your food products or feed products  |   |   |                    |
|  | Description of breach   | Extent  | Severity  | Permanence         |
|  | <p>There is evidence of inappropriate handling of waste or hazardous substances which have the capacity to contaminate stored foodstuffs or feedstuffs.</p> <p>Waste or hazardous substances stored inappropriately which could cause contamination of stored foodstuffs or feedstuffs.</p> <p><i>Hazardous substances; are any that have the potential to cause an adverse effect on health (human or animal). There is no exhaustive list of waste and hazardous substances but may include such things as: slurry, dirty water/ run-off, silage effluent, waste metal, car batteries, sheep dip, plant protection products and biocides, fertilisers, veterinary products,</i></p> | <b>On farm</b>  | <b>Very Low</b> - Poorly stored/handled waste or hazardous substances, where there has been no contamination.<br><br><b>Low</b> - to be given if there is an increased risk of contaminating the feed. Inspectors to decide severity in each case<br><br><b>Medium</b> - e.g. gross contamination from poorly stored/ handled waste or hazardous substances. The product is still on farm. The non-compliance is unlikely to lead to a direct impact on human health. | <b>Rectifiable</b> |

|  |   |  |  |                  |
|--|---|--|--|------------------|
|  | <i>noxious chemicals, diesel. Please note that these are examples only.</i> | <b>Off Farm</b><br>In extreme cases: Not limited to on farm (i.e. when there has been a food/feed safety incident) | <b>High</b> - in extreme instances where non-compliance has led to, or can be linked to, food- borne disease with a direct impact on human health. Farmer has taken no steps to control or prevent the breach. | <b>Permanent</b> |
|--|---|--|--|------------------|

| A10 | You must take account of the results of any relevant analysis carried out on samples taken from primary products or other samples relevant to feed safety |   |   |                    |
|-----|---|---|---|--------------------|
|     | Description of breach   | Extent  | Severity  | Permanence         |
|     | The results of any analysis carried out indicate a possible risk to human health and the farmer has not taken any action to stop the risk.                | <b>On farm</b><br>Or<br><b>Off farm:</b> where there has been a food/feed safety incident."   | <b>Medium:</b> unlikely to have an adverse effect on human health.<br><br><b>High:</b> likely to have an adverse effect   | <b>Permanent</b>   |
| A11 | You must store feed away from chemicals or any other products prohibited for use as animal feed   |   |   |                    |
|     | Description of breach   | Extent  | Severity  | Permanence         |
|     | Feed not stored separately or is stored in direct contact with a product with the potential to cause contamination.                                       | <b>On farm</b><br>Or<br><b>Off farm</b> In extreme cases: Not limited to on farm (i.e. when there has been a food/feed safety incident) | <b>Very Low</b> - Feed is poorly stored or handled although not in contact with hazardous substances. The non-compliance is unlikely to lead to a direct impact on human health.<br><br><b>Low</b> - to be given if there is an increased risk of contaminating the feed. Inspectors to decide severity in each case<br><br><b>Medium</b> – e.g. Gross contamination from poorly stored / handled feed that has come into contact with hazardous substances (chemicals or other prohibited products). The feed product is still on farm. The non-compliance is unlikely to lead to a direct impact on human health. | <b>Rectifiable</b> |
|     |   |   | <b>High</b> - in extreme instances where non-compliance has led to, or can be linked to, food-borne disease or illness with a direct impact on human health. Farmer has taken no steps to control or prevent the breach.  | <b>Permanent</b>   |

|     |  |  |  |   |
|-----|--|--|--|---|
| A12 | You must keep storage areas and containers clean and dry and implement appropriate pest-control measures where necessary. Take particular care when cleaning storage areas and containers which are used to contain medicated and non-medicated feed.                        |  |  |   |
|     | Description of breach  | Extent   | Severity   | Permanence  |
|     | <ul style="list-style-type: none"> <li>- Farmer has not kept clean and/or dry and/or taken sufficient care when cleaning containers/areas used to store medicated and non-medicated feed.</li> <li>- Farmer has not implemented appropriate pest control measures</li> </ul> | <b>On farm</b><br>Or<br><b>Off farm:</b> where there has been a food/feed safety incident. | <b>Low:</b> insufficient care taken when cleaning containers/areas. The non-compliance is unlikely to lead to a direct impact on human and/or animal health.<br><br><b>Medium:</b> insufficient care taken when cleaning containers/areas which has led to contamination of feed. The feed is still on the farm. The non-compliance is unlikely to lead to a direct impact on human and/or animal health<br><br><b>High:</b> Non-compliance has led to, or can be linked to, food borne disease or illness with a direct impact on human and/or animal health. Farmer has taken no steps to control or prevent the breach. | <b>Permanent:</b> Where there has been a food/feed safety incident and traceability and/or full withdrawal is not possible.<br><br><b>Rectifiable:</b> in all other cases." |
| A13 | You must store seed properly and in such a way that it is not accessible to animals  |  |  |   |
|     | Description of breach  | Extent   | Severity   | Permanence  |

|  |  |  |   |  |
|--|--|--|---|--|
|  | Seed has not been stored in containers and/or areas that prevent animal access | <b>On farm</b><br><b>Or</b><br><b>Off farm:</b> where there has been a food/feed safety incident | <p><b>Low:</b> inappropriate storage. The non-compliance is unlikely to lead to a direct impact on human and/or animal health.</p> <p><b>Medium:</b> inappropriate storage and there is animal access to the seed. The non-compliance is unlikely to lead to a direct impact on human and/or animal health.</p> <p><b>High:</b> Non-compliance has led to, or can be linked to, food borne disease or illness with a direct impact on human and/or animal health. Farmer has taken no steps to control or prevent the breach.</p> | <p><b>Permanent:</b> Where there has been a food/feed safety incident and traceability and/or full withdrawal is not possible</p> <p><b>Rectifiable:</b> in all other cases.</p> |
|--|--|--|---|--|

| A14 | You must handle medicated and non-medicated feeds separately to prevent cross-contamination and store medicated feeds in such a way so they can't be fed by mistake to animals for which they're not intended   |   |  |   |
|-----|---|---|--|---|
|     | Description of breach   | Extent  | Severity   | Permanent   |
|     | Medicated feeding stuffs not clearly labelled as such and stored separately from non-medicated feed. Feeds are not separated in store via physical barrier or bagged.<br><br>No separate handling facilities for medicated feedings stuffs.   | On farm or Off farm In extreme cases: Not limited to on farm (i.e. when there has been a food/feed safety incident) | Very Low - Feed is poorly stored or handled although not in contact with medicated feeding-stuffs .The non-compliance is unlikely to lead to a direct impact on human health.<br><br>Low - to be given if there is an increased risk of contaminating the feed. Inspectors to decide severity in each case<br><br>Medium – e.g. Gross contamination from poorly stored / handled feed that has come into contact with medicated feed has contaminated non-medicated feed. The product is still on farm. The non-compliance is unlikely to lead to a direct impact on human health. | Rectifiable   |
|     |   |   | High - in extreme instances where non-compliance has led to, or can be linked to, food- borne disease or illness with a direct impact on human health. Farmer has taken no steps to control or prevent the breach.   | Permanent   |
| A15 | You must make sure the on farm feed distribution system ensures that the right feed is sent to the right destination. During distribution and feeding , feed must be handled in such a way as to ensure that contamination does not occur from contaminated storage areas and equipment |   |  |   |
|     | Description of breach   | Extent  | Severity   | Permanence  |
|     | On farm feed distribution system does not ensure that the right feed is sent to the right destination<br><br>Feed has been contaminated during its transit from the storage container/area to the feeding point.  | On farm or Off farm: where there has been a food/feed safety incident.  | Medium: feed fed to wrong animal/species and/or contaminated. The non-compliance is unlikely to lead to a direct impact on human and/or animal health  | Permanent: Where there has been a food/feed safety incident and traceability and/or full withdrawal is not possible |
|     |   |   | High: Non-compliance has led to, or can be linked to, food borne disease or illness with a direct impact on human and/or animal health. Farmer has taken no steps to control or prevent the breach.  | Rectifiable: in all other cases.  |





| A16 | You must periodically clean on farm feed transport vehicles and feeding equipment, in particular when used to deliver and distribute medicated feed  |   |   |   |
|-----|--|---|---|---|
|     | Description of breach  | Extent  | Severity  | Permanence  |
|     | Feed contaminated due to transport vehicles/equipment not cleaned sufficiently prior to use  | On farm<br>or<br>Off farm: where there has been a food/feed safety incident                     | Low: insufficient care taken when cleaning vehicles/equipment. The non-compliance is unlikely to lead to a direct impact on human and/or animal health.   | Permanent:<br>Where there has been a food/feed safety incident and traceability and/or full withdrawal is not possible<br><br>Rectifiable; in all other cases |
|     |  |   | Medium: insufficient care taken when cleaning vehicles/equipment which has led to contamination of feed. The feed is still on the farm. The non-compliance is unlikely to lead to a direct impact on human and/or animal health   |   |
|     |  |   | High: Non-compliance has led to, or can be linked to, food borne disease or illness with a direct impact on human and/or animal health. Farmer has taken no steps to control or prevent the breach.   |   |
| A17 | You must use feed additives, veterinary medicinal products and biocides correctly (if you use them on your farm) with dosage, application and storage as stated on the label or as prescribed. This includes making sure that food you produce does not contain residues of pesticides or veterinary medicinal products that are higher than the permitted maximum residue level (MRL) for the pesticide or medicine used  |   |   |   |
|     | Description of breach  | Extent  | Severity  | Permanence  |
| A17 | Evidence of feed additives, veterinary medicines or biocides being used incorrectly or inappropriately<br>For example: <ul style="list-style-type: none"><li>not mixed or stored correctly</li><li>not labelled</li><li>past their use-by dates</li><li>not used in accordance with the instructions/ dosage on the label (evidence from records of application)</li><li>withdrawal periods have been contravened (evidence from veterinary medicines records)</li></ul> | On-farm effect<br>or<br>Off-farm effect (i.e. when there has been a food/ feed safety incident) | Medium - gross contamination of feed not stored separately, or medicated feeds fed either in excess or to the wrong species. The non-compliance is unlikely to have a direct impact on human health<br><br>High - in extreme cases, where non-compliance has led to or can be linked with direct impacts on human health. The farmer has not controlled or prevented the breach | Permanent   |

(A17 continued on next page)

| A17<br>cont. | <b>You must use feed additives, veterinary medicinal products and biocides correctly (if you use them on your farm) with dosage, application and storage as stated on the label or as prescribed. This includes making sure that food you produce does not contain residues of pesticides or veterinary medicinal products that are higher than the permitted maximum residue level (MRL) for the pesticide or medicine used</b> |                                    |  |                   |
|--------------|--|------------------------------------|--|-------------------|
|              | <b>Description of breach</b>   | <b>Extent</b>                      | <b>Severity</b>  | <b>Permanence</b> |
| A17          | The farmer has placed food on the market that, on analysis of a sample, and taking account of measurement uncertainty, has been found to contain a pesticide residue that exceeds the statutory maximum residue level (MRL) for a pesticide found in the food tested.  | <b>On farm<br/>or<br/>Off farm</b> | <p><b>Low</b> - there is approval for the use of a pesticide on the crop, but the MRL set from residues of that pesticide has been exceeded. No safety or health concern arises from the breach of the MRL.</p> <p><b>High</b> - there is no authorisation for the use of the pesticide concerned on any crops in the UK. There is no authorisation for the use of the pesticide on the crop concerned. Safety concerns arise from the level of pesticide residue found;</p>   | <b>Permanent</b>  |
| A17          | The farmer has sold or supplied an animal for slaughter, or has sold/supplied milk, eggs or honey that, on analysis of a sample, has been found to contain residues of authorised veterinary medicinal products that exceed the maximum residue level (MRL) for the medicine used or an unauthorised substance.  | <b>Off farm</b>                    | <p><b>Low</b> - The medicine used was a UK authorised product or a product prescribed by a Veterinary Surgeon under the terms of the cascade. However the MRL set for residues of that medicine has been exceeded but complete (re origin of medicine + batch number + identity of animals treated) and contemporaneous medicine records kept show that the withdrawal period for the medicine concerned has been complied with.</p> <p><b>Medium</b> - The medicine used was a UK authorised product or a product prescribed by a Veterinary Surgeon under the terms of the cascade. However the MRL set for residues of that medicine has been exceeded and complete (re origin of medicine + batch number + identity of animals treated) and contemporaneous medicine records kept show that the withdrawal period for the medicine concerned has not been complied with.</p> <p><b>High</b> - The medicine used did not carry UK authorisation and has not been prescribed by a Veterinary Surgeon under the terms of the cascade or the medicine concerned has been prohibited for use in food producing animals or</p> <p>The medicine used was a UK authorised product or a product prescribed by a Veterinary Surgeon under the terms of the cascade</p> | <b>Permanent</b>  |

|  |  |  |   |  |
|--|--|--|---|--|
|  |  |  | but the MRL set for residues of that medicine has been exceeded and there are no complete (re origin of medicine + batch number + identity of animals treated) and contemporaneous medicine records kept to show that the withdrawal period for the medicine concerned has been complied with |  |
|--|--|--|---|--|

| A18 | <p><b>You must take adequate measures to prevent the introduction and spread of contagious diseases transmissible to humans through food.</b></p> <p><b>Which include:</b></p> <ul style="list-style-type: none"> <li>• ensure that all eligible animals conform to national herd / flock health surveillance and testing intervals for Tb</li> <li>• have a system in place regarding precautionary measures when new animals are introduced on-farm (e.g.; keep separate from rest of herd/flock to verify whether they carry disease or not)</li> <li>• inform the relevant authority of a disease incident on farm (<i>Note: diseases referred to here are the notifiable zoonotic diseases</i>)</li> <li>• report indicators of potential outbreaks (abortions) to relevant authorities</li> </ul> |  |   |  |
|-----|---|--|---|--|
|     | Description of breach   | Extent   | Severity  | Permanence   |
| A18 | Failure to ensure that all eligible animals conform to national herd / flock health surveillance and testing intervals for Tb.  | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b><br>(i.e. when there has been a food/ feed safety incident) | <b>Very Low</b> - where testing is overdue by between 1 and 10 days.<br><br><b>Low</b> - where testing is overdue by between 11 and 30 days.<br><br><b>Medium</b> – where testing is overdue by between 31 and 60 days.<br><br><b>High</b> - where testing is overdue by 61 days or more. | <b>Rectifiable</b> if the animal(s) are still on the farm and the test can still be completed<br><br><b>Permanent</b> if the animal(s) have been moved off the farm. |
| A18 | Clear evidence that farmer has no system in place regarding precautionary measures when new animals are introduced on-farm (e.g.; not kept separate from rest of herd/flock to verify whether they carry disease or not)  | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b><br>(i.e. when there has been a food/ feed safety incident) | <b>Medium</b> - where non-compliance has not led to, or can be linked to a food-borne disease with a direct impact on human health.<br><br><b>High</b> - where non-compliance has led to, or can be linked to , a food-borne disease with a direct impact on human health                 | <b>Permanent</b>   |
| A18 | The farmer has not informed APHA of a notifiable disease outbreak   | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b>  | <b>Medium</b> - where non-compliance has not led to, or can be linked to a food-borne disease with a direct impact on human health.   | <b>Permanent</b>   |

|     |   |   |  |  |
|-----|---|---|--|--|
| A18 | Evidence that the farmer has failed to report indicators of potential outbreaks (abortions) | (i.e. when there has been a food/ feed safety incident) | <b>High</b> - where non-compliance has led to, or can be linked to , a food-borne disease with a direct impact on human health |  |
|-----|---|---|--|--|

| A19 | You must source and use feed, for food-producing animals, from establishments that are registered and/or approved by your local authority |  |  |                  |
|-----|---|--|--|------------------|
|     | Description of breach   | Extent   | Severity   | Permanence       |
|     | Evidence that the farmer is sourcing and/ or using feed from establishments that are not registered/ approved                             | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b><br>- where there has been a food/ feed safety incident | <b>Low</b> - feed has been sourced from establishment not registered/approved in accordance with 183/2005 but there has been no contamination or risk to animal health or human health<br><br><b>High</b> - feed has been sourced from establishment not registered /approved in accordance with 183/2005 and has led to, or can be linked to, food-borne disease with a direct impact on human health; linked to animal illness death | <b>Permanent</b> |
| A20 | You must take appropriate remedial action when informed of problems identified during official controls.                                  |  |  |                  |
|     | Description of breach   | Extent   | Severity   | Permanence       |
|     | Farmer has not implemented the remedial action highlighted during previous official controls.   | <b>On farm</b><br><br><b>Off farm:</b><br>where there has been a food/ feed safety incident.                 | <b>Medium:</b> unlikely to have an adverse effect on human and/or animal health.<br><br><b>High:</b> likely to have an adverse effect on human and/or animal health  | <b>Permanent</b> |



| A21 | You must keep records on all of the following areas if they are relevant to your business: <ul style="list-style-type: none"> <li>• veterinary medicinal products, or other treatments, administered to your animals; the dates of the treatment and the withdrawal period.</li> <li>• the results of any analyses carried out on samples taken from food producing animals, plants or other samples taken for diagnostic purposes, that have importance for human health;</li> <li>• use of plant protection products and biocides.</li> <li>• any use of genetically modified seeds (in feed production)</li> </ul> |                |   |   |
|-----|---|----------------|---|---|
|     | Description of breach   | Extent         | Severity  | Permanence  |
|     | No records kept or records incomplete   | On-farm effect | <b>Low</b> - missing information or errors that can be rectified and a full assessment is possible<br><br><b>Medium</b> - sufficient partial records/incomplete records. Only information to allow a partial assessment.<br><br><b>High</b> - no records. | <b>Rectifiable</b> - if records can be corrected.<br><br><b>Permanent</b> - if records cannot be corrected. |

|  |
|--|
| <b>You must not</b>                          |
| Food and feed safety, withdrawal and recall: |

| B1 | You must not place unsafe food or unsafe feed on the market.  |                            |   |   |
|----|---|----------------------------|---|---|
|    | Description of breach   | Extent                     | Severity  | Permanence  |
|    | There is evidence that food that is unfit for consumption and/or injurious to health (for example, mould growth or pest infestation of grain) has been placed on the market and is not to be disposed of or used as feed.         | On Farm or Off-farm effect | High  | <b>Rectifiable</b> - If products still on farm and no evidence of sales<br>or<br><b>Permanent</b> |
| B2 | You must not feed unsafe feed to food-producing animals.  |                            |   |   |
|    | Description of breach   | Extent                     | Severity  | Permanence  |
|    | There is evidence that feed that is held for placing on the market or feed to food producing animals is obviously unsafe e.g. there are visible signs or other evidence of gross contamination such as mould or pest infestation. | On Farm or Off-farm effect | <p><b>Medium</b> – Clear visible signs or other evidence of gross contamination, feed has not been fed to animals but producer has failed to take steps to destroy or treat contamination.</p> <p><b>High</b> – Unsafe feed has been fed to food producing animals resulting in animal deaths or sickness, or food products have become contaminated.</p> | <b>Rectifiable</b> - If products still on farm and no evidence of sales<br>or<br><b>Permanent</b> |

| DAIRY HYGIENE REQUIREMENTS |   |                                  |  |   |
|----------------------------|---|----------------------------------|--|---|
| <b>You must</b>            |   |                                  |  |   |
| A22                        | <p>You must The following additional hygiene requirements apply where you are a producer of raw milk and/or colostrum (from any species). You must ensure that raw milk and/or colostrum comes from animals that:</p> <ul style="list-style-type: none"> <li>• are in a good general state of health</li> <li>• present no sign of disease that might result in the contamination of milk and/or colostrum and, in particular, are not suffering from any infection of the genital tract with discharge, enteritis with diarrhoea and fever, or a recognisable inflammation of the udder;</li> <li>• do not have any udder wound likely to affect the milk and/or colostrum;</li> <li>• are not within the prescribed withdrawal period following the administration of authorised products or substances</li> <li>• have not been administered with any unauthorised substances or products</li> </ul> |                                  |  |   |
|                            | Description of breach   | Extent                           | Severity   | Permanence  |
| A22                        | (BP 1-3) Evidence that milk and/or colostrum from animals showing signs of ill health (as could reasonably be determined by a non-vet, e.g. discharge, inflammation, udder wounds) has been included in the bulk tank.  | On Farm<br>or<br>Off-farm effect | <p><b>Low</b> – where milk is going for heat treatment.</p> <p><b>Medium</b> – where milk will not be heat treated</p> | <p><b>Rectifiable</b> - if in tank on farm<br/>or<br/><b>Permanent</b> - if found at processors</p> |
| A22                        | (BP 4) Evidence of milk and/or colostrum from treated animals that have not observed the required withdrawal time has been included in the bulk tank  | On Farm<br>or<br>Off-farm effect | High   | <p><b>Rectifiable</b> - if in tank on farm<br/>or<br/><b>Permanent</b> - if found at processors</p> |
| A22                        | (BP 5) Evidence of milk and/or colostrum from animals treated with an unauthorised substance has been included in the milk tank   | On Farm<br>or<br>Off-farm effect | High   | <p><b>Rectifiable</b> - if in tank on farm<br/>or<br/><b>Permanent</b> - if found at processors</p> |

| A23 | <p><b>As regards to tuberculosis and brucellosis, you must ensure that raw milk and/or colostrum comes from animals belonging to herds which have disease-free status.</b></p> <p><b>Where your herd/ holding is not free from tuberculosis or brucellosis, you may sell milk and/or colostrum from your non-reactor animals if:</b></p> <ul style="list-style-type: none"> <li><b>you are selling to a wholesaler who will heat treat the milk and/or colostrum before marketing it for human consumption, or</b></li> <li><b>the raw milk is from sheep/ goats and is intended to be made into cheese that has a maturation period of at least two months.</b></li> </ul> <p><b>Where your herd/holding is not free from tuberculosis or brucellosis, you must ensure that raw milk and/or colostrum from any reactor animal is not placed on the market for human consumption</b></p> |                 |  |            |
|-----|--|-----------------|--|------------|
|     | Description of breach  | Extent          | Severity   | Permanence |
|     | <p>A23 Evidence that milk and/or colostrum from non-reactor animals from herds or flocks that have lost their disease free status has been marketed for human consumption without being pasteurised (e.g. heat treated or the raw milk is from sheep or goats and is intended to be made into cheese that has a maturation period of at least two months)</p>  | Off-farm effect | <p><b>Medium</b> – all situations except where the producer sells raw milk directly to the final customer.</p> <p><b>High</b> – only if producer retails raw drinking milk directly to the final customer.</p> | Permanent  |
| A23 | Evidence that milk and/or colostrum from reactor animals has been marketed for human consumption   |                 |  |            |

| A24 | <p><b>You must isolate animals that are infected, or suspected of being infected, with tuberculosis and brucellosis must be effective in order to avoid any adverse effect on other animals' milk and/or colostrum</b></p> |         |  |            |
|-----|--|---------|--|------------|
|     | Description of breach  | Extent  | Severity   | Permanence |
|     | Evidence of failure to isolate animals that are infected or suspected to be infected   | On farm | <p><b>Low</b> – contact with herd mates and milk and/or colostrum has been heat treated</p> <p><b>High</b> – contact with susceptible livestock on neighbouring holdings and milk and/or colostrum has not been heat treated</p> | Permanent  |



| A25 | You must ensure that milking equipment and the premises where milk and/or colostrum is stored, handled or cooled must be located and constructed so as to limit the risk of contamination of milk   |   |  |                          |
|-----|---|---|--|--------------------------|
|     | Description of breach   | Extent  | Severity   | Permanence               |
|     | <p>Inadequate location or construction of such premises that is within the farmer's ability to do something about.</p> <p>Evidence that there is a significant risk of contamination occurring due to location of the milking equipment close to hazardous materials and/or due to poor construction and/or practices in maintenance of the milking shed or milk/colostrum storage area</p> | On-farm effect  | <p><b>Very low</b> – where there are minor problems with small risk of contamination</p> <p><b>Medium</b> – where the problems found show a higher risk of contamination of the milk and/or colostrum</p>  | Rectifiable or Permanent |
| A26 | You must ensure that premises used for the storage of milk and/or colostrum are:  |   |  |                          |
|     | <ul style="list-style-type: none"> <li>be protected against vermin - including birds and birds' nests;</li> <li>have adequate separation from premises where animals are housed</li> <li>have suitable refrigeration equipment in order to meet the post-milking cooling rules</li> </ul>   |   |  |                          |
|     | Description of breach   | Extent  | Severity   | Permanence               |
| A26 | Evidence that the premises used for storing milk and/or colostrum are not protected against vermin - including birds and bird's nests   | On-farm effect<br>Or<br>Off-farm effect (i.e. when there has been a food/feed safety incident or if food went off-farm) | <p><b>Medium</b> - gross infestation, inadequate separation or poor refrigeration and milk and/or colostrum is still on farm. The non-compliance is unlikely to lead to a direct impact on human health.</p> <p><b>High</b> - in extreme instances where non-compliance has led to/or can be linked to food borne disease from the milk and/or colostrum that has a direct impact on human health. Farmer has taken no steps to control or prevent the breach.</p> | Rectifiable              |
| A26 | Evidence that there is no adequate separation between the milk and/or colostrum storage area and the livestock housing  |   |  |                          |

|     |  |  |  |  |
|-----|--|--|--|--|
| A26 | Refrigeration equipment not working to the required level. |  |  |  |
|-----|--|--|--|--|

| A27 | You must ensure the surfaces of equipment that come into contact with milk and/or colostrum (utensils, containers, tanks etc.) are easy to clean, and disinfect where this is necessary. |                |  |             |
|-----|--|----------------|--|-------------|
|     | Description of breach  | Extent         | Severity   | Permanence  |
| A27 | The equipment that comes into contact with milk are not constructed of materials conducive to easy cleaning  | On-farm effect | <b>Low</b> - where there are minor problems with a small risk to human health (or contamination of milk) | Rectifiable |
| A27 | The materials are not made of smooth, washable and non-toxic materials   |                | <b>Medium</b> - where there is contamination and a risk to human health (or contamination of milk)       |             |

| A28 | You must clean (and disinfect where necessary) the surfaces of equipment that come into contact with milk and/or colostrum after use and maintain in a sound condition. |                |  |             |
|-----|---|----------------|--|-------------|
|     | Description of breach   | Extent         | Severity   | Permanence  |
| A28 | Dirty facilities and equipment  | On-farm effect | <b>Low</b> - where there are minor problems with a small risk to human health (or contamination of milk) | Rectifiable |
| A28 | Milk contact surfaces in the milking or storage area are contaminated (e.g stale milk residues, milk stone/mould)   |                |  |             |
| A28 | The surfaces of milking equipment intended to come into contact with milk are not in a sound condition  |                | <b>Medium</b> - where there is contamination and a risk to human health (or contamination of milk)       |             |

| A29 | <b>You must carry out milking hygienically, especially making sure that:</b> <ul style="list-style-type: none"> <li>• before milking starts, the teats, udder and adjacent parts are clean;</li> <li>• you satisfactorily identify animals undergoing any medical treatment which is likely to transfer residues to the milk and/or colostrum;</li> <li>• milk and/or colostrum from such animals, or any that are still within the withdrawal period is not used for human consumption</li> </ul> |                |  |  |
|-----|--|----------------|--|--|
|     | Description of breach  | Extent         | Severity   | Permanence                                   |
| A29 | Teats and udders not clean before cluster attachment at milking time. Milking routine or facilities are not robust enough for the cleanliness of the animals.  | On-farm effect | <b>Low</b> - all situations except where the producer sells raw drinking milk and/or colostrum directly to the final customer<br><b>High</b> - if producer sells raw drinking milk to the final customer | <b>Rectifiable</b><br>or<br><b>Permanent</b> |
| A29 | Animals that are undergoing medical treatment likely to transfer residues to the milk, or are still within the withdrawal period for that treatment are not adequately identified at milking   | On-farm effect |  |  |
| A29 | Such animals are not milked last and with the delivery pipe removed from the bulk tank, or using separate equipment e.g. separate dump bucket and cluster. [if such practices are not followed it could lead to milk obtained from these animals being sold for human consumption]   | On-farm effect | High   | <b>Rectifiable</b><br>or<br><b>Permanent</b> |



| <b>A30</b> | <p><b>You must immediately after milking, you must hold milk and/or colostrum in a clean place, designed and equipped to avoid contamination, immediately after milking. The milk must be cooled immediately to:</b></p> <ul style="list-style-type: none"> <li>• not more than 8°C if it is collected daily</li> <li>• not more than 6°C if it is not collected daily</li> </ul> <p><b>For the purposes of this requirement it is considered that “immediately” means within a reasonable and practicable time period (2 hours).</b></p> |   |  |                                 |
|------------|---|---|--|---------------------------------|
|            | Description of breach   | Extent  | Severity   | Permanence                      |
| A30        | Evidence of inappropriate storage of milk and/or colostrum. Storage facilities are not clean; and do not prevent contamination.   | <p><b>On-farm effect</b><br/>or<br/><b>Off-farm effect</b> (where there has been a food safety incident).</p>   | <p><b>Low</b> – inappropriate storage (no contamination)</p> <p><b>Medium</b> - dependent upon the levels and location of any contamination and the likelihood of it leading to a direct impact on human health</p> <p><b>High</b> - dependent upon the levels and location of any contamination and the likelihood of it leading to a direct impact on human health</p>   | <b>Rectifiable or Permanent</b> |
| A30        | <p>Milk and/or colostrum has not been cooled immediately (2 hours) following the end of milking and prior to collection. (NB It may not be practical to cool milk and/or colostrum immediately in all situations)</p> <p>(this can be observed on the tanker dockets and/or by taking temperature of milk or colostrum stored).</p>   | <p><b>On-farm effect</b> -the milk and/or colostrum will not be collected by the buyer or<br/>or<br/><b>Off-farm effect</b> - where there has been a food safety incident; milk and/or colostrum has left the premises.</p> | <p><b>Low</b> - non-compliance is unlikely to lead to a direct impact on human health.</p> <p><b>Medium</b> - where breach is seen as to be a very recent development and little or no effort is being made to rectify situation</p> <p><b>High</b> - where it is obvious that the facilities are not in effective operational order or are not suitable for the volume of milk to be stored (extra tanks outside dairies without cooling equipment for example) and no action is being taken to rectify situation</p> | <b>Rectifiable or Permanent</b> |

| ADDITIONAL REQUIREMENTS FOR EGG PRODUCERS  |   |  |          |                                |
|--|---|--|----------|--------------------------------|
| This hygiene requirement relates to all eggs in shell that are produced by farmed birds. |   |  |          |                                |
| <b>You must</b>  |   |  |          |                                |
| A31  | You must While they are on your premises, you must keep eggs clean and dry, free of extraneous odour, effectively protected from shocks and out of direct sunshine  |  |          |                                |
|  | Description of breach   | Extent   | Severity | Permanence                     |
|  | <p>Eggs kept in unsuitable conditions. For example close to moving agricultural machinery, in the tractor shed, close to bleach or diesel</p> <p>This hygiene requirement relates to all eggs in shell that are produced by farmed birds.</p> | <p><b>On-farm effect</b> where eggs have not left the premises</p> <p><b>Off-farm effect:</b> where there has been a food safety incident; eggs have left the premises</p> | Low      | Rectifiable<br>or<br>Permanent |

## SMR 5 – Restrictions on the use of substances having hormonal or thyrostatic action and beta-agonists in farm animals

*The aim of these requirements is to prohibit the illegal use in stock farming of substances that have a hormonal or thyrostatic action and beta-agonists, and to prevent the residues that these substances leave in meat and other foodstuffs from entering the human or animal food chain (they apply to you if you keep farmed animals)*

| You must |  |   |          |            |
|----------|--|---|----------|------------|
| A1       | You must observe the relevant withdrawal period if your food-producing animals have been given any of the restricted substances in line with the permitted exceptions  |   |          |            |
|          | Description of breach  | Extent  | Severity | Permanence |
|          | <p>The farmer has not observed the relevant withdrawal periods where food producing animals have been administered any of the restricted substances.</p> <p>Currently there are no authorised medicines containing thyrostats for farm animals.</p> <p>Failure to observe withdrawal periods only applies to slaughtered animals or to live animals from which products (usually eggs and milk) are taken.</p> | <p><b>On farm:</b> if the animal is still present.</p> <p><b>Off farm:</b> where animal has left the holding.</p> | High     | Permanent  |

| A2 | You must make veterinary medicinal records relating to restricted substances available to the competent authority, or anyone acting on behalf of the competent authority, on request   |                |  |   |
|----|--|----------------|--|---|
|    | Description of breach  | Extent         | Severity   | Permanence  |
|    | <p>Non-maintenance of records of permitted animal treatment with substances with hormonal or beta-agonists to food-producing animals contrary to Regulations 18 (if the administration is by the vet) or 19 (administration is by the farmer) of the Veterinary Medicines Regulations.</p> <p>Assessment of medicines records is often part of the procedure for Animal Health when they inspect farms.</p> <p>Where administration of the substances covered by SMR 5 is permitted under an exception, keeping the records required by the Veterinary Medicines Regulations is also required and failure to do so is a breach of SMR 5.</p> <p><i>Farmers must keep proof of purchase of all veterinary medicinal products for 5 years. This will include proof of purchase of any treatments relating to SMR 5. Therefore if a farmer has the appropriate proof of purchase but no or an incomplete record of use of an SMR 5 product this may provide evidence of an offence.</i></p> | On farm effect | <p><b>Low:</b> minor omissions in records of administration of SMR 5 substances or mistakes but inspector still able to make an assessment of compliance with withdrawal periods or trace treated animals.</p> <p><b>Medium:</b> records of administration of SMR 5 substances incomplete - only sufficient for inspector to make a partial assessment of compliance with withdrawal periods or trace treated animals.</p> <p><b>High:</b> no records of administration of SMR 5 substances – or inspector unable to make an assessment of compliance with withdrawal periods or trace treated animals</p> | <p><b>Rectifiable</b><br/>or<br/><b>Permanent:</b><br/>depending on time-lag between suspected treatment and whether farmer is in possession of any information that would enable him to make a record.</p> |

| You must not |   |  |                    |  |
|--------------|---|--|--------------------|--|
| B1           | You must not give food-producing animals restricted substances (unless in line with any permitted exceptions)   |  |                    |  |
|              | Description of breach   | Extent   | Severity           | Permanence   |
|              | <p>The farmer has administered restricted substances with hormonal or thyrostatic action or beta-agonists to food-producing animals</p> <p><b>Note: some exemptions exist:</b></p> <ul style="list-style-type: none"> <li>• Authorised veterinary medicinal products (VMPs) containing betaagonists prescribed by a veterinary surgeon may be administered by a vet, or by a farmer under direction of a vet, to equidae and pets.</li> <li>• Authorised VMPs containing beta-agonists prescribed by a veterinary surgeon may be administered by a vet by injection to treat or induce tocolysis in cows during calving.</li> <li>• Authorised VMPs with a gestogenic, oestrogenic (other than oestradiol 17β and its ester-like derivatives) or androgenic action prescribed by a veterinary surgeon may be administered by a vet, or by a farmer under direction of a vet, for the synchronisation of oestrus or for the preparation of donors or recipients for the implantation of embryos</li> </ul> <p><b>Note:</b> Evidence for this breach may come from the detection in samples taken from live animals or from samples taken at slaughterhouses.<br/>Evidence may also come from the detection in feed or water of unauthorised substances having hormonal or thyrostatic action or betaagonists</p> <p>Only the farmer's own veterinary surgeon or a UK registered pharmacy acting in accordance with a veterinary prescription should have supplied drugs covered by SMR10. However, obtaining such products from a non-authorised source may not in itself constitute a breach of SMR 5, if it is a UK authorised product and is covered by a prescription.</p> | <p><b>On farm</b></p> <p><b>Off farm:</b> if the animals have left the farm.</p> | <p><b>High</b></p> | <p><b>Rectifiable:</b> only where animals are found on farm and it can be established that no products have entered the food chain;</p> <p>or <b>Permanent</b></p> |

| B2 | You must not have substances on your farm that contain beta-agonists to induce tocolysis in cows when calving   |  |          |   |
|----|---|--|----------|---|
|    | Description of breach   | Extent   | Severity | Permanence  |
|    | <p>The farmer is in possession of any substance containing a beta-agonist that may be used for induction purposes in the treatment of tocolysis.</p> <p><i>Note: Any prescription may not be available in written form on the farm. But the farmer should be able to demonstrate who prescribed the medicinal product and this should be followed up to verify. As farmers are required to keep the proof of purchase of all veterinary medicinal products for 5 years this should be available to identify the supplier of the source of the medication.</i></p> <p><b>Some banned substances have legitimate uses as medicines for humans and companion animals. If the inspector is satisfied that any products found are for these purposes, no breach of SMR 5 has occurred. Where illegal possession is suspected or has been established, an assessment will have to be made as to whether illegal administration has also taken place (see above).</b></p> <p><i>Inspectors may also have to take into account that medicines may be found that were legally obtained, but have since ceased to be authorised. The continued possession of such products is unlawful.</i></p> | On-farm effect   | High     | <b>Rectifiable</b> - as any illegally possessed products can be seized by an inspector appointed under the Veterinary Medicines Regulations |
| B3 | You must not have food producing animals on your farm to which a restricted substance has been administered (unless given in line with any permitted exceptions)  |  |          |   |
|    | Description of breach   | Extent   | Severity | Permanence  |
| B3 | - The farmer is in possession of animals with residues in any tissues or body fluids at concentrations that indicate illegal administration to food producing animals of substances with hormonal or thyrostatic action or beta-agonists  | <b>On-farm:</b> where it is found that an animal and/or animal products have left the farm it will | High     | <b>Rectifiable</b>  |

|    |   |   |  |  |
|----|---|---|--|--|
| B3 | The farmer is in possession of animals with residues in any tissues or body fluids at concentrations that indicate non-compliance with an authorised SMR 5 product's stated dosing instructions | be necessary to consider whether a breach has occurred under SMR 5 breach B4 and/or B5. |  |  |
|----|---|---|--|--|

| B4 | You must not place on the market or send to slaughter for human consumption any animal to which a restricted substance has been administered (unless given in line with any permitted exceptions)  |   |             |  |
|----|--|---|-------------|--|
|    | Description of breach  | Extent  | Severity    | Permanence   |
|    | <p>The farmer has placed on the market or sent to slaughter for human consumption animals with residues in any tissues or body fluids at concentrations that indicate illegal administration to food-producing animals of substances with hormonal or thyrostatic action or beta-agonists.</p> <p>Certain exemptions apply - see Regulation 9 of SI 1997 No.1729 as amended.</p> | <p><b>On-farm</b></p> <p><b>Off farm:</b> if the animals have left the farm</p> | <b>High</b> | <p><b>Rectifiable:</b> in cases where the animals can be prevented from entering the food chain;</p> <p>or</p> <p><b>Permanent:</b> in cases where the animals cannot be prevented from entering the food chain.</p>       |
| B5 | You must not place on the market meat, or any other animal product, derived from an animal to which any restricted substance has been administered (unless given in line with any permitted exceptions)  |   |             |  |
|    | Description of breach  | Extent  | Severity    | Permanence   |
|    | <p>The farmer placed on the market meat or animal products from animals with residues at concentrations that indicate illegal administration of substances with hormonal or thyrostatic action or beta-agonists.</p>   | <b>Off-farm effect</b>  | <b>High</b> | <p><b>Rectifiable:</b> in cases where the produce can still be prevented from entering the food chain;</p> <p>or</p> <p><b>Permanent:</b> in cases where the produce cannot be prevented from entering the food chain.</p> |



## SMR 6 – Livestock Identification and Traceability - Pigs

*The aim of these requirements is to establish a system for the identification and registration of pigs to facilitate their traceability, in particular in the event of a disease outbreak (they apply to you if you keep pigs)*

For cross compliance purposes, you do not need to do anything more than you are already required to do by law for the identification and registration of pigs. The key elements of the pig tracing system, that applies specifically for cross compliance purposes, are listed below. This is a summary only. For a full explanation of your legal obligations, you should refer to the relevant legal provisions.

### **Requirement 1- Identification of pigs.** You must,

Identify your pigs before they leave your holding in one of the following ways:

- For movements out with the UK, to an exhibition, show, semen collection centre, under a walking licence or for breeding purposes where return is intended, pigs must be permanently identified with an approved ear tag or tattoo including unique identifier
- For movements to a market or slaughterhouse, pigs may either be permanently identified with an approved ear tag, tattoo or a slap mark.
- For farm to farm movements of pigs under 12 months old pigs may either be permanently identified with an approved eartag, tattoo, slap mark or a temporary mark which must last at least until the pig reaches its destination.
- Permanent identification that has become illegible or has been lost must be replaced as required.

An animal's identification must not be removed or replaced without authority issued by Scottish Ministers, details of which can be found in the Pig Identification and Registration – Guidance for keepers in Scotland (issued October 2011)

| Description of breach   | Extent   | Severity  | Permanence                      |
|---|--|---|---------------------------------|
|   |  | The highest severity that applies is used. This is dictated by either the number of animals or percentage of animals sampled  |                                 |
| Evidence that movements have taken place without the required identification            | <p><b>On farm effect:</b> where pigs are on the holding and should be identified, but are not</p> <p><b>Off farm effect:</b> where there is evidence that pigs have moved off the holding without being correctly identified</p>   | <p><b>Low:</b> Less than 5 pigs or less than 10% of pigs not correctly identified</p> <p><b>Medium:</b> 5 or more pigs or between 10% and 20% (inclusive) of pigs not correctly identified</p> <p><b>High:</b> More than 20% of pigs not correctly identified</p> | <b>Rectifiable or Permanent</b> |
| Pigs with lost or illegible identification and the identification has not been replaced | <p><b>On farm effect:</b> where animals which should have an ear tag or tattoo but do not, are on the holding</p> <p><b>Off farm effect:</b> where there is evidence that animals which should have had an ear tag or tattoo but did not, have moved off the holding</p> | <p><b>Medium:</b> Keeper has failed to comply with a notice, issued at inspection, requiring identification to be replaced and the replacement recorded (if applicable).</p>  | <b>Rectifiable or Permanent</b> |

|  |  |   |                                 |
|--|--|---|---------------------------------|
| Identification has been removed or replaced without authority issued by Scottish Ministers | <b>On farm effect<br/>or<br/>Off farm effect</b> | <b>High:</b> Where any pig is found to have had permanent identification removed or replaced without authority. | <b>Rectifiable or Permanent</b> |
|--|--|---|---------------------------------|

**Requirement 2- Record Keeping.** You must,

Maintain a separate register for each holding (CPH) that you keep pigs on, make your records available to SGRPID or local authority on request and retain records for a minimum period of three years from the last record entry.

You must record

- The holding address including CPH and the name and address of the keeper

You must record details of the movement of pigs on and off your holding within 48 hours of the movement date, including

- The date of the movement
- The number of pigs moved
- The identification of the pigs moved (either temporary mark or identification number, including unique individual identification if applicable)
- The address and CPH number where the pigs were moved from / to

You must record the number of pigs on the holding at least once a year

You must record the details of replacement identification as a result of identification becoming lost or illegible, cross referencing the new identifier to the original identifier (unless the replacement used is identical to the original)

| Description of breach   | Extent   | Severity  | Permanence                      |
|---|--|---|---------------------------------|
| Failure to keep records or failure to provide the records for inspection. | <b>On farm effect:</b> evidence suggests no pig movements have taken place<br><br><b>Off farm effect:</b> evidence suggests pig movements have taken place   | <b>High:</b> No verifiable records  | <b>Rectifiable or Permanent</b> |
| Failure to record complete movement details                               | <b>On farm effect:</b> where the missing information relates to pigs moved onto the holding<br><br><b>Off farm effect:</b> where the missing information relates to pigs that have moved off the holding | <u><b>Records incomplete</b></u><br><b>Very Low:</b> Less than 5 movement records do not have all the required information<br><br><b>Low:</b> 5 to 10 movement records do not have all the required information<br><br><b>Medium:</b> Greater than 10 movement records do not have all the required information | <b>Rectifiable or Permanent</b> |

|   |  |   |                                 |
|---|--|---|---------------------------------|
|   |  | <b>No records</b><br><b>Medium:</b> Less than 5 movements are not recorded<br><br><b>High:</b> 5 or more movements are not recorded |                                 |
| Failure to record the number of pigs on your holding in the register at least once per year | <b>On farm effect</b>  | <b>Low:</b> Failure to record the number of pigs on the holding in the previous year  | <b>Rectifiable or Permanent</b> |
| Failure to maintain a record of replacement identification                                  | <b>On farm effect:</b> where the animals are still on the holding<br><br><b>Off farm effect:</b> where there is evidence that animals may have moved off the holding | <b>Medium:</b> Evidence that new identifiers have been inserted but no record of replacement identification has been kept           | <b>Rectifiable or Permanent</b> |

**Requirement 3 – Movement Notification.** You must,

Notify Scottish Ministers via the ScotEID database of movements onto and off your holding (except for movements for veterinary treatment). Note where the movement on/off is notified electronically to ScotEID, no movement document is required (except for movement of pigs that are under 12 months old and identified with a temporary mark, or where the pigs are moving to England, Wales or Northern Ireland).

For movements off you must provide the following details either prior to the movement or on the day of the movement -

- Address details, including postcode and CPH number of the holdings from and to which the pigs are being moved (except when the pig is moving to a show but the holding which it will be moved after the show is not known, notification must take place within 3 days commencing on the day of the move from the show)
- The date of the movement
- The number of pigs moved
- The identification mark of each pig moved

For movements on you must confirm to ScotEID the following details within 3 days (including day of arrival) of the pigs arriving on the holding -

- Address details, including postcode and CPH number of the holdings from and to which the pigs are being moved
- The date of the movement
- The number of pigs moved
- The identification mark of each pig moved
- And where the pig is being moved from a market, the lot number of the pigs being moved

| Description of breach  | Extent          | Severity  | Permanence               |
|--|-----------------|---|--------------------------|
| Failure to notify movements and/or all required information notified to ScotEID  | Off farm effect | <b>Movement records</b><br><b>Low:</b> Up to 5 movement notifications do not have all the required information                      | Rectifiable or Permanent |
|  |                 | <b>Medium:</b> Over 5 movement notifications do not have all the required information   |                          |
|  |                 | <b>No record</b><br><b>Medium:</b> Up to 5 movements have not been notified<br><b>High:</b> Over 5 movements have not been notified |                          |
| Mandatory information for movements supplied to ScotEID prior to announcement of inspection but outwith legislative deadline | On farm effect  | <b>Very Low:</b> Up to 5 movement notifications reported outwith legislative deadline   | Rectifiable              |
|  | Off farm effect | <b>Very Low:</b> Between 6 and 10 movement notifications reported outwith legislative deadline                                      |                          |
|  | Off farm effect | <b>Low:</b> 10 or more movement notifications reported outwith legislative deadline   |                          |

**Requirement 4 – Registration as a keeper of pigs.** You must,

- Register your details with your local Animal and Plant Health Agency (APHA) office, as a keeper of pigs, within one month of establishing your holding.
- Notify your local Animal and Plant Health Agency (APHA) office of any change to your details, within one month of the change

| Description of breach                                   | Extent          | Severity  | Permanence               |
|---|-----------------|---|--------------------------|
| Failure to have up to date details registered with APHA | Off farm effect | <b>Low:</b> Registration details have not been updated within one month<br><b>Medium:</b> No registration | Rectifiable or Permanent |

## SMR 7 – Livestock Identification and Traceability - Cattle

**The aim of these requirements is to establish a system for the identification and registration of cattle to facilitate their traceability, in particular in the event of a disease outbreak. Within this SMR, 'cattle' means all bovine animals.**

For cross compliance purposes, you do not need to do anything more than you are already required to do by law for the identification and tracing of cattle. The key elements of the cattle tracing system (CTS), which applies specifically for cross compliance purposes, are listed below. This is a summary only. For a full explanation of your legal obligations, you should refer to the relevant legal provisions and the British Cattle Movement Service (BCMS) Cattle Keeper's handbook and relevant ScotMoves guidance on the Scottish Government and ScotEID websites. Note the CTS system includes the information held on both the CTS database (administered by BCMS on behalf of Scottish Ministers) and the ScotMoves database (administered by ScotEID on behalf of Scottish Ministers).

### **Eartags**

- Each calf born on your holding (or cattle imported from outside the European Union - EU) must be double tagged with Scottish Minister approved eartags with the same unique identification code.
- Dairy calves must be tagged with one eartag within 36 hours of birth and within 20 days of birth for the second eartag. Bison calves to be tagged within 9 months of birth or when they are separated from their mother, if this is earlier. Any other calves must be tagged within 20 days of birth, or before they leave the holding, if this is sooner.
- Eartags must not be removed or replaced without permission from Scottish Ministers. Illegible or lost tags must be replaced within 28 days of discovery of the loss, or before the animal leaves the holding, if this is sooner.
- You must not alter, obliterate or deface an eartag.

### **Notifications**

- Births must be notified to BCMS within seven days of tagging
- Deaths on your holding must be notified to BCMS within seven days.
- Movements of cattle on and off a holding must be notified to BCMS within three days. If you elect to use ScotMoves to notify within business moves the movement notification period to ScotEID is 3 days.
- Note - if your animals move directly from or to a market or (most) abattoirs in Scotland, the movement 'on' and 'off' farm will be electronically transmitted to BCMS on your behalf. It is your responsibility to ensure the market/abattoir will complete the move and movement details accurately and timeously on your behalf.

| Description of breach  | Extent                                  | Severity  | Permanence                     |
|--|---|---|--------------------------------|
| Breaches to be assessed in line with the CII discrepancy tables. | On Farm effect<br>or<br>Off Farm effect | Very Low<br>or<br>Low<br>or<br>Medium<br>or<br>High | Rectifiable<br>or<br>Permanent |
| Refer to the Cattle Penalty Calculator in the following Section  |   |   |                                |

#### Holding registers

- You must keep an up-to-date on farm holding register, which includes for each animal: official eartag number; dam's official eartag number; date of birth; sex; breed, date of movements on and off holding; details of where the animal has moved to or from (including previous and next keeper information) and date of death if animal dies on holding.
- The register must be completed within 48 hours of a movement, within seven days of a death and within seven days of a birth in a dairy herd (or within 30 days of the birth of any other calf).
- The register must be kept for 10 years if you are still a cattle keeper, and three years in any other case from the end of the calendar year in which the last entry was made and be available to SGRPID or local authority on request.
- Note - If you elect to use ScotMoves to notify within business movements you can use the ScotMoves database movement information to comply with your holding register movement recording requirements. For all other mandatory information as per first bullet point you must still keep a separate (paper or electronic) on farm holding register containing the information.

| Description of breach  | Extent                                  | Severity  | Permanence                     |
|--|---|---|--------------------------------|
| Breaches to be assessed in line with the CII discrepancy tables. | On Farm effect<br>or<br>Off Farm effect | Very Low<br>or<br>Low<br>or<br>Medium<br>or<br>High | Rectifiable<br>or<br>Permanent |
| Refer to the Cattle Penalty Calculator in the following Section  |   |   |                                |

# Penalty procedures for breaches of SMR 7 - Animal Identification and Registration - Cattle

Breaches of cross compliance are assessed against the following criteria –

- **Intent** whether errors are attributed to negligence or intentional non-compliance
- **Extent** whether effects are confined to on-farm or off-farm
- **Severity** the highest determined severity level is applied
- **Permanence** whether the errors are rectifiable – in a reasonable period of time, or are permanent
- **Repetition** the same CII error found at inspection within a 3 calendar year period

During cattle inspections checks are made to ensure compliance with current regulations. Any area of non-compliance (discrepancy) which is identified is allocated a CII (Cattle Identification Inspection) code.

Each CII error has been allocated a Severity score for Cross Compliance purposes depending on its relative seriousness.

Each CII code has also been defined as having either “On farm” or “Off farm” extent, which is dependent on whether the breach is classed as having a far reaching impact or limited to the farm itself.

The individual codes are also classified according to Permanence as either Rectifiable or Permanent.



# Cattle Penalty Calculator

The table below shows the 13 CII codes, their scores, Extent and also the Permanence.

| <b>Code</b> | <b>Discrepancy Description</b><br>Note - reference to CTS means either the CTS cattle database or ScotMoves cattle database.                | <b>Score</b> | <b>Extent</b>      | <b>Permanence</b>       |
|-------------|---|--------------|--------------------|-------------------------|
| FM          | Failure to report movement to CTS within legislative deadline   | 1            | Off farm           | Rectifiable             |
| ID          | Dam id error (other than space or leading zero issues)  | 0.3          | On farm / Off farm | Rectifiable             |
| LZ          | Dam id error (space or leading zeros issues)  | 0            | On farm / Off farm | Rectifiable             |
| NF          | Animal details not found in farm records  | 1            | Off farm           | Permanent               |
| MV          | Movement details incorrectly reported to CTS  | 0.4          | On farm / Off farm | Rectifiable             |
| DB          | Registered with an incorrect date of birth  | 0.7          | On farm / Off farm | Rectifiable             |
| DD          | Failure to report animal death to CTS within legislative deadline   | 1            | Off farm           | Rectifiable             |
| NA          | Documents present but animal not found  | 1            | Off farm           | Rectifiable             |
| OP          | Registered with an incorrect sex or breed   | 0.1          | On farm / Off farm | Rectifiable             |
| TG1         | Post 1/1/98 animal that has lost both tags but can still be identified by other means.  | 0.3          | On farm / Off farm | Rectifiable / Permanent |
| TG2         | Animal incorrectly tagged for age   | 1            | On farm / Off farm | Rectifiable / Permanent |
| TG3         | Lost a tag but still identifiable (double or single)  | 0.1          | On farm / Off farm | Rectifiable / Permanent |
| LB          | Mandatory information for births supplied to CTS prior to announcement of inspection but outwith the legislative deadline                   | 0.1          | On farm / Off farm | Rectifiable             |
| LM          | Mandatory information for movements supplied to CTS prior to announcement of inspection but outwith the legislative deadline                | 0.1          | On farm / Off farm | Rectifiable             |
| LD          | Mandatory information for deaths supplied to CTS prior to announcement of inspection but outwith the legislative deadline                   | 0.1          | On farm / Off farm | Rectifiable             |
| LR          | Mandatory information for holding register entries supplied to CTS prior to announcement of inspection but outwith the legislative deadline | 0.1          | On farm / Off farm | Rectifiable             |

The scores allocated to each discrepancy found are added up, (including multiple errors for a single animal), which is known as the **absolute severity score**.

The absolute severity score is then converted to a **percentage severity score**, which is established by dividing the absolute score by the number of “animals inspected” and multiplying that figure by 100.

These two figures are then assessed against the threshold severity levels listed in the table below and the highest is taken forward in determining the level of financial penalty.

| Absolute Severity Table |                   |
|-------------------------|-------------------|
| Score                   | Absolute Severity |
| 0.01 - 1.99             | Very Low          |
| 2.00 - 4.99             | Low               |
| 5.00 – 10.00            | Medium            |
| 10.01 +                 | High              |

| % Severity Table |                     |
|------------------|---------------------|
| Score            | Percentage Severity |
| 0.01 – 10.00     | Very Low            |
| 10.01 – 40.00    | Low                 |
| 40.01 – 60.00    | Medium              |
| 60.01 +          | High                |

If the inspection result includes **at least one** ‘Off Farm’ error then the inspection is considered to have an ‘Off Farm’ extent.

Similarly, if the inspection result includes **at least one** ‘Permanent’ error then the inspection is considered to have a ‘Permanent’ effect.

The following two examples demonstrate how a breach of CII requirements can result in a cross compliance penalty.

### Example 1:

Following an inspection it is determined that:

- 1 animal has died and the death has not been notified to CTS,
- 3 animals moved onto the holding but the incorrect date of movement had been reported to CTS,
- 1 animal present at inspection was discovered to have incorrect dam details recorded on the CTS ,
- The number of “animals inspected” (seen and / or record checked) was 66.

The discrepancies identified attracted the following score:

| Code | Discrepancy Description   | Score            | Extent   | Permanence  |
|------|---|------------------|----------|-------------|
| DD   | Failure to report animal death to CTS within legislative deadline | 1.0              | Off farm | Rectifiable |
| MV   | Movement details incorrectly reported to CTS                      | 1.2<br>(0.4 x 3) | On Farm  | Rectifiable |
| ID   | Dam id error (other than space or leading zero issues)            | 0.3              | On Farm  | Rectifiable |

The Absolute Score is calculated as follows:  $1.0 + 1.2 + 0.3 = 2.5$

The Percentage is calculated as follows:  $2.5 \text{ (absolute score)} \div 66 \text{ (animals inspected)} = 0.037 \times 100 = 3.79\%$

These scores are assessed against the threshold severity levels. In this example:

Absolute Score: 2.5 = Low

Percentage: 3.79% = Very Low

The highest determined severity level is used to calculate the level of penalty. In this example the severity level would be Low.

The Extent will be considered as 'Off Farm' as there is one off farm error (DD).

The Permanence will be considered as 'Rectifiable'.

In this example the errors found would lead to a **3%** reduction in payments.

## Example 2:

Following an inspection it is determined that:

- 1 animal, still on the holding, had no entry in the farm records,
- 1 animal, still on the holding, did not have its movement onto the holding reported to CTS,
- The number of “animals inspected” (seen and record checked) was 18.

The discrepancies identified attracted the following score:

| Code | Discrepancy Description                                       | Score | Extent Animals on the holding (Annex A) | Permanence  |
|------|---|-------|---|-------------|
| NF   | Animal details not found in farm records                      | 1     | Off Farm                                | Permanent   |
| FM   | Failure to report movement to CTS within legislative deadline | 1     | Off Farm                                | Rectifiable |

The Absolute Score is calculated as follows:  $1.0 + 1.0 = 2.0$

The Percentage is calculated as follows:  $2.0$  (absolute score)  $\div$   $18$  (animals inspected)  $= 0.11 \times 100 = 11.11\%$

These scores are assessed against the threshold severity levels. In this example:

Absolute Score:  $2.0 = \text{Low}$

Percentage:  $11.11\% = \text{Low}$

The highest determined severity level is used to calculate the level of penalty. In this example the severity level would be Low.

The Extent will be considered as ‘Off Farm’ as both errors were off farm (NF & FM).

The Permanence will be considered as ‘Permanent’ as there is at least one permanent error (NF).

In this example the errors found would lead to a **3%** reduction in payments.

## SMR 8 - Livestock Identification and Traceability- Sheep & Goats

The aim of these requirements is to establish a system for the identification and registration of sheep and goats to facilitate their traceability, in particular in the event of a disease outbreak. They apply to you if you keep sheep or goats.

For cross compliance purposes, you do not need to do anything more than you are already required to do by law for the identification and tracing of sheep and goats. The key elements of the sheep tracing system, that apply specifically for cross compliance purposes, are listed below. These elements do not cover all the legal requirements. For a full explanation of your legal obligations, you should refer to the relevant legal provisions. Summary of these provisions was supplied to you in the booklet titled 'Sheep and Goat Identification and Traceability- Guidance for Keepers in Scotland' in January 2010.

### Requirement 1 – Identification of sheep and goats. You must,

- Identify all sheep and goats, born after 7th July 2005, with the correct means of identification within 6 months of birth for intensively farmed animals and 9 months for extensively farmed animals, or before they move off the holding of birth, whichever is sooner.
- Identify animals that are under 12 months of age and are intended for slaughter in the UK before 12 months of age with a single electronic tag showing only the flock mark of the animal. You may choose to use two matching identifiers, with individual numbers, for these animals.
- Identify all other animals born on or after 31 Dec 2009 with two matching means of identification. One means of identification must be electronic. One means of identification must be an ear tag. The second means of identification can be either a matching ear tag, pastern tag, bolus or tattoo.

| Description of breach   | Extent  | Severity - The highest severity that applies is used. This is dictated by either the number of animals or percentage of animals sampled.  | Permanence                      |
|---|---|---|---------------------------------|
| Animals have not been tagged or have been incorrectly tagged before leaving a holding or reaching the appropriate age | <p><b>On farm effect:</b> where the animals that have never been tagged or are incorrectly tagged are still on the holding</p> <p><b>Off farm effect:</b> where there is evidence that animals that have never been tagged or are incorrectly tagged have moved off the holding</p> | <p><b>Incorrectly tagged</b></p> <p><b>Very Low:</b> Less than 5 animals or up to and including 10% of the animals sampled have been incorrectly tagged</p> <p><b>Low:</b> 5 or more animals or between 10% and 20% of the animals sampled have been incorrectly tagged</p> <p><b>Medium:</b> Between 20% and 40% of the animals sampled have been incorrectly tagged</p> <p><b>High:</b> More than 40% of the animals sampled have been incorrectly tagged</p> | <b>Rectifiable or Permanent</b> |
|   |   | <p><b>Never been tagged</b></p> <p><b>Low:</b> Less than 5 animals or up to and including 10% of the animals sampled have never been tagged</p> <p><b>Medium:</b> 5 or more animals or between 10% and 20% of the animals sampled have never been tagged</p> <p><b>High:</b> More than 20% of the animals sampled have never been tagged</p>  |                                 |

**Requirement 2 – Replacement of Identification.** You must,

- Replace any lost or illegible means of identification within 28 days of discovery or before the animal leaves the holding, if this is sooner.
- You must record, within 48 hours, the date of replacement and the replacement number with cross reference to the previous mark, if known.

You must not,

- Remove or replace official ear tags without permission from the Scottish Government, unless for the purpose of preventing unnecessary pain or suffering to an animal.

| Description of breach   | Extent   | Severity   | Permanence                      |
|---|--|--|---------------------------------|
| The keeper has not replaced lost or illegible identification and/or the record of replacement identification has not been maintained. | <p><b>On farm effect:</b> where the animals are still on the holding</p> <p><b>Off farm effect:</b> where there is evidence the animals may have moved off the holding</p> | <p><b><u>Not replaced tags</u></b><br/> <b>Very Low:</b> Less than 10 animals with missing identification or up to and including 20% of animals sampled</p> <p><b>Low:</b> 10 or more animals with missing identification or between 20% and 40% of the animals sampled</p> <p><b>Medium:</b> More than 40% of the animals sampled with missing identification</p> <hr/> <p><b><u>Record of replacement</u></b><br/> <b>Low:</b> Animals with replacement identification fitted, but the details have not been entered in the replacement identification record.</p> <p><b>Medium:</b> Animals with missing / illegible / replacement identification are present at inspection and there are no entries in the record of replacement identification within the last 12 months.</p> <p><b>Medium:</b> A record of replacement identification has not been kept for any of the previous 3 calendar years.</p> <p><b>Medium:</b> Keeper has failed to comply with a request, issued at inspection, requiring that they order and fit tags within 28 days.</p> | <b>Rectifiable or Permanent</b> |
| Ear tags have been removed or replaced without the permission of the Scottish Government.   | <p><b>On farm effect:</b> where the animals are still on the holding</p> <p><b>Off farm effect:</b> where there is evidence the animals may have moved off the holding</p> | <p><b>High:</b> Where any animal is found to have had official ear tags removed or replaced, without permission.</p>   | <b>Permanent</b>                |

**Requirement 3 – Record Keeping.** You must,

Keep up-to-date records, for every holding (CPH) that you use, make your records available to SGRPID or local authority on request and available for a minimum of three years from the last day an animal referred to in the register dies or leaves the holding. Records must contain at least the following details,

- the CPH of the holding;
- the holding address;
- the type of production (e.g. meat, wool, pet)
- the name and address of the keeper.

The following details of the movement of sheep and goats off your holding must be recorded within 48 hours of the event taking place,

- the date of the movement;
- the number of animals moved;
- the destination of the animals;
- the haulier's name and vehicle registration;
- the individual numbers of breeding animals born or identified on or after 31<sup>st</sup> Dec 2009;
- the flock marks and the number of animals with each flock mark for slaughter animals.

The following details of the movement of sheep and goats on to your holding must be recorded within 48 hours of the event taking place,

- the date of the movement;
- the number of animals moved;
- the origin of the animals;
- the individual numbers of breeding animals born or identified on or after 31<sup>st</sup> Dec 2009;
- the flock marks and the number of animals with each flock mark for slaughter animals

The following details for each animal born or first identified on or after 31<sup>st</sup> Dec 2009 must be recorded within 48 hours of the event taking place,

- the identification code of the animal;
- the year of birth;
- the date of identification;
- the breed and genotype if known;
- the month and year of death.

An annual inventory as at 1<sup>st</sup> December each year must be recorded for each permanent holding (unless the land is within the same crofting township and/or used on a seasonal basis and is less than 5 miles from the main holding). This must be recorded by 30<sup>th</sup> December.

(SMR 8 requirement 3 continued on next page)

| Description of breach  | Extent   | Severity  | Permanence                      |
|--|--|---|---------------------------------|
| Failure to keep records or failure to provide the records for inspection.  | <p><b>On farm effect:</b> evidence suggests no animal movements have taken place.</p> <p><b>Off farm effect:</b> animal movements may have taken place</p>   | <b>High:</b> No verifiable records  | <b>Rectifiable or Permanent</b> |
| Failure to record complete movement details (other than individual identifiers via a CCP)  | <p><b>On farm effect:</b> where the missing information relates to animals moved on to the holding</p> <p><b>Off farm effect:</b> where the missing information relates to animals that have moved off the holding</p> | <p><b><u>Movement records</u></b><br/> <b>Very Low:</b> Less than 5 movement records do not have all the required information.<br/> <b>Low:</b> 5 to 10 movement records do not have all the required information.<br/> <b>Medium:</b> 11 or more movement records do not have all the required information.</p> <hr/> <p><b><u>No record</u></b><br/> <b>Medium:</b> Less than 5 movements are not recorded.<br/> <b>High:</b> 5 or more movements are not recorded.</p> | <b>Rectifiable or Permanent</b> |
| Failure to record individual EID's or failure to record the number of slaughter tag flockmarks in a batch/batch within a batch when a movement took place via a CCP. | <b>On farm effect:</b> where the missing information relates to animals moved on to the holding  | <p><b>Very Low:</b> Less than 5 movement records do not have all the required information.</p> <p><b>Low:</b> 5 – 10 movement records do not have all the required information.</p> <p><b>Medium:</b> 11 or more movement records do not have all the required information.</p>   | <b>Rectifiable or Permanent</b> |
| Failure to record death details of an animal born or identified after 31/12/2009   | <b>On farm effect</b>  | <p><b>Very Low:</b> Failure to make individual entries in the record of deaths.</p> <p><b>Medium:</b> No record of deaths has been kept.</p>  | <b>Permanent</b>                |
|  |  |   |                                 |

(continued on next page)



| Description of breach  | Extent   | Severity   | Permanence                      |
|--|--|--|---------------------------------|
| Annual inventory as at 1 <sup>st</sup> December not recorded by 30 <sup>th</sup> December.   | <b>On farm effect</b>  | <b>Very Low:</b> The annual inventory has not been recorded.   | <b>Permanent</b>                |
| The number of animals counted on the holding indicates the records are not accurate, taking account of specific farming systems.   | <p><b>On farm effect:</b> evidence suggests difference has not involved live animal movements.</p> <p><b>Off farm effect:</b> animal movements may have contributed to the difference found.</p> | <p>The difference between the number of animals expected from the records and counted at inspection is:</p> <p><b>Low:</b> Less than 10% of the flock.</p> <p><b>Medium:</b> Between 10% and 40% of the flock.</p> <p><b>High:</b> More than 40% of the flock.</p>   | <b>Rectifiable or Permanent</b> |
| Individual identities of home bred animals, are not in the records indicating the record of identification or the record of replacement identification have not been maintained. | <b>On farm effect</b>  | <p><b>Low:</b> Less than 10% of the animals whose identities are checked are not present in the records.</p> <p><b>Medium:</b> 10% or more of the animals whose identities are checked are not present in the records.</p> <p><b>Very Low:</b> Failure to maintain an identification record for one or two of the previous 3 calendar years.</p> <p><b>Medium:</b> A record of identification has not been kept for each of the previous 3 calendar years.</p> | <b>Rectifiable or Permanent</b> |
| Flock marks of purchased animals, present on the holding, are not in the records.  | <b>On farm effect</b>  | <p><b>Low:</b> Less than 5 flock marks of animals whose identities are checked are not present in the records.</p> <p><b>Medium:</b> Between 5 and 10 flock marks of animals whose identities are checked are not present in the records.</p> <p><b>High:</b> More than 10 flock marks of animals whose identities are checked are not present in the records.</p>   | <b>Rectifiable or Permanent</b> |

# SMR 9 - Prevention and control of Transmissible Spongiform Encephalopathies (TSEs)

*The aim of these requirements is to minimise the risk posed to human and animal health by certain transmissible spongiform encephalopathies (TSEs). They apply to you if you keep farmed animals*

## You must

| A1 | <b>You must notify the duty veterinary officer of your local Animal and Plant Health Agency office immediately if you know or suspect that an animal or carcass in your possession, or under your charge, is infected with a transmissible spongiform encephalopathy (TSE)</b> |   |             |  |
|----|--|---|-------------|--|
|    | Description of breach  | Extent  | Severity    | Permanence   |
|    | The farmer has not notified the APHA of an animal or carcass in his/her possession, or under his/her charge known or suspected of being infected by a TSE.   | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b> in cases where an animal suspected of being infected have moved off farm  | <b>High</b> | <b>Rectifiable:</b><br>if the animal/carcass can be traced and eliminated.<br>or<br><b>Permanent</b> |
| A2 | <b>You must fully comply with any movement restrictions imposed</b>  |   |             |  |
|    | Description of breach  | Extent  | Severity    | Permanence   |
|    | The farmer has failed to comply with movement restrictions imposed   | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b> in cases where an animals suspected of being infected have moved off farm | <b>High</b> | <b>Rectifiable</b><br>if the animal/product can be traced and eliminated.<br>or<br><b>Permanent</b>  |
| A3 | <b>You must fully comply with any order to slaughter and destroy any animal</b>  |   |             |  |
|    | Description of breach  | Extent  | Severity    | Permanence   |
|    | The farmer has failed to comply with the order to slaughter and destroy any animal   | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b> in cases where an animals suspected of being infected have moved off farm | <b>High</b> | <b>Rectifiable</b><br>if the animal/product can be traced and eliminated.<br>or<br><b>Permanent</b>  |
| A4 | <b>You must fully comply with any other notices served by an inspector</b>   |   |             |  |
|    | Description of breach  | Extent  | Severity    | Permanence   |
|    | The farmer has failed to comply with other notices served by an inspector  | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b> in cases where an animals suspected of being infected have moved off farm | <b>High</b> | <b>Rectifiable</b><br>if the animal/product can be traced and eliminated.<br>or<br><b>Permanent</b>  |

| A5 | You must comply with the inquiry carried out by an inspector to identify all animals at risk                   |   |          |  |
|----|--|---|----------|--|
|    | Description of breach  | Extent  | Severity | Permanence   |
|    | The farmer has failed to comply with the inquiry carried out by the inspector to identify all animals at risk. | On-farm effect<br>or<br>Off-farm effect in cases where an animals suspected of being infected have moved off farm | High     | Rectifiable if the animal/product can be traced and eliminated.<br>or<br>Permanent |

### You must not

| B1 | You must not feed animal protein, or any feeding stuff that contains animal protein, to ruminants, with the exception of the following (subject to required sourcing and processing, e.g. it cannot be catering waste):   |   |          |            |
|----|---|---|----------|------------|
|    | <ul style="list-style-type: none"> <li>milk, milk-based products and colostrum's</li> <li>eggs and egg products</li> <li>gelatine from non-ruminants</li> <li>hydrolysed proteins derived from non-ruminants or from ruminant hides and skins</li> <li>liquid milk replacers for unweaned ruminants containing fishmeal, if registered to do so.</li> </ul> |   |          |            |
|    | Description of breach   | Extent  | Severity | Permanence |
|    | There is evidence that the farmer is feeding animal protein or products containing animal protein to ruminants  | On-farm effect<br>or<br>Off-farm effect in cases where animals have moved off since being fed protein | High     | Permanent  |
| B2 | You must not feed products containing prohibited proteins to any farmed animals, or mix prohibited proteins with feed stuffs  |   |          |            |
|    | Description of breach   | Extent  | Severity | Permanence |
|    | There is evidence that the farmer is feeding prohibited proteins to farmed animals, or mixing prohibited proteins with animal feeding stuffs<br><br><i>'Prohibited proteins' are gelatine from ruminants and processed animal protein (such as mammalian meat and bonemeal, poultry meal, feather meal)</i>   | On-farm effect<br>or<br>Off-farm effect in cases where animals have moved off since being fed protein | High     | Permanent  |

| B3 | You must not use restricted proteins to produce feed for non-ruminants unless you have received authorisation from the competent authority  |  |   |   |
|----|---|--|---|---|
|    | Description of breach   | Extent   | Severity  | Permanence  |
|    | <p>The farmer is producing feed for non-ruminants which contains restricted proteins and does not have authorisation from the competent authority to do so.</p> <p><i>Requirement applies to <b>all</b> farms producing feed using restricted proteins</i></p> <p><i>'Restricted proteins' are animal proteins restricted to non-ruminant feed production: fishmeal; blood products; bloodmeal (for feeding to farmed fish); dicalcium phosphate and tricalcium phosphate of animal origin.</i></p> | <p><b>On-farm effect</b><br/>or<br/><b>Off-farm effect</b></p> | <p><b>Low</b> - if ruminants not kept</p> <p><b>Medium</b> - if ruminants present</p>   | <p><b>Rectifiable</b><br/>or<br/><b>Permanent</b></p> |
| B4 | You must not use feed products containing restricted proteins on a farm where there are ruminants present unless you have received registration from the competent authority  |  |   |   |
|    | Description of breach   | Extent   | Severity  | Permanence  |
|    | <p>The farmer does not have registration/permission to store or use feed containing restricted proteins where required</p> <p>Note: Requirement applies to farms where ruminants are present</p>  | <p><b>On-farm effect</b></p>                                   | <p><b>Low</b> - if there is no evidence that ruminants have been exposed to feed containing restricted proteins</p> <p><b>Medium</b> - if there is evidence that ruminants have been exposed to feed containing restricted proteins</p> | <p><b>Rectifiable</b><br/>or<br/><b>Permanent</b></p> |

|           |  |  |                 |   |
|-----------|--|--|-----------------|---|
| <b>B5</b> | <b>You must not export from the UK any bovine animal born or reared in the United Kingdom before 1 August 1996</b>   |  |                 |   |
|           | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b> | <b>Permanence</b>   |
|           | The farmer has exported a bovine animal born or reared in the United Kingdom before 1 August 1996.   | On-farm effect<br>or<br>Off-farm effect if<br>animal/product moved off | High            | Permanent   |
| <b>B6</b> | <b>You must not place on the market or export any products consisting of or incorporating any material (other than milk) derived from a bovine animal born or reared in the United Kingdom before 1 August 1996.</b>   |  |                 |   |
|           | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b> | <b>Permanence</b>   |
|           | The farmer has placed on the market or exported products consisting of or incorporating material (other than milk or hides tanned according to official protocol) derived from a bovine animal born or reared in the United Kingdom before 1 August 1996.                    | On-farm effect<br>or<br>Off-farm effect if<br>animal/product moved off | High            | Rectifiable:<br>if the animal/product can<br>be traced and eliminated;<br>or<br>Permanent |
| <b>B7</b> | <b>You must not place on the market or export first generation offspring, the semen, ova or embryos of cattle, sheep or goats (of any age) without fully complying with the documentation requirements and restrictions applying to the sale or export of such products.</b> |  |                 |   |
|           | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b> | <b>Permanence</b>   |
| B7        | The farmer has placed on the market or exported the offspring of a TSE (e.g BSE in Cattle or Scrapie in sheep)   | On-farm effect<br>or<br>Off-farm effect if<br>animal/product moved off | High            | Permanent   |
| B7        | The farmer has placed on the market/exported semen/embryo/ova without the correct certificate.   | On-farm effect<br>or<br>Off-farm effect if<br>animal/product moved off | High            | Permanent<br>or<br>Rectifiable - if<br>animal/product can be<br>traced and eliminated.    |

| B8 | You must not move any cattle born or reared in the UK before 1 August 1996 from their registered premises unless you have obtained a movement licence from the Animal and Plant Health Agency Specialist Service Centre in Worcester.  |  |                    |   |
|----|--|--|--------------------|---|
|    | Description of breach  | Extent                                     | Severity           | Permanence  |
|    | <p>"The farmer has moved cattle which were born or reared in the UK before 1 August 1996 from their registered premises without obtaining a movement licence from the Animal and Plant Health Agency Specialist Service Centre in Worcester.</p> <p>email:<br/>ahspecialistservicecentreworcester@apha.gsi.gov.uk"</p> | <p><b>On farm<br/>or<br/>Off farm"</b></p> | <p><b>High</b></p> | <p><b>Permanent</b></p> <p>or</p> <p><b>Rectifiable</b> -if the animal can be traced and eliminated."</p> |

## SMR 10 - Restrictions on the use of plant protection products

*The aim of these requirements is to ensure that plant protection products (PPPs) are used correctly and to minimise their risk to humans, animals and the environment (they apply to you if you use these products on your land)*

### You must

| A1 | You must use authorised or permitted plant protection products in accordance with any requirements or condition which is: <ul style="list-style-type: none"> <li>specified in the authorisation, permit or in any extension of use</li> <li>or on the label of the product as required by the authorisation, permit or extension of use.</li> </ul>   |  |  |                  |
|----|---|--|--|------------------|
|    | Description of breach   | Extent   | Severity   | Permanence       |
| A1 | The farmer has used an authorised or permitted plant protection product but has not complied with the conditions of authorisation, permit or in any extension of use, e.g. <ul style="list-style-type: none"> <li>Products not authorised or permitted for use on the crop, land or situation;</li> <li>Products not authorised for method of application;</li> <li>Max. dose/concentration exceeded;</li> <li>Max. number of applications exceeded;</li> <li>Application dates/harvest intervals not observed.</li> </ul>  | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b> where for example there is environmental contamination and/or damage to human health as a result of the non-compliance | <b>Medium–</b> where the breach is technical in nature<br><br>or<br><b>High -</b> where the breach may have consequences for human health or the environment | <b>Permanent</b> |
| A1 | The farmer has used an authorised or permitted plant protection product but has not complied with other label conditions e.g. <ul style="list-style-type: none"> <li>Safe storage (keep out of reach of children, in original containers, protected from frost and stored to prevent environmental contamination)</li> <li>Safe disposal (empty containers disposed of safely and containers not reused)</li> <li>Operator safety (Personal Protective Equipment (PPE) available for use when handling concentrate)</li> <li>General warnings (e.g. extreme care should be taken to avoid spray drift)</li> </ul> |  |  |                  |

**You must not**

| B1 | You must not use any plant protection product unless it is authorised or has a valid parallel trade permit.  |  |             |                  |
|----|--|--|-------------|------------------|
|    | Description of breach  | Extent   | Severity    | Permanence       |
|    | The farmer has used an unauthorised product and/or a product for which a permit is required (e.g. a product whose authorisation has lapsed, been revoked; an imported product that does not have a permit for use in this country or 'own-use' parallel imports where an equivalent UK label in English is not available). | <b>On-farm effect</b><br>or<br><b>Off-farm effect</b> where environmental contamination or residues in foodstuffs arise from illegal use<br><br>The impact of the use of an illegal product will vary dependent on the product but may pose a risk to human health and or the environment. | <b>High</b> | <b>Permanent</b> |



# SMR 11 - Welfare of Calves

*The aim of these requirements is to protect the welfare of calves by setting minimum standards for their care and husbandry. If you keep calves, they apply to you in addition to the requirements for the welfare of all farmed animals (SMR 13)*

**Inspector note:** Where breaches are referred to as “rectifiable or permanent” this is dependent on the individual circumstances of the breach for the animal(s) concerned. If welfare for individual animals can be improved then this should be regarded as rectifiable where the animal’s pain and distress caused cannot be reduced e.g. injury is permanent or animal have to be euthanased then this must be regarded as permanent.

## You must

| A1 | You must inspect all housed calves at least twice a day, and those kept outside at least once a day                    |         |   |                          |
|----|--|---------|---|--------------------------|
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | Housed calves have not been inspected twice each day   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|    | Calves kept outside have not been inspected once each day  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A2 | You must ensure that each of your calves can stand up, turn around, lie down, rest and groom itself without difficulty |         |   |                          |
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | Calf unable to stand up, turn around, lie down, rest and/or groom itself without hindrance/ difficulty                 | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

| <b>You must not</b> |  |                |  |                                 |
|---------------------|--|----------------|--|---------------------------------|
| <b>B1</b>           | <b>You must not tether your calves</b>   |                |  |                                 |
|                     | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b>  | <b>Permanence</b>               |
| <b>B1</b>           | Calf tethered for reasons other than feeding group housed calves milk/ milk substitute           | <b>On-farm</b> | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|                     |  |                | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
|                     | Calf tethered for longer than one hour at each feed  | <b>On-farm</b> | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|                     |  |                | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
| <b>B1</b>           | Tether prevents calf from lying down, resting, standing up and grooming itself without hindrance | <b>On-farm</b> | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|                     |  |                | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
|                     | Tether has caused pain or injury to calf   | <b>On-farm</b> | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
| <b>B2</b>           | <b>You must not muzzle your calves</b>   |                |  |                                 |
|                     | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b>  | <b>Permanence</b>               |
|                     | Calves are muzzled or evidence that calves have been muzzled                                     | <b>On-farm</b> | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|                     |  |                | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

| B3 | You must not keep a calf in an individual stall or pen after the age of 8 weeks (unless it needs to be isolated to receive treatment) |         |  |                                 |
|----|---|---------|--|---------------------------------|
|    | Description of breach   | Extent  | Severity   | Permanence                      |
|    | Calves over 8 weeks old penned singly, without appropriate veterinary advice  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

### You must

| A3 | You must ensure that individual stalls or pens satisfy the minimum width and length requirements and that they have perforated walls which allow the calves to have direct visual and physical contact with each other |         |   |                                 |
|----|--|---------|---|---------------------------------|
|    | Description of breach  | Extent  | Severity  | Permanence                      |
| A3 | Pen size too small in either length or width   | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s)            | <b>Rectifiable</b>              |
|    |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                                     | <b>Rectifiable or Permanent</b> |
| A3 | No perforated walls for individual pens so calves have no direct and/or visual contact with other calves   | On-farm | <b>Medium</b><br><i>It is unlikely that a breach of this requirement would result in UPUD, hence no "High" rated severity</i> | <b>Rectifiable</b>              |

| A4 | You must ensure that each calf, when kept in a group, has its minimum allowance of unobstructed floor space |         |  |                                 |
|----|---|---------|--|---------------------------------|
|    | Description of breach   | Extent  | Severity   | Permanence                      |
|    | Unobstructed floor space too small for the weight of the calves   | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

| A5 | You must provide flooring, for those calves kept in buildings, that is - smooth but not slippery; designed so there is no injury or suffering to the calves standing or lying on it; suitable for the size and weight of the calves; rigid, even and stable   |         |  |                                 |
|----|---|---------|--|---------------------------------|
|    | Description of breach   | Extent  | Severity   | Permanence                      |
|    | Flooring is found to be any one or more of <ul style="list-style-type: none"> <li>• not smooth</li> <li>• slippery</li> <li>• not designed to prevent injury or suffering to calves when standing or lying on it</li> <li>• unsuitable for size &amp; weight of calves</li> <li>• uneven/ unstable</li> <li>• wholly slatted</li> </ul> | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

| A6 | You must keep all housed calves on – or at all times give them access to – a lying area that is clean, comfortable, well-drained and has dry bedding |         |   |                          |
|----|--|---------|---|--------------------------|
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | Calf does not have access to a lying area which is clean, comfortable and/or well-drained and does not adversely affects it                          | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A7 | You must give all calves appropriate bedding   |         |   |                          |
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | Insufficient or no bedding for all calves  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

| A8 | You must for calves kept in an artificially lit building, provide artificial lighting for a period that is at least equal to the period of natural light normally available between 9am and 5pm |         |               |                    |
|----|---|---------|---------------|--------------------|
|    | Description of breach   | Extent  | Severity      | Permanence         |
|    | Inspector observation and/or farmer admission that artificial light provided between 9am and 5 pm for housed animals is not equivalent to natural light during this time                        | On-farm | <b>Medium</b> | <b>Rectifiable</b> |

| A9  | You must clean and disinfect housing and equipment used for your calves; remove dung, urine and left-over food as often as necessary to reduce smells and avoid attracting flies or rodents |         |   |                          |
|-----|---|---------|---|--------------------------|
|     | Description of breach   | Extent  | Severity  | Permanence               |
| A9  | Evidence that cleaning and disinfection procedures are inadequate   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|     |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A9  | Evidence that faeces, urine and uneaten or spilt food has not been removed frequently enough to avoid attracting flies or rodents   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|     |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A10 | You must feed all weaned calves at least twice a day  |         |   |                          |
|     | Description of breach   | Extent  | Severity  | Permanence               |
|     | Calves are fed less than twice per day (if not fed ad libitum)  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|     |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

|  |  |         |   |                          |
|--|--|---------|---|--------------------------|
| A11  | You must ensure that when feeding group-housed calves each calf either: has access to feed at the same time as the others in the feeding group; has continuous access to feed; is fed by an automatic feeding system |         |   |                          |
|  | Description of breach  | Extent  | Severity  | Permanence               |
|  | For feeding systems that are not adlib, or where animals are not fed by an automatic feeding system feeding individually, calves are not able to access the feed at the same time as others in the feeding group     | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
| High - where there is unnecessary pain, injury, suffering or distress to animal(s) |  |         | Rectifiable or Permanent  |                          |
| A12  | You must give all your calves fresh drinking water at all times in hot weather conditions or when they are ill   |         |   |                          |
|  | Description of breach  | Extent  | Severity  | Permanence               |
|  | Sick calves do not have continuous access to water<br><br><i>This requirement is additional to the general requirement to provide animals with water in SMR 13</i>   | On-farm | High  | Rectifiable or Permanent |
|  | In hot weather calves do not have continuous access to water<br><br><i>This requirement is additional to the general requirement to provide animals with water in SMR 13</i>   | On-farm | High  | Rectifiable or Permanent |
| A13  | You must give all calves food that contains enough iron  |         |   |                          |
|  | Description of breach  | Extent  | Severity  | Permanence               |
|  | Clinical anaemia in calves, associated with blood haemoglobin level < 4.5 mmol/l   | On-farm | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

| A14 | You must provide the specified minimum daily ration of fibrous food for each calf over 2 weeks old   |         |   |                          |
|-----|--|---------|---|--------------------------|
|     | Description of breach  | Extent  | Severity  | Permanence               |
|     | Evidence of no or insufficient fibrous food provision (less than 50g per day per calf at 8 weeks to less than 250g per day per calf at 20 weeks) | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|     |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|     | Diet present during inspection not suitable for calves   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|     |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A15 | You must ensure that each calf receives bovine colostrum as soon as possible after it is born and within the first six hours of life             |         |   |                          |
|     | Description of breach  | Extent  | Severity  | Permanence               |
|     | Stock keeper does not ensure that calves receive bovine colostrum within 6 hours of birth  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|     |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |



## SMR 12 - Welfare of Pigs

*The aim of these requirements is to protect the welfare of pigs by setting minimum standards for their care and husbandry. If you keep pigs, they apply to you in addition to the requirements for the welfare of all farmed animals (SMR 13).*

**Note:** Where breaches are referred to as “rectifiable or permanent” this is dependent on the individual circumstances of the breach for the animal(s) concerned. If welfare for individual animals can be improved then this should be regarded as rectifiable where the animal’s pain and distress caused cannot be reduced e.g. injury is permanent or animal has to be euthanased then this must be regarded as permanent

### All pigs

#### You must

| A1 | You must ensure that each of your pigs is free to turn around without difficulty at all times, including while tethered (where this is allowed)  |         |  |                                 |
|----|--|---------|--|---------------------------------|
|    | Description of breach  | Extent  | Severity   | Permanence                      |
|    | Not all pigs can turn around without difficulty at all times<br><i>If this breach is observed it is likely to be because of inadequate tethering arrangements or accommodation – these breaches are detailed below</i> | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

**You must not**

| B1 | You must not tether pigs at any time   |         |   |                          |
|----|--|---------|---|--------------------------|
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | Pig tethered unnecessarily (i.e. not tethered for imminent or recent examination, treatment, operation)<br><i>The farmer will not be in breach of this requirement if it is for veterinary purposes. In this case any tether must be regularly inspected and adjusted to ensure that it does not cause pain or injury to the pig and allows it to lie down, rest, stand up and groom itself.</i> | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|    | Tether prevents pig from lying down, resting, standing up and grooming itself without hindrance  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|    | Tether has caused pain or injury to pig  | On-farm | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

## You must

| A2 | <p><b>You must ensure that the accommodation for your pigs allows them to:</b></p> <ul style="list-style-type: none"> <li>stand up, lie down and rest without difficulty</li> <li>have a clean, comfortable and adequately drained place in which to rest (including making sure that any bedding is clean, dry and not harmful to the pigs)</li> <li>see other pigs (unless the pig is isolated for veterinary reasons or for farrowing)</li> <li>have enough space to allow all of them to lie down at the same time</li> <li>maintain a comfortable temperature, including the requirement that you <b><u>must not</u></b> keep pigs in the high temperature/high humidity environment known as the 'sweat box system' (B2)</li> </ul> |         |  |                                 |
|----|---|---------|--|---------------------------------|
|    | <p><b>B2 You must not keep pigs in high temperature/high humidity environment known as the 'sweat-box system' – to classify this type of breach please see point A2</b></p>   |         |  |                                 |
|    | Description of breach   | Extent  | Severity   | Permanence                      |
| A2 | Pig(s) unable to stand up and/or lie down and/or rest without difficulty  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
| A2 | Pig(s) do not have a clean, and/or physically comfortable and/or adequately drained lying area to rest  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
| A2 | Pig(s) are unable to see other pigs (unless the pig is isolated for farrowing or for veterinary reasons)  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

(A2 continued on next page...)

|    |   |         |   |                          |
|----|---|---------|---|--------------------------|
| A2 | Pig(s) cannot maintain a comfortable temperature; includes the use of accommodation defined as the sweat box system | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A2 | Insufficient space for all pigs to lie down at the same time  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

|  | Description of breach  | Extent  | Severity  | Permanence                      |
|--|--|---------|---|---------------------------------|
|  | <p>Internal area of stall/ pen is less than the square of the length of the pig; any internal side is less than 75% of the length of the pig</p> <p><i>The length of a pig is measured from the tip of its snout to the base of its tail while it is standing with its back straight</i></p> <p><i>Important: the following circumstances are permitted exceptions and are NOT classed as a breach of requirements for the size of an individual pen:</i></p> <ul style="list-style-type: none"> <li>• <i>Those used for holding a female pig for the period between seven days before the predicted day of her farrowing and the day on which her piglets are weaned (including any piglets fostered by her)</i></li> <li>• <i>When keeping a pig in a stall or pen for veterinary purposes.</i></li> <li>• <i>When keeping a pig in a stall or pen for the purposes of servicing, artificial insemination or collecting semen.</i></li> <li>• <i>When keeping a pig in a stall or pen while it is fed.</i></li> <li>• <i>When keeping a pig in a stall or pen for the purposes of marking, washing or weighing it.</i></li> <li>• <i>When keeping a pig in a stall or pen while its accommodation is being cleaned.</i></li> <li>• <i>When keeping a pig in a stall or pen while it is waiting to be loaded for transportation.</i></li> </ul> <p><i>However, the period the pig is kept in this accommodation must not be longer than needed for that purpose.</i></p> <p><i>The requirements for a minimum size of stall or pen also do not apply if it is referring to a stall or pen that the pig can enter or leave when it wants. In this case the stall must be entered from another stall or pen where the pig is normally kept and which does comply by the minimum standards</i></p> | On-farm | <p><b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s)</p> | <b>Rectifiable</b>              |
|  |  |         | <p><b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)</p>                          | <b>Rectifiable or Permanent</b> |

| A4 | You must provide flooring, for those pigs kept in buildings, that is: <ul style="list-style-type: none"><li>• smooth but not slippery</li><li>• suitable for the size and weight of the pigs</li><li>• rigid, even and stable, if there is no litter</li><li>• designed so there is no injury or suffering to the pigs standing or lying on it</li></ul>        |   |   |   |
|----|---|---|---|---|
|    | Description of breach   | Extent  | Severity  | Permanence  |
|    | Flooring is found to be one or more of: <ul style="list-style-type: none"><li>- not smooth</li><li>- slippery</li><li>- not suitable for size and weight of pigs</li><li>- uneven/ unstable (when no litter has been provided)</li><li>- not designed, constructed or maintained to prevent injury or suffering to pigs when standing or lying on it.</li></ul> | On-farm   | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable   |
|    |   |   | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent  |
| A5 | You must provide flooring of the correct measurements (for openings and slats) if you use concrete slatted floors. This applies for pigs kept in groups and if your holding has been newly built, rebuilt or brought into use for the first time after 1 January 2003. It will apply to all holdings from 1 January 2013  |   |   |   |
|    | Description of breach   | Extent  | Severity  | Permanence  |
|    | Openings are too wide between slats for category of pig<br><br><i>This flooring requirement applies only if the holding was newly built, rebuilt or brought into use for the first time after 1 January 2003. (It shall apply to all holdings from 1 January 2013)</i>  | On-farm   | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable   |
|    |   |   | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent  |
|    |   | Slat width too small for category of pig<br><br><i>This flooring requirement applies only if the holding was newly built, rebuilt or brought into use for the first time after 1 January 2003. (It shall apply to all holdings from 1 January 2013)</i> | On-farm   | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) |

|           |   |                |  |                                 |
|-----------|---|----------------|--|---------------------------------|
|           |   |                | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)  | <b>Rectifiable or Permanent</b> |
| <b>A6</b> | <b>You must provide artificial lighting of at least 40 lux for at least 8 hours each day, for pigs kept in an artificially lit building</b>   |                |  |                                 |
|           | <b>Description of breach</b>  | <b>Extent</b>  | <b>Severity</b>  | <b>Permanence</b>               |
|           | <ul style="list-style-type: none"> <li>- Pigs exposed to light of less than 40 lux in buildings where pigs are dependent on artificial lighting</li> <li>- Pigs exposed to less than 8 hours of light in buildings where pigs are dependent on artificial lighting</li> </ul> | <b>On-farm</b> | <b>Medium</b><br><i>There are general lighting requirements under SMR 13 (requirements A12 and B3); any breach of lighting requirements resulting in UPUD are described under SMR 13</i> | <b>Rectifiable</b>              |

|                     |  |                |   |                    |
|---------------------|--|----------------|---|--------------------|
| <b>You must not</b> |  |                |   |                    |
| <b>B3</b>           | <b>You must not expose your pigs to constant or sudden noise, or levels above 85 decibels in any building where you keep your pigs</b> |                |   |                    |
|                     | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b>   | <b>Permanence</b>  |
|                     | Exposure of pigs to continuous levels of 85 decibels and above   | <b>On-farm</b> | <b>Medium</b><br><i>It is unlikely that a breach of this requirement would result in UPUD, hence no "High" rated severity</i> | <b>Rectifiable</b> |
|                     | Exposure of pigs to continuous or sudden loud noises that could be reasonably avoided or minimised                                     | <b>On-farm</b> | <b>Medium</b><br><i>It is unlikely that a breach of this requirement would result in UPUD, hence no "high" rated severity</i> | <b>Rectifiable</b> |

## You must

| You must |  |         |   |                          |
|----------|--|---------|---|--------------------------|
| A7       | You must give permanent access to enough manipulable material which allows proper investigation and manipulation, for example, straw, hay, wood, sawdust, mushroom compost, peat or a mixture of such, which does not upset the health of your animals |         |   |                          |
|          | Description of breach  | Extent  | Severity  | Permanence               |
|          | No or insufficient manipulable material available to enable proper investigation and manipulation activities   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|          |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|          | Material provided which compromises pig health   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|          |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A8       | You must take measures to prevent fighting which goes beyond normal behaviour, if you keep your pigs together, keeping separate those pigs which show persistent aggression or are victims of that aggression  |         |   |                          |
|          | Description of breach  | Extent  | Severity  | Permanence               |
|          | - Inadequate measures are taken to minimise aggression in groups of pigs<br><br>- Persistent aggressors, or their victims, are not isolated from the rest of the group   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|          |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |



| A9  | You must ensure that when feeding group-housed pigs each pig either: has access to feed at the same time as the others in the feeding group; has continuous access to feed; is fed by an automatic feeding system  |         |   |                                 |
|-----|--|---------|---|---------------------------------|
|     | Description of breach  | Extent  | Severity  | Permanence                      |
|     | For feeding systems that are not adlib, or where animals are not fed by an automatic feeding system feeding individually, pigs are not able to access the feed at the same time as others in the feeding group<br><br><i>There are specific requirements for sows and gilts detailed later</i> | On-farm | <b>Medium</b><br><i>It is unlikely that a breach of this requirement would result in UPUD, hence no "High" rated severity</i> | <b>Rectifiable</b>              |
| A10 | You must give all pigs over 2 weeks old permanent access to a sufficient supply of fresh drinking water  |         |   |                                 |
|     | Description of breach  | Extent  | Severity  | Permanence                      |
|     | Pigs over 2 weeks old have not been given permanent access to an adequate supply of fresh water<br><br><i>This requirement is additional to the general requirement to provide animals with water in SMR 13</i>  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s)            | <b>Rectifiable</b>              |
|     |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                                     | <b>Rectifiable or Permanent</b> |

## Piglets

| You must |  |         |   |                          |
|----------|--|---------|---|--------------------------|
| A1       | You must provide piglets with a source of heat and a dry and comfortable lying area away from the sow where all of them can rest at the same time  |         |   |                          |
|          | Description of breach  | Extent  | Severity  | Permanence               |
|          | Piglets have not been provided with a source of heat and a dry and comfortable lying area away from the sow where all of them can rest at the same time (where it is considered necessary in order to meet all accommodation requirements) | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|          |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A2       | You must ensure that a part of the total floor where you keep the piglets is large enough to allow the animals to rest together at the same time and is solid, covered with a mat or littered with straw or any other suitable material    |         |   |                          |
|          | Description of breach  | Extent  | Severity  | Permanence               |
|          | No or insufficient area for the piglets, which is solid or covered with a mat or littered with straw or other suitable material that allows all piglets to lie together at the same time   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|          |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A3       | You must give the piglets enough space to be able to be suckled without difficulty if you use a farrowing crate  |         |   |                          |
|          | Description of breach  | Extent  | Severity  | Permanence               |
|          | Piglets do not have sufficient space to suckle without difficulty  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|          |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

## You must not

| B1 | You must not wean piglets from the sow at an age of less than 28 days (unless there is a risk of adverse welfare or health of the dam or piglets). You will not be in breach of the requirement relating to the weaning of piglets if they are weaned up to 7 days earlier, provided that you move them into specialised housing which you empty and thoroughly clean and disinfect before you introduce a new group and which is separate from housing where you keep sows |         |  |                                 |
|----|---|---------|--|---------------------------------|
|    | Description of breach   | Extent  | Severity   | Permanence                      |
|    | Piglets are weaned earlier than 28 days, where there is no reasonable justification based on sow and/or piglet health or welfare grounds AND where there is not appropriate specialised housing for early weaning of pigs   | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
|    | Specialised accommodation is available for early weaned piglets but the housings are not emptied and thoroughly cleansed and disinfected before introduction of a new group and/or the accommodation is not separated from housing where sows are kept  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

## Sows and gilts

| You must |  |         |   |   |
|----------|--|---------|---|---|
| A2       | You must treat pregnant gilts and sows against internal and external parasites, if necessary   |         |   |   |
|          | Description of breach  | Extent  | Severity  | Permanence  |
|          | Sows and/ or gilts have not, where necessary, been treated against external and internal parasites (unacceptable parasite burden)  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s)<br><br><b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s) | <b>Rectifiable</b><br><br><b>Rectifiable or Permanent</b> |
| A3       | You must thoroughly clean pregnant sows and gilts before they are placed in farrowing crates   |         |   |   |
|          | Description of breach  | Extent  | Severity  | Permanence  |
|          | Evidence and/or farmer admission that sows and/or gilts are not cleaned prior to placement in farrowing crates   | On-farm | Medium  | Rectifiable   |
| A4       | You must give sows and gilts enough suitable nesting material in the week before the expected farrowing time (unless it is not technically practical because of the slurry system you use) |         |   |   |
|          | Description of breach  | Extent  | Severity  | Permanence  |
|          | Lack of sufficient quantity of suitable nesting material provided for sows and/or gilts one week prior to farrowing, where it is reasonably possible to provide such material              | On-farm | Medium  | Rectifiable   |

| A5 | You must keep sows and gilts in groups (except during the period between 7 days before the predicted day of farrowing and the day on which the weaning of piglets is complete). <i>You will not be in breach of the requirement relating to keeping sows and gilts in groups if they are kept on holdings of fewer than 10 sows provided that the individual accommodation keeps to the general requirements for pig accommodation</i> |         |   |   |
|----|--|---------|---|---|
|    | Description of breach  | Extent  | Severity  | Permanence  |
|    | Sows and gilts housed singly other than during the period 1 week prior to farrowing up to 4 weeks following service<br><i>On holdings of fewer than 10 sows, sows and gilts may be kept individually as long as their accommodation keeps to the general requirements for pig accommodation</i>  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s)<br><br><b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s) | <b>Rectifiable</b><br><br><b>Rectifiable or Permanent</b> |

| A1 | You must ensure that each female pig after service, when kept in groups, has its minimum allowance of unobstructed floor space, continuous solid floor and pens of correct dimensions. <i>This applies if your holding has been newly built, rebuilt or brought into use for the first time after 1 January 2003. It will apply to all holdings from 1 January 2013</i> |         |  |                                 |
|----|---|---------|--|---------------------------------|
|    | Description of breach   | Extent  | Severity   | Permanence                      |
|    | Insufficient unobstructed floor space for the gilts and/or sows assessed<br><br><i>This requirement applies only if the holding was newly built, rebuilt or brought into use for the first time after 1 January 2003. (It shall apply to all holdings from 1 January 2013)</i>  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
|    | Insufficient continuous solid floor area for the gilts and/or sows assessed<br><br><i>This requirement applies only if the holding was newly built, rebuilt or brought into use for the first time after 1 January 2003. (It shall apply to all holdings from 1 January 2013)</i>   | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
|    | Pen length < than 2.8m ( or <2.4m where there are less than 6 pigs)<br><br><i>This requirement applies only if the holding was newly built, rebuilt or brought into use for the first time after 1 January 2003. (It shall apply to all holdings from 1 January 2013)</i>   | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

| A6 | You must provide an unobstructed area behind the sow or gilt during farrowing  |         |   |                          |
|----|--|---------|---|--------------------------|
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | No unobstructed area available behind sow(s) or gilt(s) for the ease of natural or assisted farrowing  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A7 | You must provide some method of protecting the piglets, such as farrowing rails, if you keep sows loose in farrowing pens                            |         |   |                          |
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | When sows are kept loose in farrowing pens there is no method of protecting the piglets (e.g. farrowing rails)                                       | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A8 | You must feed sows and gilts using a system that ensures each pig can get enough food even when other pigs are competing for food                    |         |   |                          |
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | Sows and gilts kept in groups are not fed using a system which ensures each individual can obtain sufficient food in the presence of competitors     | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A9 | You must give all dry pregnant sows and gilts enough bulky or high-fibre food, as well as high-energy food, to satisfy their hunger and need to chew |         |   |                          |
|    | Description of breach  | Extent  | Severity  | Permanence               |
|    | Dry pregnant sows or gilts are not provided with a sufficient quantity of bulky or high fibre food   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

## Boars

| You must |   |         |   |                          |
|----------|---|---------|---|--------------------------|
| A1       | You must place and build boar pens to allow the boars to turn round and to hear, see and smell other pigs   |         |   |                          |
|          | Description of breach   | Extent  | Severity  | Permanence               |
|          | Boar unable to turn around in pen   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|          | Boar unable to hear and/or see and/or smell other pigs  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A2       | You must provide clean resting areas in the boar pens and ensure that the lying area is dry and comfortable |         |   |                          |
|          | Description of breach   | Extent  | Severity  | Permanence               |
|          | Boar pen does not contain clean resting areas and the lying area is not dry and comfortable.                | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|          |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

## You must

| A3 | You must ensure that each boar has its minimum allowance of unobstructed floor space |         |  |                                 |
|----|--|---------|--|---------------------------------|
|    | Description of breach  | Extent  | Severity   | Permanence                      |
| A3 | Pen, which is not used for natural service, is less than 6 m <sup>2</sup>            | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
| A3 | Pen, which is also used for natural service, is less than 10 m <sup>2</sup>          | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
|    | Pen, which is also used for natural service, contains obstacles                      | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|    |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

## Weaners and rearing pigs



### You must

| A1 | You must ensure that each weaner or rearing pig, when kept in groups, has its minimum allowance of unobstructed floor space   |         |   |                          |
|----|---|---------|---|--------------------------|
|    | Description of breach   | Extent  | Severity  | Permanence               |
|    | Insufficient floor area for the weaners or rearers assessed by inspector  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A2 | You must place pigs in groups as soon as possible after weaning and keep these groups stable with as little mixing as possible  |         |   |                          |
|    | Description of breach   | Extent  | Severity  | Permanence               |
|    | Pigs mixed at inappropriate age or time which does not prevent fighting that goes beyond normal behaviour   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A3 | You must provide opportunities for the animals to escape and hide from unfamiliar pigs if mixing is necessary. This must also be done at as young an age as possible, preferably before, or up to 1 week after, weaning |         |   |                          |
|    | Description of breach   | Extent  | Severity  | Permanence               |
|    | When pigs are mixed adequate opportunities are not provided for pigs to escape and hide from other pigs   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

### You must not

| B1 | You must not use tranquilising medication to help with mixing, unless there are exceptional circumstances and is on the advice of a vet                                    |         |  |  |
|----|--|---------|--|--|
|    | Description of breach  | Extent  | Severity   | Permanence                             |
|    | Tranquillising medication has been used to facilitate mixing where there are no exceptional conditions and without - or contrary to - consultation with veterinary surgeon | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>                     |
|    |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable</b> or <b>Permanent</b> |

# SMR 13 – Welfare of Farmed Animals

*The aim of these requirements is to protect the welfare of farmed animals by setting minimum standards for their care and husbandry. They apply to you if you keep any species for farming purposes.*

Note - Where breaches are referred to as “rectifiable or permanent” this is dependent on the individual circumstances of the breach for the animal(s) concerned. If welfare for individual animals can be improved then this should be regarded as rectifiable where the animal’s pain and distress caused cannot be reduced e.g. injury is permanent or animal has to be euthanased then this must be regarded as permanent

| You must |  |         |  |                                 |
|----------|--|---------|--|---------------------------------|
| Staffing |  |         |  |                                 |
| A1       | You must ensure that your animals are looked after by enough staff who have the correct skills and knowledge   |         |  |                                 |
|          | Description of breach  | Extent  | Severity   | Permanence                      |
|          | Number of staff available insufficient to prevent welfare problems occurring   | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|          |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
|          | <p>Evidence that stockperson demonstrates lack of professional competence and/ or ability in livestock care, <i>which is not covered by any other specific criteria listed in the schedule</i></p> <p>For example:</p> <p>1) Where any animals (other than poultry) are kept in a building and do not have access at all times to, a lying area which either has well-maintained dry bedding or is well-drained);</p> <p>2) Where animals are kept in a building where the maintenance of bedding etc. restricts their freedom of movement but US has not been caused.</p> <p>Note: from 2012 these situations will be a breach for cross compliance purposes even without evidence of US.</p> <p>Where US is disclosed in example 2 the breach should be recorded under 7 (freedom of movement)."</p> | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|          |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |



| A2 | You must inspect your animals thoroughly at least once a day where the husbandry system depends on frequent human attention and in other systems as often as necessary to avoid suffering |         |   |                          |
|----|---|---------|---|--------------------------|
|    | Description of breach   | Extent  | Severity  | Permanence               |
|    | Livestock have not been inspected to the required frequency<br><br><i>There are specific requirements relating to calves in SMR 16 (requirement 1)</i>                                    | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A3 | You must ensure that you have enough lighting so that you can carry out a thorough inspection at any time   |         |   |                          |
|    | Description of breach   | Extent  | Severity  | Permanence               |
|    | No or inadequate fixed or portable lighting available to enable thorough inspection of animals  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

| A4 | You must ensure that you care for ill or injured animals immediately, and if they do not respond to this care then seek veterinary advice   |  |   |                          |
|----|---|--|---|--------------------------|
|    | Description of breach   | Extent   | Severity  | Permanence               |
|    | Animal has not been cared for appropriately   | On-farm  | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |  | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|    | There has been an unacceptable delay in the care of the sick animal (this may relate to the inspector's subjective assessment of how frequently such animals should be inspected)       | On-farm  | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |  | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|    | Stockperson has failed to seek veterinary advice if inspector believes that any competent stockperson would have done so  | On-farm<br>or<br>Off-farm<br>(e.g. appropriate advice relating to disease treatment may extend to other farms) | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |  | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A5 | You must if necessary, isolate sick or injured animals in suitable accommodation with dry comfortable bedding   |  |   |                          |
|    | Description of breach   | Extent   | Severity  | Permanence               |
|    | Animal not isolated when, in the inspector's opinion on the day of inspection, the animal required isolation in suitable accommodation with, where appropriate, dry comfortable bedding | On-farm  | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |  | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|    | Isolation facilities are not suitable (taking into account sick animals' injury/ illness)   | On-farm  | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|    |   |  | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |

| Record keeping |  |         |          |                          |
|----------------|--|---------|----------|--------------------------|
| A6             | You must make a record of any medicinal treatment given to your animals, and keep these records for at least 3 years from the date of the treatment and make these records available to any authorised person at inspection or when otherwise asked for  |         |          |                          |
|                | Description of breach  | Extent  | Severity | Permanence               |
|                | <p>The farmer will be in breach if one or more of the following points relating to <b>medicine</b> records are found:</p> <ul style="list-style-type: none"> <li>no records are kept or are not made available to the inspector at the time of inspection;</li> <li>records kept but are inaccurate or missing information;</li> <li>records have not been kept for the required period of time from the date of treatment.</li> </ul> <p><i>Records for medicines are not kept/kept but do not agree with products/veterinary invoices/animals undergoing treatment found on farm at the time of inspection.</i></p> <p><i>NB Where more than one bulleted breach is identified each should be recorded separately on the Control Report Form under the summary of breach findings along with an appropriate justification for each.</i></p>                  | On-farm | Low      | Rectifiable or Permanent |
| A7             | You must make a record of the number of deaths found when the animals are inspected, and keep these records for at least 3 years from the date of the relevant inspection and make these records available to any authorised person at inspection or when otherwise asked for  |         |          |                          |
|                | Description of breach  | Extent  | Severity | Permanence               |
|                | <p>The farmer will be in breach if one or more of the following points relating to <b>mortality</b> records are found:</p> <ul style="list-style-type: none"> <li>no records are kept or are not made available to the inspector at the time of inspection;</li> <li>records kept but are inaccurate or missing information;</li> <li>records of the number of deaths have not been kept for the required period of time from the date of the relevant inspection.</li> </ul> <p><i>Records for mortality are not kept/kept but do not agree with evidence found on farm; e.g. carcasses and/or relevant database information.</i></p> <p><i>NB Where more than one bulleted breach is identified each should be recorded separately on the Control Report Form under the summary of breach findings along with an appropriate justification for each.</i></p> | On-farm | Low      | Rectifiable or Permanent |

| <b>You must not</b> |  |                |  |                                 |
|---------------------|--|----------------|--|---------------------------------|
| <b>B1</b>           | <b>You must not restrict your animals' freedom of movement if this causes them unnecessary suffering or injury</b>   |                |  |                                 |
|                     | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b>  | <b>Permanence</b>               |
|                     | <p>Animal(s) caused unnecessary suffering or injury due to restricted freedom of movement</p> <p>Note: Where animals are kept in a building where the maintenance of bedding etc. restricts their freedom of movement but US has not been caused the breach should be recorded under 1."</p> | <b>On-farm</b> | <b>High</b> (only one breach level as by definition there is UPUD) | <b>Rectifiable or Permanent</b> |

| <b>You must</b>            |  |                |  |                                 |
|----------------------------|--|----------------|--|---------------------------------|
| <b>Freedom of movement</b> |  |                |  |                                 |
| <b>A8</b>                  | <b>You must give your animals enough space to avoid unnecessary stress if they are continuously or regularly tethered or confined and also allow them to exhibit their normal behaviour in line with established experience and scientific knowledge</b> |                |  |                                 |
|                            | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b>  | <b>Permanence</b>               |
|                            | <p>Animal(s) caused unnecessary suffering or injury by method of tethering or confinement</p> <p><i>There are specific tethering requirements relating to calves in SMR 11 and pigs in SMR 12</i></p>  | <b>On-farm</b> | <b>High</b> (only one breach level as by definition there is UPUD) | <b>Rectifiable or Permanent</b> |

| <b>You must not</b>                |   |                |  |                                 |
|------------------------------------|---|----------------|--|---------------------------------|
| <b>Buildings and accommodation</b> |   |                |  |                                 |
| <b>B2</b>                          | <b>You must not use materials and/or equipment for accommodation purposes that is harmful to your animals</b> |                |  |                                 |
|                                    | <b>Description of breach</b>  | <b>Extent</b>  | <b>Severity</b>  | <b>Permanence</b>               |
|                                    | Harmful materials have been used in the construction of accommodation, pens and/or equipment                  | <b>On-farm</b> | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|                                    |   |                | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |



| You must                    |   |         |   |                          |
|-----------------------------|---|---------|---|--------------------------|
| Buildings and accommodation |   |         |   |                          |
| A9                          | You must use materials for animals' accommodation that can be thoroughly cleaned and disinfected  |         |   |                          |
|                             | Description of breach   | Extent  | Severity  | Permanence               |
|                             | Material used means that accommodation is not capable of being thoroughly cleaned and disinfected   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                             |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A10                         | You must build and maintain accommodation so that there are no sharp edges or protrusions which could injure your animals                           |         |   |                          |
|                             | Description of breach   | Extent  | Severity  | Permanence               |
|                             | Sharp edges or protrusions in accommodation or fittings likely to cause injury  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                             |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A11                         | You must keep air circulation, dust levels, temperature, relative air humidity and gas concentrations within limits that will not harm your animals |         |   |                          |
|                             | Description of breach   | Extent  | Severity  | Permanence               |
|                             | Air circulation, dust levels, temperature, relative air humidity or gas concentrations either singly or in combination are harmful to the animals   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                             |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A12                         | You must provide artificial lighting if there is not sufficient natural light in a building   |         |   |                          |
|                             | Description of breach   | Extent  | Severity  | Permanence               |
|                             | No supplementary lighting provided when natural light provided is insufficient to meet the physiological and ethological needs of animals           | On-farm | Medium  | Rectifiable              |

| <b>You must not</b> |  |                |                 |                    |
|---------------------|--|----------------|-----------------|--------------------|
| <b>B3</b>           | <b>You must not keep animals in permanent darkness or without an appropriate rest from artificial lighting</b>   |                |                 |                    |
|                     | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b> | <b>Permanence</b>  |
|                     | Animals kept in permanent darkness<br><i>There are specific requirements relating to calves in SMR 11 and pigs in SMR 12</i>                             | <b>On-farm</b> | <b>High</b>     | <b>Rectifiable</b> |
|                     | Animals kept without appropriate rest from artificial lighting<br><i>There are specific requirements relating to calves in SMR 11 and pigs in SMR 12</i> | <b>On-farm</b> | <b>High</b>     | <b>Rectifiable</b> |

| <b>You must</b>                      |  |                |  |                                 |
|--------------------------------------|--|----------------|--|---------------------------------|
| <b>Animals not kept in buildings</b> |  |                |  |                                 |
| <b>A13</b>                           | <b>You must give your animals that are not kept in buildings access to a well-drained lying area at all times and, if necessary, protection from adverse weather conditions, predators and risks to their health</b> |                |  |                                 |
|                                      | <b>Description of breach</b>   | <b>Extent</b>  | <b>Severity</b>  | <b>Permanence</b>               |
| A13                                  | Evidence of no well drained lying area for stock that are not kept in buildings  | <b>On-farm</b> | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|                                      |  |                | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |
| A13                                  | Lack of protection from adverse weather conditions, predators and/or other risks to health   | <b>On-farm</b> | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>              |
|                                      |  |                | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable or Permanent</b> |

| Automatic or mechanical equipment |   |         |   |                          |
|-----------------------------------|---|---------|---|--------------------------|
| A14                               | You must check automated/mechanical equipment that is essential for the health and well-being of your animals at least once a day and put right any faults immediately (or take appropriate steps to protect the health and well-being of your animals until you can get the fault put right) |         |   |                          |
|                                   | Description of breach   | Extent  | Severity  | Permanence               |
| A14                               | Automated and/or mechanical equipment essential to animal health and well-being is not inspected at least once a day  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                   |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A14                               | Defects are found in automated or mechanical equipment essential for health and well-being and farmer has not taken appropriate action  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                   |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A15                               | You must provide an appropriate back-up to the main system if your animals' health and well-being depends upon artificial ventilation and an alarm to warn you if the ventilation system fails. Inspect and test these at least once every 7 days.  |         |   |                          |
|                                   | Description of breach   | Extent  | Severity  | Permanence               |
| A15                               | Lack of appropriate back-up system and/ or alarm system   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                   |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|                                   | Lack of evidence and response from stockperson indicates that back-up system and/ or alarm system is not inspected at least every 7 days  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                   |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A15                               | Back-up system and/or alarm system is present but fails to operate when inspector requests demonstration at time of inspection (i.e. there are faults in the system(s).   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                   |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |



| Feed, water and other substances |   |         |   |                          |
|----------------------------------|---|---------|---|--------------------------|
| A16                              | You must feed your animals a wholesome diet, ensuring that they have access to feed at intervals appropriate to their needs (and, in any case, at least once a day)   |         |   |                          |
|                                  | Description of breach   | Extent  | Severity  | Permanence               |
|                                  | Feed that is available is not wholesome and/or is inappropriate for the age and species of livestock inspected  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                  |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|                                  | Feed has failed to maintain good health and satisfy nutritional needs   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                  |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|                                  | Animals are being fed less frequently than once per day and/or not as appropriate to their physiological needs, and this is not because of veterinary advice<br><br><i>There are specific requirements relating to calves in SMR 11</i> | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                  |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| A17                              | You must give all animals access to a suitable water supply and enough fresh drinking water or other fluid each day   |         |   |                          |
|                                  | Description of breach   | Extent  | Severity  | Permanence               |
|                                  | Insufficient or no water supply (or other suitable means) such that animals cannot meet their fluid intake needs  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                                  |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |



| A18 | You must minimise any contamination of food and water and the harmful effects of competition between animals through the design and location of feeding and watering equipment |         |  |  |
|-----|--|---------|--|--|
|     | Description of breach  | Extent  | Severity   | Permanence                             |
|     | Contamination of feed and/or water due to design, construction or location of equipment  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>                     |
|     |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable</b> or <b>Permanent</b> |
|     | Direct observation of harmful/ excessive competition between animals for feed and/or water resource  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>                     |
|     |  |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable</b> or <b>Permanent</b> |

| You must not                     |   |         |  |  |
|----------------------------------|---|---------|--|--|
| Feed, water and other substances |   |         |  |  |
| B4                               | You must not give your animals food or liquid in any way, or containing any substance, that could cause them unnecessary harm |         |  |  |
|                                  | Description of breach   | Extent  | Severity   | Permanence                             |
|                                  | Provision of feed and/or liquid that may cause unnecessary suffering or injury  | On-farm | <b>Medium</b> - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | <b>Rectifiable</b>                     |
|                                  |   |         | <b>High</b> - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | <b>Rectifiable</b> or <b>Permanent</b> |

| B5          | You must not administer any substance to your animals which is harmful to their health or welfare  |         |   |                          |
|-------------|--|---------|---|--------------------------|
|             | Description of breach  | Extent  | Severity  | Permanence               |
|             | Use of treatment administered in/ onto animal that is not licensed   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|             |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
|             | Use of treatment that is not an accepted therapy for that condition in that species  | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|             |  |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| Mutilations |  |         |   |                          |
| B6          | You must not carry out any mutilation or intervention on your animals, unless the action is classed as a ‘permitted procedure’.(Many of these have conditions attached, including the need to be reasonably justified and be a measure of ‘last resort’)   |         |   |                          |
|             | Description of breach  | Extent  | Severity  | Permanence               |
|             | Mutilation that is not listed as a permitted procedure has been carried out on farmed animal<br><i>This will be treated an <b>intentional</b> breach</i>   | On-farm | High  | Permanent                |
|             | Permitted procedure has been carried out but not by a veterinary surgeon or an experienced / adequately trained person as required by law  | On-farm | High  | Permanent                |
|             | Permitted procedure which has specific requirements attached to it has been carried out without those specific requirements eg: <ul style="list-style-type: none"><li>• Need for anaesthetic</li><li>• Age at which procedure is permitted</li><li>• Method used to carry out the procedure</li><li>• Absolute requirement for veterinary surgeon to carry out procedure</li><li>• That procedure should be a last resort</li><li>• Procedure carried out at appropriate stage of breeding cycle</li></ul> <i>Unlawful permitted procedures may be intentional breaches – you should consider this</i> | On-farm | High  | Permanent                |
|             |  |         |   |                          |



| Breeding procedures |   |         |   |                          |
|---------------------|---|---------|---|--------------------------|
| B7                  | You must not carry out breeding procedures (either natural or artificial) that cause, or are likely to cause, harm to your animals  |         |   |                          |
|                     | Description of breach   | Extent  | Severity  | Permanence               |
|                     | Inappropriate breeding has taken place which is likely to cause or has caused suffering or injury   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                     |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |
| B8                  | You must not keep animals for farming purposes unless it can be reasonably expected that the normal breed characteristics (genetic and physical) means that they can be kept without harm to their health and welfare |         |   |                          |
|                     | Description of breach   | Extent  | Severity  | Permanence               |
|                     | Animals kept for farming purposes whose genotype or phenotype is likely to have a detrimental effect on their health or welfare   | On-farm | Medium - evidence of breach but where this has not caused unnecessary pain, distress or injury to animal(s) | Rectifiable              |
|                     |   |         | High - where there is unnecessary pain, injury, suffering or distress to animal(s)                          | Rectifiable or Permanent |