Traceability Challenge Checklist

The table below provides a checklist of the minimum requirements that assessors will be verifying during a Traceability Challenge to ensure that a Licensee has adequate traceability systems and processes in place:

1	If you are buying direct from farm/grower to process/pack, you are checking the Red Tractor (or Third Party Certification scheme recognised by Red Tractor) assurance status of all incoming livestock/product using the Red Tractor Checkers and Services – Industry Checker/Assurance Checking (see: https://checkers.redtractor.org.uk/rtassurance/services.eb)
2	If you are buying in Red Tractor product from other companies/third parties, you are specifying your requirements for Red Tractor with those companies in a written product specification.
3	If you are buying in Red Tractor product directly from other companies/third parties, you are regularly verifying their Red Tractor licence status using the Red Tractor Licensee Checker (see: https://checkers.redtractor.org.uk/rtassurance/services.eb) (Note, red meat abattoirs supplying only Red Tractor Assured [beef, lamb or pork] meat product which is a split carcase, fores or quarters do not need to be Red Tractor licensed).
4	If you are buying in Red Tractor product from other companies/third parties, you regularly validate those companies/third parties are supplying Red Tractor products through your own challenges back to farm.
5	If you are sourcing from Trading Companies/Agents/Merchants you regularly check that these suppliers hold their own Red Tractor Licence by verifying their Red Tractor licence status using the Red Tractor Licensee Checker (see: https://checkers.redtractor.org.uk/rtassurance/services.eb)
6	The Red Tractor Assured status of all Red Tractor product on site is clearly labelled at all times subject always to the Exception set out in clause 5.1 (d)(i) and related proviso set out in 5.1 (d)(ii) of the Licence Agreement. If you are buying in Red Tractor product, you must also ensure that your supplier supplies appropriately labelled product.
7	All paperwork relating to Red Tractor product such as delivery documentation, intake checks, invoices, etc. includes the detail of the product's Red Tractor assurance status in the product description parts of such paperwork by reference to "Red Tractor", "RT", "RTA", "RT Assured" or "Red Tractor Assured", subject always to the Exception set out in clause 5.1 (d)(i) and related proviso set out in 5.1 (d)(ii) of the Licence Agreement.
8	Staff in areas that are key to delivering the traceability system/protecting the integrity of the Red Tractor Logo (such as intake checkers in abattoirs) are trained and aware of Red Tractor and the importance of the tasks they are employed or engaged to undertake.
9	Systems are in place to ensure the correct labels/packaging are taken to packing lines.
10	Licensees producing dairy products carrying the Logo only use milk that has been collected from farm by a Dairy Transport Assurance Scheme (DTAS) member.

Red Tractor Traceability Challenge Non-Conformance Codes

Classification is based on the impact the failing could have in terms of potential for a product to be erroneously labelled with the Red Tractor Logo/ claim. If you have any queries about non-conformances issued by the assessor, they should be raised with the relevant Red Tractor Technical Manager (Licensing).

Code	Level	Description
TC1	CRITICAL	Fraudulently/ knowingly using the RT logo/ claim on product (and/ or paperwork) that is not eligible for RT
TC2	CRITICAL	Mistakenly using the RT logo/ claim on product (and/ or paperwork) that is not eligible for RT - error is not down to the licensee but further down the supply chain.
TC3	CRITICAL	Mistakenly using the RT logo/ claim on product (and/ or paperwork) on product that is not eligible for RT - error is within licensee controls
TC4	MAJOR	Using wrong logo on product / packaging
TC4B	Minor	Using wrong logo on website, marketing materials or paperwork
TC5	MAJOR	Failed mass balance - cause is down to licensee management
TC5B	Minor	Failed mass balance - failures are further down the supply chain and out of the management control of the licensee
TC6	MAJOR	More than 4 hours to produce paperwork confirming product is eligible for RT logo - root cause of failure is completely within licensee management control (either on site or within company)
TC6B	Minor	More than 4 hours to produce paperwork confirming product is eligible for RT logo - if the supply chain back to assurance status is more than one step away and not within company
TC7	CRITICAL	Not checking the assurance status of incoming products
TC8	MAJOR	No product specifications for product purchased in for further processing
TC9	MAJOR	Product brought in for further processing is not identified as eligible for RT logo (farm assured status) on delivery paperwork
TC10	MAJOR	RTA product not clearly labelled throughout the site
TC10B	Minor	RTA product not clearly labelled throughout the site; however product is clearly labelled (by e.g. batch code, barcode) ensuring traceability is secure.
TC11	MAJOR	Inadequate licensee traceability/ management controls around product eligible for RT and product not eligible for RT
TC11B	Minor	Secure controls for product eligibility are in place, however this is not fully recorded.
TC12	MAJOR	Inadequate controls to ensure correct packaging/ labels/ stickers are used on product
TC12B	Minor	No product labelled as RT or label inspection checks are in place to ensure correct labels are applied but does not record RTA status.
TC13	MAJOR	Poor staff awareness/ training of Red Tractor. Skill gap is sufficient to provide an opportunity for mis-use of RT logo.
TC13B	Minor	Poor staff awareness/ training of Red Tractor. Skill gap minor and procedures and records are in place to ensure RT status is secure.
TC14	MAJOR	Not completing regular checks to validate that suppliers are supplying to specification

TC15	Minor	Traceability challenge carried out for QMS product has failed (RTA intact but whole life assurance for Scotch has failed)
TC16	CRITICAL	Licence held for company is not up to date/ valid/ doesn't correspond to current membership year or license fee has not been paid.
TC17	CRITICAL	Inadequate licensee traceability/ management controls around product that is stunned and non-stunned
TC18	CRITICAL	Site does not have/ know about DTAS
TC18B	Minor	Site does not yet have DTAS but the haulage company has applied for membership
TC20B	Minor	Approved supplier list for all species/ produce does not match with the suppliers list on the licence application
TC21B	Minor	Product eligible for a RTA claim, which is sourced from animals assured to recognised equivalent schemes is not described as RTA post carcase, sides or quarters.
TC22B	Minor	Product of RTA origin is not described as RTA, e.g. "Farm Assured"
TC23	MAJOR	Full traceability backward or forwards is not demonstrated irrespective of assurance status of product.
TC24B	Minor	Customer list for all products sold with a RTA claim does not match with the customer list on the licence application
TC25	MAJOR	Product sold as RTA is not identified as RTA in the product description on despatch paperwork, customer invoices or products labels. Not applicable where product is destined for final consumer
TC26B	Minor	Product list for all products sold with a RTA claim does not match with the product names on the licence application