

Cross Compliance Checklists



Introduction to cross compliance

Cross compliance is a set of rules made up of 'Statutory Management Requirements' (SMRs) and 'Good Agricultural and Environmental Conditions' (GAECs) that must be adhered to in order to receive Common Agricultural Policy (CAP) support payments.

Cross compliance applies for the whole of the calendar year, as the claimant, it is your responsibility to make sure the Cross Compliance rules are met.

Under the 2015-2020 CAP there are 13 SMRs and 7 GAECs that apply in Scotland covering environment and climate change, public health, plant health, animal health and animal welfare.

Checklists have been prepared for each SMR and GAEC to help raise awareness of your cross compliance obligations. For each GAEC and SMR that is relevant to your business please answer each question with a Yes, No or N/A to help check if you have adhered to the rules. If the rules are applicable to you, and you are compliant, your answers to the questions should be Yes. The checklists can be found on the following pages:

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Further details on cross compliance and associated rules are available on the Scottish Government's website at: <https://www.ruralpayments.org/publicsite/futures/topics/inspections/all-inspections/cross-compliance/>

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Five main areas of non compliance and common breaches

The main areas of non compliance and reasons for non compliance from recent inspections are presented below. Where applicable, ensure that you are not breaching these and other relevant requirements.

1. Cattle identification and registration (SMR 7)

- Failure to report animal deaths or movements to CTS within legislative deadline.
- Post 01/01/1998 animals that have lost both tags but can still be identified by other means.
- Lost a tag but still identifiable (double or single).
- Animals registered with incorrect sex or breed.
- Animal details not found in farm records.



2. Sheep and goat identification (SMR 8)

- Lost or illegible identification has not been replaced and/or the record of replacement identification has not been maintained.
- Individual identities of home bred animals, present on the holding, have not been included in records.
- Failure to record death details of an animal born or identified after 31/12/2009.
- Failure to record complete movement details (other than individual identifiers via a CCP).
- The number of animals counted on the holding indicates the records are not accurate.
- Animals have not been tagged or have been incorrectly tagged before leaving the holding or reaching the appropriate age.



3. Welfare of farmed animals (SMR 13)

- Sick animals are not suitably cared for including, where necessary, getting veterinary advice.
- Stockperson does not have the knowledge and professional skills to look after the animals.
- Animals (kept outside) are not protected, when necessary and possible, from adverse weather conditions, predators and other risks to health.
- Medicine records are not complete and available for previous 3 years.
- Animals have not been fed to meet their physical needs.
- Number of deaths are not recorded and have not been kept for the previous 3 years.

4. Retention of landscape features (GAEC 7)

- Land within 2m of the centre line of a hedge (where the exemptions do not apply) had been cultivated and/or pesticides applied.
- Landscape feature has been removed or destroyed without written consent of the Scottish ministers and/or other statutory body.

5. Buffer strips along water courses (GAEC 1)

- Land within 2m of the top of the bank of surface water had been cultivated and/or pesticides had been applied.
- Organic manure applied to land situated within 10m of any surface water or 50m of any well, borehole, etc.
- Field heaps located within 10m of surface water or 50m of any well, borehole, etc.

GAEC 1 Buffer strips along water courses

The aim of GAEC 1 rules is to protect water against pollution. The requirements restrict storage, application of fertiliser and pesticides and cultivations along watercourses.

- Has your organic manure been stored on your holding and applied **more than** 10m away from any surface water and 50m from a water supply?

- Are your field heaps located **more than** 10m away from any surface water and 50m away from a water supply?

- To minimise the risk of chemical and nitrogen fertiliser entering surface water have you taken into account the following:
 - The slope of the land, particularly if it is greater than 12 degrees?
 - Any ground cover?
 - The proximity of the land to any surface water?
 - Weather conditions?
 - The type of fertiliser being applied?

Note: Applying chemical and nitrogen fertiliser to land that is waterlogged, flooded, has been frozen for over 12 hours in the preceding 24 hours or covered in snow is considered to pose a significant risk of the fertiliser entering surface water.



Picture above: 2m uncultivated strip of land

- Have you left a 2m uncultivated strip of land from the top of the bank of surface water?

Note: Cultivations can be done to establish a new hedge or a green cover if a green cover does not already exist. A green cover excludes crops that are grown for a commercial purpose, e.g. arable crops, undersown crops.

- Have you ensured that pesticides have not been applied within 2m of the top of the bank of surface water?

Note: Spot application of pesticides can be used to control injurious weeds, invasive species and, after prior written consent, to control other weed species. Before carrying out these activities ensure you are aware of SEPAs requirements for applying pesticides in or near water.

GAEC 2

Abstraction of water for irrigation

The aim of GAEC 2 rules is to protect water resources by licensing abstraction of water for irrigation.

If you are abstracting less than 10m³ of water each day you have to follow General Binding Rule 2 (GBR 2) i.e. demonstrate that the abstraction is always less than 10m³ in any one day by measuring the rate, or demonstrate that the maximum volume that could be extracted cannot exceed more than 10m³ in any one day. Complying with GBR 2 means there is no requirement to contact SEPA to register or apply for a licence.

- If you are abstracting less than 10m³ of water each day are you able to demonstrate compliance with GBR 2?

- If you are abstracting more than 10m³ and less than 50 m³ of water each day have you registered with SEPA?

- If you are abstracting more than 50m³ and less than 2,000 m³ of water each day have you obtained a Simple Licence from SEPA?

- If you are abstracting more than 2,000m³ of water each day have you obtained a Complex Licence from SEPA?

- If you require a water abstraction licence, are you complying with all the conditions of the licence, including:
 - Abstraction sites?
 - Abstraction periods?
 - Maximum daily abstraction volumes?
 - Submitted an annual data return to SEPA by 31 December, even if you did not abstract any water?

GAEC 3

Protection of groundwater against pollution

The aim of GAEC 3 rules is to protect groundwater against pollution.

- Have you obtained a licence from SEPA before disposing of dangerous substances*, such as waste sheep dip to land?

- Are you compliant with the conditions of your licence? For example:
 - Identified suitable disposal sites?
 - Maximum disposal volume?
 - Number of permitted disposals per site i.e. one disposal per site per year?
 - Dilution rates?
 - Keeping disposal records?

- Have you ensured that other List I or List II substances, such as diesel, oil, and batteries are not causing indirect or direct pollution of groundwater?

*Substances include:

List I

- Organohalogen compounds and substances which may form such compounds in the aquatic environment
- Organophosphorus compounds
- Organotin compounds
- Substances which possess carcinogenic mutagenic or teratogenic properties in or via the aquatic environment
- Mercury and its compounds
- Cadmium and its compounds
- Mineral oils and hydrocarbons
- Cyanides

List II

- | | | | | |
|----------|------------|--------------|-------------|-------------|
| - Zinc | - Lead | - Molybdenum | - Beryllium | - Cobalt |
| - Copper | - Selenium | - Titanium | - Boron | - Thallium |
| - Nickel | - Arsenic | - Tin | - Uranium | - Tellurium |
| - Chrome | - Antimony | - Barium | - Vanadium | - Silver |
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- Biocides and their derivatives not appearing in List I
 - Substances which have a deleterious effect on the taste or odour of groundwater, and compounds liable to cause the formation of such substances in groundwater and to render it unfit for human consumption
 - Toxic or persistent organic compounds of silicon, and substances which may cause the formation of such compounds in water, excluding those which are biologically harmless or are rapidly converted in water into harmless substances
 - Inorganic compounds of phosphorous and elemental phosphorous
 - Fluorides
 - Ammonia and nitrites

GAEC 4 Minimum soil cover

The aim of GAEC 4 rules is to protect soil against erosion after harvest until the end of winter.

Note: Winter is up to and including the last day of February.

- After harvest is the land covered by the stubble of the previous crop, by another crop or by grass?

Note: If agronomic or weather conditions are such that cultivating land would be detrimental to the use of the land, or the land is being prepared for sowing the subsequent crop i.e. ploughing, then you will not breach the above rule.



Picture above: Retained stubble of cereal crop

- Have you ensured that secondary cultivations and final seed beds are only created very close to sowing?



Picture above: Seed bed being created

GAEC 5
Minimum land management reflecting site specific conditions to limit erosion

The aim of GAEC 5 rules is to protect soil against erosion in certain situations.

- Have you ensured that the following livestock activities are **not** causing significant erosion of the soil at the banks of water courses, watering points and feeding areas:

- Overgrazing?
- Heavy poaching?



Picture above: Erosion of the bank of a water course by cattle

- If agronomic or weather conditions prevent a subsequent crop or cover crop from being sown have you put in place appropriate measures to limit soil erosion? For example:

- Grubbing?
- Sediment traps?
- Sediment fences?

GAEC 6 Maintenance of soil organic matter

The aim of GAEC 6 rules is to maintain soil organic matter levels.

- If applicable, have you complied with the requirements of the Muirburn code? For example:

- Is Muirburn only carried out between 1 October and 15 April inclusive and extended to 30 April only on the authority of the landowner?
- Has the fire been attended at all times?
- Are there provisions for controlling the fire?
- Have you ensured there is no damage to woodlands?



Picture above: Burnt patches of heather following Muirburn

- If you have burned arable stubbles, has this been carried out only for the purposes of plant disease or pest control?

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Note: Arable stubbles must not be burnt except for disease control or to eliminate plant pests; burning of straw or any other items on a field of stubble is also not permitted.



Picture above: Moorland rough grazing

- If you have ploughed rough grazing or other semi-natural areas was this part of an approved Environment Impact Assessment (EIA)?

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Note: Ploughing up rough grazings and other semi-natural areas without approval under the EIA Scotland Regulations 2006 is not permitted.

GAEC 7

Retention of landscape features

The aim of GAEC 7 rules is to protect landscape features.

- Have you obtained prior written consent from the Scottish Government **before** removing or destroying the following:

- Drystone or flagstone dykes?
- Ponds, watercourses?
- Turf and stone-faced banks?
- Walls?
- Hedges?
- Trees (in a line, in a group or isolated)?

Note: These features must not be removed or destroyed without prior written consent. Consent is not required to widen field entrances to enable access for livestock or farm machinery, to fell trees that are dead, diseased, damaged or insecurely rooted and are likely to cause damage by falling over, or to fell trees that are exempt from or are covered by a Felling Licence.

- Have you undertaken hedge trimming and/or lopping branches off trees between 1 September and 28 February (29 February in a leap year)?

Note: Hedgelaying can be carried out up to and including 31 March. Hedge trimming and/or lopping branches off trees must not be carried out between 1 March and 31 August, inclusive, unless one of the following exemptions applies:

- *Hedges or trees may be trimmed/cut from 1 August if the hedge or tree is in a field which will be sown with oilseed rape, temporary grass or another crop, subject to prior consent of Scottish Ministers. This exemption only applies to the side of the hedge of tree that is adjacent to the named crops.*
- *For road safety reasons i.e. prevent danger to or the passage of vehicles, pedestrians and horse riders or farm tracks and areas of public access.*

- Have you left a 2m uncultivated strip of land from the centre line of a hedge?

Note: Cultivations can be done to establish a new hedge or a green cover if a green cover does not already exist. A green cover excludes crops that are grown for a commercial purpose, e.g. arable crops, undersown crops.

- Have you ensured that pesticides and fertiliser have not been applied within 2m of the centre line of a hedge?

Note: Spot application of pesticides can be used to control injurious weeds, invasive species and, after prior written consent, to control other weed species. Fertilisers or pesticides can be applied to establish a new hedge; this applies from the time the land is prepared for planting the new hedge to the end of the hedge's third growing season.

- If you have a Scheduled Ancient Monument (SAM) on your land, have you obtained Scheduled Monument Consent before altering, damaging or destroying it?

Note: SAMs must not be altered, damaged and/or destroyed without prior consent of the Scottish Ministers.

SMR 1 Nitrate Vulnerable Zones

The aim of SMR 1 rules is to reduce the pollution of waters caused by nitrates from agricultural sources and to prevent such pollution occurring in the future. If you farm in an NVZ you must comply with the conditions of the NVZ Action programme.

- Have you prepared a Fertiliser and Manure Management plan by 1 March?

- Does your Fertiliser and Manure Management plan contain the following:
 - If applying organic manure, an accurate Risk Assessment for Manures and Slurries (RAMS) map?
 - If relevant, a calculation and record of the capacity of slurry storage facilities?
 - A calculation and record of the 170kg/N/ha loading limit for livestock manure?
 - An Nmax calculation for each crop type grown on the farm, including grassland?

Note: The RAMS map should indicate location of all surface water, wells, boreholes and other water supplies; areas where no application of organic manures can take place; areas of land with slope >12°; areas of high risk; location of field heaps and date created.

- Where yield or market adjustment factors have been used to increase the standard Nmax is this justified by sufficient supporting records?

- Have you got records containing the following information:
 - The area of the farm within the NVZ?
 - The area of each field within the NVZ?
 - The soil type in each field?
 - The date crops were sown in each field and crop type?
 - The type and quantity of chemical fertiliser and organic fertiliser applied to each field and the date of application?
 - The number of livestock kept on the farm, detailing the species, the age category and the length of time kept on the farm?
 - The type, quantity and nitrogen content of livestock manure moved off the farm, the date of movement and the name and address of the person receiving it?
 - The type, quantity and nitrogen content of organic manures imported onto the farm, the date of movement and the name and address of the supplier?
 - The quantity and type of chemical fertiliser brought onto, used and retained on the farm?

Note: Records must be retained for a period of three years from the end of the year to which the records relate.

- Do you have sufficient livestock manure storage to meet the minimum requirements?

Note: You must provide 26 weeks storage capacity for pig slurry; for all other livestock slurry you must provide 22 weeks storage capacity.

- Are all your storage facilities for livestock manure and silage effluent maintained so that they are structurally sound and do not leak?

- Is your permanent storage facility for livestock manure (other than slurry):
 - Sited on an impermeable surface and covered by a waterproof covering?
 - Have collection facilities for collecting run-off, etc?

- Is your silage (except wrapped or bagged silage) stored in a facility that has an impermeable base and facilities for collecting run off?

- Have you ensured that you have **not**:
 - Applied chemical fertiliser or organic manure with a high available nitrogen content during the relevant closed periods?
 - Exceeded the quantitative restrictions either side of the closed period for organic manure with high available N content e.g. poultry manure, slurry and liquid digested sludge?
 - Applied organic manure with high available N content to bare ground or stubble during July, August, or September and the crop(s) were not sown within six weeks of the first applications (subject to general compliance with the closed periods)?
 - Applied livestock manure within three weeks of a previous application?
 - Exceeded the relevant farm limit for livestock manure and field-based limit for organic manure?
 - Applied slurry with a raised splash plate (except on growing arable crops)?
 - Stored non-solid manure in a temporary field heap?
 - Stored neat poultry manure in a temporary field heap without an impermeable cover?
 - Located field heaps within 10m of surface water, 50m of a water supply or on any other site that is a high risk or a no spreading area?
 - Stored livestock manure in a temporary field heap for longer than 12 months?
 - Created a temporary field heap on a site of a previous heap within 24 months?
 - Applied nitrogen fertiliser in an inaccurate manner?
 - Applied nitrogen fertiliser to land when the land is waterlogged or flooded?
 - Applied nitrogen fertiliser on soil that has been frozen for 12 hours or longer in the preceding 24 hours or is covered by snow?
 - Applied organic manure within 10m of surface water, or 50m of a water supply?
 - Allowed nitrogen fertiliser of any type to enter a water course, or applied nitrogen fertiliser resulting in there being a significant risk of fertiliser entering a water course?
 - Exceed the Nmax for any crop type?

SMR 2 Conservation of wild birds

The aim of these rules is to protect wild birds, their eggs and nests. This SMR 2 relates to all farmers and all land with additional rules if you have land classified as a Special Protection Area (SPA). Many SPAs are also designated as Sites of Special Scientific Interest (SSSI).

- Have you ensured that you have **not** carried out activities that are likely to result in the disturbance or the deterioration of habitats affecting birds, such as:
 - Cutting/trimming hedges in the bird breeding and rearing season (1 March and 31 August) without an exemption (see GAEC 7)?
 - Cutting or lopping branches off trees in the bird breeding and rearing season (1 March and 31 August) without an exemption (see GAEC 7)?
 - Ploughing/reseeding rough grazing or other semi-natural areas unless approved as part of an environmental impact assessment (EIA) (see GAEC 6)?
 - Draining wetland areas unless approved as part of an environmental impact assessment (EIA)?
 - Removing/burning scrub and gorse in the bird breeding and rearing season (1 March and 31 August)?
 - Carrying out muirburn outside the burning season?



Picture above: Hen Harrier

- Have you obtained Scottish Natural Heritage's (SNH) consent in writing before carrying out, causing or permitting any specified operation listed in your SSSI legal document?

Note: Lists of specified operations are referred to as Operations Requiring Consent (ORC) or are listed within a special nature conservation order. Further details can be found on SNH's website.

- Have you complied with all management notices served by SNH or the terms of any restoration order served by a court relevant to the purpose of the SPA?

Note: You must not intentionally or recklessly cause damage or destruction of the special interest or disturbance of the fauna, except if you have planning permissions or consent to carry out the work, or it is an emergency operation.

SMR 3 Conservation of flora and fauna

The aim of SMR 3 rules is to conserve land designated as a Special Area of Conservation (SAC). Many SAC's are also designated as Sites of Special Scientific Interest (SSSI).

If you have a Special Area of Conservation on your land there are rules that must be adhered to.



Picture above: Special Area of Conservation

- Have you obtained Scottish Natural Heritage's (SNH) consent in writing before carrying out, causing or permitting any specified operation listed in your SSSI legal document?

Note: Lists of specified operations are referred to as Operations Requiring Consent (ORC) or are listed within a special nature conservation order. Further details can be found on SNH's website.

- Have you complied with all management notices served by SNH or the terms of any restoration order served by a court relevant to the purpose of the SAC?

Note: You must not intentionally or recklessly cause damage or destruction of the special interest or disturbance of the fauna, except if you have planning permissions or consent to carry out the work, or it is an emergency operation.

SMR 4 Food and feed law

The aim of SMR 4 rules is to ensure the safe production of food for human consumption and food or feed that is fed to food-producing animals. If you are a food or feed producer or keep food producing animals there are rules that must be adhered to.

- If you have had a food safety incident have you followed the requirements concerning notification, recall and withdrawal?

Traceability

- Do you have in place systems and procedures for the traceability of inputs (i.e. food, feed, food-producing animals and any other substance intended or expected to be incorporated into a feed), that include records of the following:
 - Name and address of supplier?
 - Type and quantity of inputs supplied?
 - Delivery date?
- Do you have in place systems and procedures for the traceability of products when they leave your farm that include records of the following:
 - Name and address of customer?
 - Type and quantity of products supplied to customer?
 - Date products left your farm?

Hygiene of foodstuffs and feed hygiene

- Are your wastes and/or hazardous substances stored securely and handled separately from your food or feed products?

Note: Hazardous substances are any that have the potential to cause an adverse effect on human health or animal health. Waste and hazardous substances may include slurry, dirty water/run-off, silage effluent, waste metal, sheep dip, plant protection products, fertilisers, veterinary products.

- Is your feed stored away from chemicals or any other products prohibited for use as animal feed?
- Are your storage areas and containers clean and dry?
- Where necessary, have appropriate pest-control measures been implemented?

- Is your seed stored in such a way that it is not accessible to animals?

- Are your medicated feeding stuffs clearly labelled and stored and handled separately from non-medicated feeds?

- Do you periodically clean your farm feed transport vehicles and feeding equipment?

- Have you used feed additives, veterinary medicinal products and biocides correctly?

Note: This includes complying with the correct dosage, application and storage as stated on the label or as prescribed.

- Have you taken adequate measures to prevent the introduction and spread of contagious diseases transmissible to humans through food? Including:
 - Ensure that all eligible animals conform to national herd/flock health surveillance and testing intervals for TB?
 - Have a system in place when new animals are introduced on-farm to keep them separate from the rest of the herd/flock?
 - Inform the relevant authority of a disease incident?
 - Report indicators of potential outbreaks to relevant authorities?

- Is your feed for food producing animals sourced from establishments that are registered and/or approved by your local authority?

- Do you have up-to-date records for the use of veterinary products that include the following:
 - Animal ID?
 - Medicine used?
 - Date of the treatment?
 - Withdrawal period?

- Do you have up-to-date records for the use of biocides, such as rat poison and fumigation treatments that include the following:
 - Name of biocide?
 - Date of treatment?

- Do you have up-to-date records for the use of plant protection products that include the following:

- Spraying date?
- Products used?
- Application rate?
- Harvest interval?

Additional requirements for milk producers

- Has milk and/or colostrum been **excluded** from the bulk tank if:

- Animals are showing signs of ill health i.e. discharge, inflammation, udder wounds?
- Animals have been treated and are still within the withdrawal period?
- Animals have been treated with an unauthorised substance?

- If your herd/holding is **not** free of TB or brucellosis, is the milk and/or colostrum correctly used?

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Note: Milk and/or colostrum from non-reactor animals must be pasteurised before being marketed for human consumption; milk and/or colostrum from reactor animals must not be marketed for human consumption.

- If you have animals infected or suspected of being infected with TB or brucellosis, do you have isolation facilities for them?

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- Are the facilities used for storing milk and/or colostrum protected against vermin, separate from the livestock housing and have suitable refrigeration equipment?

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- Are all the fittings and equipment that come into contact with raw milk or colostrum in sound condition, fit for purpose and clean?

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- Is milk and/or colostrum cooled to the appropriate temperatures?

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Note: Milk and colostrum must be cooled immediately (i.e. 2 hours) to not more than 8°C if it is collected daily and not more than 6°C if it is not collected daily.

Additional requirements for egg producers

- Are the eggs clean and dry, free of strong odour, effectively protected from shocks and out of direct sunshine?

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SMR 5

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

The aim of SMR 5 rules is to prohibit the illegal use in stock farming of substances that have a hormonal or thyrostatic action and beta-agonists and also to prevent the residues these substances leave in meat and other foodstuffs from entering the human or animal food chain.

If you have used restricted substances in line with permitted exceptions there are rules that must be adhered to.

Note: Restricted substances means thyrostatic substances, stilbenes, stilbene derivatives, their salts and esters, oestradiol 17 β and its ester-like derivatives and substances having oestrogenic, androgenic or gestogenic action and beta-agonists. Exceptions exist for the use in certain circumstances of veterinary medicines containing testosterone, progesterone, allyl trenbolone and beta-agonists, and having oestrogenic, androgenic or gestagenic action.

- Have you observed the relevant withdrawal period if your food-producing animals have been given any of the restricted substances in line with the permitted exceptions?

- Do you have up-to-date veterinary medicinal records relating to restricted substances?

Note: Proof of purchase of all veterinary medical products must be kept for five years.

- Have you ensured that you have **not**:
 - Given food-producing animals restricted substances, unless in line with any permitted exceptions?
 - Got substances on your farm that contain beta-agonists to induce tocolysis in cows when calving e.g. clenbuterol hydrochloride?
 - Got food-producing animals on your farm to which a restricted substance has been administered, unless given in line with any permitted exceptions?
 - Placed 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?
 - Placed 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?

SMR 6

Pig identification and registration

The aim of SMR 6 rules is to maintain a system for the identification, registration and traceability of 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.

Registration

- As a keeper of pigs, have you registered your details with your local Animal and Plant Health Agency (APHA) within 30 days from the date you first keep pigs?

- Have you informed your local APHA office of any changes to your details within one month of the change?



Picture above: Pig with slap mark

Identification

- Have you correctly identified your pigs (depending on their age and destination) before they leave your holding? For example:
 - Are pigs moving outwith the UK, to an exhibition, show, semen collection centre, under a walking licence or for breeding purposes permanently identified with an approved ear tag or a tattoo with a unique identification number?
 - Are pigs moving to a market or slaughterhouse permanently identified with an approved ear tag, tattoo or a slapmark?
 - Are pigs under 12 months old that are being moved between farms identified with an approved ear tag, tattoo or slapmark; or identified with a temporary mark which lasts until the pig reaches its destination?

*Note: Permanent identification that has become illegible or has been lost **must** be replaced.*

Movements

- Have you notified ScotEID of pig movements onto or off your holding?

- For movements off, have the movements and required information been supplied to ScotEID either prior to the movement taking place or on the day of the movement?
- For movements on, have the movements and required information been supplied to ScotEID within three days (including day of arrival) of the pigs arriving on the holding?

Records

- Do you have an annual record of the number of pigs on your holding that includes the following:
 - Name and address of the keeper, including CPH number?
 - Dates of any movements?
 - Number of pigs moved and their identification (either temporary mark or identification number, including the unique individual identification, if applicable)?
 - Address and CPH number where the pigs were moved from/to?
- Have you recorded movements on and off your holding within 48 hours of the movement date?
- Have you recorded details of replacement identification and cross referenced the new identifier to the original identifier (unless the replacement used is identical to the original)?

Note: You must maintain a separate register for each holding (CPH) that you keep pigs on and retain records for at least three years from the last record entry.

SMR 7

Cattle identification and registration

The aim of SMR 7 rules is to maintain a system for the identification, registration and traceability of cattle.

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 traceability of cattle. 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 (<https://www.gov.scot/publications/livestock-identification-and-traceability-guidance/pages/register-as-keeper-of-livestock/>; <https://www.scoteid.com/>)



Picture above: Ear tagged calf

Tagging

- Have your dairy calves been tagged with one ear tag within 36 hours of birth and a second ear tag within 20 days of birth?
- Have all other calves been tagged with 20 days of birth, or before they leave the holding, if this is sooner?
- Do all animals leaving your holding have two tags?
- Have you replaced illegible or lost ear tags within 28 days of noticing the damage or loss, or before the animal leaves the holding, if this is sooner?

Note: Regularly check cattle for illegible or lost ear tags, order and replace them immediately.

Passports and registration

- Have you notified the British Cattle Movement Service (BCMS) of births on your holding within seven days of tagging by making an application for a passport through an approved channel?
- Have you registered cattle imported from within the EU, but outside Great Britain, within 15 days of its arrival on your holding by sending the foreign passport/movement document to BCMS and making an application for a passport?

- Have you registered cattle imported from outside the EU within 15 days of tagging the animal and no later than 35 days from its release from import checks by making an application for a passport from BCMS?
- Do you have a signed and valid passport for every animal in your care?
- When cattle are moved off your holding are they accompanied with their completed and signed cattle passports?

Notification of movements and deaths

- Have you notified BCMS of movements of cattle onto and off your holding within 3 days of the movement?
- If you have elected to use ScotMoves to notify within business moves, have you notified ScotEID within three days of the movement?
- Have you notified BCMS of cattle deaths on your holding within seven days of the date of death?

Note: If your chosen method is to complete the Death details section of the passport, you must return the passport within seven days of the date of the death.

- Have you notified BCMS by returning the passport of any lost or stolen animal within seven days of becoming aware of the loss or theft?

Note: Every animal must have a valid passport; there should not be any surplus passports on the farm.

On-farm records (herd register)

- Do you have up-to-date records in your herd register for every animal that includes the following:

 - Official ear tag number?
 - Dam's official ear tag number?
 - Date of birth?
 - Sex?
 - Date of movements on and off your holding?
 - Details of where the animal has moved to or from, including details of the keepers?
 - Breed?
 - Date of death?



Pictures above: Herd registers for bovine animals

• Have you completed your herd register within the following timescales:

- 48 hours of movements taking place?
- 7 days of the birth of a dairy calf?
- 30 days of the birth of any other calves?
- 7 days of a death?
- 36 hours of an ear tag being replaced?

Note: Holding registers must be retained for 10 years from the end of the calendar year in which the last entry was made. Other registers (e.g. those kept at markets) must be retained for three years from the end of the calendar year in which the last entry was made.

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.

SMR 8 Sheep and goat identification

The aim of SMR 8 rules is to maintain a system for the identification, registration and traceability of sheep and 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 traceability of sheep and goats. For a full explanation of your legal obligations, you should refer to the relevant legal provisions. A summary of these provisions can be found in 'Sheep and Goat Identification and Traceability- Guidance for Keepers in Scotland' (<https://www.gov.scot/publications/sheep-goat-identification-traceability-guidance-keepers-scotland/>).

Identification and replacement of identification

- Have all intensively farmed sheep and goats born after 7 July 2005 been identified with the correct means of identification within six months of birth, or before they leave the holding of birth, whichever is sooner?
- Have all extensively farmed sheep and goats born after 7 July 2005 been identified with the correct means of identification within nine months of birth, or before they leave the holding of birth, whichever is sooner?
- Are sheep and goats under 12 months of age and are intended for slaughter in the UK before 12 months of age identified with a single electronic tag showing only the flock mark of the animal?

Note: You may choose to use two matching identifiers, with individual numbers, for these animals.

- Are all sheep and goats born on or after 31 December 2009, other than slaughter tag derogation sheep, identified with two matching means of identification, of which one must be electronic?

Note: One means of identification must be an ear tag; the second must be either, a matching ear tag, pastern tag, bolus or tattoo.

- Have you replaced any lost or illegible means of identification within 28 days of noticing their loss or illegibility or before the animal leaves the holding, whichever is earlier?

Record keeping



Picture above: Holding register

• Do you have up-to-date records for sheep and goats on every holding that you use?

• For each sheep and goat born or first identified on or after 31 December 2009 do you record the following within 48 hours of the event taking place:

- Identification code of the animal?
- Year of birth?
- Date of identification?
- Breed and, if known, the genotype?
- Individual identifier, month and year of death of an animal on the holding?

• If you have replaced any lost or illegible identification do you record the following within 48 hours of the event taking place:

- Date of replacement?
- Replacement number with cross reference to the previous mark, if known?

Note: 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 the animal.

• Do you record the following details of the movements of sheep and goats on and off your holding within 48 hours of the event taking place:

- Date of the movement?
- Number of animals moved?
- Destination or origin of the animals moved?
- Haulier's name and vehicle registration for animals leaving your holding?
- Flock marks and the number of animals with each flock mark for slaughter animals?

• Unless the land is within the same crofting township and/or used on a seasonal basis and is less than five miles from the main holding, do you have an annual inventory of the animals kept at 1 December for each permanent holding?

• Is your inventory as at 1 December completed by 30 December?

Note: Records must be kept for at least three years from the last day when an animal referred to in the register dies or leaves the holding

SMR 9

Prevention and control of transmissible spongiform encephalopathies

The aim of SMR 9 rules is to minimise the risk posed to human and animal health by certain transmissible spongiform encephalopathies (TSEs). This applies to you if you keep farmed animals.

- If you know or suspect that an animal or carcass in your possession, or under your charge, is infected with a TSE have you notified the duty veterinary officer of your local Animal and Plant Health Agency office (APHA)?

- If you have an infected animal with TSE have you fully complied with any imposed movement restrictions or orders to slaughter and destroy the animal?

- Have you ensured that you have **not** fed animal protein, or any feeding stuff that contains animal protein to ruminants, except for those listed below?

Note: You can feed milk, milk-based products and colostrum's, eggs and egg products, gelatine from non-ruminants, hydrolysed proteins derived from non-ruminants or from ruminant hides and skins, liquid milk replacers for unweaned ruminants containing fishmeal, if registered to do so.

- Have you ensured that you have **not** fed feed products containing prohibited proteins to any farmed animals, or mixed prohibited proteins with feed stuffs?

Note: Prohibited proteins are gelatine from ruminants and processed animal protein such as mammalian meat and bonemeal, poultry meal, feather meal.

- Have you ensured that you have **not** used restricted proteins to produce feed for non-ruminants or used feed products containing restricted proteins on your farm if ruminants are present, unless you have received authorisation from the competent authority?

Note: Restricted proteins include fishmeal, blood products, bloodmeal for feeding to farmed fish, dicalcium phosphate and tricalcium phosphate of animal origin.

- Do you have on your farm any bovine animals born or reared in the UK before 1 August 1996?

Note: You must not place on the market or export any products consisting of or incorporating any material (except milk) derived from a bovine animal born or reared in the UK before 1 August 1996

- If you have any pre 1 August 1996 cattle and intend to move the animal from their registered premises, have you obtained a movement licence from the APHA?

SMR 10

Restrictions on the use of plant protection products

The aim of SMR 10 rules is to ensure that plant protection products are used correctly and to minimise their risk to humans, animals and the environment.

This applies if you use these products on your land.



Picture above: Plant protection products being applied

- Are plant protection products used in accordance with label requirements, or as specified in the authorisation, permit or in any extension of use? For example:
 - Are the products authorised or permitted for use on the crop, land or situation?
 - Have products been applied using authorised methods?
 - Have the application dates and harvest intervals been followed?
 - Has the maximum dose/concentration been followed?
 - Has the maximum number of applications been adhered to?
 - Have the plant protection products been stored and disposed of safely?

Note: Record-keeping requirements for plant protection products fall within SMR 4 – Food and feed law.

SMR 11 Welfare of calves

The aim of SMR 11 rules is to protect the welfare of calves by setting minimum standards for their care and husbandry. There are also additional rules for farmed animals covered by SMR 13 Welfare of farmed animals.

Inspection, accommodation and freedom of movement

- Do you inspect all housed calves at least twice a day and those kept outside at least once a day?

- Do your individual stalls or pens satisfy the minimum width and length rules and have perforated walls to allow healthy calves to see each other and have physical contact?

Note: Minimum width is at least equal to the height of the calf at the withers, when measured in the standing position; minimum length is at least equal to the body length of the calf (measured from the tip of the nose to the rear of the pin bone (tuber ischii), multiplied by 1.1.

- When calves are kept in a group do they have sufficient unobstructed floor space?

Note: Calves with a live weight of less than 150kg must have at least 1.5m², calves with a live weight of 150kg or more but less than 200kg have at least 2m², and calves with a live weight of more than 200kg have at least 3m².

- Does the flooring in your calf housing accommodation adhere to the following:
 - Smooth but not slippery?
 - Designed so there is no injury or suffering to the calves while standing or lying?
 - Suitable for the size and weight of the calves?
 - Rigid, even and stable?

Note: 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).

Environment

- For calves kept in artificially lit buildings, is artificial lighting provided for a period that is at least equal to the period of natural light normally available between 9am and 5pm?

- Do you regularly clean and disinfect housing and equipment used for your calves?

Note: Remove dung, urine and leftover food as often as necessary to reduce smells and avoid attracting flies or rodents.



Picture above: Cattle housed in suitable accommodation

- Do housed calves have access at all times to a lying area that is clean, comfortable, well drained and has dry appropriate bedding?

Feed, water and other substances

- Do you feed all your weaned calves at least twice a day, if not fed ad lib?

- When feeding group-housed calves:

- Does each calf have access to feed at the same time as the others in the feeding group?
- Do the calves have continuous access to feed?
- Are calves fed by an automatic feeding system?
- Do all your calves have access to fresh drinking water at all times in hot weather conditions or when they are ill?
- Do you ensure that each calf receives bovine colostrum as soon as possible after it is born and within the first 6 hours of life?
- Do all of your calves receive enough iron, to ensure a blood haemoglobin level of at least 4.5mmol/litre?
- Do all of your calves receive the specified minimum daily ration of fibrous food?

Note: The daily fibrous food ration rises in line with the growth of the calf, starting at 100g at 2 weeks old and rising to 250g at 20 weeks.

SMR 12 Welfare of pigs

The aim of SMR 12 rules is to protect pigs by setting minimum standards for their care and management and welfare.

There are also additional rules for farmed animals covered by SMR 13 Welfare of farmed animals.



Picture above: Piglets housed in suitable accommodation

Accommodation and buildings

- Can each pig turn around without difficulty at all times?

- Are your pigs **only** tethered for veterinary purposes?

Note: If tethering is required for veterinary purposes the 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.

- Does your pig accommodation allow them to:

- Stand up, lie down and rest without difficulty?
- 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)?
- See other pigs (unless the pig is isolated for veterinary reasons or for farrowing)?
- Maintain a comfortable temperature?
- Have enough space to allow all of them to lie down at the same time?

- Do individual stalls or pens satisfy the minimum size requirements, if not a permitted exception?

Note: Minimum internal area of stall/pen is less than the square of the length of the pig; minimum internal side is less than 75% of the length of the pig. The length of the pig is measured from the tip of its snout to the base of its tail while it is standing with its back straight.

- Do you provide artificial lighting of at least 40 lux for at least eight hours each day, for pigs kept in an artificially lit building?

- Does the flooring in your pig housing accommodation adhere to the following:
 - Smooth but not slippery?
 - Suitable for the size and weight of the pigs?
 - Rigid, even and stable, if there is no litter?
 - Designed, constructed and maintained so there is no injury or suffering to the pigs standing or lying on it?

- If you use concrete slatted floors, is the flooring of the correct measurements (for openings and slats)?

Feed, water and environmental enrichment

- When feeding group-housed pigs and they are **not** fed by an automatic feeding system does each pig have (only one needs to be complied with):
 - Access to feed at the same time as the others in the feeding group?
 - Continuous access to feed?

- Are all pigs above two weeks old given permanent access to a sufficient supply of fresh drinking water?

- Is permanent access given to sufficient manipulate material which allows proper investigation and manipulation?

Note: Material can include straw, hay, wood, sawdust, mushroom compost, peat or a mixture of such as long as it does not upset the health of your animals.

- Do you take measures to prevent fighting which goes beyond normal behaviour?

Note: If you keep pigs together, keep those pigs separate which show persistent aggression or are victims of that aggression.

For all boars

- Are boars housed in pens where they can turn around and hear, see and smell other pigs?

- Do the boars have a clean resting area and a dry and comfortable lying area?

- Does each boar have a minimum allowance of unobstructed floor space?

Note: Each adult boar must have at least 6m² of unobstructed floor space; if being used for natural service each boar must have at least 10m² of unobstructed floor space.

For all sows and gilts

- If necessary, do you treat pregnant sows and gilts against internal and external parasites?

Farrowing



Picture above: Sow with piglets in farrowing crate

- Do you thoroughly clean pregnant sows and gilts before they are placed in farrowing crates?
- Do sows and gilts have 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)?
- Is the area being used by sows or gilts during farrowing unobstructed?
- If you keep sows loose in farrowing pens, have you provided the piglets with some protection from the sow, such as farrowing rails?

Group housing

- Do you keep sows and gilts in groups (except during the period between seven days before the predicted day of farrowing and the day on which the weaning of piglets is complete)?
- After service does each female pig have a minimum allowance of unobstructed floor space, continuous solid floor and pens of correct dimensions?

- Can all sows and gilts get access to enough food?
- Do you 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?

Note: You will not break the rule 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 rules for pig accommodation.

For all piglets

- Do your piglets have a source of heat and a dry comfortable lying area away from the sow where all of them can rest at the same time?
- Is the floor where you keep piglets large enough to allow them to rest together at the same time, solid, covered with a mat or littered with straw or any other suitable material?
- If using a farrowing crate do the piglets have enough space to be able to suckle without difficulty?
- Have your piglets been weaned from the sow on or after 28 days?

Note: They can be weaned up to seven days earlier, provided that they are moved into specialised housing, which you empty and thoroughly clean and disinfect before you introduce a new group, and which is separate from the housing where you keep sows.

For weaners and rearing pigs

- When kept in groups, do your weaner or rearing pigs have the required minimum allowance of unobstructed floor space?
- Do you place pigs in groups as soon as possible after weaning and keep these groups stable with as little mixing as possible?
- Do you provide opportunities for animals to hide from unfamiliar pigs if mixing is necessary?

Note: This must also be done at as young an age as possible, preferably before, or up to one week after, weaning.

- Has tranquillising medication **only** been used to help with mixing in exceptional circumstances and on the advice of a vet?

SMR 13

Welfare of farmed animals

The aim of SMR 13 rules is to protect the welfare of farmed animals by setting minimum standards for their care and husbandry. This applies to any species kept for farming purposes.

Staffing and animal husbandry

- Are animals looked after by enough staff who have the correct skills and knowledge?

- If your husbandry system depends on frequent human attention, do you inspect your animals thoroughly at least once a day and in other systems, as often as necessary to avoid suffering?

- Is enough lighting provided so that you can carry out a thorough inspection of the animals at any time of the day?

- Do you attend to ill or injured animals immediately and seek veterinary advice if required?

- Do you isolate sick or injured animals in suitable accommodation with dry comfortable bedding?

Record keeping

- Do you have a record of any medicinal treatment given to your animals?

Note: Records must be kept for at least three years from the date of the treatment.

- Do you maintain a record of the number of animal deaths?

Note: Records must be kept for at least three years from the date the death was found.

Freedom of movement and accommodation

- Have your animals got enough space to avoid causing unnecessary suffering, injury or stress?

- Has your animal accommodation been constructed with materials that can be thoroughly cleaned and disinfected?

- Have you ensured that your animal accommodation does **not** have any sharp edges or protrusions which could injure your animals?

- Is air circulation, dust levels, temperature, relative air humidity and gas concentrations within limits that will not harm your animals?
- If there is not sufficient natural light in the building, has artificial lighting been provided?
- Do your animals that are not kept in buildings have access to a well-drained lying area at all times and, if necessary, protection from adverse weather conditions, predators and other risks to their health?



Picture above: Housed dairy cows feeding on silage

Automatic or mechanical equipment

- Do you check automated and/or 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)?
- If your animal's health and well-being depends upon artificial ventilation, do you have an appropriate back-up to the main system and an alarm to warn you if the ventilation system fails?

Note: Inspect and test the systems at least once every seven days.

Feed, water and other substances

- Do your animals have access to feed at intervals appropriate to their needs (and, in any case, at least once a day)?
- Do your animals have access to a suitable water supply and enough fresh drinking water or other fluid?

- Is your feeding and watering equipment designed and located to minimise any contamination of food and water and the harmful effects of competition between animals?

Mutilations

- Do you **only** carry out permitted mutilation on your animals?

- Are permitted procedures carried out in hygienic conditions, in a manner to minimise pain and suffering, and according to good practice?

- Is castration or tail docking carried out by a person over the age of 18 years, or 17 years if under formal instruction?

Breeding procedures

- Are your breeding procedures, either natural or artificial carried out in such a way that they **do not** cause harm to your animals?

- Do you only keep animals for farming purposes whose genotype or phenotype means that they can be kept without harm to their health and welfare?