



NSF International

# NSF Global Animal Wellness Standard (Small Ruminant Dairy Production)

The Public  
Health and Safety  
Company.™



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## Introduction

Animal welfare is a global issue impacting an expansive portion of the agricultural and food production industry spanning the production, delivery and harvesting protein supply chain. The success and sustainability of this area of industry is directly linked to the relationship between animals and society and the responsible stewardship and treatment of animals within the settings where they are kept, raised and responsibly used.

The food industry has become increasingly attuned to consumer and investor expectations and in order to meet these increasing demands for transparency and proactively respond to emerging trends regarding the welfare of animals, retailers and processors are requiring that animal handling and care guidelines are defined, implemented and measured. These guidelines are critical to the health and wellness of animals at every step from birth to slaughter.

## Background

The World Organization for Animal Health (OIE), with a global and science-based agenda, has established guidelines applicable to animal welfare (OIE 2017). These guidelines are global, science-based standards agreed upon by the trading nations of the world, taking into account the cultural and economic variations between regions and countries of the world.

The general principles for the welfare of animals in livestock production systems and species-specific program guidelines for production, transport and slaughter, provide a basis for practical requirements to ensure that the concept of the internationally recognized five freedoms are being met.

- freedom from hunger, thirst and malnutrition
- freedom from fear and distress
- freedom from physical and thermal discomfort
- freedom from pain, injury and disease
- freedom to express normal patterns of behaviour

The OIE guidelines identify scientifically-based criteria and indicators that will provide critical information that has an impact on the welfare of animals.

OIE TAHC defines animal welfare as “how an animal is coping with the conditions in which it lives”) and that an animal is in a good state of welfare if (as indicated by scientific evidence) it is healthy, comfortable, well nourished, safe, able to express innate behaviour, and if it is not suffering from unpleasant states such as pain, fear, and distress. Good animal welfare requires disease prevention and appropriate veterinary treatment, shelter, management and nutrition, humane handling and humane harvest of products and slaughter.

In 2016, ISO released a Technical Specification 34700: Animal welfare management: General requirements and guidance for organizations in the food supply chain (ISO 2016) that provides the guidance for management of the welfare of animals raised for food or feed production around the world and is adaptable to different situations, including:

- production systems across the supply chain for products of animal origin
- geographical, cultural and religious contexts
- developed and developing countries



## Design and Purpose

The NSF Global Animal Wellness standards are designed to be relevant in every country, region and market. To accomplish this, the assessment standards are designed to:

- recognize the variability in regulatory requirements and consumer and market pressures globally
- be outcome-based rather than prescriptive
- account for variations in local awareness and implementation of scientific and technical developments

The NSF Global Animal Wellness System requirements are consistent with ISO/TS 34700 and OIE principles and guidelines and has been developed as a tool to assist in determining if ensure that the key elements of an animal welfare management system and programs are in place in organizations. The system elements covered in the standards include:

- Management Commitment, Policy, Procedures and Planning
- Personnel
- Monitoring Animal Welfare Plan Implementation and Outcomes
- Evaluation and Review
- Facilities, Equipment and Materials

The NSF Global Animal Wellness Standards include a series of species and production specific requirements that establish, in greater depth, the program elements required in OIE TAHC, industry-recognized animal welfare care and handling guidelines, codes of practice and international standards and certifications and cover the following:

- Animal Sources, Health and Safety
- Design, Maintenance and Protection in Animal Environment, Facilities and Equipment
- Animal Handling, Husbandry and Management
- Feed and Water

Each requirement in the NSF species and production specific standards is directly linked to one or more of the five freedoms as well as to the four (4) welfare criteria and twelve (12) welfare sub-criteria proposed by Botreau et al. (Botreau R 2007).

The purpose of the assessment to these standards is to:

- identify gaps
- help organizations achieve continuous improvement in their programs
- provide assurance of animal wellness in an organization's operations

## Scope

The scope of this standard encompasses animal wellness programs for small ruminant dairy on-farm production, transport and product harvest. As appropriate, reference is made to relevant assessments concerning inputs to production (e.g. animal feed) and services (e.g. transport). Standards also consider specific legislated and/or normative reference standards that are applicable. Where requirements differ, the legislated requirement must be met.

## Standard Review and Revision

These standards are subject to regular review and when there are published advances in science, international standards and regulatory requirements relevant to these standards.



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## NSF Introduction & History

NSF International, an independent, not-for-profit, non-governmental organization, is dedicated to being the leading global provider of global solutions for global companies to help our clients manage risk and allow them to better meet their own commitments to animal wellness.

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## Glossary

**Animal:** is defined as mammal or bird

**Animal based measures:** response of an animal or effect on an animal used to assess its welfare, which can be taken directly on the animal or indirectly and includes amongst others the use of animal records (ISO)

**Animal handler:** a person with knowledge of the behaviour and needs of animals who, with appropriate experience and a professional and positive response to an animal's needs, can achieve effective management and good welfare (OIE TAHC)

**Animal welfare management system:** a set of interrelated elements, principles, policies and objectives to direct and control the organization to ensure that animal welfare is maintained.

Interactive elements:

- Good Practices and Pre-requisite programs (PRPs)
- Animal Welfare Hazard Analysis (e.g. HACCP)
- Management System
- Statutory and regulatory requirements
- Communication

**Competence:** Capable of applying knowledge and abilities to achieve intended results

**Continual improvement:** planning and implementing strategic programs to change the organization's products, services, people and processes for the better. Continual Improvement models include is the cycles of Plan-Do-Check-Act and Define-Measure-Analyze-Improve-Control (Six Sigma).

**Control measure:** An action or activity that can be used to prevent or eliminate a hazard or reduce it to an acceptable level.

**Correction:** An action to identify and correct a problem that occurred without other actions associated with a corrective action procedure (such as actions to reduce the likelihood that the problem will recur, evaluate all affected animals or animal products and prevent affected animal food from entering commerce). Shall have the same meaning as "corrected."

**Corrective action:** Action to eliminate the cause of a detected nonconformity or other undesirable situation and includes:

- any immediate action required/taken
- root cause analysis of the problem
- Evaluate action needed based on the identified cause
- Determine if the problem exists elsewhere in the system and implement actions needed
- Document the results of the action taken
- Review/verify and document effectiveness of action taken with objective evidence

**Critical limit:** criterion which separates acceptability from unacceptability





**Critical control point:** A critical control point is the point in a process where failure to control known hazards can lead to serious harm to people, animals or equipment.

**Facility:** applied in a broad sense to the physical space and premises used by the organization for the handling and management of animals, for harvest of products from animals and includes the processes, equipment, environment, materials and personnel involved. This includes supporting areas such as maintenance, electrical or boiler rooms, also. The facility must be managed and supervised under the same organizational management. The facility is the site audited during an on-site audit.

**Flow diagram:** A schematic and systematic presentation of the sequence and interactions of steps and inputs and can then be used to identify points in the process where hazards may be introduced or are reasonably likely to occur and that require a preventive control measure.

**Gap analysis:** structured process to conduct an evaluation of the usual practices implemented/used by the organization in comparison to each of the general principles and requirements of animal welfare identified in the OIE TAHC to identify gaps

**Hazard analysis:** the process of collecting and evaluating information on hazards associated with the inputs, processes and operations under consideration to decide which hazards are significant and must be addressed; steps include hazard identification and hazard assessment.

**Hazard assessment:** process to determine, for each hazard identified, whether its elimination or reduction to acceptable levels is essential to achieve animal welfare objectives, and whether its control is needed to ensure that defined acceptable levels are met. Assessment evaluates the possible severity of adverse effects and the likelihood of their occurrence.

**Hazard identification:** process to identify all known or reasonably foreseeable hazards relevant to the scope of the operation with the potential to cause an adverse effect on animal welfare. Relevant hazards will vary based on species, type of production, life stages of animals and point in protein supply chain. Hazards may be identified by conducting workplace inspections and reviewing work procedures.

**Indicators:** objective, consistent and repeatable results that are used to assess that preventive and control measures are functioning appropriately. These may include but are not limited to:

- Animal assessments - body condition score, weight, vocalization, lameness, etc.
- Facility and equipment function assessments - water test results, pasture quality testing and feed testing; ventilation rates, air quality; lighting measure, etc.
- Operation assessments – e.g. frequency of use of animal handling aids, holding times before unloading animals, etc.

**Internal audit (first party):** an audit a process or set of processes in the management system conducted by the organization itself to ensure it meets the procedure that the company has specified. The auditor may be an employee of the organization or someone hired by the organization and is acting on behalf of the company.

**ISO:** The International Organization for Standardization (ISO) is an international standard-setting body composed of representatives from various national standards organizations; the organization promotes worldwide proprietary, industrial and commercial standards.



**Management Review:** regular evaluation of whether management systems are performing as intended and producing the desired results as efficiently as possible; critical to process of continual improvement.

**Monitoring:** conducting a planned sequence of observations or measurements to assess whether control measures are operating as intended

**One Health:** The “One Health” concept was introduced at the beginning of the 2000s. In a few words, it summarized an idea that had been known for more than a century; that human health and animal health are interdependent and bound to the health of the ecosystems in which they exist. This concept is envisaged and implemented by the OIE as a collaborative global approach to understanding risks for human and animal health (including both domestic animals and wildlife) and ecosystem health as a whole.

**Operations:** the activities that an organization/producer engages in; a series of operations that are interconnected may be termed as a process.

**Organization:** Company, corporation, firm, enterprise, municipality, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions with responsibilities, authorities and relationships to achieve its objectives. Encompasses corporations, cooperatives, partnerships, and sole proprietorships. (For the purposes of this document, the term refers to a single business operator or a group of business operators of the whole or a part of the food supply chain, including primary breeding companies, animal farmers, livestock transport companies and slaughterhouses. An organization can be public or private and includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, association, charity or institution, or part of combination thereof, whether incorporated or not, public or private.)

**Points of particular attention (POPAs):** conditions that could be threatening to animal health, animal welfare, public health or on-farm management but where strict standards and tolerances have not been or cannot be defined. POPAs are generally influenced by many factors including biological variation among live animals and interactions between management practices.

**Resource based measures:** factor or combination of factors that may be linked to a change in the likelihood of good or poor animal welfare. These factors include resources (e.g. housing, space allowance per animal, handling and restraint facilities, air temperature and quality, stunning equipment parameters) or management (e.g. personnel, financial, process). (ISO)

**Scope description:** provides detail on the scope of production that provides detail including:

- Species and life stage(s) of animals under the responsibility of the organization
- Production type
- Specific management claims (grass-fed; cage-free, etc.)
- Product collection
- Target Market
- Intended Use
- Customer requirements/Certifications

**Second party audit:** an audit of a supplier or contracted service provider performed on behalf of the customer to ensure that they are meeting the requirements specified in the contract. Audit criteria may



be proprietary to the customer. The auditor may be an employee of the customer or may be a third-party auditor conducting the audit on behalf of the customer.

**Site:** A single farm, functional unit of an organization, or a combination of units situated at one location, which is geographically distinct from other units of the same organization

**Third party audit:** an audit conducted by an independent auditor to verify that an organization has met the requirements of a specific scheme (may be a certification scheme).

**Tolerance limit:** operation-specific targets for identified POPAs; when targets are not achieved, management is adjusted. Reflects that operations and producers will have unique management strategies and approaches.

**Validating:** The process or procedure of obtaining evidence that the activity or control measure achieves the intended result.

**Verifying:** Confirmation through objective evidence that activity or control measure was done according to its design.



## Animal Wellness Management System Requirements

### 1. Management Commitment, Policy, Procedures and Planning

#### 1.1. Animal Welfare Management System

1.1.1. The organization shall establish, document, implement and maintain an effective animal welfare management system.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
<b>Expectations</b>	May not be a formal system but there is evidence of the implementation of elements	Some or all of the elements are documented and organized. Evidence of implementation.	Documented. Implementation and maintenance is determined through compliance to the requirements of the standard.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ System documentation includes:</li> <li>▪ Documented procedures that have been established for the animal welfare management system.</li> <li>▪ Policies that impact the animal welfare management system</li> <li>▪ Maintained in either electronic and/or hard copy form.</li> </ul>		

1.1.2. The organization shall define the scope of the animal welfare management system. The scope shall specify the relevant animal species and life stages of animals under the responsibility of the organization, processes and sites that are covered by the animal welfare management system.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
<b>Expectations</b>	May not be written but can be described	Documented	Documented and included in Animal Welfare System Management documentation
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Include description of animals, operations (scope) and sites and locations</li> <li>▪ livestock description</li> <li>▪ include a description of the 'flow' of animals</li> <li>▪ Identify services contracted out</li> <li>▪ indicates what is covered under the plan and what is not covered</li> </ul>		

#### 1.2. Policy

1.2.1. The organization shall have a written and implemented animal welfare policy and/or a mission statement demonstrating commitment and accountability for animal welfare. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
<b>Expectations</b>	Policy and/or mission statement may not be written but there is evidence of implementation	Written Signed by senior management	Written Signed by senior management



			Reviewed annually at a minimum
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The owner/operator recognizes and demonstrates the basic principle that the well-being of animals is a primary consideration.</li> <li>▪ Acknowledgement of management commitment to providing necessary resources.</li> <li>▪ Current and signed by Senior Management</li> <li>▪ Reviewed annually at a minimum</li> </ul>		

1.2.2. The policy shall include a statement of zero tolerance for animal abuse, mistreatment or neglect. **(M)**

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be a signed document but covered in training Employees interviewed confirm awareness	Signed acknowledgement at hiring. Covered in documented training.	Signed acknowledgement Annually reviewed and resigned Covered in documented training
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Informed of their responsibility to report animal welfare concerns to personnel with authority to take action</li> <li>▪ Included in documentation (employee contract) that all employees review and sign prior to employment</li> <li>▪ All contracted personnel (with or without animal contact) are aware of the zero tolerance policy and responsibility to report any animal concerns observed to company personnel with authority to take action</li> <li>▪ Annually reviewed and resigned</li> <li>▪ Covered in training (documented)</li> </ul>		

1.2.3. The animal welfare policy is supported by written, measurable animal welfare objectives of the organization. **(M)**

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Objectives can be verbally stated and linked to methods of measure in place	Written with linked measures.	Included in animal welfare management system documentation Objectives clearly linked to measures Annual review of objectives
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Each objective has at least one measure associated to determine if the objective has been met</li> <li>▪ Annual review of objectives</li> </ul>		



### 1.3. Management Responsibility

1.3.1. The organization shall designate an animal welfare lead or team to develop, implement, verify, validate, and maintain the organization’s animal welfare management system. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Animal welfare lead is identified. Employees aware of who the animal welfare lead is.	Indicated in organization	Indicated in organization Written job description Team structure in place
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The designated animal welfare lead or team must have the specific knowledge and expertise necessary for the development of an effective animal welfare plan</li> <li>▪ Where such expertise is not available on-site, expertise may be provided from outside the organization as part of the team</li> <li>▪ Where outside expertise is required, for development or review the relationship needs to be defined and documented (e.g. agreement or contract outlining the responsibilities and authority of external experts)</li> <li>▪ When there is a team, the animal welfare ‘lead’ is indicated as the team lead.</li> </ul>		

1.3.2. The designated animal welfare lead shall be a full-time employee and report directly to organization management and are authorized to oversee all matters/conditions relating to the welfare of animals under the responsibility of the organization. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe the reporting structure	Organization chart. Responsibility and authority clearly stated in job description.	Organization chart that shows reporting structure Responsibility and authority clearly stated in job description Report to management during regular management updates and management review
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Organization description or org chart</li> <li>▪ Job descriptions indicating responsibility and authority for all animal welfare matters/conditions</li> <li>▪ Includes staying current on any update or changes of the relevant documents (e.g. OIE TAHC, legislation), changing customer requirements, etc.</li> <li>▪ Identify and complete if any changes need to be made to animal welfare management system</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ Report to management during regular management updates and management review</li> <li>▪ Expertise provided from outside the organization is part of the team led by the designated animal welfare lead</li> </ul>
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1.3.3. The designated animal welfare lead shall be competent to implement and maintain an animal welfare management system relevant to the scope of the operations. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe their background and experience in animal care and welfare Observations of skills	Documented training	Competence - combination of education, training skills and experience Documented training records
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Competence - combination of education, training skills and experience</li> <li>▪ Specific animal welfare education/training (cert)</li> <li>▪ Documented training records; certifications, degrees</li> <li>▪ Person(s) undertaking the development of an animal welfare management system have adequate knowledge of animal health and welfare and production practices, behaviour and needs of animals, effective management and animal care practices, local conditions, national or regional legislation.</li> </ul>		

1.3.4. Management shall provide evidence that the necessary financial, human and physical resources are available for staff to meet the requirements of the animal welfare management system. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence that necessary resources are available or planned for	Documented to demonstrate needs are met	Documented and planned
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Full staffing complement; back-ups to key positions in organization</li> <li>▪ Personnel are trained</li> <li>▪ Investment to maintain, improve or expand current facilities and equipment; capital project plans with accompanying budgets</li> </ul>		

1.3.5. Management shall ensure the integrity and continued operation of the animal welfare system in the event of organizational, financial, human and physical resources changes within the organization or associated facilities.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Job descriptions indicate back-up personnel requirements. Evidence of business continuity.	Documented requirements and identified designated back-ups. Business continuity plans



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Designated back-ups</li> <li>▪ Measures to address changes to facilities available to animals</li> </ul>
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1.3.6. The organization shall facilitate the implementation and communication of the commitment stated in the policy referenced in 1.2 and all relevant animal welfare system documentation, including plans and procedures; health and safety policy and protocols and emergency and contingency plans. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Discussed during training	In documented training and displayed Available in a language understandable to all staff	Protocol describing how it is communicated (internal and external)
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ should be displayed in a prominent location</li> <li>▪ included in training</li> <li>▪ includes family members</li> <li>▪ senior site management develop and implement a communication program to ensure that all staff are informed of their animal welfare responsibilities, are aware of their role in meeting the requirements, and are informed of the organization’s performance of these welfare objectives.</li> <li>▪ These requirements are shared through established communication programs, and include any changes made to the animal welfare management system.</li> <li>▪ Includes a mechanism that allows for the reporting of animal welfare violations and where reporting can be done without the threat of retaliation</li> <li>▪ a defined program with declared methods of communication used/stated</li> <li>▪ Made available in a language understandable to all staff</li> </ul>		

1.3.7. Management shall establish procedures to improve the effectiveness of the animal welfare management system to demonstrate [continual improvement](#). **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe how they can demonstrate continuous improvement	Written procedure	Written procedures describing all methods and procedures Frequencies based on documented risk
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Includes monitoring, verification, internal and external audit, management review</li> <li>▪ Frequencies based on (documented) risk</li> </ul>		





## 1.4. Crisis Management

1.4.1. Management shall document and maintain procedures that outline the methods and responsibility the site shall implement to manage potential emergency situations and accidents that can impact animal welfare. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Current emergency contact list	Written plans	Written plans. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The animal welfare system has included any relevant contingency plans to address emergency situations and conditions (e.g. failure of power, water and feed supply systems; natural disaster; flood, drought, animal disease outbreaks, extreme weather) when they could compromise animal welfare and human safety</li> </ul> <p>Plans include:</p> <ul style="list-style-type: none"> <li>▪ the provision of fail-safe alarms to detect malfunctions, back-up generators, contact information for key service providers, emergency evacuation/relocation of animals, and emergency euthanasia of animals. Alarms and back-up systems are checked regularly.</li> <li>▪ An evacuation plan and communicated to all responsible parties.</li> <li>▪ the provision for storage of water on farm; access to water cartage services; adequate on-farm storage of colostrum, milk and feed; alternative feed supply; modifying feeding schedules.</li> <li>▪ The provision for emergency transport and evacuation of animals.</li> <li>▪ transport incidents as applicable</li> </ul> <p>Plans:</p> <ul style="list-style-type: none"> <li>▪ Shall be documented by senior management, outlining the methods and responsibility that the site shall implement to cope with such a crisis.</li> <li>▪ Include:                             <ul style="list-style-type: none"> <li>▪ Decision making senior manager to initiate action</li> <li>▪ Crisis management team</li> <li>▪ Controls implemented to ensure response does not compromise animal welfare</li> <li>▪ Measures to isolate and identify animals affected by the crisis and the response to the crisis</li> <li>▪ Measures taken to verify that response actions are effective</li> <li>▪ Preparation and maintenance of a current crisis alert list (veterinary, source of expert and legal advice, corporate)</li> <li>▪ Responsibility for internal communication, authority, external organizations, customers, suppliers, and media</li> <li>▪ Review, test at least annually and verify</li> <li>▪ Records of implemented contingency plan (during actual events), annual tests and reviews are maintained and include any corrective actions taken in response to findings.</li> </ul> </li> </ul>		



## 1.5. Regulatory

1.5.1. The organization shall document and implement methods and responsibilities to ensure the organization remains updated and compliant with requirements of all relevant current legislation; this includes the requirement to be registered with all relevant regulatory authorities and where appropriate, authorized to undertake farming/business activities. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identify responsible person	Documented process.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Organization has documented and implemented methods and responsibility to maintain updated, according to regulations relevant to AW</li> <li>▪ Current farming/business license and registration as required</li> <li>▪ Copies of official inspections maintained and available</li> <li>▪ Relevant legislation: domestic legislation (national, regional and local)</li> <li>▪ If exporting, legislation requirements of importing country</li> <li>▪ Includes process for organization to stay abreast of updates</li> <li>▪ Animal health system documentation references current legislation</li> <li>▪ Personnel responsible for compliance with regulatory requirements shall be trained on relevant procedures.</li> <li>▪ Procedures shall define individuals responsible for communicating regulatory requirements to management and site personnel.</li> </ul>		

1.5.2. The organization has access to the current versions of relevant legislation.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Show how they access the legislation	Can demonstrate defined method for accessing current legislation.	Is subscribed to alerts for regulatory updates
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Relevant legislation: domestic legislation (national, regional and local) available (electronic and/or hardcopy) and current</li> <li>▪ If exporting, relevant legislation of importing country</li> </ul>		

## 1.6. Animal Welfare Plan, Protocols and Procedures.

1.6.1. The organization shall have a documented and implemented animal welfare plan. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Not a signed document but covered in training	Documented	Documented and included in Animal Welfare System Management documentation. Includes <a href="#">gap analysis</a> .



			Annually reviewed and resigned
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ signed, dated</li> <li>▪ annually reviewed and resigned</li> <li>▪ covered in training (documented)</li> <li>▪ The animal welfare plan has considered the OIE animal welfare principles and guidelines for the welfare of animals in livestock production systems (Article 7.1.4) and other relevant Section 7 chapters of OIE TAHC; relevant national or regional legislation; requirements defined by contractual obligations, clients; animal welfare manuals, codes of practice or protocols from competent authorities and from the private sector as well as scientific and technical literature.</li> <li>▪ The organization has conducted a gap analysis to identify the gaps between the organizations' current animal welfare management and guidelines used as reference for the animal welfare plan.</li> <li>▪ The identified gaps and necessary corrective actions are prioritized and corrections are undertaken.</li> <li>▪ The animal welfare plan references the applicable procedures, and pre-requisite programs and other documentation</li> </ul>		

1.6.2. The animal welfare plan shall identify the animal welfare lead or team. **(M)**

1.6.3. The animal welfare plan shall identify competencies for animal handlers to ensure the implementation of the animal welfare plan. **(M)**

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be documented but can be described.	Defined in job descriptions.	Defined in animal welfare plan, job advertisements, job descriptions and contracted service contracts and statement of work
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Includes employees and contracted resources</li> </ul>		

1.6.4. The animal welfare plan shall be developed and maintained by the animal welfare lead or team. **(M)**

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Owner or identified lead	Designated animal welfare lead/team	Designated animal welfare lead/team develop the plan. Sign-off on the plan by animal welfare lead.



			Annually reviewed.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The designated animal welfare lead or team must have the specific knowledge and expertise necessary for the development of an effective animal welfare plan</li> <li>▪ Where such expertise is not available on-site, expertise may be provided from outside the organization as part of the team</li> <li>▪ When there is a team, the animal welfare 'lead' is indicated as the team lead.</li> </ul>		

1.6.5. The animal welfare plan shall include a description of the description of the scope, process steps, operational flow and control measures covering the relevant animal species and life stages of animals under the responsibility of the organization.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Can be described and confirmed during observation	Documented	Documented, verified and reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Include a <a href="#">Scope Description</a> that provides detail on:                             <ul style="list-style-type: none"> <li>▪ Species and life stage(s) of animals under the responsibility of the organization</li> <li>▪ Production type</li> <li>▪ Specific management claims (grass-fed; cage-free, etc.)</li> <li>▪ Product collection</li> <li>▪ Target Market</li> <li>▪ Intended Use</li> <li>▪ Customer requirements; certifications</li> </ul> </li> <li>▪ Include a <b>flow diagram</b></li> <li>▪ <a href="#">Flow diagrams</a> provide a basis for evaluating the possible occurrence, increase or introduction of hazards.</li> <li>▪ Flow diagrams are clear, accurate, sufficiently detailed and verified to actual conditions.</li> <li>▪ Flow diagrams include the following:                             <ul style="list-style-type: none"> <li>▪ a) The sequence and interaction of all steps in the operation;</li> <li>▪ b) Where inputs enter the flow;</li> <li>▪ c) Any outsourced processes and subcontracted work;</li> <li>▪ d) movement into and out of the property</li> </ul> </li> <li>▪ Description of process steps and <a href="#">control measures</a></li> </ul>		

1.6.6. The animal welfare lead/team shall conduct and document a hazard analysis to identify and assess all known or reasonably foreseeable hazards related to all inputs, processes and operational flow of the animals relevant to the scope of the operation.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be documented but can be described.	May not be conducted as a formal hazard analysis, but there is evidence that components are in place	Analysis is documented



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Method used is documented.</li> <li>▪ May require a separate analysis for each species and/or life stage of animals</li> <li>▪ <a href="#">Hazard identification</a> considers hazards associated with:                         <ul style="list-style-type: none"> <li>▪ <b>Inputs:</b> feed, bedding, water, air, heating, medications, animals, semen, ova, embryos, etc. All inputs shall be described to the extent needed to conduct the analysis and as relevant to the operation.</li> <li>▪ <b>Processes:</b> (movement, transportation, handling, veterinary and health practices (vaccination, treatment), husbandry practices, product harvest)</li> <li>▪ <b>Facilities, Equipment and Operational flow of animals/animal product:</b> closed herd, youngest to oldest</li> </ul> </li> <li>▪ Consideration shall be given to: the steps preceding and following the specified process within the operation, or the preceding and following links in the protein supply chain.</li> <li>▪ <a href="#">Hazard assessment</a> considers: possible severity of adverse effects and the likelihood of their occurrence. Assessment can utilize findings based on experience, illness, injury and mortality data, scientific reports, and other external information.</li> </ul>
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1.6.7. The organization shall determine, and document which hazards need to be controlled, the degree of control and which combination of control measures are required to ensure animal welfare. The animal welfare plan shall define the:

- [control measures](#) that are applied
- [critical control points](#) (CCPs) and associated critical thresholds ([critical limits](#))
- [Points of particular attention](#) (POPAs) and associated [tolerance limits](#).
- [indicators](#) (animal-based and resource-based) that are used to assess that control measures have appropriately addressed the hazard

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Identify what measures they use to assess welfare	May not be fully documented but there is evidence that components are in place	Documented control measures for identified hazards. Annually reviewed.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ <b>Selection of control measures:</b> An appropriate combination of control measures shall be selected which is capable of preventing, eliminating or reducing these hazards to defined acceptable levels.</li> <li>▪ <b>Identification of critical control points (CCPs) and points of particular attention (POPAs)</b></li> <li>▪ <b>Determination of critical thresholds (limits);</b> take into account established statutory and regulatory requirements, generally accepted industry thresholds, customer requirements and other relevant data.</li> <li>▪ Determination of POPA tolerance limits</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ <b>Indicators used to assess control measures:</b> include but are not limited to: animal assessments, equipment function assessments, facility and equipment inspections.</li> <li>▪ Animal based measures such as body condition score, weight, vocalization, lameness, etc.</li> <li>▪ Resource based measures such as water test results, pasture quality testing and feed testing; ventilation rates, air quality; lighting measure, etc.</li> </ul>
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## 1.7. Documentation Requirements

1.7.1. The Animal Welfare Management system shall be documented and maintained in either electronic and/or hard copy form and shall include those documents needed by the organization to ensure effective development, implementation and updating of the Animal Welfare Management system:

- A register or list of system documents shall be included; a summary of changes to the system documents that are validated, justified and fully documented.
- The animal welfare policy or commitment statement and related objectives
- Organizational chart
- Scope and process description
- Animal welfare plan (including the hazard analysis)
- Animal welfare program policies, procedures, and pre-requisite programs
- Other documentation necessary to support the development and the implementation, maintenance and control of the Animal Welfare Management System

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be documented but can be described	May be partially documented	Complete system documentation maintained and readily accessible
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Other documentation as described in the requirements.</li> </ul>		

1.7.2. The methods and responsibility for control, maintenance and retention of documents and ensuring personnel have access to current documents shall be written and implemented.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe mechanism used to keep track. May include informal documentation and record-keeping.	May not have specific procedures for documentation and records control, but there is written documentation and records maintained.	Complete system documentation maintained and readily accessible. Written procedures for documentation and records control Document version control.



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Must establish a written procedure describing how personnel maintain, update and replace documents. Changes to the program should be validated, justified and fully documented.</li> <li>▪ Procedures define:                         <ul style="list-style-type: none"> <li>▪ Approval of documents prior to issue,</li> <li>▪ Review and update documents as necessary, and re-approve documents,</li> <li>▪ Ensure that changes and the current revision status of documents are identified,</li> <li>▪ Ensure that documents remain legible and readily identifiable,</li> <li>▪ Ensure that obsolete versions of documents are identified as such if they are retained for any purpose.</li> </ul> </li> <li>▪ The organization shall ensure personnel have access to current documents that impact their ability to complete their work.</li> <li>▪ The procedure must specify who is responsible for document control and assures documents are updated and securely stored.</li> <li>▪ The procedure include training requirements for personnel.</li> <li>▪ Indicates document retention times</li> </ul>
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1.7.3. Records shall be established and maintained to provide evidence of the effective operation of the animal welfare management system. The facility shall have a written and implemented record keeping procedure that establishes the responsibility for undertaking record keeping, the approved methods to be utilized, as well as the record storage, protection, retrieval, retention time and disposition of records.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Can describe mechanism used to keep track. May include informal documentation and record-keeping.	May not have specific procedures for documentation and records control, but there is written documentation and records maintained.	Complete system documentation maintained and readily accessible Written procedures for documentation and records control
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Written procedures describe the responsibility for undertaking record-keeping related to monitoring activities, verification, corrective actions</li> <li>▪ Describes what needs to be documented and how often</li> <li>▪ Records relevant to the maintenance and evaluation of the Animal Wellness Management System are properly completed and suitably authorized by those undertaking monitoring activities that demonstrate that inspections and other essential activities have been completed.</li> <li>▪ All records shall be genuine, legible, initialed by operator and independently verified for accuracy and completion, recorded in ink on a timely basis with accurate date and time, errors marked with single line-out and initialed, marked to record unacceptable findings or deviations from requirements, and records shall indicated corrective actions taken.</li> <li>▪ Responsibility for maintaining and retaining records shall be documented and implemented— generally there is a list of</li> </ul>		



	<p>documents which provides information on who and how frequently these forms are completed</p> <ul style="list-style-type: none"> <li>▪ Records shall be readily accessible, retrievable, securely stored to prevent damage and deterioration and shall be retained in accordance with periods specified by a customer or regulations.</li> <li>▪ Training for document control shall be completed to ensure records are accurate, indelible, and legible.</li> </ul>
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## 2. Personnel

### 2.1. Personnel Knowledge, Skills and Competency

2.1.1. The organization has the required human resources available to implement the animal welfare plan; including the designated animal welfare manager(s) and staff/contracted resources.

2.1.2. The organization has defined the necessary competencies for persons undertaking animal management practices in job descriptions for employees and statements of work/contracts for contracted resources.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be documented but can be described.	Defined in job descriptions.	Defined in animal welfare plan, job advertisements, job descriptions and contracted service contracts and statement of work
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Includes employees and contracted resources</li> <li>▪ The competency expectations of personnel completing work is communicated to approved vendors providing the work or services (contractors) to ensure the vendor understands the organization's requirements in regards to animal welfare.</li> </ul>		

2.1.3. Recruitment and employee hiring practices are written; records are maintained to confirm that the necessary competencies can be demonstrated by personnel, employees and contracted resources.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can be described; evidence of implementation	May be documented. Evidence of implementation.	Written policies and procedures. Available records demonstrate competencies are met.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Methods to ensure qualified personnel are hired</li> <li>▪ employees are screened prior to hiring</li> <li>▪ The organization maintains written records of the experience (resumes) and qualifications (certificates of training, etc.) of hired applicants and contracted resources.</li> </ul>		





2.1.4. Where appropriate, animal welfare personnel will participate in activities that contribute to their continuing professional development (CPD) to maintain required competencies. Where available, the CPD shall be accessed through formal programs. Records of CPD are reflected in personnel records.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Applies where the requirements of a position indicate that a specific designation is required (e.g. professional membership; current certificate, etc.)</li> <li>▪ Can be met through formal programs and/or courses.</li> <li>▪ CPD can be gained through informal means including mentoring programs, self-directed reading, peer-to-peer activities, etc.</li> </ul>		

2.1.5. Personnel shall have access to current animal welfare plan, operating procedures and protocols, and as appropriate, to relevant current technical information, regulatory requirements, standards, codes of conduct, etc. as related to their job description and responsibilities.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Discussed during training. Evidence of knowledge of how to find relevant plans and protocols.	Accessible to staff as required. Available in a language understandable to all staff	Protocol describing access.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ included in training</li> <li>▪ includes family members</li> <li>▪ a defined procedure with declared methods of communication used/stated</li> <li>▪ Made available in a language understandable to all staff</li> </ul>		

2.1.6. The organization conducts assessments of employee performance to determine that persons undertaking animal handling, husbandry and management practices are [competent](#). Assessments of employee performance are recorded. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe how personnel are assessed	Both formal and informal means are used	Documented procedure for personnel and contracted service assessment. Corrective actions taken when performance is not acceptable. Records maintained.
<b>Implementation Guidance</b>	Can include: <ul style="list-style-type: none"> <li>▪ observations of how animals are responding to handler;</li> <li>▪ # of times a prod is used by an employee;</li> <li>▪ awareness of blind spots</li> <li>▪ # of times they yell, etc.</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ Observation of grabbing sheep by the wool, or birds by the neck, etc.</li> <li>▪ Observation of handler’s response to balking animals</li> <li>▪ Corrective actions are implemented and recorded when employee performance is unsatisfactory.</li> <li>▪ May result in need for retraining</li> <li>▪ Includes investigation and root cause</li> <li>▪ Verification of effectiveness of corrective actions is evaluated and recorded</li> </ul>
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## 2.2. Employee Training and Training Records

2.2.1. The organization has a written animal welfare training program that includes training on animal normal and abnormal behaviour, fear responses and indicators of welfare (relevant to all species/age groups of animals at the organization’s operations) and covers all processes (task-specific) that impact on animal welfare and includes training on contingency plans or crisis management.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Not documented, Observed evidence of implementation	Written program Training register	Written program Training register Annual review of training program
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Employees, contracted resources, relief help</li> </ul>		

2.2.2. The training program defines the frequency of training. At a minimum: all new employees are provided with training prior to undertaking animal management practices; annual refresher training; in the event of updates to the animal welfare plan, procedures, and protocols; identified remedial training needs.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Identify the basic requirements On the job training Evidence of implementation Interview of staff indicate understanding	Indicates frequencies for initial and annual refresher training.	Training register defines frequency of all categories of training needs. Annually reviewed.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Persons undertaking animal management practices are provided with appropriate mentoring and training to learn new or refresh skills.</li> <li>▪ There is a mechanism of assessing the employee’s understanding of the training</li> <li>▪ Training needs are linked to employee performance feedback and observed/reported incidents and complaints.</li> </ul>		



2.2.3. Training materials and delivery of training shall be provided in a language understood by staff, and if applicable, contracted resources.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not have documented training materials	Provided in all relevant languages. Understanding is assessed.	Provided in all relevant languages. Understanding is assessed.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Training records are maintained for staff, contracted resources, relief help;</li> <li>▪ includes training delivered by the organization to employees and contracted resources</li> <li>▪ Includes records of training provided by other parties to the organization’s employees.</li> </ul>		

2.2.4. The organization maintains written records of the animal welfare training for all persons undertaking animal management practices at the organization’s operations.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Supported by evidence of implementation. May be primarily on-the-job training.	Written training records.	Written training records. Reviewed and verified.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Training records are maintained for staff, contracted resources, relief help;</li> <li>▪ includes training delivered by the organization to employees and contracted resources</li> <li>▪ Includes records of training provided by other parties to the organization’s employees.</li> </ul>		

2.2.5. Training records shall include: the person's name, date of training, title and description of the training provided and who provided the training.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Sign in sheet; notes kept by operator	Documented records that signed by trainee	Documented verification that the training was completed and that the trainee is competent to complete the required tasks
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Signed by the trainee</li> <li>▪ Supervisor’s verification that the training was completed and that the trainee is competent to complete the required tasks</li> <li>▪ Records shall be available for up to two years after an employee has left the organization.</li> <li>▪</li> </ul>		



### 2.3. Health and Safety for Employees, Contracted Resources

2.3.1. The organization has written health and safety policy, protocols, etc.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	written
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The documentation includes: assessment of health and safety risks (zoonoses, toxins, injury) relevant to the organization’s animal handling operations;</li> <li>▪ illness and accident reporting;</li> <li>▪ safety practices during equipment operation and animal handling;</li> <li>▪ provision of adequate break times consistent with employment legislation and relevant to performance of animal management practices.</li> <li>▪ Temperature and humidity practices, etc. – timing of activities</li> </ul>		

2.3.2. The organization has identified designated health and safety personnel; includes an appropriate number of persons trained in first aid (minimum one (1) person and designated back-up).

2.3.3. Personnel have access to current health and safety polices, technical information, hazardous material information, Safety Data Sheets (SDS), and regulatory requirements that are relevant and applicable to the organization and the activities for which they are responsible.

2.3.4. The organization has provided appropriate facilities to meet employee and contracted resource requirements for health and safety.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Facilities include:</li> <li>▪ first aid area and first aid kit;</li> <li>▪ suitable shelter, rest and eating areas,</li> <li>▪ sufficient number of readily accessed toilet facilities, hand-washing facilities, potable water to drink that are properly stocked, maintained and cleaned</li> <li>▪ appropriate storage and handling of potentially toxic materials with designated access</li> </ul>		



2.3.5.The organization has ensured that personnel are appropriately equipped with suitable personal protective equipment (PPE) that is appropriately maintained, used, stored.

2.3.6.The organization provides appropriate health and safety training to managers, employees and contracted resources. Records of health and safety training for all persons working at the operation are maintained.

### 3. Monitoring Animal Welfare Plan Implementation and Outcomes

3.1.1. The organization shall have written and implemented policies and procedures for the monitoring of the implementation of the animal welfare plan. **(M)**

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Written	Written and verified. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Includes daily operational and pre-operational inspections (i.e. checking animals, equipment, feed, waterers, fence lines; sanitation, maintenance, pest and predator checks; lairage, unloading facilities, etc.)</li> </ul>		

3.1.2.The monitoring procedures include frequency, responsible persons, measurable indicators and critical thresholds, corrective actions, verification and required records.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Written	Written. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Based on hazard analysis</li> </ul>		

3.1.3.There is a written process for the implementation of corrective actions in the case of unacceptable results; which includes that animal abuse shall be remedied immediately. **(M)**

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Written	Written and verified. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>If monitoring and supervision show that employee or contracted services’ understanding is unclear or incomplete, appropriate communication shall be ensured and corrective action follow-up shall be provided. This may include remedial training.</li> <li>If deviation from the thresholds occurs, a multi-site or corporate organization has considered if the deviation and</li> </ul>		



	<p>corrective action would be relevant at all of their operations.</p> <ul style="list-style-type: none"> <li>▪ When looking at deviation from the thresholds, corrective actions take into account possible impact of particular events (e.g. local conditions, climatic conditions and unexpected disease outbreaks).</li> <li>▪ Documented procedures are established and maintained for the appropriate handling of animals impacted when a critical threshold is exceeded e.g. immediate re-stunning of a sensible animal on the bleed rail</li> </ul>
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3.1.4. The organization maintains records of monitoring of animal-based and resource-based measures including records of corrective actions taken when deviation from thresholds occurs.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	Written and verified. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ investigation into root cause</li> </ul>		

3.1.5. The organization shall have written and implemented policies and procedures for verifying monitoring procedures. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	Written. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Verification that monitoring is being conducted</li> <li>▪ Verification that appropriate decisions about corrective actions are being made</li> <li>▪ Verification of implementation and effectiveness</li> <li>▪ Verification that required records are correctly completed and maintained</li> <li>▪ Verification of documents, observing personnel doing the monitoring activity;</li> </ul>		



3.1.6.The verification procedures include frequency, responsible persons.

3.1.7.The organization maintains records of verification of monitoring of animal-based and resource-based measures.

#### 4. Ongoing Improvement of Animal Welfare Program

##### 4.1. Internal Audit

4.1.1. The organization shall have a written and implemented procedures for conducting an [internal audit](#) to assess the animal welfare achieved and the conformity of the organization’s practices with its animal welfare plan and procedures. **(M)**

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Written	Written. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Is a ‘management’ verification activity – may include conducting the monitoring activity directly</li> <li>▪ Different from self-inspection (glossary)</li> <li>▪ Following procedures</li> <li>▪ Keeping the required records</li> <li>▪ Are the thresholds being met or exceeded</li> <li>▪ Responsibility for planning and conducting and reporting results, maintaining records and follow up of corrective actions shall be defined in documented procedure</li> <li>▪ Internal audits determine whether the animal welfare management system is effectively implemented and maintained.</li> </ul>		

4.1.2.The procedures define the criteria, scope, frequency, methods frequency; all elements are audited at least annually.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be written but can be described. Evidence of implementation	Written and annual frequency can be verified.	Written and verified. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Planned taking into consideration, importance of process and areas to be audited</li> <li>▪ Noncompliance and updated items from previous audits</li> <li>▪ Criteria, scope, frequency, methods shall be defined</li> <li>▪ Planning and conducting and reporting results, maintaining records and follow up of corrective actions shall be defined in documented procedure</li> <li>▪ The internal audit shall include: assessment of the implementation of the animal welfare plan; an assessment of the effectiveness of the animal welfare plan through an evaluation of appropriate indicators in implementing the animal welfare plan; feedback from the organization with a</li> </ul>		



	<p>combination of input from persons doing the relevant tasks and discussion of key animal welfare areas on which to focus; a combination of observations and document/record reviews; an assessment of the suitability and relevance of the animal welfare plan to the organization’s current activity and context of its operations.</p> <ul style="list-style-type: none"> <li>▪ 2) The internal audit schedule shall take into consideration the status and importance of the processes and areas to be audited, as well as results from previous audits.</li> <li>▪ 3) The audit criteria, scope, frequency and methods shall be defined.</li> <li>▪ 4) A documented procedure shall be established to define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results.</li> <li>▪ 5) Records of the audits and their results shall be maintained.</li> </ul>
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4.1.3. The internal audit shall be performed (or overseen) by the designated animal welfare lead.

4.1.4. Internal auditors shall be objective and impartial during the audit process.

4.1.5. Internal auditors shall not audit their own work.

4.1.6. Personnel conducting internal audits shall be trained in internal audit procedures.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Animal welfare lead is identified.	Indicated in job description. Employees aware of who conducts internal audits.	Indicated in organization Written job description Team structure in place
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The designated animal welfare lead should be included in the internal audit team.</li> <li>▪ Ideally, an internal audit team is conducting the audits (i.e. animal welfare manager, maintenance manager, sanitation, quality control)</li> <li>▪ Familiar with the organization’s animal welfare plan, requirements, standards, etc.</li> <li>▪ Understand the process of internal auditing</li> </ul>		

4.1.7. The internal audit results are communicated to relevant management personnel and staff, responsible for implementing and verifying corrective actions.

4.1.8. Management responsible for the area being audited shall ensure and verify that any necessary corrections and corrective actions are taken without due delay to eliminate detected nonconformities and their causes. Records are maintained.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification





	Evidence of implementation	Follow up to corrective actions at next internal audit.	Corrective actions documented and verified.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Internal Audit Corrective Actions</li> <li>▪ Ideally, the proposed corrective is discussed within the organization (management).</li> <li>▪ Management responsible for the area being audited shall verify the effectiveness of corrections or corrective actions. Management responsible for the area being audited shall ensure verification activities are recorded.</li> <li>▪ Verification of completed corrective actions is included in scope of internal audit.</li> </ul>		

## 4.2. External (Third Party) Inspections and Audits

4.2.1. At a minimum of annually, the organization shall undergo announced or unannounced [second](#) or [third party](#) animal welfare inspections or audits.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May only be subject to inspections	May only be subject to inspections and second party audits	Subject to inspections and third party audits (announced and unannounced)
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Can include second or third party</li> <li>▪ Include legislated inspections</li> </ul>		

4.2.2. The organization shall maintain records of all announced and unannounced second and/or third-party inspections/audits.

4.2.3. Management shall ensure that any necessary corrections and corrective actions are taken without due delay to eliminate detected nonconformities and their causes. Records are maintained.

4.2.4. Management shall verify the effectiveness of corrections or corrective actions. Management responsible for the area being audited shall ensure verification activities are recorded.

## 4.3. Management Review of the Animal Welfare Management System

4.3.1. The organization shall have written and implemented procedures for conducting management updates and complete [management review](#) to: assess the capacity of the animal welfare management system to achieve the animal welfare objectives of the organization. **(M)**

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Written	Written. Reviewed annually.



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Includes regular and frequent updates provided by animal welfare lead or team.</li> <li>▪ Includes system management review; ensures entire system is included in at least one management review per year.</li> </ul>
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4.3.2. The procedures define the criteria, scope, frequency, methods and records required of review of the animal welfare plan.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	Written. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Monthly updates provided to management by the animal welfare manager based on updates of the relevant international standards, legislation, relevant changes within the organization and the overall performance of the animal welfare plan</li> <li>▪ any new knowledge, practice or technology relevant to the improvement of welfare of animals within the organization;</li> <li>▪ any update or changes of the relevant documents (e.g. OIE TAHC, legislation)</li> <li>▪ Complete system review occurs at planned intervals (minimum annually)</li> <li>▪ System is reviewed and updated as needed if any changes implemented have an impact on animal welfare</li> <li>▪ to verify that these changes have been taken into account in the animal welfare plan.</li> </ul> <p><b>The review shall take into account (REVIEW INPUTS):</b></p> <ul style="list-style-type: none"> <li>▪ Follow up from previous management review and action items</li> <li>▪ Review of the policy</li> <li>▪ Analysis form verification activities</li> <li>▪ Changing circumstances that can impact animal welfare – emerging, innovation, new science, any update or changes of the relevant documents (e.g. OIE TAHC, legislation)</li> <li>▪ Emergency situations, accidents,</li> <li>▪ Review results of system updating activities</li> <li>▪ Review of communication activities, customer feedback</li> <li>▪ Internal and external audits and inspections</li> <li>▪ Corrective action implementation and verification</li> </ul> <p><b>Review results include [REVIEW OUTPUTS]</b> Any Decisions and actions related to:</p> <ul style="list-style-type: none"> <li>▪ Required changes to the animal welfare system, plans, policy and objectives</li> <li>▪ Resource needs</li> </ul>		



4.3.3. The review shall be conducted by the management of the organization, including the animal welfare lead or the person responsible for developing the animal welfare plan or any person with relevant skills regarding management of animal welfare as appointed by the organization. **(M)**

4.3.4. The organization maintains records of the reviews of the animal welfare management system and plan.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	Written and verified. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Who was there, when, why</li> <li>▪ What was discussed</li> <li>▪ What decisions were made</li> <li>▪ The records shall demonstrate that the relevant persons within the organization have contributed to the plan evaluation, have provided some input to the animal welfare plan review and have ensured its practicality.</li> </ul>		

## 5. Facilities, Equipment and Materials

### 5.1. Site Location, Land, Infrastructure, Equipment and Materials Design, Modifications and Use

5.1.1. The organization has written documentation that provides detail on land, buildings, facilities, equipment and materials; includes layout, acreages and dimensions, purpose of use; property boundaries and adjacent features, presence of mature trees, woodland, wetlands, ponds, woody hedges, non-grazed native vegetation, ditches and water courses.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Operator can describe their land and facilities relevant to animal handling, husbandry and management	Written	Written and verified. Reviewed annually
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The organization has the required resources, (e.g. equipment, material, systems, housing, facilities, etc.) available to implement the animal welfare plan.</li> <li>▪ The organization has considered the energy requirements of the facilities (farm) and equipment and, as appropriate, has identified interventions to: reduce energy waste; reduce use of energy-intensive inputs; avoid unnecessary operation or inappropriate use of machinery or equipment; increase the use of renewable energy and fuels, record and monitor fuel usage.</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ The organization has considered the water requirements of the facilities (farm) and as appropriate, has identified interventions to: have a plan of the water-supply network; check taps, drinkers, troughs and nozzles regularly for leaks; ensure all hoses, and washing equipment have trigger controls; insulate pipes properly; consider water re-use or rainwater harvesting; record and monitor water usage.</li> <li>▪ The organization has considered the management requirements of the facilities (farm) for management of manure and waste materials and as appropriate, has identified interventions to: have an odor control program; manage runoff to prevent contamination of water sources.</li> <li>▪ The organization has considered the management requirements of the farm and as appropriate, has identified interventions to: protect and maintain woodland, wetlands or ponds; maintain or increase the farm’s carbon-absorption and carbon-holding capacity; improve soil structure, reduce land vulnerability and prevent land degradation; reduce reliance on pesticides; use of selective pesticides (insecticides, fungicides, herbicides) rather than broad-spectrum products.</li> </ul>
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5.1.2. When new or existing land, infrastructure, equipment and material changes are planned, senior management has considered the potential risk and impact on animal welfare and health, enterprise productivity, environment and sustainability.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	Written. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ May require consulting with a professional with expertise related to the change (e.g. engineers, etc.)</li> <li>▪ May be expertise that the organization has in-house</li> <li>▪ Document the analysis of the impact</li> <li>▪ Change fit for purpose – all relevant departments have reviewed impact on programs, protocols, activities, etc.</li> <li>▪ Construction shall be approved by relevant authority</li> <li>▪ The organization shall have a written and implemented procedure to conduct an analysis</li> <li>▪ Materials could include: bedding, chemicals, etc.</li> </ul>		

## 5.2. Inputs and Contracted Services

5.2.1. The organization has documented procedures defining supplier approval and contracted service provider expectations.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification



	Evidence of implementation	Signed contracts	Documented procedures for supplier approval and contracted services
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Documented contractual arrangements and responsibilities defined to ensure the continuity of animal welfare through the protein supply chain</li> <li>▪ Specifications for contracted service providers</li> <li>▪ Supplier/vendor/service provider expectations</li> <li>▪ Methods and responsibility for assuring that specifications are met (supplier approval)</li> <li>▪ Examples include: feed and bedding suppliers, cropping and harvest services, pest control service providers, transport companies</li> </ul>		

5.2.2. The organization has written, current registers of approved suppliers and services providers.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Written.	Written and verified. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Documented contractual arrangements and responsibilities defined to ensure the continuity of animal welfare through the protein supply chain</li> <li>▪ Specifications for contracted service providers</li> <li>▪ Supplier/vendor/service provider expectations</li> <li>▪ Methods and responsibility for assuring that specifications are met (supplier approval)</li> <li>▪ Examples include: feed and bedding suppliers, cropping and harvest services, pest control service providers, transport companies,</li> </ul>		



## Animal Wellness Program Requirements

### 6. Animal Source, Health and Safety

#### 6.1. Animal Source and Selection

6.1.1. The organization shall have a written breeding and replacement stock program that defines the selected traits which limit or reduce animal welfare problems.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be documented but can be described and there is evidence	May be written	Written breeding program states the defined traits
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Breeding programs take welfare and health considerations into account when selecting animals; includes resistance to infectious and production-related diseases, offspring size, ease of birthing, fertility, body conformation and mobility, polled, temperament and heat tolerance.</li> <li>▪ Considerations are taken into account when purchasing replacement stock</li> </ul>		

#### 6.2. Animal Health Management Plan

6.2.1. The organization shall have a documented and implemented animal health management plan.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be documented but can be described and there is evidence	May be written	Written plan Annual review of plan with veterinarian.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Outlines preventive measures (e.g. vaccination plans, disease control plans, endo- and ectoparasite control, and biosecurity measures).</li> <li>▪ The animal health plan has been developed taking into account: animal health and disease management based on local epidemiologic context and regulatory animal health programs.</li> <li>▪ The animal health management plan identifies and addresses all relevant animals and life stages of the animals under the responsibility of the organization.</li> <li>▪ The animal health plan indicates the notification of any animal disease where required to do so by law; identifying the diseases where notification is required, the relevant authority (ies) to whom the disease must be reported, time frames and as a minimum those stipulated by the OIE TAHC.</li> <li>▪ The animal health plan takes into account one health management (zoonoses, food safety, food-borne contamination, use of medically important antibiotics) based on the local epidemiologic context and the regulatory health and food safety programs.</li> <li>▪ Plan is reviewed with the veterinarian identified in the VCPR (review inputs and review outputs)</li> </ul>		



6.2.2. The organization shall have a current veterinary-client-patient relationship (VCPR).

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Documented at a minimum for prescriptions and medicated feeds containing antibiotics	VCPR agreement on file	VCPR agreement on file
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Template VCPR agreement</li> <li>▪ VCPR veterinarian corresponds to current animal health plan, prescriptions.</li> </ul>		

6.2.3. Persons undertaking the development of the animal health management plan on behalf of the organization shall have adequate knowledge of the organization’s management and animal care practices, local conditions, national or regional legislation.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe their background and experience in animal health and familiarity	Expertise can be described.	Competence - combination of education, training skills and experience. Indicated in animal health plan. Signed off by VCPR veterinarian.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Expertise may be provided by the VCPR veterinarian.</li> <li>▪ Expertise may be provided by someone other than the VCPR veterinarian.</li> <li>▪ The VCPR veterinarian is aware of the animal health management plan (ideally review and assent)</li> </ul>		

6.2.4. Each animal shall be permanently identified and the animal health plan shall identify the mechanism and process for permanent identification of animals.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe mechanism and process. Evidence of implementation	Written process	Written process
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Timing – can be when leave the farm, at birth,</li> <li>▪ Consistent with legislated requirements</li> </ul>		

6.2.5. The animal health management plan shall address details of prevention, treatment and control of diseases and conditions.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written but can be described	Written	Written; based on hazard analysis



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Based on hazard analysis – highlighted program</li> <li>▪ Including: lameness prevention and treatment program, reproductive and metabolic diseases, mastitis, parasite, pest and fly control program, vaccination protocol, newborn offspring management, replacement stock management</li> <li>▪ Meets legislated, certification and customer requirements</li> <li>▪ The required veterinary checks are indicated in the animal health management plan and there are clearly documented requirements for where the veterinarian must be contacted.</li> <li>▪ Record keeping for individual animals for lifetime health record.</li> <li>▪ If applicable, the plan indicates use of veterinary medicines in feed, water and as part of prophylactic and metaphylactic treatments</li> </ul>
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### 6.3. Monitoring Animal Health

6.3.1. The animal health management plan shall identify the indicator, measures and significant thresholds that are used to assess the health status; and the required records.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be a documented program or records kept but evidence of consideration and implementation	Written plan	Documented monitoring program; records maintained. Identified thresholds and corrective actions. Reviewed annually with veterinarian.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Includes the recording of data (e.g. pregnancy rates, live births, animal movements in and out of the herd), morbidities, mortalities, culling rate and medical treatments, reproductive (rate of dystocia, retained placenta, metritis) and udder health; behavior; altered locomotor behavior; physical appearance; changes in weight and body condition.</li> <li>▪ Breeding herd performance and mortality data include: births (alive, dead, or mummified), birthing %, birthing interval, offspring mortality, dam mortality.</li> <li>▪ Reviewed with the veterinarian identified in the VCPR</li> <li>▪ Indicates when to cull and when to contact the veterinarian.</li> <li>▪ Identifies where specialized training is required for employees (identification, taking appropriate treatment or euthanasia, etc.)</li> <li>▪ Animal handlers monitor the state of feet and take measures to prevent lameness and maintain foot health.</li> <li>▪ Animal handlers are competent in identifying and appropriately managing chronically ill or injured animals, for instance in recognizing and dealing with non-ambulatory animals, especially those that have recently calved.</li> <li>▪ Animals identified as having difficulty in birthing are assisted by a competent handler as soon as possible after they are detected and provided with appropriate pain relief. When a caesarean section is required, it must be carried out by a veterinarian.</li> <li>▪ Animals identified as sick or injured are given appropriate treatment at the first available opportunity by competent animal handlers.</li> </ul>		





	<ul style="list-style-type: none"> <li>▪ If animal handlers are unable to provide appropriate treatment, the services of a veterinarian are sought and animal handlers understand when it is the appropriate time to engage the veterinarian.</li> <li>▪ There is a written mastitis prevention and treatment program that includes procedures for post-milking teat dipping to reduce mastitis-causing bacteria/ pathogens; management at drying off time; identification and treatment of clinical cases of mastitis; regular herd milk recording for somatic cell counts (SCC) to help identify sub-clinically infected animals; identification, enhanced record keeping for all clinical cases and culling of chronically/recurrently infected (high SCC) animals.</li> <li>▪ Each animal is assessed by an animal handler to determine fitness to travel. If fitness to travel is in doubt, the animal is examined by a veterinarian. A transport driver may refuse to load an animal that is deemed as unfit to transport.</li> <li>▪ Animals that are unfit to travel include, but not be limited to animals that are: sick, injured, weak, disabled or fatigued; unable to stand unaided and bear weight on each leg; blind in both eyes; cannot be moved without causing them additional suffering; newborn with an unhealed navel; pregnant animals which would be in the final 10% of their gestation period at the planned time of unloading; females travelling without young which have given birth within the previous 48 hours; in body condition that would result in poor welfare because of the expected climatic conditions.</li> <li>▪ Non-ambulatory animals on a truck - If the animal is likely to recover, it may only be unloaded for veterinary treatment upon the direction and advice of a licensed veterinarian.</li> <li>▪ Animals are observed regularly during transport. The condition of animals arriving at the operation is monitored.</li> </ul>
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<p><b>ASSESSMENT CRITERIA:</b></p> <ul style="list-style-type: none"> <li>▪ A score will be assessed for the following individual animal-based measures:             <ul style="list-style-type: none"> <li>▪ Mobility (lameness)</li> <li>▪ Cleanliness</li> <li>▪ Body Condition (adult animals only)</li> </ul> </li> <li>▪ <b>Herd measures</b> <ul style="list-style-type: none"> <li>▪ Hair loss, lesions and swellings</li> <li>▪ Animals with respiratory signs</li> <li>▪ Animals needing further care</li> </ul> </li> </ul>
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6.3.2. The animal health management plan shall indicate the frequency of monitoring animals.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Evidence of implementation. Employees aware of requirement.	Written	Written and based on hazard analysis. Reviewed annually with veterinarian.



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ As applicable, a higher frequency is required for vulnerable animals (newborn animals, animals just prior to and at time of parturition, early lactation, disabled, non-ambulatory, newly weaned animals, animals that have undergone painful husbandry procedures or veterinary treatment</li> <li>▪ Frequency is reviewed based on identified hazards, data, records of mortality, disease, etc. to ensure frequency is adequate.</li> <li>▪ Takes into account housed animals and those in combination and pasture operations</li> </ul>
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6.3.3. The animal handler shall take prompt action to provide appropriate treatment to animals identified as ill or injured.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Can be described	May be documented procedure. Evidence of implementation.	Documented procedure, records confirm.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Sometimes the appropriate treatment is euthanasia which is applied by the animal handler</li> <li>▪ Movement of non-ambulatory animals is only be done when absolutely necessary for protection, treatment or diagnosis. Such movements are done carefully using methods that avoid dragging the animal or lifting it in a way that might exacerbate injuries.</li> </ul>		

6.3.4. The administration of all treatments must follow documented protocols.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Can be described	May be documented procedure. Evidence of implementation.	Documented protocols, records confirm.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ At a minimum, label instructions or ‘manufacturer’</li> <li>▪ Topical, oral, injected,</li> <li>▪ For hypodermic include the following as applicable: aseptic techniques to safeguard animal health and prevent contamination of the veterinary medicine; choice of injection site to minimize the risk of resultant carcass condemnation; procedure for identifying hypodermic needles that have broken off during use, locating and dealing with broken needles in animals. Animals containing a broken needle must be clearly identified, the incident and date recorded and communicated to relevant parties (for example, slaughter facility if animal is shipped for slaughter</li> <li>▪ look at best practices</li> </ul>		

6.3.5. If animal handlers are unable to provide appropriate treatment, the services of a veterinarian are sought.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Can be described	May be documented procedure. Evidence of implementation.	Documented protocols, records confirm and include treatment outcome



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Individual animal health records indicate detection, treatment (provided by animal handler and/or veterinarian) and treatment outcome</li> </ul>
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## 6.4. Responsible Use of Veterinary Medications including Antimicrobials

6.4.1. The organization shall use veterinary medicinal products (VMP) containing antimicrobial agents only on the prescription of a veterinarian or other suitably trained person authorized to prescribe VMP containing antimicrobial agents in accordance with the national legislation and under the supervision of a veterinarian.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Current prescriptions for all antimicrobials.	Current prescriptions for all antimicrobials.	Use of all veterinary medicines under instruction of veterinarian (routine use described in animal health management plan). Current prescriptions for all antimicrobials. Selection of antimicrobials based on laboratory results.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>The use of veterinary medicines is in accordance with product label instructions and the instructions of the attending veterinarian.</li> <li>May be restrictions based in legislated, certification and customer requirements</li> </ul>		

6.4.2. Veterinary medicines shall be securely stored and in accordance with product label instructions or instructions of the attending veterinarian.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Designated storage and responsible personnel	Written procedure indicates storage and access requirements.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Veterinary medicines are kept in their original packaging.</li> <li>All veterinary medicine stores are locked; access to designated personnel is documented.</li> <li>Storage of medicated feeds are stored appropriately and are properly labeled.</li> </ul>		

6.4.3. Veterinary medicines and medicated feeds shall be used within the expiry date and the organization shall dispose of unused and expired medicines and medicated feeds under conditions safe for the environment.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	No expired medications or medicated feeds on hand.	Written procedure indicates requirements for use before expiry and disposal or return of



			expired medicines and medicated feeds.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Best practices are used for handling and disposal of syringes, needles, etc.</li> <li>A medicated feed must not be fed to animals after the expiration date.</li> </ul>		

6.4.4. The organization shall maintain records of current veterinary prescriptions and inventories of all veterinary medicines and medicated feeds purchased and disposed of.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Current prescriptions for all antimicrobials.	Current prescriptions for all antimicrobials. Inventory of prescribed medications.	Current inventory of all veterinary medicines and medicated feeds. Current prescriptions for all antimicrobials.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Inventory includes purchases and returned or disposed product</li> </ul>		

6.4.5. The organization shall maintain records of all veterinary medicines administered, including the following:

- a. name of the product, brand, batch (lot) number and expiry date
- b. date of administration
- c. identification of the animal or group of animals to which the veterinary medicine was administered
- d. method of administration
- e. clinical condition(s) treated
- f. dosage
- g. withdrawal periods including the end-date of the withdrawal periods
- h. result of laboratory tests (if applicable)
- i. effectiveness (outcome) of treatment

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Records kept	Records kept	Complete records kept of administered medicines and medicated feeds.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>ideally, sufficient information is required to ensure appropriate withdrawal times and use of medicines prior to expiration</li> <li>method can include: subcutaneous, intramuscular, in feed or water</li> </ul>		

6.4.6. All withdrawal times for administered veterinary medicines and medicated feeds shall be followed.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence based on records	Evidence based on records	Evidence based on records



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The operation has a clear mechanism for providing alerts to hold milk from treated lactating animals.</li> <li>▪ As applicable, the operation has documented and implemented a program for testing to detect residues of prohibited substances; as appropriate, milk, feed and fecal samples are tested for residues. The protocols address notification of findings of residues during testing, on-farm investigation and corrective action to deal with the problem. Records must be kept of action taken.</li> <li>▪ Animal handlers are familiar and comply with recommended withdrawal periods to ensure that residue levels in animal-derived food do not present a risk for the consumer.</li> <li>▪ Medicated milk-replacer or milk from animals treated with antibiotics is not used to feed animals that are sold directly to slaughter unless withdrawal times are met before transport.</li> </ul>
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## 6.5. Biosecurity

6.5.1. The organization shall have a biosecurity plan documented and implemented.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be documented but can be described. Evidence of implementation.	Written plan and evidence of implementation	Reviewed annually.
<b>Implementation Guidance</b>	Plan that addresses the following, as applicable: <ul style="list-style-type: none"> <li>▪ introductions to the herd</li> <li>▪ other domestic animals, wildlife and pests</li> <li>▪ people including sanitation practices</li> <li>▪ equipment, tools and facilities; vehicles</li> <li>▪ air</li> <li>▪ water supply</li> <li>▪ feed and bedding</li> <li>▪ manure, waste and dead stock disposal</li> <li>▪ semen and embryos</li> </ul>		

## 6.6. Culling and Euthanasia

6.6.1. The organization shall have a documented and implemented cull management program.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be documented but can be described. Evidence of implementation.	Written plan and evidence of implementation	Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The program has defined clear criteria for making the decision to cull animals and determine if the animal can be marketed to slaughter or euthanized.</li> <li>▪ Examples; reduced production levels</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ The decision to cull is undertaken by a competent person. Training is provided to animal handlers that are designated with responsibility for culling.</li> <li>▪ The program indicates that the organization does not market cull animals if the condition of the animal would be compromised during transport or holding before sale.</li> <li>▪ The program includes requirements for record keeping and indication of the outcomes (sale, euthanasia)</li> </ul>
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6.6.2. The organization shall have a documented and implemented euthanasia plan.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be documented but can be described. Evidence of implementation.	Written plan and evidence of implementation	Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Euthanasia plan can be developed in consultation with a licensed veterinarian, provided by veterinarian, based on industry-accepted practices.</li> <li>▪ Plan will facilitate timely on-farm euthanasia.</li> <li>▪ The decision to euthanize is undertaken by a competent person. Training is provided to animal handlers that are designated with responsibility for euthanasia.</li> <li>▪ In case of disease or injury, when treatment has failed or recovery is unlikely, the animal is euthanize as soon as possible after decision (minimally, same day).</li> <li>▪ Animals not responding to treatment and animals with untreatable conditions that compromise welfare, if not fit for transport, must be promptly euthanized or slaughtered on-farm (if fit for human consumption) in accordance with legislated requirements.</li> <li>▪ Non-ambulatory animals on a truck that will not recover must be humanely euthanized and confirmed dead on the vehicle prior to unloading.</li> <li>▪ Reasons for euthanasia may include:                             <ul style="list-style-type: none"> <li>▪ severe emaciation</li> <li>▪ weak animals that are non-ambulatory or at risk of becoming non ambulatory</li> <li>▪ non-ambulatory animals that will not stand up, refuse to eat or drink, have not responded to therapy</li> <li>▪ rapid deterioration of a medical condition for which therapies have been unsuccessful</li> <li>▪ severe, debilitating pain</li> <li>▪ compound (open) fracture</li> <li>▪ spinal injury</li> <li>▪ central nervous system disease</li> <li>▪ multiple joint infections with chronic weight loss</li> <li>▪ animals that are premature and unlikely to survive, have a debilitating congenital defect, or otherwise unwanted</li> <li>▪ as part of disaster management response</li> </ul> </li> </ul>		



6.6.3. Methods for euthanasia shall be documented defined, acceptable and appropriate for all relevant animals and life stages of the animals under the responsibility of the organization.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be documented, but is described.	Documented	Documented
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Acceptable and appropriate may be a requirement of legislation. At a minimum, American Veterinary Medical Association guidelines.</li> <li>Aligned with customer requirements, if applicable.</li> </ul>		

6.6.4. The animal handler performing euthanasia shall remain with the animal(s) until death is confirmed.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can be described. Animal handlers aware of requirement.	Written plan. Animal handlers aware of requirement.	Documented procedure indicates requirement. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Animals must be evaluated for insensibility immediately following the application of the euthanasia method.</li> <li>A backup method of euthanasia must be immediately applied if an animal shows signs of returning to sensibility.</li> </ul>		

6.6.5. The organization shall have documented and implemented protocols for disposal of deadstock and euthanized animals in accordance with legislated requirements.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be documented but can be described. Evidence of implementation.	Written plan and evidence of implementation	Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Deadstock and euthanized animals should be removed from pens/fields to a suitable covered place, inaccessible to other animals, birds or vermin without undue delay until final disposition (compost, burial, removal from operation).</li> </ul>		

## 6.7. Records

6.7.1. The organization shall maintain and retain required up-to-date records of individual animal lifetime health, vaccination and treatment history.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Records kept (may be partial)	Records kept	Complete records kept for each animal.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Records must be retained according to legislated, certification or customer requirements after the animal has left the herd (sale or death).</li> <li>E.g. tuberculosis, brucellosis, etc.</li> </ul>		







## 7. Design, Maintenance and Protection in Animal Environment, Facilities and Equipment

### 7.1. Facilities Design

7.1.1. The organization shall have the necessary facilities, equipment in place to provide protection in the animal environment for all age classes and categories of animals on the farm.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Design and layout</li> <li>▪ Facility design ensures that there is appropriate drainage; slopes are appropriate.</li> <li>▪ Includes housing, shelters, fencing, provision of shade, milking parlors, free stalls, standings, cubicles, races, chutes, collecting yards (e.g. entry to the milking parlor) and pens.</li> <li>▪ Organization has described the facilities and equipment in hazard analysis</li> <li>▪ Consideration given to awareness of stray voltage</li> </ul>		

7.1.2. In pasture and combination systems, pasture gates, lanes and fences are laid out to provide protection and prevent injury to animals.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Design and layout supports grazing and water access under all conditions</li> <li>▪ Includes shelters, fencing, provision of shade, man-made and natural cooling ponds</li> </ul>		

7.1.3. Alleys, lanes and gates are designed and operated to allow free movement of animals and prevent injury.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Intention to avoid overcrowding, piling</li> <li>▪ Designed to take advantage of animal’s typical behavior, point of balance</li> </ul>
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7.1.4. In housing, the design of a pen or stall allows all age classes of animals to stand and lie comfortably on a solid surface, stand up, lie down and adopt normal postures without risk of injury.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ length, width and height are appropriate for the size of the largest animal</li> <li>▪ Housing, where applicable, allows all age classes of animals to easily stand up, lie down, adopt normal postures without risk of injury and have social contact with other animals.</li> <li>▪ There is sufficient room for the animal to rest and to rise adopting normal postures, to move its head freely as it stands up, and to groom itself without difficulty.</li> <li>▪ Where housing design provides only individual spaces for animals to rest, there is at least one space per animal.</li> <li>▪ Considers varying sizes of animals</li> <li>▪ Animals are not tethered.</li> <li>▪ Animals kept in tie stall housing are allowed sufficient untethered exercise to prevent welfare problems. When tethered outdoors they are able to walk.</li> <li>▪ Animal handlers are aware of the higher risks of welfare problems where animals are tethered.</li> </ul>		

7.1.5. Animal loading and unloading facilities are designed to minimize stress and injuries for the animals and ensure the safety of the animal handlers.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Minimizes the potential for distractions that may cause approaching animals to stop, balk or turn back.</li> <li>▪ The loading areas and ramps, including the slope of the ramp, are appropriate for type and size of animals being handled.</li> </ul>		



7.1.6. Facilities are provided to segregate sick or injured animals and designed to accommodate all the needs of the animal.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ A dedicated space is readily accessible for compromised animals; minimizes distance to transport</li> <li>▪ May include requirements for additional bedding and alternative floor surface</li> <li>▪ includes any small pen where animals can be separated into and held until transport to appropriate facilities</li> </ul>		

7.1.7. Facilities for separation and as appropriate, restraining equipment for examination of individual animals are readily accessible for all animals and life stages of animals.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Can include a full set of working facilities for every pasture area</li> <li>▪ Facilities can include temporary or mobile pens, fencing and restraining equipment.</li> <li>▪ Head stanchions or locking headgates (self-locking stalls) provide an emergency release for animals when necessary</li> <li>▪ can make testing, vaccinating, clipping, AI, etc. an easy task for the farmer</li> </ul>		

7.1.8. Mechanical and electrical devices are designed and operated to minimize crowding and to prevent injury.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Includes restraint equipment (squeezes, head holds, milking parlor equipment, etc.)</li> <li>▪ used only in accordance with manufacturer's recommendations</li> <li>▪ Consideration given to awareness of stray voltage during equipment installation and grounding</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ Hydraulic, pneumatic and manual equipment are adjusted, as appropriate, to the size of animals to be handled; hydraulic and pneumatic operated restraining equipment have pressure limiting devices to prevent injuries. All equipment used to restrain animals have provisions for the humane release and removal of animals that go down or are otherwise in distress.</li> <li>▪ Electrified equipment designed to control animal behaviour is well-designed and maintained to avoid welfare problems, and used only in accordance with manufacturer's recommendations (electric fencing, etc.)</li> <li>▪ Dipping baths and spray races used for ectoparasite control are designed and operated to prevent drowning.</li> </ul>
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7.1.9. Vehicles and conveyances used for the transport of animals are designed, constructed and fitted as appropriate for the species, size, height and weight of the animals to be transported.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Vehicles and conveyances allows all age classes of animals to assume a balanced, natural standing position for transport (including during loading and unloading) without coming into contact with the roof or upper deck of the vehicle;</li> <li>▪ There is sufficient headroom to allow adequate airflow over the animals.</li> <li>▪ When animals lie down, animals are able to adopt a normal lying posture, without being on top of one another, and allowing necessary thermoregulation.</li> <li>▪ Vehicles and conveyances have ventilation to meet variations in climate that is effective when the vehicle is stationary, and the airflow is adjustable.</li> <li>▪ Design prevent feces or urine from animals on upper levels to soil animals or their feed and water, if applicable on lower levels.</li> </ul>		

## 7.2. Sanitation, Maintenance and Pest Control

7.2.1. The organization shall have documented and implemented procedures for sanitation and maintenance programs for all facilities, equipment and animal transport vehicles.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be documented but can be described. Evidence of implementation.	Written plan and evidence of implementation	Reviewed annually.



<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Includes defined settings and calibration where applicable (e.g. lighting, ventilation, noise, etc.)</li> <li>▪ Facilities and equipment are properly maintained to prevent injury to animals.</li> <li>▪ Includes all areas where animals can access: housing, shelters, stalls, alleys, chutes, gates, fences, collecting yards, pens</li> <li>▪ free from sharp edges and protrusions; equipment is calibrated and operating properly</li> <li>▪ Master Sanitation Schedule (MSS) and monitoring and recording of cleaning</li> <li>▪ Standard Sanitation Operating Procedures (SSOPs) indicate who is responsible, the frequency of inspection of facilities and equipment</li> <li>▪ Confined housing and shelter conditions should be inspected at a minimum of once daily</li> <li>▪ based on hazard analysis</li> <li>▪ Indicates required record-keeping and indicate findings and corrective actions e.g. daily log (noting issues, problems, actions)</li> <li>▪ Documented preventative maintenance program that covers all equipment and facilities.</li> <li>▪ Temporary repairs must not permit the use of inappropriate materials. Permanent repairs shall be made promptly.</li> <li>▪ As required, equipment is tested annually by a qualified and registered technician. The organization conducts regular checks. Records of tests and corrective actions must be maintained and all faults identified must be remedied</li> <li>▪ Milking machines are tested annually by a qualified and registered technician. Pre-operational checks at each milking that includes all gauges and vacuum function.</li> <li>▪ Teat-cup liners must be checked regularly for roughness, elasticity and damage and replaced on a regular basis (defined in management program).</li> <li>▪ Includes bedding, manure and waste management</li> </ul>
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7.2.2. The facilities and site shall be maintained and clear of accumulated rubbish, materials and equipment that may compromise the health and safety of personnel and any livestock or provide harborage for pests.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Identified in sanitation and maintenance program. Evidence of implementation.	Identified in flow diagram, sanitation and maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Housekeeping, including vegetation control near livestock and crop storage buildings, shall be maintained at an appropriate level to reduce harborage for pests and enhance the safety of personnel and any livestock.</li> <li>▪ Vehicles, conveyances are clean, maintained,</li> </ul>		

7.2.3. The organization shall have a documented and implemented pest control program.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>



	May not be written. Can describe measures for pest control	Identified in sanitation and maintenance program. Evidence of implementation.	Identified in flow diagram, sanitation and maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Program indicates required monitoring, control measures and records.</li> <li>▪ There shall be a current Pest Management Manual or file available for review.</li> <li>▪ A current Pest Control Operator (PCO) applicator’s license and letter of liability insurance shall be on file, along with Material Safety Data Sheet (MSDS) for all chemicals used.</li> <li>▪ There shall be written procedures to direct the activities conducted by the PCO and trained employees and include:                             <ul style="list-style-type: none"> <li>▪ Types of pests being controlled</li> <li>▪ Frequency of monitoring</li> <li>▪ Method of labeling, inspecting and recording of inspections. The record of service verification tag or bar code label shall be on the inside of the traps, bait stations or other devices</li> </ul> </li> <li>▪ Company employees engaged as PCOs shall have proof of appropriate training and licensing as required by state or local regulations.</li> <li>▪ An up-to-date site map of all pest control devices shall be maintained</li> <li>▪ Pest Control Chemicals shall be properly stored; if it is necessary to maintain pest management chemicals on site, they must be stored in a secured location with limited access.</li> <li>▪ Pest control reports shall be maintained and include:                             <ul style="list-style-type: none"> <li>▪ Record all pest control activities.</li> <li>▪ Record all pest activity, findings, investigations and corrective actions.</li> <li>▪ Record observations and findings of conditions that compromise pest management including recommendations and corrective actions.</li> </ul> </li> <li>▪ Record on a pesticide usage log the usage of chemicals pest control agents, including name, amount lot codes, registration number or equivalent approval, location(s) where applied the date and purpose for use.</li> </ul>		

7.2.4. Hazardous chemicals and toxic substances shall be contained and stored to prevent animal access and contamination of animal feeds and environment.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Written program	Written program indicates requirements for secure storage and restricted access
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Pesticides, fertilizers, paints, preservatives, baits, fuel, lubricants, disinfectants, organic wastes, manures, composts and waste containers</li> <li>▪ Secure storage and restricted access as applicable</li> <li>▪ Appropriately labelled</li> <li>▪ Storage away from watercourses, wells, springs or boreholes, stored crops, animal feeds, flammable materials, sources of ignition</li> </ul>		

7.2.5. In pasture systems, the organization shall have a pasture and grazing management plan.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>



	May not be documented but can be described. Evidence of implementation.	Written plan and evidence of implementation	Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Grazing management plan (GMP) – grazing periods, stocking rates, rotation, etc.</li> <li>▪ matches animal numbers to forage yield; stocking rate calculated based on soil and climatic conditions as well as the condition of forage stands of a specific pasture</li> <li>▪ Indicates grazing systems (e.g. continuous grazing, rotational grazing, forward grazing, creep grazing, strip grazing, limit grazing, stockpile grazing and extended grazing).</li> <li>▪ Pasture management plan (PMP) - fertilization, liming, reseeding; mowing and harrowing; fallow (regrowth); weed control; irrigation; wildlife damage management</li> <li>▪ Ensure good hygiene and minimize risk of diseases.</li> <li>▪ Prevention of pasture degradation, erosion, destruction, biodiversity</li> <li>▪ Regulatory requirements (for runoff, etc.)</li> </ul>		

### 7.3. Predator Control

7.3.1. The organization shall have a documented and implemented predator control program, as applicable.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be written. Can describe nature of predators of concern and measures to protect animals	Written program.	Written program and records. Annual review.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Program indicates required monitoring, control measures and records.</li> <li>▪ There shall be a current Predator Management plan available for review.</li> <li>▪ A current license and letter of liability insurance as required.</li> <li>▪ There shall be written procedures to direct the activities conducted and include:                             <ul style="list-style-type: none"> <li>▪ Types of predators being controlled</li> <li>▪ Methods (exclusion, habitat control, frightening devices, repellents; proximity and/or confinement of livestock targeted by predators, etc.) and timing used for each type of predator</li> <li>▪ Frequency of monitoring</li> <li>▪ Predator control reports shall be maintained and include:                                     <ul style="list-style-type: none"> <li>▪ Record all predator control activities.</li> <li>▪ Record all predator activity, findings, investigations and corrective actions.</li> <li>▪ Record observations and findings of conditions that compromise predator management including recommendations and corrective actions.</li> <li>▪ Record the usage of chemical predator control agents, including name, amount lot codes, registration number or equivalent approval, location(s) where applied the date and purpose for use.</li> </ul> </li> </ul> </li> </ul>		



## 7.4. Flooring, bedding, resting surfaces, enrichment and outdoor areas

7.4.1. In all production systems animals are provided with a well-drained and comfortable resting area that provides cushion, insulation, warmth, dryness and traction at all times.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Outdoor birthing pens and fields are selected to provide the animal with a clean and comfortable environment.</li> <li>▪ In pasture systems where flooding can occur, could require provision of bedding and dry mounds.</li> <li>▪ In non-pasture systems, could include bedded pack that is maintained</li> <li>▪ Flooring, bedding, resting surfaces and outdoor yards are cleaned as conditions warrant, to ensure good hygiene, comfort and minimize risk of diseases and injuries.</li> <li>▪ Bedding is provided to all animals housed on concrete.</li> <li>▪ If a housing system includes areas of slatted floor, animals, including replacement stock, have access to a solid lying area.</li> <li>▪ Where breeding bulls are in housing systems, sufficient space for resting and exercise.</li> <li>▪ The temperature and ventilation of the birthing area is appropriate for newborn animals; soft, dry bedding and where appropriate, protection from elements or supplemental heat is provided to prevent cold stress.</li> </ul>		

7.4.2. Bedding provided to animals is suitable (e.g. hygienic, non-toxic) and properly maintained.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in inputs. Evidence of implementation.	Identified in inputs, sanitation and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Bedding management plan identifies: type, use, frequency of cleaning, topping off and replacement.</li> <li>▪ Plan includes: sourcing, receipt, storage, applying and grooming.</li> <li>▪ Considers stocking densities</li> <li>▪ Includes bedding used in animal transport vehicles, conveyances.</li> <li>▪ In housed systems, birthing areas are thoroughly cleaned and provided with fresh bedding between each birthing.</li> <li>▪ Group pens for birthing are managed based on the principle 'all in - all out'; the time interval between first and last birth kept in the same group birthing pen is minimized. The group birthing pen is thoroughly cleaned and provided with fresh bedding between each animal group.</li> <li>▪ Outdoor birthing pens and fields are selected to provide the animal with a clean and comfortable environment.</li> </ul>		

7.4.3. Floors are designed to minimize slipping and falling, promote foot health, and reduce the risk of injuries.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification





	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ If a housing system includes areas of slatted floor, the slat and gap widths are appropriate to the hoof size of the animals to prevent injuries.</li> <li>▪ Includes floors inside transport vehicles</li> </ul>		

## 7.5. Stocking Density

7.5.1. The organization shall identify the stocking density for all locations where animals are held (housing, pens, pastures, transport vehicles) that ensure animals are offered adequate space to ensure access to feed and water, comfort and socialization, as applicable.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, defined stocking densities for all locations where animals are held.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Meets requirements based in legislation, certification and customer requirements.</li> <li>▪ In pastured systems, stocking density is managed to ensure feed and water supply and pasture quality.</li> <li>▪ All animals are able to rest simultaneously, and each animal lie down, stand up and move freely.</li> <li>▪ Weaned animals are kept in groups of two or more; animals are kept in groups of similar age and physical size.</li> <li>▪ In growing animals, space allowance is be managed such that weight gain is not adversely affected</li> <li>▪ Stocking density is modified as needed based on animals, seasonal and environmental conditions, etc.</li> <li>▪ The animal handler understands the dominance hierarchies that develop within different groups and observe for evidence of bullying and excessive mounting behaviour. The animal handler understands the risks of increased agonistic interactions between animals, particularly after mixing groups (including during loading for transport).</li> <li>▪ Animals must have adequate room during transport; stocking densities must be reduced in hot weather or in any circumstances where it is likely that proper air movement within the livestock container will not be achieved.</li> <li>▪ Animal handlers and transport drivers are aware of maximum allowable stocking density appropriate to each category, age of animal transported, duration of transport and for each type of vehicle/conveyance used.</li> </ul>		

7.5.2. If negative conditions (poor growth rate, abnormal behaviour, injury, etc.) are observed, corrective measures are implemented.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
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	Evidence of implementation	Identified in animal welfare plan. Evidence of implementation.	Identified in animal welfare plan. Records of monitoring and corrective actions taken.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Animals are monitored for agonistic behaviors and appropriate measures taken to prevent this occurring (e.g. revise or modify feeding practices, provide other environmental enrichments, increasing space allowance, redefining the areas available for lying, standing and feeding).</li> <li>▪ Examples of negative conditions include: poor growth rate, abnormal behaviour, bullying</li> <li>▪ Replacement stock are monitored for cross-sucking and appropriate measures taken to prevent this occurring (e.g. provide sucking devices, revise or modify feeding practices, provide other environmental enrichments).</li> <li>▪ When other measures have failed, animals that are expressing excessive agonistic activity or excessive mounting behaviour are removed from the group.</li> </ul>		

## 7.6. Thermal environment

7.6.1. The organization has documented and implemented programs to manage the risk of thermal stress for all age classes of animals.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Identified in animal welfare plan. Evidence of implementation.	Identified in animal welfare plan, facilities description, and maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Defines the measures used: animal density, provision of natural or man-made shelter, shade; provision of cooling systems as appropriate for the local conditions, provision of bedding.</li> <li>▪ The program defines the thresholds in relation to temperature and humidity that will require action.</li> <li>▪ Animal handlers are aware of the risks to thermal comfort and the thresholds in relation to temperature and humidity that will require action.</li> <li>▪ As conditions change, routine daily activities that require moving animals are amended appropriately.</li> <li>▪ Includes thermal stress during transport</li> </ul>		

## 7.7. Lighting

7.7.1. The organization has a documented and implemented lighting program for housed animals.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, maintenance and



			facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Legislated, certification or customer requirements</li> <li>▪ Housed animals that do not have sufficient access to natural light are provided with supplementary lighting which follows natural periodicity sufficient for their health and welfare, to facilitate natural behaviour patterns and to allow adequate and safe inspection of the animals.</li> <li>▪ Program indicates specific lux requirements and can be measured</li> <li>▪ Housed animals are provided with subdued night time lighting.</li> <li>▪ The lighting does not cause discomfort to the animals.</li> <li>▪ In housed systems, housing areas are well-lit.</li> </ul>		

7.7.2. Facilities for management practices are well lit to allow adequate and safe inspection of the animals.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Management practices include: examination, treatment, vaccination, restraint, unloading, loading, milking, breeding, pregnancy checks, etc.</li> <li>▪ Entrances and exits from facilities for management practices are well lit.</li> </ul>		

## 7.8. Air quality

7.8.1. The organization has a documented and implemented program for ventilation and environmental control systems to allow for temperature, fresh air, and hygienic conditions to ensure health and welfare for animals.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Housed animals</li> <li>▪ In housed systems, areas are well-ventilated to provide good air quality (dust, ammonia)</li> <li>▪ Ventilation systems are designed and maintained to ensure good air quality, minimize drafts, condensation, and noise and support thermoregulation of animals.</li> <li>▪ Includes inside transport vehicles.</li> <li>▪ The ammonia level in enclosed housing and in transport vehicles does not exceed legislated thresholds for human and animal safety. May be defined in certification and customer requirements.</li> <li>▪ Legislated thresholds may be defined in human occupational safety requirements.</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ Physiological effects are a function of duration of exposure and the concentration of ammonia in the air, with potentially negative health consequences for both workers and animals.</li> <li>▪ Can be measured using quantitative (meters or test strips) or qualitative (sensory).</li> <li>▪ Corrective actions include; bedding management, ventilation and humidity management, feed management, stocking density, etc.</li> </ul>
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## 7.9. Noise

7.9.1. Ventilation fans, alarms, feeding machinery or other indoor or outdoor equipment are constructed, placed, operated and maintained in a manner that minimizes noise to prevent stress and fear reactions.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Exposure of animals to sudden or loud noises should be minimized where possible to prevent stress and fear reactions.</li> <li>▪ indoor or outdoor equipment should cause the least possible amount of noise</li> </ul>		

## 7.10. Monitoring Facilities, Equipment

7.10.1. The organization conducts and records monitoring activities of facility condition, equipment function, sanitation, predator and pest control.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The organization has documented and implemented an animal facilities and equipment monitoring protocol (may be included in sanitation and maintenance programs).</li> <li>▪ The organization conducts and records assessments of animal comfort, equipment function and effectiveness in achieving animal welfare outcomes; according to written procedures with defined acceptable and critical thresholds and corrective actions.</li> <li>▪ Records indicate findings, corrective measures taken</li> </ul>		



## 8. Feed and Water

### 8.1. Feed and Water Equipment

8.1.1. The organization shall have the necessary facilities, equipment for provision of feed and water to all age classes and categories of animals on the farm.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Addresses provision of supplemental feed, supplements (including minerals, salt, etc.) in pasture and combination systems</li> <li>▪ Appropriate to age, size</li> <li>▪ Includes systems for colostrum and milk replacer and creep-feeding</li> <li>▪ Designed to prevent injury (climbing into feeders) and feed/water contamination</li> <li>▪ Non-ambulatory animals are provided access to feed appropriate to age class and category</li> <li>▪ As appropriate to duration of journey, equipment for providing water and feed to animals in transport</li> </ul>		

8.1.2. Feeding systems shall be provided that allow all animals to freely access feed.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, defined stocking densities and feeding/watering capacity for all locations where animals are held.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Feeding systems are designed to minimize agonistic (bullying, competition during feeding, preferential feeding order, etc.) behaviour</li> <li>▪ in sufficient numbers and space per animal</li> </ul>		

8.1.3. Watering systems shall be provided that allow all animals to freely access water at all times.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, defined stocking densities and feeding/watering capacity for all locations where animals are held.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Includes ponds and natural sources</li> <li>▪ Water is prevented from freezing in cold weather; may be watering systems design; methods vary depending on type of water system provided.</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ Consideration is given when region is subject to drought conditions</li> <li>▪ Location and access is considered in grazing management and movement of animals</li> </ul>
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8.1.4. Feeding and water equipment shall be clean and properly maintained.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in flow diagram, facilities description, sanitation, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Feeding and watering areas and equipment are sited and elevated so that contamination from fecal material is prevented</li> <li>▪ Water drains away from feed troughs and does not pool the pens.</li> <li>▪ Uneaten feed removed</li> <li>▪ Vehicles/containers/mixing equipment/feeders used for medicated feed materials or compound feeds must be adequately cleaned prior to use with non-medicated feeds to prevent contamination.</li> </ul>		

## 8.2. Feed and Water Program

8.2.1. The organization shall have a documented and implemented a feed and water program for all age classes and categories of animals under the responsibility of the organization.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written feeding plan	Written feeding plan. Ration formulation program is written.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Addresses water requirements for all age classes and categories</li> <li>▪ Rations are defined to provide the required nutrients for maintenance, growth, health, gestation and lactation for the appropriate physiological life stage for all animals on the farm.</li> <li>▪ Feeding plans address key requirements for stages of growth and production associated with gestation, lactation; newborn, nursing, weaned, stocker/backgrounded animals; finishing, replacement stock and bulls.</li> <li>▪ Sufficient quantities of feed are available for all animals during a 24-hour period.</li> <li>▪ feeding plan adjusted to the availability and cost of different ingredients)</li> <li>▪ Nutrition in the last month of pregnancy, with regards to energy balance, roughage and micronutrients, in order to minimize birthing and post-birthing diseases and body condition loss.</li> <li>▪ Addresses colostrum and pre-weaned offspring diets</li> <li>▪ Colostrum is most beneficial if received during the first six hours after birth. All animals receive colostrum or colostrum replacer of a satisfactory quality, within, at a minimum, 12 hours of birth, and in sufficient quantity, to provide passive immunity.</li> <li>▪ When there is risk of disease transfer from the dam, colostrum from a healthy animal is used if available.</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ All animals receive a volume and quality of milk or milk replacer to maintain health, growth and vigor until weaned.</li> <li>▪ Animals are provided a sufficient daily ration of fibrous feed and starter ration (concentrate) to promote rumen development and to maintain health, growth and vigor until weaned.</li> <li>▪ Plan addresses how feed transitions are implemented. Grain or new diets are introduced at a rate to prevent digestive upsets. Provision of palatable fibrous feed such as silage, grass and hay ensures normal rumen function.</li> <li>▪ If mixing rations on farm, producers must maintain appropriate records and samples.</li> <li>▪ Includes ration formulations (if applicable)</li> <li>▪ Based on hazard analysis</li> <li>▪ Feed formulated for a particular production stage shall not be fed to or be accessible by other livestock. Feed specifically formulated for a particular production stage may not adequately meet the nutritional requirements of another production stage; could cause digestive upset or compromise animal health.</li> <li>▪ As appropriate to duration of journey, feed and water should be available as appropriate and needed for the age, and condition of the animals; frequency and requirement to unload animals at rest stops is defined.</li> </ul>
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8.2.2. Persons undertaking the development of the feed and water program have the specific knowledge and expertise necessary.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe their background and experience in animal nutrition and familiarity	Expertise can be described.	Competence - combination of education, training skills and experience.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Where such expertise is not available on-site, expertise may be provided from outside the organization for advice on ration formulation and feeding programs.</li> </ul>		

8.2.3. All age classes of animals are provided with an adequate supply and access to palatable water that meets their physiological requirements and is free from contaminants hazardous to animal health.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities description, maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Water sources are identified in facilities description – including man-made and natural sources</li> <li>▪ Considers water supply in housing, pens and pastures</li> <li>▪ Livestock watering methods consider:                             <ul style="list-style-type: none"> <li>▪ type and location of available water sources</li> <li>▪ site locations and conditions (remote location, topography, riparian features)</li> </ul> </li> </ul>		



	<ul style="list-style-type: none"> <li>▪ type of housing and grazing system (intensive or extensive)</li> <li>▪ number of livestock</li> <li>▪ Access to power source (mainline power, solar, wind, animals, etc.)</li> <li>▪ pumping system (amount of lift, automated versus manual)</li> <li>▪ temporary or seasonal water storage</li> <li>▪ The water supply is tested periodically for toxic chemicals and pathogens</li> <li>▪ Non-ambulatory animals have access to water at all times.</li> <li>▪ Where appropriate, water and water sources are tested for the presence of substances that would adversely impact on animal health. Records are maintained and results satisfactory.</li> </ul>
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8.2.4. All feeds and feed ingredients shall be readily identifiable, traceable to their suppliers as applicable and adequately separated and stored to prevent contamination and deterioration.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in feed program and supplier approvals. Evidence of implementation.	Identified in facilities description, feed program and supplier approvals; maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Feed, supplements, pre-mixes and as applicable, roughage is purchased from approved sources</li> <li>▪ Medicated feeds are stored separately and are properly labeled.</li> <li>▪ Purchase records for feed and feed ingredients shall be maintained up-to-date and available for a period according to legislated requirements.</li> <li>▪ Feed ingredients and feed for other species shall not be mixed with animals feed ingredients and feed.</li> <li>▪ Feed formulated for a different species or production stage shall not be fed to or be accessible by other livestock.</li> </ul>		

8.2.5. Feedstuffs and feed ingredients are of satisfactory quality to meet nutritional needs.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in feed program and supplier approvals. Evidence of implementation.	Identified in facilities description, feed program and supplier approvals; maintenance and facilities management programs.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Producers are familiar with potential micronutrient deficiencies or excesses for production systems, the presence of substances including nitrates, mycotoxins and other soil- or climate-induced problems in their respective geographical areas that can impact the safety of feed.</li> <li>▪ Relevant to type of feed and feed ingredient sources</li> <li>▪ Where appropriate, feed and feed ingredients are tested</li> <li>▪ Use appropriately formulated supplements where necessary</li> </ul>		





### 8.3. Monitoring Feed and Water

8.3.1. The feed and water program shall identify the indicators, measures and significant thresholds that are used to assess the provision of feed and water.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in feed program. Evidence of implementation.	Identified in feed program. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Indicators includes size, growth rate, changes in weight and body condition score (BCS)</li> <li>▪ Based on hazard analysis and risk</li> <li>▪ Animal handlers understand the impact of animals size and age, weather patterns, diet composition and sudden dietary changes in respect to digestive upsets and their negative consequences (displaced abomasum, sub-acute ruminal acidosis, bloat, liver abscess, and laminitis).</li> </ul>		

8.3.2. The feed and water program shall indicate the frequency of monitoring animals, feeding and watering systems.).

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in feed program. Evidence of implementation.	Identified in feed program. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ As applicable, a higher frequency is required for vulnerable animals (newborn animals, animals at time of parturition, disabled, non-ambulatory, newly weaned animals, animals that have undergone painful husbandry procedures or veterinary treatment)</li> <li>▪ Considers type of operation</li> <li>▪ Frequency is reviewed based on identified hazards, data to ensure frequency is adequate.</li> <li>▪ Frequency of feed and water delivery systems takes into consideration where feed and watering equipment is operating on automated systems to ensure appropriate function and metering as applicable.</li> <li>▪ Based on hazard analysis and risk</li> </ul>		

8.3.3. The organization shall have a documented and implemented body condition scoring (BCS) program.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Evidence of implementation.	Identified in feed program. Evidence of implementation.	Identified in feed program. Reviewed annually.



	Employees aware of requirement.		
<p><b>Implementation Guidance</b></p>	<ul style="list-style-type: none"> <li>▪ The program is relevant to the operation and will reflect the differences in operation type, species/breeds, ages, production stage, etc.</li> <li>▪ The program describes the scoring scale and indicates the frequency of BCS scoring.</li> <li>▪ The organization has defined the critical thresholds and target body condition scores for all age classes and categories of animals.</li> <li>▪ The organization has a defined strategy to manage animals assessed with BCS outside the acceptable body condition range (corrective actions)</li> <li>▪ In animals, weight gain/loss and body condition may be an indicator of animal health and animal welfare and may be used as indicator for management decisions (e.g. supplemental feed, weaning, culling, etc.). Poor body condition and significant weight loss may be an indicator of compromised welfare</li> <li>▪ Four key times to BCS animals:             <ul style="list-style-type: none"> <li>▪ 60-90 days before birthing</li> <li>▪ Prior to weaning;</li> <li>▪ Birthing;</li> </ul> </li> <li>▪ Animal handlers have adequate knowledge of appropriate body condition scoring systems for their animals and immediately implement measures if body condition is outside an acceptable range in accordance with breed and physiological status to bring the animals back into an acceptable body condition or cull.</li> <li>▪ Records are maintained</li> </ul>		



## 9. Animal Handling, Husbandry and Management

### 9.1. Animal Handling

9.1.1. The organization has documented and implemented procedures for the handling, movement, restraint, loading, unloading and transport of animals.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal welfare program. Evidence of implementation.	Identified in animal welfare program. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ The program defines the handling tools that can and cannot be used by animal handlers.</li> <li>▪ Handling tools that may cause pain and distress (e.g. electric goads) are used only if the animal is able to move freely. Use is restricted to situations where there is imminent danger to animal handlers and/or animals.</li> <li>▪ Electric goads and prods are limited to battery-powered goads with power output appropriate to animals being moved.</li> <li>▪ Electric prods are not used on lambs, kids.</li> <li>▪ Exposure of animals to sudden movement or changes in visual contrasts is minimized where possible to prevent stress and fear reactions.</li> <li>▪ Methods of restraining animals are appropriate to the species and age of animals involved and the training of the individual animal.</li> <li>▪ Consideration is given to training of animals (e.g. halter break, familiarity with milking parlor, electric fencing, headlocks, etc.); habituate animals to handling and management practices e.g. restraint for breeding, pregnancy checks, vaccination, etc.</li> <li>▪ Provide secure training facilities; when exposing new animals to electric fencing they must be trained to respect psychological barrier</li> <li>▪ Restraining animals does not compromise access to feed, water</li> <li>▪ Recently born animals are not transported until the navel is dry. Young livestock are handled and moved in a manner which minimizes distress and avoids pain and injury. Young livestock are moved by lifting, walking or using clean, properly designed mechanical transport devices.</li> <li>▪ Horned and non-horned animals are not mixed.</li> <li>▪ All animals must be transported in accordance with current legislation, accompanied by relevant transport documentation and referenced in movement records.</li> <li>▪ Journeys are planned to minimize waiting times at loading and unloading and transport duration considers factors including: the ability of the animals to cope with the stress of transport, previous transport experience of the animals; the need for special attention; the need for feed and water; road and weather conditions.</li> <li>▪ The duration of transport must not exceed legislated requirements. Journey plans are prepared which include a loading plan, journey duration, itinerary and location of resting places.</li> <li>▪ Non-ambulatory animals are not transported or moved unless absolutely necessary for treatment or diagnosis. Such movements are done carefully using methods that avoid dragging the animal or lifting it in a way that might exacerbate injuries.</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ Non-ambulatory animals on a truck that will not recover must be humanely euthanized and confirmed dead on the vehicle prior to unloading. If the animal is likely to recover, it may only be unloaded for veterinary treatment upon the direction and advice of a licensed veterinarian.</li> <li>▪ Animals will be allowed a period of rest after unloading (ideally, 1 hour for every hour animals were in transit) prior to management practices required for newly arriving animals.</li> </ul>
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9.1.2. If applicable, horses or dogs used as an aid for animals herding are properly trained.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal welfare program. Evidence of implementation.	Identified in animal welfare program. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Animal handlers keep working dogs under control at all time.</li> <li>▪ The use of dogs is not appropriate in housed systems, collection yards or other small enclosures where the animals cannot move freely away.</li> </ul>		

## 9.2. Willful Acts of Abuse

9.2.1. Any willful or egregious act of abuse or neglect is prohibited.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
<b>Implementation Guidance</b>	<p><b>Willful acts of abuse include but are not limited to:</b></p> <ul style="list-style-type: none"> <li>▪ Dragging a conscious animal by any part of their body except in the rare case where a non-ambulatory animal must be moved from a life threatening situation;</li> <li>▪ Deliberate slamming of gates on livestock unless for human safety</li> <li>▪ Malicious driving of livestock on top of one another and/or over non-ambulatory animals either manually or with direct contact with motorized equipment</li> <li>▪ Malicious hitting/beating/kicking of an animal which includes forcefully striking an animal with a closed fist, foot</li> <li>▪ Throwing of live animals</li> <li>▪ Loading animals deemed as unfit for transport</li> <li>▪ Unloading animals directly off a transport vehicle without use of ramp (where the height difference can cause stress and injury to offloaded animals)</li> <li>▪ Use of unacceptable implements (rakes, brooms, metal bars, fencing wire, leather belts) or prohibited handling tools (paralyzing conscious animals with electricity)</li> <li>▪ Use of painful procedures (including whipping, tail twisting, pressure on eyes, ears or external genitalia)</li> <li>▪ Directing an animal (e.g. dog) to be aggressive and cause harm to animals</li> <li>▪ tail docking unless on the advice of a licensed veterinarian</li> <li>▪ branding wet animals</li> </ul>		



- Abdominal surgery e.g. rumen fistula, C section, spaying, conducted by an unqualified untrained person without anesthetic and analgesia,
- Conducting rectal/vaginal/uterine prolapse replacements with suture or amputations without anesthetic or analgesia,
- Use of birthing aids to speed the birthing process
- Conducting euthanasia by means other than approved method

**Willful acts include use of acceptable handling tools aggressively (i.e. to strike or cause injury to animals, create fear):**

- Malicious hitting/beatng of an animal with handling equipment e.g. sorting paddle or other hard/solid objects that can cause pain, bruising or injury
- Handling tools may not be brought over handler shoulder height multiple times
- Excessive number of contacts of handling tool on animals
- Continually using both hands to hold handling tool to cause more physical force
- Aggressively utilizing multiple handling tools to increase fear/noise/contact (sort boards, witch's capes, and flags are considered visual barriers; handling tools such as rattle paddles, electric prod, sort sticks/rods, etc. are considered contact driving aids)
- Use when animal is unable to move away from the animal handler
- Throwing handling tools at or in the path of animals

**Willful acts include use of acceptable handling tools in a way that deviates from the manufacturer's intentions:**

- Modifying approved handling tools in a manner that may cause undue injury to animals
- Using broken handling tools that have become ineffective and/or sharp
- Deliberate application of handling tools to poke/prod sensitive areas, i.e.: animal's mouth, eyes, ears, nose, rectum, vulva, testicles or belly
- Using electric prods on young livestock

Egregious is defined as flagrant but may not be characterized as Malicious (characterized by malice; intending or intended to do harm)

**Egregious acts of neglect or abuse include but are not limited to:**

- not providing access to water and food (as appropriate to operation)
- not preventing access to an environment that may cause injury to animals
- not controlling domestic animals (e.g. dogs) to prevent injury or death of animals
- not providing predator control to prevent injury or death of animals
- not providing an environment that allows for freedom of movement and natural expression of behavior
- not providing access to a comfortable resting area that protects animals from extremes of temperature and weather e.g. results in live animals frozen to the floor or side of the trailer; live animal frozen to the ground (e.g. newborn animal)
- not providing treatment, veterinary attention in a timely manner



	<ul style="list-style-type: none"> <li>▪ not carrying out timely euthanasia of critically ill/distressed animals</li> <li>▪ Conducting medical, surgical and husbandry procedures in a manner that causes unnecessary pain</li> <li>▪ Not confirming death of a euthanized animal before moving carcass to dead stock pile</li> </ul>
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### 9.3. Husbandry and Management Practices

9.3.1. The organization has documented and implemented a program for husbandry procedures, including painful practices carried out in animals for reasons of management, animal welfare and human safety to minimize any pain and stress to the animal.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal health and welfare programs. Evidence of implementation.	Identified in animal health and welfare programs. Use is reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Use is based on hazard analysis</li> <li>▪ Includes product harvest (milking) - All lactating animals must be milked on a daily basis and milking intervals must be regular from day to day to avoid unnecessary discomfort and stress associated with distended udders, high somatic cell count and increased mastitis risk.</li> <li>▪ Husbandry practices that have the potential to cause pain are routinely practiced on animals for reasons of production efficiency, animal health and welfare and human safety.</li> <li>▪ These procedures should be performed in such a way as to minimize any pain and stress to the animal. These procedures should be performed at as early an age as possible or using anesthesia or analgesia under the recommendation or supervision of a veterinarian.</li> <li>▪ Husbandry practices includes but is not limited to: weaning, castration, identification (branding, tagging, etc.), dehorning, disbudding, tail docking, mulesing, surgical interventions (C-sections, prolapse repair, etc.); reproductive management practices (semen, ova and embryo collection, artificial insemination), urine collection</li> <li>▪ If applicable, flame-singing of udders is done using appropriate equipment and methods and does not cause undue pain, distress to animals. The flame used shall be cool, small (4 to 6 inches long), yellow, and quiet; the flame is kept out of sight from animals. Animals movement is restricted (in milking parlor, feeding or barn stanchions) during the process. The flame is moved quickly beneath the udder (no closer than 2 inches from the skin) and as needed, singing is done using several passes to remove all of the hair.</li> <li>▪ The operation has documented and implemented a milking protocol that includes: assessment if foremilk for abnormalities such as blood, clots or discoloration.</li> </ul>		

9.3.2. A record of painful husbandry practices carried out shall be kept including the date of the procedure, age of the animals, and number of animals affected; record of anesthetic and analgesic used.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification



	Records kept (may be partial)	Records kept	Complete records kept for each animal.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>As required by legislation, certification and customer requirements.</li> </ul>		

9.3.3. The organization shall conduct and document a review of the husbandry procedures (including painful practices) in use to determine ongoing relevance and where alternative management strategies can be implemented.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be a formal review. Interview of operator indicates that this is considered	Review is conducted but may not be documented.	Written annual review with VCPR veterinarian.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Annual review</li> <li>Future options for enhancing animal welfare in relation to these procedures include: ceasing the procedure and addressing the current need for the operation through management strategies; breeding animals that do not require the procedure; or replacing the current procedure with a non-surgical alternative that has been shown to enhance animal welfare.</li> <li>Based on the hazard analysis</li> </ul>		

9.3.4. The husbandry program indicates the timing and method(s) used for permanent identification of animals.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal health and welfare programs. Evidence of implementation.	Written protocols. Identified in animal health and welfare programs. Evidence of implementation.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Ear-tagging, ear-notching, tattooing, freeze branding and radio frequency identification devices (RFID) are preferred methods of permanently identifying animals from an animal welfare standpoint.</li> <li>The least invasive method of permanently identifying animals is adopted and performed by a trained operator with proper equipment</li> <li>These procedures should be performed at as early an age as possible or using anesthesia or analgesia under the recommendation or supervision of a veterinarian.</li> <li>As required by legislation, certification and customer requirements.</li> <li>In some situations however, hot iron branding may be required or be the only practical method of permanent identifying animals.</li> <li>If animals are branded, it should be accomplished quickly, expertly and with the proper equipment. Identification systems should be established also in accordance with Chapter 4.1.</li> <li>Freeze branding and branding with a hot iron is prohibited where alternative identification methods exist (exception when legislative requirements dictate use). If deemed necessary, the procedure is done by a trained operator with proper equipment and analgesics.</li> </ul>		



	<ul style="list-style-type: none"> <li>▪ A permanent brand is legally recognized proof of ownership. An individual trying to sell a branded animal must own the brand, or have a bill of sale.</li> <li>▪ Based on hazard analysis – theft (rustling)</li> </ul>
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9.3.5. If deemed necessary, the husbandry program indicates the timing and methods for performing castration of male livestock.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal health and welfare programs. Evidence of implementation.	Written protocols. Identified in animal health and welfare programs. Records maintained.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ As required by legislation, certification and customer requirements.</li> <li>▪ Defines the age and method (surgical, non-surgical) of castration of male animals that includes use of analgesia or anesthesia for castration of older animals.</li> <li>▪ Animals are ideally castrated before the age of three months, or at the first available handling opportunity beyond this age using a method that causes least pain or suffering to the animal. If applicable, castration using devices which restrict the flow of blood to the scrotum can only be used for animals up to one (1) week of age. Bloodless castration using a device that crushes the spermatic cords can only be used for animals up to two (2) months of age.</li> <li>▪ Use of anesthesia or analgesia under the recommendation or supervision of a veterinarian.</li> <li>▪ Conducted by a veterinarian on animals castrated at older ages</li> <li>▪ Method used is appropriate to age, size and according to manufacturer’s indications</li> </ul>		

9.3.6. The husbandry program indicates the timing and methods for the process for separation (weaning).

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal health and welfare programs. Evidence of implementation.	Written protocols. Identified in animal health and welfare programs. Records maintained.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Indicates timing and indicators for modification to that timing</li> <li>▪ Indicates method: early separation (usually within 48 hours of birth) or a more gradual separation (leaving the offspring with the dam for a longer period so it can continue to be suckled).</li> </ul>		

9.3.7. If deemed necessary, the husbandry program indicates the timing and methods for performing disbudding, horn tipping, use of horn weights and dehorning.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification





	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal health and welfare programs. Evidence of implementation.	Written protocols. Identified in animal health and welfare programs. Records maintained.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ Disbudding is conducted while horn development is still at the horn bud stage (before the horn bud has attached to the skull) or at the first available handling opportunity beyond this age.</li> <li>▪ Use anesthetic and analgesic to help control pain as required by legislation, certification and customer requirements.</li> <li>▪ Animals are properly restrained for the process.</li> <li>▪ Animals are commonly disbudded in order to reduce animal injuries and hide damage, improve human safety, reduce damage to facilities and facilitate transport and handling.</li> <li>▪ Where practical and appropriate for the production system, the selection of polled animals is preferable to disbudding/dehorning.</li> <li>▪ Includes horn tipping with or without use of horn weights to make the horns curve down, instead of straight out.</li> <li>▪ Where it is necessary to dehorn animals, producers should seek guidance from veterinary advisers as to the optimum method and timing for their type of animals and production system.</li> <li>▪ Where practical, animals should be dehorned while horn development is still at the horn bud stage, or at the first available handling opportunity beyond this age. This is because the procedure involves less tissue trauma when horn development is still at the horn bud stage, and there is no attachment of horn to the skull of the animal.</li> <li>▪ If deemed necessary, dehorning must be done by operators trained and competent in the procedure used, and able to recognize the signs of pain and complications that may include excessive bleeding or sinus infection.</li> <li>▪ Methods of dehorning (disbudding) at the horn bud stage include removal of the horn buds with a knife, thermal cautery of the horn buds, or the application of chemical paste to cauterize the horn buds. Chemical paste to cauterize horn buds is not use for animals older than two (2) weeks of age.</li> <li>▪ Methods of dehorning when horn development has commenced involve the removal of the horn by cutting or sawing through the base of the horn close to the skull.</li> <li>▪ Producers should seek guidance from veterinarians on the availability and advisability of analgesia or anesthesia for dehorning of animals, particularly in older animals, where horn development is more advanced.</li> <li>▪ Operators performing dehorning of animals should be trained and competent in the procedure used, and be able to recognize the signs of complications.</li> </ul>		

9.3.8. Tail docking is prohibited.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	Evidence of implementation. Employees aware of requirement.	Identified in animal health and welfare programs.	Written protocols. Identified in animal health and welfare programs.



		Evidence of implementation.	
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Purchased animals may have had tails docked prior to arrival on farm.</li> </ul>		

9.3.9. The organization has documented and implemented a program for reproductive management procedures.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal health and welfare programs. Evidence of implementation.	Written protocols. Identified in animal health and welfare programs. Records maintained.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Semen collection is carried out by a trained operator in a manner that does not cause pain or distress to the bull and any teaser animal used during collection.</li> <li>Artificial insemination and pregnancy diagnosis is performed by a competent operator in a manner that does not cause pain or distress.</li> <li>Embryo transfer is performed under an epidural or other anesthesia by a trained operator, preferably a veterinarian.</li> <li>Use of anesthesia or analgesia under the recommendation or supervision of a veterinarian.</li> <li>The organization has a reproductive management strategy in place to prevent or manage pregnancy in immature females and to define birthing windows to ensure all birthing can be monitored appropriately.</li> <li>Females are not bred before they reach the stage of physical maturity sufficient to ensure the health and welfare of both dam and offspring at birth.</li> <li>If deemed necessary, the program indicates the timing and methods for performing spaying of females.</li> </ul>		

## 9.4. Monitoring

9.4.1. The animal handling procedures shall identify the indicators, measures and significant thresholds that are used to assess handling, movement, product harvest, restraint, loading, unloading and transport of animals.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal welfare program. Evidence of implementation.	Identified in animal welfare program. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>Includes assessment of all activities, proper use of equipment.</li> <li>Defined thresholds for critical control points and points of particular attention</li> <li>Based on hazard analysis</li> </ul>		



9.4.2. The animal handling procedures shall indicate the frequency of monitoring.

	<b>Tier 1: Baseline</b>	<b>Tier 2: Assurance</b>	<b>Tier 3: Certification</b>
	May not be written. Evidence of implementation. Employees aware of requirement.	Identified in animal welfare program. Evidence of implementation.	Identified in animal welfare program. Reviewed annually.
<b>Implementation Guidance</b>	<ul style="list-style-type: none"> <li>▪ As applicable, a higher frequency is required for higher risk activities, vulnerable animals (newborn animals, animals at time of parturition, disabled, non-ambulatory, newly weaned animals, animals that have undergone painful husbandry procedures or veterinary treatment)</li> <li>▪ Considers type of operation</li> <li>▪ Frequency is reviewed based on identified hazards, data to ensure frequency is adequate.</li> </ul>		

**ASSESSMENT CRITERIA:**

- A handling score will be assessed on:
- Electric prod use during handling and movement, loading and unloading
- Vocalization of animals during restraint or provoked by handling
- Animals that balk, fall, stumble, slip, bolt during movement, when released from restraint, during loading and unloading



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## References

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ISO (2016). ISO/TS 34700 - Animal welfare management — General requirements and guidance for organizations in the food supply chain. ISO/TS 34700. Geneva, Switzerland, ISO.

OIE (2017). Terrestrial Animal Health Code. Chapter 7 - Animal Welfare. Paris, France, World Organisation for Animal Health (OIE).