



NSF International

NSF Global Animal Wellness Standard (Small Ruminant – Sheep and Goat Transport)

The Public
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Published by
NSF International
PO Box 130140, Ann Arbor, Michigan 48113-0140, USA

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Printed in the United States of America.



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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
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Scope

The scope of this standard encompasses animal wellness programs for transport of small ruminants. 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.

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.

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 operational 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/utilized 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 operation
- 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
Expectations	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ System documentation includes: ▪ Documented procedures that have been established for the animal welfare management system. ▪ Policies that impact the animal welfare management system ▪ Maintained in either electronic and/or hard copy form. 		

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
Expectations	May not be written but can be described	Documented	Documented and included in Animal Welfare System Management documentation
Implementation Guidance	<ul style="list-style-type: none"> ▪ shall include description of animals, operations (scope) and sites and locations ▪ livestock description ▪ include a description of the 'flow' of animals ▪ indicates what is covered under the plan and what is not covered 		

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

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

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Informed of their responsibility to report animal welfare concerns to personnel with authority to take action ▪ Included in documentation (employee contract) that all employees review and sign prior to employment ▪ 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 ▪ Annually reviewed and resigned ▪ Covered in training (documented) 		

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

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Each objective has at least one measure associated to determine if the objective has been met ▪ Annual review of objectives 		



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

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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Organization description or org chart ▪ Job descriptions indicating responsibility and authority for all animal welfare matters/conditions ▪ Includes staying current on any update or changes of the relevant documents (e.g. OIE TAHC, legislation), changing customer requirements, etc. 		



	<ul style="list-style-type: none"> ▪ Identify and complete if any changes need to be made to animal welfare management system ▪ Report to management during regular management updates and management review ▪ Expertise provided from outside the organization is part of the team led by the designated animal welfare lead
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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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Competence - combination of education, training skills and experience ▪ Specific animal welfare education/training (cert) ▪ Documented training records; certifications, degrees ▪ 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. 		

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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Full staffing complement; back-ups to key positions in organization ▪ Personnel are trained ▪ Investment to maintain, improve or expand current facilities and equipment; capital project plans with accompanying budgets 		

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	Documented requirements and identified



		personnel requirements. Evidence of business continuity.	designated back-ups. Business continuity plans
Implementation Guidance	<ul style="list-style-type: none"> ▪ Designated back-ups ▪ Measures to address changes to facilities available to animals 		

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)
Implementation Guidance	<ul style="list-style-type: none"> ▪ should be displayed in a prominent location ▪ included in training ▪ includes family members ▪ 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. ▪ These requirements are shared through established communication programs, and include any changes made to the animal welfare management system. ▪ Includes a mechanism that allows for the reporting of animal welfare violations and where reporting can be done without the threat of retaliation ▪ a defined program with declared methods of communication used/stated ▪ Made available in a language understandable to all staff 		

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



Implementation Guidance	<ul style="list-style-type: none"> ▪ Includes monitoring, verification, internal and external audit, management review ▪ Frequencies based on (documented) risk
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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 plan	Written plan. Reviewed annually
Implementation Guidance	<ul style="list-style-type: none"> ▪ 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 <p>Plans include:</p> <ul style="list-style-type: none"> ▪ Contact information for key service providers, emergency evacuation/relocation of animals, and emergency euthanasia of animals. ▪ An evacuation plan and communicated to all responsible parties. ▪ The provision for emergency transport and evacuation of animals. ▪ Transport incidents <p>Plans:</p> <ul style="list-style-type: none"> ▪ Shall be documented by senior management, outlining the methods and responsibility that the site shall implement to cope with such a crisis. ▪ Include: <ul style="list-style-type: none"> ▪ Decision making senior manager to initiate action ▪ Crisis management team ▪ Controls implemented to ensure response does not compromise animal welfare ▪ Measures to isolate and identify animals affected by the crisis and the response to the crisis ▪ Measures taken to verify that response actions are effective ▪ Preparation and maintenance of a current crisis alert list (veterinary, source of expert and legal advice, corporate) ▪ Responsibility for internal communication, authority, external organizations, customers, suppliers, and media ▪ Review, test at least annually and verify ▪ Records of implemented contingency plan (during actual events), annual tests and reviews are maintained and include any corrective actions taken in response to findings. 		



1.4.2. A written transport emergency contingency plan is available and communicated. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Current emergency contact list	Written plan	Written plan. Reviewed annually
Implementation Guidance	Plans include: <ul style="list-style-type: none"> ▪ Contingencies for accident, breakdown, significant travel delays (e.g. construction) and requirements for management of heat or cold stress while in transit. ▪ The plan includes emergency contact numbers and effective means of communication available to and from drivers so that warning can be given of transport delays and problems where assistance is required or when destination delays and problems will impact on transport arrival. ▪ Plans include contact information for key transport operation personnel, emergency repair service providers, accident management, replacement transport trailers and provision of comfort to animals on incapacitated transport vehicles. ▪ Contingencies and specific protocols as needed for in-transit accidents to address extracting animals from vehicles, managing loose animals, emergency field euthanasia, reloading, carcass disposal, etc. 		

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 business activities. **(M)**

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



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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Relevant legislation: domestic legislation (national, regional and local) available (electronic and/or hardcopy) and current ▪ If exporting, relevant legislation of importing country 		

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 gap analysis . Annually reviewed and resigned
Implementation Guidance	<ul style="list-style-type: none"> ▪ signed, dated ▪ annually reviewed and resigned ▪ covered in training (documented) ▪ The animal welfare plan has considered the OIE animal welfare principles and guidelines for the welfare of animals in 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. ▪ 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. ▪ The identified gaps and necessary corrective actions are prioritized and corrections are undertaken. ▪ The animal welfare plan references the applicable procedures, and pre-requisite programs and other documentation 		



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)**

	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
Implementation Guidance	<ul style="list-style-type: none"> Includes employees and contracted resources 		

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

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	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.
Implementation Guidance	<ul style="list-style-type: none"> The designated animal welfare lead or team must have the specific knowledge and expertise necessary for the development of an effective animal welfare plan Where such expertise is not available on-site, expertise may be provided from outside the organization as part of the team When there is a team, the animal welfare 'lead' is indicated as the team lead. 		

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.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can be described and confirmed during observation	Documented	Documented, verified and reviewed annually



Implementation Guidance	<ul style="list-style-type: none"> ▪ Include a Scope Description that provides detail on: <ul style="list-style-type: none"> ▪ Species and life stage(s) of animals under the responsibility of the organization ▪ Customer requirements; certifications ▪ Include a flow diagram <ul style="list-style-type: none"> ▪ Flow diagrams provide a basis for evaluating the possible occurrence, increase or introduction of hazards. ▪ Flow diagrams are clear, accurate, sufficiently detailed and verified to actual conditions. ▪ Flow diagrams include the following: <ul style="list-style-type: none"> ▪ a) The sequence and interaction of all steps in the operation; ▪ b) Where inputs enter the flow; ▪ c) Any outsourced processes and subcontracted work; ▪ Description of process steps and control measures
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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.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Method used is documented. ▪ May require a separate analysis for each species and/or life stage of animals ▪ Hazard identification considers hazards associated with: <ul style="list-style-type: none"> ▪ Inputs: feed, bedding, water, air, heating, animals, etc. All inputs shall be described to the extent needed to conduct the analysis and as relevant to the operation. ▪ Processes: (movement, transportation, handling) ▪ Facilities, Equipment and Operational flow of animals/animal product: <ul style="list-style-type: none"> ▪ 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. ▪ Hazard assessment 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. 		

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

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Selection of control measures: An appropriate combination of control measures shall be selected which is capable of preventing, eliminating or reducing these hazards to defined acceptable levels. ▪ Identification of critical control points (CCPs) and points of particular attention (POPAs) ▪ Determination of critical thresholds (limits); take into account established statutory and regulatory requirements, generally accepted industry thresholds, customer requirements and other relevant data. ▪ Determination of POPA tolerance limits ▪ Indicators used to assess control measures: include but are not limited to: animal assessments, equipment function assessments, facility and equipment inspections. ▪ Animal based measures such as vocalization, lameness, falling/slipping, injury and dead on arrival rates, etc. ▪ Resource based measures such as prod use, air quality, etc. 		

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
Implementation Guidance	<ul style="list-style-type: none"> Other documentation as described in the requirements. 		

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.
Implementation Guidance	<ul style="list-style-type: none"> Must establish a written procedure describing how personnel maintain, update and replace documents. Changes to the program should be validated, justified and fully documented. Procedures define: <ul style="list-style-type: none"> Approval of documents prior to issue, Review and update documents as necessary, and re-approve documents, Ensure that changes and the current revision status of documents are identified, Ensure that documents remain legible and readily identifiable, Ensure that obsolete versions of documents are identified as such if they are retained for any purpose. The organization shall ensure personnel have access to current documents that impact their ability to complete their work. The procedure must specify who is responsible for document control and assures documents are updated and securely stored. The procedure include training requirements for personnel. Indicates document retention times 		

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.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Can describe mechanism used to keep track. May include informal	May not have specific procedures for documentation and records control, but	Complete system documentation maintained and readily accessible



	documentation and record-keeping.	there is written documentation and records maintained.	Written procedures for documentation and records control
Implementation Guidance	<ul style="list-style-type: none"> ▪ Written procedures describe the responsibility for undertaking record-keeping related to monitoring activities, verification, corrective actions ▪ Describes what needs to be documented and how often ▪ 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. ▪ 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 indicate corrective actions taken. ▪ Responsibility for maintaining and retaining records shall be documented and implemented— generally there is a list of documents which provides information on who and how frequently these forms are completed ▪ 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. ▪ Training for document control shall be completed to ensure records are accurate, indelible, and legible. 		

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



Implementation Guidance	<ul style="list-style-type: none"> ▪ Includes employees and contracted resources ▪ 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 regard to animal welfare.
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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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Methods to ensure qualified personnel are hired ▪ employees are screened prior to hiring ▪ The organization maintains written records of the experience (resumes) and qualifications (certificates of training, etc.) of hired applicants and contracted resources. 		

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

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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ included in training ▪ a defined procedure with declared methods of communication used/stated ▪ Made available in a language understandable to all staff 		



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.
Implementation Guidance	Can include: <ul style="list-style-type: none"> ▪ observations of how animals are responding to handler; ▪ # of times a prod is used by an employee; ▪ awareness of blind spots ▪ # of times they yell, etc. ▪ Observation of handler’s response to balking animals ▪ Specific transport related: trip durations, injury and DOA rates for transported loads, etc. ▪ Corrective actions are implemented and recorded when employee performance is unsatisfactory. ▪ May result in need for retraining ▪ Includes investigation and root cause ▪ Verification of effectiveness of corrective actions is evaluated and recorded 		

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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Employees, contracted resources, relief help 		



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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Persons undertaking animal handling are provided with appropriate mentoring and training to learn new or refresh skills. ▪ There is a mechanism of assessing the employee’s understanding of the training ▪ Training needs are linked to employee performance feedback and observed/reported incidents and complaints. 		

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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Training records are maintained for staff, contracted resources, relief help; ▪ includes training delivered by the organization to employees and contracted resources ▪ Includes records of training provided by other parties to the organization’s employees. 		

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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Training records are maintained for staff, contracted resources, relief help; ▪ includes training delivered by the organization to employees and contracted resources 		



	<ul style="list-style-type: none"> Includes records of training provided by other parties to the organization’s employees.
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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
Implementation Guidance	<ul style="list-style-type: none"> Signed by the trainee Supervisor’s verification that the training was completed and that the trainee is competent to complete the required tasks Records shall be available for up to two years after an employee has left the organization. 		

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



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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Facilities include: <ul style="list-style-type: none"> ▪ first aid area and first aid kit; ▪ appropriate storage and handling of potentially toxic materials with designated access 		

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)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	Written and verified. Reviewed annually
Implementation Guidance	<ul style="list-style-type: none"> ▪ Includes daily operational and pre-operational inspections (i.e. checking equipment; sanitation, maintenance, animals, etc.) 		

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

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



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)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	Written and verified. Reviewed annually
Implementation Guidance	<ul style="list-style-type: none"> ▪ 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. ▪ If deviation from the thresholds occurs, a multi-site or corporate organization has considered if the deviation and corrective action would be relevant at all of their operations. ▪ 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). ▪ Documented procedures are established and maintained for the appropriate handling of animals impacted when a critical threshold is exceeded 		

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
Implementation Guidance	<ul style="list-style-type: none"> ▪ investigation into root cause 		

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



Implementation Guidance	<ul style="list-style-type: none"> ▪ Verification that monitoring is being conducted ▪ Verification that appropriate decisions about corrective actions are being made ▪ Verification of implementation and effectiveness ▪ Verification that required records are correctly completed and maintained ▪ Verification of documents, observing personnel doing the monitoring activity;
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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)**

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

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

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be written but can be described. Evidence of implementation	Written and annual frequency can be verified.	Written and verified. Reviewed annually.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Planned taking into consideration, importance of process and areas to be audited ▪ Noncompliance and updated items from previous audits ▪ Criteria, scope, frequency, methods shall be defined 		



	<ul style="list-style-type: none"> ▪ Planning and conducting and reporting results, maintaining records and follow up of corrective actions shall be defined in documented procedure ▪ 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 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. ▪ 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. ▪ 3) The audit criteria, scope, frequency and methods shall be defined. ▪ 4) A documented procedure shall be established to define the responsibilities and requirements for planning and conducting audits, establishing records and reporting results. ▪ 5) Records of the audits and their results shall be maintained.
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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
Implementation Guidance	<ul style="list-style-type: none"> ▪ The designated animal welfare lead should be included in the internal audit team. ▪ Ideally, an internal audit team is conducting the audits (i.e. animal welfare manager, maintenance manager, sanitation, quality control) ▪ Familiar with the organization’s animal welfare plan, requirements, standards, etc. ▪ Understand the process of internal auditing 		



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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Internal Audit Corrective Actions ▪ Ideally, the proposed corrective is discussed within the organization (management). ▪ 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. ▪ Verification of completed corrective actions is included in scope of internal audit. 		

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.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	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)
Implementation Guidance	<ul style="list-style-type: none"> ▪ Can include second or third party ▪ Include legislated inspections 		



- 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)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Written	Written. Reviewed annually.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Includes regular and frequent updates provided by animal welfare lead or team. ▪ Includes system management review; ensures entire system is included in at least one management review per year. 		

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
Implementation Guidance	<ul style="list-style-type: none"> ▪ 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 ▪ any new knowledge, practice or technology relevant to the improvement of welfare of animals within the organization; ▪ any update or changes of the relevant documents (e.g. OIE TAHC, legislation) ▪ Complete system review occurs at planned intervals (minimum annually) ▪ System is reviewed and updated as needed if any changes implemented have an impact on animal welfare ▪ To verify that these changes have been taken into account in the animal welfare plan. 		



	<p>The review shall take into account (REVIEW INPUTS):</p> <ul style="list-style-type: none"> ▪ Follow up from previous management review and action items ▪ Review of the policy ▪ Analysis form verification activities ▪ Changing circumstances that can impact animal welfare – emerging, innovation, new science, any update or changes of the relevant documents (e.g. OIE TAHC, legislation) ▪ Emergency situations, accidents, ▪ Review results of system updating activities ▪ Review of communication activities, customer feedback ▪ Internal and external audits and inspections ▪ Corrective action implementation and verification <p>Review results include [REVIEW OUTPUTS] Any Decisions and actions related to:</p> <ul style="list-style-type: none"> ▪ Required changes to the animal welfare system, plans, policy and objectives ▪ Resource needs
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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
Implementation Guidance	<ul style="list-style-type: none"> ▪ Who was there, when, why ▪ What was discussed ▪ What decisions were made ▪ 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. 		



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 and operations	Written	Written and verified. Reviewed annually
Implementation Guidance	<ul style="list-style-type: none"> ▪ The organization has the required resources, (e.g. equipment, material, systems, housing, facilities, etc.) available to implement the animal welfare plan. ▪ The organization has considered the energy requirements of the facilities 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. ▪ The organization has considered the water requirements of the facilities and as appropriate, has identified interventions to: have a plan of the water-supply network; check taps, drinkers 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. ▪ The organization has considered the management requirements of the facilities 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. ▪ The organization has considered the management requirements of the facilities and as appropriate, has identified interventions to: protect and maintain woodland, wetlands or ponds; reduce land vulnerability and prevent land degradation. 		



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

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
Implementation Guidance	<ul style="list-style-type: none"> ▪ The Organization has a mechanism in place to confirm that supplying farms, contracted services, loading and unloading facility operators understand and have met the Organization’s animal welfare requirements. ▪ Defined in supplier contracts; addresses requirements for production, pre-transport inspection and animal preparation, including, feed and water withdrawal as appropriate; animal cleanliness; fitness for transport, loading. ▪ Documented contractual arrangements and responsibilities defined to ensure the continuity of animal welfare through the protein supply chain ▪ Specifications for contracted service providers ▪ Supplier/vendor/service provider expectations ▪ Methods and responsibility for assuring that specifications are met (second party audits of suppliers, service providers, etc.) 		



	<ul style="list-style-type: none"> Examples include: feed and bedding suppliers, pest control service providers, transport companies
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5.2.2. The organization has written, current registers of approved suppliers and services providers.

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



Animal Wellness Program Requirements

6. Animal Source, Health and Safety

6.1. Animal Source and Selection

6.1.1. The Organization shall have a documented program for traceability to trace every animal (or lot of animals) back to the farm of origin. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Animal identification is in place. Can describe and demonstrate the mechanism of traceability.	Written traceability program.	Written traceability program. Tested. Program reviewed annually
Implementation Guidance	<ul style="list-style-type: none"> ▪ Transport operations must have a system in place to ensure traceability of the back to the farm, and also forwards, from the farm, to the destination(s). ▪ All animals must carry a means of identification (e.g. ear-tag). Electronic means of identification are encouraged. ▪ On loading, the actual animal identification (ear-tag or similar) must be reconciled against any delivery documentation. ▪ Frequency of testing is defined in program. The traceability system shall be tested to verify effectiveness; ideally 2-4 times per year; annually at a minimum. 		

6.1.2. The Organization has a mechanism for communicating to supplying farms and/or transport drivers the number of dead, compromised animals received and other information on carcass condemnation or defects. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Signed contracts	Documented procedures for supplier approval and contracted services
Implementation Guidance	<ul style="list-style-type: none"> ▪ Feedback used to assess supplier and/or employed/contracted transport services are meeting animal welfare expectations 		

6.2. Welfare and Safety of Animals during Transport

6.2.1. The Organization has a mechanism in place to confirm that transport drivers understand and have met the Organization’s animal welfare requirements.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Job description and procedures for employees. Signed contracts	Documented procedures for employees and for



			supplier approval and contracted services
Implementation Guidance	<ul style="list-style-type: none"> ▪ May be defined in employee requirements and supplier contracts; addresses requirements for fitness for transport; appropriate stocking and segregation of animals in the vehicle; supervision and monitoring of loading; in-transit care of animals. ▪ Includes requirements for: transport driver training and certification, if applicable; responsibility of transport driver to refuse loading of animals considered unfit for transport; requirements for transport schedules, journey logs; journey duration, itinerary and location of resting and/or intermediate off-loading locations. ▪ The organization confirms that transport drivers are qualified (education, knowledge, experience) with respect to all animal welfare aspects of loading, transport and unloading. ▪ Transporters may receive the required knowledge through transporter certification training programs. ▪ Training covers but is not limited to: properly loading animals and/or containers of animals on to the trailer, distributing animals/containers correctly on the trailer, hauling techniques that reduce animal stress, and handling emergency situations. 		

6.2.2. All animals are transported in accordance with current legislation, accompanied by relevant transport documentation. **(M)**

	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.	May be included in procedures for supplier approval and contracted services. Reviewed annually.
Implementation Guidance	<ul style="list-style-type: none"> ▪ The trailer and compartments are loaded in a manner that ensures incompatible animals are appropriately separated, the entire load is balanced and does not exceed transport vehicle weight maximums ▪ Animals with tusks are not mixed with other animals. ▪ All animals must be transported in accordance with current legislation, accompanied by relevant transport documentation and referenced in movement records. ▪ Non-ambulatory animals are not transported or moved unless absolutely necessary for treatment or diagnosis. 		

6.2.3. Animals are provided with adequate room during transport. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Meet legislated requirements	Documented program defining requirements for transport stocking densities. May be included in procedures for supplier approval and contracted services. Stocking densities



			monitored and recorded
Implementation Guidance	<ul style="list-style-type: none"> ▪ Animal handlers and transport drivers are aware of maximum allowable stocking density appropriate to each category, age of animal transported and for each type of vehicle/conveyance used. ▪ Stocking densities are reduced in hot weather or in any circumstances where it is likely that proper air movement within the transport container will not be achieved. ▪ Stocking densities monitored at live receiving. 		

6.2.4. The Organization provides a documented schedule for animal loading, transport and arrival at destination to transport drivers and supplying farms. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Documented schedule	Documented schedule
Implementation Guidance	<ul style="list-style-type: none"> ▪ A documented load and transport schedule is in place to minimize waiting times at loading and unloading; schedule details on farm/barn location, planned animal numbers and weights; loading time, planned duration of journey, planned time of arrival, holding time at destination. ▪ During hot weather, loading is scheduled to avoid the hottest hours and avoid traveling during congested traffic conditions and to ensure animals are unloaded promptly at destination. ▪ Transport drivers plan routes to destination that take into consideration: the need for special care and attention of animals; required stops for rest (including off-loading), water and feed; anticipated road and weather conditions. ▪ The planned duration of transport must consider unanticipated delay such that actual transport time will not exceed legislated requirements. ▪ Transport drivers understand requirements for documentation (e.g. livestock manifests, bills of lading, and transport journey record). 		

6.2.5. A transport journey record is maintained by the transport driver and copies are provided to receiving destination at time of arrival.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Meet legislated requirements	Documented program defining requirements for transport documentation to be maintained by transport driver. May be included in procedures for supplier approval and contracted services. Transport journey records monitored and recorded



Implementation Guidance	<ul style="list-style-type: none"> ▪ A transport journey record is maintained by the transport driver that includes: vehicle and driver information (including transporter certification); date of transport; farm/barn information; arrival time at farm, starting time for loading animals into each truck; type and category of animals; number of animals loaded and transported from the operation; destination; departure time from farm; arrival time at destination; reasons for any planned or unplanned stops or delays en route (including provision of feed, water, rest); welfare of the animals during the actual transport. ▪ Documentation verified at live receiving
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6.3. Monitoring Animal Health

6.3.1. The Organization has documented and implemented a program to monitor animals at time of loading, during transport and at unloading; records are kept. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
Implementation Guidance	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Program defines frequency of monitoring animals during loading, unloading and while still on transport vehicles at rest stops. Animals are monitored more frequently during extreme weather for indicators of thermal discomfort or if there are indications of issues during transport (extended journey time, etc.). ▪ Assessment of transport vehicle includes stocking densities in all compartments, appropriate segregation of animals as required. ▪ Program includes assessment for; injury, lameness or signs of disease; compromised respiratory function; thermal discomfort; etc. ▪ Transported stock are assessed for agonistic behaviors and appropriate measures taken to prevent this occurring (e.g. separate compartments) while in transport. ▪ Animals are observed regularly during the journey to ensure their safety and good welfare. ▪ The condition of animals arriving at intermediary off-loading points, if applicable and final destination is monitored by the transport driver. ▪ Program identifies actions required to address issues identified during monitoring. Animals identified as sick or injured are given appropriate treatment at the first available opportunity by competent animal handlers. ▪ Monitoring to determine that animals that are unfit to travel are not loaded for transport; ideally 1% or fewer compromised animals are on the trailer at arrival. A transport driver must refuse to load an animal that is deemed as unfit to transport. <p>Categories of Compromised Animals:</p> <ul style="list-style-type: none"> ▪ 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; 		



	<ul style="list-style-type: none"> ▪ newborn with an unhealed navel; ▪ pregnant animals in the final 10% of their gestation period at the planned time of unloading; ▪ animals in process of calving; ▪ females travelling without young which have given birth within the previous 48 hours; ▪ animals in body condition that would result in poor welfare during transport ▪ The organization maintains records of assessment of condition of animals received and held at the facility; records of disposition and corrective actions taken. ▪ The organization maintains records of number of animals dead on arrival. ▪ Animal handlers are competent in identifying and appropriately managing ill, injured or compromised animals.
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ASSESSMENT CRITERIA:
 A fitness for transport score will be assessed in the unloading area
 A cleanliness score will be assessed on received animals

6.3.2. The Organization has documented and implemented a procedure for managing animals identified as disabled (ambulatory and non-ambulatory) while on transport vehicle and during unloading. The protocol describes requirements for unloading, segregation, providing rest and recovery time and as required, euthanasia. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be a documented program or records kept but evidence of consideration and implementation	Written plan. Meets legislated requirements.	Documented monitoring program; records maintained. Identified thresholds and corrective actions. Reviewed annually.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Meets legislated requirements. ▪ Disabled animals (ambulatory and non-ambulatory) are a priority and must be addressed immediately. ▪ Non-ambulatory animals must not be physically encouraged, pushed, dragged while they are conscious. ▪ Non-ambulatory animals must be protected from injury caused by other animals; if providing the animal time to rest or until stunning/euthanasia. 		

6.4. Biosecurity

6.4.1. The company has documented and implemented a protocol for facility biosecurity and security. **(M)**

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	May not be a documented program or records kept but	Written plan. Meets legislated requirements.	Documented monitoring program; records maintained. Identified



	evidence of consideration and implementation		thresholds and corrective actions. Reviewed annually.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Plan that addresses the following, as applicable: ▪ other domestic animals ▪ people including sanitation practices ▪ equipment, tools and facilities; vehicles ▪ air ▪ water supply ▪ feed and bedding ▪ manure, waste and carcass disposal ▪ The protocol includes requirements for cleaning live animal transport vehicles before going to another producer’s farm, etc. ▪ The protocols includes requirements for security to prevent escape of animals, unauthorized access to animals, etc. 		

6.5. Euthanasia

6.5.1. The organization has documented and implemented a euthanasia protocol. **(M)**

	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Euthanasia plan can be developed in consultation with a licensed veterinarian, provided by veterinarian, based on industry-accepted practices. ▪ Plan will facilitate timely euthanasia. ▪ The protocol indicates the required competencies of personnel performing euthanasia. The decision to euthanize is undertaken by a competent person. Training is provided to animal handlers that are designated with responsibility for euthanasia. ▪ The protocol has defined clear criteria for decision to euthanize animals and determination if the animal can continue to slaughter in accordance with legislated requirements. ▪ In case of disease or injury, the animal is euthanized as soon as possible after decision. ▪ Animals must be promptly euthanized in accordance with legislated requirements. ▪ Non-ambulatory animals on a truck that will not recover must be humanely euthanized and confirmed dead on the vehicle prior to unloading. <p>Reasons for euthanasia may include:</p> <ul style="list-style-type: none"> ▪ severe emaciation ▪ non-ambulatory animals ▪ severe, debilitating pain ▪ compound (open) fracture ▪ spinal injury ▪ central nervous system disease ▪ multiple joint infections with chronic weight loss 		



6.5.2. 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
Implementation Guidance	<ul style="list-style-type: none"> Acceptable and appropriate may be a requirement of legislation. At a minimum, American Veterinary Medical Association guidelines. Aligned with customer requirements, if applicable. 		

6.5.3. The animal handler performing euthanasia must 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.
Implementation Guidance	<ul style="list-style-type: none"> Animals must be evaluated for insensibility immediately following the application of the euthanasia method. A backup method of euthanasia must be immediately applied if an animal shows signs of returning to sensibility. 		

6.5.4. The organization shall have documented and implemented protocols for disposal of deadstock and euthanized animals.

	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. In accordance with legislated requirements.	Reviewed annually.
Implementation Guidance	<ul style="list-style-type: none"> The protocol addresses the disposal of deadstock and euthanized animals. Deadstock and euthanized animals shall be removed from transport vehicles to a suitable location for final disposition in accordance with legislated requirements. 		



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

7.1. Facilities Design

7.1.1. The organization has the necessary facilities, equipment in place to provide protection in the animal environment for all age classes and categories of animals 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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Design and layout ▪ Organization has described the facilities and equipment in hazard analysis <p>The organization has defined the requirements for transport equipment:</p> <ul style="list-style-type: none"> ▪ stocking densities ▪ holding times ▪ specific measures for managing weather and temperature impacts while animals are held in transport vehicle ▪ Ventilation systems are designed and maintained to ensure good air quality, minimize drafts, condensation, and noise and support thermoregulation of animals. ▪ Lighting is designed, maintained and used appropriately to encourage movement of animals and allows effective visual evaluation of animals <p>If applicable, the organization has defined the equipment requirements for transport incident response management program</p> <ul style="list-style-type: none"> ▪ mobile equipment for extraction, containment and reloading of animals; handling aids; field euthanasia equipment 		

7.1.2. 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	Meet legislated requirements	Documented program defining requirements for transport vehicles and conveyances. May be included in procedures for supplier approval and contracted services.
Implementation Guidance	<ul style="list-style-type: none"> ▪ 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; ▪ There is sufficient headroom to allow adequate airflow over the animals. 		



	<ul style="list-style-type: none"> ▪ When animals lie down, animals are able to adopt a normal lying posture, without being on top of one another, and allowing necessary thermoregulation. ▪ Vehicles and conveyances have ventilation to meet variations in climate that is effective when the vehicle is stationary, and the airflow is adjustable. ▪ Design prevent feces or urine from animals on upper levels to soil animals or their feed and water, if applicable on lower levels.
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7.1.3. Euthanasia equipment is appropriate to species, category and life stage of animals under the responsibility of the organization and is cleaned and maintained to ensure proper function.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in facilities description. Evidence of implementation.	Identified in facilities/equipment description, maintenance and facilities management programs.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Euthanasia equipment is cleaned and maintained according to manufacturer's instructions; records are available. ▪ Euthanasia equipment and ammunition are properly stored with designated access. 		

7.2. Sanitation, Maintenance

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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Includes defined settings and calibration where applicable (e.g. lighting, ventilation, noise, etc.) ▪ Facilities and equipment are properly maintained to prevent injury to animals. ▪ free from sharp edges and protrusions; equipment is calibrated and operating properly ▪ Master Sanitation Schedule (MSS) and monitoring and recording of cleaning ▪ Standard Sanitation Operating Procedures (SSOPs) indicate who is responsible, the frequency of inspection of facilities and equipment ▪ based on hazard analysis ▪ Indicates required record-keeping and indicate findings and corrective actions e.g. daily log (noting issues, problems, actions) ▪ Documented preventative maintenance program that covers all equipment and facilities. ▪ Temporary repairs must not permit the use of inappropriate materials. Permanent repairs shall be made promptly. 		



	<ul style="list-style-type: none"> ▪ 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 ▪ Includes bedding, manure and waste management
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7.3. Flooring, bedding, resting surfaces

7.3.1. 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/equipment description, maintenance and facilities management programs.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Flooring, bedding, resting surfaces are cleaned as conditions warrant, to ensure good hygiene, comfort and minimize risk of injuries. ▪ Animal transport vehicles, conveyances are bedded to provide for animal comfort and assist absorption of urine and feces to minimize slipping. 		

7.3.2. 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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Bedding management plan identifies: type, use, frequency of cleaning, topping off and replacement. ▪ Plan includes: sourcing, receipt, storage, applying and grooming. ▪ Considers stocking densities ▪ Includes bedding used in animal transport vehicles, conveyances. 		

7.3.3. Floors are designed to minimize slipping and falling 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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ If animal facilities include areas of slatted floor, the slat and gap widths are appropriate to the hoof size of the animals to prevent injuries. ▪ Includes floors inside transport vehicles 		



7.4. Stocking Density

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

	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 for all transport vehicles where animals are held.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Meets requirements based in legislation, certification and customer requirements. ▪ All animals are able to rest simultaneously, and each animal lie down, stand up and move freely. ▪ Animals are kept in groups of similar age and physical size. ▪ Stocking density is modified as needed based on animals, seasonal and environmental conditions, etc. ▪ 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. ▪ 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. ▪ 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. Transport operations and drivers are aware of impact of environmental and driving conditions on density. 		

7.4.2. If negative conditions (abnormal or aggressive behaviour, injury, etc.) are observed, corrective measures are implemented.

	Tier 1: Baseline	Tier 2: Assurance	Tier 3: Certification
	Evidence of implementation	Identified in animal welfare plan. Evidence of implementation.	Identified in animal welfare plan. Records of monitoring and corrective actions taken.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Animals are monitored for agonistic behaviors and appropriate measures taken to prevent this occurring ▪ Examples of negative conditions include: abnormal behaviour, bullying, ▪ When other measures have failed, animals that are expressing excessive agonistic activity or excessive mounting behaviour are removed from the group. ▪ Transport vehicles are equipped to provide separation of incompatible animals (different species, horned, aggressive animals that pose a danger to other animals), if applicable. 		



7.5. Thermal environment

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

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

7.6. Lighting

7.6.1. Facilities for animal handling, loading and unloading are well lit to allow adequate and safe inspection of the animals.

	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Lighting in loading, unloading facilities is sufficient to permit thorough inspection of animals and facilities (lighting in a range of 150-250 lux is required in handling facilities) and to encourage movement of animals. ▪ The lighting does not cause discomfort to the animals. 		

7.7. Air quality

7.7.1. 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.

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



		Evidence of implementation.	facilities management programs.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Transport vehicles. are well-ventilated to provide good air quality (dust, ammonia) ▪ Ventilation systems are designed and maintained to ensure good air quality, minimize drafts, condensation, and noise and support thermoregulation of animals. ▪ 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. ▪ Legislated thresholds may be defined in human occupational safety requirements. ▪ 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. ▪ Can be measured using quantitative (meters or test strips) or qualitative (sensory). ▪ Corrective actions include; bedding management, ventilation and humidity management, stocking density, etc. 		

7.8. Noise

7.8.1. Ventilation fans, or other transport vehicle 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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Exposure of animals to sudden or loud noises should be minimized where possible to prevent stress and fear reactions. ▪ equipment should cause the least possible amount of noise e.g. ventilation fans, alarms, deck and gate adjustment controls 		

7.9. Monitoring Facilities, Equipment

7.9.1. The organization conducts and records monitoring activities of facility condition, equipment function and sanitation.

	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ The organization has documented and implemented an animal transport and equipment monitoring protocol (may be included in sanitation and maintenance programs). 		



	<ul style="list-style-type: none">▪ Transport vehicle function (brakes, tire pressure, engine operation, etc.) and conditions are inspected prior to each load of animals; records are kept. The organization must document corrective actions completed as a result of the inspections.▪ 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.▪ The organization has documented and implemented a program to assess the condition of trailers/transport vehicles carrying animals upon arrival; records are kept.▪ Records indicate findings, corrective measures taken▪ Daily operational inspections of facilities and equipment; effective sanitation; functioning water sources, no damage that may cause injury or allow escape; thermal comfort equipment functioning; lighting appropriate for function; equipment settings and calibration as applicable, etc.▪ Monthly audits of facilities and equipment sanitation and maintenance programs; ensure required preventive maintenance and calibration tasks are completed; ensure routine sanitation requirements are completed according to written programs.
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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 being 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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Appropriate to age, size ▪ As appropriate to journey length and species transported, the transport operation has or has access to the necessary facilities, equipment in sufficient numbers in place for provision of feed and water to all age classes and categories of animals being transported. 		

8.1.2. 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 transported animals.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Water is prevented from freezing in cold weather; may be watering systems design; methods vary depending on type of water system provided. 		

8.1.3. 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 transported animals.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Feeding systems are designed to minimize agonistic (bullying, competition during feeding, preferential feeding order, etc.) behaviour ▪ in sufficient numbers and space per animal 		

8.1.4. Feeding and water equipment are clean and properly maintained.

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



		Evidence of implementation.	description, sanitation, maintenance and facilities management programs.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Feeding and watering areas and equipment are sited and elevated so that contamination from fecal material is prevented ▪ Water does not pool on transport vehicle floors. ▪ Uneaten feed removed 		

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 feed and water protocol	Written feed and water protocol.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Addresses water requirements for all age classes and categories ▪ Animals held more than 24 hours must be fed. ▪ Local regulatory requirements must be met. May be defined in certification or customer requirements. ▪ Extended fasting periods have an impact on welfare including increased inter-animal aggression. 		

8.2.2. All age classes of animals are provided with an adequate supply and access to palatable water to satisfy thirst 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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Water sources are identified in facilities description ▪ Livestock watering methods consider: <ul style="list-style-type: none"> ▪ type and location of available water sources ▪ locations and conditions ▪ number of livestock ▪ The water supply is tested periodically for toxic chemicals and pathogens ▪ Animals segregated are provided access to water. ▪ 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. ▪ The loading, transport and unloading duration is coordinated to ensure that animals are not left without access to water beyond thresholds (legislated, certification and customer requirements). 		

8.2.3. 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
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	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Feed, roughage is purchased from approved sources ▪ Purchase records for feed and feed ingredients shall be maintained up-to-date and available for a period according to legislated requirements. ▪ Feed ingredients and feed for other species shall not be mixed with animals feed ingredients and feed. ▪ Feed formulated for a different species or production stage shall not be fed to or be accessible by other livestock. 		



9. Animal Handling, Husbandry and Management

9.1. Animal Handling

9.1.1. The organization has documented and implemented procedures for the handling, movement, 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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ The organization has documented and implemented requirements for handling practices during loading, unloading and during transport; monitoring condition of animals. ▪ The procedures defined thresholds for timely loading and unloading of animals. May be defined in legislation, certification and customer specifications. ▪ Animals should be unloaded within 60 minutes when the Livestock Weather Safety Index enters the Danger Zone. At other times, they should be ideally be unloaded within two (2) hours. ▪ Animals will be allowed a period of rest after transport as required by legislation, certification or customer requirements. ▪ Exposure of animals to sudden movement or changes in visual contrasts is minimized where possible to prevent stress and fear reactions. ▪ Trailer/transport vehicle is properly aligned with loading/unloading facilities and ramps to prevent injuries to animals during loading and unloading. The transport driver assesses positioning before commencing loading or unloading of animals. ▪ Handling and movement of animals is done without causing anxiety or rushing animals. ▪ The animal handlers understand the risks of increased agonistic interactions between animals, particularly after mixing groups and observe for evidence of agonistic behaviour. ▪ Tusked animals are not mixed with non-tusked animals. ▪ Transport driver must load trailer and compartments in a manner that ensures incompatible animals are appropriately separated, the entire load is balanced and does not exceed transport vehicle weight maximums. ▪ 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. The planned duration of transport should not exceed 12 hours duration; actual transport time must not exceed legislated requirements. Journey plans are prepared which include a loading plan, journey duration, itinerary and location of resting places. ▪ Transport drivers understand appropriate driving techniques to ensure animal comfort, balance and stability while in transit. ▪ Animals that are non-ambulatory shall not be dragged while conscious. Non-ambulatory animals on a truck that will not recover must be 		



	<p>humanely euthanized and confirmed dead on the vehicle prior to unloading. Legislation may dictate specific directives for managing non-ambulatory animals on arriving transport vehicles.</p> <ul style="list-style-type: none"> ▪ The program includes requirements for the handling of compromised animals including newborn, lactating, pregnant animals and animals that gave birth while in transit to the facility. ▪ Animals which have given birth during transport should be provided with conditions which are appropriate for suckling for their welfare and the welfare of the newborn. ▪ Newborn animals and young stock are handled and moved in a manner which minimizes distress and avoids pain and injury. Animals are moved by lifting, walking or using clean, properly designed mechanical transport devices.
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9.1.2. The procedures shall identify the allowed handling aids used to move animals and appropriate methods for use (M).

	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ The program defines the handling tools that can and cannot be used by animal handlers. ▪ 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. ▪ Electric prods are not used on newborn animals or compromised and/or non-ambulatory animals or on animals that have little or no room to move. ▪ If applicable, electric goads and prods are limited to battery-powered goads with power output appropriate to animals being moved. ▪ Electro-immobilization is prohibited. ▪ Acceptable handling aids may include but are not limited to panels, flags, plastic paddles, vibrating prods, flappers, moving boards, plastic bags, and metallic rattles. ▪ If whips are used, they cannot contact the animal and may be used only to create noise. ▪ Unacceptable handling aids such as large sticks, sticks with sharp ends, metal piping, fencing wire, or heavy leather belts are prohibited. <p>If use of handling aids (e.g. electric prods) that may cause pain and distress is allowed, the protocol includes the following:</p> <ul style="list-style-type: none"> ▪ The protocol indicates limit of acceptable use of prod for unloading, handling and movement through the facility and corrective action to take when limits are exceeded. ▪ Prods are used only as necessary and at the lowest effective voltage (50 volts maximum) and amperage to assist with movement of the animals. ▪ Animals must have a clear pathway to move away from the handler when using an electric prod. 		



	<ul style="list-style-type: none"> ▪ Prods are not used on sensitive areas, such as the face, anus, genital region, udder, or belly. ▪ Prods are available when necessary to trained facility employees responsible for moving animals but are not carried continuously in their hands.
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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
Implementation Guidance	<p>Willful acts of abuse include but are not limited to:</p> <ul style="list-style-type: none"> ▪ 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; ▪ Deliberate slamming of gates on livestock unless for human safety ▪ Malicious driving of livestock on top of one another and/or over non-ambulatory animals either manually or with direct contact with motorized equipment ▪ Malicious hitting/beating/kicking of an animal which includes forcefully striking an animal with a closed fist, foot ▪ Throwing of live animals ▪ Loading animals deemed as unfit for transport ▪ Unloading animals directly off a transport vehicle without use of ramp (where the height difference can cause stress and injury to offloaded animals) ▪ Use of unacceptable implements (rakes, brooms, metal bars, fencing wire, leather belts) or prohibited handling tools (paralyzing conscious animals with electricity) ▪ Use of painful procedures (including whipping, tail twisting, pressure on eyes, ears or external genitalia) ▪ Directing an animal (e.g. dog) to be aggressive and cause harm to animals ▪ Conducting euthanasia by means other than approved method <p>Willful acts include use of acceptable handling tools aggressively (i.e. to strike or cause injury to animals, create fear):</p> <ul style="list-style-type: none"> ▪ Malicious hitting/beating 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 		



	<p>Willful acts include use of acceptable handling tools in a way that deviates from the manufacturer’s intentions:</p> <ul style="list-style-type: none"> ▪ 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 newborn animals <p>Egregious is defined as flagrant but may not be characterized as malicious (characterized by malice; intending or intended to do harm)</p> <p>Egregious acts of neglect or abuse include but are not limited to:</p> <ul style="list-style-type: none"> ▪ 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 ▪ not carrying out timely euthanasia of critically ill/distressed animals ▪ not confirming death of a euthanized animal before moving carcass to dead stock pile
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9.3. Monitoring

9.3.1. The animal handling procedures shall identify the indicators, measures and significant thresholds; corrective actions when thresholds are exceeded and the required records.

	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.
Implementation Guidance	<ul style="list-style-type: none"> ▪ Includes assessment of all activities, proper use of equipment. ▪ Defined thresholds for critical control points and points of particular attention ▪ Based on hazard analysis 		

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

	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.



Implementation Guidance	<ul style="list-style-type: none"> ▪ As applicable, a higher frequency is required for higher risk activities, vulnerable animals ▪ Considers type of operation ▪ Frequency is reviewed based on identified hazards, data to ensure frequency is adequate.
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ASSESSMENT CRITERIA:

A transport score will be assessed:

- Correct positioning of trailer/transport vehicles confirmed before commencing unloading of animals
- Vocalization of animals provoked by handling by transport driver
- Animals that balk, fall, stumble, slip, bolt in the transport vehicle, during movement into, inside and out of the transport vehicle
- Use of handling aids and electric prod use by transport driver

ASSESSMENT CRITERIA:

A transport loading and unloading score will be assessed:

- Journey documentation is maintained and available
- Appropriate stocking density and animal comfort in all compartments of transport vehicle
- Appropriate Identification and segregation of compromised animals



References

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