



# FACTA

Animal Welfare Assurance, Certification & Training

## FACTA– Animal Welfare Duck Audit Tool and Standards

**Any major nonconformance will result in immediate failure of the audit. If a willful act of abuse or neglect is witnessed by the auditor, this will also result in an immediate failure of the audit. If this occurs and it is safe to do so the auditor should immediately report this incident to the site representative. The Audit will nevertheless be completed in its entirety, but a re-audit must occur on any major nonconformance within 30 days. Anything less than the total score of 80.0% is a failure of the FACTA audit. Points are not awarded on a sliding scale unless otherwise specified. Each section of the audit does not stand alone; and the entire audit is scored as one sample.**

### **Hatchery Welfare Audit Section #1**

| Q#    | Audit Tool  | Verification/Guideline Process   | Numerical Value |
|-------|---|--|-----------------|
| 1.1.0 | Is someone responsible for animal welfare in the hatchery?  | Verify the employee and credentials.<br>Document the name and title of the employee.   | 5               |
| 1.2.0 | Signature of the site manager that ensures corrective action is taken when a duckling's well-being is jeopardized by injury.  | Obtain the animal welfare statement signature from the employee. This should be obtained as a statement from the company.  | 5               |
| 1.3.0 | Are employees trained in duckling welfare?<br><br>1.3.1: Are on-site workers going through an orientation program, i.e., are employees trained in duckling welfare before handling live animals?<br><br>1.3.2: Does the hatchery have a documented duckling welfare training program conducted annually for all employees involved in the handling of live animals (multilingual, if necessary; verbal translation of materials at time of training is acceptable)? | Select five employees to verify training records. Each question is worth 5 points. All points for each specific question will be deducted if one employee training is missing.<br><br>Auditor should assess that the training is up-to-date and that training covers duckling welfare. | 10              |

| Q#    | Audit Tool  | Verification/Guideline Process  | Numerical Value |
|-------|---|---|-----------------|
| 1.4.0 | <p>Does the hatchery have a posted emergency plan?</p> <p>1.4.1: Are emergency contacts and emergency plans posted on site for emergencies, i.e. fire, weather and power outages?</p> <p>1.4.2: Does the site have procedures and/or equipment to prevent the death of animals in the event of extreme weather or a mechanical ventilation failure?</p> | <p>1.4.1 Review, document and verify company records and posted documents on site. Auditor should not make an assessment on the emergency plan, but just verify that one is in place.</p> <p>1.4.2 The auditor can confirm procedures/equipment through interview with caretaker or direct observation of equipment.</p> <p>(5 points for each question).</p> | 10              |
| 1.5.0 | <p>Does the hatchery have an alarm system or regular monitoring program in use to alert hatchery personnel to failure of critical systems including, but not limited to, adverse temperature shifts or loss of electricity of setters and hatchers.</p>   | <p>Review and document the system/program in place. Document the hatchery protocol for calibrations, maintenance and verification that the system is working properly. This would include thermostats part of an automated or non-automated system.</p>   | 15              |
| 1.6.0 | <p>Is there a functional generator on site?</p>   | <p>Yes/No.</p>  | 10              |
| 1.6.1 | <p>Is there a generator check in place and available for review? How often are generators tested?</p>   | <p>Generators must be tested at a minimum of once a month and must be documented. Check generator maintenance log for completion of routine checks.</p>   | 5               |
| 1.7.0 | <p>The company has a temperature range goal for the holding room in the hatchery.</p> <p>(The holding room is designated as the location ducklings are housed after processing until shipment.)</p>   | <p>View company policy and document temperature range in the notes section.</p>   | 10              |
| 1.7.1 | <p>Is the temperature at the time of the audit within the documented temperature range goal stated in 1.7.0?</p>  | <p>Document temperature of holding room at the time of audit.</p>   | 5               |

| Q#     | Audit Tool  | Verification/Guideline Process   | Numerical Value |
|--------|---|--|-----------------|
| 1.7.2  | Are the temperatures in the holding room being recorded twice daily?  | Temperatures must be checked and documented twice daily, at a minimum. Verify the temperature log is up-to-date. Records may be recorded and stored in a digital format but they must be accessible for review during the audit.   | 5               |
| 1.7.3* | Are thermostats, data loggers and/or thermometers in the holding room calibrated periodically and is there evidence that corrective action is taken when temperatures fall out of the specified range of the company? | <p>Et al. needs to be calibrated per the manufacturer's recommendations. Verify against company policies that calibration logs (documented records) are up-to-date.</p> <p>Written evidence of actions taken when temperatures go out of specified range must be verified.</p>   | 5               |
| 1.8.0  | Observe ducklings for 120 seconds during the separation process. Are any ducklings injured during the takeoff procedure whether manual or mechanical separation?  | Observe and report any nonconformance.   | 10              |
| 1.9.0  | Does the hatchery have employees who are responsible for recording and reporting duckling injuries to management?   | <p>Document the name and title of employees responsible for these tasks.</p> <p>Verify documentation of recording and reporting duckling injuries.</p> <p>Preventable injuries include:</p> <ul style="list-style-type: none"> <li>• Improper clipped toes</li> <li>• Broken legs</li> <li>• Broken wings</li> </ul> <p>Note: Pictures of these are included in supplemental information for auditors to view for reference and training purposes,</p> | 15              |
| 1.9.1  | <p>Are corrective actions taken when (1.9.0) preventable injuries are reported to management?</p> <p>Injuries include all types of injuries, but do not include cull birds.</p>                                       | <p>Verify documentation of the corrective actions that take place when a preventable injury occurs or documentation that the process is in place.</p> <p>Example would be documentation of the injury, cause of injury, and action taken.</p>  | 5               |

| Q#     | Audit Tool   | Verification/Guideline Process   | Numerical Value |
|--------|--|--|-----------------|
| 1.10.0 | <p>Prior to shipping, visually observe 10 boxes of ducklings (total of approximately 1,000 ducklings).</p> <p>Are there more than .1% of ducklings with evidence of obvious severe equipment injuries?</p>       | <p>There should be no more than one duckling within 1,000 bird sample with obvious severe equipment injuries. Severe equipment injuries include torn legs, broken legs and/or wings.</p> <p>Document in the notes section how many birds you observe with these injuries and the total % out of all birds observed.</p> <p>A corrective action should be in place when ducklings are observed with over .1% equipment injuries because these welfare issues are preventable.</p>   | 25              |
| 1.10.1 | <p>Are there more than .1% of cull ducklings in the shipping boxes?</p>  | <p>Use the same 1,000 bird sample as 1.10.0<br/> Full points awarded for .1 or less<br/> 10 points deducted for .2 to .4% cull birds</p> <p>No points awarded for .5% or more cull birds. A corrective action must also be put into place if there are .5% or more (5 out of 1000) culls at time of box checks.</p>  | 25              |
| 1.11.0 | <p>Is the macerator working properly?</p> <p>If the hatchery is not using a macerator then the auditor must observe the euthanasia practices to ensure that they are effective and meet the AVMA guidelines.</p> | <p>Observe the macerator blades after use. The auditor must confirm that after use no live birds are present inside the macerator blade area. Document visual observations on the effectiveness of the macerator. If the auditor is unable to see the macerator in use during the audit, he must document this event. (1.11.1). If the macerator is working properly, 100% of all ducklings placed inside should be euthanized immediately. FACTA audit requires visual verification of this. It is up to the company to decide how they want to provide the verification.</p> <p>Verbally verify how often the macerator is inspected and by whom? Document this conversation. (No sliding scale; scoring either all points are awarded if all content is being followed). Verify maintenance records on the macerator, and that they are up-to-date.</p> <p>According to the American Veterinary Medical Association (“AVMA”) Euthanasia Guidelines, “Maceration requires special equipment that must be kept in excellent</p> | 50              |

| Q# | Audit Tool | Verification/Guideline Process  | Numerical Value |
|----|------------|---|-----------------|
|    |            | <p>working order. Ducklings must be delivered to the macerator in a way and at a rate that prevents a backlog of ducklings at the point of entry into the macerator and without causing injury, suffocation, or avoidable distress to the ducklings before maceration” and must cause... “Immediate fragmentation and death of duckducksduck.”</p> <p><i>(AVMA Guidelines for the Euthanasia of Animals: 2013 Editions, pg. 43)</i></p> |                 |

| Q#     | Audit Tool   | Verification/Guideline Process   | Numerical Value       |
|--------|--|--|-----------------------|
| 1.11.1 | Are cull, non-viable and injured ducklings euthanized in a timely manner?  | Ducklings should be euthanized once every flock change or euthanasia should be performed at a minimum of once every hour. This can either be verified by company policy, hatchery documentation or visual observations of the auditor.   | 5                     |
| 1.12.0 | Are duckling processing systems designed, maintained and operated in a manner that prevents injuries to the ducklings?                               | Both manual and automated duckling processing systems should be designed, maintained and operated in a manner that prevents injuries to the ducklings. The speed of the belt, belt material, slides and chutes all play a role in preventing injury to ducklings. In the hatchery, ducklings must not be dropped from heights more than 12 inches. Written injury reports must be reviewed by the hatchery manager. If injuries occur during processing, corrective action must be taken. There should be no high speed impacts on hard surfaces or projections. | 10                    |
| 1.13.0 | Are there any live ducklings observed in the hatchery waste collection area?   | <p>Visually observe the hatchery waste collection area. A live duckling in the hatchery waste collection is a major nonconformance. Report any nonconformance. If the system is enclosed you will not be able to see the waste areas, you must then listen for any live birds in the area.</p> <p>The hatchery waste area is a designated area where waste is collected for disposal.</p> <p>Survival of any ducklings after euthanasia is a major nonconformance.</p>   | Major nonconformance. |
| 1.14.0 | Does the hatchery have a program in place to retrieve loose ducklings from the floor at a minimum of once every flock change with documented checks. | <p>Verify the program is in place with the duckling room supervisor and that documentation is up-to-date. This program must be documented on a daily basis to receive full points.</p> <p>It is recommended that this check occur at a minimum of every two hours if the flock change does not occur at a higher frequency.</p>  | 10                    |
| 1.15.0 | Observe euthanasia method to   | Interview at least one hatchery employee and   | 10                    |

| Q#     | Audit Tool   | Verification/Guideline Process  | Numerical Value |
|--------|--|---|-----------------|
|        | verify it is in compliance with hatchery protocol.   | <p>observe the euthanasia method. The method observed and described by employee must follow hatchery protocols to receive full points.</p> <p>If it not possible to view euthanasia this must be documented, and discussed with FACTA <u>prior</u> to the audit date.</p> <p>It is always preferred that the euthanasia process is viewed. An example of an acceptable instance where euthanasia might not be viewed is a hatchery that transports ducklings to another hatchery for separation and processing.</p> |                 |
| 1.16.0 | <p>Is there documentation of a vaccination program with proper disinfection and calibration procedures?</p> <p>If the hatchery does not perform vaccination on-site, then the points are marked as N/A and taken out of the total.</p> | <p>Observe this documentation.</p> <p>Equipment must be disinfected after daily use. (No sliding scale, all points are awarded if criteria are followed).</p> <p>Calibration of machinery must be conducted at the minimum recommended intervals by the manufacturer.</p>   | 5               |
| 1.17.0 | Are hatcher baskets/trays in good condition to prevent injuries to the ducklings? (50 trays).  | <p>Broken or cracked trays that may cause any type of injury to a bird must be documented.</p> <p>Verify hatcher baskets/trays are in good condition to prevent injuries to the ducklings. (50 trays).</p> <p>Trays in proper condition:<br/> 48/50 trays = 20 points<br/> 46-50 trays = 10 points<br/> 45/50 (90% or less) = 0 points</p>  | 20              |
| 1.18.0 | Does the hatchery require cleaning, washing and sanitizing specialized equipment for egg handling, incubation and hatching to protect the newly hatched duckling from infectious agents or trauma from equipment after each use.       | Verify these protocols.   | 10              |

| Q#      | Audit Tool   | Verification/Guideline Process   | Numerical Value |
|---------|--|--|-----------------|
| 1.19.0  | Is the stocking density of ducklings placed in boxes equal to or greater than 4.11in <sup>2</sup> per duckling? This is completed along with question 1.10.1   | <p>Document box dimensions and list the range of ducklings per box. Space allowance must be <math>\geq 4.11\text{in}^2</math> per duckling to receive full points.</p> <p>Based on a typical sized box of 24in wide and 18in long the stocking density would have to be 105 birds or less to receive all points. Otherwise the auditor would calculate the space per duckling the area of the box in inches and dividing it by the number of ducklings placed.</p> | 5               |
| 1.20.0  | Do the duckling boxes have holes for proper breathing of ducklings?  | Yes/No. (No sliding scale, all points are awarded if criteria are followed).   | 5               |
| 1.21.0* | Are boxes cleaned and sanitized to prevent contamination after each delivery?  | Yes/No.  | 10              |
| 1.22.0  | Does the hatchery have a licensed veterinarian available for consultation as needed?   | <p>Verify veterinarian-client relationship by one of the following ways:</p> <ul style="list-style-type: none"> <li>• Direct contact with veterinarian.</li> <li>• Documented letter signed by the veterinarian pertaining to veterinarian-client relationship.</li> <li>• Viewing vaccination/medication prescriptions.</li> <li>• Veterinarian-client contract.</li> </ul>   | 20              |
| 1.23.0  | Is there a temperature and ventilation monitoring program for duckling transport?  | <p>Verify that truck conditions are being monitored and the company's duckling transport procedures are being followed. Document the plan in place to address for extreme heat/cold weather.</p>   | 5               |
| 1.24.0  | <p>Does the duckling transport department have a posted emergency plan?</p> <p>1.24.1: Are emergency contacts and emergency plans posted on site/trucks for emergencies such as fire, weather and power outages?</p> | Review, document and verify company records. (No sliding scale, all points are awarded if criteria are followed).  | 10              |



| Q#     | Audit Tool  | Verification/Guideline Process  | Numerical Value |
|--------|---|---|-----------------|
| 1.25.0 | Driver/transport records are kept for each delivery that include: <ul style="list-style-type: none"> <li>• Loading start and stop times/date.</li> <li>• Unloading start and stop times/date.</li> <li>• Departure and arrival times.</li> <li>• House conditions at placement.</li> <li>• Log emergency stops/delays.</li> </ul> | Records must be reviewed by auditor for compliance.<br><br>2 points for each bullet point.  | 10              |
| 1.26.0 | Do company dead on arrivals (“DOA”) exceed .1% from hatchery to the grower farm in the previous 30 (working) days of hatchery production?   | View past records to indicate. If .1% is exceeded in records, a written corrective action must be recorded and verified by the auditor.<br><br>This is measured as a 30-day period. | 5               |
|        | Hatchery Welfare Audit Section #1   |   | 355             |

## Housing Requirements and Farm GMP Audit Section #2

| Q#    | Audit Tool  | Verification/Guideline Process   | Numerical Value |
|-------|---|--|-----------------|
| 2.1.0 | Is someone responsible for animal welfare in the live operations department?  | Verify the employee and credentials.<br>Document the name and title of the employee.   | 5               |
| 2.2.0 | Signature of the farm worker or grower that ensures corrective action is taken when a duck's well-being is jeopardized by injury.   | Obtain the animal welfare statement signature from the employee.   | 5               |
| 2.3.0 | <p>Are contractors/employees trained in duck welfare?</p> <p>2.3.1: Are on-site workers going through an orientation program, i.e., are employees trained in duck welfare before handling live animals?</p> <p>2.3.2: Do on-farm employees have a documented duck welfare training program conducted annually for all employees involved in handling of live animals (multilingual, if necessary; verbal translation of materials at time of training is acceptable)?</p> | Select five contractors/employees to verify training records. (No sliding scale, all points are awarded if criteria are followed). | 10              |
| 2.4.0 | <p>Does the live operations department have a posted emergency plan on each farm?</p> <p>2.4.1: Are emergency contacts and emergency plans posted on farms for emergencies, i.e. fire, weather and power outages?</p> <p>2.4.2: Does the operations department have procedures and/or equipment to prevent death of animals in the event of extreme weather or a mechanical ventilation failure on all farms?</p>   | Review, document and verify company records. (No sliding scale, all points are awarded if criteria are followed).                  | 10              |

| Q#     | Audit Tool  | Verification/Guideline Process  | Numerical Value |
|--------|---|---|-----------------|
| 2.5.0  | <p>Does the farm/company have a documented brooding program in place?</p> <p>2.5.1: Is the brooding program being followed?</p>             | Verify temperatures on site and document that on-farm conditions are following company guidelines.  | 10              |
| 2.6.0  | Does the company have a lighting program and is the program being followed?   | Verify that there is a lighting program in place or posted on the farm. Verify with light settings in barn that the designed program is being followed.   | 10              |
| 2.7.0  | Are feeders and drinkers regularly being checked for litter and free of debris? Also, are feeders and drinkers in proper working condition? | Observe visually. This is routinely done on the daily walk/checks of the on-farm employees. Verbally confirm with the farm worker/company personnel that he/she is checking these issues.                     | 5               |
| 2.8.0  | Are mortality and culls being checked and documented at a minimum of once daily?  | Verify this is being done on site. Review the on farm paperwork and mortality-cull charts to ensure this is being documented on-site.   | 10              |
| 2.9.0  | Is downtime between flocks exceeding 10 days?   | Downtime between flocks must exceed 10 days. No scale.  | 5               |
| 2.10.0 | Are company stocking density policies being followed according to bird size and bedding material?   | Calculate density based on number of birds placed, target market weight, and square footage of the facility. The initial placement number should be adjusted by utilizing the average mortality of the flock. | 20              |

| Q#     | Audit Tool  | Verification/Guideline Process  | Numerical Value |
|--------|---|---|-----------------|
| 2.11.0 | Are the drinkers and feeders accessible to all birds without restriction?   | Ducks must be able to access feed and water at all times on the farm until feed withdrawal period, prior to shipment to the processing plant.   | 5               |
| 2.12.0 | Does the company have a maximum and minimum temperature policy based on the age of the birds in each house or primary rest area for range ducks?<br><br>2.15.1: Is the policy being followed? | If a policy is in place regarding maximum and minimum temperature ranges, then verify that it is being followed, by confirming with set points on controllers, high/low temperature readings, or temperature at time of audit. Verify through interview and confirm visually that there is a corrective action in place if the temperature is not in compliance.  | 10              |
| 2.13.0 | Are structural integrity and environmental controls set up to protect birds from extreme cold weather and heat during the growing cycle?  | Observe the circumference of the housing conditions and environmental controls. Be sure to document if any holes, structural failure or broken fans, etc. are observed during the audit.  | 10              |
| 2.14.0 | Is the ammonia level in the house below 25ppm?  | Document ammonia level from a digital ammonia reading device provided by FACTA. Ammonia strips cannot be used in this standard. If an ammonia device cannot be brought on-site by FACTA then the company must provide the equipment.<br><br>Ammonia sample is to be taken at the end of the house where the air is flowing out of the barn near the fans outlets. | 25              |
| 2.15.0 | Is light intensity a minimum of 0.5 FC during production?   | Document light levels at the time of the audit with the FACTA digital light intensity reader.<br><br>Verify in company lighting program that lighting is never below 0.5 FC.<br><br>Written documentation of a consultation with the veterinarian is required if the period(s) of light is below 0.5 foot candle at bird height.                                  | 5               |

| Q#     | Audit Tool  | Verification/Guideline Process  | Numerical Value |
|--------|---|---|-----------------|
| 2.16.0 | <p>Records must be available which document the number of ducks culled due to lameness.</p> <p>The auditor must observe and note the number of ducks displaying difficulty walking (birds that walk with a limp or awkward movements but can walk at least 5 feet).</p> <p>Record the number of ducks that have been culled due to lameness</p> | <p>There are currently no established baselines for gait observations and scoring for ducks.</p> <p>Ducks may need to be gently encouraged to walk. If the ducks become stressed, especially in hot weather, discontinue scoring immediately.</p>   | 20              |
| 2.17.0 | <p>Is enrichment provided to the birds to maintain in flocks.</p>   | <p>Types of enrichments include:</p> <ol style="list-style-type: none"> <li>1. Occupational enrichment, which encompasses both sociological enrichment (e.g., devices that provide ducks with control or challenges) and enrichment that encourages exercise.</li> <li>2. Physical enrichment, which can involve altering the size or complexity of the animal's enclosure or adding accessories to the enclosure such as objects, substrate or permanent structures (e.g., nest boxes).</li> </ol> | 5               |

| Q#     | Audit Tool   | Verification/Guideline Process  | Numerical Value |
|--------|--|---|-----------------|
| 2.18.0 | Is the facility in a good state of repair and not posing a threat of injury to birds?  | <p>All parts of the facility must be in good condition and not posing a threat of injury to birds. No sliding scale.</p> <p>Examples of items that could potentially cause injury to animals might include: sharp edges or broken feeders, waterers, etc.</p>   | 15              |
| 2.19.0 | Do you observe the same injury on multiple birds throughout the flock?   | <p>Document the injuries; interview the caretaker in order to gather the following information;</p> <ol style="list-style-type: none"> <li>1. Was the caretaker aware of these injuries?</li> <li>2. What do they think is the cause of the injuries?</li> <li>3. What steps have been taken to address the issue?</li> </ol> <p>Full points are awarded for; no issues observed, if the injuries have been identified by the caretaker and are being addressed. Auditor should document conversation and detail what steps the caretaker has taken to address the injuries. The caretaker can verbally describe the action plan in place; it does not need to be documented.</p> | 15              |
| 2.20.0 | Is there a backup power system or emergency ventilation plan in place and written documentation provided with up-to-date verification of weekly testing?   | Verify the plan is being followed and review dates.   | 10              |
| 2.21.0 | Are house structural integrity, biosecurity, and rodent control in place to exclude duck from predators of all kinds?                                      | <p>Describe rodent control plan and verify that the program is being followed. Observe the house structure to insure that there are not areas points for rodents to gain access.</p> <p>Can be verified by observing a baiting checklist, contract with bait crew, direct observation of poison (typically in bait stations).</p>   | 15              |
|        | If mortality level within a house is in excess of .5% in 24 hours, a veterinarian must be notified and records must show that corrective action was taken. | Very documents  | 10              |

| Q#     | Audit Tool  | Verification/Guideline Process   | Numerical Value |
|--------|---|--|-----------------|
| 2.22.0 | If mortality and culling exceeds 5% per flock, are there preventative measures being performed to reduce the high percentage? | Document the corrective actions being taken.<br><br>Mortality and culls should be separated out on the farm mortality chart. | 5               |

| Q#     | Audit Tool   | Verification/Guideline Process  | Numerical Value |
|--------|--|---|-----------------|
| 2.23.0 | Are the methods of euthanasia used on site approved by AVMA and administered by only trained/authorized individuals?                     | Document the names of individuals trained/certified at the individual site being audited. (No sliding scale, all points are awarded if criteria are followed).  | 20              |
| 2.24.0 | Is the flock assessed at minimum of once daily by trained on-farm employees to identify any birds that need to be culled?                | <p>Verify through interview of company policies how often barns must be assessed for culling. The determination of whether or not to cull can be easily made by answering the questions listed:</p> <ol style="list-style-type: none"> <li>a. Is the bird experiencing pain or distress? If yes, cull</li> <li>b. Is the bird able to access the feed and water? If no, cull</li> <li>c. Can or should the bird be treated? If no, cull</li> <li>d. Is recovery likely? If no, cull</li> <li>e. Is the bird likely to transmit disease to other birds? If yes, cull</li> <li>f. Is the bird suitable for human consumption or will it be suitable for consumption after recovery or treatment? If no, cull</li> </ol> | 40              |
| 2.27.0 | Is there a communication plan in place from the processing facility to farms in which hock burns, paws and breast blisters are recorded? | Can verify through verbal interview of plant and on-farm personnel. It is recommended that the structured plan includes some form of documentation and set interval.  | 5               |
| 2.28.0 | Are feed formulations approved by an animal nutritionist?  | <p>Document the nutritionist's name. This can also be verified by:</p> <ul style="list-style-type: none"> <li>- Direct contact with nutritionist.</li> <li>- Contract between nutritionist and company.</li> <li>- Feed formulation order form with nutritionist name present.</li> </ul>   | 10              |
| 2.29.0 | Is feed and water consumption monitored daily?   | Verify that feed and water consumption is being monitored on the farm.  | 5               |
| 2.30.0 | Is feed withdrawn from the ducks 3-4 hours prior to catch?   | <p>USDA guidelines require that ducks do not have access to food or water 3-4 hours before loading to prevent fecal contamination at the processing plant.</p> <p>Ducks should not be deprived of feed for more than 12 hours.</p>  | 5               |



| Q# | Audit Tool   | Verification/Guideline Process | Numerical Value |
|----|--|--------------------------------|-----------------|
|    | Housing Requirements and Farm GMP Audit Section #2 |                                | 325             |

**Catching and Transportation Welfare Audit Section #3**

| Q#    | Audit Tool   | Verification/Guideline Process   | Numerical Value |
|-------|--|--|-----------------|
| 3.1.0 | Is someone responsible for animal welfare in the live haul department?   | Verify the employee and credentials.<br>Document the name and title of the employee.                                   | 5               |
| 3.2.0 | Signature of the site manager ensures that corrective action is taken when a duck's well-being is jeopardized by injury.   | Obtain the animal welfare statement signature from the employee.   | 5               |
| 3.3.0 | <p>Are employees trained in duck welfare?</p> <p>3.3.1: Are on-site workers going through an orientation program, i.e., are employees trained in duck welfare before handling live animals?</p> <p>3.3.2: Does the live haul department have a documented duck welfare training program conducted annually for all employees involved in handling of live animals (multilingual, if necessary; verbal translation of materials at time of training is acceptable)?</p> | Select five employees to verify training records. (No sliding scale, all points are awarded if criteria are followed). | 10              |
| 3.4.0 | <p>Does the live haul department have a posted functional emergency plan?</p> <p>3.4.1: Are emergency contacts and emergency plans available in trucks during transport for emergencies, i.e. fire, weather and power outages?</p> <p>3.4.2: Does the live haul department have procedures and/or equipment to prevent death of animals in the event of extreme weather or a mechanical failure?</p>   | Review, document and verify company records. (No sliding scale, all points are awarded if criteria are followed).      | 10              |

| Q#    | Audit Tool  | Verification/Guideline Process  | Numerical Value      |
|-------|---|---|----------------------|
|       | <p>Ducks should be caught by the lower neck.</p> <p>Ducks may be carried by the lower neck for short distances.</p> <p>When carrying ducks for extended distances the weight of the bird must be supported by the caretaker. Ducks must never be carried or caught by their legs or wings or carried with their heads hanging downward.</p> | <p>Visually verify this at the loading. The auditor should observe loading until they feel they can make an accurate evaluation of the handling procedures. At minimum the auditor should watch the loading of 10 modules.</p>  |                      |
| 3.5.0 | <p>How many birds per hand and total birds do catchers carry at once?</p> <p>3.5.1: If the company is using mechanical loaders, do they do so in a manner to prevent harm or injury to the ducks?</p>   | <p>Visually verify this at the loading. The auditor should observe loading until they feel they can make an accurate evaluation of the handling procedures. At minimum the auditor should watch the loading of 10 modules.</p> <p>The number of birds in the catchers hand depends on the size of the bird and should not cause injury to the birds. For birds weighing more than nine pounds, , FACTA requires that each bird be carried individually.</p> <p>Mechanical loaders should be observed and in no way set up to cause injury or harm to a duck during the loading process.</p> | 10                   |
| 3.6.0 | <p>Are catchers placing ducks carefully into the transport coop?</p>  | <p>Ducks should be carried correctly to reduce struggling and birds should be placed in the coop without hitting the sides or edges of the coop. Birds must never be lifted or carried by the wing or neck and birds must never be thrown.</p> <p>The auditor should observe loading until they feel they can make an accurate evaluation of the handling procedures. At minimum the auditor should watch the loading of 10 modules.</p>  | Major nonconformance |
| 3.6.1 | <p>Are coops properly designed for the number and weight of birds being placed per coop? Are coops designed to prevent birds from escaping during transport and causing injury to themselves?</p>   | <p>Live haul coops must be large enough for the birds to sit down and move around without being pinned by other birds in the cage. Gates or doors on each coop must close completely to prevent the accidental escape of birds during transport.</p>  | Major nonconformance |

|        |  |   |    |
|--------|--|---|----|
|        |  |   |    |
| 3.7.0  | Does the company have a documented program to protect ducks from temperature extremes during holding, loading and transportation, and provide birds with adequate ventilation?   | Verify company documented program. Visually confirm and document what procedures are in place during the catching and transportation portion of the audit.<br><br>Examples; stocking density (number of birds/weight), fans and water, tarps/boards for wind cold barriers, etc.  | 5  |
| 3.8.0  | Out of 120 coops (compartment in a module), are at least 97% of them in proper condition?  | Document the number and % in proper condition.<br>“Proper condition” would be 97% the number of coops free of broken metal objects and bent metal. The integrity of the floors should be in good condition with no signs of sagging or holes.<br><br>Gates or doors on each coop must close completely to prevent the escape of birds during transport. The coops must be free of gaps four inches or more. | 10 |
| 3.9.0  | Is there a documented protocol in place to address coop damage and make necessary repairs?   | Describe the protocol. This would be a protocol to make fixtures to broken metal, rough flooring and nonworking doors to minimize injury opportunities during transport.  | 10 |
|        | Are ramps used to load or unload ducks from transport vehicles?  | If so, they must be constructed and maintained so as to allow for safe and easy loading and good traction of both ducks and employees.  |    |
| 3.11.0 | Transport records must be kept by flock and include: <ul style="list-style-type: none"> <li>• Load ID.</li> <li>• Loading start and complete time.</li> <li>• Delivery time.</li> <li>• Any emergency related issues.</li> </ul> | Verify this is being done. 5 points given for each bullet point satisfied.  | 20 |
|        | Catching and Transportation Welfare Audit Section #3   |   | 85 |

**Plant and Processing Welfare Audit Section #4**

| Q#    | Audit Tool  | Verification/Guideline Process  | Numerical Value |
|-------|---|---|-----------------|
| 4.1.0 | Is someone responsible for animal welfare in the plant?   | Verify the employee and credentials.<br>Document the name and title of the employee.  | 5               |
| 4.2.0 | Signature of the site manager ensures corrective action is taken when a duck's well-being is jeopardized by injury.   | Obtain the animal welfare statement signature from the employee.  | 5               |
| 4.3.0 | <p>Are employees trained in duck welfare?</p> <p>4.3.1: Are on-site workers going through an orientation program, i.e., are employees trained in duck welfare before handling live animals?</p> <p>4.3.2: Does the plant have a documented duck welfare training program conducted annually for all employees involved in the handling of live animals (multilingual, if necessary; verbal translation of materials at time of training is acceptable)?</p> | Select five employees to verify training records. (No sliding scale, all points are awarded if criteria are followed).                | 10              |
| 4.4.0 | <p>Does the plant have a posted emergency plan?</p> <p>4.4.1: Are emergency contacts and emergency plans posted on site for emergencies, i.e. fire, weather, and power outages?</p> <p>4.4.2: Does the site have procedures and/or equipment to prevent death of animals in the event of extreme weather or a mechanical ventilation failure?</p>   | Review, document and verify company records. (No sliding scale, all points are awarded if criteria are followed).                     | 10              |
| 4.5.0 | Does the company have a written program and equipment for keeping birds comfortable in holding sheds, pens, or housing?   | Yes/No. Program must be written.<br>If ducks are unloaded into houses or pens before slaughter they must be provided access to water. | 10              |

| Q#     | Audit Tool  | Verification/Guideline Process   | Numerical Value      |
|--------|---|--|----------------------|
| 4.6.0  | Are holding areas covered and equipped with an adequate number of fans to ensure proper ventilation for birds?  | Verify that company guidelines and temperature ranges are being followed for holding shed fans and misters.<br><br>Is there proper documentation of ongoing equipment maintenance for fans out of service? Review documents.   | 10                   |
| 4.7.0  | Are there procedures in place to retrieve loose birds in a timely manner?   | If so, what is the company procedure and is it being followed?<br><br>If no loose birds are seen during the audit, then confirm verbally with a plant employee that loose birds are retrieved in a timely manner. (Minimum of every two hours).  | 5                    |
| 4.8.0  | Are holding times kept to the minimum consistent with good processing practices?  | Check records for the previous week. An individual truck's holding time must not exceed 12 hours from time of loading to unloading..   | 5                    |
| 4.9.0  | Is DOA documented with anything over 0.5% average per week having a documented corrective action?   | Check records for the previous week.   | 15                   |
| 4.10.0 | Are there any live birds in the DOA bin?  | Visually verify. A live bird in the DOA bin is a major nonconformance.   | Major nonconformance |
| 4.11.0 | When unloading, are cages lifted and moved from trailers in a manner not to injure the birds?<br><br>4.11.1: Are birds being unloaded on top of other birds?<br><br>4.11.2: Are birds being handled by the wings or head? | Visually verify.<br><br>Birds should not be unloaded on top of other birds, this includes where cages are emptied and where birds transfer from one belt to another. Birds should never be handled by the wings or head.<br><br>Note: If cages are not being used and birds are being unloaded by hand, then the standard will be N/A and points taken out of the total possible. (No sliding scale, all points are awarded if criteria are followed). | 15                   |
| 4.12.0 | Do the hanging/unloading areas have lower light levels or are covered in order to keep birds calm?  | Observe lighting conditions during audit.<br><br>Altered light (Blue or Red) is acceptable in order to keep birds calm.  | 5                    |

| Q#     | Audit Tool   | Verification/Guideline Process   | Numerical Value |
|--------|--|--|-----------------|
| 4.13.0 | Are management practices in place to minimize worker fatigue (rotation or similar practices)?  | These practices should be verified by both interviewing employees and observing the practices in real time.  | 5               |
| 4.14.0 | <p>In electrical stunning, are the proper amperage, voltage and salt solution known and checked hourly for the equipment used? (Except for Kosher or Halal slaughter, which have separate guidelines).</p> <p>Is stunning with CO<sub>2</sub>, or other gas, proper outcome measurements known and checked each hour of operation?</p> | <p>The plant must have a written program detailing the amperage, voltage and amount of salt solution utilized for their system. Amperage, voltage and salt solution must be checked hourly for the equipment used.</p> <p>If the plant uses CO<sub>2</sub>, or other gases, the written program must include the proper outcome measurements and those measurements must be checked each hour of operation.</p> <p>Documented or digital record of checks are not required, but strongly recommended.</p> <p>Note: FACTA does not have required parameters. The audit requires that a program is in place and that the auditor validate that the plant is following the program protocols.</p> | 20              |
| 4.15.0 | Are appropriate measures taken to prevent wing flapping and birds raising their heads before reaching the stunning bath?   | <p>Visually verify. (CAS Exempt).</p> <p>Examples of this would include lower light levels and a breast bar to reduce flapping and promote calmness of the ducks. Any equipment used must not pose a risk of injury to birds.</p>  | 10              |
| 4.16.0 | Are shackles of a size and type, and the slaughter line run at a speed, which permits the birds to be shackled properly?   | Shackles must be of a size and type, and the slaughter line run at a speed, which permits the birds to be shackled properly.   | 5               |
| 4.17.0 | Are ducks suspended for more than 90 seconds before they are stunned? Ducks must not be suspended for more than 90 seconds before they are stunned[CH1].   | Verify time with timer. This must be recorded during a complete 120 second cycle.  | 15              |
| 4.18.0 | Is the stunning system operating effectively by stunning at least 99% of all birds in a 1,000 bird sample? (No more than 10 birds)   | Take one 1,000 bird sample at the time of the audit and document the findings.   | 60              |

| Q#     | Audit Tool  | Verification/Guideline Process  | Numerical Value      |
|--------|---|---|----------------------|
| 4.19.0 | Does more than 20 seconds elapse between stunning and neck cutting?   | Verify with timer. Line must be in working order to conduct this portion. If line stoppage occurs, then the auditor must start this portion of the audit over.  | 10                   |
| 4.20.0 | Does the facility have a back-up person in place to ensure the bleed-out of all birds?  | Visually verify this at the plant. Yes/No. There must be a backup person to induce bleed-out in any birds not effectively killed by the auto knife. If the plant does not have a back-up person this is a major non-conformance.  | Major nonconformance |
| 4.20.1 | Is automatic knife is effective to cut blood vessels to induce bleed-out and is at least 99.0% of birds in a 1,000 bird sample? | Take one 1,000 bird sample at the time of the audit and document the findings. (No more than 10 birds in the 1,000-bird sample need to be killed by the backup person).   | 30                   |
| 4.21.0 | Are any live birds entering the scalders?   | Take one 1,000 bird sample at the time of the audit and document the findings.<br><br>Take the sample at the entrance of scalders number one. A live bird observed is a major non-conformance.  | Major nonconformance |
| 4.22.0 | During a count of 500 birds leaving the de-feathering area do you observe more than 2 bruised legs?                             | A count of 500 birds leaving the de-feathering area must show no more than two birds with bruised legs. Document the auditor findings.<br><br>For a bruise to count is must be larger than 2 cm in diameter (about the size of quarter or larger). Regardless of the suspected cause of defect, the auditor must judge this criteria based on the total number of birds with bruised legs.<br><u>Notes:</u> Initially a fresh bruise may actually appear reddish. Throughout the progress of time, the bruise will change colors and may appear varying shades of red/purple/blue/black and tends to end up a greenish-yellow color as it heals. Recent bruises on thighs and drumsticks could indicate recent rough handling. Green trim defects are not fresh and typically have occurred on farm (dependent on length of transport and plant holding time).<br><br><b>Any trend of bruising should be investigated and addressed by the company.</b> | 10                   |



| Q#                                      | Audit Tool   | Verification/Guideline Process  | Numerical Value |
|---|--|---|-----------------|
| 4.23.0                                  | During a count of 500 birds do you observe more than 15 broken or dislocated wings?  | <p>The auditor's observation must be before the birds go into the scald. It is heavily suggested to complete the count after the birds are stunned and before they head towards the scald in the process.</p> <p>The goal is to have 3% or less broken or dislocated wings. Corrective action is initiated if the level exceeds 5%. (Protruding bones or wings hanging straight down is visual evidence of broken or dislocated wings.) No more than 15 broken or dislocated wings should be observed in a 500-bird sample (3% of birds) for maximum score.</p> <p>Award points on sliding scale:</p> <p>0.0 -3% (0-15 wings) = <b>25</b></p> <p>3.01-4% (16-20 wings) = <b>15</b></p> <p>4.01-5% (21-25 wings) = <b>5</b></p> <p>&gt;5 % (&gt;25 wings) = <b>0</b></p> | 25              |
| 4.24.0                                  | During a count of 100 birds from two separate flocks (200 paws) for footpad health are 95% of the paws scored (190 out of 200) scored a 0? | <p>The 200 paw scoring should include a portion of the sample on-site and at the plant. The auditor should aim for close to 50% from each area.</p> <p>Use NCC guidelines and example. Use the AAAP Paw Scoring System (Appendix 4) to score paws as either a 0 or 1.</p> <p>95% of the paws scored (190 out of 200) must be 0.</p>   | 20              |
| 4.25.0                                  | Is there a minimum of 90 seconds of bleed time on the line before ducks reach the first scalding tank?                                     | Verify with timer. Ducks must not be immersed in a scalding tank or plucked until at least 90 seconds have elapsed since the major blood vessels in their necks have been severed.  | 50              |
| Plant and Processing Welfare Section #4 |  |   | 355             |

**Corporate Review and Responsibility Audit Section #5**

| Q#    | Audit Tool  | Verification/Guideline Process  | Numerical Value      |
|-------|---|---|----------------------|
| 5.1.0 | Does the company have a written program for animal welfare with a clear understanding of how the program is operated throughout the company?                          | Document and verify.  | Major nonconformance |
| 5.2.0 | Does current senior management sign off on the animal welfare program annually?<br><br>Is there a review of documented operating procedures being performed annually? | Document and verify. (No sliding scale, all points are awarded if criteria are followed).   | Major nonconformance |
| 5.3.0 | Does the company have an internal auditing inspection process in place? If so, how frequently is it to be completed?  | The company must have an internal auditing inspection in place at least annually. Document and verify that this is being followed consistently. All areas of production must be included in the internal auditing inspection process; hatchery, grow-out, catching/transportation, and processing plant.  | Major nonconformance |
| 5.4.0 | Does the company have a licensed veterinarian available for consultation as needed?   | Verify veterinarian-client relationship by one of the following ways <ul style="list-style-type: none"> <li>• Direct contact with Veterinarian</li> <li>• Documented letter signed by veterinarian pertaining to veterinarian-client relationship.</li> <li>• Viewing vaccination/medication prescriptions.</li> <li>• Veterinarian-client contract.</li> </ul> | Major nonconformance |
| 5.5.0 | Does the company have a process in place whereby animal welfare violations can be reported without threat of retaliation?   | The company must have a process in place whereby animal welfare violations can be reported without threat of retaliation. Signs stating the importance of animal welfare with contact information for reporting incidents should be posted prominently in locations where birds are handled.  | Major nonconformance |
|       | Corporate Review and Responsibility Audit Section #5  |   | Pass/Fail            |

### Summary Sheet and Score

| <b>Date Completed</b> | <b>Audit Section</b>  | <b>Possible Points/<br/>Actual Points</b> |
|-----------------------|---|---|
|                       | <b>Hatchery Welfare Audit Section #1</b>                    | <b>355 ( )</b>                            |
|                       | <b>Housing Requirements and Farm GMP Audit Section #2</b>   | <b>325 ( )</b>                            |
|                       | <b>Catching and Transportation Welfare Audit Section #3</b> | <b>85 ( )</b>                             |
|                       | <b>Plant and Processing Welfare Audit Section #4</b>        | <b>355 ( )</b>                            |
|                       | <b>Corporate Review and Responsibility Audit Section #5</b> | <b>Pass/Fail</b>                          |
| <b>Total Score:</b>   |   | <b>1120 ( )</b>                           |
| <b>Total %:</b>       |   | <b>100.00%</b>                            |