



USDA ISO TS Animal Welfare Assessment Checklist

Audit the Program against the following Program requirements:

PROGRAM REQUIREMENTS – QAD 1060 Procedure and ISO TS 34700 Animal welfare management – General requirements and guidance for organizations in the food supply chain

- (1) Identify animal welfare scheme program documents and sections that address each criterion.
- (2) Explanations and/or comments must be provided to provide enough evidence of conformance or non-conformance, as applicable.

NOTE: When this checklist is complete, print to ADOBE and add to the audit documentation.

ISO TS 34700 Animal Welfare Management Criteria	Applicant Reference Document	Conform (Y/N?)	Objective Evidence/Findings/Remarks
1.0 Main Principles in Developing an Animal Welfare Plan			
1.1 The Organization Developing an Animal Welfare Plan SHALL Ensure the Plan:			
1.1.1 Enables the implementation of OIE animal welfare principles and guidelines or other provisions from private or public standards that meet, at least, the OIE TAHC; the general principles for the welfare of animals in livestock production systems (Article 7.1.4) and other relevant Section 7 chapters of OIE TAHC that provide valuable guidance to develop an animal welfare plan, which complies with at least the OIE TAHC;			
1.1.2 Ensures a commitment to maintaining good animal welfare that begins with management and is instilled in all staff; this may include identification of an animal welfare manager, or other means appropriate for the organization, to ensure accountability for animal welfare;			
1.1.3 Covers all stages of the lives of the animals under the responsibility of the organization and verifies, as far as possible, the continuity of animal welfare during transfer of responsibility from or to its organization;			
1.1.4 Facilitates implementation and communication of the plan within the organization; and			
1.1.5 Encourages continual improvement through implementing small or large-scale changes to prevent non-conformances or to ensure conformance to the plan, as well as incorporating other relevant changes to better ensure animal welfare as needed; this encouragement of continual improvement is			

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not intended to imply that changes need to be made if not necessary to maintain good animal welfare.			
1.2 The Organization SHALL Establish and Maintain the Appropriate Documentation and Records Related to the Plan, such as:			
1.2.1 The externally developed animal welfare guidelines, standards or codes of good practice from which the animal welfare plan has been developed, and			
1.2.2 Any documents or records developed by the organization related to carrying out or managing the plan, including the results of previous evaluations and reviews, as well as data used to establish and reach thresholds for animal-based measures.			
2.0 Developing an Animal Welfare Plan			
2.1 The development of an animal welfare plan SHALL be based on the following steps: assessing the current management of animal welfare within the organization, drafting the animal welfare plan, implementing the defined plan, and evaluating and reviewing the animal welfare plan.			
2.2 Step 1 — Identification of Gaps			
2.2.1 General			
2.2.1.1 Persons undertaking the development of an animal welfare plan SHALL have adequate knowledge of for example practices, behavior and needs of animals, effective management and animal care practices, local conditions, national or regional legislation.			
2.2.2 Identification of Relevant Documents			
2.2.2.1 Prior to conducting the gap analysis, the relevant documents to be used as reference for the gap analysis SHALL be identified, and SHALL include at least the OIE TAHC, especially the general principles of the animal welfare in Article 7.1.4 and specific chapters of the OIE TAHC that are relevant for the organization.			
2.2.3 Methodology for the Identification of Gaps			
2.2.3.0 Local conditions of the organization can vary and SHOULD be taken into consideration when performing the gap analysis (e.g. region, climate and production system).			
2.2.3.1 The gap analysis SHALL be based on an evaluation of the level of implementation of each of the general principles of animal welfare (Article 7.1.4 of the OIE TAHC), taking into account both resource-based measures and animal-based measures.			

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2.2.3.2 The gap analysis SHALL take into account the different animal species and their needs in accordance with the life stage of the animals that are under the responsibility of the organization, and according to the available OIE TAHC specific technical chapters.			
2.2.3.3 The gap analysis SHALL define the life stages of the animals under the responsibility of the organization, in all units handling animals.			
2.2.3.4 The gap analysis SHALL identify the animal welfare objectives of the organization. This step SHALL identify the practices and resources that need to be implemented and particularly animal based measures that can be used to monitor these objectives and the level of their implementation.			
2.2.3.5 The gap analysis SHALL step-by-step identify differences between usual practices implemented/utilized by the organization, including monitoring systems and the resulting animal welfare conditions in units handling animals, and the requirements from OIE TAHC and other relevant documents identified.			
2.2.3.6 “Gaps” will result from a synthesis of b) and c) by identifying missing items in animal welfare management. The identified gaps and necessary continual improvements SHALL be prioritized based on frequency and severity for animal welfare and also the ability to easily remedy identified gaps and undertake improvements which will have the greatest impact on animal welfare.			
2.2.3.7 If an animal welfare plan already exists for the organization, the gap analysis SHALL assess the implementation of and compliance with that plan and also with the OIE TAHC requirements.			
2.2.3.8 The gap analysis SHALL assess the need for a contingency plan in case of, for instance, failure of power, water and feed supply systems, and natural disaster when they could compromise animal welfare.			
2.2.3.9 At the end of step 1, the gaps between the organization’s usual practices and the OIE principles and other relevant documentary materials that meet at least the OIE TAHC SHALL be identified.			
2.3 Step 2 — Drafting of the Animal Welfare Plan			
2.3.1 To ensure its feasibility, the animal welfare plan SHALL be based on the assessment of the relevant resources and			

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<p>practices necessary to meet the animal welfare objectives in compliance at least with the OIE TAHC, taking into account the local geographical and climatic conditions. This SHOULD include human (including competencies), financial and environmental aspects. The animal welfare plan SHALL take into account animal health and disease management based on, for example, the local epidemiologic context and the regulatory animal health programs. The level of detail of the assessment SHOULD be commensurate with the size and nature of the operations linked to animals to which the plan is to be applied. If needed, emergency measures within a contingency plan SHOULD be defined.</p>			
<p>2.3.2 The animal welfare plan SHALL identify competencies for animal handlers to ensure appropriate animal welfare conditions.</p>			
<p>2.3.3 The animal welfare plan SHALL identify relevant monitoring of animal care and measureable indicators as per the OIE TAHC, for example animal-based and resource-based measures.</p>			
<p>2.3.4 Where there is scientific evidence that specific practices would have benefit or drawback on animal welfare, emphasis SHOULD be on monitoring the corresponding resource-based measures.</p>			
<p>2.3.5 Where there is scientific evidence that a possible welfare issue is of multi-factorial origin, emphasis SHALL be on the monitoring of animal-based measures. The acceptable thresholds for these indicators SHALL be determined on a scientific basis.</p>			
<p>2.3.6 The response to gaps in the animal welfare plan SHOULD define a scheme and a timeline to improve animal care, taking into account the prioritization of the gaps in step 1.</p>			
<p>2.3.7 The animal welfare plan SHALL identify or describe methods for evaluation and review.</p>			
<p>2.3.8 The animal welfare plan SHALL be reviewed by experienced farmers and operators, or other experienced experts, to ensure practical and achievable outcomes.</p>			
<p>2.3.9 At the end of step 2, the written animal welfare plan SHALL be available for the organization.</p>			
<p>2.4 Step 3 — Implementation of the Animal Welfare Plan</p>			
<p>2.4.0 The implementation step sets out what needs to be done to execute the animal</p>			

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welfare plan described in step 2, to maintain and improve animal welfare. It covers both the human and other resources required as well as supervision of how the provisions of the plan are being followed. It takes into account the size and nature of the operations to which the plan is to be applied. It emphasizes that remedial actions SHOULD attempt to address root causes of non-compliances with the defined animal welfare plan.			
2.4.1 According to the plan developed in step 2, the required resources, (e.g. equipment, material, systems, housing, facilities, human resources) SHALL be available to implement the animal welfare plan. The gaps identified in step 1 SHALL be addressed.			
2.4.2 Persons undertaking animal management practices SHALL be competent to undertake these tasks, and, where necessary, appropriate mentoring or training SHALL be provided to assist those needing to learn new or refresh skills.			
2.4.3 Relevant coordination and management procedures SHALL be defined to ensure the efficient implementation of the animal welfare plan where necessary, depending on the size and nature of the operations.			
2.4.4 Key requirements described in the animal welfare plan (including animal care skills) SHALL be explained to all relevant staff of the organization according to their tasks and responsibilities, through appropriate communication means.			
2.4.5 The implementation of the plan SHALL be monitored and supervised. The monitoring SHALL be based on the resource-based measures and animal-based measures defined in step 2. The organization SHALL evaluate the level of implementation of the plan, with appropriate indicators.			
2.4.6 If monitoring and supervision show that understanding is unclear or incomplete, appropriate communication SHALL be ensured and corrective action follow-up SHALL be provided.			
2.4.7 A process SHALL be available for the definition and implementation of corrective actions in case of unacceptable results. Animal abuse SHALL be immediately remedied.			



<p>2.4.8 Key information SHALL be recorded, including records of resource-based measures, animal-based measures and corrective actions.</p>			
2.5 Step 4 — Evaluation and Review			
<p>2.5.1 The organization SHALL define the frequency of review for the animal welfare plan based on updates of the relevant documentary materials, especially the routinely reviewed OIE TAHC, relevant changes within the organization and the overall performance of the animal welfare plan.</p>			
<p>2.5.2 The evaluation SHALL be undertaken by the animal welfare manager, 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. The evaluation SHALL assess the animal welfare achieved and the conformity of the organization’s practices with its animal welfare plan. The evaluation SHALL include:</p> <ul style="list-style-type: none"> — an 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 used in step 3; — 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 relevance of the animal welfare plan to the organization’s current activity and context of its operations. 			
<p>2.5.3 The review is an assessment of the capacity of the animal welfare plan to fill the gaps from step 1 and to ensure animal welfare according to the OIE TAHC and other identified documents. The review SHALL be conducted by the management of the organization, including the animal welfare manager 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. The review SHALL take into account:</p> <ul style="list-style-type: none"> — all results from the implementation, and evaluation of the animal welfare plan; 			

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<p>— 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) to verify that these changes have been taken into account in the animal welfare plan. The review 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.</p>			
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RECOMMENDATION:

Identify the recommendation for each program if there is more than one.

Ready for Initial Audit (Desk Audit)	
Not Ready for Initial Audit (Desk Audit)	
Program Approval with No Conditions (Initial Audit)	
Program Approval with Conditions (Initial Audit) State the conditions that SHALL apply	
Continued Program Approval with No Conditions (Surveillance Audit)	
Continued Program Approval with Conditions (Surveillance Audit) State the conditions that SHALL apply	
Program Denial (Initial Audit)	
Program Suspension (Surveillance Audit)	
Program Withdrawal (Surveillance Audit)	

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