

Mandatory

AUDITED SITE

- Farm Location
- Processing Facility
- Restaurant or Retailer
- Other_____

Audit Site Name:

Contact Name:

Address:

Email:

City:

Office #:

State:

Cell #:

Zip Code:

Country:

ADDITIONAL AUDITED SITES IF NEEDED

- Farm Location
- Processing Facility
- Restaurant or Retailer
- Other_____

Audit Site Name:

Contact Name:

Address:

Email:

City:

Office #:

State:

Cell #:

Zip Code:

Country:

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TRANSPORTATION COMPANY

Transporter:

Contact Name:

Address:

Email:

City:

Office #:

State:

Cell #:

Zip Code:

Country:

PRODUCTION DATA:

Note: Specify the exact product type and units of measurement for the quantities listed in the table below. Please select 3 random delivery records to demonstrate that the quantity of American Humane Certified™ products purchased or received from the farm is consistent with the quantity of American Humane Certified™ products that was processed or labeled for delivery. This production data table is to be completed in conjunction with P24.

Product Type: _____ (e.g. Liquid Eggs)

Units of Measurement: _____ (e.g. Pounds)

Date(s)	Company	Farm/ Site ID	Quantity Produced			Quantity Marketed		
			Quantity of AHC	Quantity of Non-AHC	Total Quantity	Quantity of AHC	Quantity of Non-AHC	Total Quantity

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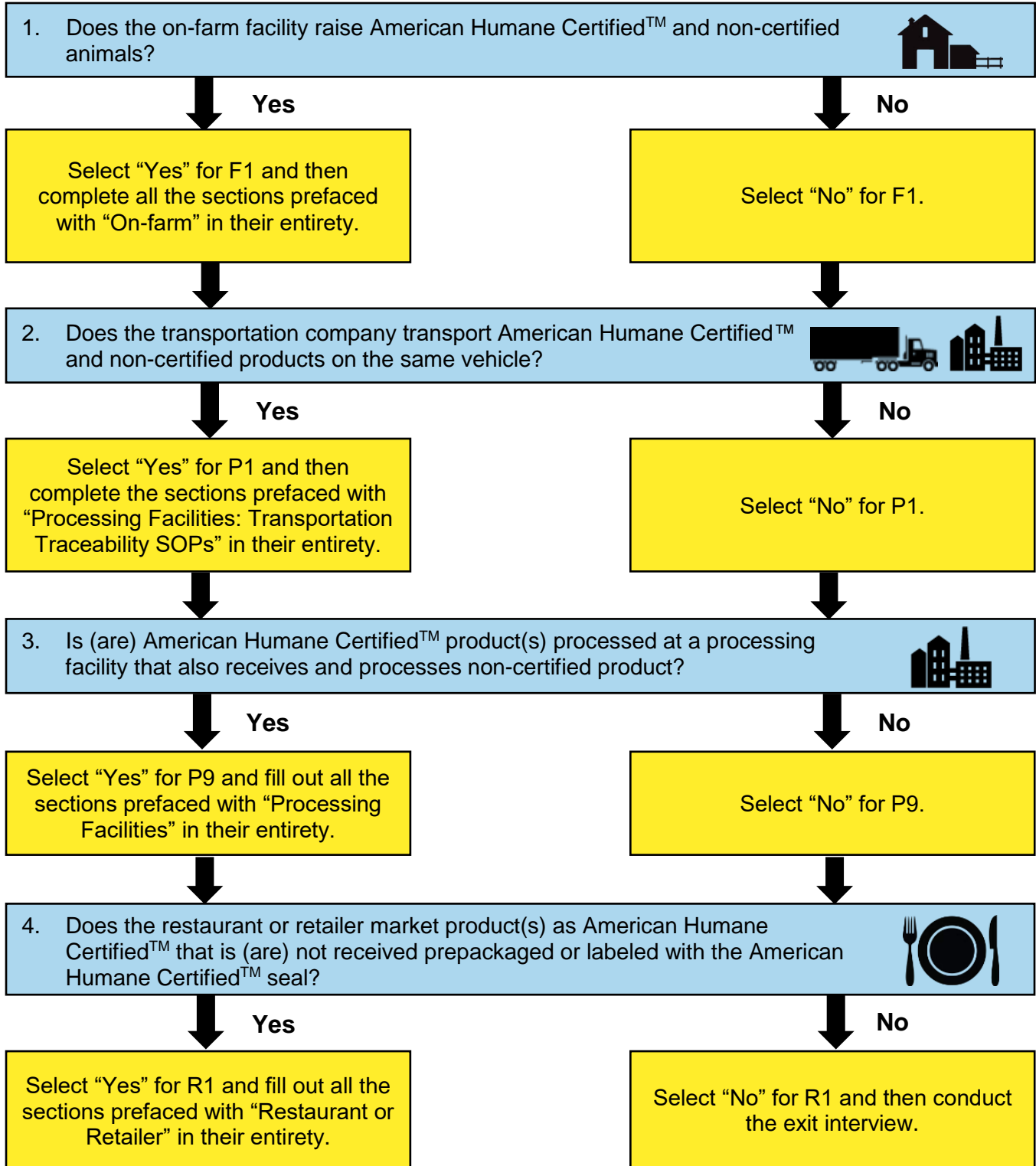
List all brand names and private brands that the American Humane Certified™ product will be packaged under:

Audit Notes

- An entrance interview should be conducted to explain the audit process and establish which questions need to be answered. If possible, SOP review should be done prior to arriving at the facilities.
- All products bearing the American Humane Certified™ seal must come from American Humane Certified™ farms.
- Complete all sections that pertain to the site. Auditors should use the decision-making chart on the following page for clarification on which sections to complete for the audit.

Traceability Audit Decision Making Chart

Please use this chart to help decide which sections of the audit should be completed.





On-Farm: Traceability of Animals or Products

Note: Complete this section for traceability of animals or products at the on-farm facility (“farm”) to verify that American Humane Certified™ and non-certified animals or products are maintained separately.

		Selection	Points
F1	<p>Does the farm have non-certified animals in addition to American Humane Certified™ animals?</p> <p>Note: If the farm has only American Humane Certified™ animals so that commingling of animals or products is not possible, select “No” here and skip to the “Processing Facilities: Transportation Traceability SOPs” section on Pg. 9.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

On-Farm: Traceability Standard Operating Procedures (SOPs)

F2	<p>Each farm must have at least one designated Traceability Officer (T.O.) identified in writing, who is responsible for ensuring the implementation of all traceability policies and for monitoring operations to assure the separation of American Humane Certified™ and non-certified animals or products.</p> <p>Who is the T.O.? _____</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No Comment Mandatory	____/25
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Standard Operating Procedures (SOPs)

Does the farm have a written, comprehensive document that contains SOPs for on-farm traceability of American Humane Certified™ and non-certified product that covers:

F3	The steps in place to ensure that American Humane Certified™ and non-certified animals or products do not commingle on the farm?	<input type="checkbox"/> Yes <input type="checkbox"/> No	____/10
F4	The steps that are to be taken if American Humane Certified™ and non-certified animals or products were to be commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	____/10
F5	In the event of commingling, are there corrective action plans that will be provided to all employees to help ensure that further commingling does not occur?	<input type="checkbox"/> Yes <input type="checkbox"/> No	____/10
F6	Does the farm state in a written SOP that the Transportation Company, Processing Facility, and American Humane must be notified within 48 hours if any shipped animals or products have been commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	____/25



F7	Is there a site schematic that identifies where the American Humane Certified™ and non-certified animals or products are kept?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
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On-Farm: Shipment from the Farm

Does the farm have a written, comprehensive document that contains SOPs for the preparation of shipment of American Humane Certified™ and non-certified animals or products that covers:

F8	The steps in place to ensure that American Humane Certified™ and non-certified animals or products do not commingle while preparing for shipment?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
F9	In the event of commingling, are there corrective action plans that will be provided to all employees to help ensure that further commingling does not occur?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10

On-Farm: Production Records

F10	<p>Do the records indicate that the number of animals or products on the farm is consistent with the quantity of animals or products shipped from the American Humane Certified™ farm?</p> <p>Note: Select the previous flock or herd records and verify that the number of animals placed minus mortality is consistent with the quantity of animals or products shipped.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25
F11	Do the records indicate that the farm is following the SOP's to ensure that commingling of American Humane Certified™ and non-certified animals or products does not occur?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25
F12	<p>Are all records:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Current (within 1 year of the audit date)? <input type="checkbox"/> Signed or initialed? <input type="checkbox"/> Dated? <p>Note: To receive credit, records must be current, signed or initialed, <u>and</u> dated.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25



On-Farm: Employee Training Records

Does the farm maintain training records for employees responsible for preventing commingling of American Humane Certified™ and non-certified animals or products and does training cover:

F13	How to ensure American Humane Certified™ and non-certified animals or products are not commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
F14	How to report unintentional commingling incidents to the T.O. at the farm?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
F15	Are all training records for product traceability: <input type="checkbox"/> Current (within 1 year of the audit date)? <input type="checkbox"/> Signed or initialed? <input type="checkbox"/> Dated? Note: To receive credit, records must be current, signed or initialed, <u>and</u> dated.	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25

On-Farm: Observations of Animals or Products

F16	Are there separate areas for segregating American Humane Certified™ and non-certified animals or products? e.g. separate areas (racks, loads, tanks, pens, etc.) for American Humane Certified™ versus non-certified animals or products.	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25
F17	Please list the methods of separation and identification for American Humane Certified™ and non-certified animals or products. e.g. ear tags, pallet tags, tanks, load, etc. <u>Separation Methods:</u>	<input type="checkbox"/> Yes <input type="checkbox"/> No Comment Mandatory	___/25
F18	Does an observation or interview of an employee(s) indicate that they can clearly identify American Humane Certified™ and non-certified animals or products? What was observed or what did the employee(s) say?	<input type="checkbox"/> Yes <input type="checkbox"/> No Comment Mandatory	___/25



Processing Facilities: Transportation Traceability SOPs

Note: If transportation is provided by a contract company, separation of American Humane Certified™ and non-certified products during transportation to and from the processing facility must be validated through SOP's and/or Certificate of Conformance.

		Selection	Points
P1	<p>Does the transportation company transport American Humane Certified™ and non-certified products on the same vehicle?</p> <p>Note: If yes, continue with the “Transportation Traceability SOPs” section. If no, or if the shipped product bears the American Humane Certified™ seal, skip to the “Processing Facilities: Traceability of Products” section on Pg. 11.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Standard Operating Procedures (SOPs)

Does the transportation company have written SOP's for product separation during transport that include:

P2	<p>Who is responsible for the prevention of commingling American Humane Certified™ and non-certified products?</p> <p>What is their role? _____</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No Comment Mandatory	___/10
P3	<p>The steps in place to ensure that American Humane Certified™ and non-certified products do not commingle?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P4	<p>In the event of commingling, are there corrective action plans that will be provided to all employees to help ensure that further commingling does not occur?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P5	<p>Does the transportation company have a written SOP that states that the Processing Facility and American Humane must be notified within 48 hours if any shipped animals or products have been commingled?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25



Transportation Training Records

Does the transportation company maintain training records for employees responsible for preventing commingling of American Humane Certified™ and non-certified products and does training cover:

P6	How to ensure American Humane Certified™ and non-certified products are not commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P7	How to report unintentional commingling incidents to the Traceability Officer (T.O.) at the processing facility?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P8	<p>Are all training records for transport employees:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Current (within 1 year of audit date)? <input type="checkbox"/> Signed or initialed? <input type="checkbox"/> Dated? <p>Note: To receive credit, records must be current, signed or initialed, <u>and</u> dated.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25



Processing Facilities: Traceability of Products

Note: Complete this section for traceability of products at the processing facilities (“facility”) to verify that American Humane Certified™ and non-certified products are maintained separately.

		Selection	Points
P9	<p>Does the facility receive products from non-certified animals in addition to product from American Humane Certified™ animals?</p> <p>Note: If the facility only processes American Humane Certified™ products then select “No” here and skip to the “Restaurant or Retailer” section on Pg. 16.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Processing Facilities: Traceability Standard Operating Procedures (SOPs)

P10	<p>Each facility must have at least one designated Traceability Officer (T.O.) identified in writing, who is responsible for ensuring the implementation of all traceability policies and for monitoring operations to assure the separation of American Humane Certified™ and non-certified products during receiving and shipping.</p> <p>Who is the T.O.? _____</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No Comment Mandatory	____/25
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Standard Operating Procedures (SOPs)

Does the processing facility have written SOP’s for product separation during receiving and shipping of American Humane Certified™ and non-certified products that includes:

P11	<p>The steps in place to ensure that American Humane Certified™ and non-certified products do not commingle?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	____/10
P12	<p>The steps that are to be taken if American Humane Certified™ and non-certified products were to be commingled?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	____/10
P13	<p>Does the facility record product delivery?</p> <p>e.g. Bill of Lading (BOL), delivery ticket, etc.</p> <p>Note: Check most recent delivery.</p> <p><u>Record lot number, date, and shipment quantities:</u></p>	<input type="checkbox"/> Yes <input type="checkbox"/> No Comment Mandatory	____/10



Does the processing facility have written SOP's for product separation during processing, packaging and storing of American Humane Certified™ and non-certified products that includes:

P14	The steps in place to ensure that American Humane Certified™ and non-certified products do not commingle during processing, packaging, and storing?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P15	The steps taken to prevent mislabeling in the event American Humane Certified™ and non-certified products are commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P16	In the event of commingling, are there corrective action plans that will be provided to all employees to help ensure that further commingling does not occur?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10

Processing Facilities: Recall Process

Does the written recall plan include a process that covers the following:

P17	The batch number or identification included on the American Humane Certified™ product for recall processes?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P18	What to do in the event of mislabeling American Humane Certified™ products?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P19	Does the facility state in a written SOP that American Humane must be notified within 48 hours if any shipped products have been commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25

Processing Facilities: Employee Training Records

Does the processing facility maintain training records for employees responsible for preventing commingling of American Humane Certified™ and non-certified products and does training cover:

P20	How to ensure American Humane Certified™ and non-certified products are not commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P21	Do the training records include product identification and recordkeeping?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P22	How to report unintentional commingling incidents to the T.O. at the facility?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10



P23	<p>Are all training records:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Current (within 1 year of the audit date)? <input type="checkbox"/> Signed or initialed? <input type="checkbox"/> Dated? <p>Note: To receive credit, records must be current, signed or initialed, <u>and</u> dated.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25
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Processing Facilities: Traceability Records

P24	<p>Are there records for identification and traceability from the time the products are received and labeled?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P25	<p>Does the labeling process include tracking the American Humane Certified™ products through packaging?</p> <p>Note: The American Humane Certified™ logo counts for tracking and recall if needed.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25
P26	<p>Do records show that the quantity of American Humane Certified™ products purchased or received from the farm is consistent with the quantity of American Humane Certified™ products that was processed or labeled for delivery?</p> <p>Note: The production data table on Pg. 3 must be filled out to complete this question.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/50
P27	<p>Are there records that indicate when the lines at the facility were cleaned out between non-certified and American Humane Certified™ product?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P28	<p>Do records indicate that the site is following the SOP's set by the facility to ensure that commingling of American Humane Certified™ and non-certified products does not occur?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
P29	<p>Are the records current?</p> <p>Note: The facility must maintain records for 12 months to receive points.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/25



Processing Facilities: Interview and Observation

<p>P30</p>	<p>After <u>interviewing</u> an employee(s), does the auditor feel that the employees can clearly identify and articulate the difference between American Humane Certified™ and non-certified product?</p> <p style="text-align: center;">What did the employee(s) say?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p style="text-align: center;">Comment Mandatory</p>	<p style="text-align: center;">___/25</p>
<p>P31</p>	<p>Does an <u>observation</u> of employee(s) indicate that the separation process is being followed during <u>receiving and shipping</u> of American Humane Certified™ and non-certified product?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p style="text-align: center;">___/25</p>
<p>P32</p>	<p>Does an <u>observation</u> of employee(s) indicate that the separation process is being followed during <u>processing</u> of American Humane Certified™ and non-certified product?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p style="text-align: center;">___/25</p>



Restaurant or Retailer: Traceability of Products

Note: Complete this section for traceability of products at a restaurant or retailer supplying American Humane Certified™ products. This section does not need to be filled out if a restaurant or retailer is receiving final packaged product with the American Humane Certified™ logo.

		Selection	Points
R1	<p>Does the restaurant or retailer market product(s) as American Humane Certified™ that is (are) not received prepackaged or labeled with the American Humane Certified™ seal?</p> <p>Note: If the restaurant or retailer only markets American Humane Certified™ product that is received prepackaged or labeled, mark “No” for this section.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

Restaurant or Retailer: Traceability Records and Standard Operating Procedures (SOPs)

R2	<p>Each restaurant or retailer must have at least one designated Traceability Officer (T.O.) identified in writing, who is responsible for ensuring the implementation of all traceability policies and for monitoring operations to assure non-certified product is not commingled with, mislabeled, or marketed as American Humane Certified™ product.</p> <p>Who is the T.O.? _____</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No Comment Mandatory	____/25
R3-a	Does the transportation company transport American Humane Certified™ and non-certified products on the same vehicle?	<input type="checkbox"/> Yes <input type="checkbox"/> No	
R3-b	<p>If yes, how does the transportation company identify and maintain separation of American Humane Certified™ and non-certified products?</p> <p><u>Separation Methods:</u></p>	Mandatory Comment if “Yes”	



<p>R4</p>	<p>Does the transportation company provide documentation that identifies the quantity of American Humane Certified™ product purchased and received from the originating farm or facility?</p> <p>e.g. Bill of Lading (BOL)</p> <p><u>Type of documentation:</u></p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Comment Mandatory</p>	<p>___/10</p>
<p>R5</p>	<p>If American Humane Certified™ products are not available, is there a written SOP that states what actions are taken to ensure that non-certified products are not labeled or marketed as American Humane Certified™?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>___/25</p>
<p>R6</p>	<p>Does the restaurant or retailer maintain 12 months of delivery records of American Humane Certified™ products purchased and received?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>___/10</p>

Restaurant or Retailer: Traceability Records and SOPs

<p>R7</p>	<p>Randomly select a delivery date where American Humane Certified™ product was received within the last 12 months. Is proper documentation maintained for products being received?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>___/25</p>
<p>R8</p>	<p>Is the quantity of American Humane Certified™ products delivered consistent with records retained at the origination source?</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>___/25</p>

Exit Interview

To be signed at the end of the on-site audit:

Information in the completed Traceability Audit Tool and all supporting documentation is complete, correct, and has been verified by the auditor. Furthermore, you are acknowledging that the auditor has identified and explained all instances where an audit item has been scored as a non-conformance. You understand that within 10 days after the submission of the completed audit, a Corrective Action Plan must be submitted detailing the steps of continuous improvement which your company will implement in order to reach 100% compliance to all audit protocols.

Company Representative

Title

Date

Auditor

Date