

# American Humane Farm Program



## American Humane Certified™ (AHC) Traceability Audit Tool for Certified Animal Products

<b>AUDITOR:</b>  	<b>AUDIT DATE(S):</b>  Audit Start Time: Audit End Time:												
<b>COMPANY NAME:</b> <table border="0"> <tr> <td>Audit Location:</td> <td>Contact Name:</td> </tr> <tr> <td>Address:</td> <td>Email:</td> </tr> <tr> <td>City:</td> <td>Office #:</td> </tr> <tr> <td>State:</td> <td>Cell #:</td> </tr> <tr> <td>Zip Code:</td> <td></td> </tr> <tr> <td>Country:</td> <td></td> </tr> </table>		Audit Location:	Contact Name:	Address:	Email:	City:	Office #:	State:	Cell #:	Zip Code:		Country:	
Audit Location:	Contact Name:												
Address:	Email:												
City:	Office #:												
State:	Cell #:												
Zip Code:													
Country:													
<b>AUDITED PRODUCT</b> <p>Please specify the American Humane Certified™ species, animal product, and certified goods included in the traceability audit.</p> <p><b>Cage Free Laying Hen example:</b></p> <p>American Humane Certified™ <u>Cage Free Laying Hens</u></p> <p>Animal Product <u>Cage Free Eggs</u></p> <p>Certified Goods <u>Shell Eggs</u></p> <p><b>Swine Production example:</b></p> <p>American Humane Certified™ <u>Swine</u></p> <p>Animal Product <u>Pork</u></p> <p>Certified Goods <u>Bacon</u></p> <p>American Humane Certified™ _____</p> <p>Animal Product _____</p> <p>Certified Goods _____</p>													

**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:

**Mandatory****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 AHC products purchased or received from the farm is consistent with the quantity of AHC products that was processed or labeled for delivery.

This production data table is to be completed in conjunction with P24.

**Note:** If the facility is not yet processing AHC products (i.e. initial facility audit or “back-up” facility audit), or not processing AHC products currently, this portion should still be completed with non-AHC products.

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

## **Mandatory**

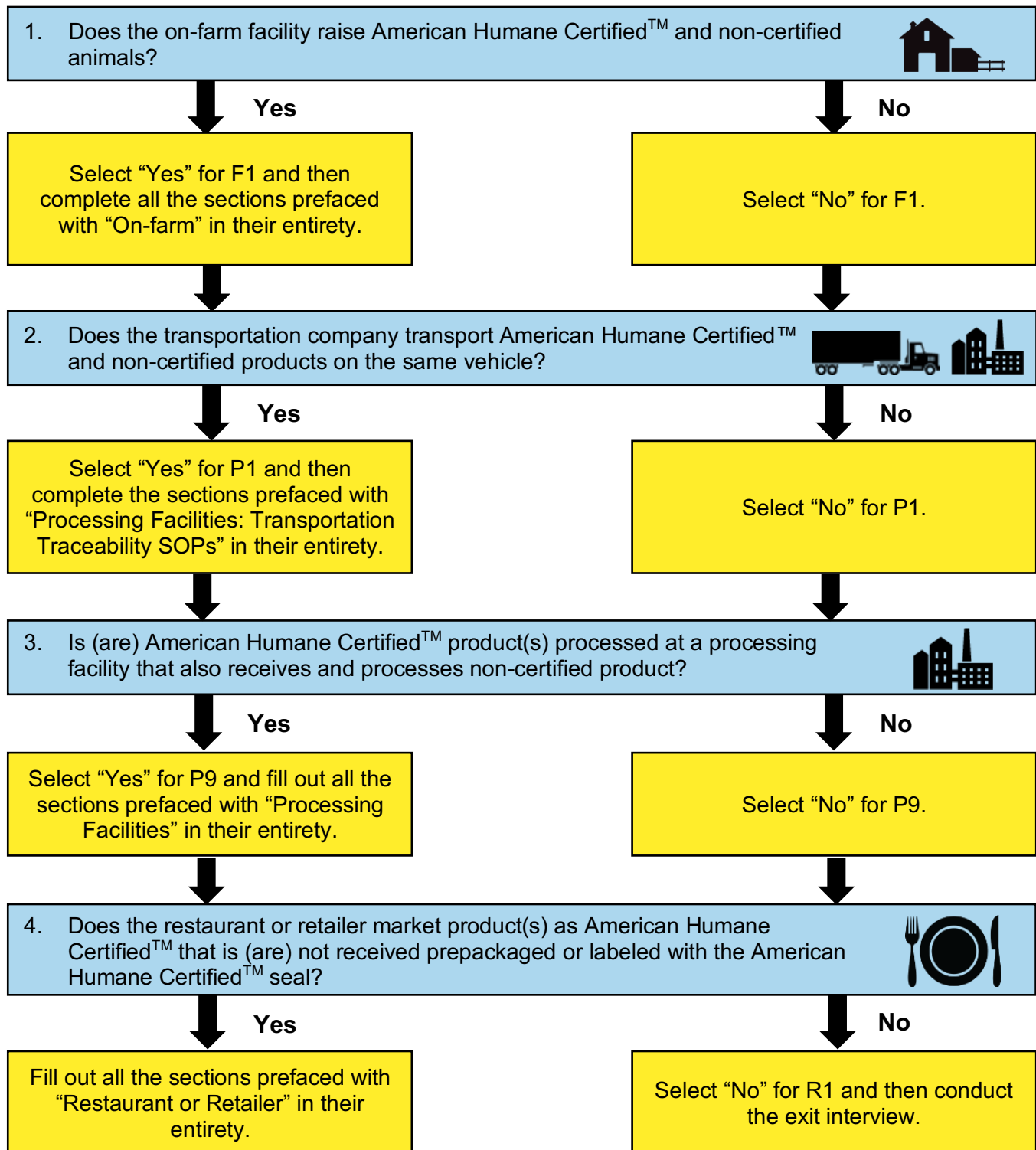
**List all brand names and private brands that the American Humane Certified™ product will be packaged under:**

## **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	Does the farm have non-certified animals in addition to American Humane Certified™ animals?  <b>Note:</b> 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.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	

### On-Farm: Traceability Standard Operating Procedures (SOPs)

F2	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.  <b>Who is the T.O.?</b> _____	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/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 <input type="checkbox"/> N/A	___/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 <input type="checkbox"/> N/A	___/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 <input type="checkbox"/> N/A	___/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 <input type="checkbox"/> N/A	___/25



<b>F7</b>	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 <input type="checkbox"/> N/A	___/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:

<b>F8</b>	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 <input type="checkbox"/> N/A	___/10
<b>F9</b>	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 <input type="checkbox"/> N/A	___/10

## On-Farm: Production Records

<b>F10</b>	<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><b>Note:</b> 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 <input type="checkbox"/> N/A	___/25
<b>F11</b>	Do the records indicate that the farm is following the SOPs 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 <input type="checkbox"/> N/A	___/25
<b>F12</b>	<p>Are all records:</p> <ul style="list-style-type: none"><li><input type="checkbox"/> Current (within 1 year of the audit date)?</li><li><input type="checkbox"/> Signed or initialed?</li><li><input type="checkbox"/> Dated?</li></ul> <p><b>Note:</b> To receive credit, records must be current, signed or initialed, <u>and</u> dated.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/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:

<b>F13</b>	How to ensure American Humane Certified™ and non-certified animals or products are not commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/10
<b>F14</b>	How to report unintentional commingling incidents to the T.O. at the farm?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/10
<b>F15</b>	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?  <b>Note:</b> To receive credit, records must be current, signed or initialed, <u>and</u> dated.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/25

## On-Farm: Observations of Animals or Products

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

		Selection	Points
<b>P1</b>	<p>Does the transportation company transport American Humane Certified™ and non-certified products on the same vehicle now or plans to in the future?</p> <p><b>Note:</b> If yes, continue with the “Transportation Traceability SOPs” section. If no (example: transport of liquid eggs) or if the shipped product bears the American Humane Certified™ seal, skip to the “Processing Facilities: Traceability of Products” section (P9) on Pg. 11.</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

## Standard Operating Procedures (SOPs)

If the facility is not yet processing AHC products (i.e. initial facility audit or “back-up” facility audit) but will be processing AHC and non-AHC products in the future, the following SOPs (P2-P5) should still be present and evaluated for general product commingling. Does the transportation company have written SOPs for product separation during transport that include the following:

<b>P2</b>	<p>Who is responsible for the prevention of commingling AHC and non-certified products?</p> <p><b>What is their role?</b> _____</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No  <b>Comment Mandatory</b>	____/10
<b>P3</b>	The steps in place to ensure that AHC and non-certified products do not commingle?	<input type="checkbox"/> Yes <input type="checkbox"/> No	____/10
<b>P4</b>	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
<b>P5</b>	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?	<input type="checkbox"/> Yes <input type="checkbox"/> No	____/25



### Transportation Training Records

If the facility is not yet processing AHC products (i.e. initial facility audit or “back-up” facility audit) but will be processing AHC and non-AHC products in the future, the following SOPs (P6-P8) should still be present and evaluated for general product commingling and employee training. Does the transportation company maintain training records for employees responsible for preventing commingling of products and does training cover the following:

<b>P6</b>	How to ensure AHC and non-certified products are not commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
<b>P7</b>	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
<b>P8</b>	Are all training records for facility employees: <input type="checkbox"/> Current (within 1 year of audit date)? <input type="checkbox"/> Signed or initialed? <input type="checkbox"/> Dated?  <b>Note:</b> To receive credit, records must be current, signed or initialed, <u>and</u> dated.	<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 AHC and non-certified products are maintained separately.

		Selection	Points
P9	Does the facility receive products from non-certified animals in addition to product from AHC animals now or plans to in the future?	<input type="checkbox"/> Yes <input type="checkbox"/> N/A	

## Processing Facilities: Traceability Standard Operating Procedures (SOPs)

If the facility is not yet processing AHC products (i.e. initial facility audit or “back-up” facility audit) but will be processing AHC and non-AHC products in the future, the following SOPs (P10-P19) should still be present and evaluated for general product commingling. Does the processing facility have written SOPs for product separation during receiving and shipping of AHC and non-certified products that includes the following:

P10	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 AHC and non-certified products during receiving and shipping.  <b>Who is the T.O.? _____</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No  <b>Comment Mandatory</b>	____/25
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## Standard Operating Procedures (SOPs)

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



Does the processing facility have written SOPs for product separation during processing, packaging and storing of AHC and non-certified products that includes:

<b>P14</b>	The steps in place to ensure that AHC and non-certified products do not commingle when packaged and stored?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
<b>P15</b>	The steps taken to prevent mislabeling in the event AHC and non-certified products are commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
<b>P16</b>	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:

<b>P17</b>	The batch number or identification included on the AHC product for recall processes?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
<b>P18</b>	What to do in the event of mislabeling AHC products?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
<b>P19</b>	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

If the facility is not yet processing AHC products (i.e. initial facility audit or “back-up” facility audit) but will be processing AHC and non-AHC products in the future, the following SOPs (P20-P23) should still be present and evaluated for general product commingling and employee training. Does the processing facility maintain training records for employees responsible for preventing commingling of AHC and non-certified products and does training cover:

<b>P20</b>	How to ensure AHC and non-certified products are not commingled?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
<b>P21</b>	Do the training records include product identification and recordkeeping?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
<b>P22</b>	How to report unintentional commingling incidents to the T.O. at the facility?	<input type="checkbox"/> Yes <input type="checkbox"/> No	___/10
<b>P23</b>	<p>Are all training records:</p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Current (within 1 year of the audit date)?</li> <li><input type="checkbox"/> Signed or initialed?</li> <li><input type="checkbox"/> Dated?</li> </ul> <p><b>Note:</b> 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 Records

If the facility is not yet processing AHC products (i.e. initial facility audit or “back-up” facility audit) but will be processing AHC and non-AHC products in the future, P24 should be completed based on records of currently processed, non-AHC products, and P25-P29 should be marked as N/A.

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

## Processing Facilities: Interview and Observation

If the facility is not yet processing AHC products (i.e. initial facility audit or “back-up” facility audit), but will be processing AHC and non-AHC products in the future, the following should be marked as N/A.

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



## Restaurant or Retailer: 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><b>Note:</b> If the restaurant or retailer only markets American Humane Certified™ product that is received prepackaged or labeled, mark “No” for this section.</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> N/A</p>	

## Restaurant or Retailer: Traceability Records and 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><b>Who is the T.O.?</b> _____</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> N/A</p>	___/25
R3	<p>Does the transportation company transport American Humane Certified™ and non-certified products on the same vehicle?</p>	<p><input type="checkbox"/> Yes</p> <p><input type="checkbox"/> No</p> <p><input type="checkbox"/> N/A</p>	
R3 - 1	<p><b>If yes</b>, how does the transportation company identify and maintain separation of American Humane Certified™ and non-certified products?</p> <p><u><b>Separation Methods:</b></u></p>	<p><b>Mandatory Comment if “Yes”</b></p>	



<b>R4</b>	Does the transportation company provide documentation that identifies the quantity of American Humane Certified™ product purchased and received from the originating farm or facility?  e.g. Bill of Lading (BOL)  <u>Type of documentation:</u>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/10
<b>R5</b>	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™?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/25
<b>R6</b>	Does the restaurant or retailer maintain 12 months of delivery records of American Humane Certified™ products purchased and received?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/10

### Restaurant or Retailer: Traceability Records and SOPs

<b>R7</b>	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?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/25
<b>R8</b>	Is the quantity of American Humane Certified™ products delivered consistent with records retained at the origination source?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A	___/25



# American Humane Certified™

## Notification of Non-Conformance

To be filled out by the auditor and signed at the exit interview at the end of the on-site audit.

The following non-conformances were found during the American Humane Certified™ audit on \_\_\_\_\_. Within 10 business days of audit entry, you must submit a Corrective Action Plan that includes the corrective action to be taken, the person responsible for the correction, and the date the correction will be completed. After correction, a Corrective Action Proof of Completion with supporting documentation must be submitted to the American Humane Certified™ program. Documentation may include pictures, copies of daily reports, training records, veterinary health plan adjustments, etc. Producers/ managers are encouraged to submit progress reports as corrective actions are taken.

Notes should include each non-conformance item (for example: FW3, H12) and details of the non-conformance. Attach additional pages as needed.

Information in the completed *Animal Welfare Audit Tool* and *Notification of Non-Conformance Report* is complete, correct, and has been verified by the auditor. One copy should be left with the producer and one copy should be retained for American Humane.

Audit Summary	
<b>Producer:</b>	<b>Audit Location:</b>
<b>Non-Conformances:</b>	
<b>Comments:</b>	
<b>Out of Scope Observations:</b>	

Auditor signature: \_\_\_\_\_ Date: \_\_\_\_\_

**I, the undersigned, agree to submit a Corrective Action Plan within 10 business days of audit entry. I will submit a Corrective Action Proof of Completion and agree to additional audits, if needed, to maintain certification.**

Producer signature: \_\_\_\_\_ Date: \_\_\_\_\_