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# PILOT GAP Policy Manual

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## INTRODUCTION

### PURPOSE OF POLICY MANUAL

The Global Animal Partnership's (GAP) aim of the Policy Manual is to make sure on-farm audits and the associated certification process are carried out consistently and achieve the same result, regardless of farm, country of production, Certifier or Auditor. This is vital to the maintenance of Program integrity and consistency. This Policy Manual outlines the roles, responsibilities and requirements of each party involved in the 5-Step™ Program certification process.

### ABOUT GAP

Global Animal Partnership is a 501(c)(3) charitable organization with the primary mission of working collaboratively to facilitate and encourage continuous improvement and higher welfare in animal agriculture. Bringing together farmers, scientists, ranchers, grocers, restaurateurs, consumers and animal advocates, GAP embraces a multi-stakeholder approach—not only for our organization's composition, but in the development of our Program, the 5-Step™ Animal Welfare Rating Standards.

### BACKGROUND AND SCOPE OF THE 5-STEP™ ANIMAL WELFARE RATING PROGRAM

The intent of GAP 5-Step™ Animal Welfare Program is to improve farm animal welfare by substantiating compliance with the standards through independent third-party verification. Currently, the standards cover on-farm and transport components of animal production.

GAP writes and develops standards and accredits Certifiers to conduct independent, third-party on-farm audits to the 5-Step™ Animal Welfare Rating Standards.

### ABOUT THE 5-STEP™ ANIMAL WELFARE RATING PROGRAM

GAP has developed multi-tiered standards for beef cattle, pigs, broiler chickens and turkeys. Each set of our standards—from Step 1 to Step 5+—has its own requirements that must be met before certification by authorized, independent third-parties can assign compliance to that particular Step level. Each Step rating has its own distinct label and marketing call out that identifies the particular Step level achieved. Producers have the ability to apply for any Step level but, if they choose to move up the Step levels, the design of the 5-Step™ Program enables them to do so in a structured and supported way. The standards are designed to inspire farmers and ranchers to reach beyond the minimum set of requirements for animal care.

## **INDEPENDENT, THIRD-PARTY ASSESSMENT AND CERTIFICATION**

As the standard-setter, GAP does not conduct audits nor make Step-rating certification decisions. Accredited, third-party Certifiers, with trained and ratified Auditors, perform the audits, assess compliance with our 5-Step™ standards, and issue Step certificates, as appropriate.

The 5-Step™ certification cycle spans 15 months. As each season poses unique challenges to management, this 15-month interval ensures that over time, Operations and the animals they raise are audited in all four seasons. By working with independent Certifiers, farmers, consumers, and retailers alike can be confident that Step ratings are fair, accurate, and free of any conflict of interest.

## 1. PROGRAM DOCUMENTS

The following table lists the various program documents affiliated with GAP certification. It outlines the purpose of the document, who creates the document, who completes the document, who is responsible for reviewing the document and other related information. Certification companies are able to use tablets, computers, smartphones or other similar handheld devices if preferred over paper hard copies.

	Description and Purpose	Created by	Completed by	Reviewed by	Additional notes
<b>Application<sup>1</sup></b>	A standardized document that's used to: <ol style="list-style-type: none"> <li>i. Determine eligibility to the program</li> <li>ii. Provide information to schedule the audit (locations, # of animals, size of operation etc.)</li> <li>iii. Provide background information for the Auditor</li> <li>iv. Provide GAP demographic information around the operations in the 5-Step™ Program.</li> </ol>	GAP	Applicant and/or Designated Representative	Certifier Auditor	Demographic information (as identified on the Application) will be sent to GAP via the Certifier.
<b>Scheduling Deviation Request Form</b>	A standardized form to request a deviation from the audit scheduling policy.	GAP	Certifier	GAP	Completion of the request form does not guarantee approval.  <i>See 4. Audit Process Section: Process Details Sub-section: Article iii for further information.</i>
<b>Certificate Extension Request Form</b>	A standardized form to request an extension to an existing certificate.	GAP	Certifier	GAP	Completion of the request form does not guarantee approval.  <i>See 6. Certificates Section: Article vii for further information.</i>

<sup>1</sup> Please refer to Definitions Section

	Description and Purpose	Created by	Completed by	Reviewed by	Additional notes
<b>Audit Form</b>	A standardized form that covers all audit points and used to collect the Auditor's observations while conducting the 5-Step™ audit on-site.	Certifier	Auditor	Reviewer	<p>Audit form template must be pre-approved by GAP prior to use.</p> <p>The audit form is used by the Reviewer to compile the Audit Report.</p>
<b>Exit Interview Form</b>	A summary of the Auditor's observations by corresponding standard section, includes any additional information the Operation wants the Reviewer to be aware of.	Certifier	Auditor	<p>Applicant</p> <p>Auditor</p> <p>Reviewer</p>	<p>Exit interview form template must be pre-approved by GAP prior to use.</p> <p>Exit interview form is signed by both the Applicant and the Auditor at the time of the audit.</p> <p>A signed copy of the form is provided to Applicant and/or Designated Representative, and Reviewer by the Auditor.</p>
<b>Herding &amp; Loading Form</b>	A standardized form to collect the Auditor's observations of herding and loading.	Certifier	Auditor	Reviewer	<p>Herding &amp; loading template must be pre-approved by GAP prior to use.</p> <p>For turkey audits only (please refer to bullet 3.k on pages 3-4 of the 5-Step™ Animal Welfare Rating Pilot Standards for Turkey – v1.1 for details).</p>

Description and Purpose	Created by	Completed by	Reviewed by	Additional notes	
<b>Catching Form</b>	A standardized form to collect the Auditor's observations of catching.	Certifier	Auditor	Reviewer	<p>Catching template must be pre-approved by GAP prior to use.</p> <p>For broiler audits only (please refer to bullet 3.k on pages 3-4 of the GAP 5-Step™ Animal Welfare Standards for Chickens Raised for Meat – v2.0 for details).</p>
<b>Audit Report</b>	A report compiled by the Reviewer, based on the audit form submitted by the Auditor and any additional information supplied by the Applicant after the audit has occurred. The report is issued by the Reviewer to the Applicant and/or Designated Representative, including any non-conformances.	Certifier	Reviewer	n/a	<p>Audit report template must be pre-approved by GAP prior to use.</p> <p>The audit report is sent to Applicant and/or Designated Representative.</p>
<b>Deviation Request Form</b>	A standardized form to request a deviation from a particular standard(s).	GAP	Applicant and/or Designated Representative	GAP or Certifier	<p>Completion of the request form does not guarantee approval.</p> <p>GAP has authorized the Certifier to approve certain standard deviations. Any requests outside of the Certifiers authorization will go through GAP.</p> <p>See <a href="#">5. General Policy Section: Deviations Sub-section</a> for further information.</p>

Description and Purpose	Created by	Completed by	Reviewed by	Additional notes
<p><b>Deviation Approval Certificate</b></p> <p>A document, issued by GAP, provided to the Applicant confirming deviation from the requested standard(s).</p>	GAP	GAP	n/a	<p>If approved, the Certificate is sent to the Applicant and/or Designated Representative by GAP.</p> <p>Details of the approval must also be listed on the GAP certificate see <a href="#"><u>6. Certificates Section: Article ii.e.</u></a></p>
<p><b>Deviation Approval Notification</b></p> <p>A notification included in the Reviewer’s audit report, provided to the Applicant, confirming deviation from the requested standard(s).</p>	Reviewer	Reviewer	n/a	<p>If approved, the notification is sent to the Applicant and/or Designated Representative by the Certifier.</p> <p>Details of the approval must also be listed on the GAP certificate see <a href="#"><u>6. Certificates Section: Article ii.e.</u></a></p> <p>If approved, a notification of approval is also sent to GAP detailing the Operation’s name, address and the standard number.</p>
<p><b>Scorecard</b></p> <p>An overall summary of the Operation’s performance to each section of the Standards by step level.</p>	Certifier	Reviewer	n/a	<p>The scorecard template must be pre-approved by GAP prior to use.</p> <p>The scorecard is sent to Applicant and/or Designated Representative by the Certifier.</p>

Description and Purpose	Created by	Completed by	Reviewed by	Additional notes
<b>Certificate</b> A document provided to the Applicant confirming certification to the 5-Step™ Program. The certificate includes the step-level plus other relevant details as outlined in the <a href="#">6. Certificates Section</a> .	Certifier	Certifier	n/a	The certificate template must be pre-approved by GAP prior to use.  The certificate is sent to Applicant and/or Designated Representative and GAP by the Certifier.
<b>Denial Letter</b> A notification from the Certifier that the Operation cannot achieve certification based on the audit that was conducted.	Certifier	Reviewer	n/a	GAP is also notified of the denial.  See <a href="#">6. Certificates Section: Denials Sub-section</a> for further information.
<b>Suspension Letter</b> A notification from the Certifier that the Operation has been suspended from marketing GAP animals.	Certifier	Reviewer	n/a	GAP is also notified of the suspension.  See <a href="#">6. Certificates Section: Suspension Sub-section</a> for further information.
<b>Revocation Letter</b> A notification from the Certifier that the certificate has been revoked.	Certifier	Reviewer	n/a	GAP is also notified of the revocation.  See <a href="#">6. Certificates Section: Certificate Revocation Sub-section</a> for further information.

## 2. ROLES & RESPONSIBILITIES

**Note:** Detailed notes about the audit process and Figures 1 & 2 referenced below can be found in the 4. Audit Process Section.

### GAP

- i. GAP develops, writes and owns species-specific standards for the multi-tiered 5-Step™ Animal Welfare Ratings Standards program.
- ii. GAP issues clarifications to existing standards and process.
- iii. GAP sets implementation periods for any changes or clarifications to existing standards or process, and introduction of new and/or updated standards.
- iv. GAP does not conduct audits or make certification decisions.
- v. GAP approves all forms and templates to be used by the Certifiers prior to use. Forms and templates include but are not limited to application forms, audit forms, exit interview forms, deviation request forms, herding & loading and catching forms, audit reports and certificate templates.
- vi. GAP assists Certifiers with training as needed.
- vii. GAP provides guidance when necessary to Certifiers, Operations, Suppliers and other stakeholders. GAP is responsible for posting/distributing this information for transparency.
- viii. GAP accredits Certifiers to conduct third-party on-site audits (by an Auditor), verify to the standards (by a Reviewer) and issue certificate decisions (by the Certifier) (see Figure 1).
- ix. GAP reviews and provides decisions on deviation requests.
- x. Under specific direction, GAP may grant Certifiers the authority to issue deviations on its behalf.
- xi. GAP updates the Policy Manual as necessary. The latest version of the Policy Manual is accessible on GAP's website for reference.
- xii. For regulatory inquiries and program analysis, GAP maintains a current list of:
  - a. all certified Operations;
  - b. any suspended, denied or revoked Operations. (The suspension list is only available to the Certifiers.)

### CERTIFIERS

- i. The Certifier is responsible for the overall verification of Operations, through on-site audits and review of on-site audit forms, to the 5-Step™ Animal Welfare Standards for each species (see Figure 2).
- ii. Certifiers work directly with new Reviewers and Auditors to ensure their training is complete.

- iii. The Certifier is responsible for creating all audit forms, exit interview forms, herding & loading and catching forms, audit reports, notification letters, scorecards and certificate templates. All these documents must be pre-approved by GAP before being used (including any piloting of forms) (see 1. Program Documents Section).
- iv. The Certifier is responsible for sending certificate reminder notifications at a minimum of 120 and 90 days prior to expiry dates to the Applicant and/or Designated Representative to trigger scheduling of re-certification audits. In that communication, the Certifier provides a GAP approved application, a copy or link to GAP's Policy Manual, and the latest version of the species-specific standards.
- v. Prior to scheduling any audit, the Certifier screens each application to check for discrepancies with the standards and for completeness. The Certifier also reviews any previous certification paperwork and checks for non-conformances issued together with the corrective action submitted.
- vi. The Certifier signs off that the application is complete and either contacts the Applicant and/or Designated Representative to schedule the audit OR assigns an Auditor to set up scheduling.
- vii. During the scheduling process, the Certifier/Auditor informs the Applicant and/or Designated Representative what is needed at the time of the audit (e.g. access to records and ability to see the animals). The Certifier/Auditor also confirms that the producer/farm manager/owner will be present for the audit.

*Audits will be re-scheduled if the producer/animals/records are not available – this may incur a cost to the Applicant and/or Designated Representative, at the discretion of the Certifier.*

- viii. For renewal Operations, the Certifier forwards any previous certification paperwork (application, audit report, step-rating etc.) to the Auditor for their review prior to the audit occurring.
- ix. The Certifier's audit forms for each species are based on criteria outlined in the 5. General Policy Section: Audit Forms Sub-section. Each audit form, exit interview form, and audit report template must be approved by GAP prior to use on-farm.
- x. The Certifier is responsible for issuing the certificate decision (e.g. step-rating, audit report, denial or suspension). For Operations that are denied, suspended or their certificate is revoked, the Certifier is responsible for notifying the Applicant and/or Designated Representative, the Supplier, and GAP.
- xi. The Certifier works with all its stakeholders in a timely manner.

- xii. The Certifier issues a Scorecard for each Operation, based on the audit form and the findings of the Reviewer, showing compliance to each section of the standards, as part of the certificate decision.
- xiii. The Certifier is responsible for determining whether certificates need to be re-issued when the Applicant and/or Designated Representative notifies them of changes mid-cycle (e.g. changes in name, ownership & management, location) (see 2. Roles & Responsibilities Section: Applicants Sub-section: Article viii)
- xiv. When an Applicant and/or Designated Representative changes Certifiers, previous certification packages must be provided to the new Certifier upon request, as the new Certifier is responsible for reviewing and addressing any repeat non-conformances. Certifiers are required to release those documents based on the process outlined in the 5. General Policy Section: Switching Certification Companies Sub-section as quickly as possible.

*This may incur a cost to the Applicant and/or Designated Representative, at the discretion of the Certifier.*

- xv. The Certifier may hire contract Auditors. Contract Auditors must still meet the requirements outlined in the 2. Roles & Responsibilities Section: Auditors Sub-section.
- xvi. Prior to scheduling of a re-certification audit, the Certifier is responsible for informing the Applicant and/or Designated Representative that repeat non-conformances could result in a denial (see 5. General Policy Section: Repeat Non-Conformances Sub-section).
- xvii. In the event that it is discovered that the Applicant and/or Designated Representative did not declare existing current certificates, the Certifier may refuse the request to audit, revoke the certificate, and/or suspend any existing certificates.
- xviii. As part of the Certifier's document release requirement to GAP, the Certifier will provide the certification details of each Operation including the Operation's name, address, number of animals, certificate number and step-rating as well as any denials, suspensions or revocations that may have been issued.
- xix. The Certifier is responsible for checking GAP's suspension list (see 2. Roles & Responsibilities Section: GAP Sub-section: Article xii) prior to scheduling an audit.

## AUDITORS

- i. Auditors are required to be ratified by each Certifier they work with, for each species that they intend to audit. Auditors need to be ratified prior to conducting any audits.
- ii. The Auditor reviews each application (provided by the Certifier) prior to an on-site audit.
- iii. If the Operation is going through a renewal certification, the Auditor also reviews the previous certification paperwork (application, any corrective action issued, step-rating etc) and flags any discrepancies or areas for additional review.
- iv. The Auditor conducts an on-site audit at the Operation and collects information regarding compliance to the 5-Step™ standards for the species requested.
- v. Auditors follow the species-specific requirements of animals to be observed outlined in the standards.
  - a. For broilers, please refer to bullets 3 f, g, k, l, m and n on pages 3-4 of the GAP 5-Step™ Animal Welfare Standards for Chickens Raised for Meat – v2.0 for details.
  - b. For turkey, please refer to bullets 3 h, i and j on pages 3-4 of the 5-Step™ Animal Welfare Rating Pilot Standards for Turkey – v1.1 for details.
- vi. The Auditor completes a GAP approved standardized audit form while on-site, provided by the Certifier, to report all observations in detail.
- vii. The Auditor completes the audit form in full and in detail. Every effort by the Auditor to be accurate is made, to avoid follow up questions after the audit.
- viii. If during the audit, the Auditor is unsure if a practice/situation meets the standard, the Auditor may take photos to provide with the audit form submission. The Auditor should ask for the Operation’s permission to take photos while on-site. Photos will not be used outside the sole purpose described here.
- ix. For turkey and broiler audits, Auditors must also observe herding & loading (turkey) or catching (broiler chickens) at least once each certification cycle. Auditors must use a standardized herd & load or catch form to document and submit their observations. GAP permits Certifiers to accept video or other electronic monitoring records of these requirements providing the submissions meet the requirements listed in 4. Audit Process Section: Video and Technology Sub-section.

**Note for Auditor Sub-section: Article ix:** *A company’s catching crew or herd & load crew only needs to be observed once per certification cycle, however, if a Supplier uses several catching companies then each company will need to be observed and approved.*

- x. The Auditor must not provide or offer to provide advice or guidance to the Applicant and/or Designated Representative, in any capacity.
- xi. The Auditor reviews and discusses any areas they observe and deem to be a non-conformance with the Applicant and/or Designated Representative. All items reviewed and discussed are recorded on the exit interview form. Both parties sign the exit interview form and the Auditor either leaves a copy of the completed exit interview form with the Applicant at the completion of the audit or will email the completed exit interview form, including signatures, to the Applicant within 5 business days. Any discussion points or questions that are raised by the Applicant and/or Designated Representative to the Auditor should also be noted on this form.
- xii. Auditors must submit their completed audit forms as quickly as possible to the Reviewer. Any delays in submitting forms need to be approved by the Certifier.

## REVIEWERS

- i. Reviewers are required to be ratified by the Certifier they work with, for each species that they intend to review. Reviewers need to be ratified prior to conducting any reviews.
- ii. The Reviewer is responsible for determining:
  - a. a certificate decision (i.e. issuing the audit report, or a certificate, or denial letter issued);
  - b. acceptability of corrective action plans;
  - c. the appropriate step-level for the Operation audited.
- iii. Once the completed audit form is submitted to the Reviewer by the Auditor, the Reviewer reviews the information on the form and compares it to the standards for that species.
- iv. If the Reviewer has questions about the completed audit form, further clarification is sought from the Auditor and/or the Operation prior to issuing a certification decision.
- v. Reviewers must provide their initial certification decision as quickly as possible to the Applicant and/or Designated Representative.
- vi. The initial certification decision issued by the Reviewer may be:
  - a. an audit report and a certificate, together with any other affiliated materials (see 1. Program Documents Section); or
  - b. an audit report with non-conformances that need to be addressed; or
  - c. a denial letter (see 6. Certificates Section: Denials Sub-section).
- vii. The Reviewer is responsible for reviewing any corrective action provided by the Applicant and/or Designated Representative to clear non-conformances. If the information provided sufficiently satisfies each non-

- conformance, the Reviewer issues a certificate as quickly as possible. If the information provided is unsatisfactory, the Reviewer notifies the Applicant and/or Designated Representative as quickly as possible.
- viii. The Reviewer will seek further clarification from GAP for issues that are or are not addressed in the Standards, Policy Manual, Certification Manual, or previously issued Clarifications from GAP.
  - ix. The Reviewer is responsible for verifying if an Operation is still in compliance with all standards when an Operation reports changes during their certification cycle that could impact their certification (see 2. Roles & Responsibilities Section: Applicants Sub-section: Article viii).

## APPLICANTS

- i. The Applicant may designate a representative to assist them with, and work directly with, the Certifier on materials related to certification. Assigning of a Designated Representative does not remove any responsibility of the applying Operation from complying in full to the 5-Step™ standards, and/or information provided to the Certifier to show compliance with a standard.  
Regardless of the point of contact, the Operation is responsible for raising animals to meet the specific step-level the Applicant is certified to, in the 5-Step™ Program.
- ii. The Applicant and/or Designated Representative is responsible for submitting one application per Operation per certification cycle prior to audit scheduling (see 2. Roles & Responsibilities Section: Certifiers Sub-section). The previous application cannot be submitted in lieu of a current application even if the information remains unchanged.
- iii. The submitted application must be signed by the Applicant and/or Designated Representative. The person who signs the form is responsible for assuring accuracy. Acceptable types of signature for the application form are:
  - a. A hard copy signature by the Applicant and/or Designated Representative; OR
  - b. A signature by the Applicant and/or Designated Representative on an iPad or tablet or equivalent.
- iv. The Applicant and/or Designated Representative are responsible for declaring any existing current GAP certificates to the Certifier. In the event that it is discovered that the Applicant and/or Designated Representative did not declare existing current GAP certificates, the Certifier may refuse the request to audit, revoke the certificate, and/or suspend any existing certificates.
- v. The Applicant and/or Designated Representative are responsible for submitting completed applications (all questions must be answered and

number of animals raised provided). Applications must be as accurate as possible at the time of completion, and reflect current practices.

- vi. As part of the on-site audit process, Operations must allow Auditors access to all areas of their farm including buildings, access to animals and access to all records related to the species specific standard they are being audited to.
- vii. For Operations that are issued an audit report with non-conformances, the Applicant and/or Designated Representative are expected to provide corrective action to the Certifier within 3 weeks. The Certifier determines whether the corrective action is acceptable and meets the time frame of submission.

**Note for Applicants Sub-section: Article vii:** Failure to submit corrective action, within the three week timeframe, will result in a shortened certificate (see [Appendix A](#)).

- viii. The Applicant and/or Designated Representative is responsible for reporting any changes that may impact their step rating. Any changes, during the certification cycle, that potentially impact the step-rating of the Operation need to be reported to the Certifier prior to the change going into effect to verify the standards are still being met. Changes include, but are not limited to:
  - a. Changes in animal management practice (e.g. a change in castration age and/or method, change in weaning age and/or method, or change in lighting schedule etc.)
  - b. Changes in use of buildings/addition of buildings
  - c. Changes in operation location (addition/removal of locations)
  - d. Changes in ownership and management
  - e. Changes in operation name
  - f. Changes in processing plants used
  - g. Changes in transport duration
  - h. Non-typical weather-related events (i.e. drought)

**Note for Applicants Sub-section: Article viii:** Failure to report such changes could result in suspension or revocation of certification.

- ix. The Applicant and/or Designated Representative is responsible for notifying the Certifier in writing, if they wish to withdraw their application during the audit process.
- x. The Applicant and/or Designated Representative works with the Certifier on the 5-Step™ Program in order to get certified. If the Applicant and/or Designated Representative has a concern with the Program, they can submit a complaint to GAP (see [8. Complaints Section](#)). If the Applicant

and/or Designated Representative disagrees with the certificate decision, they can submit an Appeal to the Certifier (see [7. Appeal of Certification Decision Section](#)) - they cannot go to another Certifier and apply for certification as a way to get a new certification decision.

### 3. STANDARDS

#### STANDARDS DEVELOPMENT

In developing its 5-Step™ Animal Welfare Rating Standards, GAP uses a multi-stakeholder approach. The development process for each set of standards includes:

- i. Seeking guidance and input from species-specific working groups (that include producers and industry experts) during pre-development or revisions development, and after completing a working draft;
- ii. Creating a draft standard;
- iii. Posting the draft standards for public comment;
- iv. Acknowledging comments and responding where appropriate;
- v. Reviewing comments and re-drafting where necessary;
- vi. Submitting draft standards to the Board of Directors for final review and approval.

#### IMPLEMENTATION PROCESS OF NEW SPECIES STANDARDS

- i. New species standards are considered a PILOT standard for a minimum of a 15 month period.
- ii. After the PILOT phase, the standards are reviewed and put out for public comment before being revised, reviewed and approved by the Board of Directors.

#### IMPLEMENTATION PROCESS OF UPDATED VERSION OF SPECIES STANDARDS

- i. For standards that have been revised, an implementation period will go into effect to allow time to adjust management practices and protocols as necessary.
- ii. The length of the implementation period may vary depending on the species, but will be communicated at the time of notification.

#### PURPOSE OF THE CERTIFICATION MANUAL

- i. Upon completion of each species standards, a certification manual will be issued. The certification manual will serve as a central reference point for each standard for Certifiers, Auditors, and Operations either seeking certification or currently certified.
- ii. From time to time, the certification manual may be updated. GAP will notify Certifiers, Auditors and Certified Operations and post the latest edition online.
- iii. After reviewing the certification manual, in the event that further guidance is needed, please contact GAP directly.

## CLARIFICATIONS PROCESS AND NOTIFICATION

- i. If a standard is written in such a way that it is found to be unclear or open to interpretation, GAP may issue a clarification for that standard.
- ii. The clarification outlines the intent and scope of that standard, together with any additional criteria that need to be considered to properly implement.
- iii. All clarifications are posted on GAP’s website. The certification manual and policy manual will also be updated with these clarifications accordingly.
- iv. GAP notifies each Certifier that a clarification has been issued and when it goes into effect.

## EXISTING CLARIFICATIONS AND GUIDES

- i. GAP has issued standards clarifications which will remain in effect until a revised version of the standards is published and implemented. These clarifications apply to the following 5-Step™ Standard versions:

Species Standards	Clarification	Appendix
GAP 5-Step™ Animal Welfare Standards for Beef Cattle: 8-04-09	Pain Relief	B
	Removal from Pasture for Calving and Weaning	C
	Cattle Identification	D
	Shelter and Housing for Step 2 Certification of Beef Sites	E
	Finishing of Cattle for Step 1 and 2	F
	Standard 7.4.1 for the Finishing of Beef Cattle	G
GAP 5-Step™ Animal Welfare Standards for Pigs: 8-13-09	Standard 3.2.3	H

- ii. GAP has issued clarifications on the certification process. These will remain in effect until a revised version of the standards is published and implemented. These clarifications apply to the following 5-Step™ Standard versions:

Species Standards	Clarification	Appendix
GAP 5-Step™ Animal Welfare Standards for Beef Cattle – 8-04-09	Performing GAWEs on Cattle Production Sites	I
5-Step™ Animal Welfare Rating Pilot Standards for Turkey – v1.1	Re-certification of Seasonal Turkey Producers	J
	Timing of Flock Inspections for Seasonal Turkey Producers	K

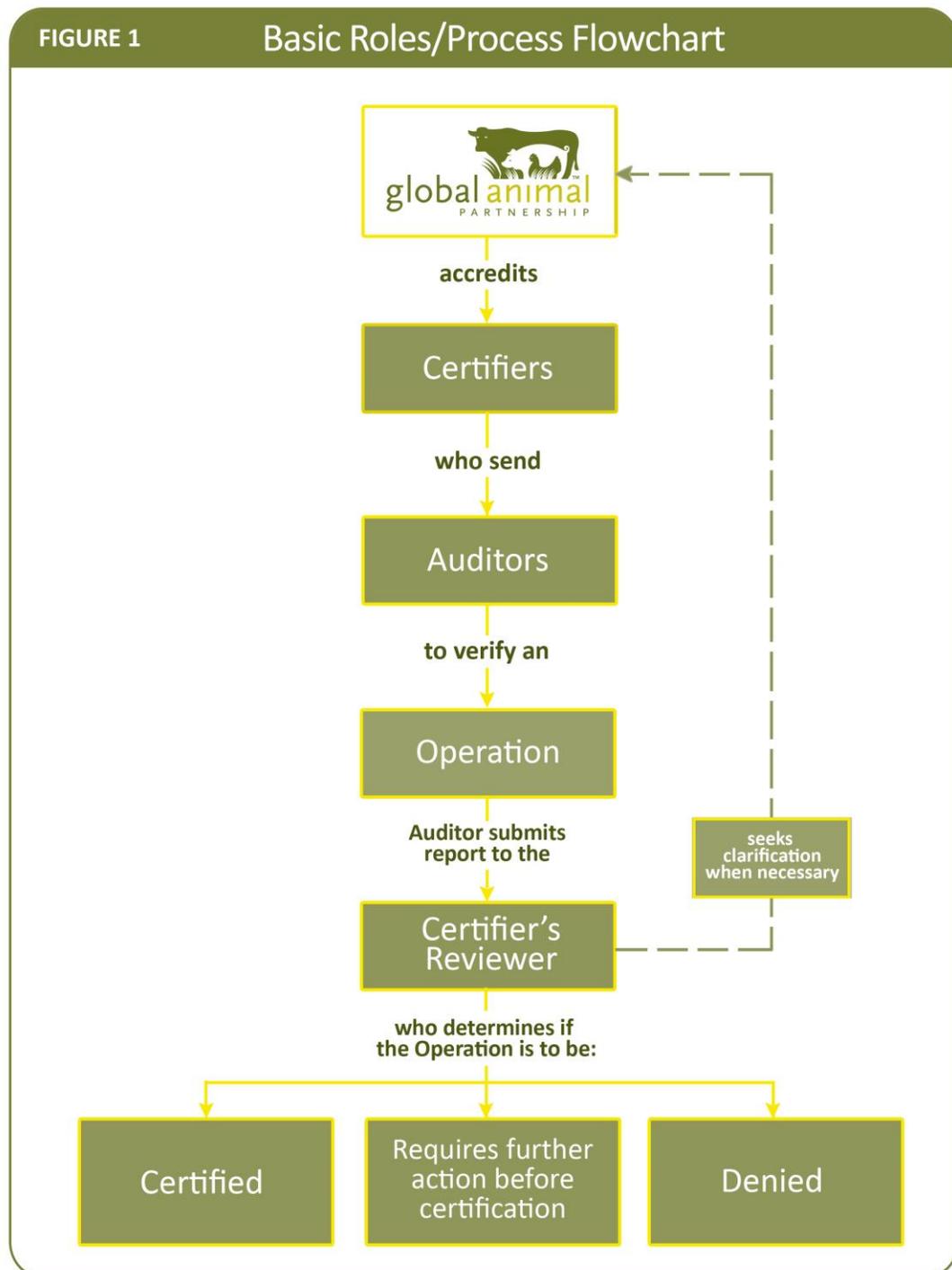
- iii. GAP has provided guidance on enrichments for chickens ([Appendix L](#)). This will remain in effect until a revised version of the standards is published and implemented.

### FEEDBACK ON EXISTING STANDARDS

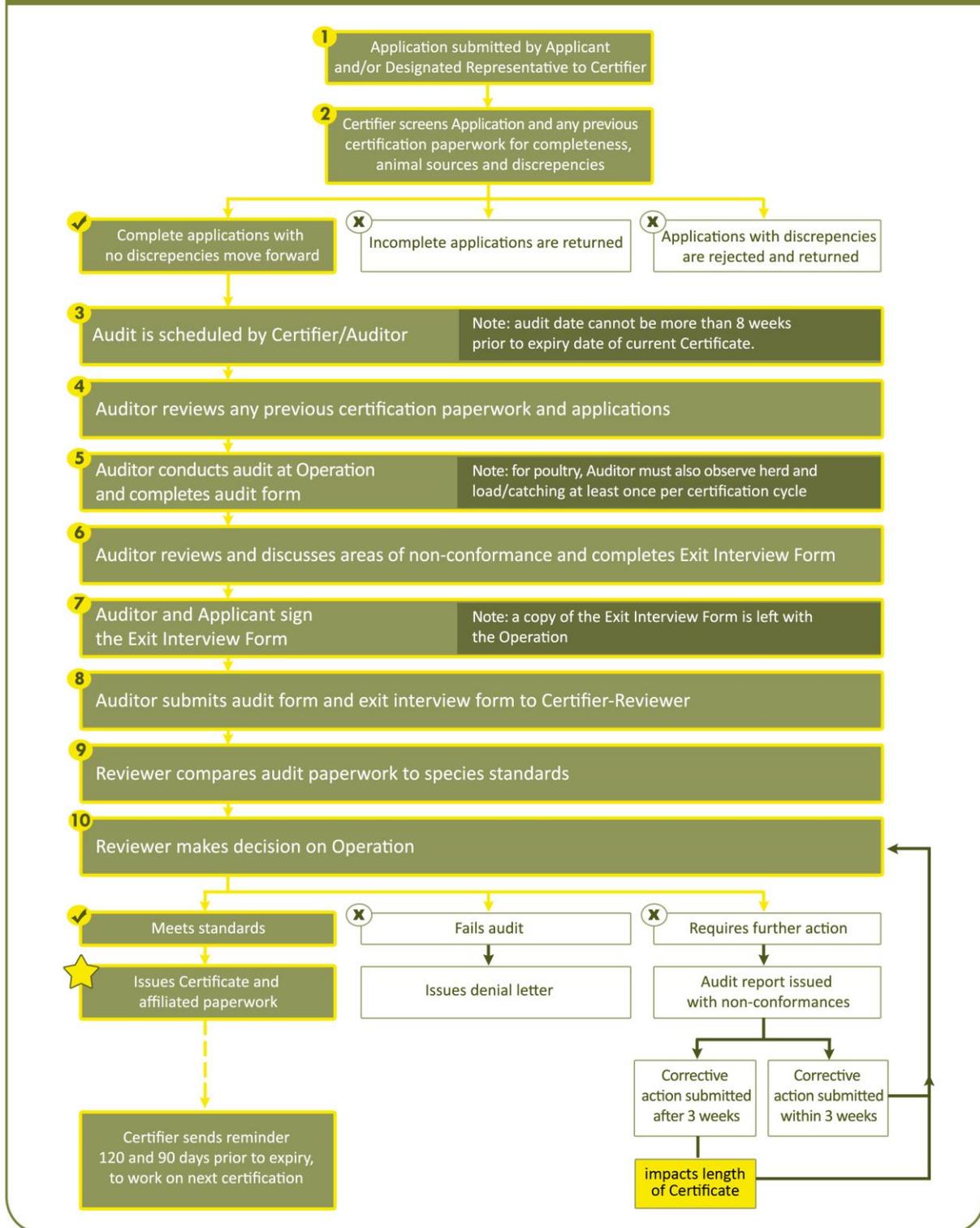
- i. Anyone wishing to provide feedback on standards outside of the comment period may submit comments and feedback to [standards@globalanimalpartnership.org](mailto:standards@globalanimalpartnership.org)
- ii. GAP will acknowledge receipt of submitted feedback.
- iii. The feedback provided is reviewed during the next revision period for that set of standards.

#### 4. AUDIT PROCESS

Figure 1 and 2 provide an outline of the certification process. Figure 1 is a general overview and Figure 2 provides the detail of certification.



**FIGURE 2** The Process for Getting Certified



## PROCESS DETAILS

- i. Prior to scheduling any audit, the Certifier screens each application to check for discrepancies with the standards and for completeness. The Certifier also reviews any previous certification paperwork and checks for non-conformances issued together with the corrective action submitted.
  - a. If the application is incomplete (i.e. not all questions/fields answered) the application is returned – an audit cannot be scheduled until an updated, fully complete application is re-submitted and reviewed.
  - b. If discrepancies from the standard are discovered, the Certifier rejects the farm application, and returns it to the Applicant and/or Designated Representative. If the Applicant completed something in error, then the Applicant must update the application and initial the change. Scheduling can only be completed once an application is passed by the Certifier.
  - c. For beef and pork applications, Certifiers also check that any sources of animals listed on the application are already GAP approved, or are in process.
- ii. Operations must have animals on site during the audit to be considered for certification or recertification.
- iii. Audits cannot be conducted more than 8 weeks prior to the expiry date of the current certificate. In other words, audits must be scheduled to occur between the 13<sup>th</sup> and 15<sup>th</sup> month of certification. Any adjustments to this scheduling policy need to be approved by GAP prior to audits being conducted. The Certifier must apply to GAP using the scheduling deviation request form.
 

*Last minute changes to audit schedules may incur a cost to the Applicant and/or Designated Representative, at the discretion of the Certifier.*
- iv. The Certifier/Auditor schedules audits according to species-specific time requirements outlined in the standards:
  - a. For broilers, please refer to bullets 3 f, g, k, l, m and n on pages 3-4 of the GAP 5-Step™ Animal Welfare Standards for Chickens Raised for Meat – v2.0 for details.
  - b. For turkey, please refer to bullets 3 h, i and j on pages 3-4 of the 5-Step™ Animal Welfare Rating Pilot Standards for Turkey – v1.1 for details.
- v. The Certifier/Auditor schedules the audit respecting any biosecurity requirements the Operation has in place, providing those biosecurity requirements can be substantiated (if requested). In the event of an epidemic outbreak, Certifiers will refer to Appendix M for audit process protocol.

- vi. For renewal Operations, the Certifier forwards any previous certification paperwork (application, audit report, step-rating etc.) to the Auditor for their review prior to the audit occurring.
- vii. Once the completed audit form is submitted to the Reviewer by the Auditor, the Reviewer reviews the information on the form and compares it to the standards for that species.
- viii. If the completed audit form shows that the Operation meets ALL the standards of the step-level the Applicant and/or Designated Representative is planning to achieve, the Reviewer issues an audit report and a certificate, together with any other affiliated materials (see 1. Program Documents Section).
- ix. If the completed audit form shows the Operation does not meet all the standards but could achieve certification if non-conformances are addressed, an audit report is issued by the Reviewer.
- x. If the completed audit form shows that the Operation fails the audit entirely, the Reviewer issues a denial (see 6. Certificates Section: Denials Sub-section).

## VIDEO AND TECHNOLOGY

- i. GAP supports the use of video or other electronic monitoring records for the following applications:
  - a. Review of placement protocols, including set up of chicks for broiler chicken operations;
  - b. Review of placement protocols, including handling of chicks for broiler chicken operations;
  - c. Review of placement protocols, including set up of poults for turkey operations;
  - d. Review of placement protocols, including handling of poults for turkey operations;
  - e. Review of catching procedures for broiler chicken operations;
  - f. Review of crating procedures for broiler chicken operations;
  - g. Review of humane handling procedures for broiler chicken operations;
  - h. Review of herding procedures for turkey operations;
  - i. Review of loading procedures for turkey operations;
  - j. Review of humane handling procedures for turkey operations;
  - k. Review of humane handling during loading of pigs for pork operations;
  - l. Review of humane handling during loading for beef cattle operations;

- m. Review of humane handling through chutes (for feedyards and finishing operations) for beef cattle operations.
- ii. If an Applicant or Certifier wishes to use video or other electronic monitoring records for applications not mentioned above, then a written protocol with examples will need to be provided to GAP for review and consideration.
- iii. In order for video or other electronic monitoring records to be used, the Applicant must follow the following requirements:
  - a. The Certifier must be informed that the Applicant will be submitting video or other electronic monitoring records;
  - b. The Applicant must discuss the format and content of the submission with the Certifier prior to collecting the record, to ensure a complete record is submitted for review;
  - c. The submission must be in accordance with FSIS Directive 5000.9, where applicable.
  - d. Video or other electronic monitoring records can be used by multiple applicants to satisfy compliance with standards related to the approved applications stipulated above.
- iv. GAP also supports the use of computers, tablets, smartphones, and other related handheld devices for the collection and completion of the on-site 5-Step™ Program audits.

## 5. GENERAL POLICY

- i. Operations must have animals on site during the audit to be considered for certification or recertification.
- ii. Market animals at Operations seeking initial certification into the 5-Step™ Program, that do not conform to the standards will be excluded on the certificate – they will not be automatically exempted (i.e. grandfathered in).  
Breeding stock will be given case-by-case consideration for exemption.
- iii. Broiler operations are expected to maintain continuous certification. Continuous certification is defined as no lapses in certification once the Operation has entered the Program. For example, an initial audit conducted on 8/1/2014 is issued a certificate on 8/14/2014. The certificate is issued from 8/14/2014 to 11/14/2015. The operation has a renewal audit in October 2015 and is able to be certified again. The new certificate will start 11/15/2015 for another 15 months. In this example there is no break in certification.  
In the event that an operation does not maintain continuous certification, any lapses may impact the ability to market animals once re-certified. See [5. General Policy Section: Seasonal Poultry Producers Sub-section](#) for exceptions to this requirement.
- iv. Turkey operations are expected to maintain continuous certification. Continuous certification is defined as no lapses in certification once the Operation has entered the Program. For example, an initial audit conducted on 8/1/2014 is issued a certificate on 8/14/2014. The certificate is issued from 8/14/2014 to 11/14/2015. The operation has a renewal audit in October 2015 and is able to be certified again. The new certificate will start 11/15/2015 for another 15 months. In this example there is no break in certification.  
In the event that an operation does not maintain continuous certification, any lapses may impact the ability to market animals once re-certified. See [5. General Policy Section: Seasonal Poultry Producers Sub-section](#) for exceptions to this requirement.
- v. All Pork operations (farrowing, weaners, nursery, finishers, or any combination of these) are expected to maintain continuous certification. Continuous certification is defined as no lapses in certification once the Operation has entered the Program. For example, an initial audit conducted on 8/1/2014 is issued a certificate on 8/14/2014. The certificate is issued from 8/14/2014 to 11/14/2015. The operation has a renewal audit in October 2015 and is able to be certified again. The new certificate will start 11/15/2015 for another 15 months. In this example there is no break in certification.

- In the event that an operation does not maintain continuous certification, any lapses may impact the ability to market animals once re-certified.
- vi. Beef finishing operations/feedlots are expected to maintain continuous certification. Continuous certification is defined as no lapses in certification once the Operation has entered the Program. For example, an initial audit conducted on 8/1/2014 is issued a certificate on 8/14/2014. The certificate is issued from 8/14/2014 to 11/14/2015. The operation has a renewal audit in October 2015 and is able to be certified again. The new certificate will start 11/15/2015 for another 15 months. In this example there is no break in certification.  
In the event that an operation does not maintain continuous certification, any lapses may impact the ability to market animals once re-certified.
  - vii. Between the effective date of the Policy Manual and 12/31/2015, cow-calf and backgrounding operations are exempt from the requirement to maintain continuous certification.
  - viii. Any cow-calf or backgrounding audits conducted on or after 1/1/2016 will be expected to maintain continuous certification. Continuous certification is defined as no lapses in certification once the Operation has entered the Program. For example, an initial audit conducted on 2/1/2016 is issued a certificate on 2/14/2016. The certificate is issued from 2/14/2016 to 5/14/2017. The operation has a renewal audit in April 2017 and is able to be certified again. The new certificate will start 5/15/2017 for another 15 months. In this example there is no break in certification.
  - ix. If an Operation has a lapse in certification, upon re-audit, any non-conformances observed in the initial or subsequent audits and reported in the re-audit will be considered repeat non-conformances (see 5. General Policy Section: Repeat Non-Conformances Sub-section).
  - x. For Suppliers that have a segmented production chain (e.g. cow-calf, backgrounder and feedyard), each segment of the production chain must receive certification prior to any animal being marketed as Step-rated (see 9. Step Label Use Section: Chain of Custody Requirements: Farms and Processing Plants).
  - xi. For Step 5 and 5+ Operations, if all stages of animal production intended for certification are not observed at the time of the audit, a certificate will not be issued, unless historical records clearly demonstrate compliance to the standards. For example, a farrow-to-finish operation applies for certification - only pregnant gilts are on site and they have not collected any records historically. This Operation cannot be issued a certificate until all stages of production are observed (bred sows, piglets, weaners, and finishers) and the Certifier can verify all aspects of farm management meet the 5-Step™ standards.

- xii. Back verification of Beef Operations will be permitted until September 30, 2015 providing the following four (4) conditions are met:
  - a. Where possible, source farms, ranches, backgrounders and feedyards (collectively referred to as 'operations') are audited and have received their GAP certificate prior to animals shipping off of the property;
  - b. Any company/representative/buyer should support pre-screening and pre-audit preparation of operations to minimize the number of fall out and ineligible animals;
  - c. Prior to the purchase being finalized, either directly or via video auction, any operation must be made aware that they will also need to have a GAP audit prior to the deal being finalized if there is any chance of cattle being utilized for the GAP program; and
  - d. The designated certifier must receive a complete GAP beef application, including signature, prior to an audit being scheduled, and an auditor arriving on-site.
- xiii. The Applicant and/or Designated Representative cannot request or contact a specific Auditor to conduct audits. The Auditor, once authorized to do so by the Certifier, will contact the Applicant and/or Designated Representative directly.
- xiv. Both the Applicant and the Auditor must sign the exit interview form before the Auditor leaves the property.
- xv. Acceptable types of signature for the exit interview form are:
  - a. A hard copy signature by both the Applicant and Auditor; OR
  - b. A signature by both the Applicant and Auditor on an iPad or tablet or equivalent.
- xvi. The Auditor either provides a hard copy of the completed and signed exit interview form for the Applicant before leaving the property OR emails the completed and signed exit interview form to the Applicant within 5 business days.
- xvii. The Auditor provides a copy of the completed and signed exit interview form to the Certifier for their records when submitting the audit form.

### **SEASONAL POULTRY PRODUCERS**

- i. Operations are only considered seasonal if they produce birds for a portion of the year (e.g. July to Nov).
- ii. If an Operation produces birds all year round, but only produces step-rated birds seasonally (i.e. for the holidays), the Operation is not considered a seasonal Operation.
- iii. Seasonal Chicken Operations must have at least one flock observed within 10 days of slaughter per requirements outlined in Section 3.o. in

- the 5-Step™ Animal Welfare Rating Standards for Chicken Raised for Meat v2.0.
- iv. Seasonal Turkey Operations must have the Auditor inspect birds prior to herd and load, as well as observe herd and load per the Clarification in Appendix K. (See 4. Audit Process Section: Video and Technology Sub-section).
  - v. If an Operation has both seasonal and year round production, placement observed at the year round Operation can be used to show compliance to the standards for the seasonal production component of the business providing it is the same hatchery, and process for placement. (See 4. Audit Process Section: Video and Technology Sub-section).
  - vi. If an Operation meets the definition of ‘seasonal producer’ then they are permitted to have a lapse in certification (see Appendix J).
  - vii. If an Operation has a lapse in certification, upon re-audit, any non-conformances observed in the initial or subsequent audits and reported in the re-audit will be considered repeat non-conformances (see 5. General Policy Section: Repeat Non-Conformances Sub-section).

## AUDIT FORMS

- i. Only GAP pre-approved audit forms are to be used on-site by Auditors.
  - ii. The approved audit form provided to the Auditor by the Certifier must be completed in full by the Auditor while on-site.
  - iii. The audit form must also include an exit interview form. The exit interview form must include:
    - a. any potential non-conformances observed by the Auditor
    - b. any discussion between the Applicant and/or Designated Representative and Auditor in response to the potential non-conformances listed
    - c. a statement acknowledging that the non-conformances listed on the audit form are not an exclusive list.
- Note to Audit Forms Sub-section: Article iii.c:** the Reviewer may add or remove non-conformances after conducting a detailed analysis of the audit form and this will be reflected in the audit report
- d. signed and dated by the Auditor, Applicant and/or Designated Representative
  - iv. The Auditor either provides a hard copy of the completed and signed exit interview form for the Applicant before leaving the property OR emails the completed and signed exit interview form to the Applicant within 5 business days.

- v. Auditors submit the completed audit forms to the Reviewer as quickly as possible. Any delays in submitting documentation will need to be approved by the Certifier.

## NON-CONFORMANCES

- i. Non-conformances are identified when an Operation fails to meet a 5-Step™ standard(s) either by the Auditor or Reviewer.
- ii. All non-conformances must be described in the audit report issued by the Reviewer.
- iii. If non-conformances are resolved on-site in the presence of the Auditor, they still need to be recorded on the audit report.
- iv. If a deviation is granted for a non-conformance, that non-conformance still needs to be recorded on the audit report.
- v. There are three categories of non-conformances – Minor, Major and Critical.
  - a. Major non-conformances are defined as having significant impact to the animal, or are prohibited, or impact integrity and step-differentiation, or are considered a fundamental principle of animal welfare;
  - b. Minor non-conformances are defined as those that do not fall under the definition of Major non-conformances; and
  - c. Critical non-conformances are repeat Major non-conformances. See 5. General Policy Section: Repeat Non-Conformances Sub-section. Each species standard has been coded as Minor or Major in Appendix N-Q.
- vi. All non-conformances need to be addressed by the Applicant and/or Designated Representative within 3 weeks from the date that the Certifier issues the audit report.
- vii. Corrective action must include an explanation of why the standard was not met, a plan to correct the issue, an explanation of how that plan will be executed and the date that it will begin. Additional evidence such as photographs, receipts, invoices, etc. can also be provided as supporting material to substantiate compliance with a standard(s). Corrective action must be submitted by the Applicant and/or Designated Representative.

**Note to Non-conformances Sub-section: Article vii:** It is the responsibility of the Applicant and Designated Representative to adhere to any corrective action submitted and agreed to, for the certification period, regardless of whether it is submitted by the Applicant or by the Designated Representative on behalf of the Applicant.

- viii. Corrective action that is submitted after the 3 week deadline will result in a shortened certificate (see [Appendix A](#)). The Certifier determines whether the corrective action is acceptable and meets the time frame of submission.
- ix. For Operations seeking re-certification that don't meet the step-level achieved from the previous certification, an audit report will be issued by the Reviewer detailing which standards the Operation didn't meet for that step-level. The Operation should not be offered a lower step rating automatically – it should be offered the chance to obtain the desired step-level.
- x. For new Operations that are issued non-conformances for a lack of, or incomplete records, those non-conformances can only be cleared by submitting:
  - a. A statement from the Applicant attesting to keeping a record; and
  - b. A template of the record they plan to use.
- xi. For new Operations that have animals that don't meet the standard (for example, a calf crop is castrated later than the maximum castration age or market animals that are face-branded), in order for the Operation to be certified, the identified non-conformances can only be cleared by submitting:
  - a. A statement from the Applicant attesting to changing their management practice at the earliest opportunity; and
  - b. A plan of implementation that details how they will change their management practice.

Existing animals on-site at the time of the audit will be made ineligible, and the certificate marked accordingly to reflect this. Having ineligible animals does not preclude the entire Operation from certification, rather those animals identified as ineligible cannot be marketed as GAP.
- xii. If an Operation has a lapse in certification, upon re-audit, any non-conformances observed in the initial or subsequent audits and reported in the re-audit will be considered repeat non-conformances (see [5. General Policy Section: Repeat Non-Conformances Sub-section](#)).

## REPEAT NON-CONFORMANCES

- i. The Reviewer will check for repeat non-conformances from the Operation's previous certifications. A repeat non-conformance is defined as any non-conformance issued in a previous certification that recurs in a subsequent audit, regardless of which Auditor/Certifier conducted/reviewed the audit.
- ii. When the 5-Step™ Standards are revised, GAP will issue a revised list of applicable standards that will be considered Major and Minor non-conformances and update [Appendix N-Q](#) in the Policy Manual.

- iii. Upon re-certification, any Operation receiving a notification for the same Minor non-conformance as cited in the previous certification will have that Minor non-conformance upgraded to a Major non-conformance.
- iv. Upon re-certification, any Operation receiving a notification for the same Major non-conformance as cited in the previous certification will have that Major non-conformance updated to a Critical non-conformance. Any Operation cited with a Critical non-conformance results in an automatic denial to certification. Once denied, the Applicant will need to reapply and go through the whole process if they want to achieve certification (see 6. Certificates Section: Denials Sub-section).
- v. If an Operation receives the same non-conformance in a previous audit but efforts to address that non-conformance have been made then, at the Certifiers discretion, it may not be considered a repeat non-conformance. For example, in the first audit the Operation had no treatment records, in the second audit, the Operation had treatment records but they were missing one element – this is not considered a repeat non-conformance.

## AUDIT REPORTS

- i. The audit report is compiled and issued by the Reviewer. The report includes a summary of the on-site audit findings, including any non-conformances.
- ii. The Reviewer sends the audit report to the Applicant and/or Designated Representative as quickly as possible after receiving the audit form from the Auditor.
- iii. The audit report includes, at a minimum:
  - a. The Operation name and Supplier, if applicable
  - b. The Operation contact
  - c. The type of Operation
  - d. The date of the audit
  - e. The Auditor's name
  - f. The Reviewer's name
  - g. The step-level the Operation applied for (see also 5. General Policy Section: Non-Conformances Sub-section: Article ix)
  - h. All non-conformances will be identified by Standard number and a detailed description outlining why the Operation did not meet the standard
  - i. Minor, Major and Critical, as well as repeat non-conformances will be clearly identified
  - j. The date corrective action needs to be received (3 weeks from date that audit report is issued) will be listed.

## SWITCHING CERTIFICATION COMPANIES

- i. If an Applicant and/or Designated Representative decides to switch Certifiers, the new Certifier needs to review material from the previous Certifier to check for repeat non-conformances, denials, suspensions and general audit history.

*This may incur a cost to the Applicant and/or Designated Representative, at the discretion of the Certifier.*

- ii. The previous Certifier must receive a written request from the Applicant and/or Designated Representative to share that information with the new Certifier.
- iii. Failure to get the Applicant and/or Designated Representative's request results in the end of the certification process, until the request is received.
- iv. Upon receipt of the written request, the previous Certifier will share the application, audit form, corrective action, outcomes (including denial, suspension, or revocation), certificate decisions and any other related material pertaining to the previous certification with the new Certifier.
- v. In the event that it is discovered that the Applicant and/or Designated Representative did not declare existing current certificates, the Certifier may refuse the request to audit, revoke the certificate, and/or suspend any existing certificates.

## DEVIATIONS

- i. With the exception of deviations authorized by GAP to the Certifiers (see 5. General Policy Section: Deviations Sub-section: Article ii) GAP reviews and determines acceptability of all deviations.
- ii. GAP may grant the Certifier authority to issue deviations:
  - a. If GAP grants the Certifier the authority to grant a deviation, GAP provides the standard, and the specific criteria the Certifier must follow in order to be able to grant the deviation
  - b. In the event that the Operation does not meet all of the qualifying criteria that enables the Certifier the ability to grant the deviation, the Applicant and/or Designated Representative must apply directly to GAP
  - c. The Certifier must maintain a written list of each deviation granted/denied that details, at a minimum:
    - i. Operation name and address
    - ii. Supplier that the Operation is affiliated with
    - iii. Date granted/denied

- iv. Number of animals impacted by the deviation OR entire Operation
  - v. Length of deviation (portion of animals, or entire certification cycle)
- d. The Certifier must send GAP a record of every deviation granted on the same day that the Applicant and/or Designated Representative is notified of approval.
- e. The Certifier must include deviation details in the certificate as stipulated in 5. General Policy Section: Deviations Sub-section: Article x.
- iii. If the Applicant and/or Designated Representative plans to pursue a deviation to the standards they must:
  - a. Complete a deviation request form (located on the GAP website or can be requested from the Certifier)
  - b. All information provided by the Applicant, or on behalf of the Applicant, must be truthful and accurate
  - c. Deviation request forms can be submitted on behalf of the Applicant providing the Designated Representative discloses their information in the appropriate section of the deviation request.
  - d. Complete deviation request forms can be submitted directly to GAP to [deviations@globalanimalpartnership.org](mailto:deviations@globalanimalpartnership.org) or submitted via the respective Certifier.
- iv. Blanket deviation approvals for a Supplier or group of Operations will not be accepted. Deviation requests must be submitted individually, as requests reflect the unique circumstances of the Operation.
- v. GAP/Certifier (for authorized deviations only) reviews each request individually.
- vi. GAP/Certifier (for authorized deviations only) issues a decision as quickly as possible.
- vii. The deviation decision will be issued under one of the following categories:
  - a. Deviation approval certificate/notification
  - b. Deviation denial notification
  - c. Deviation deemed unnecessary
- viii. Where necessary, GAP will seek additional guidance/input from industry experts and scientists as part of the review process.
- ix. If a deviation approval certificate is granted by GAP, it is only valid as stipulated in the certificate (e.g. deviation granted only to a segment/lot of animals, rather than the entire Operation; deviation granted for a couple of months only; deviation granted for the entire certification cycle).

- x. If a deviation approval certificate/notification is granted, the Certifier must include the relevant deviation certificate/notification information on the Step-rating Certificate. Information includes, but is not limited to:
  - a. What the deviation applies to (i.e. whole Operation or portion of the animals); and
  - b. Which standards the deviation was granted for; and
  - c. Expiration date of the deviation
- xi. If a deviation approval certificate/notification is granted during the certification period (i.e. mid-cycle), the Certifier must re-issue the Operation's Certificate, adding the relevant deviation certificate information (see 6. Certificates Section: Article ii.e)

## 6. CERTIFICATES

- i. Certificates must include, at a minimum, the following:
  - a. The step-rating (e.g. Step 1, Step 2 etc.)
  - b. The type of Operation:
    - i. Chickens raised for meat: Broiler or poussin or cornish. Note that poussin or cornish need to be noted on the certificate if the Operation is considered a Multi-Step Operation (see 6. Certificates Section: Multi-Step Operation Sub-section)
    - ii. Turkey: Turkey
    - iii. Pork: farrow to finish, farrow to wean, nursery, finisher
    - iv. Beef cattle: cow-calf, cow-calf-backgrounding, backgrounder, finisher/feedlot ; cow-calf-finisher
  - c. All physical addresses of the Operation (i.e. all known locations listed on the application). A mailing address can be included, but the physical address must be the primary address listed.
  - d. The name of the Operation<sup>2</sup>
  - e. The Supplier that paid for the audit must be listed. See 6. Certificates Section: Article ii.a for information on independents.
  - f. A unique certificate number affiliated with audit (i.e. a unique number that is not repeated)
  - g. The start date and expiry date of coverage using Month, Date, Year (e.g. March 18, 2014)
  - h. The Certifier's Company name
  - i. Address and contact information for the Certifier
  - j. The Certifier's seal or a signature of the Certifier's company representative
  - k. A list of known ineligible animals/flocks/herds observed at the time of the audit. Ineligibility must be clearly marked so that the next location that receives animals will be able to determine eligibility. Examples of clearly marked animals would include, but not restricted to, lot numbers, colored or numbered ear tags, and RFIDs.
  - l. The text "certificate of compliance to the Global Animal Partnership's 5-Step™ Animal Welfare Rating Standards for INSERT SPECIES"
  - m. Reference to the website ([www.globalanimalpartnership.org](http://www.globalanimalpartnership.org))
  - n. A key to different certificate-type designations for independent, upgrade and revised (See 6. Certificates Section: Article ii).

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<sup>2</sup> If there are multiple Operations with the same Operation name, the Certifier may add a contact name to help identify the individual Operation.

- ii. Where applicable, further information needs to be listed on the certificate:
  - a. If the Operation paid for its own audit, the certificate number must have the letter “I” designating its independent status (see 6. Certificates Section: Independent Certificates Sub-section)
  - b. If the certificate is a upgraded the certificate number must have the letter “U” in front of it, designating upgrade status
  - c. If the certificate is revised (e.g. changes in name, ownership & management, location), the certificate number must have the letter “R” in front of it, designating revisions. If multiple revisions are made, the letter “R1” “R2” “R3” will be used.
  - d. If the Operation is a Split Operation it must be noted on the certificate (see 6. Certificates Section: Split Operation Sub-section)
  - e. If the Operation receives a deviation by GAP or the Certifier it must be noted on the certificate (including the standard number and length of time the deviation is permitted for) (see 5. General Policy Section: Deviations Sub-section).
- iii. Operations must receive the highest step-rating that they can achieve. In other words, regardless of the marketing claim of the Supplier who markets their products, the Operation must be assigned the step-rating that reflects the standards that they meet on their Operation.
- iv. For the very first time an Operation comes through the Program (i.e. not the first time working with a particular Certifier but the first time the Operation is audited), the start date of the certificate is based on the date that the Reviewer issues a step-designation and certificate (i.e. all non-conformances are closed out).
- v. Certificates are issued for 15 months from the start date. The expiry date is 15 months after the start date. For example, a certificate issued on 1/10/2014 will expire on 4/10/2015.
- vi. The start date of renewal certificates is dated based on the expiry of the previous certificate. For example, an Operation received a certificate with coverage dates 1/10/2014– 4/10/2015. The Operation has an audit on 3/28/2015. The Reviewer issues the new certificate starting 4/11/2015– 7/11/2016.
- vii. For Operations that are issued non-conformances in their audit report and submit corrective actions after the deadline, the length of the certificate will be shortened according to Appendix A. The Certifier determines whether the corrective action is acceptable and meets the time frame of submission.
- viii. Extensions to certification are not permitted, except under the provisions outlined in Appendix M. If there are extenuating circumstances, the Certifier needs to receive approval from GAP by completing a certificate

- extension request form (group or location scheduling is not considered an extenuating circumstance).
- ix. If an Operation's certificate expires and the Operation wishes to get re-certified, the new certificate starts from the date the Reviewer issues a step-designation and will not back date to the expiry of the old certificate. For example, an Operation received a certificate with coverage dates 1/10/2014– 4/10/2015. The Operation did not get an audit until 6/15/2015. The Certifier issues the new certificate starting 6/30/2015-9/30/2016. During the two month lapse, animals cannot be marketed/shipped/sold as GAP approved. Furthermore, the lapse in certification may also impact the ability to sell GAP animals (see 5. General Policy Section).
  - x. GAP recognizes that there may be lapses in re-certification for seasonal turkey and broiler Operations. This applies only to Operations that raise flocks during a portion of the year (e.g. from July to November). Once the Reviewer is ready to issue a step-designation, the new certificate starts from the date of the audit and will not back date to the expiry of the old certificate. This policy does not apply to any pig or beef Operations.

### MULTI-STEP OPERATIONS

- i. An operation that holds two step levels at the same time is called a Multi-Step Operation. (Note - this is different from a Split Operation).
- ii. Multi-Step Operations mean that the entire Operation is step-rated. The animals must be physically separated and/or identified and there must be a written policy describing how the different step-rated animals are segregated.
- iii. An Operation does not qualify as Multi-Step if they can only meet the standard for part of the year.
- iv. Multi-step Operations are issued two separate certificates (with different certificate numbers) – one for each step rating.

### SPLIT OPERATIONS

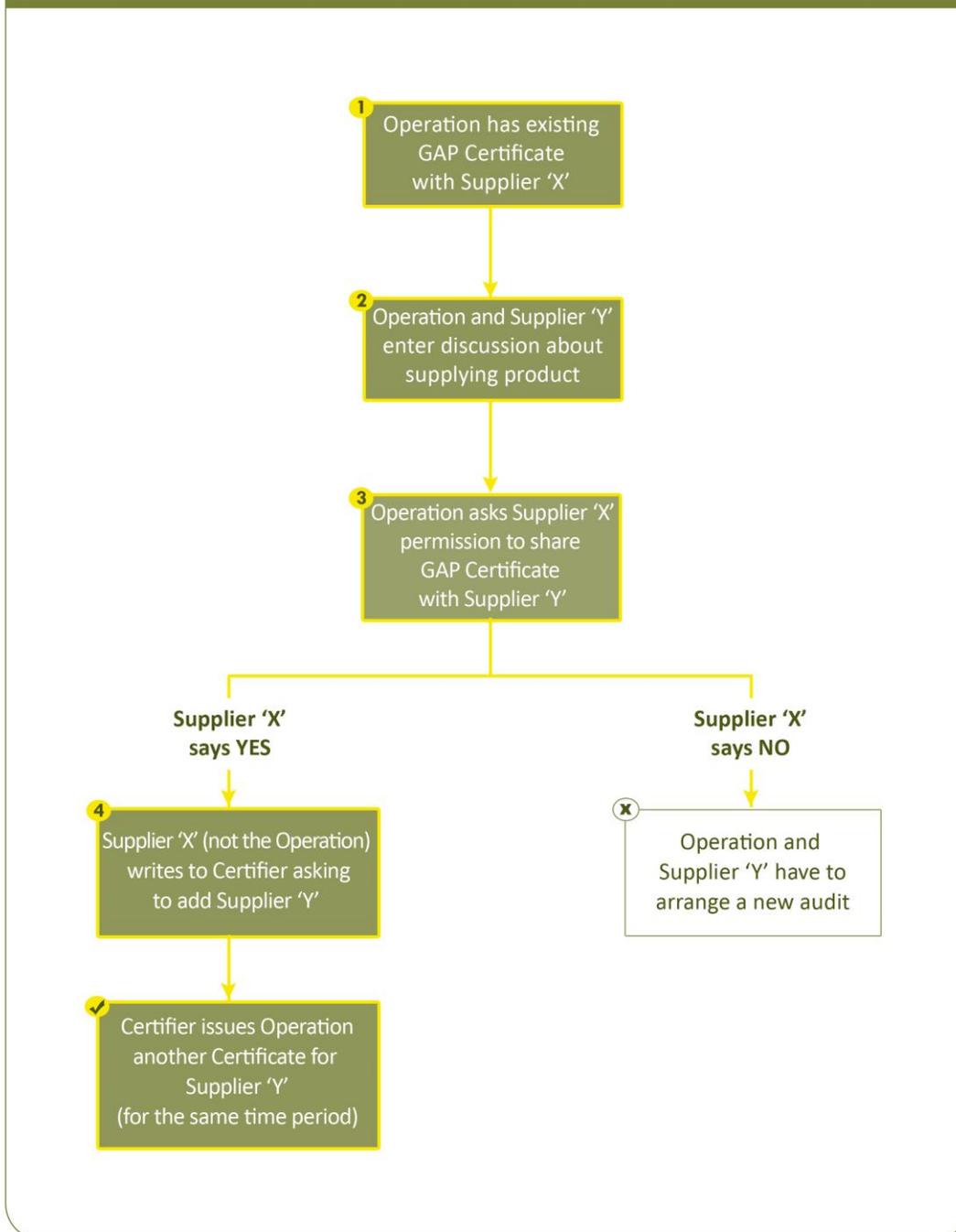
- i. It is possible for an Operation to have part of their Operation step-rated and part of it not step-rated (Split Operation).
- ii. Typically the Operation runs two different systems. The animals must be physically separated, and/or identified and there must be a written policy describing how step-rated animals are segregated from non-step-rated animals.
- iii. Certificates are issued indicating that they are a split operation (see 6. Certificates Section: Article ii.d).

- iv. Pig Operations that are considered a Split Operation, where the non-step-rated portion uses crates, are prohibited.

### SHARED OPERATIONS

- i. It is possible for an Operation to be shared by two or more Suppliers (Shared Operations).
- ii. Operations that are certified with one Supplier and wish to have their certificate shared with another Supplier so that animals can be marketed to the other Supplier, need to request that the original Supplier write directly to the Certifier and request a new certificate with the second Supplier. The Certifier will issue a new certificate and certificate number with the second Supplier listed (*Figure 3*).

**FIGURE 3** Process for Sharing Certificates



## INDEPENDENT CERTIFICATES

- i. To qualify for an independent certificate, the following criteria must be met:
  - a. The Applicant pays for its own audit OR;
  - b. The original party that paid for the audit grants the Certifier approval to issue the Operation with an independent certificate
- ii. The Applicant is responsible for following GAP chain of custody requirements, which requires label registration with the appropriate regulatory agency (e.g. FSIS) if the Operation will be marketing meat as GAP certified
- iii. As part of the Certifier's document release requirement, the Applicant agrees to allow the Certifier to release certification details to GAP including the Operation's name, address, number of animals, certificate number and step-rating as well as any denials, suspensions or revocations that may be issued.
- iv. The certificate must indicate that the Operation is an independent, using the letter "I" on the certificate.
- v. If an Operation has an independent certificate, they are free to market those animals as step rated, and sell to their chosen Entity.

## UPGRADES

- i. If an Operation wants to achieve a higher step-rating than the step-rating achieved, they must provide additional evidence to their certifier that they meet the criteria of the higher-step rating through documentation, photographs, and statements.
- ii. Verification of outdoor access needs to be visually observed by the Auditor and/or Reviewer to receive an upgrade. Visual observation can include the use of video technology per 4. Audit Process Section: Video and Technology Sub-section.
- iii. The evidence provided to the Certifier must address how the Operation meets each step-differentiator, and any other relevant standards the Certifier deems necessary.
- iv. The Certifier can decide whether the evidence provided supports their claim or if on-site verification is required.
- v. If an upgrade is allowed, the original certificate will be re-issued using the same certificate number. The re-issued certificate must have an indicator on it that demonstrates it's been changed (e.g. with the letter 'U' to represent an Upgrade). The start date of the upgraded certificate must reflect the date the upgrade decision was approved and the end date must reflect the original expiry date.

## DENIALS

- i. A denial occurs during the audit process after an audit has been conducted. The Operation does not receive a certificate.
- ii. An Operation can be denied if:
  - a. the Auditor is not permitted to areas of the Operation
  - b. there is a Critical non-conformance
  - c. at the Reviewer's discretion, there are significant animal welfare concerns and/or program integrity concerns
- iii. If the Operation is denied, a notification of denial must be sent to the Applicant and/or Designated Representative – no certificate will be sent.
- iv. The denial letter must state the reason for denial and that it will go into effect immediately. Any existing certificates will be revoked by the Certifier (see 6. Certificates Section: Certificate Revocation Sub-section).
- v. The denial letter is sent by the Certifier to all stakeholders impacted by the Operation's denial status. Stakeholders include but are not limited to the Operation, Applicant, Supplier, and GAP.
- vi. Operations that are denied and want to reapply for certification need to have an on-site audit.
- vii. There is no time restriction for denied Operations that want to reapply for certification.

## SUSPENSION

- i. A suspension can occur during an Operation's current certificate period and results in a temporary cessation of certification, or may lead to revocation.
- ii. Operations may be suspended if they make substantial changes to their Operation without prior notification (see 2. Roles & Responsibilities Section: Applicants Sub-section) or if significant issues related to compliance are brought to the Certifiers attention.
- iii. The certificate is suspended and notification is sent by the Certifier to all stakeholders impacted by the Operation's suspension. Stakeholders include but are not limited to the Operation, Applicant, Supplier, and GAP.
- iv. Operations that are suspended have the opportunity to provide material to the Certifier that would permit the Certifier to re-evaluate the Operation's status. This communication needs to occur within 30 days.
- v. Certifiers will re-evaluate the material provided and issue a decision. That decision will be either to remove the suspension or uphold the suspension. If the decision is to uphold the suspension, the certificate will be revoked (see 6. Certificates Section: Certificate Revocation Sub-section).

- vi. Operations that are suspended and do not contact the Certifier within 30 days, will automatically result in a certificate revocation (see 6. Certificates Section: Certificate Revocation Sub-section).

### **CERTIFICATE REVOCATION**

- i. A revocation is a permanent end to an Operation's current certificate.
- ii. Operations may be revoked if significant issues related to compliance, animal welfare concerns and/or program integrity concerns are brought to the Certifiers attention, or if a certificate is suspended and the Operation does not contact the Certifier within 30 days.
- iii. The certificate is revoked and notification is sent by the Certifier to all stakeholders impacted by the Operation's revocation. Stakeholders include but are not limited to the Operation, Applicant, Supplier, and GAP.
- iv. Operations that are revoked and want to reapply for certification need to have an on-site audit.
- v. There is no time restriction for revoked Operations that want to reapply for certification.

## 7. APPEAL OF CERTIFICATION DECISIONS

- i. If the Applicant and/or Designated Representative feels the certificate decision has been made in error or objects to the certificate decision, they may present information to appeal the decision. To make an appeal, the Applicant and/or Designated Representative must send the Certifier, in writing, the reasons for the appeal along with evidence to support their argument.
- ii. If the Applicant and/or Designated Representative objects to the certificate decision, the Operation cannot request an audit from a different Certifier. The Operation needs to go through the appeal process with the Certifier that issued the certificate decision.
- iii. The Certifier must receive the appeal within 30 days from the date that the certificate decision is issued.
- iv. All decisions related to the certification status of the Operation remain in force until the appeal is settled.
- v. The Certifier reviews the information and decides whether the decision and step-level should be changed or remain in effect. The Certifier must communicate the decision to the Applicant and/or Designated Representative within 30 days upon receiving the appeal.
- vi. If the Reviewer decides that a change in decision is appropriate, a new certificate and certificate number will be issued, with an indicator to demonstrate it has been changed (e.g. with the letter 'R' to represent a revision).
- vii. The original certificate will be revoked and notification of the appeal decision will be sent to all stakeholders impacted by the Operation's change in step-rating.

## 8. COMPLAINTS

GAP's goal is to operate its Program with integrity and transparency. GAP recognizes that complaints about the Program may arise and the following section describes the complaints process.

- i. Complaints about the GAP Program may include, but are not limited to:
  - a. existing certified operations
  - b. conduct of personnel, such as GAP & associated Staff, Certifiers, and Auditors
  - c. the certification process
- ii. Complaints by certified Operations pertaining to their own certification decision are handled under Appeals (see [7. Appeal of Certificate Decisions Section](#)).
- iii. Complaints should be submitted to [complaints@globalanimalpartnership.org](mailto:complaints@globalanimalpartnership.org) and should include dates of the incident, the names of involved parties, and any other evidence documenting the claims made.
- iv. Complaints will be handled on a case-by-case basis.
- v. GAP will acknowledge receipt of each complaint.
- vi. The case is assigned to an appropriate Investigator depending on the nature of the complaint.

*If a Certifier is required to go on-site to conduct an investigation, this may incur a cost to the Applicant and/or Designated Representative that the complaint is made about, at the Certifier's Discretion.*

- vii. The Investigator examines and reviews the documentation to validate and determine the course of action:
  - a. Further investigation of Claim; or
  - b. Resolution of Claim; or
  - c. Dismissal of Claim.
- viii. Upon final decision of the claim, the Investigator notifies the appropriate parties as soon as possible.

## 9. STEP LABEL USE

### CHAIN OF CUSTODY REQUIREMENTS: FARMS AND PROCESSING PLANTS

GAP requires Suppliers and processing facilities to adhere to the following chain of custody program for product being sold as 5-Step™ rated at store level.

- i. Any product(s) marketed and sold as Step-rated product must be from a 5-Step™ certified Operation. A 5-Step™ rated Operation is a farm/ranch that has received a certificate from a Global Animal Partnership accredited Certifier.
- ii. All stages of production must be successfully certified prior to selling Step-rated product (i.e. all cow-calf, stocker, backgrounder, feedlot etc.).
- iii. If a Supplier utilizes an integrated production system (i.e. where farms specialize in a specific stage of production), and the Operations are certified to different steps (i.e. cow-calf operations are rated a Step 4, and the feedlot is rated a Step 1) then product at store level is always rated at the lowest step-rating (in this example, it would be a Step 1).
- iv. If a Supplier is able to segregate animals from Operations certified at different step ratings (e.g. through the use of pods), then the Supplier can market product under different step ratings. In this case, the conditions of Step Label Use Section: Article ii must still be met. The Supplier must be able to provide product consistently, or within a given seasonal window, in order to utilize this option.
- v. Operations must have an off-farm animal Transport Record that includes the:
  - a. Step rating
  - b. Certificate number
  - c. Certificate expiry date
  - d. Designate if it's farm-to-farm movement, or farm-to-processing movement
  - e. Deviation information (what it applies to, which standard it covers and expiration date)

Operations may use their actual 5-Step™ certificate in place of a Transport Record.
- vi. Any time animals/birds are moved to a new location, the certified Operation must complete a Transport Record with each shipment. This includes movement to a new Operation or processing facility or any other location.
- vii. A copy of the Transport Record from each animal shipment must be kept (for every certified Operation) for review by the Auditor at re-certification.

- viii. The processing facility must have a written segregation protocol in place that ensures Step-rated animals and product is kept separate from non-Step-rated animals and product at the facility.
- ix. Each processing facility that handles Step-rated animals must have an FSIS label claim approval on file. The marketing claim must be visible on the exterior box containing step rated product. See Appendix R for submitting label claims and Appendix S for a list of specific marketing call outs with required verbiage for GAP product.

## 10. DEFINITIONS

- i. **APPLICANT AND/OR DESIGNATED REPRESENTATIVE:** the person at the Operation seeking GAP certification. This person may also use a Designated Representative affiliated with a Supplier to help with the certification process.
- ii. **APPLICATION:** a standardized document that's use to determine eligibility to the program; provide information to schedule the audit (locations, # of animals, size of operation); provide background information for the Auditor; and provide GAP demographic information around the operations in the program.
- iii. **APPEAL:** an Applicant and/or Designated Representative that feels a certificate decision was made in error or objects to the certificate decision, may present written information to appeal the decision to the Certifier. This information must include the reasons for the appeal and evidence to support their argument.
- iv. **AUDIT:** an independent on-site evaluation of an Operation, animals, and records to verify compliance with the GAP 5-Step™ Animal Welfare Rating Standards. The audit is conducted by a third-party Auditor.
- v. **AUDITOR:** a person affiliated with the Certifier and responsible for conducting on-site audits. Auditors do not issue certificate decisions.
- vi. **AUDIT FORM:** a standardized form that covers all audit points and is used to collect the Auditor's observations while conducting the 5-Step™ audit on-site. The form is completed by the Auditor.
- vii. **AUDIT REPORT:** a report compiled by the Reviewer, based on the Audit Form submitted by the Auditor and any additional information supplied by the Applicant after the audit has occurred. The report summarizes the on-site audit, including any non-conformances.
- viii. **BACK VERIFICATION:** going back to audit an Operation to verify compliance to the standards after animals are at a new Operation. For example, buying non-GAP cattle to go to a feedlot, and then getting the GAP audit conducted on that cow-calf operation after the fact.
- ix. **CATCHING FORM:** a standardized form to collect the Auditor's observations of catching of broiler chickens.

- x. **CERTIFICATE:** a document provided to the Applicant confirming certification to the 5-Step™ Program. The certificate includes the step-level plus other relevant details.
- xi. **CERTIFICATE EXTENSION REQUEST FORM:** a standardized form to request an extension to an existing certificate.
- xii. **CERTIFICATION DECISION:** provided to the Applicant by the Reviewer – may include a notification letter, request for further information, or a certification package.
- xiii. **CERTIFICATION PACKAGE:** documents affiliated with an Operation’s certification to the 5-Step™ Program including the Audit Report, Certificate, Deviation Approval Certificate/Notification (if necessary) and any other relevant material.
- xiv. **CERTIFIER:** a GAP approved Certification Company that is responsible for the overall verification of Operations.
- xv. **CLARIFICATION:** a formal explanation designed to make the interpretation of a standard clearer.
- xvi. **CORRECTIVE ACTION:** supplied by the Applicant and/or Designated Representative, includes an explanation of why the standard was not met, a plan to correct the issue, an explanation of how that plan will be executed and the date that it will begin.
- xvii. **DENIAL:** an Operation can be denied if they do not permit the Auditor to areas of the Operation or there is a critical non-conformance or at the Reviewer’s discretion, there are significant animal welfare and/or program integrity concerns. The Operation does not receive a certificate.
- xviii. **DEVIATION APPROVAL CERTIFICATE:** a document, issued by GAP, provided to the Applicant confirming deviation from the requested standard(s).
- xix. **DEVIATION APPROVAL NOTIFICATION:** a notification included in the Reviewer’s Audit Report, provided to the Applicant, confirming deviation from the requested standard(s).
- xx. **DEVIATION REQUEST FORM:** a standardized form to request a deviation from a particular standard.

- xxi. **EXIT INTERVIEW FORM:** a summary of the Auditor’s observations by corresponding standard section, including any additional information the Operation wants the Reviewer to be aware of.
- xxii. **GUIDANCE:** informal advice in response to a question on the standards.
- xxiii. **HERDING & LOADING FORM:** a standardized form to collect the Auditor’s observations of herding and loading of turkeys.
- xxiv. **INDEPENDENT:** an Operation that either by pays for its own audit or the original party that paid for the audit grants the Certifier approval to issue the Operation with an independent certificate. Designated with “I” on the certificate.
- xxv. **MULTI-STEP OPERATIONS:** an Operation that runs the entire farm under the step-rating standard and holds two or more step ratings.
- xxvi. **NEW OPERATION:** an Operation that has never had a GAP audit. Operations that have had a GAP audit previously, but are switching Certifiers may be new to the Certifier, but are not considered new to the Program.
- xxvii. **NON-CONFORMANCE:** failure to meet a 5-Step™ standard, identified in the Audit Report. The standard, standard number and a description of how the standard is not currently met are provided in the Audit Report. There are three categories of non-conformance: minor; major; and critical.
- xxviii. **OPERATION:** farm, ranch or other location that raises animals. Please refer to species specific standards on the definition of Operation.
- xxix. **RENEWAL OPERATION:** an Operation that has had a GAP audit (not necessarily a certificate). The Operation may have a lapsed period of time between audits, or may not have received a certificate, or received a certificate.
- xxx. **REPEAT NON-CONFORMANCE:** any non-conformance issued in a previous certification that recurs in the subsequent audit, regardless of which Auditor/Certifier conducted/reviewed the audit.

- xxxi. **REVIEWER:** a person affiliated with the Certifier, responsible for reviewing the Auditor's audit form and determining a certificate decision and the appropriate step-level for the Operation audited.
- xxxii. **REVOCAION:** a permanent end to an Operation's certificate. Operations may be revoked if significant issues related to compliance, animal welfare concerns and/or program integrity concerns are brought to the Certifiers attention, or if a certificate is suspended and the Operation does not contact the Certifier within 30 days.
- xxxiii. **SCHEDULING DEVIATION REQUEST FORM:** a standardized form to request a deviation from the audit scheduling policy.
- xxxiv. **SCORECARD:** an overall summary of the Operation's performance to each section of the Standards by step level.
- xxxv. **SHARED OPERATIONS:** an Operation that is shared by two or more Suppliers.
- xxxvi. **SHIPMENT:** the transfer of animals from one operation to another operation, or from an operation to a collection point/assembly yard (pork only), and/or from an operation or collection point/assembly yard to processing plant. Transparency around animal shipments is important for the maintenance and integrity of chain of custody.
- xxxvii. **SPLIT OPERATIONS:** an Operation that has part of their operation step-rated and part of it not step-rated.
- xxxviii. **SUPPLIER:** a company that supplies GAP rated product (includes groups such as a supplier group, vendor, alliance, co-operative, marketing entity, or related group.)
- xxxix. **SUSPENSION:** a temporary suspension of an Operation's certificate. Operations may be suspended if they make substantial changes to their Operation without prior notification or if significant issues related to compliance are brought to the Certifier's attention.

## 11. CERTIFIER CONTACT INFO

### **EARTHCLAIMS LLC**

107 S West St, #818  
Alexandria, VA 22314

Office: 202 596 5592  
Fax: 202 449 8316  
[www.earthclaims.com](http://www.earthclaims.com)

### **IMI GLOBAL INC**

221 Wilcox St  
Castle Rock, CO 80104

Office: 303 895 3002  
Fax: 877 258 4535  
[www.imiglobal.com](http://www.imiglobal.com)

### **AUS-MEAT LTD (in Australia & New Zealand only; for beef only)**

PO Box 3403  
Tingalpa, QLD 4172  
Australia

Office: +61 (07) 3361 9200  
Fax: +61 (07) 3361 9222  
[www.ausmeat.com.au](http://www.ausmeat.com.au)

## APPENDICES

### APPENDIX A – CERTIFICATE LENGTH FOR LATE CORRECTIVE ACTION SUBMISSION

For corrective action submitted after the 3 week deadline, the following will apply:

Corrective action submitted after the 3 week time frame	Certifier will remove the following time period from the original 15 month certificate
1 week overdue	2 weeks
2 weeks overdue	4 weeks
3 weeks overdue	6 weeks
4 weeks overdue	8 weeks
5 weeks overdue	10 weeks
6 weeks overdue	12 weeks
7 weeks overdue	14 weeks
8 weeks overdue	16 weeks
9 weeks overdue	18 weeks
10 weeks overdue	20 weeks
11 weeks overdue	Re-audit necessary

## **APPENDIX B – CLARIFICATION ON PAIN RELIEF REQUIREMENT FOR CATTLE**

Standard 5.6.1 (Steps 1 – 4) of Global Animal Partnership’s 5-Step Animal Welfare Rating Standards for Beef Cattle states: “If calves are to be disbudded, the procedure must occur prior to 6 weeks of age. Short-term pain relief must be used when disbudding calves with a hot iron.”

Given that:

1. none of Global Animal Partnership’s 5-Step Animal Welfare Rating Standards may supersede local, regional, or national regulations or laws,
2. at this time, there are no analgesic drugs specifically approved in the United States for alleviating pain in cattle, and
3. the 5-Step Standards prohibit the use of off-label / extra-label medication,

the requirement to administer short-term pain relief when disbudding calves with a hot iron is not applicable in the United States at this time.

## **APPENDIX C – CLARIFICATION ON REMOVAL FROM PASTURE FOR CALVING AND WEANING**

Given that:

1. standards 7.1.1 and 7.1.2 in the 5-Step Animal Welfare Rating Standards for Beef Cattle can benefit from further clarification,
2. the welfare of animals is of paramount importance to Global Animal Partnership, and
3. removing animals from pasture for calving and/or weaning may heighten or, at a minimum, protect the welfare of animals,

we find that the removal of animals from pasture for calving and/or weaning for a total of no more than 21 cumulative days is not a violation of standards 7.1.1 and 7.1.2. Containment areas must meet all housing requirements set forth in Section 8 of the 5-Step Animal Welfare Rating Standards for Beef Cattle. Record(s) must be

made available to the auditor and/or certifier to verify dates animals have been removed from pasture for calving and/or weaning.

## **APPENDIX D – CLARIFICATION ON CATTLE IDENTIFICATION**

Given that:

1. standard 5.3.2 in the 5-Step Animal Welfare Rating Standards for Beef Cattle (“All animals must be individually identified”) can benefit from further clarification,
2. standard 5.3.1 requires that producers be able to demonstrate traceability of all GAP-rated animals, including all locations where each animal has been kept since birth, and
3. the welfare of animals is of paramount importance to Global Animal Partnership,

we find that all animals must be individually identified for traceability and source-verified to meet in-country requirements. For those animals raised in countries without identification requirements, each animal must be uniquely identified.

## **APPENDIX E – CLARIFICATION ON SHELTER AND HOUSING FOR STEP 2 CERTIFICATION OF BEEF SITES**

Standard 7.2.3 (Step 2) requires that “[a]ll animals in outdoor areas must have continuous access to a structure for shelter,” and “shelter” is explained through corresponding Producer Guidance as “housing, a roofed loafing shed, lean-to, or other such structure.”

Open- or curtain-sided structures with roofing qualify as “shelter,” whereas enclosed, four-sided structures with roofing qualify as “housing.”

We understand that in certain regions, inclement weather and conditions (e.g., drought, excessive precipitation) have had, and continue to have, negative impacts on the welfare of cattle and that their welfare can be heightened by electing to keep them under shelter in the outdoor area.

For those operations in regions with inclement weather and conditions that necessitate the keeping of cattle under shelter in outdoor areas for extended

periods of time (i.e., for a period longer than a single passing storm or specific weather event), the shelter must meet the following criteria:

1. allow for all animals to lie down and get up simultaneously without bumping or pushing another animal\*
2. have dry, non-toxic bedding of sufficient quantity to provide comfort and protection for all animals
3. have solid flooring that minimizes the possibility of animals slipping
4. be maintained such that animals are not at risk of injury
5. include objects on which animals can scratch or groom themselves
6. provide protection from heat or cold stress, and from extreme weather

\* In these cases of keeping cattle under shelter in outdoor areas due to inclement weather and adverse conditions, standard 7.4.1 requiring a minimum of 250 ft<sup>2</sup> / 24 m<sup>2</sup> per animal is not applicable.

## APPENDIX F – CLARIFICATION ON THE FINISHING OF CATTLE FOR STEP 1 AND 2

Standard 7.1.2 (Steps 1 - 2) of the 5-Step Animal Welfare Rating Standards for Beef Cattle permits cattle to be removed from range or pasture for finishing. **However, no standards allow for the finishing of cattle without outdoor access.**

Standards listed under 7.2: Outdoor Conditions, 7.3: Outdoor Access from Seasonal Housing, and 7.4: Outdoor Confinement Conditions are applicable to Step 1 and/or Step 2 and dictate requirements for occupied outdoor areas.

Note that standards in 7.3: Outdoor Access from Seasonal Housing are applicable to all cattle in Step 1 and Step 2 whether they are removed from range or pasture for finishing; when seasonal conditions compromise the welfare of animals; or during extreme weather conditions when the outdoor environment poses a risk to welfare.

## APPENDIX G – CLARIFICATION ON STANDARD 7.4.1 (OUTDOOR CONFINEMENT CONDITIONS) FOR THE FINISHING OF BEEF CATTLE

Standard 7.4.1 (Steps 1 - 4) of the 5-Step Animal Welfare Rating Standards for Beef Cattle requires that cattle confined in an outdoor area must be given a minimum of 250 ft<sup>2</sup> / 24 m<sup>2</sup> per animal.

An “outdoor area” is any (1) range or pasture with less than 50% vegetative cover, (2) yard, (3) lot, or (4) other outdoor area occupied by cattle.

Cattle are “confined” in an outdoor area if the area (as defined above) is fenced, penned, or otherwise restricts the animals from entering or exiting at will.

**IF** the outdoor area (1) contains a structure for shelter, such as housing, a roofed loafing shed, a mono-slope building, a hoop barn, or a lean-to; and (2) animals have free access to the shelter structure, **THEN** the area of that shelter structure can be included when determining space allotment per animal.

This clarification is specific to standard 7.4.1 (Outdoor Confinement Conditions) and does not impact any other standards, such as 7.3.1 and 7.3.2 (Outdoor Access from Seasonal Housing).

## **APPENDIX H – GAP CLARIFICATION ON STANDARD 3.2.3 (APPROVED EUTHANASIA METHODS FOR PIGLETS)**

Standard 3.2.3 (All Steps) requires that any animal that is suffering from a non-recoverable illness, injury, or condition, must be promptly euthanized on-farm using an approved method.

This clarification is to confirm that the use of non-penetrating captive bolt guns, pistols or stunners on piglets up to and including 20 lbs (9 kg), according to the manufacturers instructions, is permitted under Global Animal Partnership 5-Step Animal Welfare Rating™ Standards for Pigs 08-13-09.

## **APPENDIX I – CLARIFICATION ON PERFORMING (GAWEs) ON CATTLE PRODUCTION SITES**

Global Animal Partnership’s 5-Step Animal Welfare Rating Standards for Beef Cattle are designed, as much as possible, on animal-based measures. As such, our Animal Welfare Evaluation tool was developed to best assess the welfare of animals—both as individuals and within representative groups—in various stages of production. Ideally, inspectors aim to perform three GAWEs on three distinct groups of animals to provide as broad an overview of overall welfare as possible.

Given that:

1. it is not uncommon within the beef industry for animals to change ownership and be relocated several times throughout their lives,

2. animal welfare evaluations, as well as evaluations of operations, management, oversight, and other practices and procedures, collectively allow for assessment of the overall production cycle, and
3. different sites throughout the production cycle must be inspected,

some sites may be inspected without animals present at the time of audit. In these instances, inspection of the facility itself, description of handling techniques (if relevant), review of records, protocols, and processes, as well as other assessments, are to be performed without the use of GAWEs.

As well, given that:

1. some ranches or ranges may be so extensive that reaching a single group of animals may take several hours or more, and
2. GAP encourages responsible extensive production systems,

the ideal of performing three GAWEs on three distinct groups of animals may not be feasible without undue hardship. In these instances, two GAWEs on two distinct groups of animals within the single larger group may be performed.

## **APPENDIX J – GUIDANCE ON RE-CERTIFICATION OF SEASONAL TURKEY PRODUCERS**

Global Animal Partnership’s 5-Step Animal Welfare Rating Standards program does not require operations to hold contiguous 5-Step certificates—i.e., a certificate that goes into effect immediately upon expiration of the previous certificate.

However, a valid 5-Step certificate must be in effect at the time any animals are marketed as Step-rated.

As such, seasonal turkey producers—those who raise turkeys (1) specifically and only for holiday sales and/or (2) only during certain weather conditions (e.g., flocks raised outdoors only from April to October)—may have lapsed 5-Step certification between seasonal flocks.

## **APPENDIX K – CLARIFICATION AND GUIDANCE ON TIMING OF FLOCK INSPECTIONS FOR SEASONAL TURKEY PRODUCERS**

According to 3.i of the Program Overview of the 5-Step Animal Welfare Rating Pilot Standards for Turkeys (v1.1):

“An operation that markets its own birds must have at least 1 flock inspected when turkeys are within 14 days of slaughter. For operations that market birds through an affiliated group (e.g., a producer group, co-operative, marketing entity), rather than under the operation’s own name or brand, 50% of the operations must have 1 flock inspected when turkeys are within 14 days of slaughter; 10% at placement; and the remaining 40% when the turkeys are at any age. Consideration for the above requirements will be given during initial certification for seasonal producers.”

To further clarify timing of flock inspections for seasonal producers:

For seasonal producers who market their own birds (i.e., not through an affiliated group), the on-site audits of flocks must include herding and loading.

Certification companies are encouraged to schedule audits so that the auditor is able to inspect birds prior to herding and loading, as well as observe the herding and loading process. Standards for placement, the brooding area, poult transport, and other related requirements can be assessed for compliance through review of required records and documentation, and interview.

## APPENDIX L – ENRICHMENTS – A GUIDE FOR CHICKEN FARMERS AND RANCHERS V1.0

This Guide, issued on June 5, 2013, provides examples and discussion on why, or why not, different provisions are acceptable enrichments. Certification companies authorized by Global Animal Partnership to assess compliance to the 5-Step Animal Welfare Rating Standards for Chickens Raised for Meat will use the information in this Guide beginning December 1, 2013, in making their determinations. The six-month implementation period from the Guide’s issue date to effective date gives farmers and ranchers the time to modify their practices, if necessary. If producers offer provisions not included in this Guide, inquiries as to their acceptability in meeting 5-Step enrichment standards can be directed to [standards@globalanimalpartnership.org](mailto:standards@globalanimalpartnership.org).

Chickens, like other animals, benefit from a rich environment that is stimulating and allows for them to engage in natural behavior. Providing enrichments, whether inside barns or in outdoor areas, can improve the welfare of birds in a commercial setting.



Enrichments<sup>3</sup> can take many forms, such as objects like hay bales, natural materials like scattered grains, structures like raised platforms, and more.

The *aim* of an enrichment, however, is to:

1. add stimuli and novelty to the animals’ environment
2. evoke—and maintain—their interest, and
3. improve their physical, behavioral, and/or mental well-being.



Enrichments that encourage natural behavior important to chickens, such as ground scratching, pecking, and foraging, are among the most meaningful. As well, those that increase physical activity and promote exercise can minimize undesirable and even harmful behavior, including aggression, feathering pecking, cannibalism, flightiness, and distress. (Provisions that are fundamental to the welfare, including health, of the

<sup>3</sup> Global Animal Partnership’s 5-Step Animal Welfare Rating Standards for Chickens Raised for Meat (v2.0) outlines the requirements for enrichments and provisions at different Step levels. Please see standards 5.12 to 5.21 in the HOUSING section and standards 6.9, 6.14, and 6.15 in the OUTDOOR CONDITIONS section.

birds, such as dust-baths and litter, are not considered to be enrichments as they are basic requirements.)

Of course, enrichments should also ensure that chickens are safe and not put at risk of injury or stress. So, not all enrichments are the same in terms of how well they actually do “enrich” the chickens’ environment.

Enrichments can benefit animals raised in any setting, whether exclusively indoors, with outdoor access, or on pasture or foraging areas. By introducing these interactive elements, the lives of chickens can most certainly be enhanced.

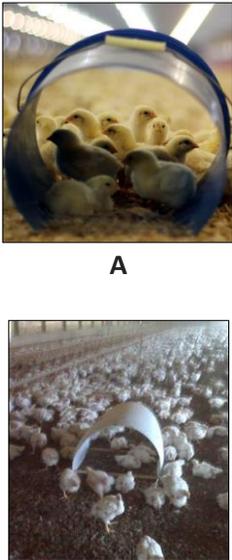
### Examples of Acceptable (and Unacceptable) Enrichments

The chart below lists acceptable and unacceptable provisions. It is by no means exhaustive. The examples and discussion on why, or why not, they are acceptable enrichments are meant to help understand what provisions are most meaningful to the chickens.

ACCEPTABLE ENRICHMENTS	UNACCEPTABLE ENRICHMENTS
type	type
bales	non-edible hangers
grains	music and radio
edible hangers	litter and dust baths
forage bins, baskets, and boxes	feeders and waterers
structures ( <i>e.g., raised platforms, ramps, and boxes</i> )	
tunnels	

ACCEPTABLE ENRICHMENTS		
<b>Bales</b>	<p>Bales of hay or straw promote physical activity, encourage pecking and foraging behavior, provide a roosting area, stimulate the chickens’ curiosity, and more. Chickens are able to improve their leg health by jumping on and off the bales, as well as satisfy their pecking and foraging needs, as they interact with and manipulate the bales with their beaks. These enrichments provide an interesting addition to the birds’ environment and encourage them to explore and investigate.</p>	

<p><b>Grains</b></p>	<p>Chickens enjoy a wide range of foods and have an extremely strong drive to forage, scratch, and peck. Introducing grains through a number of different ways—such as scattered loosely (i.e., not in feeders), offered in sack bird feeders, or by supplying “grain blocks”—chickens can actively engage in seeking out food in a more natural way. And, for birds raised indoors, scattered grains stimulate increased scratching and pecking, which can help maintain litter quality.</p> <p><b>(NOTE:</b> Any foodstuffs given to the birds, including enrichments, must meet the 5-Step standards, which prohibit mammalian, avian (including eggs), and fish by-products. See standards 4.10 to 4.12.)</p>	
<p><b>Edible hangers</b></p>	<p>Given chickens’ strong desire to investigate and explore, peck and forage, edible hangers are also effective enrichments. Suspending broccoli, heads of lettuce, cabbages, eucalyptus branches, alfalfa or oat hay bunches, and other foods has the added benefit of stimulating physical activity.</p> <p>The photo to the right shows hanging eucalyptus branches, as well as bales of hay with ramps serving as blinds—a total of three types of enrichments.</p>	
<p><b>Forage bins, baskets, and boxes</b></p>	<p>Birds explore through pecking and visual inspection, so adding new objects to their houses or outdoor areas can stimulate activity. Forage bins, boxes, and baskets that are filled with foods other than the chickens’ daily feed are offered in addition to customary feeders can be an effective enrichment, as the chickens are provided with a novel and engaging way to find food. They can be wall-mounted, set on low risers, or directly on the ground.</p>	

<p><b>Structures</b></p>	<p>Walking, running, jumping, climbing, and wing flapping are normal locomotive activities of chickens of all ages. Structures, such as raised platforms, ramps, and boxes, encourage birds to exercise and engage in the vertical space of the environment. Cover panels and blinds (vertical barriers) are also important as they allow chickens to seclude or isolate themselves from other birds who may be seeking to establish a pecking order. For birds raised outdoors, cover panels in particular are useful as they help provide protection from aerial predators.</p>	
<p><b>Tunnels</b></p>	<p>Tunnel-like provisions—for example, plastic buckets with the bottoms removed or half-barrels—are inexpensive and easily cleaned. They can be interesting to the chickens and enable them to isolate themselves from other birds (i.e., serving also as blinds, which are required in the 5-Step standards). However, as with all other enhancements, they need to be accessible, engaging, and usable by the birds. Depending on the size of the “tunnels,” they may become too restrictive for the chickens to enjoy as they grow and should be replaced with a different enrichment that is appropriate for the size of the birds.</p> <p>Photo <b>A</b> to the right shows several chicks engaging with a bottomless bucket. However, as the birds grow, the provision will be too restrictive and too small for more a limited number of birds to use at any time. In contrast, photo <b>B</b> shows a half-barrel that is large enough for fully grown chickens to use.</p>	 <p style="text-align: center;"><b>A</b></p> <p style="text-align: center;"><b>B</b></p>

<b>UNACCEPTABLE ENRICHMENTS</b>	
<b>Non-edible hangers</b>	<p>Chickens begin exploring their environments from a very young age, and some farmers and ranchers have tried suspending CDs, aluminum cans, plastic bottles, pieces of rubber hose or PVC tubing, plastic colored keys, and other items above the birds to stimulate activity and encourage pecking behavior. While these non-edible hangers may hold the birds' interest initially, chickens of all ages quickly become indifferent to these types of hanging objects and materials that cannot be consumed.</p> 
<b>Music and radio</b>	<p>Although some believe that playing music or the radio can be interesting to chickens, neither specifically encourages the birds to perform natural behavior and is not considered to be an acceptable enrichment.</p>
<b>Litter and dust baths</b>	<p>Although chickens will forage in litter and make use of dust baths, such materials—whether rice or peanut hulls, shavings, chopped straw or hay, sand, sawdust, wood chips, or other—are <u>requirements</u> in the 5-Step standards, rather than considered additions that enhance the birds' environment.</p>
<b>Feeders and waterers</b>	<p>Feeders and waterers are designed exclusively for maintaining nutrition and hydration, and do not serve as enrichments. Certainly birds may hop onto feeders or waterlines, but these essentials are not considered to be enrichments that allow birds to engage in a broader range of natural behavior.</p>

<b>What About Perches?</b>	
<p>Although most commercially raised chickens today are unable to perch throughout their lives—that is, balance their full body weight while in a seated or upright position with their feet (claws) curled around a pole or tree branch—many slower-growing lines (or strains) of chickens are able physiologically to do so at all ages. The 5-Step Animal Welfare Standards for Chickens Raised for Meat requires this life-long perching ability for birds raised to Step 5 and Step 5+, so perches are not considered enrichments, but, rather, required provisions, just like dust baths and litter.</p>	

## **APPENDIX M – GLOBAL ANIMAL PARTNERSHIP PROTOCOL DURING EPIDEMICS (v1.0 - issued April 9, 2014)**

On-site audits required by the Global Animal Partnership (GAP) 5-Step™ program are central to the efficacy of the oversight system. However, during epidemics, on-site audits can potentially increase the risk of transmission of infectious disease.

In circumstances when all of the following criteria are met, GAP will authorize certifiers to use protocol detailed below.

### **Determination Criteria:**

- 1) a documented, widespread occurrence of a disease is present in the geographic area of the proposed audit;
- 2) humans are known to be potential transmission vectors of the disease in question; and
- 3) federal and state regulators have not imposed conflicting control methods.

### **Protocol:**

There are two enhanced disease prevention options that apply when GAP authorizes certifiers to use this protocol.

First, disease transmission may be minimized by conducting the on-site audit under enhanced biosecurity protocols. Second, a certifier may choose to extend the present certification under the conditions set forth below in Sections II a) and b).

#### **I. Inspections Under Enhanced Biosecurity Measures**

- a) In addition to any existing biosecurity measures, this protocol requires that each auditor shall:
  - i. Shower prior to every audit, and have a complete change of clothes.
  - ii. Wear protective and/or disposable boots and coveralls provided by the operation.
  - iii. Not drive their vehicle onto the operation, but rather will remain outside the perimeter of the operation until the designated representative picks them up.

- b) Additional biosecurity measures may be requested by the certified operation provided each is substantiated by a credible scientific rationale if requested by the certifier. Outside experts may be needed to fully assess requests.

## II. Postponed Audits:

### a) 30-Day Extension of Active Certificates

- i. Certifiers may issue a 30-day extension of a current, active certificate based on GAP authorizing use of this protocol upon timely receipt of:
  - 1. a complete application (as part of the recertification process)
- ii. Failure to comply with the foregoing requirements shall void any extension whenever authorized.
- iii. When the full certificate is issued, the certification period will be shortened by 30-days.

### b) Additional 90-day Extensions of Active Certificates

- i. Certifiers may issue an additional extension of not more than 90 days upon timely receipt of:
  - 1. records;
  - 2. pictures, video or use of other electronic surveillance in accordance with FSIS Directive 5000.9; and
  - 3. other evidence deemed reasonable and necessary by the certifier.
- ii. Full inspection is scheduled and completed prior to expiration of the up to 90-day extension.
- iii. Failure to comply with the foregoing requirements shall void any extension whenever authorized.

- iv. When the full certificate is issued, the certification period will be shortened by 120-days (30-days + 90-days)

### **Extensions are Unavailable to New Applicants or Operations Holding Expired Certificates**

- a. Only operations with a valid, active certificate may obtain an extension under this protocol.
- b. New applicants, or operations with an expired certificate may seek an audit under the enhanced disease prevention measures.

### **Additional information:**

The certifier will provide GAP with the following information when the protocol is used:

- name of the operation
- type of operation (i.e. stage of production)
- length of extension granted

## APPENDIX N – CHICKEN MAJOR & MINOR NON-CONFORMANCES BY STANDARD NUMBER

Standard	Type	Standard	Type	Standard	Type	Standard	Type
1.1	major	3.21	major	6.6	major	8.12	minor
1.2	minor	4.1	major	6.7	major	8.13	minor
1.3	minor	4.2	minor	6.8	minor	8.14	major
1.4	major	4.3	minor	6.9	major	9.1	minor
2.1	major	4.4	major	6.10	major	9.2	minor
2.2	minor	4.5	minor	6.11	major	9.3	major
2.3	minor	4.6	minor	6.12	major	9.4	minor
2.4	minor	4.7	minor	6.13	major	9.5	minor
2.5	major	4.8	minor	6.14	minor	9.6	minor
2.6	minor	4.9	minor	6.15	minor	9.7	minor
2.7	minor	4.10	major	6.16	minor	9.8	major
2.8	minor	4.11	major	6.17	minor	9.9	minor
2.9	major	4.12	major	7.1	major	9.10	minor
2.10	minor	5.1	major	7.2	major	10.1	major
2.11	minor	5.2	minor	7.3	major	10.2	minor
2.12	minor	5.3	minor	7.4	major	10.3	major
2.13	major	5.4	minor	7.5	minor	10.4	minor
2.14	minor	5.5	major	7.6	major	10.5	major
2.15	minor	5.6	minor	7.7	major	10.6	major
2.16	minor	5.7	major	7.8	major	10.7	minor
3.1	minor	5.8	major	7.9	major	10.8	minor
3.2	minor	5.9	major	7.10	major	10.9	minor
3.3	minor	5.10	minor	7.11	major	10.10	minor
3.4	minor	5.11	major	7.12	minor	10.11	minor
3.5	minor	5.12	major	7.13	minor	10.12	minor
3.6	minor	5.13	major	7.14	major	10.13	major
3.7	minor	5.14	minor	7.15	major	10.14	minor
3.8	major	5.15	major	7.16	minor	10.15	major
3.9	major	5.16	major	7.17	minor	10.16	major
3.10	minor	5.17	minor	8.1	major	10.17	minor
3.11	minor	5.18	minor	8.2	minor	10.18	minor
3.12	minor	5.19	minor	8.3	minor	10.19	minor
3.13	major	5.20	minor	8.4	minor	10.20	minor
3.14	major	5.21	minor	8.5	minor	10.21	minor
3.15	major	5.22	major	8.6	minor	10.22	minor
3.16	major	6.1	major	8.7	minor	10.23	minor
3.17	major	6.2	major	8.8	major	10.24	minor
3.18	major	6.3	major	8.9	major	10.25	major
3.19	minor	6.4	minor	8.10	minor	10.26	minor
3.20	minor	6.5	major	8.11	minor	10.27	major

## APPENDIX O – PORK MAJOR & MINOR NON-CONFORMANCES BY STANDARD NUMBER

Standard	Type
1.1.1	minor
1.1.2	minor
1.1.3	minor
1.2.1	minor
1.3.1	<b>major</b>
1.4.1	minor
1.5.1	minor
1.6.1	minor
2.1.1	minor
2.1.2	<b>major</b>
2.1.3	minor
2.1.4	minor
2.2.1	minor
2.2.2	<b>major</b>
3.1.1	<b>major</b>
3.1.2	<b>major</b>
3.1.3	<b>major</b>
3.1.4	minor
3.1.5	minor
3.2.1	<b>major</b>
3.2.2	minor
3.2.3	<b>major</b>
3.3.1	minor
3.3.2	<b>major</b>
3.4.1	minor
3.4.2	<b>major</b>
3.5.1	minor
3.5.2	<b>major</b>
3.5.3	<b>major</b>
4.1.1	<b>major</b>
4.1.2	minor
4.1.3	minor
4.1.4	<b>major</b>
4.1.5	minor
4.2.1	<b>major</b>
4.3.1	<b>major</b>
5.1.1	<b>major</b>
5.1.2	minor
5.1.3	minor
5.2.1	<b>major</b>

Standard	Type
5.3.1	<b>major</b>
5.3.2	minor
5.3.3	minor
5.3.4	<b>major</b>
5.4.1	<b>major</b>
5.4.2	<b>major</b>
5.4.3	minor
5.5.1	<b>major</b>
5.5.2	<b>major</b>
5.6.1	<b>major</b>
5.6.2	<b>major</b>
5.6.3	<b>major</b>
5.7.1	<b>major</b>
6.1.1	<b>major</b>
6.2.1	<b>major</b>
6.2.2	<b>major</b>
6.2.3	<b>major</b>
6.2.4	minor
6.3.1	minor
6.3.2	minor
6.3.3	minor
6.4.1	<b>major</b>
7.1.1	<b>major</b>
7.1.2	<b>major</b>
7.1.3	<b>major</b>
7.1.4	minor
7.2.1	minor
7.2.2	<b>major</b>
7.2.3	<b>major</b>
7.2.4	minor
7.2.5	<b>major</b>
7.3.1	<b>major</b>
7.4.1	minor
7.5.1	minor
7.5.2	<b>major</b>
7.5.3	<b>major</b>
7.6.1	<b>major</b>
7.6.2	minor
8.1.1	minor
8.1.2	<b>major</b>

Standard	Type
8.1.3	minor
8.1.4	<b>major</b>
8.2.1	minor
8.2.2	<b>major</b>
8.2.3	minor
8.3.1	minor
8.3.2	minor
8.3.3	minor
8.3.4	minor
8.3.5	<b>major</b>
8.4.1	<b>major</b>
8.4.2	<b>major</b>
8.4.3	minor
8.4.4	minor
8.4.5	minor
9.1.1	minor
9.2.1	minor
9.2.2	minor
9.2.3	minor
9.3.1	minor
9.3.2	minor
9.3.3	<b>major</b>
9.3.4	<b>major</b>
9.3.5	minor
9.4.1	<b>major</b>
9.4.2	minor
10.1.1	minor
10.1.2	minor
10.1.3	<b>major</b>
10.1.4	<b>major</b>
10.1.5	minor
10.1.6	minor
10.2.1	<b>major</b>
10.2.2	minor
10.3.1	<b>major</b>
10.3.2	<b>major</b>
10.3.3	minor
10.3.4	minor
10.4.1	<b>major</b>
10.4.2	<b>major</b>

Standard	Type
10.5.1	<b>major</b>
10.5.2	<b>major</b>
10.5.3	minor
10.5.4	minor
10.5.5	minor
10.5.6	minor
10.5.7	<b>major</b>
10.5.8	minor
10.5.9	<b>major</b>
10.5.10	<b>major</b>
10.6.1	minor
10.6.2	minor
10.6.3	<b>major</b>
10.6.4	minor
10.6.5	minor
10.6.6	minor
10.6.7	<b>major</b>

## APPENDIX P – BEEF MAJOR & MINOR NON-CONFORMANCES BY STANDARD NUMBER

Standard	Type
1.1.1	minor
1.1.2	minor
1.1.3	minor
1.2.1	minor
1.3.1	<b>major</b>
1.4.1	minor
1.5.1	minor
1.6.1	minor
2.1.1	minor
2.1.2	<b>major</b>
2.1.3	minor
2.2.1	minor
2.2.2	<b>major</b>
3.1.1	<b>major</b>
3.1.2	<b>major</b>
3.1.3	<b>major</b>
3.1.4	minor
3.1.5	minor
3.2.1	<b>major</b>
3.2.2	minor
3.2.3	<b>major</b>
3.3.1	minor
3.3.2	<b>major</b>
3.4.1	minor
3.4.2	<b>major</b>
3.5.1	<b>major</b>
3.5.2	<b>major</b>
4.1.1	<b>major</b>
4.1.2	minor
4.1.3	minor
4.2.1	<b>major</b>
4.2.2	minor
4.2.3	minor
4.2.4	<b>major</b>
4.2.5	minor
4.3.1	<b>major</b>
5.1.1	minor
5.1.2	<b>major</b>
5.1.3	minor
5.2.1	<b>major</b>

Standard	Type
5.2.2	minor
5.3.1	<b>major</b>
5.3.2	<b>major</b>
5.3.3	minor
5.3.4	<b>major</b>
5.3.5	<b>major</b>
5.4.1	<b>major</b>
5.4.2	<b>major</b>
5.5.1	<b>major</b>
5.5.2	<b>major</b>
5.5.3	minor
5.6.1	<b>major</b>
5.6.2	minor
5.6.3	minor
5.6.4	<b>major</b>
5.7.1	minor
6.1.1	<b>major</b>
6.2.1	<b>major</b>
6.2.2	<b>major</b>
6.2.3	minor
6.2.4	minor
6.3.1	minor
6.3.2	minor
6.3.3	minor
6.4.1	<b>major</b>
7.1.1	<b>major</b>
7.1.2	<b>major</b>
7.1.3	<b>major</b>
7.2.1	minor
7.2.2	minor
7.2.3	<b>major</b>
7.2.4	<b>major</b>
7.2.5	minor
7.2.6	minor
7.2.7	minor
7.3.1	<b>major</b>
7.3.2	minor
7.4.1	<b>major</b>
7.4.2	minor
8.1.1	minor

Standard	Type
8.2.1	minor
8.2.2	<b>major</b>
8.2.3	minor
8.3.1	minor
8.4.1	minor
8.4.2	minor
8.4.3	minor
8.4.4	minor
8.4.5	minor
9.1.1	minor
9.2.1	minor
9.2.2	minor
9.2.3	minor
9.3.1	minor
9.3.2	minor
9.3.3	<b>major</b>
9.3.4	<b>major</b>
9.3.5	minor
9.4.1	<b>major</b>
9.4.2	minor
10.1.1	minor
10.1.2	minor
10.1.3	<b>major</b>
10.1.4	<b>major</b>
10.1.5	minor
10.1.6	minor
10.2.1	<b>major</b>
10.2.2	minor
10.3.1	<b>major</b>
10.3.2	minor
10.3.3	minor
10.4.1	<b>major</b>
10.4.2	<b>major</b>
10.5.1	<b>major</b>
10.5.2	<b>major</b>
10.5.3	minor
10.5.4	minor
10.5.5	minor
10.5.6	minor
10.5.7	<b>major</b>

Standard	Type
10.5.8	minor
10.5.9	minor
10.5.10	<b>major</b>
10.6.1	minor
10.6.2	minor
10.6.3	<b>major</b>
10.6.4	minor
10.6.5	minor
10.6.6	minor
10.6.7	minor
10.6.8	<b>major</b>

## APPENDIX Q – TURKEY MAJOR & MINOR NON-CONFORMANCES BY STANDARD NUMBER

Standard	Type	Standard	Type	Standard	Type	Standard	Type
1.1	major	3.22	major	6.8	minor	9.1	minor
1.2	minor	3.23	minor	6.9	major	9.2	minor
1.3	minor	3.24	minor	6.10	major	9.3	major
1.4	minor	3.25	major	6.11	major	9.4	minor
1.5	major	4.1	major	6.12	major	9.5	minor
1.6	major	4.2	minor	6.13	major	9.6	minor
2.1	major	4.3	minor	6.14	major	9.7	minor
2.2	minor	4.4	major	6.15	major	9.8	major
2.3	minor	4.5	minor	6.16	minor	9.9	minor
2.4	minor	4.6	minor	6.17	minor	9.10	minor
2.5	minor	4.7	minor	6.18	minor	10.1	major
2.6	major	4.8	minor	6.19	minor	10.2	minor
2.7	minor	4.9	minor	6.20	minor	10.3	major
2.8	minor	4.10	major	6.21	minor	10.4	minor
2.9	minor	4.11	major	6.22	minor	10.5	major
2.10	major	4.12	major	7.1	major	10.6	major
2.11	minor	5.1	major	7.2	major	10.7	minor
2.12	minor	5.2	minor	7.3	major	10.8	minor
2.13	minor	5.3	minor	7.4	minor	10.9	minor
2.14	major	5.4	minor	7.5	minor	10.10	minor
2.15	minor	5.5	major	7.6	minor	10.11	minor
2.16	minor	5.6	minor	7.7	major	10.12	minor
2.17	minor	5.7	major	7.8	major	10.13	minor
3.1	minor	5.8	major	7.9	major	10.14	minor
3.2	minor	5.9	major	7.10	major	10.15	minor
3.3	minor	5.10	major	7.11	major	10.16	major
3.4	minor	5.11	minor	7.12	major	10.17	minor
3.5	minor	5.12	major	7.13	minor	10.18	major
3.6	minor	5.13	major	7.14	minor	10.19	major
3.7	minor	5.14	major	8.1	major	10.20	minor
3.8	major	5.15	minor	8.2	minor	10.21	minor
3.9	minor	5.16	major	8.3	minor	10.22	minor
3.10	major	5.17	major	8.4	minor	10.23	minor
3.11	major	5.18	minor	8.5	minor	10.24	minor
3.12	major	5.19	minor	8.6	minor	10.25	minor
3.13	major	5.20	minor	8.7	minor	10.26	minor
3.14	minor	5.21	major	8.8	major	10.27	minor
3.15	major	6.1	major	8.9	major	10.28	major
3.16	minor	6.2	major	8.10	minor	10.29	minor
3.17	major	6.3	major	8.11	minor	10.30	major
3.18	major	6.4	minor	8.12	minor		
3.19	major	6.5	major	8.13	minor		
3.20	major	6.6	major	8.14	major		
3.21	major	6.7	major	8.15	major		

## APPENDIX R - LABEL CLAIM SUBMISSIONS

The label claim submission to FSIS must include the following:

- i. The FSIS label claim submission top sheet
- ii. A list of all certified Operations with certificate number and expiry dates.
- iii. GAP certificates (NB. For small groups, all certificates should be attached; for larger groups, attach three sample certificates.)
- iv. Chain of custody document
- v. Sample label mock up

## APPENDIX S – MARKETING CLAIM LANGUAGE TO BE ADDED TO LABELS

All verbiage must be added as part of the claim

Step	Claim
1	<b>Step 1: No Cages, No Crates, No Crowding</b> <i>Certified to Global Animal Partnership standards by [insert certifier(s)]</i> www.globalanimalpartnership.org
2	<b>Step 2: Enriched Environment</b> <i>Certified to Global Animal Partnership standards by [insert certifier(s)]</i> www.globalanimalpartnership.org
3	<b>Step 3: Enhanced Outdoor Access</b> <i>Certified to Global Animal Partnership standards by [insert certifier(s)]</i> www.globalanimalpartnership.org
4	<b>Step 4: Pasture Centered</b> <i>Certified to Global Animal Partnership standards by [insert certifier(s)]</i> www.globalanimalpartnership.org
5	<b>Step 5: No Physical Alterations</b> <i>Certified to Global Animal Partnership standards by [insert certifier(s)]</i> www.globalanimalpartnership.org
5+	<b>Step 5+: Animal Centered: Entire Life on Same Farm</b> <i>Certified to Global Animal Partnership standards by [insert certifier(s)]</i> www.globalanimalpartnership.org