This page is intentionally blank.
Foreword

This edition of the NSF Global Animal Wellness Standards Certification Policy includes the following changes, effective April 7, 2020:

**Definitions**  Update to include only those definitions found in this document

10.5.2. Written Authorization for Use of the NSF Global Animal Wellness Mark
10.5.3. Use of the Program Mark
10.7.4. Transfer of Authorization for Certification and Use of the Mark
10.8.3. Unauthorized Use of the Mark

**Annex E**  Rules Governing the Use of the NSF Global Animal Wellness Mark
**Annex F**  Application to use the NSF Global Animal Wellness Mark
# Table of Contents

**NSF CERTIFICATION POLICIES FOR GLOBAL ANIMAL WELFARE STANDARD**

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>List of Tables</td>
<td>9</td>
</tr>
<tr>
<td>INTRODUCTION</td>
<td>11</td>
</tr>
<tr>
<td>DESIGN AND PURPOSE</td>
<td>11</td>
</tr>
<tr>
<td>SCOPE</td>
<td>12</td>
</tr>
<tr>
<td>ACKNOWLEDGEMENTS</td>
<td>12</td>
</tr>
<tr>
<td>NORMATIVE REFERENCES</td>
<td>13</td>
</tr>
<tr>
<td>Reference standards and guidelines</td>
<td>13</td>
</tr>
<tr>
<td>DEFINITIONS</td>
<td>13</td>
</tr>
<tr>
<td>CERTIFICATION PROCESS</td>
<td>15</td>
</tr>
<tr>
<td>1. Pre-Application</td>
<td>15</td>
</tr>
<tr>
<td>1.1. Review Standards and Guidance Manual</td>
<td>15</td>
</tr>
<tr>
<td>2. Application</td>
<td>15</td>
</tr>
<tr>
<td>2.1. Application review</td>
<td>16</td>
</tr>
<tr>
<td>2.2. Applicable Certification Standards</td>
<td>16</td>
</tr>
<tr>
<td>2.3. Scope of Certification</td>
<td>16</td>
</tr>
<tr>
<td>2.4. Seasonal Production Operations</td>
<td>16</td>
</tr>
<tr>
<td>2.5. Vertically integrated groups and service providers certification</td>
<td>16</td>
</tr>
<tr>
<td>3. Arranging Audits</td>
<td>17</td>
</tr>
<tr>
<td>4. On-site Audit</td>
<td>17</td>
</tr>
<tr>
<td>5. Desk and Remote Audit</td>
<td>18</td>
</tr>
<tr>
<td>6. Contingency Audit Protocol</td>
<td>18</td>
</tr>
<tr>
<td>7. Verification Audit</td>
<td>18</td>
</tr>
<tr>
<td>8. Recertification Audit</td>
<td>18</td>
</tr>
<tr>
<td>9. Unannounced Visits</td>
<td>18</td>
</tr>
<tr>
<td>10. Certification Timeline</td>
<td>19</td>
</tr>
<tr>
<td>AUDITOR REQUIREMENTS AND RESPONSIBILITIES</td>
<td>19</td>
</tr>
<tr>
<td>11. Auditor Qualifications</td>
<td>19</td>
</tr>
<tr>
<td>12. Language and Communication</td>
<td>19</td>
</tr>
<tr>
<td>13. Conflict of Interest</td>
<td>19</td>
</tr>
<tr>
<td>AUDITED FACILITY REQUIREMENTS AND RESPONSIBILITIES</td>
<td>20</td>
</tr>
<tr>
<td>AUDIT PROCESS</td>
<td>20</td>
</tr>
<tr>
<td>14. Audit Frequency</td>
<td>20</td>
</tr>
<tr>
<td>15. Audit duration</td>
<td>20</td>
</tr>
<tr>
<td>16. Site and Animal Sampling Guidelines</td>
<td>21</td>
</tr>
<tr>
<td>17. Audit time frames</td>
<td>21</td>
</tr>
<tr>
<td>NON-CONFORMANCE</td>
<td>21</td>
</tr>
<tr>
<td>18. General</td>
<td>21</td>
</tr>
<tr>
<td>Section</td>
<td>Page</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>------</td>
</tr>
<tr>
<td>Classification of Non-conformances</td>
<td>22</td>
</tr>
<tr>
<td>Repeat Non-Conformances</td>
<td>22</td>
</tr>
<tr>
<td>Correction of Non-Conformances</td>
<td>23</td>
</tr>
<tr>
<td>Timelines for the resolution of corrective actions</td>
<td>23</td>
</tr>
<tr>
<td>Extension for resolution of corrective actions</td>
<td>23</td>
</tr>
<tr>
<td>REQUEST FOR DEVIATION</td>
<td>23</td>
</tr>
<tr>
<td>AUDIT SCORING AND RATING</td>
<td>24</td>
</tr>
<tr>
<td>Audit Score and Grade</td>
<td>24</td>
</tr>
<tr>
<td>Certification Decision</td>
<td>24</td>
</tr>
<tr>
<td>Denial of Certification</td>
<td>24</td>
</tr>
<tr>
<td>Audit Rewrite</td>
<td>25</td>
</tr>
<tr>
<td>Certificate Issuance</td>
<td>25</td>
</tr>
<tr>
<td>Certificates</td>
<td>25</td>
</tr>
<tr>
<td>Written Authorization for Use of the NSF Global Animal Wellness Mark</td>
<td>25</td>
</tr>
<tr>
<td>Use of the Program Mark</td>
<td>25</td>
</tr>
<tr>
<td>Certificate extension requests</td>
<td>25</td>
</tr>
<tr>
<td>Certificate Modifications</td>
<td>25</td>
</tr>
<tr>
<td>Scope</td>
<td>25</td>
</tr>
<tr>
<td>Change of Ownership</td>
<td>26</td>
</tr>
<tr>
<td>Relocation of Premises or Additional Sites</td>
<td>26</td>
</tr>
<tr>
<td>Transfer of Authorization for Certification and Use of the Mark</td>
<td>26</td>
</tr>
<tr>
<td>Enforcement</td>
<td>26</td>
</tr>
<tr>
<td>Revoking Certification</td>
<td>26</td>
</tr>
<tr>
<td>Voluntary Withdrawal</td>
<td>26</td>
</tr>
<tr>
<td>Unauthorized Use of the Mark</td>
<td>26</td>
</tr>
<tr>
<td>Reappllication for Re-Certification after Revocation or Voluntary Withdrawal</td>
<td>27</td>
</tr>
<tr>
<td>COMPLAINTS AND APPEALS</td>
<td>27</td>
</tr>
<tr>
<td>Complaints and appeals procedures</td>
<td>27</td>
</tr>
<tr>
<td>Annex A</td>
<td>28</td>
</tr>
<tr>
<td>NSF Global Animal Wellness Standards – List of Standards</td>
<td>28</td>
</tr>
<tr>
<td>Annex B</td>
<td>29</td>
</tr>
<tr>
<td>Required Documentation and Records of Compliance</td>
<td>29</td>
</tr>
<tr>
<td>Annex C</td>
<td>31</td>
</tr>
<tr>
<td>Use of Video and Technology</td>
<td>31</td>
</tr>
<tr>
<td>Annex D – Examples of Site and Animal Sample Selection</td>
<td>32</td>
</tr>
<tr>
<td>Annex E</td>
<td>33</td>
</tr>
<tr>
<td>Rules Governing the Use of the NSF Global Animal Wellness Mark</td>
<td>33</td>
</tr>
<tr>
<td>Annex F</td>
<td>36</td>
</tr>
<tr>
<td>Application to use the NSF Global Animal Wellness Mark</td>
<td>36</td>
</tr>
</tbody>
</table>
List of Tables

Table 1 Audit Duration ................................................................................................................................ 21
Table 2 Sampling Formulas .......................................................................................................................... 21
Table 3 Classification of Non-conformances ............................................................................................. 22
Table 4 Overall Audit Score ........................................................................................................................ 24
Table 5 Audit Grade .................................................................................................................................... 24
CERTIFICATION POLICIES FOR NSF GLOBAL ANIMAL WELLNESS STANDARDS

INTRODUCTION

Animal welfare is a global issue impacting an expansive portion of the agricultural and food production industry spanning the production, delivery and harvesting protein supply chain. The success and sustainability of this area of industry is directly linked to the relationship between animals and society and the responsible stewardship and treatment of animals within the settings where they are kept, raised and responsibly used.

The food industry has become increasingly attuned to consumer and investor expectations and in order to meet these increasing demands for transparency and proactively respond to emerging trends regarding the welfare of animals, retailers and processors are requiring that animal handling and care guidelines are defined, implemented and measured. These guidelines are critical to the health and wellness of animals at every step from birth to slaughter.

BACKGROUND

The World Organization for Animal Health (OIE), with a global and science-based agenda, has established guidelines applicable to animal welfare (OIE 2017). These guidelines are global, science-based standards agreed upon by the trading nations of the world, taking into account the cultural and economic variations between regions and countries of the world.

The general principles for the welfare of animals in livestock production systems and species-specific program guidelines for production, transport and slaughter, provide a basis for practical requirements to ensure that the concept of the internationally recognized five freedoms are being met.

- freedom from hunger, thirst and malnutrition
- freedom from fear and distress
- freedom from physical and thermal discomfort
- freedom from pain, injury and disease
- freedom to express normal patterns of behavior

The OIE guidelines identify scientifically-based criteria and indicators that will provide critical information that has an impact on the welfare of animals.

In 2016, ISO released a Technical Specification 34700: Animal welfare management: General requirements and guidance for organizations in the food supply chain (ISO 2016) that provides the guidance for management of the welfare of animals raised for food or feed production around the world and is adaptable to different situations, including:

- production systems across the supply chain for products of animal origin
- geographical, cultural and religious contexts
- developed and developing countries

DESIGN AND PURPOSE

The NSF Global Animal Wellness Standards are designed to be relevant in every country, region and market. To accomplish this, the assessment standards are designed to:

- recognize the variability in regulatory requirements and consumer and market pressures globally.
- be outcome-based rather than prescriptive.
• account for variations in local awareness and implementation of scientific and technical
developments.

The NSF Global Animal Wellness System requirements are consistent with ISO/TS 34700 and OIE
principles and guidelines and has been developed as a tool to assist in determining if ensure that the key
elements of an animal welfare management system and programs are in place in organizations. The system
elements covered in the standards include:

• Management Commitment, Policy, Procedures and Planning
• Personnel
• Monitoring Animal Welfare Plan Implementation and Outcomes
• Evaluation and Review
• Facilities, Equipment and Materials

The NSF Global Animal Wellness Standards include a series of species and production specific
requirements that establish, in greater depth, the program elements required in OIE TAHC, industry-
recognized animal welfare care and handling guidelines, codes of practice and international standards and
certifications and cover the following:

• Animal Sources, Health and Safety
• Design, Maintenance and Protection in Animal Environment, Facilities and Equipment
• Feed and Water
• Animal Handling, Husbandry and Management

Each requirement in the NSF species and production specific standards is directly linked to one or more of
the five freedoms as well as to the four (4) welfare criteria and twelve (12) welfare sub-criteria proposed by
Botreau et al. (Botreau R 2007).

The purpose of the assessment to these standards is to:

• identify gaps
• help organizations achieve continuous improvement in their programs
• provide assurance of animal wellness in an organization’s operations

Applicants and participants must conform to these requirements in order to gain certificate of conformity
with the standard.

SCOPE

Organizations and individual operations which produce animals and animal products are eligible to apply
for NSF Global Animal Wellness Standards certification. The standard applies to beef, dairy and small
ruminant operations, pigs, and poultry production systems, including poultry meat and egg production.

ACKNOWLEDGEMENTS

Grateful to the members of the Technical Advisory Boards (TAB) and other parties who prepared and
provided comments on the requirements.

Grateful to the leadership and members of the NSF Animal Wellness Working Group and the technical teams
who contributed to the development and revisions of the standards.
NORMATIVE REFERENCES

Reference standards and guidelines
The following documents contain provisions that, through reference, constitute provisions of the Certification Scheme. At the time the Certification Scheme was written, the editions listed below are current and valid. All documents are subject to revision, and parties are encouraged to investigate the possibility of applying the most recent editions of the documents indicated below. The most recent published edition of the document shall be used for undated references.


DEFINITIONS

Animal – Mammal or bird.

Animal welfare management system – A set of interrelated elements, principles, policies and objectives to direct and control the organization to ensure that animal welfare is maintained. Interactive elements:

- Good Practices and Pre-requisite programs (PRPs)
- Animal Welfare Hazard Analysis (e.g. HACCP)
- Management System
- Statutory and regulatory requirements
- Communication

Control measure – An action or activity that can be used to prevent or eliminate a hazard or reduce it to an acceptable level.

Correction – An action to identify and correct a problem that occurred without other actions associated with a corrective action procedure (such as actions to reduce the likelihood that the problem will recur, evaluate all affected animals or animal products and prevent affected animal food from entering commerce). Shall have the same meaning as “corrected.”

Corrective action – Action to eliminate the cause of a detected nonconformity or other undesirable situation and includes:

- any immediate action required/taken
- root cause analysis of the problem
- Evaluate action needed based on the identified cause
- Determine if the problem exists elsewhere in the system and implement actions needed
- Document the results of the action taken
- Review/verify and document effectiveness of action taken with objective evidence

Critical control point – A critical control point is the point in a process where failure to control known hazards can lead to serious harm to people, animals or equipment.

Facility – Applied in a broad sense to the physical space and premises used by the organization for the handling and management of animals, for harvest of
products from animals and includes the processes, equipment, environment, materials and personnel involved. This includes supporting areas such as maintenance, electrical or boiler rooms, also. The facility must be managed and supervised under the same organizational management. The facility is the site audited during an on-site audit.

Flow diagram – A schematic and systematic presentation of the sequence and interactions of steps and inputs and can then be used to identify points in the process where hazards may be introduced or are reasonably likely to occur and that require a preventive control measure.

Gap analysis – Structured process to conduct an evaluation of the usual practices implemented/utilized by the organization in comparison to each of the general principles and requirements of animal welfare identified in the OIE TAHC to identify gaps.

Hazard analysis – The process of collecting and evaluating information on hazards associated with the inputs, processes and operations under consideration to decide which hazards are significant and must be addressed; steps include hazard identification and hazard assessment.

Hazard assessment – Process to determine, for each hazard identified, whether its elimination or reduction to acceptable levels is essential to achieve animal welfare objectives, and whether its control is needed to ensure that defined acceptable levels are met. Assessment evaluates the possible severity of adverse effects and the likelihood of their occurrence.

Hazard identification – Process to identify all known or reasonably foreseeable hazards relevant to the scope of the operation with the potential to cause an adverse effect on animal welfare. Relevant hazards will vary based on species, type of production, life stages of animals and point in protein supply chain. Hazards may be identified by conducting workplace inspections and reviewing work procedures.

Indicators – Objective, consistent and repeatable results that are used to assess that preventive and control measures are functioning appropriately. These may include but are not limited to:

- Animal assessments - body condition score, weight, vocalization, lameness, etc.
- Facility and equipment function assessments - water test results, pasture quality testing and feed testing; ventilation rates, air quality; lighting measure, etc.
- Operation assessments – e.g. frequency of use of animal handling aids, holding times before unloading animals, etc.

Internal audit (first party) – An audit a process or set of processes in the management system conducted by the organization itself to ensure it meets the procedure that the company has specified. The auditor may be an employee of the organization or someone hired by the organization and is acting on behalf of the company.

ISO – The International Organization for Standardization (ISO) is an international standard-setting body composed of representatives from various national standards organizations; the organization promotes worldwide proprietary, industrial and commercial standards.
Management Review – Regular evaluation of whether management systems are performing as intended and producing the desired results as efficiently as possible; critical to process of continual improvement.

Monitoring – Conducting a planned sequence of observations or measurements to assess whether control measures are operating as intended

Operations – The activities that an organization/producer engages in; a series of operations that are interconnected may be termed as a process.

Organization – Company, corporation, firm, enterprise, municipality, authority or institution, or part or combination thereof, whether incorporated or not, public or private, that has its own functions with responsibilities, authorities and relationships to achieve its objectives. Encompasses corporations, cooperatives, partnerships, and sole proprietorships. (For the purposes of this document, the term refers to a single business operator or a group of business operators of the whole or a part of the food supply chain, including primary breeding companies, animal farmers, livestock transport companies and slaughterhouses. An organization can be public or private and includes, but is not limited to, sole-trader, company, corporation, firm, enterprise, authority, partnership, association, charity or institution, or part of combination thereof, whether incorporated or not, public or private.)

Site – A single farm, functional unit of an organization, or a combination of units situated at one location, which is geographically distinct from other units of the same organization.

Validating – The process or procedure of obtaining evidence that the activity or control measure achieves the intended result.

Verifying – Confirmation through objective evidence that activity or control measure was done according to its design.

CERTIFICATION PROCESS

1. Pre-Application

1.1. Review Standards and Guidance Manual
Before each audit, it is the responsibility of the applicant or participant to ensure that they have the most up to date edition of the standard and any other relevant normative documents. Annex A lists the standards and these are available from the NSF International website.

Applicants and participants must:
- be fully aware of the requirements of the standard
- have read and fully understood the technical requirements
- undertake a self-audit (internal audit) of their systems, procedures and policies
- address any areas considered to be non-conforming prior to a third-party audit being conducted

Applicants and participants may opt for a pre-audit visit to be conducted, however this would be an unscored visit and no certificate can be issued for such an activity. The auditor delivering the pre-audit visit cannot offer any consultation to the site.

2. Application
Client will submit an application for certification.
2.1. **Application review**
NSF shall review the application and supporting documentation to determine the required scope and prepare a quote. Once executed, the certification timeline will begin.

2.2. **Applicable Certification Standards**
Audits are carried out using the NSF Global Animal Wellness Standards appropriate to the relevant species, production type and point in the protein supply chain.

2.3. **Scope of Certification**
The certification audit scope must make clear the name of the site, the standard used along with any version number and the activities included. Certification is site-specific. The entire site must be included in the scope of certification.

Where a supplier seeks to exempt part of the site for any reason, the request for exemption must be submitted in writing and shall be listed in the facility description. However, all parts of the premises and processes that are involved with the production, transport, handling and processing of animals included in the scope cannot be exempted.

If the supplier elects to exempt processes, animals or areas of the site from the scope of certification, the request must be submitted in writing prior to the audit and shall be listed in the facility description. Exempted processes, animals or areas of the site shall not be listed on the certificate and must not be promoted as being covered by the certification. Instances where promotion of exempted processes, animals or areas of the site is identified and substantiated (either by regular audit or by other means) shall result in immediate withdrawal of the NSF Global Animal Wellness certification.

Once the audit scope is agreed upon between the supplier and the certification body, it cannot be changed once the audit has commenced.

When activities are carried out in different premises but are overseen by the same senior, operational, and technical management, and are covered by the one system, the site can be expanded to include those premises. This may impact on audit duration.

2.4. **Seasonal Production Operations**
A seasonal production operation is defined as an operation where the period of animal production and/or the animal product harvest is limited to less than six (6) consecutive months. This may include more than one period of production per calendar year.

Certification audits will be conducted during the peak operational part of the season and within the first 45 days of the production period.

Where an operation has more than one period of production in a calendar year, the certification audit will be conducted in the period with the highest volume of production. Relevant records for any other period of production will be assessed during the certification audit. The operation must supply information to indicate the period with the highest volume of production.

2.5. **Vertically integrated groups and service providers certification**
An Organization and its internally approved feed manufacturer, supply farms, co-manufacturers/co-producers of the certified product may be certified as a group structure. In this scenario, the main Organization manages the certification compliance management system of multiple suppliers (the Members) under its control, and a service contract exists between the main entity and each member of the group.

The service contract with the members must require that each member commit to the following:

- Abide by the NSF Global Animal Wellness certification requirements at all times.
• The compliance management system of the main entity and its control mechanisms (i.e., internal audits, corrective action procedures, enforcement policies).

• Permit NSF authority to conduct on-site audits at the member’s site and have access to any certification compliance related documentation and records associated with the member.

No member shall be added to the group without the prior approval in writing by NSF. The fee structures for group certification structures shall be determined by NSF.

The Organization’s service providers, such as catching, transport or other contracted services, must be included within the applicable portion of the certification, and a contract must exist between the two entities. The service provider must be able to demonstrate compliance to the requirements of the organization applicable to the provided service and may also apply for independent certification with NSF, if desired.

3. Arranging Audits
If for justifiable reasons prior notice is required to coordinate the organization’s onsite assessments, NSF shall be notified of these concerns and will ensure that timely communication is made in advance of the date of the visit. Justifiable reasons can include biosecurity protocols and other unique or seasonal production schedules.

For on-farm unannounced audits, the farm will be given 24 hours prior notice for biosecurity preparedness.

NSF 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 a reportable disease outbreak, where regulatory disease control orders are in effect, NSF will refer to contingency audit protocol.

3. Initial Certification
All applicable requirements and clauses of the Standard shall be assessed as part of the certification audit. Some specific criteria may not be applicable; however, it is the responsibility of the (organization) to provide the necessary justification in these instances, and the auditor shall make appropriate comments to this effect within the corresponding section of the audit report.

Mandatory elements cannot be reported as “not applicable” or “exempt” and must be audited and compliance/non-compliance reported. Mandatory elements are designated with an “M”.

NSF shall conduct a scheduled, announced on-site audit consisting of a facility inspection, program documentation, as required and records audit in order to make a certification determination. All non-conformances must be approved and closed before certification can be granted.

NSF may delay this determination and conduct an additional partial audit at the company’s expense to determine that the company has implemented corrective actions.

If NSF determines the facility has demonstrated effective implementation of its policies and procedures and is able to maintain compliance, upon payment of fees due, NSF shall issue a certificate declaring the Operation as being NSF Global Animal Wellness Certified.

4. On-site Audit
The auditor will assess the documentation including policies, procedures for updates and confirm that copies of the relevant documentation are available to employees/contracted resources as required to carry out their duties.

For units where livestock or poultry are handled, an assessment of any relevant animals present and covered in the scope of the certification and assessment of monitoring activities carried out by the operation will be conducted. It will not be possible to carry out a complete audit if sites are empty, de-
stocked or not handling animals included in the scope of certification. If the auditor cannot complete the audit in full, the application for initial certification cannot be progressed nor ongoing certification maintained.

During the audit, detailed notes are made of the client’s ability to comply with the standard. These will be used as the basis for the audit report. The auditor will submit the completed audit report for technical review.

5. **Desk and Remote Audit**
A desk and/or remote audit may be conducted by NSF as a means to determine compliance to the standards and/or verification of implemented corrective actions. Remote viewing technology may be utilized.

The auditor will notify the organization of any non-conformances identified during a desk and/or remote audit. Critical non-conformances cannot be raised at desk audits. An initial certification audit cannot be a desk and/or remote audit.

6. **Contingency Audit Protocol**
In the event of a reportable disease outbreak (where regulatory disease control orders are in effect) that would preclude the conduct of an on-site audit for recertification, the contingency audit protocol may be followed.

A remote audit will be conducted of the system documentation and utilize interviews to supplement evidence collection to assess compliance to the standards. Corrective actions for any non-conformances identified must be submitted as per established time frames.

Requirements that rely on auditor observation of facility and animal conditions and animal handling will be deferred. NSF will require an on-site audit when the disease control orders are no longer in effect to complete assessment of compliance.

7. **Verification Audit**
An on-site verification audit may be conducted by NSF as a means to determine compliance to the standards and/or verification of implemented corrective actions. The scope may be full or partial and will be determined prior to scheduling.

The auditor will notify the organization of any non-conformances identified during a verification audit.

8. **Recertification Audit**
The re-certification audit shall be conducted within thirty (30) calendar days either side of the anniversary of the date of initial certification.

If an extension to the recertification boundary date is required, a request must be submitted in writing to NSF detailing the reasons for the extension request. If a permanent change to the recertification date is required, a request must be submitted in writing to NSF detailing the reasons for the change. In these cases, the recertification date can only be moved to a date earlier than the original recertification date.

The re-certification audit is undertaken to verify the continued effectiveness of the organization’s entire animal welfare management system.

For seasonal producers/operations, the re-certification audit date may be reset so that it falls during an operational season.

9. **Unannounced Visits**
Within three (3) certification cycles, NSF shall conduct one (1) unannounced re-certification audit of a certified supplier. The unannounced audit shall occur in the supplier’s facility within the sixty (60) day re-certification window (i.e., the anniversary date of the initial certification audit +/- thirty (30) days).
The organization will be notified of any unannounced visit no more than 24 hours in advance, the auditor will have had no avian or porcine contact for a minimum of 72 hours to allow for appropriate biosecurity considerations.

A defined blackout period shall be established by negotiation between the supplier and NSF that prevents the unannounced re-certification audit from occurring out of season or when the facility is not operating for legitimate business reasons.

If an organization refuses entry to the auditor for an unannounced audit, this will result in immediate suspension of the supplier certificate.

10. Certification Timeline
The certification process begins when NSF receives an executed quote from a new or renewing applicant.

The average time from quote to certification is 10-12 weeks, but can vary depending on inspector availability, time of application/seasonal conditions (site-conditions need to be conducive to viewing program animals), and number and complexity of non-conformances needing to be addressed post-audit.

AUDITOR REQUIREMENTS AND RESPONSIBILITIES

11. Auditor Qualifications
An auditor employed or contracted by NSF International and qualified to assess compliance for the scope of activities (i.e. agricultural production, processing) evaluated for NSF Global Animal Wellness certification shall be assigned to perform required audits.

NSF shall ensure all auditors are trained and competent in the requirements of the program and activities to be performed.

12. Language and Communication
The certification body shall ensure that the auditor conducting the audit can competently communicate in the oral and written language of the supplier being audited. For the purpose of resolving a conflict, the English version of the NSF Global Animal Wellness Standard shall be the deciding reference.

In circumstances where a translator is required, there must be agreement between the certification body and site regarding responsibility for providing a translator. The translator provided shall have knowledge of the technical terms used during the audit; be independent of the supplier being audited and have no conflict of interest. The supplier shall be notified of any increase in audit duration and cost associated with the use of a translator.

13. Conflict of Interest
The certification body shall ensure that all certification activities are separately controlled and managed from any consulting activity. Auditors shall not audit anywhere they deem to have a potential conflict of interest, where they have participated in a consulting role involving the supplier in question, are related to or have had business dealings with within the last two (2) years.

Consulting includes, but is not limited to, activities such as:

- Producing or preparing animal health or welfare plans, manuals, handbooks or procedures.
- Participating in the decision-making process regarding the animal wellness system.
- Giving advice – as a consultant or otherwise – toward the design, documentation, development, validation, verification, implementation or maintenance of animal wellness system.
• Deliver or participate in the delivery of an “in-house” training service at which advice and instruction on the development and implementation of animal health or welfare plans or animal wellness management system for eventual certification is provided.

A supplier can refuse the service of an auditor when they consider the auditor has a conflict of interest, or for other reasons. In such circumstances the supplier shall outline the reasons in writing to NSF International.

AUDITED FACILITY REQUIREMENTS AND RESPONSIBILITIES

The client shall ensure that the auditor has reasonable access to all staff, records, and site facilities in order to fully perform the audit.

It is the responsibility of the participant/applicant to ensure that key members of staff are present during the audit. For units where livestock or poultry are handled, it is the responsibility of the participant/applicant to ensure that relevant animals are present, and that handling, and monitoring activities will be carried out at the time of the audit.

The client shall ensure that the auditor is provided with specific visitor protocols, biosecurity, health and safety and requirements for protective clothing as applicable.

AUDIT PROCESS

14. Audit Frequency
   In order to maintain the certification status, the site must have an audit each year.

15. Audit duration
   Audits of most types of operation usually consist of four elements: an opening meeting, a site and production/operations inspection, a review of animal wellness management system, records and procedures and a closing meeting.

   The audit times will vary according to the size and complexity of the site operations. Factors that can impact on the audit duration includes:
   
   • The scope of the audit; number of species.
   • The size of the site(s); number of related facilities and locations; number and type of animal housing.
   • The number of production types and/or animals.
   • The ease of communication with company personnel (consider different languages spoken and/or use of translator);
   • The cooperation of the supplier’s personnel.

   Based on the application details, once the certification body and supplier have agreed on the scope of certification, the certification body shall provide the supplier with an estimate of the time it will take to complete the certification audit.
Table 1 Audit Duration

<table>
<thead>
<tr>
<th>Certification Activities</th>
<th>Basic duration (days)**</th>
</tr>
</thead>
<tbody>
<tr>
<td>Desk Audit</td>
<td>0.5-1.0 days</td>
</tr>
<tr>
<td>Single Farm - Single Site</td>
<td>1.0 days + 0.5 per additional species</td>
</tr>
<tr>
<td>Single Farm – Multiple Site*</td>
<td>1.0 days + 0.5 day</td>
</tr>
<tr>
<td>Hatchery</td>
<td>1.0 days</td>
</tr>
<tr>
<td>Transport</td>
<td>1.0 days + 0.5 per additional species</td>
</tr>
<tr>
<td>Livestock Assembly</td>
<td>1.0 days + 0.5 per additional species</td>
</tr>
<tr>
<td>Slaughter</td>
<td>1.0 days + 0.5 per additional species</td>
</tr>
</tbody>
</table>

*Example: Site holds animals at additional non-contiguous properties. See Scope of Certification for clarification. Does not include travel time. Additional time if also auditing additional species.

**Justification is required if the actual audit duration deviates from this guide by greater than thirty percent (30%).

16. Site and Animal Sampling Guidelines
A random selection method will be used to select the site and animal samples to be assessed during the audit. Examples are provided in Annex D.

Table 2 Sampling Formulas

<table>
<thead>
<tr>
<th>Sampling Formulas</th>
<th>Default</th>
<th>Minimum</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sample of barns/houses/pens/pastures</td>
<td>Square root</td>
<td>No less than 20% or Minimum of 3, whichever is greater</td>
</tr>
<tr>
<td>Sample age/production group per species</td>
<td>Square root</td>
<td>Minimum of one (1) sample from each age/production group</td>
</tr>
</tbody>
</table>

17. Audit time frames
The auditor shall provide the Organization with a summary of non-conformances at the audit closing meeting.

NSF shall perform a technical review of all evidence collected in the certification process and once finalized, a draft audit report will be available to the organization to Client within 14 calendar days of the audit end date.

Certification decision completed within 3 (three) business days of approval of corrective actions. Certificate issued within 45 calendar days of the audit end date.

NON-CONFORMANCES

18. General
Where the auditor finds that an Organization does not meet the technical requirements of the standards, the auditor will bring it to their attention during the audit.

All non-conformances must be described in the audit report; if non-conformances are resolved on-site in the presence of the auditor, they must still be recorded in the audit report.

At the end of the audit visit, all non-conformances will be recorded in a Non-Conformance Summary Report, which will be explained and discussed at the closing meeting. The Organization will be asked to sign the Non-Conformance Summary Report, copies of which will be left on site or provided within five (5) calendar days. The auditor will indicate that the audit findings are subject to technical review.
If a deviation is granted for a non-conformance, the non-conformance will be indicated, and the audit notes will describe the granted deviation.

19. Classification of Non-conformances

<table>
<thead>
<tr>
<th>Compliance Rating</th>
<th>Definition</th>
</tr>
</thead>
</table>
| Conformance       | Meets certification tier requirement.  
                    | Awarded when the element being audited meets or exceeds the applicable expectation. |
| MINOR             | The element being audited does not fully meet expectations of an element.  
                    | Improvements are required to meet the expectation.  
                    | A minor non-conformity is raised if there is an omission or deficiency that produces unsatisfactory conditions that if not addressed may lead to a risk to animal wellness but is not likely to cause a system element breakdown.  
                    | Requirements are fulfilled or partially fulfilled but lacking documented procedures or records and/or lacking review. |
| MAJOR             | Deficiencies of an element present a high probability of animal wellness or regulatory failure.  
                    | Significant improvement is needed to meet the expectations.  
                    | Hazard analysis requirements have not been fully documented or implemented  
                    | An element of the standard has not been documented (if required) or implemented  
                    | A situation is observed where, based on objective evidence, there is significant doubt as to the conformity to standard and/or regulatory requirements.  
                    | There are numerous findings of non-conformance that indicate a lack or failure in a required section and a potential risk to animal wellness or regulatory non-compliance exists. |
| Critical (CRITICAL FAIL) | A critical non-conformity is raised if:  
                    | there is a non-correctable or willful violation of the requirements presenting an imminent risk to the welfare of the animals;  
                    | a breakdown of control(s) at a critical control point or a pre-requisite program;  
                    | unsatisfactory conditions that are unlawful or have a significant impact to the animal;  
                    | systemic failure of documented control procedures  
                    | A critical non-conformity is raised if the supplier fails to take immediate action in the event of observed evidence of animal abuse.  
                    | A critical non-conformity is raised if the supplier fails to take corrective action within the timeframe agreed with the certification body.  
                    | A critical non-conformity is raised if the certification body deems that there is systemic falsification of records relating to animal welfare management system. |
| Not Applicable    | The requirement is deemed as not applicable. |

20. Repeat Non-conformances

Repeat assessments of non-conformance, where the facility has not taken corrective action to effectively address previously cited deficiencies in the most recent NSF Global Animal Wellness audit, will be noted by the auditor in the report. Repeat non-conformance ratings may cause an additional downgrade of the audit question’s rating, depending on nature of the deficiency and its impact on animal wellness at the facility. In addition, repeat non-conformances without effective correction actions taken shall be reflected as a non-conformance against management commitment.
21. **Correction of Non-Conformances**

The Organization shall complete a root cause analysis and submit corrective actions and objective evidence for review and approval by NSF. The organization shall indicate measures to prevent recurrence of the non-conformance. Objective evidence includes photographic, documentary/records, training, etc.

22. **Timelines for the resolution of corrective actions**

- **Critical non-conformances:** will result in an audit failure and must be corrected before reapplication for certification where the auditor will determine if there is evidence of immediate (within 24 hours) corrective action.
- **Major nonconformances:** corrected within 14 calendar days of audit end date
- **Minor nonconformances:** corrected within 30 calendar days of audit end date

23. **Extension for resolution of corrective actions**

Extensions may be granted by the certification body. In circumstances where the corrective action involves capital investment, structural change or cannot be corrected due to extenuating conditions, the period for resolution can be extended provided:

- there is no immediate threat to animal wellness
- alternative, temporary methods of control are initiated within the corrective action timeframe
- the proposed timeline for final resolution is acceptable to the certification body

Extended timeframes for close out of minor nonconformities shall not impede and delay certificate issuance. In the event an extension for corrective action is required the facility representative must complete a Request for Extension of Corrective Actions – NSF Global Animal Wellness Certification Program form and submit to NSF. Fees will apply as per the fee schedule for NSF Global Animal Wellness certification services.

A copy of NSF’s approval must be attached as supporting documentation when the facility completes the corrective action response.

The facility must provide the evidence of completion of the final corrective action to the certification body by the approved extension due date. Failure to complete the corrective actions in the timeframe agreed upon in this extension request may result in suspension and/or withdrawal of the facility certification.

**REQUEST FOR DEVIATION**

Any request for deviation to NSF Global Animal Wellness Certification Program requirements shall be submitted using a form supplied by NSF.

NSF shall consider the request but is not obligated to grant the request for deviation and will not be obligated to return any portion of fees paid if the applicant chooses to discontinue certification as a result of NSF’s decision.

NSF shall not be responsible for any costs incurred by applicants related to nonconforming product, if applicable, which is the subject of rejected deviation request or other product noncompliance.

To apply for a deviation, the client must complete the Request for Deviation – NSF Global Animal Wellness Certification Program form and submit to NSF. Fees will apply as per the fee schedule.
24. Audit Score and Grade

Based on the evidence collected by the auditor, each applicable aspect of the audit is scored.

- Minor non-conformance results in a loss of 1 point.
- Major non-conformance results in a loss of 10 points
- Critical non-conformance results in a loss of 25 points

Table 4 Overall Audit Score

<table>
<thead>
<tr>
<th>Overall Score</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Meets Expectations</td>
<td>95-100</td>
</tr>
<tr>
<td>Needs Improvement/Conditional Certification</td>
<td>85-94</td>
</tr>
<tr>
<td>Audit Fail</td>
<td>≤ 84</td>
</tr>
</tbody>
</table>

Table 5 Audit Grade

<table>
<thead>
<tr>
<th>Number of Non-Conformities</th>
<th>Audit Grade</th>
<th>[Actions Required]</th>
</tr>
</thead>
<tbody>
<tr>
<td>Up to 10 ‘Minor’</td>
<td>Certification</td>
<td>- CARs required and evidence of corrective actions must be provided. - Auditor will review and approve corrective actions - Certification decision will be completed</td>
</tr>
<tr>
<td>1 ‘Major’ and up to 5 ‘Minor’</td>
<td>Certification</td>
<td>- CARs required and evidence of corrective actions must be provided. - Auditor will review and approve corrective actions - Certification decision will be completed</td>
</tr>
<tr>
<td>11-15 ‘Minor’</td>
<td>Conditional Certification</td>
<td>- CARs required and evidence of corrective actions must be provided. - A desk or on-site partial verification audit (within 90 days) is required to assess implementation of corrective actions before facility can be certified</td>
</tr>
<tr>
<td>16 or more ‘Minor’</td>
<td>Fail</td>
<td>- CARs required and evidence of corrective actions must be provided. - Full on-site re-audit is required. - Facility may request a re-write to the assurance tier (does not guarantee achievement of requested tier)</td>
</tr>
<tr>
<td>2 or more ‘Major’</td>
<td>Fail</td>
<td>- CARs required and evidence of corrective actions must be provided. - Full on-site re-audit is required. - Facility may request a re-write to the assurance tier (does not guarantee achievement of requested tier)</td>
</tr>
<tr>
<td>1 or more ‘Critical’</td>
<td>Fail</td>
<td>- Full on-site re-audit is required.</td>
</tr>
</tbody>
</table>

25. Certification Decision

NSF shall consider the results of the onsite audit and corrective action responses in its determination of compliance for granting certification. The certification decision will be taken by the Technical Operations Manager or qualified designate.

26. Denial of Certification

If the audit findings and score indicate that the Organization has failed the audit, NSF will deny certification.

Organizations that do not achieve certification may re-apply once they have corrected any non-conformances. There is no time limit on when re-application can be made.
27. Audit Rewrite
   If the facility has failed the certification audit, they may request in writing a rewrite of the audit to the assurance tier. This does not apply if failure was based on findings of critical non-conformances.

   Conducting the rewrite does not guarantee achievement of requested tier. A technical fee will apply.

28. Certificate Issuance
   When Certification is achieved according to the requirements of the standard, NSF shall issue a certificate valid for one (1) year from the date of issue upon positive certification decision.

28.1. Certificates
   Certificates shall list the following:
   • Name and address(es) of the physical site(s) certified, and customer number
   • Title of the Standard and version number
   • Certificate number
   • Certification decision date
   • Certificate issue and expiry date
   • Authorized signature

   The certificate remains the property of NSF.

28.2. Written Authorization for Use of the NSF Global Animal Wellness Mark
   NSF and its Mark(s) are registered trademarks of NSF International. Application for use of the mark must be submitted in writing to NSF International. No Company or person shall use a Mark in connection with a Site or represent in any way that the Site is certified to the NSF Global Animal Wellness Standards, until receipt of written authorization by NSF.

28.3. Use of the Program Mark
   The NSF Global Animal Wellness Mark is for use by Companies who have been authorized in writing by NSF, the Standard owner. The Mark(s) shall be displayed according the applicable rules of use indicated in Annex E.

29. Certificate extension requests:
   An extension to the certificate period of validity may be granted by NSF, not to exceed 3 months from the original expiration date, with a full audit required during the extension period.

30. Certificate Modifications
   In the event there are substantial changes to the site or processes, NSF must be notified in writing. If changes are made to the operation that have a potential significant impact on the site’s animal welfare system, a surveillance audit may be required. The certificate may be withdrawn in the event that changes occur which affect the company’s ability to maintain their certification status.

   Certified entities shall notify NSF of any prosecutions brought or likely to be brought against them with respect to animal welfare, animal movements, food safety, environmental legislation or other compliance requirements that directly affect the scope of their certification status.

30.1. Scope
   When an organization plans to add species/livestock categories to their scope of certification, the organization shall request the increased scope of certification in writing to NSF.

   NSF shall determine and indicate to the organization whether or not an audit of the additional species/livestock categories is required. This decision will be impacted by:
   • the livestock category risk
   • similarities to existing processes and products
   • proximity to the next scheduled audit date
30.2. Change of Ownership
When a certified organization’s business changes ownership, the organization shall indicate the change to NSF in writing.

NSF shall determine and indicate to the organization whether or not an audit is required to maintain certification. A new initial certification or verification audit may be required. This decision will be impacted by:

- Degree of retention of site management and personnel with major responsibility for the management and oversight of the animal welfare management system.

30.3. Relocation of Premises or Additional Sites
When an organization relocates or adds additional sites, NSF shall conduct an on-site audit of each new site and issue a new certificate.

30.4. Transfer of Authorization for Certification and Use of the Mark
As a result of name change, change of ownership, scope or change of a production and/or service location, an organization may transfer authorization for continued certification and use of the NSF Global Animal Wellness mark. Evidence of continued conformance shall be submitted for review by NSF; after execution of a new contract, and payment of any outstanding fees. Any necessary site visits will be at the applicant’s expense.

31. Enforcement

31.1. Revoking Certification
NSF reserves the right to revoke an organization’s certification if the organization fails to:

- permit a verification or unannounced audit
- maintain the requirements of the NSF Global Animal Wellness Certification Program
- report changes in scope, ownership or location of premises that impact on the certification to NSF
- comply with all marking requirements

Organizations that have refused a verification or unannounced audit and want to reapply for certification are required to have an on-site audit. Where organizations have certificates revoked for failure to meet the requirements of the NSF Global Animal Wellness Certification Program, all non-conformances shall be resolved prior to reapplication for certification. NSF reserves the right to conduct an additional inspection at the organization’s expense to verify the effectiveness of the corrective action plan.

31.2. Voluntary Withdrawal
An organization will have the right to voluntarily withdraw from certification, and at that time, the certification will be revoked.

32. Unauthorized Use of the Mark
NSF may issue written notice in the form of a Notice of Noncompliance or Cease and Desist notice to a certified or non-certified organization to order the discontinuation of the unauthorized use of the mark. Unauthorized use of the Mark or misleading claims or statements regarding Certification are prohibited. If Company uses the Mark without authorization, NSF may withdraw Certification for one or all Sites. Other appropriate action may be taken by NSF including, but not limited to, issuing a Public Notice.
Any organization that has had certification revoked or has voluntarily withdrawn from the scheme must immediately cease making claims, whether explicit or implied, that they are certified to the NSF Global Animal Wellness Standards.

33. **Reapplication for Re-Certification after Revocation or Voluntary Withdrawal**
There is no time restriction for Organizations that have had certification revoked or voluntarily withdrawn who then want to reapply for re-certification.

**COMPLAINTS AND APPEALS**

34. **Complaints and appeals procedures**
The regional NSF office conducting the certification shall be referenced for procedures relating to complaints and appeals for audits to the NSF Global Animal Wellness Standards. At closing meeting, the Auditor will indicate the client has the right to appeal. Appeals should be sent ideally within 1-2 days of the audit. A pending appeal will delay the finalization of the technical review and certification decision.
Annex A

NSF Global Animal Wellness Standards – List of Standards

Management System:
NSF Global Animal Wellness Management System Standard V1.0 2019

Beef Series:
NSF Global Animal Wellness Standard (Beef Production) V1.0 2019
NSF Global Animal Wellness Standard (Cattle Transport) V1.0 2019
NSF Global Animal Wellness Standard (Livestock Assembly) V1.0 2019
NSF Global Animal Wellness Standard (Cattle Slaughter) V1.0 2019

Dairy Series:
NSF Global Animal Wellness Standard (Dairy Cattle Production) V1.0 2019
NSF Global Animal Wellness Standard (Small Ruminant Dairy Production) V1.0 2019
Transport, assembly and slaughter would be covered in relevant beef or small ruminant standards

Pig Series:
NSF Global Animal Wellness Standard (Pig Production) V1.0 2019
NSF Global Animal Wellness Standard (Pig Transport) V1.0 2019
NSF Global Animal Wellness Standard (Livestock Assembly) V1.0 2019
NSF Global Animal Wellness Standard (Pig Slaughter) V1.0 2019

Small Ruminant Series:
NSF Global Animal Wellness Standard (Small Ruminant Production) V1.0 2019
NSF Global Animal Wellness Standard (Small Ruminant Transport) V1.0 2019
NSF Global Animal Wellness Standard (Livestock Assembly) V1.0 2019
NSF Global Animal Wellness Standard (Small Ruminant Slaughter) V1.0 2019

Meat Poultry Series:
NSF Global Animal Wellness Standard (Hatchery) V1.0 2019
NSF Global Animal Wellness Standard (Meat Poultry Production) V1.0 2019
NSF Global Animal Wellness Standard (Poultry Transport) V1.0 2019
NSF Global Animal Wellness Standard (Live Poultry Assembly) V1.0 2019
NSF Global Animal Wellness Standard (Poultry Slaughter) V1.0 2019

Laying Poultry Series:
NSF Global Animal Wellness Standard (Laying Poultry Production) V1.0 2019
Hatchery, transport, assembly and slaughter would be covered in relevant poultry standards
Annex B

Required Documentation and Records of Compliance

Prior to an initial certification audit, the organization should have documentation available for a minimum of (3) three months or the duration of the life of the livestock groups managed at site at the time of the audit.

Administration and Regulatory Compliance
- Description of operation scope, activities, and animal/product types
- Regulatory compliance policies and documents of regulatory visits or comments
- Customer specifications for animal and/or animal products;
- Animal and/or animal products list or proposed product list; finished product profiles (formula or package size, retail or non-retail, brand(s), labels), where applicable to the scope of certification
- Flow diagram of animals and animal products through the supply chain process
- Where corporate documentation or documentation based on templates is used, the operation will ensure that the implementation is specific to the facility and that any adaptations, deviations, etc. are indicated clearly.

Management Commitment, Policy, Procedures and Planning
- Animal wellness policies, programs and procedures: in applicable language and well-communicated to all personnel handling and caring for animals
- Organization chart and designated management personnel with responsibility for animal wellness and credentials
- Current, signed animal wellness, animal welfare, animal health and emergency plans
- Relevant animal wellness management programs
- Document management and record keeping policies and procedures

Personnel Knowledge, Skills and Competency
- Policy/documents/procedures/records of training: initial and annual refresher training as applicable to job responsibilities on purpose and requirements of the program, policies and procedures and work instructions related to specific tasks.
- All employee training records shall be maintained at the production facility for a period of five (5) years and available for review during on-site inspections.

Monitoring Animal Wellness Plan Implementation and Outcomes
- Monitoring protocols, measures, critical thresholds and corrective action policies and documentation; verification and validation procedures and documentation

Evaluation and Review
- Animal welfare gap and hazard analysis and documentation
- Internal audit and policy compliance and effectiveness review program
- Any third-party audit reports of the operation
- Documentation for validating and verifying effectiveness of control measures
- Annual management review (at a minimum annually, or whenever significant changes in the program or management have occurred)) process and documentation

Facilities, Equipment and Materials
- Written documentation that provides detail on land, buildings, facilities, equipment and materials; includes layout, acres and dimensions, purpose of use; property boundaries and adjacent features.
- Written documentation that provides detail on land, facility management practices (waste water, odor, noise, etc.), building, facilities, equipment and materials specifications, maintenance, calibration and sanitation.
**Supplier approval and monitoring**

- Documents/procedures/records of the supplier approval and monitoring process: evidence that compliant animals or inputs are sourced via: supplier product specification sheets and certificate of analysis; evidence of supplier certification to the NSF Global Animal Wellness Standard or other applicable third-party certification or regulation deemed equivalent by NSF, the scope of compliance must include the supplied ingredient.
- Detailed identification, traceability and chain of custody policy, procedures, including recall procedures, if applicable and system tests
- Documented Supplier Approval program and approved supplier list; Feed and Medical Treatment Suppliers, where applicable to the scope of certification
- Specifications for contracted service providers (veterinary, pest control, sanitation, live catching, transport, etc.), where applicable to the scope of certification

**Livestock records**

- Procedures/records of livestock transport activities and the feed provided during transport, if applicable; transport and storage vessels/vehicles cleaning and maintenance to preserve the integrity of materials and animals.
Annex C

Use of Video and Technology

NSF supports the use of video or other electronic monitoring records for assessment of compliance to the NSF Global Animal Wellness Standards. This can include use of closed-circuit television or remote viewing capability. Use of these methods must be indicated prior to the start of the audit. If the records do not satisfactorily allow the auditor to fully assess compliance, NSF reserves the right to conduct further on-site assessments with potential additional cost to the organization.
Annex D – Examples of Site and Animal Sample Selection

Default is square root (rounded up); minimum of 20% or 3. Once minimum is met, additional locations to view can be based on risk.

Example: Poultry Operation:
- 16 houses on site
- Square root = 4; 20% = 3.2
- Auditor to select 4 houses to view

<table>
<thead>
<tr>
<th>Location Description</th>
<th>Square Root</th>
<th>Auditor Selects</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 houses with birds within 1 week of market</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>6 houses with birds less than 1 week of age</td>
<td>2.5</td>
<td>1</td>
</tr>
<tr>
<td>6 houses with birds greater than 1 week of age and greater than 1 week from market</td>
<td>2.5</td>
<td>2</td>
</tr>
</tbody>
</table>

Example: Beef Cattle Operation:
- 40 separate pastures/pens where cattle are held
- Square root = 6.3; 20% = 8
- Auditor to select 8 pastures/pens to view

<table>
<thead>
<tr>
<th>Location Description</th>
<th>Square Root</th>
<th>Auditor Selects</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 pastures with cow-calf pairs</td>
<td>3.1</td>
<td>2</td>
</tr>
<tr>
<td>9 pens with weaned heifers and steers</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>7 fields with finishing steers</td>
<td>2.6</td>
<td>1</td>
</tr>
<tr>
<td>7 fields with finishing heifers</td>
<td>2.6</td>
<td>1</td>
</tr>
<tr>
<td>2 fields with bulls</td>
<td>1.4</td>
<td>1</td>
</tr>
<tr>
<td>4 fields with replacement heifers</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>1 hospital pen</td>
<td>1</td>
<td>1</td>
</tr>
</tbody>
</table>

Example: Farrowing Operation:
- 8 farrowing pens
- Square root = 2.8; 20% = 1.6
- Auditor to select 3 farrowing pens to view

<table>
<thead>
<tr>
<th>Location Description</th>
<th>Square Root</th>
<th>Auditor Selects</th>
</tr>
</thead>
<tbody>
<tr>
<td>4 pens with farrowing gilts</td>
<td>2</td>
<td>2</td>
</tr>
<tr>
<td>4 pens with farrowing sows</td>
<td>2</td>
<td>1</td>
</tr>
</tbody>
</table>
Annex E
Rules Governing the Use of the NSF Global Animal Wellness Mark

1. Introduction

1.1 These rules set out the conditions under which clients of NSF International (NSF) may use the NSF logo, hereinafter referred to as the “NSF Global Animal Wellness mark”.

The scope of these rules covers the use of the “NSF Global Animal Wellness mark owned by NSF as it relates to the different certifications to the NSF Global Animal Wellness Standards.

All NSF clients using the NSF Global Animal Wellness mark are required to comply with the requirements of these rules.

1.2 Use of the NSF Global Animal Wellness mark is restricted to companies/facilities that hold a valid NSF certificate of conformity to an NSF Global Animal Wellness Standard.

1.3 Authorized NSF clients may use the NSF Global Animal Wellness mark on stationery, brochures, exhibition stands, websites, flags and signs and other items which are directly related to the company/facility which has a valid NSF certificate, subject to the conditions set out in these rules.

1.4 NSF clients are responsible for ensuring that customers/readers are not misled as to their status of certification or the extent and/or limitations of the certificate that the client holds.

1.5 NSF clients shall not authorize the use of the NSF Global Animal Wellness mark by their customers, sub-contractors, agents or any other third party.

1.6 A client shall only use the NSF Global Animal Wellness mark in relation to the specific facility that holds a valid certificate. The NSF Global Animal Wellness mark shall not be used in relation to any facility that does not hold a valid certificate. It is not acceptable to use the NSF Global Animal Wellness mark on a company letterhead that applies to several operating facilities unless all facilities hold a valid certificate.

1.7 A client shall only use the NSF Global Animal Wellness mark in relation to a specific facility if it has a certificate the scope of which encompasses the entire scope of activities carried out at that facility. It is not acceptable to use the NSF Global Animal Wellness mark if parts of the facility are not covered by a valid certificate. The client must clearly indicate the specific NSF Global Animal Wellness Standard to which the facility is certified each time the NSF Global Animal Wellness mark is used or displayed.

1.8 Under no circumstances shall the NSF Global Animal Wellness mark be applied to products or product packaging, point of sale materials and merchandise, or such other items as NSF may determine from time to time.

1.9 Under no circumstances shall the NSF Global Animal Wellness mark be used in any way that suggests the certification of a product.

1.10 The NSF Global Animal Wellness mark shall not be used in any way that implies NSF accepts responsibility for activities carried out at the facility to which it relates.

2. Form and Display of the NSF Global Animal Wellness mark

2.1 The NSF Global Animal Wellness mark format is available for use with a particular scheme and may not be presented in any other format.
2.2 The NSF Global Animal Wellness mark shall only be displayed in the form, size and colour detailed in these rules.

2.3 When the NSF Global Animal Wellness mark is printed on an unfolded piece of A4 stationery it shall be no larger than 30mm high. On larger pieces of unfolded stationery, the size may be proportionately increased.

2.4 When printed, the NSF Global Animal Wellness mark shall normally be a minimum of 25 mm high. In exceptional circumstances, the NSF Mark may be reduced but it must be legible.

2.5 NSF clients shall ensure all reproductions of the NSF Global Animal Wellness mark are based on the master versions supplied by NSF International. Any enlargement or reduction of the NSF Global Animal Wellness mark shall ensure the same proportions as the master.

2.6 Where the NSF Global Animal Wellness mark is used or displayed, it shall have no more prominence than the client's own logo and be displayed not more than once.

2.7 The NSF Global Animal Wellness mark shall only be printed/displayed in close proximity to either the client’s own logo or trading name and address.

2.8 The NSF Global Animal Wellness mark shall only be produced, printed or displayed in the colors prescribed by NSF. These are:

   - Color: For 2 colour applications use Pantone 294 (Blue) and Pantone 032 (Red).
   - Mono: Black only.
   - Under no circumstances shall the NSF Global Animal Wellness mark be reproduced in any other single colour.

2.9 Electronic reproductions of the NSF Global Animal Wellness mark are permitted provided the conditions in these rules are met.

3. **Withdrawal of Permission to Use the NSF Global Animal Wellness mark**

3.1 In the event that the client’s certificate lapses or is withdrawn, the client shall cease to display or distribute material bearing the NSF Global Animal Wellness mark, within a period of time determined by NSF, and shall provide NSF with a written undertaking to this effect.

3.2 Any use of the NSF Global Animal Wellness mark that might contravene these rules shall be referred to NSF International Ltd.

3.3 In the event the client breaches these rules, or in any other way brings NSF into disrepute, NSF reserves the right to require the client to immediately cease to display/distribute material bearing the NSF Global Animal Wellness mark.

3.4 NSF reserves the right to vary the conditions set out in these rules without prior notice.

4. **Examples of NSF Global Animal Wellness mark**

4.1 Example of acceptable use of the NSF Global Animal Wellness mark.
NSF Global Animal Wellness Standard (Dairy Cattle Production) V1.0 2019

NSF Global Animal Wellness Standard (Cattle Slaughter) V1.0 2019

NSF Global Animal Wellness Standard (Hatchery) V1.0 2019
Annex F

Application to use the NSF Global Animal Wellness Mark

Instructions
To be completed by the applicant and emailed back to NSF International Ltd.
E-mail: animalwellness@ns.org
Specify in the Subject Line: Application to use the NSF Global Animal Wellness mark

<table>
<thead>
<tr>
<th>Company name:</th>
<th>Contact name:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Address:</td>
<td>Tel no:</td>
</tr>
<tr>
<td></td>
<td>Fax no:</td>
</tr>
<tr>
<td></td>
<td>E-mail:</td>
</tr>
</tbody>
</table>

For which standard is NSF Global Animal Wellness mark required:

Certificate Number:

Required use of the NSF Global Animal Wellness mark – enter details of where the mark is to be displayed and any other relevant information.

I, the undersigned have read and understood the rules governing the use of the NSF Global Animal Wellness mark and I am authorized on behalf of the above company to confirm acceptance of these rules.

<table>
<thead>
<tr>
<th>Name:</th>
<th>Position:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Signature:</td>
<td>Date:</td>
</tr>
</tbody>
</table>

For NSF use only

<table>
<thead>
<tr>
<th>Authorized Manager’s Recommendations:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name:</td>
</tr>
</tbody>
</table>