



# FARM ANIMAL WELFARE CERTIFICATION GUIDE

*January 2017*

A Farmer's Tool for Understanding  
Welfare Certification Programs





Founded in 1866, the ASPCA® (The American Society for the Prevention of Cruelty to Animals®) is the first animal welfare organization in North America and serves as the nation's leading voice for animals. More than two million supporters strong, the ASPCA's mission is to provide effective means for the prevention of cruelty to animals throughout the United States. As a 501(c)(3) not-for-profit corporation, the ASPCA is a national leader in the areas of anti-cruelty, community outreach and animal health services. For more information, please visit [aspca.org](http://aspca.org), and be sure to follow the ASPCA on **Facebook®**, **Twitter®**, and **Instagram®**.



Vermont Law School's Center for Agriculture and Food Systems (CAFS) has a dual mission: to develop the next generation of sustainable food and agriculture law and policy leaders, and to create user-friendly law, policy, and market resources supporting the development of sustainable food and agriculture systems. For more information about CAFS, visit [vermontlaw.edu/CAFS](http://vermontlaw.edu/CAFS).

## Acknowledgements

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# INTRODUCTION

This guide is a tool for farm and ranch businesses interested in exploring farm animal welfare certification programs (Animal Welfare Approved, Certified Humane®, Global Animal Partnership).



## How to Use This Guide



**Understand** what certification means.

First, read about what it means to participate in the covered certification programs.



**Review** programs.

Second, review and compare program standards, certification processes and costs.



**Explore** case studies.

Explore further and read first-hand farmer certification experiences.



**Learn** more.

Finally, learn about transition financing, labeling guidelines and additional resources.

## Welfare Certifications

### What are farm animal welfare certification programs?

**Independent, non-governmental organizations.** Animal welfare certification programs are not affiliated with government entities. They are independent, non-profit organizations (NPOs) or programs of NPOs.

**Standard-setters.** These programs develop animal welfare standards covering various aspects of farm animal husbandry, including breeding, birth, food and water, health management, housing, pasture access, transport, slaughter and record-keeping. These standards are publicly available online.

**Certifying and labeling programs.** Farm/ranch businesses that are found to meet a program's standards may apply for program certification. Once certified, it may use the program's label (and animal welfare claims) on certified animal products. According to the programs, results of audits and other business information are treated as confidential.

**Beneficial to business.** These programs can benefit farm animals and businesses through market access, product distinction, brand lift and as a foundation for a good animal management plan. For more on potential business benefits of welfare certification, see the [next page](#).



### Why Animal Welfare Approved, Certified Humane® and Global Animal Partnership?

**Transparency.** Standards and certification processes are publicly available and clear.

**Rigor.** Animal welfare standards are meaningfully better than conventional, with enriched, cage-free environments as a baseline.\* According to each program, 100% of the standards are required to pass an audit, systems are in place to address non-compliance and standards are routinely reviewed to reflect best practices.

**Independent audits.** Generally, require regular, on-site audits to confirm compliance with certification standards.

**National presence.** Each program certifies farm and ranch businesses nationally. The standards are applicable to all climates in the United States (not regional), marketed and recognized across the country.

\*For GAP, ASPCA recommends Step Levels 2 and above.

## Why Certify: The Triple Win

Farm animal welfare certification is a win-win-win for farm animals, farm/ranch businesses and consumers.



### Farm animals win.

Improved animal welfare means higher quality of life, increased ability to perform natural behaviors and more humane methods of slaughter.

### Farmers/Ranchers win.

In addition to providing a strong, welfare-focused management structure, welfare certification can offer access to new markets, a marketing edge against competitors and enhanced credibility with consumers.

### Consumers win.

Welfare certification programs allow consumers to easily identify products that are certified to meet more humane standards.



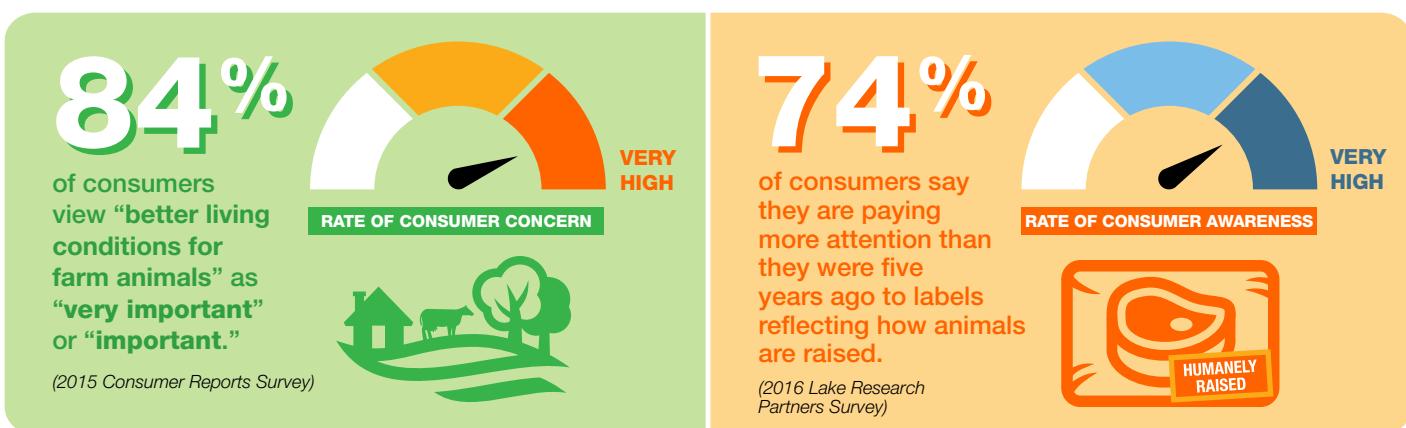
*Improved animal welfare conditions may also benefit the environment and public health.*

## Why Certify: The Business Benefit

Consumers are increasingly interested in, and willing to pay more for, animal products from farms raising animals with more humane animal husbandry practices. Accordingly, retailers, distributors, food service companies and restaurants are increasingly seeking to buy welfare-certified animal products. Meanwhile, major media outlets and consumer organizations are addressing farm animal welfare and helping consumers navigate food labels. These trends present farmers and ranchers with the opportunity to benefit by providing evidence of more humane animal care.

### Consumers Care

Consumers nationwide are increasingly interested in purchasing animal products that are certified as reflecting more humane animal husbandry practices.



### Premium Pricing

Consumers are willing to pay a premium for welfare-certified products.





## Retailers are committing

In response to consumer demand, a growing number of retailers—including Whole Foods Market®, Safeway and food service companies such as Bon Appétit Management Company—are committing to buying and selling welfare-certified animal products.

## The media and consumer groups are educating consumers

Meanwhile, major media and consumer organizations are educating consumers about welfare-certified foods and helping them navigate welfare-related product labels. The topic has been addressed in well-known publications including: *The Wall Street Journal*, *The New York Times* (here and here), *NPR (National Public Radio)*, *Chicago Tribune*, *National Geographic*, *Consumer Reports* and *Market Watch*.

## Ultimately, consumers are looking to labels to distinguish products

- Over two-thirds (69%) of consumers pay “some or a lot of attention” to food labels regarding how the animal was raised (2016 Lake Research Partners survey).
- 62% of consumers place a high degree of trust in certification by an independent animal welfare organization. Far fewer indicated trust in government, industry association or self-reported business records (Animal Welfare Institute citing 2012 Just Bare Chicken survey).



# FARM ANIMAL WELFARE CERTIFICATION PROGRAMS

## OVERVIEW

This guide covers three animal welfare certification programs:



**Animal Welfare Approved (AWA), a program of A Greener World (AGW)**



**Certified Humane® (CH), a program of Humane Farm Animal Care (HFAC)**



**Global Animal Partnership (GAP)**

First, this guide provides a "[Quick Compare](#)" chart highlighting key characteristics and distinctions between these three programs. Following this programmatic overview chart are multiple "[Standards Comparisons](#)" charts focusing on particular welfare standard distinctions between the three certifications. These charts are organized by species, including beef cattle, broiler chickens, dairy cattle, laying hens, pigs and turkeys\*. After these comparative overviews, "[In Depth](#)" sections for each certification program describe:

- Program history
- Standards
- Certification & audit processes
- Labeling rules
- Marketing support
- Costs

Additionally, this guide provides [case studies](#) illustrating farmers' experiences with program participation, examples of different sources of [funding for transitioning](#) farms and an overview of federal product [labeling requirements](#).

*All information in this Guide is derived from publicly available information from the sources listed on page 70.*

\* These charts are not an exhaustive comparison of all the species covered by welfare certification programs. The chosen species are those that are most commonly reared throughout the United States. Animal welfare certifications also have standards that cover: bison, ducks, geese, goats (meat and dairy), rabbits and sheep.

# QUICK COMPARE

	ANIMAL WELFARE APPROVED	CERTIFIED HUMANE®	GLOBAL ANIMAL PARTNERSHIP						
<b>Who Can Become Certified?</b>	<ul style="list-style-type: none"> <li>• Independent family farms</li> <li>• Cooperatives of family farms</li> <li>• Producer groups</li> <li>• Marketing groups</li> <li>• Restaurants</li> <li>• Retailers</li> <li>• Distributors</li> </ul>	<ul style="list-style-type: none"> <li>• Farms (family or otherwise)</li> <li>• Producer groups</li> <li>• Pooled product operations*</li> <li>• Beef marketing groups</li> <li>• Product manufacturing operations</li> </ul>	<ul style="list-style-type: none"> <li>• Farms (family or otherwise)</li> <li>• Producer groups</li> <li>• Marketing groups</li> </ul>						
<b>Animals Covered</b>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"> <ul style="list-style-type: none"> <li>• Bison</li> <li>• Beef cattle</li> <li>• Dairy cattle</li> <li>• Broiler chickens</li> <li>• Laying hens</li> <li>• Dairy goats</li> <li>• Meat goats</li> </ul> </td> <td style="width: 50%;"> <ul style="list-style-type: none"> <li>• Pigs</li> <li>• Dairy sheep</li> <li>• Meat sheep</li> <li>• Turkeys</li> <li>• Ducks</li> <li>• Geese</li> </ul> </td> </tr> </table>	<ul style="list-style-type: none"> <li>• Bison</li> <li>• Beef cattle</li> <li>• Dairy cattle</li> <li>• Broiler chickens</li> <li>• Laying hens</li> <li>• Dairy goats</li> <li>• Meat goats</li> </ul>	<ul style="list-style-type: none"> <li>• Pigs</li> <li>• Dairy sheep</li> <li>• Meat sheep</li> <li>• Turkeys</li> <li>• Ducks</li> <li>• Geese</li> </ul>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"> <ul style="list-style-type: none"> <li>• Bison</li> <li>• Beef cattle</li> <li>• Dairy cattle</li> <li>• Broiler chickens</li> <li>• Laying hens</li> <li>• Dairy goats</li> <li>• Meat goats</li> </ul> </td> <td style="width: 50%;"> <ul style="list-style-type: none"> <li>• Pigs</li> <li>• Dairy sheep</li> <li>• Meat sheep</li> <li>• Turkeys</li> </ul> </td> </tr> </table>	<ul style="list-style-type: none"> <li>• Bison</li> <li>• Beef cattle</li> <li>• Dairy cattle</li> <li>• Broiler chickens</li> <li>• Laying hens</li> <li>• Dairy goats</li> <li>• Meat goats</li> </ul>	<ul style="list-style-type: none"> <li>• Pigs</li> <li>• Dairy sheep</li> <li>• Meat sheep</li> <li>• Turkeys</li> </ul>	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;"> <ul style="list-style-type: none"> <li>• Bison</li> <li>• Beef cattle</li> <li>• Dairy cattle</li> <li>• Broiler chickens</li> <li>• Meat goats</li> </ul> </td> <td style="width: 50%;"> <ul style="list-style-type: none"> <li>• Pigs</li> <li>• Meat sheep</li> <li>• Turkeys</li> </ul> </td> </tr> </table>	<ul style="list-style-type: none"> <li>• Bison</li> <li>• Beef cattle</li> <li>• Dairy cattle</li> <li>• Broiler chickens</li> <li>• Meat goats</li> </ul>	<ul style="list-style-type: none"> <li>• Pigs</li> <li>• Meat sheep</li> <li>• Turkeys</li> </ul>
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<b>Stages of Life Covered</b>	<ul style="list-style-type: none"> <li>• Birth through slaughter</li> </ul>	<ul style="list-style-type: none"> <li>• Birth through slaughter</li> </ul>	<ul style="list-style-type: none"> <li>• Birth through life on-farm</li> </ul>						
<b>Split Ops Covered?</b>	<ul style="list-style-type: none"> <li>• Yes, but not within 1 species</li> </ul>	<ul style="list-style-type: none"> <li>• Yes, only within 1 species if the split operations are at different geographic locations</li> </ul>	<ul style="list-style-type: none"> <li>• Yes, including within 1 species at one geographic location if appropriately segregated</li> </ul>						
<b>Costs</b>	<ul style="list-style-type: none"> <li>• Free</li> <li>• <b>Note:</b> Farms that pass an AWA audit can apply to CH for equivalency certification, without paying the CH audit or certification fees</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Application fee:</b> \$75</li> <li>• <b>Audit/inspection fee:</b> \$700-\$800 per day</li> <li>• <b>Certification fee:</b> Based on amount of product processed and/or numbers of certified animals or animal products sold. See Fee Schedule.</li> <li>• <b>Re-certification fee (annual)</b></li> <li>• <b>Note:</b> Subsidized inspection fees for small operations. If two farms can be audited in the same day, those farms can split audit fee</li> </ul>	<ul style="list-style-type: none"> <li>• <b>Application fee:</b> None</li> <li>• <b>Audit/inspection fee:</b> Appx. \$1,000-1,750 per day, depending on audit company and complexity of operation</li> <li>• <b>Certification fee:</b> None</li> <li>• <b>Other:</b> For retail-ready products with GAP certified meat ingredients, fee of \$0.05 per case</li> <li>• <b>Note:</b> Audit rates for multiple operations/locations potentially discounted</li> </ul>						
<b>Who Audits?</b>	<ul style="list-style-type: none"> <li>• AWA employee(s)</li> </ul>	<ul style="list-style-type: none"> <li>• CH independent contractor(s)</li> </ul>	<ul style="list-style-type: none"> <li>• GAP-accredited independent verification companies</li> <li>• Within US: EarthClaims and IMI Global</li> </ul>						
<b>Extent of Audit in Multi-farm Operations</b>	<ul style="list-style-type: none"> <li>• All farms in supply chain of certified product</li> </ul>	<ul style="list-style-type: none"> <li>• All farms in supply chain of certified product, except with producer groups</li> </ul>	<ul style="list-style-type: none"> <li>• All farms in supply chain of certified product (excluding slaughter if slaughter facility meets certain industry slaughter guidelines/audit practices)</li> </ul>						
<b>Marketing Support</b>	<ul style="list-style-type: none"> <li>• Yes, offers promotional support, technical assistance and marketing materials</li> </ul>	<ul style="list-style-type: none"> <li>• Yes, offers promotional support and marketing materials</li> </ul>	<ul style="list-style-type: none"> <li>• Yes, offers promotional support and technical assistance</li> </ul>						

\* "Pooled product operations" are HFAC-certified operations that buy products from individual production operations that are inspected by HFAC and meet HFAC standards but not certified individually; sell the pooled product under the PPO's name; and pay HFAC for the inspections and certification fees for the pooled product.

# STANDARDS COMPARISONS

## Beef Cattle Standards

	ANIMAL WELFARE APPROVED (2015)	CERTIFIED HUMANE® (2014)	GLOBAL ANIMAL PARTNERSHIP (2009) No Step 3 for Beef
Outdoor Access	Continuous pasture access required whenever the welfare of the animal would not otherwise be affected	Continuous outdoor access required	<b>Steps 1-2:</b> 2/3 of life on range/pasture when conditions permit <b>Step 4:</b> 3/4 of life on range/pasture when conditions permit <b>Steps 5-5+:</b> Continuously on range or pasture
Feedlots	Prohibited	Permitted, with requirements for space, dry mounds, sun shades and wind breaks	<b>Steps 1-2:</b> Permitted <b>Steps 4-5+:</b> Prohibited
Weaning	Natural weaning recommended Calf must be $\geq$ 6mo, with average of 8mo	Calf must be $\geq$ 6mo average	<b>Steps 1-4:</b> Calf must be $\geq$ 6mo <b>Step 5:</b> Calf must be $\geq$ 8mo <b>Step 5+:</b> Natural weaning required
Physical Alterations	<p><b>Dehorning</b> Dehorning <i>prohibited</i> Disbudding permitted using caustic paste <math>\leq</math> 7d or by hot iron w/ anesthetic and analgesia <math>\leq</math> 2mo.</p> <p><b>Branding</b> All branding is <i>prohibited</i>, unless otherwise required by law, financial institutions or breed societies. If required, freeze branding should be used.</p> <p><b>Castration</b> <math>\leq</math> 7d using rubber bands/rings or <math>\leq</math> 2mo using scalpel/emasculator</p>	<p><b>Dehorning</b> Disbudding and dehorning permitted. Must use pain control.</p> <p><b>Branding</b> Face branding <i>prohibited</i></p> <p><b>Castration</b> <math>\leq</math> 7d using rubber band/ring or <math>\geq</math> 7d using various methods w/ pain control</p>	<p><b>Dehorning</b> <b>All Steps:</b> Dehorning &amp; routine tipping <i>prohibited</i></p> <p><b>Steps 1-4:</b> Disbudding permitted <math>&lt;</math> 6wks, with pain control for hot iron. If disbudding is practiced, must have breeding program to select for polled cattle.</p> <p><b>Steps 5-5+:</b> Disbudding is <i>prohibited</i>.</p> <p><b>Branding</b> <b>All Steps:</b> Face branding <i>prohibited</i></p> <p><b>Steps 5 - 5+:</b> All branding <i>prohibited</i></p> <p><b>Castration</b></p> <p><b>Step 1:</b> <math>&lt;</math> 6mo</p> <p><b>Steps 2-4:</b> <math>&lt;</math> 3mo</p> <p><b>Steps 5-5+:</b> <i>Prohibited</i></p>
Air Quality	Ammonia must be $<$ 5 ppm	Ammonia must be $\leq$ 25 ppm Dust should not be $\geq$ 10 mg/m <sup>3</sup>	<b>Steps 1-4:</b> Assessed at the height of the animal, but limits not specified

# STANDARDS COMPARISONS

## Broiler Chicken Standards

	ANIMAL WELFARE APPROVED (2015)	CERTIFIED HUMANE® (2014)	GLOBAL ANIMAL PARTNERSHIP (2012)
<b>Outdoor Access</b>	Continuous pasture access required whenever the welfare of the animal would not otherwise be affected	Optional	<b>Step 1:</b> Not required <b>Step 2:</b> Not required <b>Steps 3-5+:</b> Required
<b>Stocking Density/ Space Allowance</b>	Minimum of 4 ft <sup>2</sup> of range per bird (vegetative cover must be maintained) 0.67 ft <sup>2</sup> per bird indoors (2.67 ft <sup>2</sup> per bird if excluded from ranging and foraging area)	6 lb/ft <sup>2</sup>	<b>Step 1:</b> 7 lb/ft <sup>2</sup> <b>Step 2:</b> 6.5 lb/ft <sup>2</sup> <b>Step 3:</b> 6 lb/ft <sup>2</sup> <b>Step 4:</b> 5.5 lb/ft <sup>2</sup> <b>Step 5-5+:</b> 5 lb/ft <sup>2</sup>
<b>Air Quality</b>	Ammonia must be < 5 ppm	Ammonia must be < 10 ppm	<b>All Steps:</b> Ammonia must be ≤ 20 ppm
<b>Natural Light</b>	Natural light required, ≥ 15 lux 8 hours continuous darkness in every 24	Natural light not required, ≥ 20 lux 6 hours continuous darkness in every 24	<b>All Steps:</b> ≥ 20 lux <b>Steps 1-2:</b> Natural light not required, 6 hours continuous darkness in every 24 <b>Steps 3-5+:</b> Natural light required, 8 hours continuous darkness in every 24
<b>Enrichment</b>	Ranging area provides foraging opportunities (denuded area ≤ 20%). If excluded from range during the daytime, vegetative material must be provided to enrich indoor housing. Raised perches or platforms must be provided in housing.	Requires at least one type (straw bales, perches, pecking objects), guidance given on quantity	<b>Step 1:</b> Not required <b>Step 2:</b> Requires at least one type (straw bales, scattered grains, brassicas, etc.) <b>Steps 3 - 4:</b> Requires two types <b>Steps 5 - 5+:</b> Provided via pasture requirement (vegetated ground cover or added foraging materials). Perches required.

# STANDARDS COMPARISONS

## Dairy Cattle Standards

	ANIMAL WELFARE APPROVED (2015)	CERTIFIED HUMANE® (2014)
<b>Outdoor Access</b>	Continuous pasture access required whenever the welfare of the animal would not otherwise be affected	Regular outdoor access required, weather permitting
<b>Housing</b>	Tethering <i>prohibited</i> Raising individual calves in isolation <i>prohibited</i>	Tethering <i>prohibited</i> Group housing of calves required once calves are 8 wks
<b>Weaning</b>	≥ 12 wks weaning recommended Calf must be ≥ 6 wks	Calf must be ≥ 5 wks
<b>Physical Alterations</b>	<p><b>Dehorning</b> Dehorning <i>prohibited</i> Horn tipping permitted Disbudding permitted using caustic paste ≤ 7d or by hot iron w/ anesthetic and analgesia ≤ 2mo</p> <p><b>Tail Docking</b> Tail docking <i>prohibited</i></p> <p><b>Marking</b> Branding <i>prohibited</i>, unless otherwise required by law, financial institutions or breed societies. If required, freeze branding should be used. Ear notching permitted, but must be carried out using a notching tool, not a knife</p> <p><b>Castration</b> ≤ 7d using rubber bands/rings or ≤ 2mo using scalpel/burdizzo</p>	<p><b>Dehorning</b> Disbudding and dehorning permitted. Must use pain control.</p> <p><b>Tail Docking</b> Tail docking <i>prohibited</i></p> <p><b>Marking</b> Face branding and ear notching <i>prohibited</i></p> <p><b>Castration</b> ≤ 7d using rubber band/ring or ≥ 7d w/ pain control</p>
<b>Air Quality</b>	Ammonia must be < 5 ppm	Ammonia must be ≤ 25 ppm Dust should be ≤ 10 mg/m <sup>3</sup>

# STANDARDS COMPARISONS

## Laying Hen Standards

	ANIMAL WELFARE APPROVED (2015)	CERTIFIED HUMANE (2014)
Outdoor Access	Continuous pasture access required whenever the welfare of the animal would not otherwise be affected	Optional
Stocking Density/ Space Allowance	Minimum of 4 ft <sup>2</sup> of range per bird (vegetative cover must be maintained) 1.8 ft <sup>2</sup> per bird indoors (5.8 ft <sup>2</sup> when excluded from ranging and foraging area)	Aviary: 1.0 ft <sup>2</sup> per bird Floor + Slats: 1.2 ft <sup>2</sup> per bird Floor: 1.5 ft <sup>2</sup> per bird Mobile Pasture Housing: 1 ft <sup>2</sup> indoors
Air Quality	Ammonia must be < 5 ppm	Ammonia must be < 10 ppm
Natural Light	Natural light required indoors ≥ 15 lux 8 hours continuous darkness in every 24	Natural light not required Lux allowing birds to see and be inspected 6 hours continuous darkness in every 24
Enrichment	1 nest box for every 5 birds or 20 in <sup>2</sup> of nest space per bird 7 in of perch space per bird Must be able to dustbathe Ranging area provides foraging opportunities (denuded area ≤ 20%). If excluded from range during the daytime, vegetative material must be provided to enrich indoor housing.	9 ft <sup>2</sup> of nest space per 100 birds 6 in of perch space per bird Must be able to dustbathe, ≥ 15% floor space provides litter substrate
Physical Alterations	Beak trimming and de-beaking <i>prohibited</i>	Beak trimming permitted ≤ 10d

# STANDARDS COMPARISONS

## Pig Standards

	ANIMAL WELFARE APPROVED (2015)	CERTIFIED HUMANE® (2013)	GLOBAL ANIMAL PARTNERSHIP (2015)
Outdoor Access	Continuous ranging and foraging access required whenever the welfare of the animal would not otherwise be affected	Optional	<b>Step 1-2:</b> Not required <b>Steps 3-5+:</b> Required
Stocking Density/ Space Allowance	<p><b>Gestating Sows:</b> 32 ft<sup>2</sup> per pig bedded lying area, plus 32 ft<sup>2</sup> exercise area per pig when excluded from ranging and foraging area</p> <p><b>Farrowing Sows:</b> 64 ft<sup>2</sup> per sow bedded lying area, plus 48 ft<sup>2</sup> exercise area per pig when excluded from ranging and foraging area</p> <p><b>Grower Pigs:</b> Depends on weight class and ranges from 6.5 ft<sup>2</sup> lying area per 66 lb pig to 14 ft<sup>2</sup> lying area per 242 lb pig. Pigs must have an additional exercise area when excluded from ranging and foraging area, ranging from 4.5 ft<sup>2</sup> per 66 lb pig to 11 ft<sup>2</sup> per 242 lb pig</p>	<p><b>Gestating Sows:</b> 37.6 ft<sup>2</sup> per pig for mature sows and 28.9 ft<sup>2</sup> per pig for first and second parity animals</p> <p><b>Farrowing Sows:</b> Pen must be at least 6 x 8 ft</p> <p><b>Grower Pigs:</b> Depends on weight class and ranges from 1.7 ft<sup>2</sup> per 22 lb pig to 9.1 ft<sup>2</sup> per 264 lb pig</p>	<p><b>Gestating Sows:</b> <b>Steps 1-2:</b> 32 ft<sup>2</sup> per pig</p> <p><b>Step 3:</b> 56 ft<sup>2</sup> per pig (20 ft<sup>2</sup> of outdoor space)</p> <p><b>Step 4:</b> If removed from pasture, 40 ft<sup>2</sup> per pig (20 ft<sup>2</sup> of outdoor space)</p> <p><b>Steps 5-5+:</b> On pasture continuously; only removed for emergencies. If removed, must have 16 ft<sup>2</sup> of lying space</p> <p><b>Farrowing Sows:</b> <b>All Steps:</b> Pen must have 48 ft<sup>2</sup> of farrowing space</p> <p><b>Grower Pigs:</b></p> <ul style="list-style-type: none"> <li><b>Step 1:</b> 7 ft<sup>2</sup> per pig if between 56 and 112 lbs; 10 ft<sup>2</sup> per pig if &gt; 112 lbs</li> <li><b>Step 2:</b> 7 ft<sup>2</sup> per pig if between 56 and 112 lbs; 12 ft<sup>2</sup> per pig if &gt; 112 lbs</li> <li><b>Step 3:</b> 7 ft<sup>2</sup> per pig if between 56 and 112 lbs; 18 ft<sup>2</sup> per pig if &gt; 112 lbs (6 ft<sup>2</sup> of outdoor space)</li> <li><b>Step 4:</b> 5.25 ft<sup>2</sup> per pig if between 56 and 112 lbs; 9 ft<sup>2</sup> per pig if &gt; 112 lbs If removed from pasture, 1.75 ft<sup>2</sup> of exercise, feeding and dunging area per pig if between 56 and 112 lbs; 9 ft<sup>2</sup> per pig if &gt; 112 lbs (6 ft<sup>2</sup> of outdoor space)</li> <li><b>Steps 5 - 5+:</b> 5.25 ft<sup>2</sup> per pig if between 56 and 112 lbs; 9 ft<sup>2</sup> per pig if &gt; 112 lbs</li> </ul>
Physical Alterations	Tail docking and teeth clipping <i>prohibited</i> Ear notching carried out with a knife <i>prohibited</i> , but permitted if using notching tools	Teeth clipping permitted (during first 48 hrs) Ear notching <i>prohibited</i> Routine tail docking <i>prohibited</i> , but permitted on case-by-case basis if recommended by vet Castration < 7d	<b>All Steps:</b> Tail docking & teeth clipping <i>prohibited</i> <b>Ear Notching</b> <b>Steps 1-4:</b> Ear notching permitted < 10d. <b>Step 5-5+:</b> Ear notching <i>prohibited</i> <b>Castration</b> <b>Step 1-4:</b> Castration ≤ 10d <b>Steps 5-5+:</b> Castration <i>prohibited</i>
Air Quality	Ammonia must be < 5 ppm	Ammonia must be < 10 ppm	<b>Steps 1-4:</b> Ammonia must be ≤ 20 ppm; Dust must be ≤ 10 mg/m <sup>3</sup>
Enrichment	Must have continuous access to forage either outside on range or provided as both feed and foraging material when excluded from range	Must have materials for rooting and manipulating (e.g. straw/ sawdust/woodchips, rope)	<b>Steps 1:</b> Not required <b>Steps 2-4:</b> Must have enrichment materials (e.g. straw/hay/ woodchips, rope) <b>Steps 5-5+:</b> Must have continuous access to pasture with 50% vegetation coverage

# STANDARDS COMPARISONS

## Turkey Standards

	ANIMAL WELFARE APPROVED (2015)	CERTIFIED HUMANE® (2014)	GLOBAL ANIMAL PARTNERSHIP (2015)
Outdoor Access	Continuous pasture access required whenever the welfare of the animal would not otherwise be affected	Optional	<b>Step 1:</b> Not required <b>Step 2:</b> Not required <b>Steps 3-5+:</b> Required
Stocking Density/ Space Allowance	Minimum of 20 ft <sup>2</sup> of range per bird 5 ft <sup>2</sup> per bird indoors (16 ft <sup>2</sup> per bird if excluded from ranging and foraging area)	7.5 lb/ft <sup>2</sup>	<b>Step 1:</b> 10 lb/ft <sup>2</sup> <b>Step 2:</b> 7.5 lb/ft <sup>2</sup> <b>Step 3:</b> 6.5 lb/ft <sup>2</sup> <b>Step 4-5+:</b> 6 lb/ft <sup>2</sup>
Physical Alterations	Beak trimming, toe trimming and any other physical alterations <i>prohibited</i>	Beak trimming permitted if < 10d All other alterations <i>prohibited</i>	<b>Step 1:</b> Beak trimming (infra-red at hatchery) and toe-conditioning permitted <b>Step 2-3:</b> Beak trimming permitted (infra-red at hatchery); Toe-conditioning <i>prohibited</i> <b>Step 4-5+:</b> All alterations <i>prohibited</i>
Air Quality	Ammonia must be < 5 ppm	Ammonia must be < 10 ppm	<b>All Steps:</b> Ammonia should be ≤ 15 ppm; Dust should be ≤ 10 mg/m <sup>3</sup>
Natural Light	Natural light required, ≥ 15 lux 8 hours continuous darkness in every 24	Natural light not required, ≥ 20 lux 6 hours continuous darkness in every 24	<b>Steps 1-2:</b> Natural light not required, ≥ 20 lux 6 hours continuous darkness in every 24 <b>Steps 3-5+:</b> Natural light required, ≥ 50 lux 8 hours continuous darkness in every 24
Enrichment	Ranging area provides foraging opportunities (denuded area ≤20%). If excluded from range, vegetative material must be provided to enrich indoor housing.	Required when birds > 10d (straw bales, perches, pecking objects). No specific number of enrichments required.	<b>Step 1:</b> Not required <b>Step 2:</b> Requires at least one type (straw bales, scattered grains, brassicas, etc.) <b>Steps 3-4:</b> Requires two types <b>Steps 5-5+:</b> Provided via pasture requirement (vegetated ground cover or added foraging materials) Perches required.

## Antibiotics Policy

	ANIMAL WELFARE APPROVED	CERTIFIED HUMANE	GLOBAL ANIMAL PARTNERSHIP
Antibiotics (ABX)	Subtherapeutic use <i>prohibited</i> ABX may only be used for disease treatment.  Market animals treated with ABX may be sold under the program after twice the licensed withdrawal period has passed.	Subtherapeutic use <i>prohibited</i> ABX may only be used for disease treatment.  Market animals treated with ABX may be sold under the program, so long as appropriate withdrawal period has passed.	Subtherapeutic use <i>prohibited</i> ABX may only be used for disease treatment.  Market animals treated with ABX <i>may not</i> be sold under the program.

## In Depth: Animal Welfare Approved, a program of A Greener World



### AWA Case Studies

This section provides background on Animal Welfare Approved (AWA) and an overview of AWA's:

- Standards
- Certification process
- Audit process
- Label use guidelines
- Marketing support
- Costs

### **AWA Background**

**Mission.** AWA is a program of A Greener World (AGW) whose goal is to improve farm animal welfare by certifying family farmers who adhere to what AWA describes as “the highest animal welfare and environmental standards.” According to AWA, “[t]he way we raise our animals, the nutritional quality of the meat, milk and eggs they produce, and the impact of farming systems on the environment are all intrinsically linked.” AWA describes itself as promoting animal welfare, the environment, and public health.

**History.** The Animal Welfare Institute created AWA in 2006. In 2014, AGW took over responsibility for the program. AGW is a 501(c)(3) non-profit organization which also manages the certifications Certified Grassfed and Certified Non-GMO. Notably, AWA is the only animal welfare certification program accredited as meeting the requirements of the International Organization for Standardization’s ISO/IEC 17065, which sets forth requirements for bodies certifying products, processes and services.



**For Family Farmers.** AWA certifies and audits independent family farmers and cooperatives and producer groups of family farmers. It also certifies marketing groups, distributors, retailers and restaurants. AWA defines a “cooperative” as “a group of farmers who work together and market all their produce under one name or brand, mutually benefiting from the profits.” It defines a “producer group” as “a group of farmers who work together but market some of their produce independently of other farmers in the group.”

**Standards.** According to AWA, “[t]he basic premise of all the standards is that animals must be able to behave naturally and be in a state of physical and psychological well-being.” In turn, as discussed in detail below, AWA’s standards cover birth through slaughter and require that animals have continuous access to pasture or range.

**Animals covered.** AWA’s standards cover the following animals:

- Bison
- Beef and dairy cows
- Broiler chickens
- Laying hens
- Meat and dairy goats
- Pigs
- Meat and dairy sheep
- Turkeys
- Ducks
- Geese



**Where Sold.** Certified AWA products can be found for sale on farms and at farmers markets, restaurants and in retail stores. See **AWA Product Search** for more information.

**Looking Forward.** According to AWA, the program is focused on obtaining a bigger market share of the animal welfare certification sector, and seeks to accomplish that by providing additional certifications for potential members, including Certified Grassfed (certifying that ruminant animals are fed a 100% grass and forage diet) and Certified Non-GMO (guaranteeing that a food product is produced without the use of genetically engineered feed, supplements or ingredients). AWA states that its profile and membership have been increasing, with an average of approximately ten applications per week.

## AWA STANDARDS

Each certification program covered in this guide requires compliance with standards covering various aspects of farm animal husbandry. Below is an overview of how AWA develops its standards; which stages of life AWA's standards cover; and AWA's record-keeping requirements. To review all AWA standards, [click here](#).

### Standards Development

AWA states that it developed its standards in collaboration with scientists, farmers and farm animal welfare experts from around the world. A Standards Board reviews AWA's standards annually and periodically revises them. For more information on the standards development process, read the [AWA Policy Manual](#) (Part 1.14).

### Stages of Life Covered

AWA's standards cover birth through death, including breeding, hatching, weaning, on farm life, transport and slaughter.

### Record-Keeping Requirements

AWA's record-keeping standards vary slightly across species. However, AWA generally requires:

#### A FARM PLAN REGARDING:

- Compliance with AWA standards
- Feeding and water
- Animal health
- Management of pasture
- Emergency procedures
- Transportation

#### A RECORD OF:

- Traceability, birth to slaughter
- Ingredients for feed
- Any close confinement
- Medication and treatment
- Mortality, morbidity and culling
- Sale or transfer of certified animals or products

#### Note: Applications for Derogation

A farm or group of farms may apply through a [Derogation Request Form](#) to carry out a practice or use a substance that AWA standards generally do not permit. According to AWA, derogation is only granted in exceptional cases when the principles of the program are still met even if an individual standard is not.

# AWA CERTIFICATION PROCESS

AWA certifies independent family farmers, cooperatives and producer groups of family farmers, and retailers, distributors and restaurants. The certification process described below applies to independent family farms. For information about certification processes for other entities, review the **AWA Policy Manual**.

## STEP ONE

### Review AWA Standards & Policies

- Read the **AWA standards** for the species you wish to certify and the **AWA Policy Manual** to confirm your farm will comply with relevant standards and policies.
- Confirm that your slaughter facilities are agreeable to being inspected for compliance by an AWA Slaughter Specialist.

## STEP TWO

### Submit Application

- Submit an **application form** and signed affidavit to AWA online or by mail.
- **Note:** AWA treats all information supplied by applicants, approved farms, slaughter facilities, or other businesses and groups as confidential.

## STEP THREE

### Schedule & Facilitate an Audit

- After you apply, an AWA Eligibility Coordinator will contact you to discuss certification. An AWA auditor will then contact you to schedule a visit to your operation to review your practices, records, facilities and animals. To learn more about the audit process, see [next page](#).
- **Note:** AWA treats observations and information collected during the course of the audit as confidential.

## STEP FOUR

### Obtain Certification & Use Label

- The AWA Approvals Board will make a certification determination.
- You will only receive certification if you are 100% compliant with AWA standards.
- Certification is valid for a maximum of 18 months. You may use the AWA label/seal on your products for 18 months from certification notification.
- **Note:** You may appeal a certification decision or enter a dispute resolution process for other program concerns.

## STEP FIVE

### Recertification & Changes to Certification

- AWA conducts re-certification audits of member farms annually, with a maximum of 18 months between inspections. AWA will notify you of the date on which your next audit is scheduled.
- You are not required to submit an annual application unless there has been a change in the scope of your operation since your last application, in which case you would submit an amended application.
- Once certified, you must inform AWA immediately of any actions or material changes that could affect your ability to comply with the AWA standards, including if you change slaughter plants or start or stop using on-farm slaughter.
- **Note:** Your certification may be suspended or terminated for nonconformities, as set forth in the **AWA Policy Manual** (Part 3.4).

## AWA AUDIT PROCESS



Step 1  
Facilities



Step 2  
Animals



Step 3  
Records

AWA conducts audits of facilities, animals and records to assess and potentially certify your operation's conformance with AWA standards and policies.

### When Are Audits Required?

- **Initially:** AWA conducts an audit as part of the initial application process.
- **Annually:** After certification, AWA conducts audits annually (with a maximum of 18 months between inspections) as a part of certification maintenance.
- **Unannounced:** These may be triggered by major changes in how the farm operates, a complaint against a farm or to verify that a required change has been made.
- **For Program Assessment:** Periodically, AWA selects random member farms to audit (also unannounced) in order to assess the effectiveness and consistency of the AWA auditing program, as well as the performance of its auditors. Random audits may cover a full farm or just a particular species or management practice.

### Who Conducts Audits?

- **Generally:** AWA employs approximately 20 auditors. Auditors are assigned based on availability, geographic location, knowledge and expertise.
- **Background & Training:** AWA auditors must have an agricultural science degree and be veterinarians or farmers with at least five years experience in pasture-based management or a similar qualification. All auditors are required to attend a “new auditor training.” After the initial training, each auditor is accompanied by a more experienced auditor during at least his or her first three audits. Every auditor is also required to attend yearly training programs. AWA Slaughter Specialists also have access to trainings provided by experts at Bristol University, UK.
- **Impartiality:** All AWA staff, auditors and board members are required to disclose any potential conflicts of interest and adhere to the AWA Conflict of Interest Policy. Further, an auditor is prohibited from conducting three consecutive audits on the same farm.
- **Management Reviews:** In order to maintain the program’s compliance with ISO/IEC 17065 (which sets forth requirements for bodies certifying products, processes and services), AWA conducts annual management reviews to evaluate the effectiveness of the auditing program as well as other aspects of the AWA quality management system.

## What Happens During an Audit?

The audit process varies somewhat depending on the type of entity being audited. However, all audits are based upon AWA standards and ISO/IEC 17065, if applicable. (For information about the audit and certification process for specific kinds of business entities, review the **AWA Policy Manual** Parts 2 & 3.) Generally, the audit process involves the following steps:

### Pre-audit: Off-farm Activity

- **First Contact.** An AWA auditor will contact you to schedule the audit visit. The auditor will ask questions to confirm the scope of the farm activity and the species to be audited and explain and answer questions about the audit process.



### Audit Part 1: On-farm Activity

- **Discussion.** The auditor will meet with farm managers and employees to discuss their roles and responsibilities as well as their knowledge of key AWA requirements.
- **Observation of Procedures, Facilities, Animals.** The audit will observe the farm facilities and practices involved in housing the farm animals (if applicable) and the storage of feed and medicines. The auditor may also arrange to inspect storage and in-store handling of products. The auditor will also observe the animals, their physical condition and all of the practices involved in raising them. The auditor will carry out some welfare outcome measurements – e.g. body condition score, lameness, dirtiness, as part of the audit. The auditor may also arrange to inspect transport of livestock.
- **Review of Records.** The auditor reviews records related to the source of all meat and livestock products, the management of the farm business and other relevant AWA standards (see record requirements above under “AWA Standards”).
- **Exit Interview.** At the end of the audit, the auditor will meet with you to summarize his or her findings and provide you with an overview of the observed non-conformances, if any. During this meeting, you have the opportunity to provide corrections, clarifications and additional information.
- **Overall Length.** The length of the audit varies depending on the size and complexity of the operation. According to AWA, most audits take half a day to one day. Farmers are required to be present and available for the duration of the audit.



## Audit Part 2: Slaughter Facility

For an animal product to be certified AWA, the accredited animal must be slaughtered in a facility that has undertaken the AWA inspection process and met AWA slaughter standards. The slaughter standards are based off of and exceed the requirements of the **American Meat Institute (AMI) guidelines**. This applies to slaughter on the farm or in a separate plant. Further, an animal may not be transported for more than 8 hours to slaughter. A slaughter facility inspection entails the same steps as a farm audit, described above.

- **Irregular Slaughter:** With either on-farm slaughter operations or slaughter plants, if the slaughter is not regularly conducted throughout the year, the AWA Slaughter Plant Specialist conducting the inspection must be provided with at least one month (three months is preferred) of notice prior to the planned slaughter.
- **Process for a Separate Slaughter Plant:** If your slaughter facility is not on your farm, you must identify to AWA the slaughter facility you wish to use, discuss the AWA program with the facility and help to coordinate the plant inspection by the AWA Slaughter Plant Specialist.
- **Corrections:** If the Slaughter Plant Specialist has any concerns about the suitability of including a plant or on-farm slaughter facility in the AWA program, he or she will provide a list of needed corrections. In some instances, a Slaughter Plant Specialist may decide that a plant or on-farm facility will never be suitable for the AWA program given the extent of nonconformance or the structure of its management.
- **Compliance Confirmation:** The Slaughter Plant Specialist produces a review report and collects any corrective actions required of the plant. This information is reviewed by AWA and when the program is satisfied that the slaughter facilities and conditions comply with AWA requirements, the plant will be sent a letter confirming compliance and the farm(s) that wished

## Post-Audit: Follow-Up & Corrective Action

- **Determination.** Once the results of both the farm and the slaughter inspections have been obtained, AWA will make one of three written certification determinations:
  - 1) Your operation is approved as meeting 100% of AWA standards and policies;
  - 2) Your operation has correctable non-conformances;
  - 3) Your operation is denied certification because the auditor was denied entry to areas of the operation or there are significant animal welfare concerns.
- **Corrective Action Plan.** If AWA deems that you have correctable nonconformances, it will provide you with a Corrective Action Plan (CAP) form identifying and describing them. You must complete and return the CAP within one month, describing the steps you have taken or will take to correct the nonconformances and a schedule for doing so. The AWA Approvals Board will not grant certification until all compliance concerns identified on the CAP have acceptable corrective actions.
- **Program Assistance.** AWA has employees who will work with you to develop your CAP and make necessary changes.
- **Denial.** If your farm is denied certification, you must wait six months before reapplying. If your farm is denied certification due to an administrative termination, such as losing an approved slaughter facility, you may reapply at any time. If a violation is severe, AWA may refuse reapplication to the program entirely.



## Additional Audit Information

For additional information on the AWA audit process, review **AWA Policy Manual** Parts 2 and 3 and the following Annexes:

<b>Corrective Action Plan Flow Chart</b>	<b>Annex 9</b>
<b>Conflict of Interest Policy</b>	<b>Annex 1, Part A</b>
<b>Register of Staff and Board Members Interests</b>	<b>Annex 1, Part B</b>
<b>AWA Management Review Procedure</b>	<b>Annex 20</b>

# AWA LABEL USE GUIDELINES



**Label Approval.** When a farm is certified by AWA, it may begin using the appropriate AWA label or seal on its products.

- If animals have been raised on AWA farms and slaughtered at AWA recommended plants, their meat and hides may carry the AWA label.
- If dairy animals are raised on AWA farms, their milk may carry the AWA label.
- Fiber from animals on AWA farms may carry the AWA label.

**Label Requirements.** As a general matter, the AWA label must be reproduced from original artwork directly obtained from AWA. The label's use must also be:

- Complete and upright
- In proportion to the product description
- Clearly visible
- Legible over the whole of a background
- On the main face of the label or packaging

**USDA-FSIS Label Approval.** As described in the [USDA-FSIS section](#), prior to using the AWA label, approval by the United States Department of Agriculture (USDA) Food Safety & Inspection Service (FSIS) is required.

## Additional Label Use Information

For more information about the use of AWA's label and seal, review **AWA Policy Manual** Chapter 4 and the following Annexes:

<b>General Label Use</b>	<b>Annex 25</b>
<b>For Those Not Directly Accredited by AWA</b>	<b>Annex 13</b>
<b>For Slaughter Facilities Approved by AWA</b>	<b>Annex 14</b>
<b>For Multi-Ingredient Products</b>	<b>Annex 25</b>
<b>For Agricultural Products and Equipment</b>	<b>Annex 27</b>
<b>Dual Production and Sale of Product</b>	<b>Annex 26</b>

## AWA MARKETING SUPPORT

AWA provides free marketing support to certified AWA farmers. According to AWA, its Marketing, Public Relations and Outreach teams have the capacity to assist you by:

### Marketing Your Products

- Writing and distributing press releases about your farm
- Featuring news about your farm on AWA's website, blog, print newsletter and press releases
- Listing your farm and retailers offering your products on AWA's online searchable database

### Facilitating Networking and Events

- Helping you develop relationships with retailers, restaurants and farmers markets
- Hosting events to promote your products
- Attending conferences or workshops with you to help improve your and the program's visibility

### Providing Marketing Materials

- Providing you a kit of promotional materials, including brochures, signs, pens, magnets, note pads and sticky notes
- Providing you free signage (both metal gate signs and farmers market banners)

### Offering Marketing Advice

- Advising you regarding online marketing, social media (**AWA Guide to Using Social Media**) and more traditional forms of marketing
- Assisting you with label design and USDA-FSIS approval, including:
  - Meat Labeling 101 Guide
  - Label Gallery of Current AWA Products
  - AWA Egg Carton Order Form
- Advising you on using photos for marketing purposes (**Taking Pictures of Your Farm**)

For more on AWA marketing support, visit the **AWA Marketing Support Webpage**.

## AWA COSTS

AWA is free. There are no certification or audit fees. However, there may be costs associated with transitioning a farm to meet AWA standards in preparation for an application for certification.

## In Depth: Certified Humane®, a program of Humane Farm Animal Care



### HFAC Case Studies

This section provides background on the Certified Humane® (CH) certification program, a program of Humane Farm Animal Care (HFAC), and an overview of HFAC's:

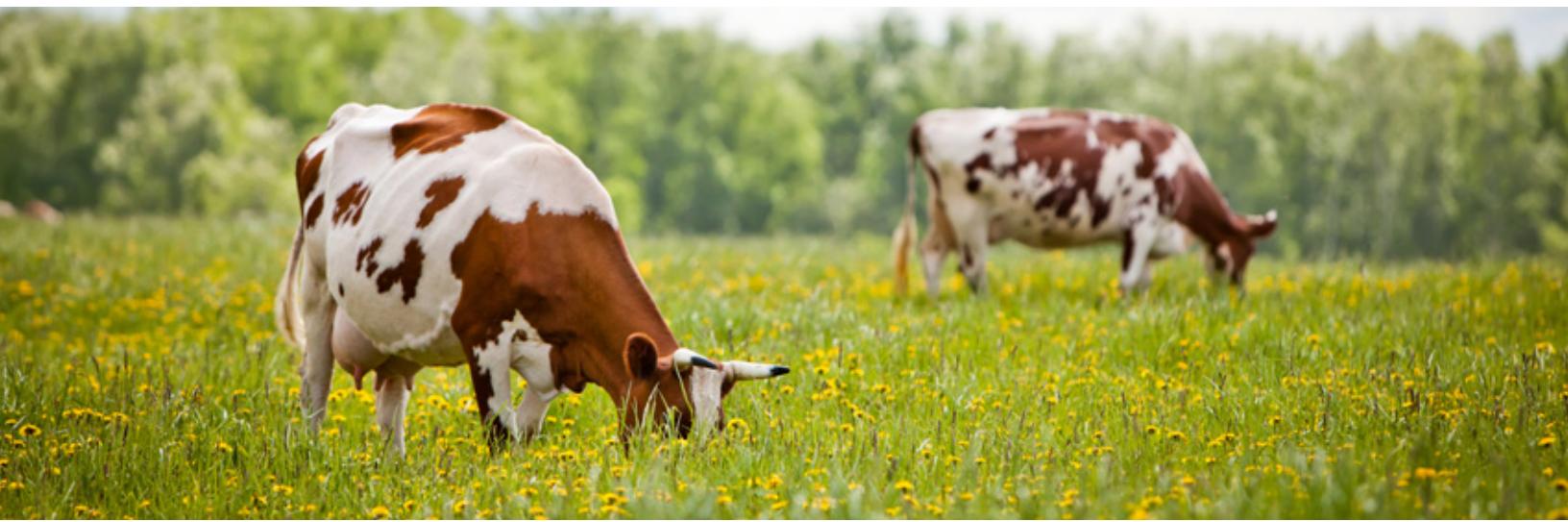
- Standards
- Certification process
- Audit process
- Label use guidelines
- Marketing support
- Costs

### **HFAC Background**

**Mission.** The Certified Humane® certification program (CH) is an international program of Humane Farm Animal Care (HFAC), a 501(c)(3) non-profit organization dedicated to “improving the lives of farm animals in food production from birth through slaughter” by “driving consumer demand for kinder and more responsible farm animal practices.”

**History.** HFAC was founded in 2003 to promote and administer CH. Since then, HFAC has certified over 144 companies and over 5,000 farms for compliance with HFAC standards.





**For a Range of Farm Businesses.** HFAC certifies single operations, producer groups, beef marketing groups and its own category of “pooled product operations” – entities that (1) buy products from individual production operations that have been inspected by HFAC and found to be in conformance with HFAC standards (but are not certified individually), and (2) sell the pooled product under the PPO’s name. Additionally, HFAC certifies “Product Manufacturing Operations” (PMOs) – entities producing products that include animal-based raw materials from HFAC-certified operations. Restaurants may apply to be certified as PMOs, as well.

**Standards.** HFAC’s standards cover birth through slaughter and are driven by HFAC’s philosophy that “animals must be free to do what comes naturally.” Accordingly, HFAC states, “chickens must be able to flap their wings and dust-bathe, and pigs must have the space to move around and root.” Likewise, cages, crates and tie stalls are prohibited, and animals must be fed a diet of “quality feed, without animal by-products, antibiotics or growth hormones.” Finally, “producers must comply with food safety and environmental regulations,” and “Livestock processors must comply with the **American Meat Institute (AMI) guidelines**, a slaughter standard written by Dr. Temple Grandin, a member of HFAC’s Scientific Committee.” Poultry producers must comply with the Poultry Slaughter Standards written by the HFAC Scientific Committee.

**Animals covered.** HFAC’s standards cover the following animals:

- Bison
- Beef and dairy cows
- Broiler chickens
- Laying hens
- Dairy, fiber and meat goats
- Pigs
- Dairy, fiber and meat sheep
- Turkeys

**Where Sold.** Relative to AWA and GAP, products with CH’s Certified Humane Raised and Handled® label are sold by the widest variety of distributors, retailers and restaurants. They can be found in the United States, Brazil, Canada, Chile and Peru. To search for CH products, click [here](#).

**Looking Forward.** HFAC states that, in 2003, the CH program covered approximately 143,000 farm animals, and that, today, it covers over 100 million. According to HFAC, they are unlikely to cover other animal species in the near future. Rather, they are focused on continuing to promote the existing program, including its newer “**Free Range**” and “**Pasture Raised**” labels.

# HFAC STANDARDS

Each certification program covered in this guide requires compliance with standards covering various aspects of farm animal husbandry. Below is an overview of how HFAC develops its standards; which stages of life its standards cover; and HFAC's record-keeping requirements. To review all HFAC standards, click [here](#).

## Standards Development

HFAC states that it developed its standards in conjunction with a “40 member Scientific Committee...comprised of animal scientists and veterinarians from the United States, Canada, Europe, and South America.” Typically, according to HFAC, proposals for new or modified standards originate within this committee. However, HFAC staff, operators and other interested parties may also generate new or modified standards for review by the committee.

After the Scientific Committee agrees on the text of a new or revised standard, HFAC distributes the draft to producers potentially impacted by the proposed standard for their comments. HFAC's Standards Committee compiles comments from this “public comment” period, incorporates other comments from the Scientific Committee, considers the proposed standards and then presents final recommendations to the HFAC Board of Directors, which makes the final decision on whether to adopt the recommendations or make no change.

## Stages of Life Covered

HFAC's standards cover “birth through death.” They focus on feed and water, environment, animal management, health, transportation and slaughter. In addition, HFAC does traceability audits on all products.

## Record-Keeping Requirements

HFAC's record-keeping standards vary slightly across species. However, HFAC generally requires:

### A FARM PLAN REGARDING:

- Training program for caretakers
- Animal health
- Emergency procedures (for fire, flood, interruption of food, water, electricity)
- Use of medication

### A RECORD OF:

- Dated production data. For example, for broiler chickens: incoming and outgoing birds, mortality (with reasons), feed provided and consumed, water provided, temperatures, ventilation setting and ammonia levels.

### Note: Standards Deviation Requests

If you believe you are complying with the spirit of a standard, but achieving that result through practices different than the standard specifies, you may contact HFAC and request a deviation. The relevant species subcommittee of the Standards Committee will determine whether or not to permit it.

# HFAC CERTIFICATION PROCESS

HFAC certifies farms, producer groups, beef marketing groups, product manufacturing operations (including restaurants) and “pooled product operations,” described above. The certification process described below applies to individual farms. For more information about the certification process for individual farms and other entities, review the **HFAC Policy Manual**.

## STEP ONE

### Review HFAC Standards & Policies

- Read the **HFAC standards** for the species you wish to certify and the **HFAC Policy Manual** to confirm your farm will comply with relevant standards and policies.
- Confirm that your slaughter facilities are agreeable to being inspected for compliance by an HFAC auditor.

## STEP TWO

### Submit Application

- Review the **application process** and submit an **application form** and a \$75 application fee to HFAC.
- **Note:** HFAC treats your business information as confidential.

## STEP THREE

### Schedule & Facilitate an Inspection

- After you apply, HFAC will undertake an Initial Review of your application to evaluate whether your operation is capable of complying with HFAC standards.
- If your application satisfies the Initial Review, an HFAC inspector will contact you to schedule and conduct an inspection (audit). To learn more about the inspection process, including costs, see [next page](#).
- **Note:** HFAC treats observations and information collected during the course of the inspection as confidential.

## STEP FOUR

### Obtain Certification & Use Label

- HFAC will make a certification determination.
- Approved operations will be provided a Certification Mark License Agreement governing label use.
- The certification fee will follow the **HFAC Fee Schedule**.
- Certification is valid for 1 year.
- **Note:** You may appeal a certification decision or enter a dispute resolution process for other program concerns.

## STEP FIVE

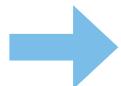
### Recertification & Changes to Certification

- HFAC-certified businesses must renew their certification annually by submitting a completed application form and application fee. The renewal process begins about 60 days before a business' certification expires, and includes generally the same steps as the initial certification.
- You must notify HFAC if you change the types or amounts of products certified or you make significant changes to your management or organizational structure. You must withhold products produced under the changed procedures until HFAC has reviewed the changes (possibly resulting in an Amended Certificate of Certification).
- **Note:** Your certification may be suspended or revoked for non-conformances, as set forth in the **HFAC Policy Manual**.

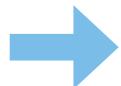
## HFAC INSPECTION PROCESS



Step 1  
Facilities



Step 2  
Animals



Step 3  
Records

HFAC employees conduct audits, which it calls “inspections,” to assess and potentially certify your operation’s conformance with HFAC standards and policies. HFAC inspects processes, facilities, animals and records.

### When Are Inspections Required?

- **Initially:** HFAC conducts an inspection as part of the initial application process.
- **Annually:** After certification, HFAC conducts inspections annually as a part of the certification renewal process.
- **Unannounced:** HFAC may perform unannounced inspections in order to assess an operation’s continued conformance with HFAC standards and policies.
  - Unannounced inspections are performed using the same procedures as routine inspections except that the inspector does not contact the operator about the inspection more than 24 hours prior to arrival at the certified operation.
  - Inspectors are permitted to perform unannounced inspections without any prior notice to the operator, but, according to HFAC, some notice is normally given to ensure that the needed personnel can participate.
- **For Program Assessment:** Periodically, HFAC selects random member farms to audit (also unannounced) in order to assess the effectiveness and consistency of the HFAC auditing program, as well as the performance of its auditors. Random audits may cover a full farm or just a particular species or management practice.

### Who Conducts Inspections?

- **Generally:** HFAC contracts with approximately 30 inspectors. In creating a plan for the inspection, HFAC first determines which aspects of your business need to be inspected and then determines who from the HFAC list of inspectors is most qualified to conduct the inspection.
- **Background & Training:** All of HFAC’s inspectors are required to either have a Masters or Ph.D. in animal science or a veterinary degree. Additionally, each inspector has expertise in a specific species. All inspectors participate in an inspection-training program. After the initial training, each auditor is accompanied by a more experienced auditor during at least his or her first two audits. After the apprentice inspections, the experienced inspectors evaluate the new inspectors to determine whether or not the new inspector needs additional training.

- **Impartiality:** HFAC states that it seeks to ensure that the chosen inspector has not been involved in (or employed by a business or person involved in) the design, supply, installation or maintenance of products related to your operation within 24 months of the inspection. All inspectors fill out a declaration of interest form so that HFAC can ensure they are not inspecting an entity with which they have a relationship. If you object to the use of a particular inspector, you may contact the Director of Certification to explain the objection. At HFAC's discretion, another inspector may be assigned.

## What Happens During an Inspection?

The inspection process varies somewhat depending on the type of entity being inspected. However, it generally involves the following steps. (For information about the inspection and certification process for specific kinds of business entities, review the **HFAC Policy Manual** Part 3.)

### Pre-audit: Off-farm Activity

- **First contact.** An HFAC inspector will contact you to schedule the inspection visit. The inspector will explain and answer questions about the inspection process.

### Audit Part 1: On-farm Activity

- **Discussion.** The inspector will meet with you to discuss the inspection schedule and procedures. Next, the inspector will meet with farm managers and employees to discuss their roles and responsibilities and determine their knowledge of HFAC requirements.
- **Observation of Procedures, Facilities, Animals.** The inspector will observe the procedures you use to manage and care for the farm animals in order to determine the level of conformance with HFAC standards and policies. Observed practices and procedures include animal nutrition and animal condition, housing, sourcing stock, animal identification methods, husbandry practices, handling systems, implementation of animal health plans, availability of emergency action plans, management of casualty animals and the general environment of the operation.
- **Review of Records.** The inspector reviews records listed on [page 26](#); documents referenced on the Application for Certification; records related to tracing animals; records documenting the products used in the management of your operation; and information provided by veterinarians, feed suppliers and other parties who provide goods and services to your farm.
- **Exit Interview.** At the end of the inspection, the inspector will meet with you to summarize the inspection findings and provide you with an overview of the observed non-conformances, if any. During this meeting you have the opportunity to provide corrections, clarifications and additional information.
- **Overall Length.** The length of the inspection varies depending on the size and complexity of the operation, but average between a half day and full day.



## Audit Part 2: Slaughter Facility

HFAC will inspect your slaughter facility to ensure it is compliant with HFAC standards. If it is not, either the slaughter facility must make the necessary changes to become compliant, or you will have to use another compliant slaughter plant in order to become certified. For livestock, HFAC requires that producers applying to the program have their animals slaughtered at facilities that meet **American Meat Institute (AMI) guidelines**. For poultry, HFAC requires that producers applying to the program have their animals slaughtered at facilities that meet the Poultry Slaughter Standards written by HFAC's scientific committee.

## Post-Audit: Follow-Up & Corrective Action

- **Determination.** After the inspections, the inspector compiles an inspection report. Based on that report, HFAC makes one of three written certification determinations:
  - 1) Your operation complies with all relevant HFAC policies and standards and is awarded certification;
  - 2) Your operation has one or more “minor non-conformance” with the relevant HFAC standards and policies, and must make the required corrections within a 30-day period;
  - 3) Your operation has one or more “major non-conformance” with the relevant HFAC standards and policies, and is therefore denied certification.
- **Conditional Certification.** An operation is granted “Conditional Certification” if it has one or more minor non-conformance with HFAC standards and policies. During the Initial Certification Process, HFAC may issue a “Certificate of Conditional Certification” to allow an operation with one or more “minor non-conformance” to use the HFAC seal while it is undertaking corrective actions. If operations with conditional certification do not correct “minor non-conformances” within 30 days, they are denied certification.
- **Denial.** If your farm is denied certification, you must wait six months before reapplying.

## Additional Inspection Information

For additional information on the HFAC inspection process, review **HFAC Policy Manual** Part 3, including the following charts:

Initial Certification Process Flowchart	Part 2, D
Renewal of Certification Process Flowchart	Part 2, E

## HFAC LABEL USE GUIDELINES



**License Agreement.** HFAC controls ownership, use and display of its certification mark through the Certification Mark License Agreement. This Agreement describes HFAC's legal rights to address incorrect references to the certification system or misleading use of licenses, certificates or marks found in advertisements. The Agreement also requires members to supply HFAC with samples of their packaging, advertising or promotional materials bearing the HFAC mark upon HFAC's request. HFAC's Certification Mark License Agreement is not publicly available. For questions on label topics not covered here, contact HFAC directly.

**USDA-FSIS Label Approval.** As described in the [USDA-FSIS Labeling](#) section, prior to use of the Certified Humane Raised and Handled® label, approval by the United States Department of Agriculture (USDA) Food Safety & Inspection Service (FSIS) is required.



## HFAC MARKETING SUPPORT

According to HFAC, the program provides the following marketing support to its members:

- **Internet Visibility.** According to HFAC, the CH website averages over 12,000 unique visitors a month. The website directs visitors to **where they can buy products with the Certified Humane Raised and Handled® label**, lists CH-certified producers and **profiles** CH farmers.
- **Downloadable Free App.** This App lists stores that sell products with the Certified Humane Raised and Handled® label, as well as which products are in each store.
- **Press Releases.** HFAC issues press releases for all new producers that successfully complete the Certified Humane® certification process.
- **Sourcing Outreach.** HFAC actively works with supermarkets and other retailers to find buyers for CH-certified products.
- **Promotion by Welfare Organizations.** HFAC claims that 6 “humane organizations” promote its program on their websites, in their publications and in targeted direct mailings, reaching national audiences.
- **Media Visibility.** HFAC highlights that numerous publications have profiled the CH program and directed readers to where to find products with the Certified Humane Raised and Handled® label.



## HFAC COSTS

As set forth below, HFAC has annual application, inspection and certification fees. For some qualified “small operations,” HFAC partially or fully subsidizes inspection costs.

### **Annual Application & Inspection Fees**

Application for Initial Certification	\$75
Application for Renewal Certification Fee (annual)	\$75
Inspection Fee: Farm	\$700/day/inspector
Inspection Fee: Processor, Product Manufacturing Operation, Pooled Product Operation, Slaughter and Handling Facility	\$800/day/inspector

## Annual Certification Fees

HFAC's certification fees are based on the amount of product processed and the number of animals or animal products sold because they are certified, not because there is a label on the package. Certification fees are generally paid on a monthly basis, but small operations may be allowed to pre-arrange quarterly payments, at the discretion of HFAC's Executive Director.

CERTIFICATION FEES		
<b>Cattle</b>	0-25,000 animals	\$1.10/head
	25,001-50,000 animals	\$0.82/head
	50,001-75,000 animals	\$0.62/head
	75,001-100,000 animals	\$0.47/head
	100,001-200,000 animals	\$0.37/head
	200,001-300,000 animals	\$0.22/head
	300,001-400,000 animals	\$0.07/head
<b>Pigs</b>	0-35,000 animals	\$0.55/pig
	35,001-65,000 animals	\$0.45/pig
	65,001-100,000 animals	\$0.35/pig
	100,001-200,000 animals	\$0.25/pig
	>200,000 animals	\$0.15/pig
<b>Dairy Cows</b>	Hundredweight of milk	\$0.015 (1/8 <sup>th</sup> cent/gallon)
<b>Goats</b>	For milk	\$0.008/gallon
	For meat	\$0.23/head
<b>Laying Hens</b>	Case of 30 dozen eggs	\$0.07
<b>Broiler Chickens</b>	1-6,000,000 birds	\$0.003/lb
	6,000,001-15,000,000 birds	\$0.0025/bird
	15,000,001-30,000,000 birds	\$0.002/bird
	>30,000,000 birds	\$0.0015/bird
<b>Sheep/Lamb</b>	Per head	\$0.23
	Per gallon	\$0.008
<b>Turkeys</b>	Per pound	\$0.0023
<b>Young Dairy Beef</b>	Per head	\$0.55
<b>Bison</b>	0-500 animals	\$1.00/head
	501-2500 animals	\$0.75/head
	> 2500 animals	\$0.50/head

*Used with permission from HFAC*

**Subsidies for “small operations.”** Upon request, HFAC may partially or fully subsidize the costs of inspections for qualified “small operations.”

SIZE OF OPERATIONS ELIGIBLE FOR SUBSIDIZED INSPECTION FEES	
Species covered by the certificate application	Number of animals being certified is not greater than:
Beef Cattle	50 head
Broilers	100 head
Dairy	30 head
Goats	50 head
Layers	100 head
Pigs	50 head
Sheep	70 head
Turkeys	70 head
Young Dairy Beef	30 head

*Used with permission from HFAC*

**Transition Costs.** Additionally, there may be costs associated with transitioning a farm to meet CH standards in preparation for an application for certification.

To review HFAC's Fee Schedule, [click here](#).



## In Depth: Global Animal Partnership



### GAP Case Studies

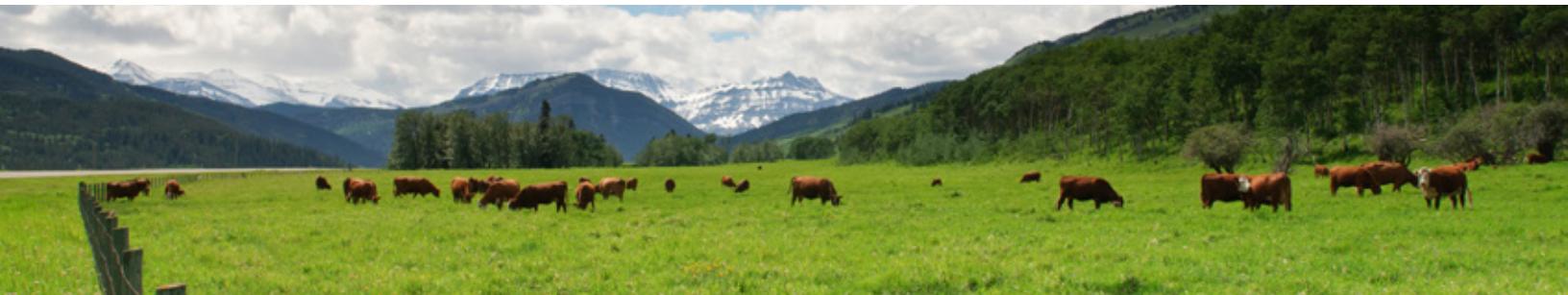
This section provides background on Global Animal Partnership (GAP) and an overview of GAP's:

- Standards
- Certification process
- Audit process
- Label use guidelines
- Marketing support
- Costs

### **GAP Background**

**Mission.** Global Animal Partnership (GAP) is a 501(c)(3) non-profit organization based in Austin, Texas, dedicated to “working collaboratively to facilitate and encourage continuous improvement and higher welfare in animal agriculture.” GAP maintains multi-tiered certification standards (“Step Levels” 1-5+) for each species. The more rigorous an operation’s welfare standards, the higher the “Step Rating” it may receive. Notably, GAP neither audits nor certifies farm businesses; it simply sets standards. It accredits independent certification companies to conduct audits and award GAP certifications on its behalf.

**History.** GAP began as the Animal Compassion Foundation, a program of Whole Foods Market® (WFM) created in 2005. In 2008, WFM renamed the program and spun off GAP as its own independent non-profit entity so that GAP could partner with other retailers and foodservice outlets. Notably, WFM and GAP are still significantly intertwined. First, they continue to share some management personnel, though GAP is looking to develop its next generation of leadership from outside WFM’s ranks. Second, in 2011, WFM established a procurement policy of buying only GAP-certified fresh meats. As a result, according to GAP, the vast majority of current GAP-certified farm and ranch businesses maintain GAP certification in order to sell (or continue to sell) fresh meats into the WFM supply chain. GAP is currently working to build relationships with other retailers and foodservice outlets nationally and internationally.



**For a Range of Farm Businesses.** GAP certifies individual farm businesses, producer groups and marketing groups. Notably, GAP provides certifications to “multi-step operations” (where the entire operation is step-rated but holds different step levels at the same time), “split operations” (where only part of the operation is step-rated) and “shared operations” (where two or more suppliers share one operation). GAP defines “operation” as a “farm, ranch, or other location that raises animals.” Ultimately, every “operation” along the supply chain of a Step-rated product must be audited and certified.

**Standards.** Distinctively, GAP establishes standards but does not conduct audits or issue certifications. Farmers must apply to GAP-accredited independent verification companies for GAP certification. Further, GAP maintains multi-tiered standards for each covered species, allowing farm operations to become certified at six different “Step Ratings”, forthcoming (1-5 or 5+), depending on which species-specific tier of GAP standards their operations meet. For example, according to GAP:

**Pigs raised in Step 1 systems typically live in a permanent housing structure and are provided the space to express natural behavior. In Step 2, they live in an enriched indoor environment. Pigs in Step 3 systems have access to the outdoors. In Step 4, they live continuously on pasture, with access to housing. In Step 5 and Step 5+, pigs live continuously outdoors on pasture and may only be housed during extreme weather conditions. At Step 5+, pigs spend their lives on a single farm, and are processed at a mobile or on-farm slaughter facility.**

**Animals covered.** GAP currently covers the following animals:

- Bison
- Pigs
- Beef cattle (not dairy)
- Meat sheep
- Broiler chickens
- Turkeys
- Meat goats (not dairy)

In early 2017, GAP will add laying hens to its coverage with the release of new laying hen standards.

**Where Sold.** As mentioned, WFM supported the development of GAP for its own producers and now purchases only GAP-certified fresh meats. As a result, the vast majority of farm businesses maintaining or seeking GAP certification are doing so to participate in the WFM supply chain (directly or indirectly). GAP is working to develop new retail and foodservice partners, most recently announcing a partnership with Compass Group USA. To see a full list of where GAP products are sold, click [here](#).

**Looking Forward.** GAP will publish new standards for broiler chickens, beef cattle and laying hens. Additionally, according to GAP, it will continue to broaden its relationships beyond WFM. Specifically, GAP intends to develop its next generation of leadership from non-WFM personnel and continue building new partnerships (beyond WFM) in the retail and foodservice industries.

# GAP STANDARDS

Each certification program covered in this guide requires compliance with standards covering various aspects of farm animal husbandry. Below is an overview of how GAP develops its standards; which stages of life its standards cover; and its record-keeping requirements. To review all GAP standards, click [here](#).

## Standards Development

GAP uses a multi-stakeholder approach in developing (or revising) its standards. GAP seeks guidance and input from species-specific working groups, including producers and industry experts. Next, GAP creates draft standards, posts them for public comment; acknowledges comments and responds where appropriate; reviews comments and re-drafts where necessary; and submits draft standards to the Board of Directors for final review and approval. Once GAP finalizes a set of standards, it issues a Certification Manual to the accredited certification companies with audit-specific details for the new standards. Recently, GAP added a “field testing” component to their standard development process, where standards are trialed in the field prior to being finalized.

## Stages of Life Covered

GAP’s standards cover breeding, hatching, weaning, on-farm life and transport. GAP does not have its own standards for slaughter. Instead, it generally requires that slaughter operations meet **American Meat Institute (AMI) guidelines** and industry audit norms. GAP does not require additional audits of slaughter facilities provided the facility has a current third-party industry audit that meets its criteria. Currently, GAP does not require industry slaughter standards be met for broiler chickens and beef cattle, but anticipates that this will change in the near future as AMI revises the guidelines for these species.

## Record-Keeping Requirements

Though GAP’s record-keeping standards vary slightly across species, GAP generally requires:

### A FARM PLAN REGARDING:

- Feeding and water
- Animal health
- Routine husbandry procedures
- Management of outdoor areas
- Emergency procedures
- Environmental management

### A RECORD OF:

- Traceability, birth to slaughter
- Daily flock incidences
- Medication & treatment
- Procedures for bringing animals on site & biosecurity policies for employees and visitors
- Employee training

### Note: Requests for Deviation

A farm may apply to carry out a practice or use a substance that GAP standards generally do not permit. To do so, they submit a **Deviation Request Form** to GAP and the certifier. (While GAP-accredited certifiers make certification decisions, GAP must evaluate all deviation requests.)

# GAP CERTIFICATION PROCESS

GAP certifies individual farms, producer groups and marketing groups. Every individual farm within the supply chain of a product must be certified in order for the final product to be marketed as Step-rated. The certification process described below applies to individual farms. For more information about the certification process for individual farms and other entities, review the **GAP Policy Manual**.

## STEP ONE

### Review GAP Standards & Policies

- Read **GAP standards**, standard clarifications and the **GAP Policy Manual** to confirm your farm will comply with relevant standards and policies.
- Formally confirm that your slaughter facilities comply with relevant GAP and industry association standards and audit norms by supplying a copy of the third-party industry audit.

## STEP TWO

### Submit Application

- Contact a **GAP-accredited certifier** for a quote on audit costs, to schedule an audit and to inquire about the audit process.
- Submit an **application** for certification to the certifier.
- **Note:** Certifiers and GAP treat your business information as confidential.

## STEP THREE

### Facilitate an Audit

- Your GAP-accredited certifier will conduct an audit in accordance with GAP standards.
- Generally, an audit consists of one auditor spending one day on-site examining your facilities, animals and records.
- **Note:** Certifiers and GAP treat observations and information collected during the course of the audit as confidential.
- For more information on the audit process, see [next page](#).

## STEP FOUR

### Obtain Certification & Use Label

- The certifier will make a certification determination.
- Your operation will be rated at the highest Step on the “5 Step” scale (1-5+) for which all aspects of it qualify.
- Certification status is good for 15 months.
- **Note:** You may appeal certification decisions and submit formal complaints regarding other program concerns.

## STEP FIVE

### Recertification & Changes to Certification

- Every 15 months, you must apply for recertification and undertake a recertification audit.
- At any time, you may seek a Step upgrade by providing the certifier relevant evidence (documents, photographs, statements).
- During the certification cycle, you are responsible for reporting to the certifier any changes that may potentially impact your Step rating. You must report these changes prior to the change going into effect; failure to report changes can result in suspension or revocation of certification.
- **Note:** Your certification may be suspended or terminated for various reasons, as set forth in the **GAP Policy Manual** Chapter 6.

## GAP AUDIT PROCESS



**Step 1  
Facilities**



**Step 2  
Animals**



**Step 3  
Records**

GAP-accredited certifiers conduct audits of facilities, animals and records to assess and potentially certify your operation's conformance with GAP standards and policies.

### When Are Audits Required?

- **Initially:** A GAP-accredited certifier conducts an audit as part of the initial certification application process.
- **For recertification:** To maintain certification, you must undertake an audit between the 13th and 15th months of your certification periods.
- **Unannounced:** GAP-certifiers do not conduct unannounced audits.

### Who Conducts Audits?

- **Generally:** GAP does not conduct GAP-certification audits. Instead, it requires that farmers and ranchers seeking GAP certification apply to one of three independent, GAP-accredited certification companies to be audited and certified:

#### GLOBAL ANIMAL PARTNERSHIP 5-STEP® CERTIFIERS



**IMI Global**  
(USA & Canada)



**Earth Claims, LLC**  
(USA & Canada)



**AUS-Meat Limited**  
(Australia & New Zealand  
– beef & sheep only)

- **Background & Training:** Certifiers must apply to GAP's Certifier Accreditation Program and become accredited by GAP before conducting any audits. Certifiers must submit an annual application for each species they perform audits for, which includes:
  - Proof of an auditor and reviewer training program specific to the GAP program
  - Proof of an administrative team training specific to the GAP program
  - A list of auditors and reviewers that will be conducting GAP audits, complete with a description of each individual's relevant education and experience
  - All of their audit forms and related certification documentation for approval prior to use

- **Impartiality:** According to GAP, the fact that they work with independent certifiers means that “farmers, consumers, and retailers alike can be confident that Step ratings are fair, accurate, and free of any conflict of interest.”

## What Happens During an Audit?

The audit process varies somewhat depending on the type of entity being audited. However, all audits are based on GAP standards and GAP-approved audit forms. Generally, the audit process involves the following steps. (For more information about the audit and certification process for specific kinds of business entities, review **GAP Policy Manual** Chapters 4-6.)

### Pre-audit: Off-farm Activity

- **First contact.** After you submit your application to the GAP-accredited certifier, an auditor will contact you to schedule a time for the audit. During that call, the auditor will explain the audit process and answer your related questions.
- **Note: Two choices.** If you are in the United States, you currently have two choices for GAP-accredited certifiers/auditors: **EarthClaims LLC** and **IMI Global**. These companies have similar audit processes but different fee structures, as discussed on [page 45](#). Contact both companies to seek quotes before applying to one:

EarthClaims LLC: [info@earthclaims.com](mailto:info@earthclaims.com) or 202-596-5592

IMI Global: [info@imiglobal.com](mailto:info@imiglobal.com) or 303-895-3002

### Audit: On-farm Activity

- **Discussion.** The auditor will meet with the individual responsible for the farm’s day-to-day management to discuss what the audit will entail, and to address questions. The auditor may also meet with employees, transporters and catching crew members, depending upon the operation.
- **Observation of Facilities and Animals.** The auditor will observe the facilities and animals for compliance with relevant GAP standards.
- **Review of Records.** The auditor also reviews relevant records, examining farm policies and processes; ensuring a traceable “chain of custody” demonstrating that each species was born, raised on and transported between only GAP-certified operations; medical treatments; incidences of lameness; and other records listed on [page 37](#).
- **Exit Interview.** At the end of the audit, the auditor will meet with you to summarize his or her findings and provide you with an overview of observed nonconformances, if any. During this meeting, you have the opportunity to provide corrections, clarifications and additional information.
- **Overall Length.** The length of the audit varies depending on the size and complexity of the operation. According to GAP, most audits of individual operations take one day or less.



- **Note: Video & Technology Alternative.** In place of on-site observation by an auditor, a farm or ranch may submit video or other “electronic monitoring records” to enable certification review of limited, specific operational procedures, including:
  - Catching (broiler chickens)
  - Crating (broiler chickens)
  - Herding (turkeys)
  - Loading (turkeys, pigs, beef cattle)

For more information on video & technology, review **GAP Policy Manual** Chapter 4.

### **Post-Audit: Follow-Up & Corrective Action**

- **Determination.** After the exit interview, the auditor submits the audit form to a separate reviewer, who makes one of three determinations:
  - 1) Your operation complies with GAP standards for a specific Step level and is certified accordingly;
  - 2) Your operation has correctable (non-“critical”) non-conformances;
  - 3) Your operation fails the audit because the auditor was denied entry to areas of the operation, there is a “critical” non-conformance or there are significant animal welfare concerns.
- **Corrective Action.** If the certifier deems that your operation has correctable non-conformances, it will provide you with a Corrective Action Plan (CAP) form identifying and describing them. You must complete and return the CAP within three weeks (to avoid the certification period being shortened), describing the steps you have taken or will take to correct the non-compliances and a schedule for doing so. The certifier will not grant certification until all compliance concerns identified on the CAP are corrected.
- **Denial.** If your farm is denied certification, you may reapply at any time.

## Do GAP-Certifiers Audit Slaughter Facilities?

Generally, no. GAP's standards do not require that certifiers audit slaughter facilities unless the facility does not have an existing animal welfare auditor. Rather, they require that slaughter facilities follow certain industry association guidelines and industry-specific audit norms. For example, for pigs and "red meat species" at all Step-levels, the animals must be:

- Stunned and rendered insensible prior to slaughter
- Slaughtered at a facility that has passed and holds a current annual third-party animal welfare audit using the **American Meat Institute's Recommended Animal Handling Guidelines and Audit Guide** (*July 2013 edition*), where the plant must pass all the core criteria and all secondary criteria, and have an overall minimum score of 90%

Slaughter facilities must provide a copy of their written in-plant segregation and traceability protocol outlining how Step-rated animals, and differing Step-ratings if applicable, are kept segregated from non-Step-rated animals and product.

Currently, GAP has no slaughter requirements for boiler chicken and beef cattle operations. However, GAP has stated that it plans to publish such standards in the near future, and that the standards will take a similar approach to those for pigs described above.

### Additional Inspection Information

For additional information on the GAP audit process, review **GAP Policy Manual** Chapters 4-6, including the following figures:

Audit Process Flowchart	Chapter 4, Figure 1
Certification Process Overview	Chapter 4, Figure 2



# GAP LABEL USE GUIDELINES



## Step 1

NO CAGES, NO CRATES, NO CROWDING



## Step 2

ENRICHED ENVIRONMENT



## Step 3

ENHANCED OUTDOOR ACCESS



## Step 4

PASTURE CENTERED



## Step 5

ANIMAL CENTERED; NO PHYSICAL ALTERATIONS



## Step 5+

ANIMAL CENTERED; ENTIRE LIFE ON SAME FARM

GAP is currently developing a label use guide. In the meantime, only the following GAP label rules are publicly available. For questions on GAP label topics not covered here, contact GAP [directly](#).

### Required Marketing Claims

For Step-certified products, the following marketing claims must be added to box/carton labels:

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

## Labeled Product Authorization Program – Approval Needed

GAP permits makers of retail-ready packaged items containing GAP-certified ingredients to join a Labeled Product Authorization (LPA) Program in which they pay a \$0.05 fee (per case) to utilize the relevant GAP 5-Step certification seal. The party that will ultimately be marketing the product is the party responsible for the fee. LPA program participants need to complete an application and receive program approval prior to using this seal. The application includes the following information:

- Identification of retail-ready items
- Manufacturers of items
- Animal product ingredients in items
- Chain of custody
- Sources of animal product ingredients
- Sample labels for approval

To use the relevant GAP Step label on a bulk product—any product that is not retail-ready—the entire supply chain used to produce the bulk product must be GAP-certified. There is no fee or approval process to use the GAP label on bulk products.

## USDA-FSIS Label Approval

As described in the [USDA-FSIS](#) section, prior to use of the GAP label, approval by the United States Department of Agriculture (USDA) Food Safety & Inspection Service (FSIS) is required.



# GAP MARKETING SUPPORT

## Marketing Your Products

Historically, GAP promotes GAP-certified producers, as well as retailers and foodservice partners selling GAP-certified products, by listing them and displaying their logos on GAP's website.

## Next Steps: Support to Producers

In 2017, GAP plans to launch its “Adding Value Program,” which aims to support GAP-certified producers by:

- Providing a more comprehensive list of Step-rated products on GAP's website
- Offering dedicated social media support and promotional activity
- Distributing species-specific brochures
- Providing processor sourcing support and carcass utilization support for raw material providers
- Offering the opportunity to subscribe to GAP's new benchmarking program
- Launching a Producer Resources program

## GAP COSTS

**Just the Audit.** Applicants pay the costs of the certification audit (initially and again every 15 months as part of recertification) directly to the certifier. The certifier pays \$100 from every audit to GAP. The applicant does not pay GAP any fees directly.

**Fees Vary per Certifier.** In the United States, there are two GAP-accredited independent verification companies you may apply to for GAP certification and auditing. Each company has its own fee structure:

	IMI GLOBAL	EARTHCLAIMS, LLC
<b>Cost</b>	<p>Depends on species and complexity of operations.</p> <p><b>Example:</b></p> <ul style="list-style-type: none"> <li>• Beef: Initial audit of single operation = \$1750 (plus travel). Recertification audit = \$1,500 (plus travel).</li> <li>• Chicken with integrator: Initial audit of single operation = \$1450 (plus travel). Recertification audit = \$1000 (plus travel).</li> </ul>	\$1,650 flat fee
<b>Auditor Travel Costs Extra?</b>	Yes	No
<b>Group/Integrator Discounts Negotiable?</b>	Yes	Yes

**Transition Costs.** Additionally, there may be costs associated with transitioning a farm to meet GAP standards in preparation for an application for certification.



# CASE STUDIES



**A GREENER WORLD'S (AGW) ANIMAL WELFARE APPROVED**  
[Kinderhook Farm](#)  
[Stark Hollow Farm](#)



**HUMANE FARM ANIMAL CARE'S (HFAC) CERTIFIED HUMANE®**  
[Echo Farm Puddings](#)  
[Pete & Gerry's Organic Eggs](#)



**GLOBAL ANIMAL PARTNERSHIP (GAP)**  
[Cold Spring Ranch](#)  
[Mary's Free Range Chicken](#)

# KINDERHOOK FARM

## Ghent, New York



*Animals grazing on Kinderhook Farm.*

### **Operation Profile:**

- 400-500 Black Angus and Red Devon cattle
- 400 Dorper sheep
- 450 laying hens
- 500 broiler chickens
- 4 heritage breed pigs & 30 piglets

**Certification:** Animal Welfare Approved (beef cattle, sheep, laying hens)

### **Background**

Kinderhook Farm is situated on over 1200 acres in Ghent, New York, that were previously used for a conventional dairy operation. Along with business partners Steve and Renee Clearman, who bought the land, farmers Lee and Georgia Ranney have transformed the property into a grazing farm. Today, the Ranneys raise Black Angus and Red Devon cattle, Dorper sheep, laying hens, broiler chickens and heritage breed pigs. Kinderhook Farm's products are sold at its farm stand and to restaurants and smaller retail markets throughout New York.

According to Georgia, Kinderhook Farm employs an intensive rotational grazing system, providing their cattle and sheep with a 100% grass and legume diet. She says they grow and harvest hay on their farm to feed the cattle and sheep during the winter, and use Maremma and Akbash livestock guardian dogs to protect their animals from predators – namely a significant coyote population.

## Getting Certified

Kinderhook Farm is certified by Animal Welfare Approved (AWA) for its beef cattle, sheep flock and laying hens. Kinderhook Farm first sought AWA certification in order to maintain an existing, valuable business relationship. It was selling beef cattle to Grazin' Angus Acres (GAA), a farm in Ghent owned by Dan and Susan Gibson, when GAA sought and received AWA certification. By AWA standards, GAA was then required to purchase only AWA-certified animals. Kinderhook Farm obtained AWA certification for it's cattle and have since pursued and received certification for most of its other species. (Kinderhook Farm is currently seeking certification for its broiler chickens. Georgia says the farm has not been able to certify its pigs because it has not found an AWA-certified seller of piglets, but hopes to overcome that constraint in the future.)

According to the Ranneys, by the time the farm sought AWA certification, it was already largely compliant with AWA requirements. To achieve certification the Ranneys only had to make "minor tweaks," like removing certain ingredients from their feed for broiler chickens. (Georgia reports that AWA's Corrective Action Plans have always been manageable.) Like other AWA members, the Ranneys do not have to pay any fees for their certification. The Ranneys do, however, pay for their cattle and sheep to be Certified Grassfed.



*A closer look at the cattle on Kinderhook Farm.*

## AWA Certification Outcomes

**Enhanced marketing & branding.** The Ranneys use the AWA label as an independent validation of their practices. They use the label on the farm's website, newsletter, egg cartons, brochures and farm store signs.

**Marketing Support.** According to Georgia, AWA also provides tremendous marketing support to increase the reach of AWA products. This support includes providing member farms with AWA labels and brochures, and listing all members on the AWA website.

**Better Record-Keeping & Farm Awareness.** Georgia believes that keeping records for AWA certification will add value to any farmer's business. First, the business will be better organized. Second, strong record-keeping practices serve as a valuable avenue for tracking and understanding the status of animal stocks.

**Support Meeting Welfare Standards.** The Ranneys have found the AWA audits to be very rigorous. However, Georgia notes that in her experience, "AWA wants to help you achieve or maintain certification. I believe that their inspectors have deep understanding of how animals should be raised, including recent developments in animal husbandry." As a result, AWA has been willing to assist in developing a plan for needed changes. In that regard, she has found AWA "extremely easy" to work with.

## Why Certify with AWA?

Georgia believes AWA certification is one way of giving consumers confidence that they are supporting a farm whose livestock is being raised according to AWA's high animal welfare standards. Georgia also notes the importance of transparency: "Especially in light of recent videos of animals being subjected to abuse by workers in factory conditions, we feel that it's important to be a part of a program that provides third-party auditing, and shows our consumers that we are dedicated to the highest possible welfare standards."



An example of Kinderhook's welfare-certified product.

# STARK HOLLOW FARM

## Danville, Vermont

PHOTO CREDIT: URBAN EXODUS63



Laura Smith and Vanessa Riva of Stark Hollow Farm.

### Operation Profile:

- 130 Icelandic Sheep
- 2 American Milking Devon Cows
- 2 Tamworth breeding sows & 5 Tamworth piglets
- 25 Heritage breed laying hens

**Certification:** Animal Welfare Approved (sheep, dairy cows, pigs)

### Background

In 2014, Laura Smith and Vanessa Riva bought a 78-acre farmstead in Danville, Vermont, now Stark Hollow Farm. Today, Stark Hollow Farm raises 130 registered pure-bred Icelandic sheep, 2 American Milking Devon cows, a small herd of Tamworth pigs and piglets and a flock of heritage breed laying hens. Laura and Vanessa sell meat products, eggs, Icelandic pelts, fiber products and farm equipment through their farm stand; their CSA; at the Burlington, VT, farmers market; through occasional online farm stands; and wholesale, through Green Pasture Meats.

According to Laura, in the warm season, Stark Hollow rotationally grazes its cattle and sheep on pasture. The farm's Tamworth pigs are raised outdoors in woodland lots and on pasture. Laura and Vanessa state that they constructed a barn to meet specific AWA standards, which the animals have access to during winter months.

## Getting Certified

In 2016, Laura and Vanessa came across the AWA certification program website. After contacting AWA they felt that the program was a great match, as it seemed to offer very high animal welfare standards, good customer service, technical support and affordability.

According to Laura, she and Vanessa decided to pursue certification (1) to help them run a more sustainable and humane operation; (2) to provide their customers with assurance that their animals were being raised in accordance with a formal set of standards; and (3) to set themselves apart in the industry.

Laura and Vanessa have had to spend money to scale-up their buildings to meet AWA standards. Laura notes: "AWA size requirements for structures and loafing areas is generous, so any increases in flock size, even by an animal or two, must be considered and accommodated." However, like other AWA members, Laura and Vanessa do not have to pay any fees for the standard AWA certification. (They pay a \$100 fee for the "Grassfed" certification.)

## AWA Certification Outcomes

**Benefits to Animals.** In order to become certified, Laura and Vanessa had to make some changes to their farming practices, such as being more conscious about the exact timing of their piglet castration, and not having their ewes lamb before 13 months. However, after reviewing the materials provided by AWA, they believe these changes are beneficial.

**"Certification demonstrates the commitment of a farmer to the welfare of their animals and gives consumers the assurance that the products they are purchasing come from animals allowed to live a life truer to their nature."**



An Icelandic Sheep on Stark Hollow Farm.

**Marketing & Consumer Interest.** Stark Hollow Farm uses the AWA label on its products and on its website and promotional materials. Although Laura and Vanessa are relatively new AWA members, they believe it has already made an impact on their customers, who seem concerned about animal welfare and appreciate the validation the certification provides. They highlight that, since becoming certified, they receive more questions from their customers about the certification and their practices, which has provided them with more opportunity to educate consumers and “set themselves apart.” They state that their customers generally would rather pay a bit more for products when they know the animals are certified as meeting AWA’s standards. Though Laura and Vanessa have not yet taken advantage of AWA marketing support, they plan to do so.

**Being Better Prepared.** According to Laura, the required health and emergency plans have made them better prepared farmers. Specifically, they now have plans in place in case of disasters such as fire, disease or even the breakdown of slaughter transportation. Laura also notes that preparing for certification audits has made them more organized, generally.

**Support Meeting Welfare Standards.** Laura and Vanessa have found AWA audits to be “very rigorous.” They believe the auditors “really know farming” and can offer helpful technical support as to how to achieve program standards. They also feel that the AWA program supports efforts to achieve certification, working with farmers to figure out how to make farms compliant. When they have had minor non-conformances with program standards, they have found the Corrective Action Plan process to be “very manageable.”

## Why Certify with AWA?

Vanessa has this advice for farms considering pursuing AWA certification:

“Certification demonstrates the commitment of a farmer to the welfare of their animals and gives consumers the assurance that the products they are purchasing come from animals allowed to live a life truer to their nature.”



*Herding the sheep on Stark Hollow Farm.*

# ECHO FARM PUDDINGS

## ECHO FARM

### Hinsdale, New Hampshire



stock photo

**Operation Profile:** 100 cows (Milking Shorthorns & Jerseys)

**Certification:** Certified Humane®

## Background

In 1987, Bob and Bonnie Hodge purchased 35 acres in Hinsdale, New Hampshire. Their goal was to start a 4-H club on the property – to show horses, sheep and eventually cows. In 1990, their daughters, Beth and Courtney, convinced them to buy Milking Shorthorn heifers, and a dairy operation slowly formed. After returning from college, Beth and Courtney took over farm management and developed the Echo Farm Puddings business. Today, Echo Farm milks approximately 100 cows – half Milking Shorthorns and half Jerseys. Echo Farm sells its “Echo Farm Puddings” products through distributor United Natural Foods Inc., as well as at Whole Foods Market® (WFM), and various other retailers, primarily in New England and the New York City metro area.

## Getting Certified

In 1999, the Hodges heard about an animal welfare certification program and applied when they realized that their operational practices complied with many of the program's standards. When one of the certification program's leaders, Adele Douglass, departed to found a new program, Humane Farm Animal Care (HFAC), the Hodges applied to HFAC for certification. Echo Farm was approved, making it the first dairy farm to become Certified Humane®.

According to the Hodges, they did not have to undertake significant transition costs to become HFAC-certified. They attribute this to being first-generation farmers who did not have to contend with revising longstanding practices that fall outside program standards. Currently, beyond the standard application fee of \$75, Echo Farm pays between \$900 and \$1000 for the inspection fee and certification costs—a “royalty,” as Beth puts it, that Echo Farm pays HFAC per product with the Certified Humane Raised and Handled® label. However, according to Beth, the increased revenue that results from their certification, as well as the market access the certification enables, far outweighs these costs.

Beth reports that the HFAC inspections have been rigorous, particularly in the beginning, when the inspector would spend a full day at the farm. However, now that the program has familiarity with their operation, the inspector typically spends a half-day on site. Nonetheless, Beth says that she and her employees usually spend two full days preparing for the inspection to ensure that all relevant paperwork is readily accessible. Echo Farm has gone through the Corrective Action Plan process a few times for minor inconsistencies with HFAC standards, sometimes from standards being amended, but has been able to correct any deficiencies.

**“The majority of farmers will find that the standards make sense and complying actually improves a farm’s productivity.”**



stock photo

## HFAC Certification Outcomes

**Product Differentiation & Business Growth.** Beth believes that there is increasing concern from consumers about how farm animals are treated, and sees the Certified Humane Raised and Handled® label—which she uses on the farm’s website as well as on all of their product packaging—as providing validation for their business’ animal welfare claims.

Also, according to Beth, the certification has opened doors to retail stores that the farm could not have otherwise accessed, such as Bread & Circus retail stores, which were eventually acquired by WFM. This increased market access has translated to increased revenues.

**Improved Farm Practices & Business Organization.** HFAC required stricter protocols than their family had been observing for keeping water and food separate from manure, for keeping concrete alleyways clear of mud, and for maintaining sufficient and well-organized records and emergency plans.

**Technical & Marketing Support.** HFAC has opened up marketing opportunities for Echo Farm Puddings by offsetting their costs in attending a trade show and providing them with marketing materials. It has also provided them technical advice on how they could improve animal welfare practices on their farm. Finally, being certified by HFAC has enabled Echo Farm to connect with other certified members who, in turn, have provided Echo Farm with marketing and technical advice of their own.

## Why Certify with HFAC?

According to the Hodges, “With the increased scrutiny by both consumers and retail chains, being certified has helped our business grow, especially in the natural products sector, and it has helped to differentiate our products from others on the shelf. We believe that the majority of farmers will find that the standards make sense and complying actually improves a farm’s productivity.”

# PETE & GERRY'S ORGANIC EGGS

## WARD FAMILY FARM

### Monroe, New Hampshire

**"Integrity in labeling is important now, and will become even more important in the future, and I believe that when it comes to animal welfare, there is no higher and more trusted standard for consumers than Certified Humane®."**



*Hens grazing on a pasture on the Ward Family Farm.*

#### **Operation Profile:**

- ≈ 40,000 hens
- Processes over 100,000 eggs per day
- Partners with 125 family farms in the eastern U.S.

**Certification:** Certified Humane®

#### **Background**

The Ward Family Farm was struggling in the 1980s, unable to keep up with industrial-scale egg producers. So when the third generation of Wards took ownership of the family farm, they took it in a new direction. Carol Ward Laflamme (Gerry's wife) and her cousin Peter ("Pete") Stanton shifted to cage-free, organic production, eventually becoming the first Certified Humane® egg producer nationally, and this shift has significantly benefited their business.

Fast forward to 2016 and the Ward family farm – now Pete & Gerry's – has several barns housing approximately 40,000 hens and processes just over 100,000 eggs per day. Additionally, Pete & Gerry's partners with 125 small family farms throughout the eastern United States who raise Pete & Gerry's hens. According to Jesse, Pete & Gerry's hens have access to the outdoors in good weather, lay their eggs in traditional nests and have dust areas to perform natural behaviors. Ninety-five percent of their product is sold in large retail stores throughout the East Coast. Pete & Gerry's sells some eggs through regional distributors to colleges and co-operatives, as well.

## Getting Certified

To credibly distinguish themselves in a marketplace with unverified claims, Jesse and his family sought a program that certified compliance with strict “cage-free” requirements. In 2003, they chose Certified Humane® because they viewed it as trustworthy, found its standards to be robust and believed it could help them enter their target retail markets.

In order to become certified and maintain their certification, Jesse has had to make some changes including installing more scratching and dust-bathing areas, increasing the amount of available perching area and creating elevated perches that timid hens could use to remove themselves from the larger flock. Jesse reports that with every audit (which he notes are rigorous), the company has to make a few small changes. That said, he has found the “Corrective Action Plan” process to be very reasonable.

Beyond the standard application fee of \$75, Pete & Gerry’s pays a few hundred dollars annually for its audit fee, as well as the audit fees for its supplier farms. It also pays the certification cost in the form of a royalty on products sold with the Certified Humane® label. Overall, Jesse has found the program fees to be “very reasonable.”



*Feeding the hens on Ward Family Farm.*

## HFAC Certification Outcomes

**Benefit to Animals.** According to Jesse, the overall percentage of mortality over the life of the flock is lower than average for similar flock sizes. Moreover, their indoor scratching space and outdoor range areas allow the hens to exercise.

**Cutting Through Market Confusion.** Jesse notes that with consumers increasingly skeptical about unverified claims made by producers, Certified Humane® helps differentiate Pete & Gerry's by providing important credibility. Pete & Gerry's use the Certified Humane® label on their website and all of their brand packaging.

**Technical Advice.** According to Jesse, Certified Humane® is a conduit for program producers to share ideas around how to comply with standards and improve welfare, such as roost design and nest design. Because the program provides technical advice and subsidizes program costs for small producers, Jesse believes it is accessible to producers of all scales.

## Why Certify with HFAC?

Jesse Laflamme has this advice for farmers considering HFAC certification:

According to Jesse, a welfare-focused approach isn't "just good for our hens and the planet. It has also been good business." "Consumers are searching for alternatives to the traditional food system. Integrity in labeling is important now, and will become even more important in the future, and I believe that when it comes to animal welfare, there is no higher and more trusted standard for consumers than Certified Humane®."



*A brood of hens exploring Ward Family Farm.*

## COLD SPRING RANCH

### North New Portland, Maine



*Owner Gabe Clark and his herd of Angus cattle on Cold Spring Ranch.*

**Operation Profile:** 150 Angus stockers / year

**Certification:** GAP Step 4

### Background

Gabe Clark started Cold Spring Ranch in 2005, when he purchased a 240-acre failed dairy farm in Maine to raise Angus stockers. In his first year, Gabe processed 24 calves. Today he and his wife, Molly, process around 150 cattle per year. They sell to restaurants, Bates College, directly to the public, and a significant portion of their sales are to Whole Foods Market® (WFM). Gabe says he raises his cattle free-ranging throughout the year and provides a 100% grass diet.

## Getting Certified

Currently, Cold Spring Ranch beef products are rated as Global Animal Partnership Step 4, GAP's "pasture-centered" level. In 2007, WFM bought Wild Oats, where Gabe was selling products. When WFM required that fresh meats be GAP-certified, Gabe sought and maintained GAP certification so that he could continue to sell to WFM.

Gabe says, "I didn't have to change a thing about my operation to participate." He just had to tweak methods of record-keeping "to formally document what I was already doing."

Gabe pays certification costs for his farm, the three farms from which he purchases calves and his processor. He covers the other operations' costs because, as he sees it, he is "asking them to do more," in terms of GAP's record-keeping requirements. Currently, he pays his GAP-certifiers and processor certifiers over \$10,000 per year.



"You want to have your product be worth something? Differentiate it."

A stunning panoramic view of Cold Spring Ranch.

## GAP Certification Outcomes

**Product Differentiation.** In Gabe's view, America's agriculture economy has evolved in such a way that the beef cattle farmer has two business models to choose from and/or work towards: (1) high-volume (low-cost) production with low profit margins or (2) high profit margins on low-volume (higher-cost) production. According to Gabe, for the latter model, the price premiums that drive the higher profit margins have to be justified by some meaningful product differentiation.

Gabe points to GAP standards as giving him "negotiation power." "As they add more requirements," he explains, "it gives me more safety with the markets that request them." Each new animal welfare standard is another hurdle that a competitor might not aim to surmount.

**Market access.** WFM is Cold Spring Ranch's single largest customer. Gabe appreciates the reliable sales outlet, though notes that his ability to benefit from this market access is limited by the numbers of cattle he can produce given his land base.

**10%+ Premiums.** Gabe contracts with three Maine cow-calf operations for his GAP-certified cattle. He states that he pays them at least a 10% premium, part of which is to compensate them for their efforts complying with GAP's requirements. Over time, he has been able to pass those costs along to WFM. (Note: Farms that do not sell directly into WFM may still sell animals to farms that do, and benefit from related premiums. With that in mind, Gabe advises farms to contact their closest WFM to ask about which local farms sell directly to the store).

**Supporting Local Economies.** Gabe and his three calf providers "essentially joined forces to have enough acres to make enough animals to meet a market." As a result, he looks at WFM, GAP and the premiums GAP contributes to earning, as mechanisms for supporting the local farmers with whom he works.

**Improved Animal Welfare.** According to Gabe, strict welfare standards—like early castration and late weaning—are "just good management" in that they reduce stress and trauma that can contribute to illness.

## Why Certify with GAP?

"You want to have your product be worth something? Differentiate it," advises Gabe. For producers who are already close to meeting GAP standards and could potentially develop a relationship with WFM or another farm that sells into WFM, "the barrier is just knowledge of opportunities and the potential benefits."

# MARY'S FREE RANGE CHICKEN

## PITMAN FARMS

### Sanger, California

A close-up, profile view of a white chicken's head. The chicken has a prominent red comb and wattle, and a yellow beak. It is looking slightly to the right. The background is blurred green foliage.

stock photo

**“Being third-party verified brings confidence to the consumer.”**

#### **Operation Profile:**

- Processes 500,000+ chickens per week
- Produces and processes non-certified turkeys & ducks

**Certification:** GAP Steps 3, 4 & 5

#### **Background**

Mary's Free Range Chicken ("Mary's") is produced by Pitman Farms, a family-owned business in Sanger, California, that has been raising poultry for three generations. One generation ago, Pitman Farms was a traditional poultry operation. According to David Pitman, the family turned to higher welfare practices based on an interest in the links between animal welfare and food safety, increasing discomfort with the welfare of conventionally raised animals and rising consumer demand for higher welfare alternatives.

About 90% of the 500,000 chickens processed each week under the brand are GAP Step-3 certified. The remaining 10% are certified at Step levels 4 and 5. Chickens are sourced from Pitman Farms and other California-based GAP-certified farms, as well.

## Getting Certified

Mary's received GAP certification in 2008. According to David, Mary's pursued certification because customers had started asking, "What certification are you using?", and David suspected that "the days were numbered" of companies confirming operational information to customers "by affidavit on company letterhead." The trend was arcing toward the need to "verify."

Mary's had already been selling its products to Whole Foods Market® (WFM) prior to GAP's launch, and was required to obtain GAP certification in order to continue doing so. David said that GAP's flat fee approach to audits made program participation palatable.

According to David, in order to become GAP-certified, Mary's had to make some changes to its operation. For example, it had to add hay bales and eucalyptus branches as enrichments to its chicken-houses. Mary's also had to create more infrastructure to supply shade and water outside. Finally, to comply with GAP's record-keeping requirements, Mary's had to start administering more detailed and varied paperwork.

David explains that Mary's also had to "gently" bring suppliers on board with GAP by (1) discussing the pros and cons of participation; (2) paying for retrofits and improvements needed to meet GAP standards (like adding enrichments and doors for outdoor access); (3) paying for initial and annual certification costs (Mary's pays approximately \$1,750 per audit per farm); and (4) offering them a premium. According to David, Mary's helps supplier farms prepare for audits on a continuing basis. Specifically, Mary's farm supervisors visit the farms to help ensure proper audit preparation and also conducts "pre-audits" to "give them a taste of it" before the official audit.

## GAP Certification Outcomes

**Increased Sales.** Mary's started producing pasture-raised chicken in 2005 and had trouble selling the product. In 2008, they sought and received Step 5 certification, and sales doubled. It did so, David thinks, "because there was a simple scorecard system. Looking at a quick [Step] 5 or a quick [Step] 3, [consumers] can quickly understand the difference."

**Product Differentiation.** Mary's leverages its GAP certification in marketing. It uses the GAP logo on its products. Additionally, its website contains an "Animal Welfare" section dedicated to describing "What Makes Our Chicken Different?" The website includes a chart of select GAP standards for Step Levels 3 through 5.

**Premiums.** David reports that Mary's Chicken pays a 10% premium to its GAP-certified supplier farms. This is, in part, to cover the increased effort and costs of record keeping, enrichments, and "free-range" conditions.

**Trickle Down Animal Welfare.** Mary's Chicken has expanded its operations and sources from multiple farms which then must be GAP-certified.

## Why Certify with GAP?

David recalls feeling slightly overwhelmed the first time he read through all of GAP's welfare standards. However, he points to the following as what he believes to be benefits of pursuing GAP certification:

- Consumers are demanding more humane treatment of farm animals and "being third-party verified brings confidence to the consumer."
- It is required by Whole Foods Market®.
- The audit has a flat fee per farm (Mary's certifier is EarthClaims LLC).
- "What I like about GAP is the fact that it's a scorecard." In David's experience, the step levels help consumers differentiate among products and even between GAP-certified products.
- David suggests GAP may be increasingly relevant outside the WFM context. Two other retailers have purchased chicken from Mary's on the basis of it being GAP-certified.
- Finally, David speculates that even smaller farms targeting local markets (like those in California processing 500 pasture-raised chickens per week) might benefit from GAP certification to differentiate their products and explain their higher prices to consumers.



*Owner David Pitman and his family on Pitman Farms.*

# TRANSITION FUNDING OPPORTUNITIES



## Overview

The costs of transitioning your farm/ranch operation to meet animal welfare certification program requirements can be significant. However, there are several potential sources for financial support in this process: (1) subsidies from an operation that buys and markets your animals or animal products under their brand; (2) private funding from non-profit organizations interested in promoting animal welfare; and (3) federal and state government grants and loans. Examples of these funding sources are set forth below.

**Note:** This list is not exhaustive. Contact your state's department of agriculture and/or extension agency for additional potential funding opportunities.

## Subsidies from Downstream Buyer

Notably, a producer, producer group or marketing group that buys animals or animal products from another producer (you) may be willing to subsidize some or all of the on-farm changes you must make to meet certification program standards, as these businesses will be marketing your products under their brands (and possibly owning the relevant certification). See [GAP Case Studies](#).

# GRANTS FROM NON-PROFIT ORGANIZATIONS

The following non-profit organizations also provide funding to support on-farm activities related to improving animal welfare.

GRANT PROGRAM & ORGANIZATION SPONSOR	GRANT CAP	DESCRIPTION
<b>Fund-a-Farmer Project</b> <i>Food Animal Concerns Trust</i>	\$2,500	For livestock and poultry farmers making on-farm changes to improve farm animal welfare, including transitioning to pasture-based systems; enriching the conditions in which farm animals are raised; and improving the marketing of humane products.
<b>Good Husbandry Grants</b> <i>Animal Welfare Approved</i>	\$5,000	For farms that are currently Animal Welfare Approved, have completed an application to join the program, or slaughterhouses that are working with AWA farms or have consented to be reviewed by AWA to improve farm animal welfare.
<b>Agriculture Reinvestment Fund</b> <i>Rural Advancement Foundation International</i>	\$8,000-\$10,000	For innovative and entrepreneurial farmers and collaborative food and farm businesses <b>located in North Carolina</b> to develop new sources of agricultural income to enhance their sustainability and financial viability.
<b>The Frontera Farmer Foundation</b> <i>Frontera</i>	\$12,000	For capital development by small, sustainable Midwestern farms <b>serving the Chicago area</b> . Past grants have supported farm efforts to improve animal welfare.



# GOVERNMENT FUNDING

Federal and state government agencies offer financial assistance (grants and loans, some with cost-matching requirements) to farmers working to improve their farms and animal husbandry practices, as well. A significant portion of government assistance is to support the improvement of conservation systems, including the management of waste and runoff. These programs are listed below. **Note:** This list is not exhaustive. Contact the USDA **Natural Resources Conservation Service, Rural Development** or the **Environmental Protection Agency** for additional federal funding opportunities. Contact your state agriculture and extension agency to inquire about state funding opportunities.

## Federal Funding

GRANT PROGRAM & AGENCY SPONSOR	GRANT CAP	DESCRIPTION
<b>Value-Added Producer Grant</b> <i>USDA Rural Development</i>	\$75,000 for planning grants; \$250,000 for working capital grants	For farmers undertaking activities related to the processing and/or marketing of value-added products. The goals of the program include generating new products, creating and expanding marketing opportunities, and increasing producer income. Funding has been used to support processing and/or marketing of welfare-certified value-added products.
<b>Conservation Stewardship Program</b> <i>USDA Natural Resources Conservation Service</i>	\$200,000 over 5 yrs.	For farmers improving or obtaining conservation systems, including for lands used for livestock. Through the program, farmers improve soil, water, air, and habitat quality on their farms. Funding could potentially be used to address animal waste and runoff in the context of transitioning from indoor to outdoor or otherwise less dense farm operations.
<b>Agricultural Management Assistance Program</b> <i>USDA Natural Resources Conservation Service</i>	\$50,000 per fiscal yr.	For farmers incorporating conservation measures into farm operations to improve water management, water quality, and erosion control. Funding could potentially be used to address animal waste and runoff in the context of transitioning from indoor to outdoor or otherwise less dense operations.
<b>Healthy Communities Grant Program</b> <i>Environmental Protection Agency</i>	\$25,000	For farmers reducing environmental risk and protecting and improving human health. Funding could potentially be used to address animal waste and runoff in the context of transitioning from indoor to outdoor or otherwise less dense operations, and/or to reduce animal and human disease in animal production, including as relates to farm animal consumption of antibiotics.

**Note:** The list below reflects examples of state financial assistance programs. It is not exhaustive. Contact your state agriculture and extension agency to inquire about state funding opportunities potentially relevant to you.

## State Funding

GRANT PROGRAM & AGENCY SPONSOR	GRANT CAP	DESCRIPTION
<b>Sustainable Agriculture Demonstration Grant Program</b> <i>Minnesota Department of Agriculture</i>	\$25,000	For on-farm research and demonstrations that may include farm diversification using non-traditional livestock and developing/refining marketing opportunities. The program objectives are to explore the profitability, energy efficiency and benefits of sustainable agriculture practices and systems from production through marketing. Applications from farmers receive priority.
<b>Value Added Grant Program</b> <i>Minnesota Department of Agriculture</i>	\$150,000	For Minnesota agricultural producers and processors to expand markets for Minnesota value-added products. Specifically, grants are for equipment purchases and physical improvements related to expanding or updating livestock processing businesses; start, upgrade or modernize value-added business; increase the use and processing of Minnesota agricultural products; and increasing food safety (including implementing a food safety plan), among other efforts.
<b>Livestock Investment Grant</b> <i>Minnesota Department of Agriculture</i>	10% of \$500,000 investment; \$25,000 per yr.	For the purchase, construction, or improvement of buildings or facilities for the production of livestock, including the purchase of fencing, feeding and waste management equipment. Minimum investment is \$4,000.
<b>WNC AgOptions</b> <i>North Carolina Cooperative Extension</i>	\$6,000	For diversifying or expanding farm operations in order to build sustainable farming communities in North Carolina. The program serves to offset risks for farmers expanding and trying new ventures.
<b>Oklahoma Agriculture Enhancement and Diversification Program: Farm Diversification Grant</b> <i>Oklahoma Department of Agriculture, Food and Forestry</i>	\$10,000	For diversification of a family farm, ranch or agritourism venue to non-traditional crops or livestock, on-farm processing of agricultural products or development of an agritourism venue.
<b>Texas Agriculture Finance Authority: Young Farmer Grant Program</b> <i>Texas Department of Agriculture</i>	\$10,000	For young agricultural producers who are starting or expanding an agricultural enterprise in Texas.
<b>Governor's Agriculture and Forestry Industries Development Fund</b> <i>Virginia Department of Agriculture and Consumer Services</i>	\$250,000	For economic development projects adding value to, or further processing, Virginia-grown agricultural products.

# USDA LABELING REQUIREMENTS



If you (a farmer or processor) plan to market a welfare-certified animal product and wish to use the certification program label on it, you must first apply to the United States Department of Agriculture (USDA) Food Safety and Inspection Service (FSIS) for approval to do so. The FSIS is responsible for ensuring that “labels with special statements and claims,” including animal welfare claims, are truthful. To secure approval:

- 1. Obtain certification from the farm animal welfare program.**
- 2. Fill out FSIS Form 7234-1 (Application of Approval for Labels),**  
including a sample label and other required information and documentation.
- 3. Submit electronically or via fax or mail. You will receive a response within 10 days.**

#### Additional Information:

- For label approval application & instructions, click [here](#) (FSIS Form 7234-1);
- For additional label application guidance, click [here](#) (Label Application Guidance);
- For the FSIS Compliance Guide for Label Approval, click [here](#).

# SOURCES



## **Animal Welfare Approved, a program of A Greener World (AGW)**

Website: [www.animalwelfareapproved.us](http://www.animalwelfareapproved.us)

**Policy Manual**

## **Certified Humane®, a program of Humane Farm Animal Care (HFAC)**

Website: [www.certifiedhumane.org](http://www.certifiedhumane.org)

**Policy Manual**

## **Global Animal Partnership**

Website: [www.globalanimalpartnership.org](http://www.globalanimalpartnership.org)

**Policy Manual**

## **United States Department of Agriculture (USDA) Food Safety and Inspection Service (FSIS)**

Website: [www.fsis.usda.gov](http://www.fsis.usda.gov)

**Labeling/Label Approval Information**

# ADDITIONAL RESOURCES



## **American Farmland Trust**

Website: [www.farmland.org](http://www.farmland.org)

## **Animal Welfare Institute's Food Label Report**

## **ASPCA**

Website: [www.aspca.org/farmanimals](http://www.aspca.org/farmanimals)

## **ASPCA's 2016 Consumer Survey**

## **Center for Rural Affairs**

Website: [www.cfra.org](http://www.cfra.org)

## **Consumer Report's "Greener Choices" Label Guide**

## **Farm Aid**

Website: [www.farmaid.org](http://www.farmaid.org)

## **Jayson Lusk's 2015 Food Demand Survey**

## **National Young Farmers Coalition**

Website: [www.youngfarmers.org](http://www.youngfarmers.org)

## **North Carolina Cooperative Extension's Guide to "Special Claims and the Approval Process for Niche Meat Production"**

## **Rural Advancement Foundation International (RAFI)**

Website: [www.rafiusa.org/farmer-resources/](http://www.rafiusa.org/farmer-resources/)