Official NAMI Audit Forms are included in the following section. These forms are dated. Updates to these forms may be made based upon new information and user feedback. Any updated forms will be posted on www.animalhandling.org.
Cattle Transportation Audit Form

Date: 

Name and auditing company: 

Plant location: 

Plant contact: 

Number of trucks audited: 

Temperature/weather conditions: 

**Core Criterion 1: Plant transportation policy and preparedness for receiving animals**

1. Plant has a written animal welfare policy for transporters. _________ / 1
2. Plant provides extreme temperature management tools. _________ / 1
3. Arrival management process minimizes waiting time at the plant. _________ / 1
4. Emergency plans in place for animals in transit. _________ / 1
5. Written policy for non-ambulatory and fatigued animals + tools available for handling. _________ / 1
6. Acceptable handling tools available and utilized as needed. _________ / 1
7. Availability of acceptable euthanasia tools. _________ / 1
8. Maintenance records for euthanasia equipment, proper storage and employee training for euthanasia. _________ / 1
9. Gates in unloading area swing freely, latch securely and have no sharp protrusions. _________ / 1
10. Non-slip flooring. _________ / 1
11. Unloading area and ramps in good repair. _________ / 1
12. Adequate lighting. _________ / 1
13. Staff available for receiving animals. _________ / 1
14. Does the plant have documented employee training for livestock receiving? _________ / 1

**Total for Core Criterion 1:**  / 14

**Excellent** – 14 of the 14 criteria met  
**Acceptable** – 12 or 13 of the criteria met  
**Not Acceptable** – 10 or 11 of the criteria met

**Notes:**

_____________________________________________________________________________________
_____________________________________________________________________________________
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_____________________________________________________________________________________
Score each truck using the following audit score sheet for Core Criteria 2 – 7. You will need to make a copy of the remaining pages for each truck. At the end of the audit, the points for each load will be added together to obtain the final score for each of the core criteria.

**Trailer #:** __________  **Total # of animals on trailer:** __________

**Type of Trailer:** Straight Trailer  Drop Center/Pot Belly Trailer  Farm Trailer  Other

**Cattle Type** (circle all that apply): Fed Cattle  Cull Dairy Cows  Cull Beef Cows  Mature Bulls

Has the driver completed the Beef Transportation Quality Assurance™ program or the Canadian Livestock Transporter (CLT) Certification Program?  Yes or No __________

**Core Criterion 2: Set-up, loading and alignment of trailer**

1. Trailer is loaded at proper density.  __________ / 1
2. Incompatible animals are segregated when required.*  __________ / 1
3. Trailer is properly aligned with the unloading area to prevent animals’ extremities from being caught in gaps.  __________ / 1

Total for Core Criterion 2: __________ / 3

*Note: This criterion only applies to swine, sheep, and veal calves.

**Individual truck scores will be averaged together. At least two trucks must be scored. See final scoring form for calculations.**

**Excellent** – 100% average score  
**Acceptable** – 90% average score or greater  
**Not Acceptable** – Less than 90% average score

**Notes:**
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________

**Core Criterion 3: Timeliness of arrival of the truck and trailer and animal unloading**

**Time truck/trailer arrives to plant:** __________  **Time first animal unloads:** __________

**Total time to begin unloading:** __________

**Plant begins unloading within:**
60 minutes of arrival = Full 4 points  
61 to 90 minutes = 3 out of 4 points  
91 to 120 minutes = 2 out of 4 points  
≥ 120 minutes (with reason) = 1 out of 4 points  
≥ 120 minutes (without reason) = 0 out of 4 points

Total for Core Criterion 3: __________ / 4
Individual truck scores will be averaged together. At least two trucks must be scored. See final scoring form for calculations.

Excellent – 95% or greater
Acceptable – 85% or greater
Not Acceptable – Less than 85%

Notes:
_____________________________________________________________________________________
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Core Criterion 4: Falls

Total number of falls.

Tally number of falls here: __________   Percent: __________

Excellent – No falling
Acceptable – 1% or fewer falling (body touches floor)
Not acceptable – More than 1% falling down

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Core Criterion 5: Electric Prod Use

Total number of animals electrically prodded during unloading.

Tally electric prod use here: _______________   Percent: _______________

Excellent – 0% or less
Acceptable – 10% or less
Not acceptable – More than 10%

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Core Criterion 6: Condition of Animal
1. Non-ambulatory animals (tally here): __________
2. Severely injured animals (tally here): __________
3. # above that were severely emaciated (tally here for transfer to secondary criteria): __________
4. Severely lame animals (tally here): __________
5. Heat-stressed animals (tally here): __________
6. Calving (tally here): ________________________

Total for Core Criterion 6: ____________________ Percent: ______________

**Excellent** – 1% or less compromised animals on the trailer at arrival.

**Acceptable** – 2% or less compromised animals on the trailer at arrival.

**Not Acceptable** – More than 2% compromised animals on the trailer at arrival.

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

**Core Criterion 7: Willful Acts of Abuse/Egregious Acts**

Any willful act of abuse/egregious act grounds for automatic audit failure.

Willful acts of abuse include, but are not limited to: 1) dragging a conscious, non-ambulatory animal; 2) intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, anus, testicle or belly; 3) deliberate slamming of gates on animals; 4) malicious driving of ambulatory livestock on top of one another either manually or with direct contact with motorized equipment (this excludes loading a non-ambulatory animal for transport); 5) purposefully driving livestock off high ledges, platforms, or off a truck without a ramp (driving market weight or adult animals off a low stock trailer is acceptable); 6) hitting or beating an animal; or 7) animals frozen to the floor or sides of the trailer.

**Any willful act of abuse observed?**  Yes or No

Notes:
_____________________________________________________________________________________
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_____________________________________________________________________________________
## Final Scoring—Cattle Transportation Audit

<table>
<thead>
<tr>
<th>Core Criterion</th>
<th>Total on all trucks</th>
<th>Total number of animals audited or total points available</th>
<th>Actual Score</th>
<th>Pass or Fail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core Criterion 1 Plant Audit</td>
<td></td>
<td>14</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 2 Set up, loading, and alignment of trailer</td>
<td></td>
<td>(# of trucks x 3 points divided by # of trucks)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 3 Timeliness of arrival and unloading</td>
<td></td>
<td>(# of trucks x 4)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 4 Falls</td>
<td></td>
<td>(Total # of falls)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 5 Electric Prod Use</td>
<td></td>
<td>(Total # electrically prodded)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 6 Condition of Animals</td>
<td></td>
<td>(Total # of compromised animals)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 7 Any willful acts of abuse observed?</td>
<td></td>
<td>(Yes or No)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
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Passed all numerically scored criteria? Yes or No

### Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
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_____________________________________________________________________________________

Auditor Signature: _______________________________
### Secondary Items for Cattle Audit

#### Secondary Transport Audit Items

<table>
<thead>
<tr>
<th>Documents</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the plant have a &quot;No Electric Prod Use&quot; policy posted?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the plant have a method for communicating back to the site of trailer loading?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Facilities and Equipment

| Is non-slip, solid flooring provided in the trailers?                      |     |    |
| Can trailer gates and doors open freely and be secured shut?              |     |    |
| Do internal ramps function properly and extend all the way to the floor?  |     |    |
| Are there any sharp or protruding objects present that can injure animals?|     |    |
| If transporting dairy cows, veal calves, and some cull beef cows, are winter side slats or plugs in place at recommended levels? |     |    |

#### Animal Handling and Training

| Do the people unloading have electric prods in their hands?                |     |    |
| Did the driver use an electric prod in or through the sides or roof of the trailer? |     |    |
| Were rattle paddles, sort boards, flags, or other handling tools used incorrectly? |     |    |
| Were any of the animals unloaded considered severely emaciated?            |     |    |
| Did any of the cattle have poor udder conditions?                          |     |    |
| Were severely injured/severely lame animals promptly euthanized?           |     |    |

#### Unloading

| Did the person unloading the trailer do so quietly and calmly?              |     |    |
| Time first animal unloads:                                                |     |    |
| Time last animal unloads:                                                 |     |    |
| Total unload time*:                                                        |     |    |
| Total number of slips*:                                                    |     |    |
| Temperament of livestock (circle one)**: Excitable Normal Docile          |     |    |

---

*Comment on the use of electric prods and if acceptable handling tools were used incorrectly.
*Provide comment on trailers that may have experienced problems or lengthy unloading times.
*Comment on the attitude and behavior of the people unloading the livestock here. As an example, their temperament may be correlated to the number of slips and falls.
**Note any problems or comments on livestock temperament. For example, there may have been a high number of slips on one load and the temperament of the animals may have been a factor.

### Notes:

____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________

Auditor Signature: ____________________________ Date: ____________________________
Swine Transportation Audit Form

Date: ________________________________________________________________

Name and auditing company: ____________________________________________

Plant location: _______________________________________________________

Plant contact: _________________________________________________________

Number of trucks audited: _____________________________________________

Temperature/weather conditions: _________________________________________

Core Criterion 1: Plant transportation policy and preparedness for receiving animals

1. Plant has a written animal welfare policy for transporters. ___ / 1
2. Plant provides extreme temperature management tools. ___ / 1
3. Arrival management process minimizes waiting time at the plant. ___ / 1
4. Emergency plans in place for animals in transit. ___ / 1
5. Written policy for non-ambulatory and fatigued animals; tools available for handling. ___ / 1
6. Acceptable handling tools available and utilized as needed. ___ / 1
7. Availability of acceptable euthanasia tools. ___ / 1
8. Maintenance records for euthanasia equipment, proper storage and employee training for euthanasia. ___ / 1
9. Gates in unloading area swing freely, latch securely and have no sharp protrusions. ___ / 1
10. Non-slip flooring. ___ / 1
11. Unloading area and ramps in good repair. ___ / 1
12. Adequate lighting. ___ / 1
13. Staff available for receiving animals. ___ / 1
14. Does the plant have documented employee training for livestock receiving? ___ / 1

Total for Core Criterion 1: ___ / 14

Excellent – 14 of the criteria met
Acceptable – 12 or 13 of the criteria met
Not Acceptable – 10 or 11 of the criteria met

Notes:
_____________________________________________________________________
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Score each truck using the following audit score sheet for Core Criteria 2 – 7. You will need to make a copy of the remaining pages for each truck. At the end of the audit, the points for each load will be added together to obtain the final score for each of the core criteria.

### Trailer #: __________ Total # of animals on trailer: __________

### Type of Trailer:
- Straight Trailer
- Drop Center/Pot Belly
- Farm Trailer
- Other

### Swine Type (circle all that apply):
- Market Pigs
- Cull Sows
- Mature Boars

Has the driver completed the National Pork Board’s TQA™ program or the Canadian Livestock Transporter (CLT) Certification Program? Yes or No

### Core Criterion 2: Set-up, loading and alignment of trailer

1. Compartments are gated. __________ / 1
2. Trailer is loaded at proper density. __________ / 1
3. Incompatible animals are segregated when required. __________ / 1
4. Trailer is properly aligned with the unloading area to prevent extremities from being caught in gaps. __________ / 1

**Total for Core Criterion 2:** __________ / 4

For swine, each of the four criteria is worth 1 point each, for a total of 4 points for this Core Criterion.

**Individual truck scores will be averaged together. At least two trucks must be scored. See final scoring form for calculations.**

**Excellent** – 100% average score  
**Acceptable** – 90% average score or greater  
**Not Acceptable** – Less than 90% average score

### Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

### Core Criterion 3: Timeliness of arrival of the truck and trailer and animal unloading

<table>
<thead>
<tr>
<th>Time truck/trailer arrives at plant: __________</th>
<th>Time first animal unloads: __________</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Total time to begin unloading:</strong> __________</td>
<td></td>
</tr>
</tbody>
</table>

**Plant begins unloading within:**

- 60 minutes of arrival = Full 4 points  
- 61 to 90 minutes = 3 out of 4 points  
- 91 to 120 minutes = 2 out of 4 points  
- ≥ 120 minutes (with reason) = 1 out of 4 points  
- ≥ 120 minutes (without reason): = 0 out of 4 points

**Total for Core Criterion 3:** __________ / 4
Individual truck scores will be averaged; at least two trucks must be scored. See final scoring form for calculations.

Excellent – 95% or greater
Acceptable – 85% or greater
Not Acceptable – Less than 85%

Notes:

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Core Criterion 4: Falls

Total number of falls.

Tally number of falls here: _________ Percent: ___________

Excellent – No falling
Acceptable – 1% or fewer falling (body touches floor)
Not acceptable – More than 1% falling down

Notes:

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Core Criterion 5: Electric Prod Use

Total number of animals electrically prodded during unloading.

Tally electric prod use here: _______________ Percent: __________

Excellent – 0% or less
Acceptable – 10% or less
Not acceptable – More than 10%

Notes:

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
Core Criterion 6: Condition of Animal

1. Non-ambulatory animals (tally here): __________
2. Severely injured animals (tally here): __________
3. # above that were severely emaciated (tally here for transfer to secondary criteria): __________
4. Heat-stressed animals (tally here): __________
5. Severely lame animals (tally here): __________
6. Frostbitten animals (tally here): __________
7. Farrowing animals (tally here): __________

Total for Core Criterion 6: ____________________ Percent: __________

Excellent – 1% or less compromised animals on the trailer at arrival.
Acceptable – 3% or less compromised animals on the trailer at arrival.
Not Acceptable – More than 3% compromised animals on the trailer at arrival.

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
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_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________


Any willful act of abuse/egregious acts is grounds for automatic audit failure.

Willful acts of abuse include, but are not limited to: 1) dragging a conscious, non-ambulatory animal; 2) intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, anus or testicles; 3) deliberate slamming of gates on livestock; 4) malicious driving of ambulatory livestock on top of one another either manually or with direct contact with motorized equipment (this excludes loading a non-ambulatory animal for transport); 5) purposefully driving livestock off high ledges, platforms, or off a truck without a ramp (driving market weight or adult animals off a low stock trailer is acceptable); 6) hitting or beating an animal; or 7) animals frozen to the floor or sides of the trailer.

Any willful act of abuse observed? Yes or No

Notes:
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APPENDIX IV | SWINE TRANSPORTATION AUDIT FORM Continued
## Final Scoring — Swine Transportation Audit

<table>
<thead>
<tr>
<th>Core Criterion</th>
<th>Total on all trucks</th>
<th>Total number of animals audited or total points available</th>
<th>Actual Score</th>
<th>Pass or Fail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core Criterion 1 Plant Audit</td>
<td>14</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 2 Set up, loading and alignment of trailer, compartments gated</td>
<td>(# of trucks x 4 points divided by # of trucks)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 3 Timeliness of arrival and unloading</td>
<td>(# of trucks x 4)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 4 Falls</td>
<td>(Total # of falls)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 5 Electric Prod Use</td>
<td>(Total # electrically prodded)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 6 Condition of Animals</td>
<td>(Total # of compromised animals)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criterion 7 Any willful acts of abuse observed?</td>
<td>(Yes or No)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Notes:**
_____________________________________________________________________________________
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_____________________________________________________________________________________
_____________________________________________________________________________________

Did you pass all numerically scored criteria? **Yes** or **No**

**Notes:**
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Auditor Signature: __________________________________________
Date: ________________________________
## Secondary Items from Swine Audit

<table>
<thead>
<tr>
<th>Secondary Transport Audit Items</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does the plant have a “No Electric Prod Use” policy posted?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the plant have a method for communicating back to the site of trailer loading?</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Facilities and Equipment</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is non-slip, solid flooring provided in the trailers?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Can trailer gates and doors open freely and be secured shut?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do internal ramps function properly and extend all the way to the floor?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are there any sharp or protruding objects present that can injure animals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do trucks follow plant bedding requirements or industry best practices?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are winter side slats or plugs in place at recommended levels?</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Animal Handling and Training</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do the people unloading have electric prods in their hands?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did the driver use an electric prod in or through the sides or roof of the trailer?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Were rattle paddles, sort boards, flags, or other handling tools used incorrectly?*</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Were any of the animals unloaded considered severely emaciated?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If yes, tally the number of animals here:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Were severely injured/severely lame animals promptly euthanized?</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Unloading</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Did the person unloading the trailer do so quietly and calmly?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Time first animal unloads:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Time last animal unloads:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total unload time¥:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total number of slips¶:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Temperament of livestock (circle one)**:</td>
<td>Normal</td>
<td>Moving</td>
</tr>
</tbody>
</table>

*Comment on the use of electric prods and if acceptable handling tools were used incorrectly.  
¥Provide comment on trailers that may have experienced problems or lengthy unloading times.  
¶Comment on the attitude and behavior of the people unloading the livestock here. As an example, their temperament may be correlated to the number of slips and falls.  
**Note any problems or comments on livestock temperament. For example, there may have been a high number of slips on one load and the temperament of the animals may have been a factor.

**Notes:**

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Auditor Signature: ________________________________________________________________
Date: ____________________________________________
Sheep Transportation Audit Form

Date: ______________________________

Name and auditing company: ______________________________

Plant location: __________________________________________

Plant contact: ___________________________________________

Number of trucks audited: _________________________________

Temperature/weather conditions: ___________________________

Core Criterion 1: Plant transportation policy and preparedness for receiving animals

1. Plant has a written animal welfare policy for transporters. _________ / 1
2. Plant provides extreme temperature management tools. _________ / 1
3. Arrival management process minimizes waiting time at the plant. _________ / 1
4. Emergency plans in place for animals in transit. _________ / 1
5. Written policy for non-ambulatory and fatigued animals; tools available for handling. _________ / 1
6. Acceptable handling tools available and utilized as needed. _________ / 1
7. Availability of acceptable euthanasia tools. _________ / 1
8. Maintenance records for euthanasia equipment, proper storage and employee training for euthanasia. _________ / 1
9. Gates in unloading area swing freely, latch securely and have no sharp protrusions. _________ / 1
10. Non-slip flooring. _________ / 1
11. Unloading area and ramps in good repair. _________ / 1
12. Adequate lighting. _________ / 1
13. Staff available for receiving animals. _________ / 1
14. Does the plant have documented employee training for livestock receiving? _________ / 1

Total for Core Criterion 1: _________ / 14

Excellent – 14 of the criteria met
Acceptable – 12 or 13 of the criteria met
Not Acceptable – 10 or 11 of the criteria met

Notes:

________________________________________________________

________________________________________________________

________________________________________________________
Score each truck using the following audit score sheet for Core Criteria 2 – 7. You will need to make a copy of the remaining pages for each truck. At the end of the audit, the points for each load will be added together to obtain the final score for each of the core criteria.

Trailer #: _______ Total # of animals on trailer: _________

Type of Trailer: Straight Trailer  Drop Center/Pot Belly Trailer  Farm Trailer  Other

Sheep Type (circle all that apply): Fed Lambs  Cull Ewes  Mature Rams

Core Criterion 2: Set-up, loading and alignment of trailer

1. Compartments are gated.  __________ / 1
2. Trailer is loaded at proper density.  __________ / 1
3. Incompatible animals are segregated when required.  __________ / 1
4. Trailer is properly aligned with the unloading area to prevent extremities from being caught in gaps.  __________ / 1

Total for Core Criterion 2: _________ / 4

Individual truck scores will be averaged together. At least two trucks must be scored. See final scoring form for calculations.

Excellent – 100% average score
Acceptable – 90% average score or greater
Not Acceptable – Less than 90% average score

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
Excellent – 95% or greater  
Acceptable – 85% or greater  
Not Acceptable – Less than 85%  

Notes:  
____________________________________________________________________________________  
____________________________________________________________________________________  
____________________________________________________________________________________  
____________________________________________________________________________________  

**Core Criterion 4: Falls**  
Total number of falls.  

Tally falls here: ___________ Percent: ____________  

Excellent – No falling  
Acceptable – 1% or fewer falling (body touches floor)  
Not acceptable – More than 1% falling down  

Notes:  
____________________________________________________________________________________  
____________________________________________________________________________________  
____________________________________________________________________________________  
____________________________________________________________________________________  

**Core Criterion 5: Electric Prod Use**  
Total number of animals electrically prodded during unloading.  

Tally electric prod use here: _________________ Percent: _______________  

Excellent – 0% or less  
Acceptable – 10% or less  
Not acceptable – More than 10%  

Notes:  
____________________________________________________________________________________  
____________________________________________________________________________________  
____________________________________________________________________________________  
____________________________________________________________________________________
Core Criterion 6: Condition of Animal

1. Non-ambulatory animals (tally here): _____________
2. Severely injured animals (tally here): _____________
3. # above that were severely emaciated (tally here for transfer to secondary criteria): _____________
4. Severely lame animals (tally here): _______________
5. Heat-stressed animals (tally here): _______________
6. Lambing (tally here): ________________________

Total for Core Criterion 6: _______________________ Percent: _____________

Excellent – 1% or less compromised animals on the trailer at arrival.
Acceptable – 2% or less compromised animals on the trailer at arrival.
Not Acceptable – More than 2% compromised animals on the trailer at arrival.

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________


Any willful act of abuse/egregious act is grounds for automatic audit failure.

Willful acts of abuse include, but are not limited to: 1) dragging a conscious, non-ambulatory animal; 2) intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, anus or testicles; 3) deliberate slamming of gates on livestock; 4) malicious driving of ambulatory livestock on top of one another either manually or with direct contact with motorized equipment (this excludes loading a non-ambulatory animal for transport); 5) purposefully driving livestock off high ledges, platforms, or off a truck without a ramp (driving market weight or adult animals off a low stock trailer is acceptable); 6) hitting or beating an animal; or 7) animals frozen to the floor or sides of the trailer. In sheep operations, lifting an animal by the wool or throwing a sheep also is an act of abuse.

Any willful act of abuse observed? Yes or No

Notes:
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## Final Scoring — Sheep Transportation Audit

<table>
<thead>
<tr>
<th>Core Criteria</th>
<th>Total on all trucks</th>
<th>Total number of animals audited or total points available</th>
<th>Actual Score</th>
<th>Pass or Fail</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Core Criterion 1</strong></td>
<td>Plant Audit</td>
<td>14</td>
<td></td>
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<tr>
<td><strong>Core Criterion 2</strong></td>
<td>Set up, loading and alignment of trailer, compartments gated.</td>
<td>(# of trucks x 4 points divided by # of trucks)</td>
<td></td>
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<tr>
<td><strong>Core Criterion 3</strong></td>
<td>Timeliness of arrival and unloading</td>
<td>(# of trucks x 4)</td>
<td></td>
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<tr>
<td><strong>Core Criterion 4</strong></td>
<td>Falls</td>
<td>(Total # of falls)</td>
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<tr>
<td><strong>Core Criterion 5</strong></td>
<td>Electric Prod Use</td>
<td>(Total # electrically prodded)</td>
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<tr>
<td><strong>Core Criterion 6</strong></td>
<td>Condition of Animals</td>
<td>(Total # of compromised animals)</td>
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<tr>
<td><strong>Core Criterion 7</strong></td>
<td>Any willful acts of abuse observed?</td>
<td>(Yes or No)</td>
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</table>

### Notes:

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Passed all numerically scored criteria? Yes or No

Notes:

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Auditor Signature: ________________________________
Date: ________________________________
## Secondary Items from Sheep Audit

<table>
<thead>
<tr>
<th>Secondary Transport Audit Items</th>
<th>Yes</th>
<th>No</th>
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</thead>
<tbody>
<tr>
<td>Does the plant have a “No Electric Prod Use” policy posted?</td>
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<tr>
<td>Does the plant have a method for communicating back to the site of trailer loading?</td>
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<tr>
<td><strong>Facilities and Equipment</strong></td>
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<tr>
<td>Is non-slip, solid flooring provided in the trailers?</td>
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<td>Can trailer gates and doors open freely and be secured shut?</td>
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<td>Do internal ramps function properly and extend all the way to the floor?</td>
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<td>Are there any sharp or protruding objects present that can injure animals?</td>
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<td>Do trucks follow plant bedding requirements or industry best practices?</td>
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<td>Are winter side slats or plugs in place at recommended levels?</td>
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<tr>
<td><strong>Animal Handling and Training</strong></td>
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<tr>
<td>Do the people unloading have electric prods in their hands?</td>
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<tr>
<td>Did the driver use an electric prod in or through the sides or roof of the trailer?</td>
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<tr>
<td>Were rattle paddles, sort boards, flags, or other handling tools used incorrectly?</td>
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<tr>
<td>Were any of the animals unloaded considered severely emaciated?</td>
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<tr>
<td>If yes, tally the number of animals here:</td>
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<tr>
<td>Were severely injured/severely lame animals promptly euthanized?</td>
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<tr>
<td><strong>Unloading</strong></td>
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<tr>
<td>Did the person unloading the trailer do so quietly and calmly?</td>
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<td>Time first animal unloads:</td>
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<td>Time last animal unloads:</td>
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<tr>
<td>Total unload time¥:</td>
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<tr>
<td>Total number of slips¶:</td>
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<tr>
<td>Temperament of livestock (circle one)**: Excitable Normal Docile</td>
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*Comment on the use of electric prods and if acceptable handling tools were used incorrectly.

¥Provide comment on trailers that may have experienced problems or lengthy unloading times.

¶Comment on the attitude and behavior of the people unloading the livestock here. As an example, their temperament may be correlated to the number of slips and falls.

**Note any problems or comments on livestock temperament. For example, there may have been a high number of slips on one load and the temperament of the animals may have been a factor.

**Notes:**

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Auditor Signature: ________________________________
Date: ________________________________
Cattle and Calves Slaughter Audit Form

Date: ____________________________  Time: ____________________________
Plant: __________________________  Auditor: __________________________
Weather: ________________________  Line Speed: ______________________
Stunner Type: ____________________  Operator: _________________________
Plant Contact Name: _______________  Phone: _______________________
Email: __________________________  Establishment No.: __________________


Any willful act of abuse/egregious acts is grounds for automatic audit failure.

Willful acts of abuse include, but are not limited to: 1) dragging a conscious, non-ambulatory animal; 2) intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, anus, vulva, testicles or belly; 3) deliberate slamming of gates on livestock; 4) malicious driving of ambulatory livestock on top of one another either manually or with direct contact with motorized equipment (this excludes loading a non-ambulatory animal for transport); 5) purposefully driving livestock off high ledges, platforms, or off a truck without a ramp (driving market weight or adult animals off a low stock trailer is acceptable); 6) hitting or beating an animal; or 7) animals frozen to the floor or sides of the trailer.

Were any willful acts of abuse observed? Yes _____ No ______

If yes, detail incident(s) below:

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Notes:
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September 2019
### Core Criterion 2: Access to Water — Conventional and Religious

Observe access to water.

Do animals in all holding pens have access to clean drinking water?  Yes _____  No ______

Notes:

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### Core Criterion 3: Falls — Conventional and Religious

Count the number of cattle that 1) slip and 2) fall during handling in any of the following locations: crowd pen, single file chute, barns, alleys, or stunning box. Falling is a core criterion and slipping is a secondary criterion. A slip is recorded when a knee or hock touches the floor. In cattle stun boxes and the single file chute, a slip should be recorded if the animal becomes agitated due to multiple short slips. A fall is recorded if the body touches the floor. **One percent or fewer falls is required for a passing score.**

X = no slipping or falling
F = fell
S = slipped

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Percent falling: ________________
For recording as a secondary: percent slipping: ________________

Note where falling occurred.

Notes:

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September 2019
Core Criterion 4: Electric Prod Use—Conventional and Religious

Monitor the percentage of 100 cattle prodded with an electric prod at the restrainer entrance. If multiple employees use prods, score 100 animals passing by each employee. Add the percentages together to determine final score. **Twenty-five percent or fewer cattle should be prodded for a passing score.**

Note whether or not a prod was used for each animal and the apparent reason for prod use:

X = moved quietly without an electric prod
P = electric prod used without apparent reason
B = electric prodded in response to balking

**Animal Number:**

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Percent prodded: ________
Percent balking: ________

**Notes:**

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Core Criterion 5: Vocalization — Conventional and Religious

Monitor the number of cattle that vocalize in the crowd pen, lead-up chute, stunning box, or restrainer. Vocalizing animals in the crowd-pen and lead-up chute are scored only during active handling. All vocalizations in the stun box or restrainer are counted. Score an animal as a vocalizer if it makes any audible vocalization.

Three percent or less of cattle should moo or bellow. In Kosher or Halal operations or any operation using a head holder, up to 5% vocalization is acceptable for a passing score.

It is helpful to note the possible cause of vocalization using the codes below:

X = non-vocalizer
P = prod
S = stun
F = fell or slipped
U = unknown cause
R = restrainer
M = missed stuns
SE = sharp edges
UN = unprovoked

Animal Number:

\[\begin{array}{cccccccccc}
1 & 11 & 21 & 31 & 41 & 51 & 61 & 71 & 81 & 91 \\
2 & 12 & 22 & 32 & 42 & 52 & 62 & 72 & 82 & 92 \\
3 & 13 & 23 & 33 & 43 & 53 & 63 & 73 & 83 & 93 \\
4 & 14 & 24 & 34 & 44 & 54 & 64 & 74 & 84 & 94 \\
5 & 15 & 25 & 35 & 45 & 55 & 65 & 75 & 85 & 95 \\
6 & 16 & 26 & 36 & 46 & 56 & 66 & 76 & 86 & 96 \\
7 & 17 & 27 & 37 & 47 & 57 & 67 & 77 & 87 & 97 \\
8 & 18 & 28 & 38 & 48 & 58 & 68 & 78 & 88 & 98 \\
9 & 19 & 29 & 39 & 49 & 59 & 69 & 79 & 89 & 99 \\
10 & 20 & 30 & 40 & 50 & 60 & 70 & 80 & 90 & 100 \\
\end{array}\]

Percent vocalizing: _________________________

Notes:
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Core Criterion 6: Effective Stunning — Conventional Only

Score 100 cattle in plants with line speeds greater than 100 cattle per hour. Fifty cattle should be audited in slower plants processing 50 to 99 head of cattle or calves per hour. In plants that process less than 50 per hour, score one hour of production. If the audit is conducted in a religious slaughter facility, skip to Core Criterion 7. A point is subtracted for every animal that requires a second stun. **Ninety-six percent accuracy is required for a passing score.**

It can be helpful to note observations about missed stuns using the following guide:
X = stunned correctly
G = stunning failed due to apparent lack of maintenance
A = missed stun due to poor aim

**Animal Number:**

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**Stun Efficacy Percent:** ___________________________

**Notes:**
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Core Criterion 7: Bleed Rail Insensibility — Conventional and Religious

All signs of sensibility (consciousness) must be absent. Score the same number of animals for stunning scoring. There is zero tolerance for beginning any procedures like skinning the head or leg removal on any animal that shows signs of sensibility. Any sensible animal on the bleed rail constitutes an automatic audit failure.

You may note observations about insensibility using the following guide:

X = completely insensible; no signs of return to sensibility
E = eyes moved when touched
BL = blinking
RB = rhythmic breathing
VO = vocalization
RR = righting reflex/animal attempts to lift head
ST = stiff, curled tongue (this must occur with another one of the criterion above in order to fail this core criterion)

Animal Number:

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<td>20</td>
</tr>
</tbody>
</table>

Percent insensible: ______________________

Notes:
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
## Final Scoring - Cattle and Calves Audit

<table>
<thead>
<tr>
<th>Core Criteria</th>
<th>Passing Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core Criterion 1: Willful Acts of Abuse</td>
<td>No willful acts of abuse</td>
<td></td>
</tr>
<tr>
<td>Core Criterion 2: Access to Water</td>
<td>Yes—water provided</td>
<td></td>
</tr>
<tr>
<td>Core Criterion 3: Falls</td>
<td>1% or fewer falls</td>
<td></td>
</tr>
<tr>
<td>Core Criterion 4: Electric Prod Use</td>
<td>25% or less prodded</td>
<td></td>
</tr>
<tr>
<td>Core Criterion 5: Vocalization</td>
<td>3% or less</td>
<td></td>
</tr>
<tr>
<td></td>
<td>5% or less for religious slaughter</td>
<td></td>
</tr>
<tr>
<td>Core Criterion 6: Effective Stunning</td>
<td>96% or greater accuracy</td>
<td></td>
</tr>
<tr>
<td>Core Criterion 7: Bleed Rail Insensibility</td>
<td>100% insensible</td>
<td></td>
</tr>
</tbody>
</table>

Plant passed all Core Criteria? Yes ________ No ________

Auditor Signature: __________________________________________
Date: __________________________________________
Secondary Audit Items: Cattle and Calves
These items may be helpful in gathering general information about a facility. However, because they involve a high degree of subjectivity and because they are almost impossible to score objectively, they should not be used in determining whether a facility passes or fails an audit.

<table>
<thead>
<tr>
<th>Secondary Slaughter Audit Items</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Documents</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the facility have a documented training program for its employees or use an outside training program to teach the principles of good animal handling?</td>
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<tr>
<td>Does the facility have a protocol that is written or widely understood for handling non-ambulatory animals?</td>
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<tr>
<td>Does the company perform internal audits at least weekly?</td>
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<tr>
<td>Does the company have an emergency management plan for livestock on file?</td>
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<tr>
<td>Does the emergency plan include instructions on when/how water will be provided to animals in drive alleys/unloading docks?</td>
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<tr>
<td><strong>Facilities and Equipment</strong></td>
<td></td>
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<tr>
<td>Do employees inspect the facility weekly and document for repair any damage or sharp protrusions that may injure animals?</td>
<td></td>
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</tr>
<tr>
<td>Does the facility have a protocol for stunning equipment maintenance?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Is non-slip flooring provided throughout the facility?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do crowd pens generally appear to be less than 75% full?</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Animal Handling and Training</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are facility personnel trained in handling non-ambulatory animals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the facility provide special training to stunner operators to ensure proper equipment use and stunning efficacy?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Does the facility train its personnel and have a written procedure or protocol about how to handle a sensible animal on the bleed rail?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Are non-electrical devices the primary tool used to move livestock?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Do holding pens appear to be overcrowded?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>If mounting behaviors were observed, are animals that chronically mount removed from the pen?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Percentage of animals that slipped:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Final Scoring**

- Plant passed all core criteria? Yes _____ No _____
- Were any acts of abuse observed? Yes _____ No _____
- Plant passed all secondary criteria? Yes _____ No _____

If no on secondary, include notes related to secondary audit items:

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________

Auditor Signature: ____________________________________________
Date: ________________________________________________________
Pig Slaughter Audit Form

Date: ____________________________  Time: ____________________________
Plant: ____________________________  Auditor: ____________________________
Weather: ____________________________  Line Speed: ____________________________
Stunner Type: ____________________________  Operator: ____________________________
Plant Contact Name: ____________________________  Phone: ____________________________
Email: ____________________________  Establishment No.: ____________________________

*Note: For group CO₂ stunning systems, vocalization is a secondary criterion because it is difficult to count the number of pigs that are vocalizing.


Any willful act of abuse/egregious act is grounds for automatic audit failure.

Willful acts of abuse include, but are not limited to: 1) Dragging a conscious, non-ambulatory animal; 2) intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, anus, vulva, testicles or belly; 3) deliberate slamming of gates on livestock; 4) malicious driving of ambulatory livestock on top of one another either manually or with direct contact with motorized equipment (this excludes loading a non-ambulatory animal for transport); 5) purposefully driving livestock off high ledges, platforms, or off a truck without a ramp (driving market weight or adult animals off a low stock trailer is acceptable); 6) hitting or beating an animal; or 7) animals frozen to the floor or sides of the trailer.

Any willful act of abuse observed? Yes or No

If yes, detail incident(s) below:
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________

Notes:
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________

Core Criterion 2: Access to Water

Observe access to water.

Do animals in all holding pens have access to clean drinking water? Yes _________ No _________

Notes:
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
Core Criterion 3: Falls

Count the number of pigs that 1) slip and 2) fall during handling in the crowd pen, single file chute, barns, alleys, or stunning box. One percent or fewer pigs may fall for a passing score. A fall is recorded if the body touches the floor. Even slight slipping should be noted and recorded as a secondary criterion. If flooring results in slight slipping for most animals, this can result in fear or agitation and should be corrected. Falling is a core criterion and slipping is a secondary criterion. Falls caused by powered gates are counted. **One percent or fewer falls is required for a passing score.**

X = no slipping or falling  
F = fell  
S = slipped

Animal Number:

<table>
<thead>
<tr>
<th></th>
<th>1</th>
<th>11</th>
<th>21</th>
<th>31</th>
<th>41</th>
<th>51</th>
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<th>81</th>
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<td>60</td>
<td>70</td>
<td>80</td>
<td>90</td>
<td>100</td>
</tr>
</tbody>
</table>

Percent falling: __________

For recording as a secondary audit item: percent slipping: __________

Note where falling occurred.

Notes:

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
Core Criterion 4: Electric Prod Use

**Electric or CO₂ Stunning Systems Where Pigs Enter in Single File**

Monitor the percentage of 100 pigs prodded with an electric prod at the restrainer entrance. If multiple employees use prods, score 100 animals passing by each employee. Add the percentages together to come up with a final score. **Twenty-five percent or less pigs may be prodded for a passing score.**

Note whether or not a prod was used for each animal and the apparent reason for prod use:

- X = moved quietly without an electric prod
- P = electric prod used without apparent reason
- B = electric prodded in response to balking

**Animal Number:**

| 1   | 11  | 21   | 31   | 41   | 51   | 61   | 71   | 81   | 91   |
| 2   | 12  | 22   | 32   | 42   | 52   | 62   | 72   | 82   | 92   |
| 3   | 13  | 23   | 33   | 43   | 53   | 63   | 73   | 83   | 93   |
| 4   | 14  | 24   | 34   | 44   | 54   | 64   | 74   | 84   | 94   |
| 5   | 15  | 25   | 35   | 45   | 55   | 65   | 75   | 85   | 95   |
| 6   | 16  | 26   | 36   | 46   | 56   | 66   | 76   | 86   | 96   |
| 7   | 17  | 27   | 37   | 47   | 57   | 67   | 77   | 87   | 97   |
| 8   | 18  | 28   | 38   | 48   | 58   | 68   | 78   | 88   | 98   |
| 9   | 19  | 29   | 39   | 49   | 59   | 69   | 79   | 89   | 99   |
| 10  | 20  | 30   | 40   | 50   | 60   | 70   | 80   | 90   | 100  |

**Percent prod use:** ______________

**Percent balking:** ______________

**Notes:**

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________

____________________________________________________________________________________
**CO₂ Systems where pigs enter a CO₂ chamber in groups and electric stunning systems where pigs are stunned on the floor in groups.**

Monitor the percentage of 100 pigs prodded with an electric prod when animals are being moved into a gondola or when electric stunning occurs on the floor in a group setting. If multiple employees use prods, score 100 animals passing by each employee. Add the percentages together to come up with a final score. **Five percent or less pigs may be prodded for a passing score.**

Note whether or not a prod was used for each animal and the apparent reason for prod use:

- X = moved quietly without an electric prod
- P = electric prod used without apparent reason
- B = electric prodded in response to balking

**Animal Number:**

```
1   11   21   31   41   51   61   71   81   91
2   12   22   32   42   52   62   72   82   92
3   13   23   33   43   53   63   73   83   93
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7   17   27   37   47   57   67   77   87   97
8   18   28   38   48   58   68   78   88   98
9   19   29   39   49   59   69   79   89   99
10  20   30   40   50   60   70   80   90   100
```

**Percent prod use:** __________

**Percent balking:** __________

**Notes:**

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
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_____________________________________________________________________________________
_____________________________________________________________________________________
Core Criterion 5: Vocalization and Gondola Loading

Vocalization — Electric Stunning or CO₂ Systems With a Single File Conveyor Restrainer

Monitor the number of pigs that squeal in the restrainer. Score only squeals determined to be provoked by humans or equipment. Do not count hot wanding in this section because it is a stunning measurement. For group CO₂ stunning systems, vocalization is a secondary criterion because it is difficult to count the number of pigs that are vocalizing. **Pigs that are provoked to squeal should not exceed 5%.**

It is helpful to note the possible cause of squeals using the codes below:

X = non-vocalizer  
P = prod  S = stun  
F = fell or slipped  
O = other  
R = Restrainer

Animal Number:

<table>
<thead>
<tr>
<th>1</th>
<th>11</th>
<th>21</th>
<th>31</th>
<th>41</th>
<th>51</th>
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<td>80</td>
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</tr>
</tbody>
</table>

Percent vocalizing: ___________

Notes:

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
Core Criterion for CO₂ Systems: Overloading of Gondolas*

Score 50 gondolas in large plants that process 500 or more pigs per CO₂ machine per hour to determine the percentage of gondolas (elevator boxes) that are overloaded. In small plants score 25 gondolas. A gondola or elevator is to be scored as overloaded if there is not sufficient space for the animals to stand or lie down without being on top of each other. **No more than 4% of gondolas may be overloaded for a passing score.**

Score on a per gondola basis:

<table>
<thead>
<tr>
<th>Gondola Number:</th>
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</thead>
<tbody>
<tr>
<td>1______________</td>
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<tr>
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<tr>
<td>9______________</td>
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<tr>
<td>10_____________</td>
</tr>
</tbody>
</table>

Percent overloaded: ________________________

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________  

* For gas systems where the animals ride head to tail on a continuous conveyor that does not have separate animal compartments, do not use this scoring system. Omit this score and score the percentage of animals prodded with an electric prod.
**Core Criterion 6: Effective Stunning**

The Audit Forms for pigs specifically list electrical and CO₂ stunning, however, in some small plants, captive bolt stunning may be used. Score 100 pigs in plants with line speeds greater than 100 pigs per hour. Fifty pigs should be audited in slower plants processing 50 to 99 head of pigs per hour. In plants that process less than 50 per hour, score one hour of production. A point is subtracted for every animal that requires a second stun. **Regardless of species, an acceptable score for effectiveness of captive bolt stunning is 96% effectiveness or above.**

**Effective Electrical Stunning**

Electrodes must be applied properly to pigs to achieve effective stunning. Score 100 pigs in plants with line speeds greater than 100 per hour. Fifty pigs should be audited in slower plants that process 50 to 99 pigs per hour. In plants that process less than 50 per hour, score one hour of production. **A score of 99% accurate placement of stunning electrodes is required for a passing score.**

The following coding should be used:

- X = electrode placed correctly
- W = wrong placement

**Animal Number:**

| 1  | 11 | 21 | 31 | 41 | 51 | 61 | 71 | 81 | 91 |
| 2  | 12 | 22 | 32 | 42 | 52 | 62 | 72 | 82 | 92 |
| 3  | 13 | 23 | 33 | 43 | 53 | 63 | 73 | 83 | 93 |
| 4  | 14 | 24 | 34 | 44 | 54 | 64 | 74 | 84 | 94 |
| 5  | 15 | 25 | 35 | 45 | 55 | 65 | 75 | 85 | 95 |
| 6  | 16 | 26 | 36 | 46 | 56 | 66 | 76 | 86 | 96 |
| 7  | 17 | 27 | 37 | 47 | 57 | 67 | 77 | 87 | 97 |
| 8  | 18 | 28 | 38 | 48 | 58 | 68 | 78 | 88 | 98 |
| 9  | 19 | 29 | 39 | 49 | 59 | 69 | 79 | 89 | 99 |
| 10 | 20 | 30 | 40 | 50 | 60 | 70 | 80 | 90 | 100 |

Percent correct placement: ________________

**Notes:**

____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________

**Amperage**

Is the stunner set at a minimum of 1.25 amps for market weight pigs and 2 amps for sows?

Yes ________ No ________

Volts: ___________ Stun time (in seconds): ___________ Amps: ___________
Hot Wanding

Score 100 pigs in the restrainer. Measure the percentage that vocalize due to application of fully energized electrodes. **No more than 1% of animals may vocalize due to hot wanding.**

Animal Number:

1 | 11 | 21 | 31 | 41 | 51 | 61 | 71 | 81 | 91 |  
2 | 12 | 22 | 32 | 42 | 52 | 62 | 72 | 82 | 92 |  
3 | 13 | 23 | 33 | 43 | 53 | 63 | 73 | 83 | 93 |  
4 | 14 | 24 | 34 | 44 | 54 | 64 | 74 | 84 | 94 |  
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8 | 18 | 28 | 38 | 48 | 58 | 68 | 78 | 88 | 98 |  
9 | 19 | 29 | 39 | 49 | 59 | 69 | 79 | 89 | 99 |  
10 | 20 | 30 | 40 | 50 | 60 | 70 | 80 | 90 | 100 |

Percent hot wanded: ____________________

Notes:

____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
Core Criterion 7: Bleed Rail Insensibility

All signs of return to sensibility (consciousness) must be absent. Score the same number of animals for stunning scoring. It is CRITICAL that animals showing signs of a return to sensibility be re-stunned immediately. There is zero tolerance for beginning any procedures like skinning the head or leg removal on any animal that shows signs of a return to sensibility. Any sensible animal on the bleed rail constitutes an automatic audit failure.

However, it is important to complete the audit and note observations about insensibility using the following guide:

X = completely insensible; no signs of return to sensibility
BL = blinking – do not count a vibrating eye as a blink; only natural blinks like those that might be observed in the yards should be documented
RB = rhythmic breathing
VO = vocalization no matter how small
RR = righting reflex/animal attempts to lift head while hanging on the rail

Animal Number:

1______ 11 _____ 21 ______ 31 _____ 41 ____ 51 ____ 61 _____ 71 ____ 81 _____ 91 ______
2______ 12 _____ 22 ______ 32 _____ 42 ____ 52 ____ 62 _____ 72 ____ 82 ____ 92 _____
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9______ 19 _____ 29 _____ 39 _____ 49 ____ 59 ____ 69 _____ 79 ____ 89 ____ 99 _____
10____ 20 _____ 30 _____ 40 _____ 50 ____ 60 ____ 70 ____ 80 ____ 90 ____ 100 ____

Percent insensible: _________________________

Notes:
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
### Final Scoring - Pig Audit

<table>
<thead>
<tr>
<th>Core Criterion</th>
<th>Passing Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core Criterion 1: Willful Acts of Abuse</td>
<td>No willful acts of abuse</td>
<td>____________</td>
</tr>
<tr>
<td>Core Criterion 2: Access to Water</td>
<td>Yes—water provided</td>
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<tr>
<td>Core Criterion 3: Falls</td>
<td>1% or fewer falls</td>
<td>____________</td>
</tr>
<tr>
<td>Core Criterion 4: Electric Prod Use</td>
<td>25% or less prodded (single file)</td>
<td>____________</td>
</tr>
<tr>
<td></td>
<td>5% or less prodded (group system)</td>
<td>____________</td>
</tr>
<tr>
<td>Core Criterion 5: Vocalization* and Gondola Loading</td>
<td>5% or less vocalization</td>
<td>____________</td>
</tr>
<tr>
<td></td>
<td>4% or less overloaded gondolas</td>
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</tr>
<tr>
<td>Core Criterion 6: Effective Stunning</td>
<td>99% accurate wand placement</td>
<td>____________</td>
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<tr>
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<td>98% effectively stunned</td>
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<td></td>
<td>Hot wanding</td>
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<td>1% or less hot wanded</td>
<td>____________</td>
</tr>
<tr>
<td>Core Criterion 7: Bleed Rail Insensibility</td>
<td>100% insensible</td>
<td>____________</td>
</tr>
</tbody>
</table>

*Do not count when CO₂ systems are in use.

Plant passed all core criteria? Yes ______ No ______

Auditor Signature: __________________________________________
Date: _______________________________
Secondary Audit Items: Pigs

These items may be helpful in gathering general information about a facility. However, because they involve a high degree of subjectivity and because they are almost impossible to score objectively, they should not be used in determining whether a facility passes or fails an audit.

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<tr>
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<th>Yes</th>
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**Final Scoring**

Plant passed all core criteria? Yes _______ No _______

Were any acts of abuse observed? Yes _______ No _______

Plant passed all secondary criteria? Yes _______ No _______

If no on secondary, include notes related to secondary audit items:

_____________________________________________________________________________________

_____________________________________________________________________________________
Sheep Slaughter Audit Form

<table>
<thead>
<tr>
<th>Date: _____________________________</th>
<th>Time: _____________________________</th>
</tr>
</thead>
<tbody>
<tr>
<td>Plant: ___________________________</td>
<td>Auditor: _________________________</td>
</tr>
<tr>
<td>Weather: _________________________</td>
<td>Line Speed: ______________________</td>
</tr>
<tr>
<td>Stunner Type: ____________________</td>
<td>Operator: ________________________</td>
</tr>
<tr>
<td>Plant Contact Name: ______________</td>
<td>Phone: __________________________</td>
</tr>
<tr>
<td>Email: __________________________</td>
<td>Establishment No.: _______________</td>
</tr>
</tbody>
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*Note: Sheep naturally vocalize. Therefore, vocalization scoring is omitted as a criterion for this audit. Hot wanding is also omitted.


Any willful act of abuse/egregious act is grounds for automatic audit failure.

*Willful acts of abuse include, but are not limited to:* 1) dragging a conscious, non-ambulatory animal; 2) intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, anus, vulva, testicles or belly; 3) deliberate slamming of gates on livestock; 4) malicious driving of ambulatory livestock on top of one another either manually or with direct contact with motorized equipment (this excludes loading a non-ambulatory animal for transport); 5) purposefully driving livestock off high ledges, platforms, or off a truck without a ramp (driving market weight or adult animals off a low stock trailer is acceptable); 6) hitting or beating an animal; or 7) animals frozen to the floor or sides of the trailer.

Any willful act of abuse observed? Yes or No

If yes, detail incident(s) below:

_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________ 

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________ 

**Core Criterion 2: Access to Water — Conventional and Religious**

Observe access to water.

Do animals in all holding pens have access to clean drinking water? Yes _________ No _________

Notes:
_____________________________________________________________________________________
_____________________________________________________________________________________
_____________________________________________________________________________________ 

_____________________________________________________________________________________
Core Criterion 3: Falls — Conventional and Religious

Count the number of sheep that 1) slip and 2) fall during handling in the crowd pen, single file chute, barns, alleys or stunning box. Falling is a core criterion and slipping is a secondary criterion. A fall is recorded if the body touches the floor. Even slight slipping should be noted. **One percent or fewer sheep may fall.**

X = no slipping or falling  
F = fell  
S = slipped

### Animal Number:

<table>
<thead>
<tr>
<th>1</th>
<th>11</th>
<th>21</th>
<th>31</th>
<th>41</th>
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<td>70</td>
<td>80</td>
<td>90</td>
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</table>

**Percent falling:** ________________

**For recording as a secondary:** percent slipping: ______________________

Note where falling occurred.

### Notes:

____________________________________________________________________________________
____________________________________________________________________________________
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Core Criterion 4: Electric Prod Use — Conventional and Religious

Monitor the percentage of 100 sheep prodded with an electric prod. Since OIE (2008) guidelines state the electric prods should not be used on sheep, electrical prod use must be confined to a single electric prod at the restrainer entrance. The electric prod should only be used on stubborn, large sheep that are too big to be pushed into the restrainer by a person. Electric prod use should be 5% or less and only at the restrainer entrance.

Note whether or not a prod was used for each animal and the apparent reason for prod use:

X = moved quietly without an electric prod
P = electric prod used without apparent reason
B = electric prodded in response to balking

Animal Number:

Percent prod use: _____________
Percent balking: ____________

Notes:
_____________________________________________________________________________________
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Core Criterion 5: Vocalizations

As previously stated, Core Criterion 5, Vocalization, is not audited in the Sheep audit.
Core Criterion 6: Effective Stunning — Conventional Only

Effective Captive Bolt Stunning

Ninety-six percent or more sheep must be stunned effectively with a single shot.

It can be helpful to note observations about missed stuns using the following guide:

- X = stunned correctly
- G = stunning failed due to apparent lack of maintenance
- A = missed stun due to poor aim

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</table>

Percent of sheep stunned effectively with a single shot: ____________

Notes:

____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
**Electric stunning — proper application of electrodes to sheep**

Electrodes must be applied properly to sheep to achieve effective stunning. Score 100 sheep. A score of 99% accurate placement of stunning electrodes is required for passing score.

The following coding should be used:

**X** = electrode placed correctly  
**W** = wrong placement

**Animal Number:**

1____ 11_____ 21____ 31____ 41____ 51____ 61____ 71____ 81____ 91____
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10_____ 20_____ 30_____ 40_____ 50_____ 60_____ 70_____ 80_____ 90_____ 100____

Percent correct placement: ________________

Is the stunner set at a minimum of 1 amp? Yes _____________ No __________

Notes:

_____________________________________________________________________________________
_____________________________________________________________________________________
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Core Criterion 7: Bleed Rail Insensibility — Conventional and Religious

All signs of starting the process of return to sensibility (consciousness) must be absent. It is CRITICAL that animals showing signs of a return to sensibility be re-stunned immediately. There is zero tolerance for beginning any procedures like skinning the head or leg removal on any animal that shows signs of a return to sensibility. Any sensible animal on the bleed rail constitutes an automatic audit failure.

However, it is important to complete the audit and note observations about insensibility using the following guide:

X = completely insensible; no signs of return to sensibility
BL = blinking – do not count a vibrating eye as a blink; only natural blinks like those that might be observed in the yards should be documented
RB = rhythmic breathing
VO = vocalization no matter how small
RR = righting reflex/animal attempts to lift head while hanging on the rail

Animal Number:

<table>
<thead>
<tr>
<th>Animal</th>
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Percent insensible: _____________________

Notes:
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_____________________________________________________________________________________
_____________________________________________________________________________________

*In sheep plants that conduct head-only, reversible electric stunning for religious reasons, it is strongly recommended that plants add an additional audit point to ensure that the animal does not shows signs of a return to sensibility before bleeding.
## Final Scoring - Sheep Audit

<table>
<thead>
<tr>
<th>Core Criteria</th>
<th>Passing Score</th>
<th>Actual Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core Criterion 1: Willful Acts of Abuse</td>
<td>No willful acts of abuse</td>
<td></td>
</tr>
<tr>
<td>Core Criterion 2: Access to Water</td>
<td>Yes—water provided</td>
<td></td>
</tr>
<tr>
<td>Core Criterion 3: Falls</td>
<td>1% or fewer falls</td>
<td></td>
</tr>
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<td>Core Criterion 4: Electric Prod Use</td>
<td>5% or less prodded</td>
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</tr>
<tr>
<td>Core Criterion 6: Effective Stunning</td>
<td>96% or greater accuracy (captive bolt)</td>
<td></td>
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<td></td>
<td>99% or greater placement (electric stunning)</td>
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Plant passed all core criteria? Yes _____ No _____

Auditor Signature: ____________________________________________
Date: ____________________________
## Secondary Audit Items: Sheep

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### Final Scoring

- **Plant passed all core criteria?**
  - Yes _______ No _______

- **Were any acts of abuse observed?**
  - Yes _______ No _______

- **Plant passed all secondary criteria?**
  - Yes _______ No _______

If no on secondary, include notes related to secondary audit items:

_____________________________________________________________________________________
_____________________________________________________________________________________D

**Auditor Signature:** ____________________________

**Date:** ____________________________

---

*APPENDIX IV | SHEEP SLAUGHTER AUDIT FORM CONTINUED*