CHAPTER 5: OFFICIAL NORTH AMERICAN MEAT INSTITUTE AUDIT FORMS

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.
TRANSPORTATION AUDIT FORM: CATTLE

Date: __________________________________________________________________________________

Name and auditing company: ______________________________________________________________________________________

Plant location: _______________________________________________________________________________________

Plant contact: _______________________________________________________________________________________

Number of trucks audited: ___________________________________________________________________________

Temperature/weather conditions: ___________________________________________________________________________

Core Criteria 1: Plant transportation policy and preparedness for receiving animals.

1. Plant has 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 and 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 Criteria 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
Serious Problem – 9 or fewer of the criteria met

COMMENTS FOR CORE CRITERIA 1
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
____________________________________________________________________________________
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

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

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

Total for Core Criteria 2: ___________/3

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
Serious Problem – Less than 80% average score

COMMENTS FOR CORE CRITERIA 2

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Core Criteria 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 Criteria 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%
Serious Problem – Less than 80%

COMMENTS FOR CORE CRITERIA 3
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Core Criteria 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
Serious problem – 5% or more falling down

COMMENTS FOR CORE CRITERIA 4
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Core Criteria 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%
Serious problem – 25% or more

COMMENTS FOR CORE CRITERIA 5
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________
Core Criteria 6: Condition of Animal

Non-ambulatory animals (tally here): __________
Severely injured animals (tally here): __________
# above that were severely emaciated (tally here for transfer to secondary criteria): __________
Severely lame animals (tally here): __________
Heat-stressed animals (tally here): __________
Calving (tally here): _________________________
Total for Core Criteria 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.
Serious Problem –More than 3% compromised animals on the trailer at arrival.

COMMENTS FOR CORE CRITERIA 6
_______________________________________________________________________________________
_______________________________________________________________________________________


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

COMMENTS FOR WILLFUL ACTS OF ABUSE
_______________________________________________________________________________________
_______________________________________________________________________________________
### Cattle Transportation Audit Form - Final Scoring

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

**Notes:**

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Passed all numerically scored criteria? Yes or No

**Notes:**

_______________________________________________________________________________________
_______________________________________________________________________________________

Auditor Signature: ___________________________ Date: ___________________________
Secondary Items from Cattle Audit

**Secondary Items Within Core Criterion 2**

1. Non-slip, solid flooring.  
2. Gates and doors open freely and can be secured shut.  
3. Internal ramps function properly and extend all the way to the floor.  
4. No sharp or protruding objects that can injure the animals.  
5. If transporting dairy cows, veal calves and some cull beef cows: Winter side slats or plugs are in place at recommended levels?

**Comments on Secondary Items Within Core Criterion 2:**

_______________________________________________________________________________________

_______________________________________________________________________________________

**Secondary Item within Core Criterion 3:**

Time first animal unloads: 
Time last animal unloads: 
Total unload time: 

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

_______________________________________________________________________________________

_______________________________________________________________________________________

**Secondary Items within Core Criterion 4:**

1. Total number of slips (tally slips here): 
2. Temperament of livestock (circle one): Excitable Normal Docile

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:

_______________________________________________________________________________________

_______________________________________________________________________________________

3. Did the person doing the unloading do so quietly and calmly?  

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:

_______________________________________________________________________________________

_______________________________________________________________________________________

_______________________________________________________________________________________
**Secondary Items within Core Criteria 5:**

1. Does the plant have a “No Electric Prod Use” policy posted?  
   Yes or No
2. Do the people unloading have electric prods in their hands?  
   Yes or No
3. Did the driver use an electric prod in or through the sides or roof of the trailer?  
   Yes or No
4. Were rattle paddles, sort boards, flags, or other handling tools used incorrectly?  
   Yes or No

Comment on the use of electric prods here and if acceptable handling tools were used incorrectly:

________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

**Secondary Items within Core Criteria 6:**

1. Number of dead animals on the trailer (tally animals here): __________
2. Does the plant have a method for communicating back to the site of trailer loading?  
   Yes or No
3. Were any of the animals unloaded considered severely emaciated?  
   Yes or No  
   If yes, tally the number of animals here: __________
4. Did any of the cattle have poor udder conditions?  
   Yes or No  
   If yes, tally the number of animals here: __________
5. Were severely inured/severely lame animals promptly euthanized?  
   Yes or No

Comment on the number of dead or emaciated animals or animals with poor udder conditions on the trailer:

________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

Auditor Signature: ________________________________ Date: ________________________________
TRANSPORTATION AUDIT FORM: SWINE

Date: ____________________________________________

Name and auditing company: ____________________________________________

Plant location: ____________________________________________

Plant contact: ____________________________________________

Number of trucks audited: ____________________________________________

Temperature/weather conditions: ____________________________________________

Core Criteria 1: Plant transportation policy and preparedness for receiving animals.

1. Plant has 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 and 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 Criteria 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
Serious Problem – 9 or fewer of the criteria met

COMMENTS FOR CORE CRITERIA 1

_______________________________________________________________________________________
_______________________________________________________________________________________

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

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 Criteria 2: Set-up, loading and alignment of trailer.

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

Total for Core Criteria 2: ___________ / 4

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

*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
**Serious Problem** – Less than 80% average score

**COMMENTS FOR CORE CRITERIA 2**

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Core Criteria 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 Criteria 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%
**Serious Problem** – Less than 80%

**COMMENTS FOR CORE CRITERIA 3**

_______________________________________________________________________________________
_______________________________________________________________________________________
**Core Criteria 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  
**Serious problem** – 5% or more falling down

**COMMENTS FOR CORE CRITERIA 4**

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

**Core Criteria 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%  
**Serious problem** – 25% or more

**COMMENTS FOR CORE CRITERIA 5**

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

**Core Criteria 6: Condition of Animal**

Non-ambulatory animals (tally here): __________  
Severely injured animals (tally here): __________  
# above that were severely emaciated (tally here for transfer to secondary criteria): __________  
Heat-stressed animals (tally here): __________  
Severely lame animals (tally here): __________  
Frostbitten animals (tally here): __________  
Farrowing animals (tally here): __________  
**Total for Core Criteria 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.  
**Serious Problem** – More than 4% compromised animals on the trailer at arrival.

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

COMMENTS FOR WILLFUL ACTS OF ABUSE
## Swine Transportation Audit Form - Final Scoring

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

**Notes:**
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Passed all numerically scored criteria?  
Yes or No

**Notes:**
_______________________________________________________________________________________
_______________________________________________________________________________________

Auditor Signature: ___________________________  Date: ___________________________
Secondary Items from Swine Audit

**Secondary Items Within Core Criteria 2**

1. Non-slip, solid flooring. Yes or No
2. Gates and doors open freely and can be secured shut. Yes or No
3. Internal ramps function properly and extend all the way to the floor. Yes or No
4. No sharp or protruding objects that can injure the animals. Yes or No
5. Trucks follow plant bedding requirement or industry best practice. Yes or No
6. Winter side slats or plugs are in place at recommended levels* Yes or No

*See discussion in NAMI Recommended Animal Handling Guidelines, page 8

**Comments on Secondary Items Within Core Criteria 2:**

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

**Secondary Item within Core Criteria 3:**

Time first animal unloads: _______________________    Time last animal unloads:  _________
Total unload time: _____________________________

Provide comment on trailers that may have experienced problems or lengthy unloading times:
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

**Secondary Items within Core Criteria 4:**

1. Total number of slips (tally slips here): ___________
2. Temperament of livestock (circle one):               Normal Moving                 Difficult to Move

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:
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

3. Did the person doing the unloading do so quietly and calmly? Yes or No

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:
_______________________________________________________________________________________
_______________________________________________________________________________________
Secondary Items within Core Criteria 5:

1. Does the plant have a “No Electric Prod Use” policy posted? Yes or No
2. Do the people unloading have electric prods in their hands? Yes or No
3. Did the driver use an electric prod in or through the sides or roof of the trailer? Yes or No
4. Were rattle paddles, sort boards, flags, or other handling tools used incorrectly? Yes or No

Comment on the use of electric prods here and if acceptable handling tools were used incorrectly:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

Secondary Items within Core Criteria 6:

1. Number of dead animals on the trailer (tally animals here): ____________
2. Does the plant have a method for communicating back to the site of trailer loading? Yes or No
3. Were any of the animals unloaded considered severely emaciated? Yes or No
   If yes, tally the number of animals here: ____________
4. Were severely inured/severely lame animals promptly euthanized? Yes or No

Comment on the number of dead or emaciated animals on the trailer:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

Auditor Signature: ________________________________________ Date: ________________________________
TRANSPORTATION AUDIT FORM: SHEEP

Date: __________________________________________________________________________________

Name and auditing company: __________________________________________________________________________________________

Plant location: __________________________________________________________________________________________

Plant contact: __________________________________________________________________________________________

Number of trucks audited: __________________________________________________________________________________________

Temperature/weather conditions: __________________________________________________________________________________________

Core Criteria 1: Plant transportation policy and preparedness for receiving animals.

1. Plant has 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 and 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 Criteria 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
Serious Problem – 9 or fewer of the criteria met

COMMENTS FOR CORE CRITERIA 1

________________________________________________________________________________

________________________________________________________________________________

________________________________________________________________________________
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 Criteria 2: Set-up, loading and alignment of trailer.

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

Total for Core Criteria 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
Serious Problem – Less than 80% average score

COMMENTS FOR CORE CRITERIA 2

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Core Criteria 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 Criteria 3: ___________ / 4

Excellent – 95% or greater
Acceptable – 85% or greater
Not Acceptable – Less than 85%
Serious Problem – Less than 80%
COMMENTS FOR CORE CRITERIA 3
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Core Criteria 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
Serious problem – 5% or more falling down

COMMENTS FOR CORE CRITERIA 4
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Core Criteria 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%
Serious problem – 25% or more

COMMENTS FOR CORE CRITERIA 5
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Core Criteria 6: Condition of Animal

Non-ambulatory animals (tally here): ____________
Severely injured animals (tally here): ____________

# above that were severely emaciated (tally here for transfer to secondary criteria): ______________
Severely lame animals (tally here): ____________
Heat-stressed animals (tally here): ____________
Lambing (tally here): __________________________

Total for Core Criteria 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.

Serious Problem – More than 3% compromised animals on the trailer at arrival.

COMMENTS FOR CORE CRITERIA 6

_______________________________________________________________________________________
_______________________________________________________________________________________


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

COMMENTS FOR WILLFUL ACTS OF ABUSE

_______________________________________________________________________________________
_______________________________________________________________________________________
# Sheep Transportation Audit Form - Final Scoring

<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 %</th>
<th>Pass or Fail</th>
</tr>
</thead>
<tbody>
<tr>
<td>Core Criteria 1</td>
<td>Plant Audit</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criteria 2</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>
<td></td>
</tr>
<tr>
<td>Core Criteria 3</td>
<td>Timeliness of arrival and unloading</td>
<td>(# of trucks x 4)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criteria 4</td>
<td>Falls</td>
<td>(Total # of falls)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criteria 5</td>
<td>Electric Prod Use</td>
<td>(Total # electrically prodded)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criteria 6</td>
<td>Condition of Animals</td>
<td>(Total # of compromised animals)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Core Criteria 7</td>
<td>Any willful acts of abuse observed?</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:
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

Auditor Signature: ________________________________________ Date: ________________________________________
Secondary Items from Sheep Audit

**Secondary Items Within Core Criteria 2**

1. Non-slip, solid flooring.  
2. Gates and doors open freely and can be secured shut.  
3. Internal ramps function properly and extend all the way to the floor.  
4. No sharp or protruding objects that can injure the animals.  
5. Winter side slats or plugs are in place at recommended levels.

**Comments on Secondary Items Within Core Criteria 2:**

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

**Secondary Item within Core Criteria 3:**

Time first animal unloads:  
Time last animal unloads:  
Total unload time: 

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

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

**Secondary Items within Core Criteria 5:**

1. Total number of slips (tally slips here):  
2. Temperament of livestock (circle one):  
   - Excitable  
   - Normal  
   - Docile

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:

_______________________________________________________________________________________
_______________________________________________________________________________________
_______________________________________________________________________________________

3. Did the person doing the unloading do so quietly and calmly?  
   - Yes  
   - No

Comments on the attitude and behavior of those unloading the livestock here. As an example, their temperament may be correlated to the number of slips and falls:

_______________________________________________________________________________________
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Secondary Items within Core Criteria 5:

1. Does the plant have a “No Electric Prod Use” policy posted? Yes or No
2. Do the people unloading have electric prods in their hands? Yes or No
3. Did the driver use an electric prod in or through the sides or roof of the trailer? Yes or No
4. Were rattle paddles, sort boards, flags, or other handling tools used incorrectly? Yes or No

Comment on the use of electric prods here and if acceptable handling tools were used incorrectly:
________________________________________________________________________________________________
________________________________________________________________________________________________
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Secondary Items within Core Criteria 6:

1. Number of dead animals on the trailer (tally animals here): __________
2. Does the plant have a method for communicating back to the site of trailer loading? Yes or No
3. Were any of the animals unloaded considered severely emaciated? Yes or No
   If yes, tally the number of animals here: __________
4. Were severely inured/severely lame animals promptly euthanized? Yes or No

Comment on the number of dead or emaciated animals or animals with poor udder conditions on the trailer:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

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.:** ____________________

## Core Criteria 1: 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. Ninety-six percent accuracy is required for a passing score. If audit is conducted in a religious slaughter facility, skip to Core Criteria 2. A point is subtracted for every animal that requires a second stun.

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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**Stun Efficacy Percent** _________________

### Notes:

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CORE CRITERIA 2: BLEED RAIL INSENSIBILITY — Conventional and Religious

Any sensible animal on the bleed rail constitutes an automatic audit failure. All signs of starting the process 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. 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
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 criteria above in order to fail this criteria)

Note signs of sensibility observed by animal number:

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Percent Insensible _____________________

Notes:
__________________________________________________________________________________________________________________________________________
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### CORE CRITERIA 3: ANIMALS FALLING DOWN — Conventional and Religious

3A: If you are also using the transportation audit the same day, you may transfer your score here. Count the number of cattle that slip or fall during unloading. Falling is a core criteria slipping is a secondary criteria. In large plants where multiple vehicles are continuously unloaded, 100 cattle from three different vehicles are scored. For all species, an equal number of animals from each deck should be scored. Vehicles should be scored in the order of arrival at the unloading ramp. In small plants where vehicles are not continuously unloaded, a single vehicle should be scored. If no vehicle arrives, the score sheet is marked “unloading not observed.” One percent or fewer cattle should fall.

\[ X = \text{no slipping or falling} \quad F = \text{fell} \quad S = \text{slipped} \]

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Percent falling ____________________ For recording as a secondary: Percent slipping ____________________

Note where falling occurred: _______________________________________________________________________

Notes: __________________________________________________________________________________________
________________________________________________________________________________________________
3B: 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 criteria and slipping is a secondary criteria. 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.

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Percent falling ________________ For recording as a secondary audit item: Percent slipping __________

Note where falling occurred:

Notes:
__________________________________________________________________________________________
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CORE CRITERIA 4: 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 five percent vocalization is acceptable for a passing score. It is helpful to note the possible cause of vocalization using the codes below:

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

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Percent vocalizing: _____________________

Notes:

________________________________________________________________________________________________
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CORE CRITERIA 5: ELECTRIC PROD USE — Conventional and Religious

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

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Percent prodded ________  Percent balking ________

Notes:
________________________________________________________________________________________________
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CORE CRITERIA 6: WILLFUL ACTS OF ABUSE/EGREGIOUS ACTS — Conventional and Religious

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:

________________________________________________________________________________________________

Notes:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

CORE CRITERIA 7: ACCESS TO WATER — Conventional and Religious

Observe access to water. Do animals in all holding pens held for 30 minutes or longer have access to clean drinking water?

Yes _____  No  ______

Notes:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

## Final Scoring – Cattle and Calves Audit

<table>
<thead>
<tr>
<th>Core Criteria</th>
<th>Passing Score</th>
<th>Actual Score</th>
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<tbody>
<tr>
<td>Core Criteria 1: Effective Stunning</td>
<td>96% or greater accuracy</td>
<td>____________</td>
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<tr>
<td>Core Criteria 2: Bleed Rail Insensibility</td>
<td>100% insensible</td>
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<tr>
<td>Core Criteria 3: Falls</td>
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</tr>
<tr>
<td>3A: Truck Unload</td>
<td>1% or fewer falls</td>
<td>____________</td>
</tr>
<tr>
<td>3B: In Plant</td>
<td>1% or fewer falls</td>
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</tr>
<tr>
<td>Core Criteria 4: Vocalization</td>
<td>3% or less</td>
<td>____________</td>
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<tr>
<td></td>
<td>5% or less with head-holder/ritual</td>
<td>____________</td>
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<tr>
<td>Core Criteria 5: Prod Use</td>
<td>25% or less prodded</td>
<td>____________</td>
</tr>
<tr>
<td>Core Criteria 6: Willful Acts of Abuse</td>
<td>No willful acts of abuse</td>
<td>____________</td>
</tr>
<tr>
<td>Core Criteria 7: Access to Water</td>
<td>Yes – water provided</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.

1. 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?
   
   Yes ________  No ________

2. Does the facility have a protocol that is written or widely understood for handling non-ambulatory animals?

   Yes ________  No ________

3. Are facility personnel trained in handling non-ambulatory animals?

   Yes ________  No ________

4. Do employees inspect the facility weekly and document for repair any damage or sharp protrusions that may injure animals?

   Yes ________  No ________

5. Does the facility provide special training to stunner operators to ensure proper equipment use and stunning efficacy?

   Yes ________  No ________

6. Does the facility have a protocol for stunning equipment maintenance?

   Yes ________  No ________

7. Does the facility train its personnel and have a written procedure or protocol about how to handle a sensible animal on the bleed rail?

   Yes ________  No ________

8. Is non-slip flooring provided throughout the facility?

   Yes ________  No ________  Slipping score (3% or less):

9. Are non-electrical devices the primary tool used to move livestock?

   Yes ________  No ________

10. Do holding pens appear to be overcrowded?

    Yes ________  No ________

11. Do crowd pens generally appear to be less than 75 percent full?

    Yes ________  No ________
12. If mounting behaviors were observed, are animals that chronically mount removed from the pen?

Yes ________  No ________  NA ________

13. Does the company perform internal audits at least weekly?

Yes ________  No ________

14. Does the company have an emergency management plan for livestock on file?

Yes ________  No ________

14. The percentage of animals that slipped:

Percentage in stunning area:

Percentage during truck unloading:

**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:

______________________________________________________________________________

______________________________________________________________________________

______________________________________________________________________________
PIG SLAUGHTER AUDIT FORM

Date: ________________________________________

Plant: _______________________________________

Weather: _____________________________________

Stunner Type: _________________________________

Plant Contact Name: ___________________________

Email: _______________________________________

Time: _________________________________________

Auditor: ______________________________________

Line Speed: __________________________________

Operator: _____________________________________

Phone: _______________________________________

Establishment No.: ____________________________

CORE CRITERIA 1: STUNNING

Effective Electrical Stunning – Pigs

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 percent accurate placement of stunning electrodes is required for a passing score.

The following coding should be used:

\[X = \text{electrode placed correctly} \quad W = \text{wrong placement}\]

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 two amps for sows?

Yes ___________  No __________  Volts ___________  Stun Time in Sec. ____________  Amps __________

**Hot Wanding**

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

**CORE CRITERIA 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 four percent of gondolas may be overloaded for a passing score.

Score on a per gondola basis:

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Percent overloaded: ________________

Notes:
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**CHAPTER 5 | PIG SLAUGHTER AUDIT FORM CONTINUED**
* 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 CRITERIA 2: INSENSIBILITY ON THE BLEED RAIL**

Any sensible animal on the bleed rail constitutes an automatic audit failure. All signs of starting the process 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 restunned 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. 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

Note signs of sensibility observed by animal number:

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Percent Insensible _____________________

Notes:

__________________________________________________________________________________________________

__________________________________________________________________________________________________

__________________________________________________________________________________________________
CORE CRITERIA 3: ANIMALS FALLING DOWN

3A: If you are also using the transportation audit the same day, you may transfer your score here.

Count the number of pigs that slip or fall during unloading. Falling is a core criteria and slipping is a secondary criteria. In plants where a large truck holds more than 100 animals, a minimum of two vehicles should be observed. For all species, an equal number of animals from each deck should be scored.

Vehicles should be scored in the order of arrival at the unloading ramp. In small plants where vehicles are not continuously unloaded, a single vehicle should be scored. If no vehicle arrives, the score sheet is marked “unloading not observed.” One percent or fewer pigs should fall.

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

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 falling ________________ For recording as a secondary: Percent slipping ________________

Note where falling occurred: _______________________________________________________________________

Notes: __________________________________________________________________________________________
______________________________________________________________________________________________
______________________________________________________________________________________________
______________________________________________________________________________________________
3B: 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 criteria. If flooring results in slight slipping for most animals, this can result in fear or agitation and should be corrected. Falling is a core criteria and slipping is a secondary criteria. Falls caused by powered gates are counted.

<table>
<thead>
<tr>
<th>Animal Number</th>
<th>X = no slipping or falling</th>
<th>F = fell</th>
<th>S = slipped</th>
</tr>
</thead>
<tbody>
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<td>1_____11_____21_____31_____41____51____61____71____81____91_____</td>
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Percent falling ________________ For recording as a secondary audit item: Percent slipping __________

Note where falling occurred:

Notes:
______________________________________________________________________________________________
______________________________________________________________________________________________
______________________________________________________________________________________________
CORE CRITERIA 4: PIG VOCALIZATION DURING ELECTRIC OR CAPTIVE BOLT STUNNING

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

Monitor the number of pigs that squeal in the restrainer. Score only squeals determined to be provoked by humans or equipment. Pigs that are provoked to squeal should not exceed 5%. It is helpful to note the possible cause of squeals using the codes below. Do not count hot wanding in this section because it is a stunning measurement: For group CO₂ Stunning Systems, vocalization is a secondary item because it is difficult to count the number of pigs that are vocalizing.

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

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
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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 vocalizing: ___________

Room Vocalization — All Stunning Systems — FOR INTERNAL AUDITS ONLY:

Count the number of stunning cycles where squealing is heard. Count 100 stunning cycles. Note: there is a high degree of variability due to room acoustics and human factors. This criterion cannot be compared across plants, but is effective in monitoring internal performance. Fewer than 50 percent of the stunning cycles should have squealing.

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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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 vocalizing: ___________

Notes:
**CORE CRITERIA 5: 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. Twenty-five percent or less of 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. If multiple employees use prods, score 100 animals passing by each employee. Add the percentages together to come up with a final score:

- **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 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. Five percent or less of 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. If multiple employees use prods, score 100 animals passing by each employee. Add the percentages together to come up with a final score:

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

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Percent prod use_____________ Percent balking ____________

Notes:
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**CORE CRITERIA 6: WILLFUL ACTS OF ABUSE/EGREGIOUS ACTS**

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 CRITERIA 7: ACCESS TO WATER**

Observe access to water. Do animals in all holding pens held for a period of 30 minutes or longer have access to clean drinking water?

Yes _________  No _________

Notes:

________________________________________________________________________________________________

________________________________________________________________________________________________

________________________________________________________________________________________________
## Final Scoring – Pig Audit

<table>
<thead>
<tr>
<th>Core Criteria</th>
<th>Passing Score</th>
<th>Actual Score</th>
</tr>
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<tbody>
<tr>
<td>Core Criteria 1: Effective Stunning</td>
<td>1% or less inaccurate wand placement and 1% or less hot wanded or 4% or less overloaded gondolas</td>
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<tr>
<td>Core Criteria 2: Bleed Rail Insensibility</td>
<td>100% insensible</td>
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<td>Core Criteria 3: Falls</td>
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<tr>
<td>3A: Truck Unload</td>
<td>1% or fewer falls</td>
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<tr>
<td>3B: In Plant</td>
<td>1% or fewer falls</td>
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<tr>
<td>Core Criteria 4: Vocalization*</td>
<td>5% or less</td>
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<td>Core Criteria 5: Prod Use</td>
<td>25% or less (single file) 5% or less (group system)</td>
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<tr>
<td>Core Criteria 6: Willful Acts of Abuse</td>
<td>No willful acts of abuse</td>
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<tr>
<td>Core Criteria 7: Access to Water</td>
<td>Yes – water provided</td>
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Plant passed all core criteria?  Yes _____  No _______

Auditor Signature: ____________________________  Date: ____________________________

*Do not count when CO2 systems are in use
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.

1. 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?
   
   Yes _________  No _________

2. Does the facility have a protocol that is written or widely understood for handling non-ambulatory animals?
   
   Yes _________  No _________

3. Are facility personnel trained in handling non-ambulatory animals?
   
   Yes _________  No _________

4. Do employees inspect the facility weekly and document for repair any damage or sharp protrusions that may injure animals?
   
   Yes _________  No _________

5. Does the facility provide special training to stunner operators to ensure proper equipment use and stunning efficacy?
   
   Yes _________  No _________

6. Does the facility have a protocol for stunning equipment maintenance?
   
   Yes _________  No _________

7. Does the facility train its personnel and have a written procedure or protocol about how to handle a sensible animal on the bleed rail?
   
   Yes _________  No _________

8. Is non-slip flooring provided throughout the facility?
   
   Yes _________  No _________  Slipping score (3% or less): _________

9. Are non-electrical devices the primary tool used to move livestock?
   
   Yes _________  No _________
10. Do holding pens appear to be overcrowded?

Yes ________  No ________

11. Do crowd pens generally appear to be less than 75 percent full?

Yes ________  No ________

12. If mounting behaviors were observed, are animals that chronically mount removed from the pen?

Yes ________  No ________  NA ________

13. Does the company have an emergency management plan for livestock on file?

Yes ________  No ________

14. The percentage of animals that slipped:

Percentage in stunning area: ________________ Percentage during truck unloading: ______________

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:

________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

CHAPTER 5  |  SECONDARY ITEMS: PIG AUDIT CONTINUED
SHEEP SLAUGHTER AUDIT FORM

Date: ________________________________________
Time: _________________________________________
Plant: ________________________________________
Auditor: ______________________________________
Weather: ______________________________________
Line Speed: ____________________________________
Stunner Type: _________________________________
Operator: _____________________________________
Plant Contact Name: ___________________________
Phone: _______________________________________
Email: _______________________________________
Establishment No.: ____________________________

Note: Sheep naturally vocalize. Therefore vocalization scoring is omitted as a criterion for this audit. Hot wanding also is omitted as a criterion.

CORE CRITERIA 1: EFFECTIVE STUNNING — Conventional Only

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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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 percent accurate placement of stunning electrodes is required for passing score. The following coding should be used:

- \( X \) = electrode placed correctly
- \( W \) = wrong placement

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Percent correct placement: ______________

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

**Notes:**

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
**CORE CRITERIA 2: BLEED RAIL INSENSIBILITY — Conventional and Religious**

Any sensible animal on the bleed rail constitutes and automatic audit failure. 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. 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

**Note signs of sensibility observed by animal number:**

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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. (See page 54).
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 by a person into the restrainer. Electric prod use should be 5% or less and only at the restrainer entrance.

\[
\begin{array}{c}
X = \text{moved quietly without an electric prod} \\
P = \text{electric prod used without apparent reason} \\
B = \text{electric prodded in response to balking}
\end{array}
\]

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Percent prod use ______________  Percent balking ____________

### Notes:

______________________________________________________________________________________________
______________________________________________________________________________________________
______________________________________________________________________________________________

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CHAPTER 5 | SHEEP SLAUGHTER AUDIT FORM  CONTINUED
### CORE CRITERIA 4: ANIMALS FALLING DOWN — Conventional and Religious

3A: 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 criteria and slipping is a secondary criteria. One percent or fewer sheep may fall. A fall is recorded if the body touches the floor. Even slight slipping should be noted.

- **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:  
______________________________________________________________________________________________
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**Notes:**
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______________________________________________________________________________________________
______________________________________________________________________________________________
3B: If you are also using the transportation audit the same day, you may transfer your score here. Count the number of sheep that slip or fall during unloading. In plants where a large truck holds more than 100 animals, a minimum of two vehicles should be observed. For all species, an equal number of animals from each deck should be scored. Vehicles should be scored in the order of arrival at the unloading ramp. In small plants where vehicles are not continuously unloaded, a single vehicle should be scored. If no vehicle arrives, the score sheet is marked “unloading not observed.” One percent or fewer may fall.

\[ X = \text{no slipping or falling} \quad F = \text{fell} \quad S = \text{slipped} \]

**Animal Number:**

<table>
<thead>
<tr>
<th>1</th>
<th>11</th>
<th>21</th>
<th>31</th>
<th>41</th>
<th>51</th>
<th>61</th>
<th>71</th>
<th>81</th>
<th>91</th>
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<td>80</td>
<td>90</td>
<td>100</td>
</tr>
</tbody>
</table>

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

Note where falling occurred: ________________________________________________________________

Notes:

_________________________________________________________________________________________
_________________________________________________________________________________________
_________________________________________________________________________________________
CORE CRITERIA 6: WILLFUL ACTS OF ABUSE/EGREGIOUS ACTS — Conventional and Religious

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; 7) animals frozen to the floor or sides of the trailer; or 8) lifting an animal by the wool or throwing a sheep.

Any willful act of abuse observed?  Yes or No

If yes, detail incident(s) below:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________
Notes:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

CORE CRITERIA 7: ACCESS TO WATER — Conventional and Religious

Observe access to water. Do animals in all holding pens held for a period of 30 minutes or longer have access to clean drinking water?

Yes ___________  No ___________

Notes:
________________________________________________________________________________________________
________________________________________________________________________________________________
________________________________________________________________________________________________

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 Criteria 1: Effective Stunning</td>
<td>96% or greater accuracy — captive bolt</td>
<td></td>
</tr>
<tr>
<td></td>
<td>99% or greater accurate placement electric</td>
<td></td>
</tr>
<tr>
<td>Core Criteria 2: Bleed Rail Insensibility</td>
<td>100% insensible</td>
<td></td>
</tr>
<tr>
<td>Core Criteria 3: Falls</td>
<td>3A: Truck Unload 1% or fewer falls</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3B: In Plant 1% or fewer falls</td>
<td></td>
</tr>
<tr>
<td>Core Criteria 4: Prod Use</td>
<td>5% or less</td>
<td></td>
</tr>
<tr>
<td>Core Criteria 5: Willful Acts of Abuse</td>
<td>No willful acts of abuse</td>
<td></td>
</tr>
<tr>
<td>Core Criteria 6: Access to Water</td>
<td>Yes – water provided</td>
<td></td>
</tr>
</tbody>
</table>

Plant passed all core criteria? Yes _______ No _______

Auditor Signature: ______________________________________ Date: ____________________________________
Secondary Audit Items: Sheep

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.

1. 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?
   
   Yes _________  No _________

2. Does the facility have a protocol that is written or widely understood for handling non-ambulatory animals?
   
   Yes _________  No _________

3. Are facility personnel trained in handling non-ambulatory animals?
   
   Yes _________  No _________

4. Do employees inspect the facility weekly and document for repair any damage or sharp protrusions that may injure animals?
   
   Yes _________  No _________

5. Does the facility provide special training to stunner operators to ensure proper equipment use and stunning efficacy?
   
   Yes _________  No _________

6. Does the facility have a protocol for stunning equipment maintenance?
   
   Yes _________  No _________

7. Does the facility train its personnel and have a written procedure or protocol about how to handle a sensible animal on the bleed rail?
   
   Yes _________  No _________

8. Is non-slip flooring provided throughout the facility?
   
   Yes _________  No _________  Slipping score (3% or less):

9. Are non-electrical devices the primary tool used to move livestock?
   
   Yes _________  No _________
10. Do holding pens appear to be overcrowded?
   Yes ________  No ________

11. Do crowd pens generally appear to be less than 75 percent full?
   Yes ________  No ________

12. If mounting behaviors were observed, are animals that chronically mount removed from the pen?
   Yes ________  No ________  NA ________

13. Does the company perform internal audits at least weekly?
   Yes ________  No ________

14. Does the company have an emergency management plan for livestock on file?
   Yes ________  No ________

15. The percentage of animals that slipped:
   Percentage in stunning area: _________________
   Percentage during truck unloading: _________________

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:

_______________________________________________________________________________________________
_______________________________________________________________________________________________