



UNITED EGG PRODUCERS CERTIFIED PROGRAM

2016 PROCEDURE FOR CONDUCTING UNITED EGG PRODUCERS ANIMAL HUSBANDRY AUDITS OF CAGED AND CAGE FREE LAYERS

EXHIBIT I

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I. Purpose

The purpose of this instruction is to establish audit procedures and outline the roles and responsibilities of auditors, egg producing companies, and United Egg Producers (UEP) as they relate to the on-farm assessment of the UEP's Animal Husbandry Guidelines for U.S. Egg Laying Flocks.

II. Authority

The verification criteria are provided in accordance with these procedures and the Agricultural Marketing Act of 1946, as amended.

III. Audit Scope

The scope of the UEP Animal Husbandry Guidelines and required audits is limited to the housing, handling, and transportation associated with layers flocks and the beak trimming, handling, and transportation of pullets housed in cage and cage free systems. Auditors will visit pullet houses only when they are part of the layer facility and program activities such as beak trimming, handling, and transportation are being conducted concurrently with the audit. Program conformance for pullets not housed at the layer facility will be verified through a review of company records and documentation or a Certificate of Conformance (COC), when applicable.

IV. Annual Audit Frequency

A company desiring to be recognized as “United Egg Producers Certified” must successfully pass an audit. To maintain certification, the company must continue to meet all guidelines and pass future annual audits. To assure compliance with the Animal Husbandry Guidelines, each UEP Certified Company will be audited annually by independent auditors (USDA/AMS, Validus or FACTA), designated and approved by UEP. Failure to have the annual audit or passing a re-audit by the UEP deadline of October 31, may be cause for termination of the company’s UEP Certified status.

A. New Applicants

New applicants to the UEP Certified Program, including all production facilities and their respective houses that may be caged or cage-free, must submit to an Animal Husbandry audit within the first year under the current applicable program guidelines and current audit procedure.

B. Approved Certified Applicants

Once a company with multiple facilities has been audited, approved, and recognized as certified, the subsequent years' audit of facilities and houses shall be reduced by 50%. Regarding the selection of facilities, auditors will total separately those facilities under a company that specifically have caged systems, cage-free systems, or both caged and cage-free systems, then, once totaled separately, will randomly select 50% of each to be audited (see Example 1 below). Following this process will ensure the UEP of conformance to each type of system (cage and cage-free), if, in fact, companies have both types of systems while maintaining the 50% reduction.

Furthermore, the production facilities' houses selected will be reduced by 50%, and computed similarly for caged and cage free systems. This means that if a production facility has both cage and cage free houses, auditors will total the number of caged and cage free houses, then randomly select 50% of each type to be audited. If a production facility has one caged house and one cage free house, then both will be selected to be audited annually. If a certified company exclusively has caged houses and decides to add or convert houses to cage free (or vice versa), all of the cage free houses would be audited while the caged would be audited at 50%. In every case, the auditor will round up if the number of production facilities or houses is an odd number to maintain the 50% level. The layer house(s) identified will represent the house(s) selected for on-site verification of flock density records and production practices.

C. Audit Frequency Examples

Example 1:

If a company that was previously certified has 9 production facilities, of which 3 exclusively have caged systems, 3 exclusively have cage-free systems, and 3 have both cage and cage-free systems, the auditor would randomly select (rounding up and using the 50% level) 2 caged facilities, 2 cage-free facilities, and 2 facilities having both caged and cage-free systems to be audited.

Example 2:

If company X having 10 production facilities, each with 2 caged houses, applies to the program in 2009 and successfully passes all facility audits including all houses at each facility, then company X will only be required to have 5 facilities and 1 caged house per facility audited in 2010.

Example 3:

If a company has only one facility, then that facility must be audited annually.

Example 4:

If a company maintaining only caged houses has been certified in the program for multiple years adds three cage free houses, the audit frequency would be such that the caged houses would be

audited at 50%, while each of the added cage free houses would need an audit in the current year. In the subsequent year, and so long as conformance was demonstrated the previous year, the auditor would total and select the caged and cage free houses separately and randomly select the houses at the reduced 50% level.

D. Selection of Facilities

All companies and/or facilities that are identified with a UEP certified number shall be audited annually. For companies with multiple facilities that extend beyond the geographical area of a Livestock, Poultry, and Seed Program's Federal-State Office, a representative of the Audit Section will randomly select the facilities to be audited. The identified facilities will be provided to the applicable Federal-State Supervisor through the Regional Director. When all facilities of a company are located within the geographical area of responsibility of a Federal-State Office, that office will randomly select the facilities to be audited. Validus and FACTA, as approved audit service providers, use the same process. Both audit firms will attempt to rotate auditors every three years to verify consistency among the auditors

V. Definitions

1. **Auditing Firm or Audit Service Provider** - Third-party audit service provider (USDA, AMS, Livestock, Poultry and Seed Program, Validus or FACTA) requested by a company to conduct the UEP Animal Husbandry audits.
2. **Auditor** - Qualified individuals employed by the auditing firm to conduct Animal Husbandry audits.
3. **Certified Company** - Corporate headquarters for one or more egg production facilities that has received Animal Husbandry Certified status from the UEP. This includes all facilities and affiliates that are controlled or managed by the company.
4. **Facility** - An egg production location or site. This includes all layer houses on each site or adjoining sites owned and operated by the same management team.
5. **Layer House** - An enclosed or open shelter that provides food, water, and protection for an established number of layers.
6. **Contracted Source** - A service entity contracted by the company to provide various production services such as beak-trimming, vaccinating, handling, and transporting.
7. **Certificate of Conformance (COC)** - A documented statement provided by a contracted source stating that the employees performing the services have received the proper training and are routinely monitored to assure that the activities are conducted according to the UEP's Animal Husbandry Guidelines.
8. **Re-Audit** - An audit limited in scope to verifying conformance with items identified in an initial audit as nonconforming.

9. **National Audit Supervisor** - The supervisor in charge of the verification service of the Livestock, Poultry, and Seed Program, Agricultural Marketing Service (AMS).
10. **Second Audit** – An additional audit after the initial yearly audit of a company’s production facility requested by UEP (all associated costs paid by UEP).

VI. Re-Audits

When a nonconformance is observed that results in a failed audit (i.e., failure to comply with the established company policy/procedures described in the Documented Production Control System or total score points below 180), the company may elect to correct the nonconformance and request a re-audit rather than going to arbitration. When this option is used, companies are to make all corrections and request a re-audit. Companies can only request one re-audit, which must be scheduled for completion within 30 days of the original audit with the original audit service provider. If a re-audit results in a failure, a committee composed of a UEP staff member and two other appropriate non producers will be organized to review the situation and to review the results of the failed re-audit. The future status of the UEP Certified member will be determined by the special committee. Re-audits will be limited in scope to items noted as nonconforming on the original audit. However, if when conducting a re-audit, the auditor observes a nonconformance relating to checklist items not included in the scope of the re-audit, they are to discuss the issues with the company representative and request immediate corrections.

For scoring purposes, the auditor is to use the scores from the original audit for conforming items plus the scores for the re-audit items. Then, calculate the final score and check either pass or fail as stated in the paragraph above. During a re-audit, auditing procedures and reporting will be the same as for the original audit. When a company does not agree with the results of the audit or re-audit, they may request an official appeal with the local Federal-State Supervisor or Regional Director. Appeal procedures and policies are outlined in the current Regulations Governing the Voluntary Grading of Shell Eggs, 7 CFR Part 56. Results of the appeal will supersede the results of the original audit. If the nonconforming issue(s) continue to be unresolved, the company may proceed to the UEP Dispute Resolution process.

VII. Responsibilities

A. Auditors

1. AMS, Livestock, Poultry and Seed Program, Validus Verification Services and FACTA

The U. S. Department of Agriculture, Agricultural Marketing Service (AMS), Livestock, Poultry and Seed Program provides voluntary egg and poultry grading, certification, and auditing services to companies that request and pay for them. These services often include audit verification activities to monitor certain requirements or specified conditions established by the

applicant. The Livestock, Poultry and Seed Program, Validus and FACTA auditors will conduct the UEP Animal Husbandry audits according to established policies and procedures.

2. Scheduling the Audit

UEP has requested that audits be announced; however, this means that the auditor performs the audit within 7 days of notifying the company. Companies that are active members in the UEP Certified Program must be continually adhering to the UEP Animal Husbandry Guidelines and therefore always be ready for an audit. The applicable Federal-State Supervisor or designee will contact each company identified on the list of Registrants provided by UEP to schedule the audit at the production facility(s). The Federal-State Supervisor or designee shall not wait for the company or production facility to contact them first. The 7 day notice will allow the facility time to gather the necessary records for review and ensure applicable management representatives are present. The records shall cover program activities back to the previous audit or from when the company initiated the program.

When facility management requests to reschedule an audit or is unresponsive to calls made by the auditor, the auditor will follow the instructions on the Audit Reschedule Form (Exhibit XIII) to notify UEP and also report the issue through appropriate supervisory channels to a representative in the Audit Section in the National Office.

3. Trained Auditors

Only Federal-State supervisors, their assistants, State employees, Validus, or FACTA auditors who have received formal audit training are to complete audits. Auditors are to complete the required training under the supervision of a qualified lead auditor. Additionally, they are to review and understand the provisions of all reference material that has been provided and included with this instruction.

Each auditor is to be provided a copy of the UEP's video or CD, Animal Husbandry Guidelines for the U.S Egg Industry. Additionally, each auditor is to view and become thoroughly familiar with the guidelines and procedures demonstrated in the UEP's most recent video or CD that explains the Animal Husbandry Guidelines for the Egg Industry. Both items are to be used as references for determining program conformance.

4. Bio-security Protection

For bio-security purposes, the Livestock, Poultry and Seed Program will provide each auditor with single-use disposable outerwear including coveralls, boots, and head coverings to be worn when entering layer houses. Additionally, respirator masks (particulate matter and organic gas filtration) and eye protection will be supplied and should be worn at the discretion of the auditor.

In addition to wearing disposable outerwear, auditors are to follow the bio-security protocol established by the company for each facility visited. Upon approval by the company, multiple audits at more than one of the company's facilities may be scheduled and completed during the same day. Multiple audits at production facilities owned by separate companies are not to be scheduled or conducted on the same day. Prior to entering a bio-secure area of the production

facility, auditors are to don the disposable outerwear (including boots, respirator mask, eye protection, and head coverings) provided by the Livestock, Poultry and Seed Program. Companies may provide disposable bio-security or safety equipment and charges will be reduced accordingly. Respiratory masks provided by a company must meet or exceed AMS standards and be capable of filtering low levels of organic gases (ammonia).

To assist a company in maintaining their biosecurity plan, when an auditor learns that one or more houses at a production facility are environmentally positive for Salmonella Enteritidis (SE), those houses will be part of the audit scope. However, the order in which the houses are audited on the farm will be customized as follows:

- 1) Auditors will audit SE negative houses before auditing SE positive houses.
- 2) Auditors will audit houses with young flocks before auditing houses with older flocks.
- 3) Auditors will change biosecurity garb between each house whether the houses are environmentally SE positive or negative. This will mitigate the likelihood of the auditors acting as a vector to further spread SE on the farm.

NOTE: number 1 above has precedence over number 2. For example, if SE negative houses have an older flock and the SE positive houses have a younger flock, the auditor will audit the SE negative houses with the older flock first.

5. Charging for the Audit

Companies will be charged for the cost of conducting the annual audits or re-audits, if applicable, at each facility. The cost of the audit will include audit time, travel time, per diem, outerwear, and any other related expense. Expenses for time will be based on the current Livestock, Poultry and Seed Program's Poultry Grading Division audit fee rates published in the Federal Register.

In addition, associated costs will be recorded on the audit checklist. If the facility audit includes both caged and cage free layers, the total associated costs will be recorded on the checklist for caged layers only.

The only section to be filed with UEP is the section addressing the new layers housed with UEP. In this case, the pre-audit time to review these records will be charged to the company accordingly. Auditors shall include travel time as audit time on the checklist. An additional administrative charge of up to \$20.00 will be assessed for each audit to cover the cost of supplies necessary to maintain bio-security and safe working environment for auditors, unless protective clothing is provided at the farm. This administrative charge may increase if additional outerwear is needed due to houses at the production facility being positive for SE.

The following charges will apply as applicable:

- Outerwear \$5.00
- Respirator \$3.00
- Eye protection \$2.00

6. Conducting the Audit

The objective of the audit is to verify company conformance to the UEP Animal Husbandry Guidelines for U.S. Egg Laying Flocks. This is fulfilled by conducting a thorough review of the documentation, records, and husbandry practices for each applicable house at a selected facility. In addition, auditors are reminded of the importance of observing the implementation of husbandry practices while touring the production facility. The auditor will complete the audit checklist(s), audit worksheets, and other supporting documentation as outlined in this instruction.

B. UEP

1. Program Development and Administration

The UEP is an agricultural cooperative whose members produce a substantial portion of the eggs consumed in the U.S. In order to improve the welfare of their egg-laying flocks, the UEP has developed production and rearing guidelines. To ensure compliance with these Animal Husbandry Guidelines, the UEP has requested the Livestock, Poultry, and Seed Programs, Validus or FACTA auditors conduct independent third-party audits to verify program conformance. A successful audit will entitle a company to receive or maintain UEP Certification for this program and allow them to market their product as such.

The UEP has been authorized by its members to develop the UEP Animal Certified Program and to provide the administrative system necessary for it to function properly. The UEP will maintain a list of completed audits performed at select facilities for each certified company. The UEP will provide this list, or any revisions to such list, to a representative of the Audit Section early in the calendar year. The UEP may elect to identify a company facility for a second audit during the calendar year for program monitoring purposes. All associated costs for the second audit will be charged to the UEP. The request for a second audit of a company's production facility will be provided by UEP to a representative of the Audit Section.

2. Dispute Resolution Process

The UEP acts as the administrator of the Animal Husbandry Program but does not participate in determining producer conformance or nonconformance with the Animal Husbandry Guidelines. Verifying conformance to the Animal Husbandry Guidelines lies solely with the trained auditors chosen to lead the audit. Unresolved audit-related issues that remain questionable will be submitted to arbitration under the UEP Dispute Resolution Process.

3. Quarterly Compliance Reports

Upon request of the auditor, the facility representative shall provide copies of all Quarterly Compliance Reports completed by the facility since the previous calendar year's audit and any correspondence from the UEP to the company relative to the reports. The quarterly compliance report will be completed in its entirety and maintained onsite for review during an audit. The only section to be filed with UEP should be that which addresses new layers housed. The audit

results are classified as confidential and release of any portion of the audit results is administered by UEP. Livestock, Poultry and Seed Program will not retain records of the audits performed.

At the beginning of each year, the UEP will provide the Livestock, Poultry and Seed Program with an initial list of companies that 1) identify the name and address of each production facility, and 2) identify any new registrants in the program that requires an audit. As the list is updated throughout the year to include additions such as new registrants, UEP shall submit an updated list to Livestock, Poultry and Seed Program.

4. Audit Completion Date

The UEP has set an audit completion deadline of October 31st. This means that annual UEP animal husbandry audits must be completed by this date. On November 1, UEP staff will notify any UEP Certified Company that has not completed their annual audit. It is strongly recommended that auditors schedule audits throughout the year to minimize having to complete so many in the later months of the year. Although it is the responsibility of the auditor to schedule each announced audit, the production facility representatives being audited, or auditee, also shares in the responsibility to be audited prior to the audit completion date. This responsibility includes readiness and agreeing to be audited in a timely manner.

5. American Humane Association and Humane Farm Animal Care

The UEP has (HFAC) to accept the audit results of an AHC or HFAC audit as being equivalent to or exceeding UEP guidelines, provided that a company meets the requirements for implementing UEP animal husbandry guidelines on 100% of their facilities (company owned & contracted announced an agreement with both the American Humane Association (AHC) and Humane Farm Animal Care) in cage-free houses. Therefore, cage free layer houses audited and certified to AHC or HFAC program requirements will also be recognized as UEP Certified. This will reduce audit redundancy and/or cost at the same facility.

C. Companies

1. Implementation of Program

For a company to be recognized by the UEP as Certified under the Animal Husbandry Program, the company must commit to implementing the UEP Animal Husbandry Guidelines for Egg Laying Flocks at all of their production facilities and contracted producers, regardless of how or where the eggs may be marketed. The commitment is intended to be inclusive of all company entities, affiliates, etc. that the company owns, manages, or controls. Companies must provide auditors the names and locations of all production facilities and sources of shell eggs that are processed and labeled with the UEP Certified logo.

Companies are responsible for assuring that the location of all related production facilities has been reported to UEP, and the annual audit is completed by October 31st of the calendar year. In addition, if a company is contacted by the auditor, they must return the call for an audit within

five business days. Companies must submit to the auditors request for an announced audit. The auditor shall notify UEP and AMS, Audit Section by using Exhibit 13 if the company 1) does not submit to the request for an audit, 2) reschedules an audit, 3) delays an audit, and 4) does not return a message left by the auditor to schedule the audit. For companies with multiple facilities, refer to Section V, Frequency of Audits, for the procedure used to select the facilities requiring an annual audit.

2. Control Commingling

Shell eggs purchased from non-certified producers or companies must be properly identified and positively segregated from eligible program eggs at all times before and after processing. The company will provide a written detailed description of these segregation and identification procedures. Additionally, purchase and sales records identifying the UEP certified company must be accessible for review by the auditor. If this segregation is not clearly evident by observations and records, the auditor is to report the irregularity immediately to the appropriate Regional Director who will forward it to a representative of the Audit Section. The Audit Section representative will, in turn, report the information to the appropriate UEP representative for enforcement action.

3. Certificates of Conformance

Companies frequently utilize contract sources to perform beak trimming or other services such as handling and transportation. In this case, a company may provide a Certificate of Conformance (COC) for these services rather than providing detailed records of annual employee training and monitoring. At a minimum, a COC must include the following:

- Name and address of the contracted source of the service
- Detailed description of the service provided
- Detailed description of the training provided to the employees performing the service (for example, "All employees are shown the UEP Animal Husbandry Guidelines for the Egg Industry video")
- Name of the company representative responsible for verifying the employee practices (whether contract services or company employees) conform to all applicable guidelines when services are provided at that facility
- Description of the frequency that employees are monitored (at least daily during the applicable activity)

When a COC is utilized, the contractor is responsible for maintaining records and documents supporting the COC statements. Exhibits X and XI have been provided as examples of acceptable COC's. Companies are responsible for providing supporting documentation or COC's, and when applicable, assuring that outside sources of shell eggs and contracted services such as handling, transportation, and beak-trimming are provided by companies adhering to the UEP Animal Husbandry Program.

In order to avoid major disruptions in the production and marketing of shell eggs, the UEP's Animal Husbandry Guidelines allow for certain portions of the program to be phased-in over a specified period of time. For a company to be in conformance with the program guidelines, they must demonstrate conformance with each phase of the program. Additionally, no evidence of prohibited backfilling of cages, commingling of UEP certified and non-certified eggs may be present, or employing feed withdrawal. All remaining questions listed in Section I are applicable and are to be included in the audit. Since large layer houses may have multiple hatch dates, the official hatch date of the layer house will be recognized as the date on which the majority of the layers were hatched. Additionally, all layer houses will be subject to and audited for checklist items listed under Beak Trimming, Molting, and Handling and Transportation. All items listed on the checklist that are not applicable because of the phase-in time frames will be awarded the corresponding points.

4. Auditor Safety

Companies are responsible for assuring that each layer house is a safe working environment for the auditor to conduct verification activities. The layer house must be free of unsafe conditions that may affect completion of the audit. For example, walkways must be 1) free of operating conveyors, 2) safe for passage, and 3) have adequate light. The auditor must be accompanied by a company representative at all times. A safe step ladder or means to inspect and record the results of observations of cages at the top of the cage column must be provided.

No exposed electrical wires that present a potential hazard may be present. The auditor retains the authority to determine acceptability of the environment. When evident hazards are present, the auditor may refuse to complete the audit until satisfactory corrective action is taken to eliminate the hazard(s). If the company does not implement corrective action, the auditor will refuse to complete the audit and contact the applicable Federal-State Supervisor or Regional Director. The Regional Director will immediately inform an Audit Section representative who in turn will contact a UEP representative regarding the issue(s).

5. Equipment Supplied

Companies are responsible for providing auditors with (1) a flashlight for examining cages and layers (if applicable), (2) equipment to monitor the concentration level of ammonia, (3) equipment used to routinely determine light intensity, (4) a tape measure graduated to the necessary increments for measuring cage and other space criteria, and (5) a safe means to inspect randomly selected cage columns in layer houses.

6. Uncontrollable Circumstances

In situations where it appears a company may fail an audit due to uncontrollable circumstances such as a disease outbreak, the company must provide written detailed information identifying 1) cause, 2) date(s) of the occurrence, 3) corrective or preventative action implemented, and 4) verification by facility management demonstrating continued conformance with the UEP guidelines. For example, the average cage space may be exceeded or evidence of backfilling a

layer house may be necessary to address the disease outbreak situation. The auditor will review this documentation during the audit to determine overall program conformance and pass the facility if applicable. If the information to support such circumstances is not available during the audit, the company fails the audit and must request a re-audit.

7. Availability of Records and Documentation

Companies are 1) to maintain records and documentation that will be used by auditors as the basis for determining program conformance, and 2) provide those records to the auditor upon request. These records include purchase and sales invoices identifying the UEP certified company that was generated since the previous audit. At a minimum, these records must include the following for each company facility or contract producer:

- Name, location, and number of layer houses
- The size of cages, the number of cages per each house, the total inches of cage space for each house and the layers per cage and layers per house
- Method for identifying vertical cage columns in each layer house
- The date chicks were hatched for each layer house
- The date(s) pullets were moved into the layer house
- The number of pullets placed into the layer house
- If the pullets were beak trimmed, the date(s) this service was performed
- A record of the date(s) of training and training procedures for beak trimming and animal handling
- If layers are molted, the dates this process was performed and the molting practice(s) used
- If handled and transported, the date this service was performed
- Other records that support the line items of the audit form
- Copies of the Quarterly Compliance Report
- Date, class, and quantity of eggs purchased and sold including the name and address of supplier or purchaser
- Copy of completed audit checklist from previous audit
- COC's for all applicable services provided by contracted sources

VIII. Opening and Closing Meetings

When auditors arrive at a facility and prior to beginning audit activities, auditors will conduct an opening meeting using Exhibit 14 – Opening and Closing Meeting Checklist as a guideline. Because communication is important to all stakeholders in any audit, opening meetings begin the communication process by creating a positive climate and rapport between the auditor and the auditee. In addition, opening meetings serve to set the ground rules for conducting the audit and provide an opportunity for the auditee to ask questions.

Upon completing the audit, the auditor will thoroughly review and discuss all audit findings with company representative(s) in a closing meeting using Exhibit 14 as a guideline. In addition,

auditors will convey positive feedback to the company representative(s). The audit findings reported on the completed checklist(s) will be provided to the company. Record the name and title of the facility representative with whom the closing meeting was conducted. In addition, auditors shall check the box on the first page of each audit checklist confirming that items listed in Exhibit 14 were discussed with the auditee (Opening and Closing Meeting Checklist)

IX. Completing the Checklist

A. Using the Checklist

The current checklist(s) and worksheets shall be used by the auditor in assessing each facility's conformance with the UEP Animal Husbandry Program. Although many houses at a facility may be included in the sample selected, the audit results will be recorded on the checklists and worksheets as referenced above. If any of the houses indicate a nonconformance, the auditor shall mark "no" for the appropriate worksheet item and then record specific details of the nonconformance, including the house number in the comments section. Once completed, the information gathered from the Layer House Worksheet is to be transferred to the appropriate checklist. The checklist is divided into numbered sections. Each section lists questions that represent a specific husbandry practice identified by the UEP as being relevant to animal welfare. In addition, each question is pre-assigned a point score with the exception of the assessment of backfilling and evidence of the commingling of UEP certified and non-certified eggs (Refer to Section III, Molting for documenting nonconforming evidence for the use of feed withdrawal molting practices).

B. Assigning Points

Using the interpretation provided in these procedures, the auditor is to evaluate audit criteria for each question and assign the appropriate points. When audit criteria are fulfilled, assign all points for that question. For nonconforming questions, no points are assigned. There are no partial points awarded for any question on the checklist. Refer to the latest edition of the UEP Animal Husbandry Guidelines for specific production time frames relative to backfilling. If evidence of backfilling or commingling of eggs is observed, mark "NO" on the checklist and provide detailed comments in the remarks section. When a facility fails an audit due to nonconformances associated with backfilling criteria or the commingling of certified and non-certified eggs, the auditor will immediately notify a representative of the Audit Section through appropriate supervisory channels.

C. Failing Audit Criteria

Points are totaled in each section separately and then entered on the first page of the checklist. The overall audit score can then be calculated and the audit status (pass/fail) of the facility determined. Not meeting the following audit criteria will result in program failure: 1) cage or cage free space requirements as specified by phase-in dates listed in the Animal Husbandry Guidelines, 2) evidence of backfilling a layer house, 3) evidence of the commingling of UEP

certified and non-certified eggs, 4) employing feed withdrawal molting practices) a score point total less than 180, will result in program failure, and 6) requirements of the Documented Production Control System, if option 1 is selected. If the facility fails the audit, the reasons for failure are to be reported through appropriate supervisory channels to a representative of the Audit Section. If auditors require assistance in interpreting specific program items and determining conformance, they are to contact the appropriate Regional Director who in turn will consult with a representative of the Audit Section for technical guidance.

Upon completion of the audit, auditors are to document the results on the cage or cage free audit checklist and assign a final score. To calculate the audit score, transfer the total number of points awarded for each section on the checklist to the section identified as “Scoring System.” Place the sum of these figures at the bottom of the column. Additionally, the auditor is to 1) assign a final audit score, 2) check either “Pass” or “Fail” based on the minimum score of 180 points for caged and cage free, conformance with the average space allowance, and applicable criteria stated in the UEP guidelines, and 3) if checked “Fail,” then denote the reason for the failure. Although each applicable house (cage or cage free) at a facility location will be audited, the facility may pass an audit by meeting the caged requirements but fail the cage free requirements. A company becomes certified when all production facilities and their respective houses pass the audit. In other words, if any layer house fails the audit, the entire facility fails. However, only companies achieving a passing audit score will be authorized by the UEP to continue to use the UEP Certified logo on their packing and/or packaging material and market their eggs as certified.

X. Distribution of the Audit Checklist

A. Submitting the Checklist

The completed UEP audit checklist (Exhibits II, III, and IV), including checklists from re-audits, are to be submitted to the audit program coordinator within approximately 2 business days or as soon as practical after the auditor returns to the office. If items on the audit checklist are identified that need clarification, the auditor or audit program coordinator will contact each other to discuss the items; however, if no items are identified then the auditor will complete the audit checklist distribution process by providing the audit checklist to facility management and UEP.

B. Data Recorded to Manage Program

In regards to UEP audits performed by USDA, the audit program manager will record specific information from the audit checklist into a spreadsheet to assist in managing the program. The information will be limited to: 1) name and address of the UEP registered company, 2) name and address of the production site, 3) audit date, 4) auditor’s name, 5) cost of the audit, 6) overall audit score, and 7) audit pass/fail status. Once the information has been entered into the spreadsheet, the Audit Section staff member is to destroy the audit checklist.

C. Sending the Checklist to UEP and Company

Results of all audits and re-audits shall be provided to the company and mailed to the UEP within approximately 2 business days or as soon as practical after the auditor has returned to the office. UEP is to specifically receive 1) the approved checklists (caged or cage free, as applicable), 2) the assessment of measures implemented to prevent commingling, and 3) cage space verification worksheet(s).

A UEP fax number is provided should it be necessary to expedite transmission of audit results.

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Audit checklist(s) and related documents will not be retained for reference by the Livestock, Poultry and Seed Program. Once the distribution is complete, the auditor will destroy the audit checklist and any related documents pertaining to the audit.

XI. Caged Layers Checklist Questions and Procedure

Before conducting the audit, the auditor shall review the facility's Quarterly Compliance Reports to determine the number of applicable layer houses and flock size. Auditors are to request and review the records for all layer houses and complete the Layer House Worksheet and the Worksheet(s) for Cage Space Verification (this worksheet completed for each caged layer house examined) for the facility. The worksheets are designed to gather information pertaining to the layer houses examined that will be used by the auditor in completing the audit checklist(s).

Following a review of the company's records for each layer house at the facility, the auditor will employ the procedure for verifying the facility's process of populating the layer house for conformance with the UEP Guidelines for Average Cage Space Allowance. When a facility also contains cage free layer houses, refer to the Section XI in this procedure to complete the Cage Free Layers Audit Checklist (Exhibit III).

A. Section I - Housing and Space Allowance

1. Is there evidence of prohibited backfilling?

Effective February 1, 2005, the UEP established a policy prohibiting the backfilling of layer houses to replace normal mortality in a flock. One exception to this policy is backfilling of a layer flock in the case of catastrophic mortality. A catastrophic event includes a natural disaster, a disease problem, or other events beyond the control of the producer which results in a minimum of 6% loss of the flock within a short period of time. Under these defined circumstances, permitted backfilling shall be 100% of the number of layers at the time of the catastrophic event. The event causing the excess mortality, calculations describing the number of layers replaced, and supporting information relative to the flock must be documented in detail on the UEP Quarterly Compliance Reports and facility flock records. The UEP policy also provides

for a house which is not completely filled at the time of initial population to be considered an incomplete flock. Facility management may, at a later date, complete the population of the cages in the house that were identified as empty after the initial placement of layers (commingling of young pullets or older layers in cages with established layers is not permitted in the guidelines). Replacement of the mortality that may have occurred in an incomplete flock during the period since the initial population of the house is prohibited and will result in the facility failing the audit.

The auditor will review layer flock records to assure that the company complies with this policy. The number of layers placed in a house as stated on the facility house records (including mortality records) should correlate with the numbers declared on the UEP Quarterly Compliance Report. Any discrepancy in the records indicating unacceptable backfilling constitutes failure of the audit. Following review of records, the auditor will examine the selected layer house. During the verification process, the auditor will examine various cages throughout the house. Observation of young pullets in an established house of older layers or no deviation, according to company records, in the actual number of layers in cages in a house with documented mortality will be considered evidence of backfilling. When the auditor determines evidence of backfilling that does not comply with the established program policy, the element on the checklist (Section I.1) will be marked "YES" and detailed documentation provided in the remarks section. The failure of a facility audit as a result of unacceptable backfilling will be reported upon completion of the audit to the Regional Director and to a representative of the Audit Section.

2. Is there evidence of commingling eggs (i.e., marketing non-certified eggs as certified eggs, and caged as cage free or organic eggs)?

When companies obtain or purchase shell eggs from non-certified sources, the auditor must verify that the written process implemented assures that non-certified eggs are positively segregated from certified product and caged are positively segregated from cage free or organic eggs. This verification process is to include an observation of the facility's identification and segregation process or procedures and a thorough review of records pertaining to purchases and sales of all non-certified eggs. Any irregularities noted that management cannot satisfactorily explain will result in the facility failing the audit. In this case, the results of the audit and the reasons for failure are to be reported through appropriate supervisory channels to an Audit Section representative in the National Office. Exhibit IV, Verification Checklist for the Assessment of Measures Implemented to Prevent Commingling of UEP Certified and Non-certified Eggs, must be completed for each facility and mailed to UEP with the other documents identified by this instruction.

In facilities designed with the capability to commingle eggs from flocks that are UEP certified and/or purchase eggs from a source that is not certified, or eggs from caged systems with eggs from cage free or organic eggs, the auditor will determine the maintenance of proper identification and segregation during processing and storage by reviewing written procedures, records (such as purchase and sales records), observations, and/or interview. Any evidence of the commingling of certified and non-certified eggs, caged with cage free or organic eggs constitutes failure of the audit. The auditor will mark the element "YES" for question 2 on the checklist and provide detailed documentation in the remarks section. Failure of the audit as a

result of evidence of commingling will be reported following the same procedures as outlined above for backfilling.

Questions 3a. and 3b.

Under question 3a below, companies have the choice of two options, which when chosen will be the method the auditor will use to verify the house average cage space per layer. The two options are 1) Verification of a Documented Production Control System or 2) Verification of Average Cage Space.

Question 3b specifically addresses a house which, if equipment was installed after December 31, 2003, and layers were placed after August 1, 2008, then auditors will verify the cage space per layer. This question has no correlation with question 3a or either option.

3. a. Does the layer house provide the house average cage space?

The dimension of the cages (expressed in square inches) installed in the layer house and the total number of cages within a house may be determined by a review of company documents and construction or equipment specifications. An examination of all layer house records must be completed to assure conformance with documented information provided by the company. For verification of facility records, the auditor is to physically measure (to one sixteenth of an inch if applicable) the size (length x width) of a cage for each column inspected. To avoid disrupting the layers, this may be accomplished by measuring a cage at the end of a row provided that the cage size throughout the house appears to be uniform. The width of the cage is based on a perpendicular measurement of the distance from the front of the cage to the rear of the cage. If cages of different dimensions are observed when counting the number of layers per cage, verification of the dimensions of each type of cage and the cage total number of such cages in a house as stated on the facility records will be necessary. The total square inches of cage floor space within a layer house is to be calculated by multiplying the total number of populated cages by the number of square inches of floor space in each cage. The same procedure is to be conducted for each house examined.

The average cage space for each layer house examined will be determined by dividing the total square inches of cage floor space for the entire house by the number of layers at the time of housing (refer to Exhibit V for guidance). The resulting figure may be rounded to the nearest tenth of an inch to determine conformance. For example, 0.06 or higher will be rounded up to 0.1. The number of layers placed in the house will be obtained from company records. If the house is partially filled awaiting completion of the placement of pullets in identified cages as outlined in the UEP guidelines, only the floor space of the populated cages will be used in determining conformance with average cage space requirements for the layer house. Average cage space per layer must meet the requirements stated on the audit checklist for the applicable defined period. Note that the space allowance requirements are different for layers producing white eggs compared to those producing brown eggs.

Some companies may take several days to transfer pullets and fill a layer house. Also, pullets placed in large capacity housing may originate from multiple hatch dates. For identification

purposes, the layer house age will be recognized as the date on which the majority of the layers placed in the house were hatched.

If the results of the verification procedure indicate that a house(s) fails to meet the space allowance criteria, any re-audit for verification of space allowance must be conducted using the same option as applied during the initial audit. The re-audit will involve only those layer houses that failed the initial audit whether Option I or II is chosen.

Once the number of caged layer houses at a facility has been established, the auditor is to examine the records determining the number of vertical cage columns in each house. A vertical cage column consists of the cages from a single column from one side of a battery of cages (cage row). See Exhibit VII for an example of a typical layer house configuration. To verify the accuracy of the house records, the total number of vertical columns can be estimated by dividing the entire length of the cage section of the house by the width of a single cage and then multiplying by the number of rows. For example, if the house contains 10 rows that are 230 feet in length and the cages are 18 inches in length, then there are approximately 1,533 vertical columns in the house. However, this estimating procedure may not be practical in some houses when a row of cages is interrupted by equipment such as motors. The calculations are as follows:

$$\begin{aligned} 10 \times 230 \text{ feet} &= 2300 \text{ feet of cages} \\ 2300 \times 12 &= 27600 \text{ total inches} \\ 27600 \div 18 &= 1533.3 \text{ vertical columns} \end{aligned}$$

The process of identifying cage columns is completed for each house at the facility. Only populated vertical cage columns will be included in the verification of the records for populating the layer house to comply with the average cage space requirement. Once the total number of columns has been determined for the individual house(s) identified for verification purposes, the auditor assigns a number to each vertical column starting with the first column, left row, at the front of the house and ending with the last column, right row, at the rear of the house.

When a layer house is constructed with multiple levels that (normally 8 cages or more in a vertical column) provide a second walkway for inspection purposes, the auditor will identify the second level as separate cage columns for selection of sample columns for inspection purposes.

Prior to proceeding with the determination of conformance with space allowance, facility management must identify to the auditor the option selected for verification of average cage space in the layer house(s). The options available are outlined below.

- Option 1 - Verification of a Documented Production Control System
- Option 2 - Verification of Average Cage Space

a) OPTION 1 - Verification of a Documented Production Control System

The Documented Production Control System (DPCS) is one option for determining cage space allowance acceptability. A DPCS conforms to the UEP Guidelines when meeting the requirements of:

- Subsection 1 - Cage Sampling Requirements
- Subsection 2 - DPCS Records and Documentation Requirements

A DPCS outlines the policies and procedures necessary to provide the company the means of achieving its objectives and conformance with the UEP Certified Program. The audit verification procedures will assess the DPCS to assure that its content monitors the company's program to demonstrate conformance with the UEP Guidelines. By having an approved DPCS with a history of conformance to the UEP Guidelines, cage samples may be reduced, ultimately limiting the time involved in the audit verification process. Under the DPCS, companies maintain records and documents that will be used by auditors as the basis for determining program conformance and provide those records to the auditor upon request. The company is to provide all records generated since the previous audit. An auditor conducting the annual UEP audit will review the DPCS manual and records established in accordance with the system and randomly identify layer houses for onsite verification purposes (the number of layer houses examined will comply with the guidelines established by the UEP). All records from the date of population to the process of removing the layers will be subject to examination for each company's facility and/or contract producer.

The DPCS manual must provide a brief description of the company's policy established to demonstrate conformance with the UEP Guidelines. The company's policy will establish the appropriate procedures, training of personnel, recordkeeping, recording of corrective action, assign responsibility for monitoring the elements defined in the program, and establish a documented annual internal audit and assessment of the system. In addition, the DPCS manual must contain an index of the established procedures for reference purposes to assure that the most recent policy/procedure has been implemented.

The auditor will complete the audit checklist upon finishing a review of the DPCS and cage space allowance. Evidence of any non-conformances, whether failure to comply with the established company policy/procedures described in the DPCS or verification of conformance with UEP Guidelines, will be documented in the remarks section of the audit checklist. Failure of a company to maintain a DPCS demonstrating conformance with the UEP Guidelines will constitute failure of the audit. If a failure is noted, the company may elect to reevaluate their DPCS, document the corrective actions to resolve the non-conformances, and request a re-audit. As noted in Section VI, Re-Audits, re-audits will be limited in scope to items noted as nonconforming on the original audit. The auditor will report a failure of the audit through appropriate supervisory channels to the National Audit Supervisor for review with the UEP.

(1) Cage Sampling Requirements

Cage sampling plans are based on whether an applicant has established a history of conformance under the DPCS. If an applicant has no history of conformance using the DPCS, the sampling plan is normal as stated in Table 1. If an applicant has established a history of conformance

using the DPCS, the sampling plan is reduced. An established history is defined as one or more years using the DPCS and the previous year’s audit of the DPCS demonstrated conformance with the UEP guidelines. Table I below shows the cage sampling plans, sample size, and acceptance/rejection numbers for cage space allowance under the DPCS. Cage space allowance is further explained in subsection a. – Normal Sampling Plan and b. – Reduced Sampling Plan below.

Companies are to provide the auditor a method for determining the location of the vertical columns randomly selected for verification purposes. For example, the company may place markers or indicators in strategic locations of the house that would identify specific columns. The number of cages in each vertical column may vary from house-to-house. The auditor will record the actual number of layers observed in the individual cages from the top of the column to the bottom of each column identified for examination on the Layer House Worksheet for Verification of Cage Space (Exhibit VI). The normal sample size, as stated in subsection a below, is for companies choosing Option 1 for the first time or lack a history of conformance using the DPSC. A reduced sample size, as stated in subsection b below, is for companies that have established a history of conformance using the DPCS.

On the Layer House Worksheet for Verification of Cage Space Allowance, the auditor will record the name of the facility, the house identity, cage column number, and the sample number for the individual cages examined. The worksheet is designed to record the results of examination of 36 individual cages. Record the information required for each cage beginning with the top cage of the column. In the column identified as “Recorded Layers”, document the number of layers in the cage as stated on the facility records.

In the column identified as “Observed Layers,” record the actual number of layers in the cage. When the actual number of layers exceeds the number shown in the facility records, document the difference in the column identified as “Difference (+)”. Continue the examination of each cage in the column recording the results on the worksheet. When examination of the cages is completed, total the number of cages exceeding the number of layers stated in the facility records. The auditor will proceed with recording the results on the checklist.

Table I – DPCS Sampling Plans for Cage Space Allowance

Applicant Status	Type of Plan	Sample Size	Accept	Reject	
History of Conformance	Reduced	1 st	18	0	2
		2 nd	<u>18</u>		
		Total.....	36		
No History of Conformance	Normal	1 st	36	0	4
		2 nd	<u>60</u>		
		Total.....	96		

i. Normal Sampling Plan

The AQL of 1.5 is applicable since UEP has determined that an overpopulated cage in a layer house is a major defect. The examination of individual cages for cage space allowance is based on a two-stage sampling plan with an Acceptable Quality Level (AQL) of 1.5.

The size of the initial sample for examination is 36 cages and the second sample is 60 cages for a total of 96. If the house passes the initial sample criteria, the prescribed second sample is not required. For the caged layer house(s) randomly identified for examination, the auditor will generate enough vertical cage column numbers to provide an initial 36 cage sample for each house.

When the total number of cages exceeding the number of layers shown in facility records for the initial 36-cage sample examined is zero, the process of populating the layer house is in accordance with UEP guidelines and determined acceptable. If the total number of cages exceeding the number of layers stated in facility records is four or more, the layer house fails the audit. If the total number of cages exceeding the number of layers stated in the facility records in the initial sample exceeds one but does not exceed three, a second sample is to be conducted prior to determining the results of the audit. The second sample for the layer house will be an additional 60 cages selected using the same method of randomly selecting columns previously described. The auditor's observations of each cage of the selected columns will be recorded on the worksheet (Exhibit VI, reverse) as the second sample for the subject layer house. If the maximum number of cages exceeding the number of layers shown in the facility records for both samples combined is less than four, the house is determined as complying with the UEP guidelines. If the total number of cages exceeding the number of layers stated in facility records is four or more, the layer house fails the audit. Each layer house selected for examination will be evaluated to determine conformance as stated above.

If a house fails under the DPCS using the normal sample size, the facility fails the audit. At this point, the company may elect to reevaluate their DPCS, document the corrective actions to resolve the non-conformances, and request a re-audit. When the auditor returns to perform the re-audit, the sample size shall be at the normal level since the facility no longer has a history of conformance.

ii. Reduced Sampling Plan

Demonstration of previous conformance through the implementation of an approved and acceptable DPCS will justify reducing the sample size to 18 cages per layer house in the first sample. If zero deviations are noted in the first sample, then the house passes. If one deviation is noted in the first sample, then a second sample of 18 cages may be taken. If, in the total sample of 36 cages, more than one deviation is observed, the house fails.

If a house fails under the DPCS using the reduced sample size, the applicant no longer has an established history of conformance. At this point, the applicant may request that the auditor pull samples for each house based on the normal sampling plan for applicants with no history of conformance. House approval is then based on the normal sampling plan accept/reject criteria.

When examination of each house selected shows the facility process of populating the layer house(s) to comply with UEP guidelines, the auditor will award the 25 points for item 3 listed on

the caged layer house checklist. The auditor will verify conformance with the remaining audit elements on the Layer House Worksheet to determine the score of each element on the checklist.

(2) DPCS Manual – Records and Documentation Requirements

At a minimum, the DPCS manual must include documentation and records that address the items listed below.

1. List of All Egg Producers

- Name of the production facility
- Address
- Number of layer houses at the facility

Records for all company owned production facilities and all contract flocks.
Caged layer houses and cage-free layer houses are to be listed separately.

2. Layer House Average Cage Space

- Cage dimensions (length and width)
- Number of cages per house
- Total cage floor space per house in square inches
- Layers per cage
- Description of statistical sample size to verify population of cages
- Record verifying population of cages to comply with UEP Guidelines
- Record of corrective action taken if verification of cage population fails
- Total layers per house
- Hatch date(s)
- Number of cages populated
- Date the house was populated

Records for each house at each production facility for all company owned and contract flocks.

3. Training Confirmation Sheet

For procedures performed by the production facility employees (beak trimming, handling and transportation, etc) the following items must be documented.

- Names and signatures of individuals trained
- Date(s) of annual training
- Method of training (video, demonstration, etc...)
- Trainer's signature

Certificates of Conformance (Item E below) are to be used for services provided by a contractor.

4. Schematic of Caged Layer House

A method for identifying vertical cage columns in each layer house must be completed. At a minimum this method will indicate:

- Number of cages per column (from top to bottom)
- Number of columns in house
- Total number of cages in house

- Total number of layers
- Flock density (i.e. columns 1-1,080 5 layers per cage; 1,081-1,600 4 layers per cage)

An identification system for cages populated to a different flock density, including the method of identification of the cage columns, must be provided.

5. Certificate of Conformance

Documentation of contractor employee training applicable to services performed at the production facility (i.e., beak trimming, handling and transportation).

6. Beak Trimming

- Date of hatch
- Date of trimming
- Name and signature of person supervising the procedure
- Cleanliness of equipment (frequency of cleaning of unit)
- Dates reflecting modified diet and adjustment of feed levels
- Monitoring of feed and water
- Date beaks healed (documented observation)

7. Handling and Transportation

Handling

- Name and signature of person supervising handlers
- Description of handling procedures employed
- Date of handling activity

Transportation

- Equipment description used for transporting layers
- Transport vehicle clean
- All cage or panel doors closed prior movement of transport vehicle
- Water available until layers removed from cages
- Feed available until at least 24 hours before removal from cages

8. Molting (Non-Feed Withdrawal)

- Beginning number of layers
- Feed monitoring
- Documentation from qualified individual relative to adequacy of feed formulation
- Percentage of layer body weight loss during molt period
- Weight of individual layers
- Number of deceased layers (mortality)
- Percentage of deceased layers (mortality in flock since initiation)
- Water availability
- Amount of light exposure

9. Quarterly Compliance Report

- Copies of the quarterly compliance report submitted to UEP

10. Production Records

- Date

- Class of eggs
- Quantity of eggs
- UEP Certified eggs purchased and sold including the name
- Address of supplier or purchaser

11. Production Facility Records

- Feed dispensing records or quantities delivered to production facility
- Water Pressure and flow monitoring
- Emergency backup generator function verification
- Records showing the activation of automated ventilation system
- Records of pest/rodent control program

12. Light Intensity in Layer Houses

- Light intensity (recorded in foot candles)
- Make/Model of light meter (manufacturer's recommended calibration)
- Monitoring locations and dates
- Procedures for monitoring
- Description of lights used
- Maintenance and repair records when applicable

13. Ammonia Level

- Description of ammonia detection unit
- Procedure for monitoring (description of locations in layer house)
- Procedure for calibration of monitoring unit (manufacturer's recommendation)
- Average concentration level in layer house (parts per million)
- Dates of monitoring
- Ventilation system records

14. Internal Review of Company's DPCS

- Annual internal review of company's established policies/procedures
- Results of internal review (signed and dated)
- Record of any observed nonconformance(s)
- Record of corrective action (including description of action, date, and verification)

b) OPTION II - Verification of Average Cage Space

The verification of average cage space in conventional cage systems, as specified by the UEP, involves the examination of a larger number of individual cages to provide confidence in the sample results. A total of 20 vertical cage columns, with a maximum of 5 cages per column, will be examined for each selected house. Upon randomly identifying the layer houses at a facility required for examination, the auditor will proceed with the identification of the sample cage column for each house selected. To determine the random location of each vertical cage column, the auditor will divide the total number of populated vertical cage columns in the layer house by 20 to yield a figure and round up to a whole number.

For example, a layer house contains a total of 4,020 vertical cage columns. The number of sample columns is calculated as follows:

$$4,020 \div 20 = 201$$

This value (201) represents the distance between cage columns identified for examination. To assure random selection of sample columns, the auditor will generate, using the hand-held programmable calculator, a number between 1 and 201. This number represents the first cage column for examination. Each consecutive sample cage column will be determined by adding the value (201) to the previously identified cage column number. For example, when column 85 is generated as the first sample location, the second sample is 286 (85 + 201), the third sample is 487 (286 + 201), etc. When the final sample is defined beyond the total number of cage columns in the house, the auditor will determine the number of columns remaining in the last row and then, using the programmable calculator, select a random number from those columns to define the location of the final sample. For example, in the layer house referenced above, if the first sample is column number 85, the 19th sample would be column number 3,904. Therefore, the last sample column would be beyond the total number of columns in the house (column 4,105). The total number of columns remaining in the row is 116. The auditor will determine a random number between 1 and 116 to identify the final column location.

For houses with vertical cage columns exceeding five cages, the auditor will examine the first column beginning with the bottom cage. For the second sample column, the auditor will begin with the top cage and include the four cages directly below. This column rotation will continue throughout the house.

In this option, a vertical cage column represents a sample. The auditor will observe the number of layers in each cage in the column documenting the total layers in the individual cages of the sample vertical cage column (maximum of 5 cages per column). Exhibit XII (sample number, column number, cage dimensions, square inches per cage, and the number of layers observed). Upon completion of examination of all cages in the sample column, the auditor will record the sum of the total square inches of cage floor space from all samples and divide the figure by the total layers observed in all samples to determine the average cage space for the flock. The average cage space for the samples examined must meet or exceed the required average cage space for the flock based upon the applicable hatch date stated in the UEP guidelines. When the figure is less than the required minimum average cage space, the house fails to meet the UEP requirements for minimum average cage space.

When a house contains layers from a hatch date requiring different average cage space as specified by UEP, the house must be segregated according to flock hatch date and audited separately to determine conformance to the applicable average cage space requirements. Similarly, when a house contains both white and brown layers, compliance with average cage space must be determined separately for each type of layer.

Each layer house selected for examination will be evaluated to determine compliance with the average cage space specified in the UEP guidelines. When examination of each layer house shows compliance, the auditor may award the 25 points for item 3, Section I, listed on the caged layer checklist. Upon completing examination of the sample cages, the auditor will verify conformance with the remaining audit questions.

3b. Is there a minimum of 67 square inches PER HEN for White Leghorns and 76 square inches for Brown Egg Layers when the following conditions are met:

Equipment was purchased, contracted, or installed after December 31, 2003.

“The ‘house average’ space allowance will be permitted for all equipment installed by December 31, 2003. Any equipment purchased or contracted for or built after this date must accommodate the placement of layers at a minimum of 67 square inches per hen for White Leghorn layers and 76 square inches for Brown Egg Layers.”

This means that if layers were placed into equipment (housing or cages) installed after December 31, 2003, each hen must be provided 67 square inches of floor space per cage. In this case, the floor space per hen is not based on the ‘house space average’ or ‘cage space average’. If a layer house is identified as meeting these criteria, company records documenting the floor space should reflect the floor space calculated per hen.

Additional audit question that shall be asked by the auditor to verify this requirement is:

1. If so, were the layers placed into equipment installed since December 31, 2003?
 - a. Verify via records

If particular houses are identified as meeting the conditions above, the auditor shall ensure that these identified houses are included in the overall sample of houses. For an identified house, the auditor shall verify in the sample of cages examined that each hen is provided at least 67 square inches of floor space. To do this, the auditor shall first calculate the number of layers allowed in a cage. The number of layers per cage is calculated by dividing the cage floor space by 67 square inches per hen. For example, if the space of a cage is 24 inches by 20 inches or 480 square inches, then 7.16 layers or 7 layers are allowed in the cage based on the 67 square inches per hen. The next step is to randomly sample cages in each house and verify the number of allowable layers in each cage.

The number of cages to sample in a house and defect tolerance level is highlighted in Table 1 below. The Table below is similar to that noted in Option I such that cages exceeding the number of allowed layers are recorded as a defect.

Table I – Sampling Plan for Cages

Sample Size		Accept	Reject
1 st	36	0	4
2 nd	60		
Total	96	3	4

Even if facility representatives have chosen Option II, auditors shall use the sampling size noted above for houses that meet the criteria above. If houses do not meet the tolerance level in Table 1, they fail the cage space requirement for the house, and consequently the cage space section of the audit.

In 2015, producers may be continuing to install new “enriched” or “enrichable” cage systems. This new system is structured to hold more birds due to its size and has the cage free attributes of a nest box, scratch area, etc. In 2015, the cage space requirement for enriched/enrichable colony housing with 10 or more layers will be audited by way of a review of the initial flock stocking records and available enriched/enrichable cage space. As a result, no birds will be counted for enriched/enrichable cage systems.

4. Are all layers able to stand comfortably upright in the cage?

Although there are no height requirements for layer cages, the design must allow the layers to stand upright unimpeded by the top of the cage. By design, some cages are intended for layers to stand upright with their heads protruding outside the top of the cage for access to feed and water. To verify conformance, the auditor shall observe the cage design and note whether the layers can stand upright. When the cage design does not allow for the layers to stand upright, or the layer’s necks are obviously bent to accommodate the cage height, the item is nonconforming and the applicable points are to be deducted.

5. Is feed and water kept so that it remains in a fresh condition?

Feed must be provided at least once each day as evidenced by documented records, such as computer generated data or recording charts, that support the company's feeding policy. Continuous access to clean water must be provided at all times except in preparation for administration of vaccines or medication. Management of the production facility shall maintain the manufacturer’s recommendations for the water pressure necessary for proper operation of the dispensing system. The company shall demonstrate to the auditor how water pressure is controlled and monitored at the facility. Generally, an automated watering system and monitoring of that system is required. Monitoring shall include the established frequency (minimum weekly) and documentation of results of the inspection and the function of the system. During the examination of the flock house, auditors are to test the drinking systems in 4 cages to assure that they are functioning properly as applicable.

During transporting and handling, some layers escape and are loose to roam in manure pits or walkways and may not have continuous access to feed and water. Part of the performance standard for this item is that producers have established documented procedures for catching

these loose layers and returning them to cages. These procedures should include the frequency and method of capture. Evidence of carcasses in the manure pit (except in houses that compost layers in the pit as stated in their procedures) would be considered a nonconformance and no points would be awarded for this item.

Cage configuration shall be such that manure from cages installed above does not drop or deflect into the water or in feed troughs. The auditor shall observe the construction and installation of cages within the flock house to determine conformance. Prevalent evidence of litter, feces, or other contaminants in the feed or water is an indication of nonconformance. Evidence of failure to maintain the construction of the manure curtains will be scored under element 11.

6. Is the feeder space sufficient to allow all layers equal access to feed daily?

Auditors are to observe layers in each of the houses selected for examination to assure that they have access to the feed trough without excess crowding. If the layer house meets the average space allowance for the specific phase-in period, this item should be acceptable.

7. Is there a minimum of one water cup or nipple for no more than 12 layers?

When conducting the examination for the population density in the cages for the selected sample columns, determine the total number layers with access to a water cup or nipple through visual examination of the caged operation. For linear-type water systems, verify the length of the trough along the front of the cage. Divide that length by the average number of layers housed in that type of cage. A minimum of 1 inch of linear trough space per layer shall be provided. Through actual observation, verify that layers can reach the nipples or water cups.

8. Is light intensity a minimum 0.5 foot candles during production?

The intensity must be sufficient to visually inspect the condition of the feed delivery and water systems and the physical condition of layers in each cage. Light should be sufficient and uniform so that the well-being of the layers can be readily observed. A measurement of a minimum of 0.5 foot-candle of light at the feeding level during the layer production cycle has been established by the UEP as being sufficient for this purpose. Routine measurement of the intensity of light (measured in foot-candles) by means of specialized equipment is required to determine if sufficient light is present at the feed level. The auditor will determine if the level of light provided is sufficient to examine individual layers. If increased light intensity or a portable light source, such as a flashlight, is identified by facility management to supplement the normal production light for examination of individual layers in cages, the auditor is to observe the procedures used by company personnel to inspect layers from the top to the bottom cages of a vertical cage column.

If management uses equipment specifically designed to measure light intensity, the measurements are to be conducted on a routine basis in various locations throughout each layer house and documented accordingly. In this case, the auditor observing use of the same equipment that the facility utilizes will verify conformance through measurement of the amount of light. To assure a uniform procedure for measuring light intensity, the UEP has defined the location for positioning the light meter. The light meter will be positioned at a point in front of the feed trough at approximately half the height of the cage column and at a middle distance between the overhead lights. When a light meter is not available to routinely measure light intensity, the initial testing of light intensity to demonstrate conformance must be documented (results, type of light meter used, locations within the house and date). Additionally, when the light intensity is not routinely measured with a light meter, management must maintain records, on a continuing basis, for the maintenance of the lighting system documenting dates of replacement of specified types of light bulbs and other related repairs. The auditor will observe the function of the lighting system during verification procedures in the layer house while inspecting sample cage columns.

Recognizing that the construction design of an open-sided layer house (natural light) may provide adequate light intensity in the production area, following the establishment of a history of conformance with the minimum light intensity level, the frequency of measuring light intensity may be reduced to twice each year. If an open-sided layer house includes curtains the may be dropped during inclement weather conditions or to employ specific husbandry practices during the production cycle, the documented history must include results from measuring light intensity when the curtains were down.

Does the ventilation system allow for continuous flow of fresh air for all layers?

Layer houses must be equipped with a ventilation system that is capable of providing an adequate flow of outside air throughout the house. Ventilation systems for layer houses usually consist of a series of fans and/or louvered openings although open-sided houses may only have curtains that are raised or lowered during periods of extreme temperatures. The company must demonstrate that the fans operate properly and mechanically operated louvers on layer houses open to allow adequate airflow. For each layer house, the company must provide records demonstrating routine checks of the equipment to assure proper functioning of the system.

9. Are ammonia concentration levels maintained at 25 ppm or less and is corrective action taken when the level is exceeded?

The company must maintain records demonstrating that cage areas are regularly monitored for ammonia levels. To receive points, monitoring must be conducted and the results recorded by trained facility employees using calibrated ammonia detection devices and at frequencies outlined below. The use of test strips is not allowed.

The UEP has established a maximum average ammonia concentration level of 25 parts per million (ppm) in the layer house production area. To demonstrate conformance, the company must maintain records of the actual ammonia concentration expressed in ppm. The procedure, method, and/or equipment used for determining ammonia concentration shall be made available

for review. If monitoring equipment and calibration records are not available; the applicable points are to be deducted for this element. For conformance, the ammonia levels in each house must be monitored at least twice per month and at a minimum of five locations throughout the house to determine the average ammonia level. Monitoring locations shall be varied throughout the house with at least one reading taken in the center of the house. The average level must not exceed 25 ppm. When the ammonia level exceeds 25 ppm, the corrective action to reduce the level must be documented and a follow-up test recorded to demonstrate compliance. When the average results for an individual layer house for three consecutive months is below 25 ppm, the testing may be reduced to a monthly frequency. Open sided houses must measure and have documentation indicating ammonia concentration levels were measured biweekly when the house sides were closed. Ammonia levels are to be measured every other month when houses are open.

Recognizing that open-sided layer houses provide natural ventilation reducing the accumulation of ammonia gas, following the establishment of a history of conformance, the frequency of measurement of ammonia levels may be reduced to twice each year. If the open-sided house includes curtains that may be dropped during inclement weather or to employ specific husbandry practices during the production cycle, the documented history must include results of measurement during a period when the curtains were closed.

10. Is the production facility maintained overall? Specifically, are manure curtains and/or shields in place and in good working condition to prevent manure from passing down through lower cages?

Facility management is responsible for maintaining the construction of the layer house and equipment to assure the well-being of the flock. Deterioration of doors or walls to the extent allowing access for rodents or other animals may potentially disturb the flock. Cage configuration including manure curtains and shields shall be in good working order and maintained such that manure from cages installed above does not pass down through lower level cages onto layers, or into the water or in feed troughs. The auditor shall observe the construction and installation of cages within the layer house to determine conformance.

When such conditions are observed, the auditor will deduct the points for this item. However, if management can present maintenance logs or current invoices for scheduled repairs to correct the items observed, no points will be deducted.

11. Does the company have a policy and plan in place to protect layers from unmonitored visitors as well as wild birds, rodents, and other animals?

Review the company's rodent, pest, and animal control program to assure measures are maintained to safeguard flocks from disturbing noises, visual stimuli, strong vibrations, or attacks from other animals. Additionally, review the documented company policy relative to visitors and employees to reduce the possibility of a related problem. Observe application of these policies and practices when performing inspection of the facility for verification purposes.

12. Are on-farm layers, including the daily removal of those layers that are dead or injured, euthanized and depopulated in a humane manner in accordance with written procedures compliant with the UEP Guidelines?

Review daily records showing inspection and removal of dead or injured layers. During the cage column examination phase of the audit, observe cages in the identified house for evidence of dead or injured layers or any indication of decaying carcasses that would indicate less than a daily inspection is being conducted. Injured layers removed from cages must be euthanized in a humane manner. The humane practices applied must be instantaneous and painless. If possible, observe the process to assure the practice is instantaneous. When alternate euthanasia practices are employed, the company is responsible for providing documentation that an animal care expert has determined the practice acceptable. For example, when the entire layer house is depopulated and the flock is euthanized on the farm, the handling, transport, and euthanasia practices must be audited. For example, Modified Atmosphere Killing (MAK) systems may be employed to euthanize layers while depopulating the layer house. If a MAK system is used, a detailed documented procedure describing the use of the MAK system shall be employed, including the purchase receipts of the gas used, description of the training procedure, and training records. Documentation may also include reference to standard procedures accepted by the American Humane Association, the American Veterinary Medical Association or information published from academic or scientific committees composed of animal care and production experts.

13. For houses with automatic feeding and ventilation, are stand-by generators and alarm systems provided and monitored?

For environmentally controlled layer houses, stand-by generators and alarm systems must be present and function properly. For open-sided type housing utilizing hand feeding and natural air movement, generators and alarms systems are not required provided the facility has an established protocol for monitoring the flock's wellbeing and written emergency plan. Company documents shall describe the alarm and stand-by generator system and the method used to test the system. Review company records to determine if testing of the equipment is routinely conducted. Where systems are required, verify the physical presence of the generator(s) and alarm system.

B. Section II - Beak Trimming and Treatment

Review the date of beak trimming/treating and the hatch date of the chicks for the house(s) audited at a facility as stated on documents provided by the company. Beak treatment is a new technology available that subjects the beaks of day-old chicks to high intensity energy that penetrates the beak and after a period of time, usually within ten days, the tip of the beak falls off. For either procedure, the hatch date is the actual date of hatch. For example, if it takes 3 days of hatch to fill a layer house, then there will be 3 separate hatch dates and the company's records must list the dates, the number of layers housed for each date, and the location of those

layers in the house. When applicable, verify program compliance for this section by observing the beak trimming process to assure that the process is being conducted as demonstrated in UEP's Animal Husbandry Guidelines for the Egg Industry video. Otherwise, verification is accomplished by reviewing records and personnel training documents. When a company uses the services of a contract beak trimmer or the trimming is conducted at a hatchery, the company may provide a COC from the contracted source assuring program compliance rather than providing detailed records for employee training and monitoring. The COC must state that the employees performing the service have received the proper training and are routinely monitored, including frequency of monitoring, to assure that the activities are conducted according to the UEP's Animal Husbandry guidelines. When the company's policy is to conduct a single beak trim at the hatchery and a satisfactory COC is available, the auditor is to award all of the points for this section.

The UEP has recognized that a new company electing to participate in the program may have previously employed beak trimming practices to an existing flock that are inconsistent with UEP Guidelines. Since the incorrect beak trimming practice cannot be corrected and would cause the company to fail the audit, the UEP has established a policy allowing the company to transition into the program beginning with the date of application.

The auditor will review all beak trimming records and inquire as to when the company completed their application. If a company employed beak trimming practices since the date of application with UEP that are inconsistent the UEP Guidelines, the auditor will not award points to elements in the Beak Trimming Section, as applicable.

1. Does the company beak trim layers?

To verify conformance this criteria, auditors shall review company records, contracted source records, policies for beak trimming, and/or treating relative to the facility audited. When records show the company did not trim or treat the beaks of the chicks, check "NO" on the audit checklist, award 30 points in the applicable column, record the sum in the total column, and proceed to the next portion of the audit. If the company or the contracted source trimmed or treated the beaks of chicks, check "YES", but do not award any points. Determine conformance to the remaining elements on the report. If possible, visually observe the trimming process to assist in answering question number 4.

2. If trimmed, was the first process completed at 10 days of age or younger?

To verify conformance to this criteria, auditors shall review company records or contracted source records to determine that beak trimming or treating is completed within 10 days from the date of hatch for the chicks transferred to the layer house.

3. If a second trim was not needed or if a second trim was necessary, was it done at 8 weeks or younger?

Determine if a second trim was conducted through record verification. If not, record 5 points and proceed to the next audit item. If company records show a second beak trim was performed, determine from the dates recorded if it occurred no later than 8 weeks from the date of hatch for the chicks.

4. Is the beak-trimming crew trained and monitored for quality control?

Review training records or COC maintained by the company or the contracted source. These records shall include the names of individuals trained, dates of training, and a description of the beak trimming or treating procedure. Beak trimming records must state the date of hatch of chicks in the layer house audited the date of trimming, the names and signatures of individuals performing the procedure, and the name and signature of the person monitoring the process and cleanliness of the equipment. Beak treating will generally be covered under a COC. When applicable, observe the beak trimming process on 100 chicks or pullets. If 95% of the chicks or pullets are trimmed and handled properly and supporting training and monitoring documentation is available, this item can be considered as complying.

5. Were nutritional supplements provided before and after trimming?

Review records or COC maintained by the company relative to the composition of the feed provided for the chicks before and after trimming to assure that it is modified. The dates that a modified diet was provided to the chicks must be documented for correlation with the date of beak trimming to determine conformance. To improve the coagulation process, diets are usually modified by adding vitamin K supplements to the feed. When alternate best management practices are employed, the company must provide documentation that the modified diet, including a specified quantitative amount of Vitamin C or K, has been determined to meet the recommendation as stated in the UEP guidelines. Documentation may include a statement from a poultry nutritionist or other individuals with specific knowledge pertaining to nutritional needs when beak trimming (such as an academic or scientific committee, or an animal care and production expert).

6. Were water and feed levels adjusted accordingly until beaks were healed?

Review records maintained by the company. Records are to show that employees are routinely observing the water and feed systems and to assure that the level of feed has been adjusted for approximately a week or more after beak trimming. Review documentation by flock manager or other records showing conformance with program criteria verifying that the trimming of beaks has healed and that water and feed rations were returned to normal company specified levels.

7. Are the blade and guide holes of the beak trimming machine cleaned regularly?

There are two acceptable practices for treating beaks; one method is infrared beak treatment of day-old chicks at the hatchery and the other is beak trimming at 10 days old or younger with non-infrared beak trimming equipment. When beak treatment is used, the equipment

manufacturer recommendations should be followed and the UEP Certified Company should receive a Certificate of Conformance (COC) from the hatchery. When applicable, review company records or COC for maintenance and cleaning of the beak trimming equipment. Recommended procedures indicate the equipment should be cleaned daily to maintain sanitary practices for the type of equipment used. Cleaning the equipment shall be documented and verified by a company representative during the trimming process.

If an infrared beak trimming machine is used, then the company shall employ the same procedures and practices as stated above for the beak trimming equipment. Manufacturer's recommended cleaning for beak treatment machines (lens) is at least daily.

C. Section III - Molting

Induced molting is a production practice that consists of a reduction or deprivation of feed (may vary in duration from one to several days) under strictly controlled conditions. Record the date the molt was induced as stated on documents provided by the company. Proceed with auditing and scoring the elements on the form.

The UEP has determined that feed withdrawal molting practices are prohibited. Companies employing a feed withdrawal molting practice following that date will fail the audit. The auditor will mark "NO" and proceed to the remarks section citing the specific evidence showing nonconformance with the UEP Guidelines.

The UEP also recognized that a new company electing to participate in the program may have previously employed a feed withdrawal practice to molt an existing flock. Since the molting practice cannot be corrected and would cause the company to fail the audit, the UEP has established a policy allowing the company to transition into the program.

The auditor will review all molting records. If a firm employed a feed withdrawal molting practice, but did not molt any flocks after that date, the auditor will award the points for each audit element of the Molting Section. However, if a company employed feed withdrawal molting practices since the date of application with UEP that are inconsistent the UEP Guidelines, the auditor will not award points to the Molting Section.

1. Does the company use a molting program?

If the company's documented policy indicates that the company does not molt layers, mark "NO" as the response on the report and award 30 points in the appropriate column. Place the sum of 30 in the total column at the bottom of the report and proceed to the next portion of the audit.

When documents show use of a molting program, regardless of how many layer houses are actually molted, mark "YES" on the report and proceed with the rest of the questions in the section. If a company has molted a flock using a feed withdrawal practice, mark question 1 as "NO." Note the exception for a company joining the program as stated above. Use of feed withdrawal induced molting practices constitutes failure of the audit. The auditor will award no points and document the evidence for failing the audit in the remarks section of the checklist.

If a company has employed both practices during the period since a previous audit but only non-feed withdrawal practices, review records to determine conformance with the applicable criteria for each molting practice. If all elements of each respective practice meet the UEP Guidelines, score only for non-feed withdrawal. However, if for example the records in this circumstance show that the flock molted using a feed withdrawal procedure exceeded 30 percent body weight loss, deduct 6 points from the applicable category in Subsection B and document the evidence for this action in the remarks section of the checklist.

Uncontrollable circumstances, such as a disease, may occur in flocks under an induced molt and results in a noncompliance for a program element and potential loss of points. In this case, the company may provide detailed information describing the event and the actions taken by management to minimize the effect. If the documentation is sufficient to support the scenario, the points for the element are to be awarded and the reason for such action explained in the “comments” section of the checklist.

Does the company use a molting program?

Yes _____ No _____

When company documents and practices demonstrate the use of an induced molting procedure that does not require the withdrawal of feed, the auditor will mark “YES” and continue with the remaining elements of this section.

2. If so, was nutritionally adequate feed available?

Review records maintained by the company relative to feed, nutritional supplements, etc., provided for the layer flock. Records must demonstrate that feed with added supplements was available to the layers during the defined molting period. If the facility does not have a feed nutritionist present to monitor feeding during the molting period, the company must provide documentation that a modified diet that meets the recommendations as stated in the UEP guidelines has been provided. Documentation may include a statement from a poultry nutritionist or other qualified individuals with specific knowledge pertaining to the feeding policies of the company. These individuals could be from academia, scientific groups, or an animal care and production expert.

3. If so, was body weight loss limited to no more than 30 percent of the starting body weight?

Review records maintained by the company during the molting period for the layer flock audited. Body weight loss, expressed as a percentage of the total weight, is the difference between the weight of a layer at the start of the molt and the weight of the same layer when the molt is terminated divided by the weight of the layer at the start of molt. Body weight loss during an induced molt without feed withdrawal must not exceed 30 percent of the starting weight. The records shall include the procedure for weighing and identifying weighed layers, the weight upon examination of individual layers monitored during the molting period, the date of examination, and the calculated loss in body weight. The same layers are to be weighed throughout the testing

period. Auditors are to verify that the body weight loss did not exceed 30 percent during the molting period.

4. If so, was weight loss and mortality monitored?

The company records monitoring body weight loss (refer to element above) should also demonstrate conformance with the monitoring of mortality as evidenced by the number of dead layers. Company procedures must define the frequency of monitoring body weight loss during the molting period and monitoring records must demonstrate conformance with the established procedures. Review records maintained by the company for verification of the daily mortality expressed as a percentage of the total number of layers in the layer house during the defined molting period.

5. Was water available at all times?

Review company records documenting routine observations of the water system during each day of the molting period to verify the continued presence of water.

6. During the molt, did layers have a minimum of 8 hours of light in closed houses or natural day length in open houses?

Review company policy and/or records documenting the length of time the layers were exposed to light during the defined molting period.

D. Section IV - Handling and Transportation

Handling and Transportation applies to the movement of pullets and layers. Handling applies to the physical transfer and movement of pullets and layers at production facilities. Transportation applies to the movement of pullets and layers between facilities and to slaughter locations. For layers nearing the end of their production cycle and that are euthanized at the facility, only the checklist items applicable will be audited. For example, when layers are removed from cages and euthanized elsewhere on the facility, only the Handling items and the procedure for euthanasia would be audited. When layers are euthanized in their cages, the checklist section for Handling and Transportation does not apply. When items in this section are not applicable, auditors are to award the designated points for that item.

Auditors are to review the records for dates of handling and transport of the pullets/layers transferred to and removed from the layers houses audited. Proceed with auditing and scoring the elements on the form. If possible, verify compliance by observing handling and transportation practices. Observations at pullet houses will only be conducted when they are part of the layer facility and the handling and transportation activities are being conducted concurrently with the audit. Otherwise, verification is accomplished by reviewing records and training documents, or COC's. When a company uses the services of a contract handler or transporter, the company may provide a COC from the contracted source assuring program compliance rather than providing detailed records for employee training and monitoring. The

COC must state that the employees performing the service have received the proper training and are routinely monitored, including frequency of monitoring, to assure that the activities are conducted according to the UEP's Animal Husbandry Guidelines.

1. Were members of the catching crew knowledgeable and skillful in handling pullets and layers?

Since the transfer and transport of pullets or layers to populate or depopulate flock houses is infrequent and may not be observed during the audit visit, conformance shall normally be determined through review of company or contracted source documents. However, if the transport of pullets or layers in a facility house is occurring during the time of the audit, the auditor shall request to observe the practices employed for transporting and handling of the layers or pullets to determine conformance.

Review training policy and annual records or COC maintained by the company or contracted source. These records must indicate specific training for handling of pullets and layers, training dates, names and signatures of individuals trained, and name and signature of a company or contracted source representative supervising the training program. The company's policy and guidelines shall provide information relative to preparation and capture of pullets and layers for transfer, handling practices employed, and equipment used for transporting layers and pullets. The company must maintain records or COC, when applicable, demonstrating proper supervision or applicable verification records of animal care practices for each transfer of pullets and layers for populating or depopulating houses. Review the above referenced records to determine conformance.

2. Was the catching crew and transport crew advised of guidelines prior to work beginning and supervised?

The auditor will review the above referenced company records or, when applicable, review the COC. Annual training and supervision of the transfer and transport crew(s) shall be confirmed as evidenced by a supervisor's signature or initials on the dated document and review of appropriate procedures.

3. Were pullets and layers handled in a manner to avoid bone breakage or injury?

Review the company's policy and guidelines for handling pullets and layers or, when applicable, review the COC. If handling is being conducted during time of the audit, observe the handling of 100 pullets or layers to verify conformance. If 95% of the pullets or layers are handled properly, this item can be considered in compliance. Otherwise request personnel to demonstrate handling practices on a few pullets or layers and determine compliance based on this observation.

4. Were pullets and layers placed in or removed from the cage one or two at a time by grasping both legs and supporting the breast when lifting over the feed trough?

Review the company's policy and guidelines defining practices for handling pullets and layers. If handling is being conducted during time of audit, observe the handling practices of 100 pullets or layers to verify compliance. If 95% of the pullets or layers are handled properly, this item can be considered in compliance. Otherwise, as with Item 3 above, auditors may request facility personnel to demonstrate handling practices on a few pullets or layers and determine compliance based on this observation. This criteria also applies when handling layers in cage free houses.

5. Were pullet carts used to move pullets from the growing house to the layer house?

Review the company's policy and guidelines defining practices for handling pullets or, when applicable, review the COC. When possible, observe the practices when conducting the house examination. Any use of equipment or carts where pullets or layers are hung upside down is not allowed.

6. Were carts used to move layers from cage to transport vehicle?

Review the company's policy and guidelines defining practices for handling and transporting layers. The auditor may request to view such carts to assure cages and cage doors are designed to allow removal of layers in a manner to reduce physical harm during transfer. This criteria also applies to handling layers in a manner that avoids bone breakage and injury observed in a cage free house.

7. Was the transport vehicle clean?

Review the company's records for transport of pullets and layers or, when applicable, review the COC. The cleanliness of the transport vehicle (s) should be confirmed by the documentation. If possible, the auditor should observe and examine any transport vehicles that may be present during the audit. Vehicles are to be reasonably clean before loading.

8. Were all cages or panel doors closed on transport vehicle prior to transport of pullets and layers?

Review the company's records for transport of pullets and layers during populating/depopulation of the selected flock house or, when applicable, review the COC. These records should include documentation assuring the doors of cages and/or transport vehicles are properly closed prior to transport.

9. Was water available at all times until the moment that layers are removed from their respective housing?

Review the company's policy and records for the transfer and transport operations for depopulation of the selected flock house or, when applicable, review the COC. Review water pressure and distribution records to assure that water was not withdrawn from the pullets prior to transfer and layers prior to depopulation of the identified flock house.

10. Was feed available until at least 24 hours before removal of layers from their respective housing?

Review the company's policy and records applicable to the transfer of pullets or depopulation of a layer house. Review records for feed dissemination within a pullet or layer house for at least 48 hours prior to the date recorded for depopulating the house. Since depopulation usually extends beyond a single day, records need to demonstrate that the feed was available for sections of the layer house that remain populated. Determine that feed was not withdrawn for a period of more than 24 hours before transfer or depopulation.

E. Section V – Personnel and Training

UEP considers employee training as a vital part of assuring the welfare of laying hens; consequently, employee training is an important component of the audit process. Therefore, a visual presentation, both in English and Spanish, of the UEP guidelines is provided to all UEP Certified companies for the training of employees to assure personnel involved in bird care are properly trained and qualified to perform their jobs.

1. Have personnel responsible for euthanizing and depopulating layers in a humane manner, received annual training based on UEP Guidelines (i.e., guidelines, video, demonstrations, etc.)?

The method(s) employed, documentation of annual employee training based on UEP Guidelines (i.e., guidelines, video, demonstrations, etc.), and implementation of the euthanizing practices must be available for review.

2. Have all company poultry caretakers, including contract employees, signed the Code of Conduct form?

Concerns about the welfare of farm animals have risen because of public interest in, and expectations regarding the use and treatment of animals. Maintaining the public's trust and consumer confidence is critical to the egg production industry. Company ownership and supervisors should take responsibility for employee conduct. At a minimum, employees should be required to have regular training on how to handle layers using UEP's employee training video. In addition, all company poultry caretakers, including contract employees, are required to sign the Code of Conduct form, which is referenced in this procedure as Exhibit 15. In other words, all personnel handling a company's birds (live or dead) regardless of their employment

status must sign the Code of Conduct form to include but is not limited to beak trimming, catching and transport personnel.

3. Are UEP Quarterly Compliance Reports completed and on file for review?

Upon request of the auditor, the facility representative will provide copies of all UEP Quarterly Compliance Reports completed by the facility since the previous calendar year's audit, and any correspondence from the UEP to the company relative to the reports. The quarterly compliance report will be completed in its entirety and maintained onsite for review during an audit.

XII. Cage Free Layers Checklist Questions and Procedure

The UEP has established guidelines for cage free layer flocks registered as participating in the UEP Certified Program. In the continued development to assure that the UEP Certified Program is based on science and application of best management practices for egg-laying flocks, the UEP is requiring that cage free layer facilities continue to be audited by the audit service providers to verify the conformance of production practices specific to this type of operation.

Auditors will complete a separate audit checklist for the annual audit of cage free layers. During each audit, the auditor will evaluate and score each audit element on the cage free checklist. As stated above in Section IX, the final status (pass or fail) will be recorded on the cage free checklist with a passing score of 180 out of 200 total points, which is the same passing score limit on the caged checklist.

Section I of the Cage Free Layer House Checklist is designed to assess the facility's housing and space allowance. In 2013, UEP is requiring that certain space related criteria (applicable during this calendar year) be verified at selected cage free house(s) at each facility. Auditors will verify applicable space elements such as floor, nest, feed, water, and multi-tiered systems. As a starting point, auditors may review, if available, house blueprints, schematics, and/or the 2008 company-developed self-assessment of each cage free egg layer house to gauge and identify the space allocation measurements for accuracy. By determining how space is currently allocated for each layer and comparing the results to the applicable space requirements defined in the UEP Guidelines for cage free production, auditors should be able to calculate what is needed to meet the space requirements for conformance.

The auditor will review layer house records and quarterly compliance reports. The auditor will determine conformance of the remaining Sections II - V of the checklist applying the procedures for auditing caged layers. Record the score for each section of the audit and total the points. If the auditor identifies objective evidence that is unacceptable such as the commingling of non-certified and certified eggs, the facility will fail the audit. In this case, the auditor will mark "Yes" for the audit element in Section I on the checklist and record the evidence observed in the remarks. As stated in preceding sections, the results of the audit and the reasons for failure shall be reported through appropriate supervisory channels to a representative of the Audit Section.

It is important for all stakeholders to note that some of the cage free checklist questions listed below are similar to those listed in Heading XI above for the caged checklist; therefore, the detailed procedural information listed under each question will not be repeated but will “refer” the auditor to that Heading.

Checklist questions 3.a. through 3.j below were incorporated into the checklist because these criteria are required and are subject to verification by the auditor. Each house must meet the questions 3.e through 3.j (as a group) to be awarded the entire 55 points. In other words, they are not evaluated separately like other questions on the checklist.

Prior to verifying any of the space requirements below (questions 3a. to 3j.); the auditor shall determine the stocking density for the selected cage free house. The simplest way to determine the stocking density is to review records listing the number of layers at the time the house was originally populated. This number is important since it is the number used to determine whether the space requirements per hen (below) are met or not. By using the original number of layers, a tape measure, a note pad, and other records and documents such as the self-assessment, auditors will be able to verify whether the house is meeting the space requirements.

With the assistance of a company representative, auditors may need to take measurements in sections or a sampling of sections, followed by multiplying the section measurement by the number of sections in the house. For example, if you measure the length of one nest space section and multiply it by the total number of sections in the house, you will arrive at the total length of nest space. This should quicken the verification time.

A. Section I - Housing and Space Allowance

1. Is there evidence of prohibited backfilling?

Refer to Heading XI, Section I, question 1 for detailed information concerning this question.

2. Is there evidence of commingling eggs (i.e., marketing non-certified eggs as certified eggs, and caged as cage free or organic eggs)?

Refer to Heading XI, Section I, question 2 for detailed information concerning this question.

3.a. Is there a minimum of 6 inches of usable linear perch space provided per hen so that all layers are able to perch at the same time?

Perches are designed to allow hens living in large flocks to roost comfortably with a minimum of disturbance, to provide hens with a refuge from injurious pecking, and to minimize flightiness. Perch is such that hens should be able to wrap their toes around it and balance evenly in a relaxed posture for an extended period. In addition, there should be sufficient space on either side of any perch to allow hens to grip the perch without risk of trapping their claws. Perches should be constructed of a material that does not harbor mites. This type of perch is linear. Perches must be positioned to minimize fecal fouling of birds, feeders, or drinkers below. Consequently, the bar that may be placed on top of the feed line to raise and lower for cleaning is not counted towards perch. Once all usable linear perch is calculated in the house, divide that

number by the number of layers at the time the house was originally populated. Next, compare this result to the required 6 inches of usable linear perch.

3.b. Is there at least 20% of the perch space elevated a minimum of 16 inches above the adjacent floor and at least 1 horizontal foot away from adjacent perches and walls, to allow layers to get away from aggressors and avoid injurious pecking?

Using the total usable linear perch calculated in 3.a., subtract all linear perch lower than 16 inches from the adjacent floor and any perch that is less than 1 horizontal foot away from adjacent perches and walls. Once this number is calculated and determined, divide it by the total usable linear perch in 3.a. and multiply by 100 to arrive at a percentage. Next, compare this percentage against the requirement of at least 20%.

3.c. Does the scratch area cover at least 15% of the useable floor area of the house (including the floor area of tiers)?

For pullets hatched after January 1, 2010, all cage-free houses will be required to provide a minimum 15% of the total space for litter. Scratch areas covered with litter are provided for hens living in large flocks to reduce the risk of feather pecking and cannibalism, and to minimize flightiness. In addition, litter entering the house should be free of visible mold or soiled areas. If the scratch area provided does not allow for adequate claw wear, surfaces that hens scratch with their claws when feeding should be covered with an abrasive material that helps to prevent overgrown claws. Examples of litter include wood shavings or similar materials. To calculate the percentage of scratch area, auditors shall divide the total scratch area by the total floor space.

3.d. Is the litter being maintained in a loose, friable condition?

Litter shall be maintained in a loose, friable condition. When wet and hard packed areas occur, they must be corrected daily. Litter should be removed and replaced with fresh litter between cycles. The auditor shall evaluate the litter in the house by sampling five locations located in the middle of the house, not directly under a feeder or drinker, to determine whether it is loosely compacted in the hand when squeezed.

3e. Is there a minimum floor space of 1.0 sq. ft. per hen (White Leghorns) and 1.2 sq. ft. per hen (Browns) allocated to allow normal behavior?

Total floor space is equal to the length multiplied by the width of accessible interior floor space for each house. In addition, usable floor space consists of the combined litter and drop-through area including elevated tiers, and covers over belts. For Calendar Year 2013, and beyond, 0% of the nest space may be included in the total floor space. Auditors should note that outdoor areas are not included as usable floor space. Auditors are encouraged to review documents such as the 2008 self-assessment or house blueprints to verify floor space. Once the floor space is

calculated, divide that number by the number of layers at the time the house was originally populated.

3f. Is there a minimum of 9 square feet of nest space per 100 layers?

Total nest space is measured by multiplying the length of the nest box by its width. The nest box length may be measured in sections. The width is measured from the front nest curtain to the back of the nest box – taking the measurement parallel with the floor, which will yield the greatest distance. Auditors are encouraged to review documents such as the self-assessment or house blueprints to verify nest space. Once the nest space is calculated, divide that number by the number of layers at the time the house was originally populated.

3g. Is there a minimum of 1.5 linear inches of feed trough (3 inches per hen when only one side of the feeder is accessible) or 1.5 perimeter inches of circular feeder space provided per hen for straight troughs and circular feeders, respectively?

Total linear feed trough length may be calculated in segments by measuring one segment and multiplying it by the total segments in the house. This can also be computed by measuring the perimeter inches of the circular feeder. Once the total length of linear feed trough or total perimeter length of a circular feeder is calculated, divide that number by the number of layers at the time the house was originally populated. Auditors are encouraged to review documents such as the self-assessment or house blueprints to verify nest space.

3h. Can layers travel less than 26 feet within the house to reach feeders or drinkers?

Verify through floor measurement that layers can reach a feeder or drinker within 26 feet. The auditor may need to measure any interior side house wall to the nearest feeder or drinker to confirm the requirement.

3i. Is there access to water provided to the layers at a minimum rate of:

- 1 bell drinker per 100 layers (0.4 inch of perimeter space per hen for a circular trough);
- 0.5 linear inch of water trough per hen when straight troughs are used (1 inch per hen when only one side of the trough is accessible);
- 1 nipple drinker or cup per 10 layers?

To determine if there is adequate access to water for each hen, the auditor shall either count the number of bell drinkers, measure the linear inches of water trough, or count the number of nipple drinkers and divide that total number by the number of layers at the time the house was originally populated.

3j. In multi-Tier systems,

Is the vertical distance between tiers, which also include the floor to the first tier, between 1.6 and 3.3 feet?

With the assistance of a company representative, verify through measurement that the vertical distance between tiers is between 1.6 and 3.3 feet. Measurements are taken from the floor or slat area to the underside of the manure belt.

In adjacent tiers, is the hen's angle of descent from one tier to another not steeper than 45 degrees?

When adjacent tiers are staggered to allow for diagonal access to tiers at different heights, the hen's angle of descent (or slope) from one tier to another should not be steeper than 45 degrees. With the assistance of a company representative and available tier design schematics or blueprints, verify this criteria through a review of documents and measurements that the descent from one tier to another is not steeper than 45 degrees. Since slope is defined by computing the rise over the run, the vertical distance (rise) should equal the horizontal distance (run) with a slope of 45 degrees. Therefore, if the vertical distance is greater than the horizontal distance, then the slope is steeper than 45 degrees.

In multi-tier systems with feeders and drinkers on overhead perches/platforms, and in which the overhead perches/platforms provide sufficient space for at least 55% of the layers to perch, is there a minimum of 1.0 sq. ft. of space per hen?

With the assistance of a company representative, first verify that the multi-tiered system includes feeders and drinkers on overhead perches and platforms. If this is true, then the overhead perches and platforms must allow enough space for 55% of the layers to perch at 1.0 square foot per hen. The auditor will want to compute how many layers of the total equal 55%. Auditors will also want to compute the total perch space in the multi-tiered system. This space calculation is then divided by the number of layers that represent 55% of the total. Finally, auditors are encouraged to review documents such as the self-assessment or house blueprints to verify this space requirement.

If tiers are raised, is there a system for removing manure?

Verify that there is a system for removing manure if tiers are raised.

4. Is feed and water kept so that it remains in a fresh condition?

- Refer to Heading XI, Section I, question 5 for detailed information concerning this question.

5. Is light intensity a minimum 0.5 foot candles during production?

- Refer to Heading XI, Section I, question 8 for detailed information concerning this question.

6. Does the ventilation system allow for continuous flow of fresh air for all layers?

- Refer to Heading XI, Section I, question 9 for detailed information concerning this question.

7. Are ammonia concentration levels maintained at 25 ppm or less and corrective action taken when the level was exceeded?

- Refer to Heading XI, Section I, question 10 for detailed information concerning this question.

8. Is the production facility maintained?

- Refer to Heading XI, Section I, question 11 for detailed information concerning this question. Note that manure belts shall be in good working order and maintained such that manure does not pass down through the system onto layers below. The auditor shall observe the construction and installation of manure belts within the layer house to determine conformance.

9. Does the company have a policy and plan in place to protect layers from unmonitored visitors as well as wild birds, rodents, and other animals?

- Refer to Heading XI, Section I, question 12 for detailed information concerning this question.

10. Are on-farm layers, including the daily removal of those layers that are dead or injured, euthanized and depopulated in a humane manner in accordance with written procedures compliant with the UEP Guidelines?

- Refer to Heading XI, Section I, question 13 for detailed information concerning this question.

11. Does the company maintain an Emergency Plan for loss of electrical power?

Review the company's written emergency plan for the loss of electrical power. For open-sided type housing utilizing hand feeding and natural air movement, generators and alarms systems are not required provided the facility has an established protocol for monitoring the flocks wellbeing and written emergency plan. The plan shall describe the procedures taken in case there is a loss of electrical power. Review Company records to determine if the emergency plan is tested on a regular basis.

B. Section II - Beak Trimming and Treatment

1. Does the company beak trim layers?
 - Refer to Heading XI, Section II, question 1 for detailed information concerning this question.
2. If trimmed, was the first process completed at 10 days of age or younger?
 - Refer to Heading XI, Section II, question 2 for detailed information concerning this question.
3. If a second trim was not needed or if a second trim was necessary, was it done at 8 weeks or younger?
 - Refer to Heading XI, Section II, question 3 for detailed information concerning this question.
4. Is the beak-trimming crew trained and monitored for quality control?
 - Refer to Heading XI, Section II, question 4 for detailed information concerning this question.
5. Were nutritional supplements provided before and after trimming?
 - Refer to Heading XI, Section II, question 5 for detailed information concerning this question.
6. Were water and feed levels adjusted accordingly until beaks were healed?
 - Refer to Heading XI, Section II, question 6 for detailed information concerning this question.
7. Are the blade and guide holes of the beak trimming machine cleaned regularly?
 - Refer to Heading XI, Section II, question 7 for detailed information concerning this question.

C. Section III - Molting

1. Does the company use a molting program?
 - Refer to Heading XI, Section III, question 1 for detailed information concerning this question.

Does the company use a molting program?

Yes _____ No _____

2. If so, was nutritionally adequate feed available?
 - Refer to Heading XI, Section III, question 2 for detailed information concerning this question.
3. If so, was body weight loss limited to no more than 30 percent of the starting body weight?
 - Refer to Heading XI, Section III, question 3 for detailed information concerning this question.
4. If so, was weight loss and mortality monitored?
 - Refer to Heading XI, Section III, question 4 for detailed information concerning this question.
5. Was water available at all times?
 - Refer to Heading XI, Section III, question 5 for detailed information concerning this question.
6. During the molt, did layers have a minimum of 8 hours of light in closed houses or natural day length in open houses?
 - Refer to Heading XI, Section III, question 6 for detailed information concerning this question.

D. Section IV - Handling and Transportation

1. Were members of the catching crew knowledgeable and skillful in handling pullets and layers?
 - Refer to Heading XI, Section IV, question 1 for detailed information concerning this question.
2. Was the catching crew and transport crew advised of guidelines prior to work beginning and supervised?
 - Refer to Heading XI, Section IV, question 2 for detailed information concerning this question.
3. Were pullets and layers handled in a manner to avoid bone breakage or injury?
 - Refer to Heading XI, Section IV, question 3 for detailed information concerning this question.
4. When removing layers, were procedures employed to reduce disruption and injury?
 - Refer to Heading XI, Section IV, question 4 for detailed information concerning this question.

5. Were pullet carts used to move pullets from the growing house to the layer house?

- Refer to Heading XI, Section IV, question 5 for detailed information concerning this question.

6. Were layers handled in a manner to avoid bone breakage and injury?

- Refer to Heading XI, Section IV, question 6 for detailed information concerning this question.

7. Was the transport vehicle clean?

- Refer to Heading XI, Section IV, question 7 for detailed information concerning this question.

8. Were all cages or panel doors closed on transport vehicle prior to transport of pullets and layers?

- Refer to Heading XI, Section IV, question 8 for detailed information concerning this question.

9. Was water available at all times until the moment that layers are removed from their respective housing?

- Refer to Heading XI, Section IV, question 9 for detailed information concerning this question.

10. Was feed available until at least 24 hours before removal of layers from their respective housing?

- Refer to Heading XI, Section IV, question 10 for detailed information concerning this question.

E. Section V – Personnel and Training

1. Have personnel responsible for euthanizing and depopulating layers in a humane manner, received annual training based on UEP Guidelines (i.e., guidelines, video, demonstrations, etc.)?

- Refer to Heading XI, Section V, question 1 for detailed information concerning this question.

2. Have all company poultry caretakers, including contract employees, signed the Code of Conduct form?

- Refer to Heading XI, Section V, question 2 for detailed information concerning this question.

XIII. Exhibits

Numerous exhibits have been provided in addition to this instruction to assist the auditor in making sound decisions pertaining to the acceptability of each of the program performance elements. These exhibits are listed below:

1. Exhibit I Procedure for Conducting UEP Animal Husbandry Audits of Caged and Cage Free Layers
2. Exhibit II Caged Layers Audit Checklist
3. Exhibit III Cage Free Layers Audit Checklist
4. Exhibit IV Checklist-Assessment of Measures Implemented to Prevent Commingling UEP Certified and Non-certified Eggs
5. Exhibit V Procedures for Calculating Average Cage Space
6. Exhibit VI Layer House Worksheet-Cage Space Verification
7. Exhibit VII Schematic of Layer House
8. Exhibit VIII Layer House Worksheet
9. Exhibit IX List of Poultry Programs Federal-State Offices
10. Exhibit X Beak Trimming/Treatment
11. Exhibit XI Handling/Transportation
12. Exhibit XII Layer House Worksheet – Average Cage Space
13. Exhibit XIII Reschedule Form
14. Exhibit XIV Opening and Closing Meeting Checklist
15. Exhibit XV Code of Conduct for Poultry Caretakers

2016 CAGED LAYERS AUDIT CHECKLIST

EXHIBIT II

2016 CAGED LAYERS AUDIT CHECKLIST FOR THE UEP CERTIFIED ANIMAL HUSBANDRY PROGRAM	Name of Company:		Name of Facility:		Number of Layer Houses:		Date:			
	Address of Company:			Address of Facility:			Number of Caged Layers at Facility:			
							<input type="checkbox"/> Initial Audit		<input type="checkbox"/> Re-audit	
	Check the Applicable Section(s) for a Re-audit:					Option Chosen to Compute Average Floor Space:			Computer Generated Number:	
	I <input type="checkbox"/> II <input type="checkbox"/> III <input type="checkbox"/> IV <input type="checkbox"/>					I <input type="checkbox"/> or II <input type="checkbox"/> (Check one)				
	Auditor's Name (Print and Sign):					SCORING SYSTEM				
	Select Audit Service Provider:					I. Housing and Space Allowance		90		
<input type="checkbox"/> USDA <input type="checkbox"/> VALIDUS <input type="checkbox"/> FACTA					II. Beak Trimming and Treatment		35			
					III. Molting		30			
					IV. Handling and Transportation		30			
					V. Personnel and Training		15			
Check box confirming auditor discussed items listed in Exhibit 14 with the auditee (Opening and Closing Meeting Checklist)					TOTAL POINTS (180 points to pass)		200			
Facility Representative's Name:					<input type="checkbox"/> PASS <input type="checkbox"/> FAIL If failure is checked, state reason: _____					

SECTION I - Housing and Space Allowance		Yes	No						
1.	Is there evidence of prohibited backfilling?			6.	Is feeder space sufficient to allow all layers equal access to feed daily?	10			
2.	Is there evidence of commingling eggs (i.e., marketing non-certified eggs as certified eggs, and caged as cage free or organic eggs)?			7.	Is there a minimum of one water cup or nipple for no more than 12 layers?	5			
3.a and 3.b	<u>3a. White Layers</u> Does the layer house provide the average cage space of 67 sq. inches? <u>Brown Layers</u> Does the layer house provide the average cage space of 76 sq. inches? ----- <u>3b.</u> Is there a minimum of 67 square inches <u>PER LAYER</u> for White Leghorns and 76 square inches for Brown Egg Layers when the following condition is met: • Equipment was purchased, contracted, or installed after December 31, 2003	Possible Points	Points Received	9.	Does the ventilation system allow for continuous flow of fresh air for all layers?	5			
		25	10.	Are ammonia concentration levels maintained at 25 ppm or less and corrective action taken when level is exceeded?	5				
			11.	Is the production facility maintained overall? Specifically, are manure curtains and/or shields in place and in good working condition to prevent manure from passing down through lower cages?	5				
			12.	Does the company have a plan in place to protect layers from unmonitored visitors as well as wild birds, rodents, and other animals?	5				
			13.	Are on-farm layers, including the daily removal of those layers that are dead or injured, euthanized and depopulated in a humane manner in accordance with written procedures compliant with the UEP Guidelines?	10				
			14.	For houses with automatic feeding and ventilation, are stand-by generators and alarm systems provided and monitored?	5				
4.	Are all layers able to stand comfortably upright in the cage?	5		Section I - Total Points		90			
5.	Is feed and water kept so that it remains in a fresh condition?	5							

2016 CAGED LAYERS AUDIT CHECKLIST

EXHIBIT II

SECTION II – Beak Trimming and Treatment		Possible Points	Points Received				
				2.	Was catching and transport crews advised of guidelines prior to work beginning and supervised?	3	
1.	Does company beak trim layers? <input type="checkbox"/> Yes (see below) <input type="checkbox"/> No (award points)	35		3.	Were pullets and layers handled in a manner to avoid bone breakage or injury?	3	
2.	If trimmed, was the first trim completed at 10 days of age or younger?	5		4.	Were pullets or layers placed in or removed from cage one or two at a time by grasping both legs and supporting the breast when lifting over the feed trough?	3	
3.	If a second trim was not needed or if second a trim was necessary, was it done at 8 weeks or younger?	5		5.	Were pullet carts used to move pullets from growing house to the layer house?	3	
4.	Is beak trimming crew trained and monitored for quality control?	10		6.	Were carts used to move layers from cage to transport vehicle?	3	
5.	Were nutritional supplements provided before and after trimming?	5		7.	Was the transport vehicle clean?	3	
6.	Were water and feed levels adjusted accordingly until beaks were healed?	5		8.	Were all cages or panel doors closed on the transport vehicle before transport of pullets and layers?	3	
7.	Are the blade and guide holes of beak trimming machine cleaned regularly?	5		9.	Was water available at all times until the moment that layers are moved from their respective housing?	3	
Section II - Total Points		35		10.	Was feed available until at least 24 hours before removal of layers from their respective housing?	3	
SECTION III – Molting		Possible Points	Points Received	Section IV - Total Points		30	
	Does the company use a molting program? <input type="checkbox"/> Yes (see below) <input type="checkbox"/> No (award points)	30		SECTION V – Personnel and Training		Possible Points	Points Received
1.	Only molting programs that do not require feed withdrawal are acceptable. Does the company use a molting program that does not require feed withdrawal? <input type="checkbox"/> Yes <input type="checkbox"/> No (See Remarks)			1.	Have personnel responsible for euthanizing and depopulating layers in a humane manner, received annual training based on UEP Guidelines (i.e., guidelines, video, demonstrations, etc.)?	5	
2.	If so, was nutritionally adequate feed available?	6		2.	Have all company poultry caretakers, including contract employees, signed the Code of Conduct form?	5	
				3.	Are the Quarterly Compliance Reports completed and on file for review?	5	
3.	If so, was body weight loss limited to no more than 30% of starting weight?	6		Section V - Total Points		15	
4.	If so, was weight loss and mortality monitored?	6		Remarks:			
5.	Was water available at all times?	6					
6.	During the molt, did layers have a minimum of 8 hours of light in closed houses or natural day length in open houses?	6					
Section III - Total Points		30					
SECTION IV – Handling and Transportation		Possible Points	Points Received				
1.	Were members of catching crew knowledgeable and skillful in handling pullets and layers?	3					

2016 CAGED LAYERS AUDIT CHECKLIST

EXHIBIT II

2016 CAGED LAYERS AUDIT CHECKLIST FOR UEP CERTIFIED ANIMAL HUSBANDRY PROGRAM	Name of Company:	Name of Facility:	Date:	Computer Generated Number:
	Address of Company:	Address of Facility:	<input type="checkbox"/> Initial Audit	<input type="checkbox"/> Re-audit

REMARKS:

AUDIT EXPENSES	HOURS	EXPENSES
AUDIT TIME		
TRAVEL TIME (INCLUDED IN AUDIT TIME)		
TRAVEL EXPENSES		
OTHER EXPENSES		
TOTAL EXPENSES		

2016 CAGE FREE LAYERS AUDIT CHECKLIST

EXHIBIT III

4.	Is feed and water kept so that it remains in a fresh condition?	5		1.	Only molting programs that do not require feed withdrawal are acceptable. Does the company use a molting program that does not require feed withdrawal? <input type="checkbox"/> Yes <input type="checkbox"/> No (See Remarks)		
5.	Is light intensity a minimum 0.5 foot candles during production?	5					
6.	Does the ventilation system allow for continuous flow of fresh air for all layers?	5					
7.	Are ammonia concentration levels maintained at 25 ppm or less and was corrective action taken when the level was exceeded?	5		2.	If so, was nutritionally adequate feed available?	2	
8.	Is the production facility maintained?	5		3.	If so, was body weight loss limited to no more than 30% of starting weight?	2	
9.	Does the company have a policy and plan in place to protect layers from unmonitored visitors as well as wild birds, rodents, and other animals?	5		4.	If so, was weight loss and mortality monitored?	2	
10.	Are on-farm layers, including the daily removal of those layers that are dead or injured, euthanized and depopulated in a humane manner in accordance with written procedures compliant with the UEP Guidelines?	10		5.	Was water available at all times?	2	
				6.	During the molt, did layers have a minimum of 8 hours of light in closed houses or natural day length in open houses?	2	
11.	Does the company maintain an Emergency Plan for loss of electrical power?	5		Section III - Total Points		10	
Section I - Total Points		120		SECTION IV – Handling and Transportation		Possible Points	Points Received
SECTION II – Beak Trimming and Treatment		Possible Points	Points Received	1.	Were members of catching crew knowledgeable and skillful in handling pullets and layers?	3	
1.	Does company beak trim layers? <input type="checkbox"/> Yes (see below) <input type="checkbox"/> No (award points)	30		2.	Was catching and transport crews advised of guidelines prior to work beginning and supervised?	3	
2.	If trimmed, was the first trim completed at 10 days of age or younger?	5		3.	Were pullets and layers handled in a manner to avoid bone breakage or injury?	3	
3.	If a second trim was not needed or if second trim was necessary, was it done at 8 weeks or younger?	5		4.	When removing layers, were procedures employed to reduce disruption and injury?	3	
4.	Is beak trimming crew trained and monitored for quality control?	5		5.	Were pullet carts used to move pullets from growing house to the layer house?	3	
5.	Were nutritional supplements provided before and after trimming?	5		6.	Were layers handled in a manner to avoid bone breakage and injury?	3	
6.	Were water and feed levels adjusted accordingly until beaks were healed?	5		7.	Was the transport vehicle clean?	3	
7.	Are the blade and guide holes of beak trimming machine cleaned regularly?	5		8.	Were all cages or panel doors closed on the transport vehicle before transport of pullets and layers?	3	
Section II - Total Points		30		9.	Was water available at all times until the moment that layers are moved from their respective housing?	3	
SECTION III – Molting		Possible Points	Points Received	10.	Was feed available until at least 24 hours before removal of layers from their respective housing?	3	
	Does the company use a molting program for cage free layers? <input type="checkbox"/> Yes (see below) <input type="checkbox"/> No (award points)	10		Section IV - Total Points		30	

2016 CAGE FREE LAYERS AUDIT CHECKLIST

EXHIBIT III

2016 CAGE FREE LAYERS AUDIT CHECKLIST FOR UEP CERTIFIED ANIMAL HUSBANDRY PROGRAM	Name of Company:	Name of Facility:	Date:	Computer Generated Number:
	Address of Company:	Address of Facility:	<input type="checkbox"/> Initial Audit	<input type="checkbox"/> Re-Audit

SECTION V – Personnel and Training		Possible Points	Points Received
1.	Have personnel responsible for euthanizing and depopulating layers in a humane manner, received annual training based on UEP Guidelines (i.e., guidelines, video, demonstrations, etc.)?	5	
2.	Have all company poultry caretakers, including contract employees, signed the Code of Conduct form?	5	
Section V - Total Points		10	

REMARKS:

AUDIT EXPENSES	HOURS	EXPENSES
AUDIT TIME		
TRAVEL TIME (INCLUDED IN AUDIT TIME)		
TRAVEL EXPENSES		
OTHER EXPENSES		
TOTAL EXPENSES		

Poultry Programs Verification Checklist	
Assessment of Measures Implemented to Prevent Commingling of UEP Certified And Non-certified Eggs	
Name of Company	Date of Audit
Name and Address of Facility	
<p>1. Does the company purchase eggs for resale?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, complete item 2 below.</p>	
<p>2. When purchased, is the source a company or producer participating in the United Egg Producers Certified Program?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If no, complete item 3 and 4</p>	
<p>3. Were records of egg purchases from both UEP certified and non-certified companies available for review?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>4. Procedures established and implemented to prevent the commingling or identity of non-certified eggs as UEP Certified?</p> <p style="text-align: center;"><input type="checkbox"/> Yes <input type="checkbox"/> No</p>	
Signature of Auditor	

Guidelines for Calculating Average Cage Space Per Layer in a House

- Request the total number of layers in the house.
- Request the total number of cages in the house.
- Request the cage dimensions. If more than one size cage was used in the construction of the house, request the number and dimension of each cage.

Determine the total square inches of cage floor space in the house as follows:

$$\begin{array}{l} 1. \text{ Square} \\ \text{Inches of} \\ \text{Floor} \\ \text{Space} \\ \text{Per Cage} \end{array} = \begin{array}{l} \text{Width of} \\ \text{Cage} \end{array} \times \begin{array}{l} \text{Length of} \\ \text{Cage} \end{array}$$

$$\begin{array}{l} 2. \text{ Total} \\ \text{Square} \\ \text{Inches of} \\ \text{Floor Space} \\ \text{in House} \end{array} = \begin{array}{l} \text{Total} \\ \text{Number} \\ \text{of Cages} \end{array} \times \begin{array}{l} \text{Square} \\ \text{Inches of} \\ \text{Floor} \\ \text{Space Per} \\ \text{Cage} \end{array}$$

Determine the average cage space per layer in the house as follows:

$$\begin{array}{l} \text{Average} \\ \text{Cage Space} \\ \text{Per Layer} \end{array} = \begin{array}{l} \text{Total} \\ \text{Square} \\ \text{Inches of} \\ \text{Floor} \\ \text{Space in} \\ \text{House} \end{array} \div \begin{array}{l} \text{Total} \\ \text{Number} \\ \text{of Layers} \\ \text{in House} \end{array}$$

LAYER HOUSE WORKSHEET

Cage Space Verification OPTION I

Date: _____

Facility: _____

House Identity: _____

Sample No.	Column No.	Recorded Layers	Observed Layers	Difference (+)
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				

Cage No.	Column No.	Recorded Layers	Observed Layers	Difference (+)
19				
20				
21				
22				
23				
24				
25				
26				
27				
28				
29				
30				
31				
32				
33				
34				
35				
36				

Recorded Layers = Record the number of layers in each cage for the column examined per facility records

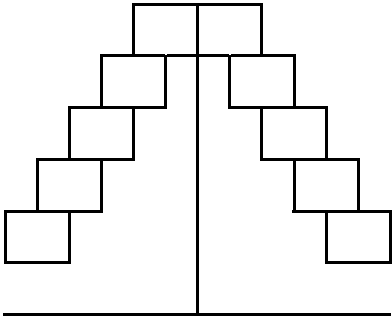
Observed Layers = Record number of layers observed in the cage.

Difference (+) = Record only the number of observed layers that exceeds that recorded by company

Refer to option 1 procedure for normal and reduced sampling plans. See key below.

Applicant Status	Type of Plan	Sample Size		Accept	Reject
History of Conformance	Reduced	1 st	18	0	2
		2 nd	<u>18</u>		
		Total.....	36		
No History of Conformance	Normal	1 st	36	0	4
		2 nd	<u>60</u>		
		Total.....	96		
				3	4

Schematic of Layer House



For this example, a battery of cages includes 2 rows with 5 cages in a column.

Row Number

	1	2		3	4		5	6		7	8		9	10	
Column 1			360	361		720	721		1080	1081		1440	1441		1800
Column 180			181	540		541	900		901	1260		1261	1620		1621

As stated in the audit instructions, plant management is responsible for maintaining a method for identifying the specific location of cage columns within the layer house(s) at the facility.

UNITED EGG PRODUCER ANIMAL HUSBANDRY AUDIT LAYER/PULLET HOUSE WORKSHEET		
Company Name:	Facility Identity:	Audit No.:
		Auditor:
Layer House	Yes	No
Are layers able to stand comfortably upright in cages?		
Do layers have access to feed and water?		
Is feed and water fresh and free of prevalent contamination?		
Is the system for delivery of water functioning properly? Verify function of water system in separate locations throughout the facility. At four locations, record the number of layers accessing water system.		
Is the method and measurement of light intensity at the feed trough acceptable? If additional light is necessary for inspection of individual layers, are equipment/procedures acceptable?		
Does ventilation system provide fresh air to all layers?		
Is the method (including calibration and accuracy of measurement) and equipment used to determine ammonia concentration levels in the house acceptable?		
Is layer house secure from unmonitored visitors/pests?		
Are injured or dead carcasses removed daily?		
Are standby generators and alarm systems provided?		
Do procedures (identity and segregation) and record keeping practices demonstrate isolation of eggs purchased from sources not certified by UEP?		
Are handling practices demonstrated properly?		
Cage Free Layers		
Litter throughout house, especially at the water source, is properly managed?		
Layers are provided fresh feed and water?		
Nests and nesting materials adequately maintained?		
Eggs collected at least daily?		
Handling and capturing practices do not injure the hens?		
Observe the following when occurring during audit visit		
Is euthanization of layers satisfactory?		
Are beak trimming personnel properly trained and monitored for quality control?		
Are beaks trimmed properly? (When possible, observe trimming 100 chicks)		
Are crews handling and transporting layers according to UEP Guidelines? (When possible, observe handling of 100 layers)		
Are pullet carts of acceptable design utilized and cleanliness maintained?		
Is feed and water present prior to transport of layers?		
Is cleanliness of transport vehicles maintained?		
Are molting procedures consistent with practices employed by the company?		
Pullet House		
Feed level acceptable following beak trim?		
Is feed and water fresh and free of prevalent contamination?		
Are handling practices demonstrated properly? (When possible, observe handling of 100 pullets)		
Is feed and water present prior to transport?		
Comments:		

USDA, AMS, Livestock, Poultry, and Seed Program
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http://apps.ams.usda.gov/plantbook/grbr_states2.htm

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USDA, AMS, Livestock, Poultry, and Seed Program
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- Colorado
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- Arizona
- Utah
- Wyoming

Certificate of Conformance (COC) for Beak Trimming

Our customer _____, being recognized by UEP as a United Egg Producers Certified Company has requested that we provide this COC to confirm that as a service provider we are meeting the husbandry guidelines as identified in UEP's Animal Husbandry Guidelines for the service of beak trimming. We further understand that our customer must annually be audited, by a third party independent auditor and this COC will be among the records that the auditor will review. Our company will maintain records to demonstrate compliance with the elements of this certificate.

Therefore, by a check mark below, we confirm that our company has met the following guidelines:

Training

_____, UEP's training video section on beak trimming is used to train all new members of the beak trimming crew and periodically shown to the entire crew.

For Beak Trimming During growing Period

1. _____ The chicks were beak trimmed at 10 days or younger.
2. _____ If necessary, a second trim was conducted before pullets were 8 weeks old.
3. _____ Beak trimming crew has been trained and is monitored by a supervisor for quality control.
4. _____ Approximately 2 days before and 2 to 3 days after beak trimming, vitamin K or Vitamin C was added to the water or feed.
5. _____ The levels of feed and water were adjusted until beaks were healed.
6. _____ The blade and guide holes of the beak trimmer were cleaned daily.

For Beak Trimming At Day Old At Hatchery

1. _____ The beak trimming crew has been trained and is monitored by a supervisor for quality control.
2. _____ The beak trimming machine is cleaned daily.

Service Provider

Signed by

Date

Certificate of Conformance (COC) for Handling and/or Transportation

Our customer _____, being recognized by UEP as a United Egg Producers Certified Company has requested that we provide this COC to confirm that as a service provider we are meeting the husbandry guidelines as identified in UEP's Animal Husbandry Guidelines for the service of **Handling and/or Transportation**. We further understand that our customer must annually be audited, by a third party independent auditor and this COC will be among the records that the auditor will review. Our company will maintain records to demonstrate compliance with the elements of this certificate.

Therefore, by a check mark below, we confirm that our company has met the following guidelines:

Training

- 1) _____ UEP's training video section on Handling and Transportation was viewed as training of the handling and transportation crew for the moving of pullets or spent hens.
- 2) _____ All members of the catching and moving crew have been trained and are knowledgeable and skillful in handling pullets or spent hens with care.
- 3) _____ Hens or pullets were handled in a manner to minimize bone breakage and injury.
- 4) _____ Hens or pullets were removed from the cage one or two at a time by grasping both legs and supporting the birds breast as she was lifted over the feed trough.
- 5) _____ Pullet cage carts or spent hen cage carts were used for flock removal from the house.
- 6) _____ Pullets or hens were loaded into clean, well maintained transport containers and vehicles.
- 7) _____ Pullets or hens were loaded into each transport container at a density appropriate for the weather conditions.
- 8) _____ The cage and panel doors of transport vehicles were closed securely so that birds were not able to escape.

Service Provider

Signed by

Date

Layer House Worksheet Option II

Exhibit XII

Date: _____

Company Name: _____

Facility Name/Address: _____

House Number: _____

Sample Number	Column Number	Cage Size Length X Width	Cage Floor Space Square Inches	Layers Observed <small>(5 cages per column max.)</small>	Total Observed
1					
2					
3					
4					
5					
6					
7					
8					
9					
10					
11					
12					
13					
14					
15					
16					
17					
18					
19					
20					

$$\frac{\text{Total Square Inches}}{\div \text{Total layers observed}} = \text{Average Square Inches per layer}$$

Meets/exceeds minimum average cage space Yes No

White Layers

Brown Layers

Reschedule Form

Exhibit XIII - Version 2016

All UEP Certified audits will be announced. The auditor will provide a 7 day notice to the UEP Certified Company being audited. This form shall be completed by the auditor and submitted to UEP and the audit service provider (USDA, Validus, or FACTA) when the UEP Certified Company:

- 1) Reschedules a previously scheduled audit,
- 2) Delays the audit, or
- 3) Avoids the audit scheduling process entirely by not returning messages (within 5 business days) left by the auditor in an attempt to schedule the audit.

***This form shall not be completed when an audit is rescheduled due to a UEP recognized catastrophic event. UEP Companies should be made aware of possible additional costs associated with rescheduling UEP audits.

Instructions for use

- 1. When the above situations arise, the auditor will complete this form and fax to Mr. Gene Gregory at UEP (fax# 770-360-7058) and their lead audit supervisor (AMS, Audit Section or Validus).
- 2. Mr. Gene Gregory or his designee will then contact the UEP Company to discuss the annual audit requirement, followed by notifying the applicable audit service provider that the company has confirmed their certified status and will submit to the audit.

To be completed by the auditor:

- 1. Name and address of the production facility: _____

- 2. Name of company representative rescheduling audit: _____
- 3. Name of individual auditor sending form to UEP: _____
- 4. Date audit was rescheduled, delayed, or no response provide: _____
- 5. Date form was sent to UEP: _____

If provided, state reason given by UEP Certified Company for rescheduling or delaying the audit.

Auditor’s response to UEP Company: (It is important to notify the UEP Company that UEP will be notified per this form when the audit is rescheduled or delayed. The number of delayed audit occurrences will be tracked by UEP.)

To be completed by UEP

- 1. Date the form was received by UEP: _____
- 2. Total number of occurrences by the UEP Certified Company: _____
- 3. Action taken by UEP: _____

Opening and Closing Meeting Checklist

- Conduct an opening meeting, including as appropriate:**
 - Introduction of participants and their roles;**
 - Confirmation of audit purpose, scope, and criteria;**
 - This confirms why the audit is taking place (purpose), the boundaries of the audit as limited to the requirements or audit criteria (scope), and audit requirements referenced in the guidelines, procedure, and checklist (criteria)
 - Also confirm checklist areas evaluated, point structure, and information about conditions under which the audit may fail (listed in procedure) or be terminated (such as lack of cooperation, safety, access to records and areas within the scope of the audit)
 - Confirmation of audit timetable and other relevant arrangements;**
 - Methods and procedures to be used to conduct the audit;**
 - Briefly confirm the option selected and methods used to perform the audit
 - Confirmation of formal communication channels;**
 - Offer the opportunity for the auditee to ask questions;**
 - Confirmation that auditee will be kept informed of audit process during the audit;**
 - This confirms that the auditee will be advised of the audit progress and identified non-conformances during the audit
 - Confirmation that the resources and facilities needed by the auditor are available;**
 - Confirmation of confidentiality matters;**
 - Confirmation of relevant work safety, emergency, and security procedures for the auditor; and**
 - Confirmation of the availability, roles, and identities of auditee guides.**

- Conduct closing meeting, including as appropriate:**
 - Present audit findings and conclusions;**
 - Provide positive feedback
 - Discuss next steps in report distribution process;**
 - Checklist approval process including timetable
 - Information about any appeal system on the conduct or conclusion of the audit; and**
 - Offer the opportunity for the auditee to ask questions.**

Code of Conduct for Poultry Caretakers
(Employee or Contract)

Employee Name _____ (Print)

Date _____

1. Fresh feed must be made available on a daily basis. If not, correct problem or contact supervisor.
2. All lights should be in working order. If lights are not in working order, correct problem or contact supervisor.
3. Air should be moving through the house at all times. If fans, air inlets or curtains are not in working order, correct the problem or contact supervisor.
4. Water must be available at all times. Water supply issues must be corrected or brought to the attention of the supervisor.
5. Shelter should be appropriate for bird's age, type, and production. Correct the problem or notify supervisor if you should see equipment that is broken or worn out to include cages, nest boxes, perches, litter areas, netting, and fencing.
6. Biosecurity rules and standard animal welfare practices need to be obeyed. If biosecurity rules are not being followed by other employees, contact supervisor.
7. Safety rules of the farm must be followed. If the safety rules of the farm are not being obeyed, contact the supervisor.
8. Injured or sick birds need to be taken care of. Contact supervisor if you have questions about the action to be taken with such birds.
9. Proper euthanasia of sick, injured or cull birds will be conducted by a trained employee. Contact supervisor if you are unable to perform this task.
10. Dead birds will be removed from bird living area on a daily basis and properly disposed of. Contact supervisor if procedure is not being followed by all employees.
11. All birds (live or dead) will be handled with respect and dignity. Proper handling and catching methods to minimize stress must be followed. Any person not adhering to this should be reported to supervisor.

Employee Signature: _____

Supervisor Signature: _____ Company: _____