



COMMON SWINE INDUSTRY AUDIT



Instructions, Standards and Audit Tool
Effective January 2021

INSTRUCTIONS

Preface

U.S. pork producers recognize their obligation to build and maintain the trust of customers and the public in their products and practices. Everyone involved in pork production has an ethical responsibility to produce safe food, protect and promote animal well-being, safeguard natural resources, provide a safe work environment, protect public health, and contribute to a better quality of life in their communities.

By participating in third-party audits of their operations, producers can demonstrate they are achieving these goals. Third-party audits are one component of a comprehensive commitment to build and maintain the trust of customers and consumers. Third-party audits can demonstrate transparency, credibility, and assurance of process compliance to production units and provide useful feedback for continuous improvement.

In 2013, a task force of industry stakeholders – including producers, veterinarians, animal scientists, packers, processors, and retail and foodservice representatives – were tasked with developing a workable, credible and affordable common on-farm audit system for the swine industry. Their specific objectives were to:

- provide stakeholders with a consistent, reliable, and verifiable system that assures on-farm swine well-being and pre-harvest pork safety,
- eliminate unnecessary duplication and minimize the administrative and cost burdens redundant audits could impose on producers, packers, and processors.
- develop consensus about consistent standards between and among various independent audit programs, and
- create a standard process that results in inter- and intra- observer consistency and protection of swine herd health through biosecurity protocols.

The task force developed the Common Industry Audit Standard while considering scientific evidence, ethics, and economics. These three factors must be balanced for the swine industry to remain sustainable. The world and the marketplace are dynamic and so the Common Industry Audit Standard must also remain dynamic. The task force will consider revisions to the Common Industry Audit Standard on an annual basis by reviewing results of aggregated audit data, new scientific discoveries, changes in the marketplace, and evolving consumer trends. Balancing these inputs on a consistent basis and adapting the Common Industry Audit Standard accordingly will foster continuous improvement within the U.S. pork industry.

Audit Objectives

This Common Industry Audit Standard establishes the criteria that any on-farm swine audit must include to be comprehensive and credible. The Common Industry Audit Standard allows packers and customers to verify that a pork production site is in compliance with established standards for swine care and pre-harvest pork safety, while reducing the potential costs and administrative burdens that would be imposed if producers were required to participate in multiple, redundant audits. The results of the audit can provide feedback to the farm to drive continuous improvement and indirectly measures the effectiveness of the industry's Pork Quality Assurance Plus® (PQA Plus®) program and other educational efforts.

Audit Scope

The Common Industry Audit Standard includes 27 key aspects of swine care and pre-harvest pork safety through all phases of production. The audit covers the full lifecycle of the pig while they are on the farm, including pig handling and load-out for transportation. The audit is designed to be independent of housing designs, size of operation, or geographical location.

Four areas will be reviewed during the audit:

- Records
- Animals
- Facilities
- Caretakers

Auditor Certification & Training

The audit tool is available for anyone in the swine industry to use. It is recommended that third party auditors have training in the discipline of auditing and have on-farm training with swine.

Scheduling an Audit

An audit should take place under normal operating conditions. It is encouraged to schedule audits when loading or unloading are occurring if possible. It is not recommended to conduct an on-farm audit during a disease outbreak. If it is necessary to conduct a third-party audit during a period of disease outbreak that seriously affects the majority of results this must be noted in the final report because this evaluation may not be an accurate representation of farm management or pig status. A site is defined by its standard

Premises Identification Number (PIN) which is assigned when a producer registers the site through a state, tribal or federal animal health authority who obtains the PIN through the USDA APHIS PIN allocator. A standard premises identification number is made up of seven alphanumeric characters that uniquely identify a specific geographic location. Registration and contact information for each state can be found at: <http://www.pork.org>.

An on-farm third party audit must include all pigs and facilities located at the geographic location identified by the Premises Identification Number. If multiple sites of the operation are included in the third-party audit, review the visit sequences in order to maintain biosecurity for the operation. It will be helpful to have the caretakers that know the information for each audit criterion available during the visit. For example, you may need the site manager available to review the farm's emergency action plan.

Preparing for an Audit

- Contact the producer to schedule an on-farm third-party audit visit.
- Provide the producer with a copy of the audit form and request their biosecurity protocol and animal inventory.
- Confirm the biosecurity protocols for the site. This will assist with scheduling and planning the flow of the third-party audit once you arrive at the site.
- A caretaker with responsibility for the care of the animals in that facility needs to be on-site during the audit. Discuss any translator needs and logistics for having an interpreter present during the audit. Note, lack of an interpreter on-site at the time of the audit should not be a barrier to conducting the audit.
- Ask for the current animal inventory by phase of production and housing type and a site map of the facilities. While the animal inventory may change before you arrive on the farm, this information will assist with calculating your animal sampling protocol and planning the flow of the audit once you arrive at the site.
- Records may be kept on each individual site, at a central location or a combination of the two. Records or copies of the records should be returned to the site for the verification visit or arrangements made for them to be reviewed at an off-site location if biosecurity is a concern. Records can be viewed as physical or electronic documents. Inform the producer what records you will want to see and discuss how and where these will be reviewed during the visit.

Biosecurity

Biosecurity is a combination of management practices designed to prevent the transmission of diseases and disease-causing agents. Biosecurity can be either external (keeping diseases out of a herd) or internal (keeping a disease already in one or more segments of the herd from spreading to other segments). Biosecurity generally involves restricting the movement of anything capable of carrying disease or disease agents, including people, equipment, pigs, birds, other animals, and water.

It is critical that the auditor does not compromise the biosecurity of a swine farm. The auditor does not want to be responsible for introducing a disease to the farm or spreading a disease within the farm. To efficiently conduct the on-site verification, the auditor needs to understand the biosecurity protocols he or she will be subject to, as well as the physical layout of the operation.

Instructions

Many farms have established biosecurity protocols that must be adhered to by the auditor. This includes required hours of downtime, personnel entry procedures, and if and how external equipment/materials can be brought into the site. In the event of a farm not having a biosecurity protocol, the auditor still needs to follow some basic biosecurity principles including:

- **Downtime** – There should be at least 24 hours of downtime between site visits. Also avoid fairs, livestock shows, livestock sales, livestock sale barns and exhibitions with live swine or areas that have housed live swine 24 hours before each visit. Auditors should always make sure they have showered and changed clothes between farm visits.
- **If you have traveled internationally and had contact with livestock** – There should be at least 48 hours of downtime between farm visits. If you have traveled internationally to a country with foot-and-mouth disease, there should be at least five full days of pig-free downtime.
- **If you are sick or recovering from flu-like symptoms or other contagious diseases** – Postpone the visit until you are symptom free for at least 24 hours.
- **If the farm is undergoing or recovering from an active disease issue** - Postpone the visit until the pigs are fully recovered.
- **Pre-planning for resources and equipment** – Contact the producer in advance to determine what resources they have on-farm for use during the visit. Always use the resources the producer has available. Ask what resources you are allowed to bring into the farm. This includes clipboards, paper, pens, ammonia tubes, duct tape and an ambient temperature thermometer. If you are not allowed to bring these items to the farm, arrangements must be made for the farm to have them available when you arrive. Make sure to also have a supply of disposable outerwear including coveralls, gloves, boots, hairnets, and respiratory protection such as a particulate mask. Make sure to have hand sanitizer, disinfectant wipes and at least one garbage bag and quart-sized sealable plastic bag for each visit. These items should be stored in the clean area of your vehicle. Remember, anything that is taken on the farm will have to be cleaned and disinfected before leaving so things like clipboards need to be plastic and pens must be disposable.
- **Vehicle** – Designate the inside of the vehicle as the clean area and the trunk, or a container or bag in the trunk, as the dirty area. Dirty outerwear must not come in contact with the clean area. Also, clean items must not be stored in the designated dirty areas.
- **Parking** – Vehicle should be parked in an area marked by the producer. If possible, park the vehicle at least 500 feet away from areas that house livestock or livestock wastes. Try to park on hard surfaces or gravel. Do not park in or drive through muddy areas on the farm. Keep the windows up to prevent flies from entering your vehicle.
- **After you park** – Change into disposable outerwear either in the vehicle or right beside it. This includes disposable coveralls, two pairs of disposable boots (double up – the outer pair should be removed before entering the facility), hairnet, gloves, and respiratory protection. Gather the equipment, garbage bag, hand sanitizer, sanitizing wipes and sealable plastic bag. Place garbage bag, sanitizer, wipes, and sealable plastic bag in an easily accessible location outside of the vehicle and away from animal holding areas for use when the audit is complete.
- **On the farm** – Many operations will require the auditor to shower-in to the facility prior to entering the operation. If so, you will not be able to leave and return without showering-out then showering back into the facility. Because of this, you should plan to conduct any part of the audit process that occurs outside of the buildings (i.e. emergency back-up generator) either prior to entering or after all inside aspects of the audit are complete.

Understanding how the facility is arranged for biosecurity will also help you determine the timing and order to conduct portions of the audit. Knowing the layout of the facilities also will help you determine how many air quality measurements may need to be taken and in what areas of the farm the measurements are taken.

Prior to leaving – Place paperwork in a quart size sealable plastic bag. Clean equipment and the outside of the bag with disinfectant wipes and allow to dry. Remove the disposable protective outerwear and place in the garbage bag along with the used disinfectant wipes and then seal the bag. Ask the producer to dispose of the bag or place it in the trunk for disposal in the municipal trash after leaving the farm. Finally, use hand sanitizer to sanitize hands and wrists before entering the clean part of the vehicle. Shower, clean shoes, and launder clothes before visiting the next farm or other livestock.

Animal Selection

STEP 1. Quantify the population of pigs and types of housing used on the site.

- Ask the producer for the current animal inventory by phase of production and housing type and a site map of the facilities. Be sure to ask how many rooms/barns are on the site that currently house pigs.
- Pigs on the site should be categorized as either:
 - Breeding: sexually mature gilts, sows, boars, and neonatal piglets
 - Non-breeding: nursery, grower, and finisher sized pigs. Gilts in GDU/isolation units should be sampled as part of the non-breeding herd.
- The lactating sow and her litter are evaluated as a unit rather than at the individual piglet level. Neonatal piglets are not included as part of the animal inventory but are included in the audit by evaluating litters associated with randomly selected lactating sows. For example, if two piglets in the litter have an open wound, the sow/litter unit is recorded as one occurrence. Specific details should be recorded in the comment section.

STEP 2. Identify the minimum number of pigs you need to observe for each phase based on Table 1.

- All pigs need to be observed during the audit, but the benchmarking criteria are only calculated from a statistical sample of the pigs.
- Only healthy pigs should be included in the sample size for benchmarking points. Treatment pens/stalls or cull pens must be included in the sample when evaluating humane euthanasia and treatment management (audit questions 2-5, 34, 35 and 85-86). A treatment pen/stall may also be referred to as sick pens, hospital pens, etc. All terms refer to some sort of segregated space where animals receive special attention or treatment.
- The sample size must be large enough to allow for detection of at least a 1% occurrence at a 95% confidence level. Use Table 1 to determine the minimum number of pigs to observe per site.
- If the number of pigs on a site does not match a number given in Table 1, round up to the closest inventory number on the table. For example, if the producer has 210 pigs round up to 250.
- For sites that have both breeding and non-breeding animals on the site, you will need to refer to Table 1 two times – once for each phase of production – to calculate your total minimum sample size.
- Use the worksheet below to further determine which pigs to observe on the site. This worksheet will help you understand how many pigs to observe and how to take a representative sample from the entire site.

STEP 3. For each phase (breeding and non-breeding), calculate the percentage of pigs present for each age and housing type to determine a representative sample from the entire site.

- For example, the percentage = # sows housed individually in gestation ÷ total number of pigs in breeding.

STEP 4. For each phase (breeding and non-breeding), calculate the sample size of pigs to observe for each age and housing type to determine a representative sample from the entire site.

- For example, the total # of pigs to observe in breeding × the percentage of sows housed individually in gestation = the # of individually housed sows to observe.
- Always round the calculated number up to fit housing setup (i.e. pen size).

STEP 5. Determine which animals/pens you will be observing before you enter the barn.

- The numbers calculated in Step 4 are a minimum number for each phase of production. **Pigs from all rooms/barns must be included in the sample to observe.** To accomplish this, you may need to be increase the number of pigs to observe for each phase and housing type.
- Selecting which pigs to observe should be determined prior to entering the barn to reduce the chance of bias in the observed sample. Remember, pigs from all rooms/barns must be included in the sample to observe.
- For group housed pigs, divide the number of pigs to observe by the average number of pigs/pen to determine how many pens should be observed always rounding up (6.1 pens requires 7 pens to be observed). Remember, pigs from all rooms/barns must be included in the sample.
- To select pigs in stalls or pens, divide the total number stalls/pens by the minimum number to evaluate = every Xth stall or pen. If the stall or pen to evaluate is a treatment pen or empty, move to the next stall in line.

Total pigs per phase	Minimum pigs to observe
50	50
100	95
150	129
250	174
350	201
450	218
600	235
700	243
800	249
1000	258
2000	278
3000	284
4000	287
5000	289
10,000 +	294

Always remember to round up!

Instructions

- If the sample dictates that only one or two pens are observed per barn/room across several barns/ rooms on the site, randomize which pens are observed so that you are observing pigs in different locations throughout the barn. For example, you need to evaluate 1 pen in each of 7 barns. Vary the locations of the sample pens so that the first pen in each of the barns are not the only pens observed.

Any pigs identified with an issue outside of the pre-determined sample size should not be included in the evaluation. However, they should be noted and discussed with the producer. The exceptions are any observations related to observations of willful acts of abuse and humane euthanasia.

	Step 1	Step 2	Step 3	Step 4	Step 5
Total Pigs on Site =		# to observe from Table 1	Percentage	# of pigs to observe	Pigs to observe
Total Pigs in Breeding =					
# in Gestation housed:					
individually =					
in groups =					
# in Farrowing housed:					
individually =					
in groups =					
# Boars on the site =					
Total Pigs in Non-Breeding =					
# in Nursery (<10 wks.) housed in groups:					
# in Finishing (>10 wks.) housed in groups:					

Example 1: Determining the number of animals to observe with large group and individually housed animals:

STEP 1. Identify how many pigs are kept in each type of housing

- A producer has a breed-to-wean site with 120 gestating sows in one large group pen and 20 farrowing sows with their piglets housed individually in one room. The farm also has 5 boars for a total of 145 pigs on the site.

STEP 2. Identify the minimum number of pigs you need to observe for each phase based on Table 1.

- Using Table 1, the verification should be done on a total of 129 pigs. Since 145 is not listed in the table, remember that you must round up to the next highest number, 150.

STEP 3. For each phase (breeding and non-breeding), calculate the percentage of pigs present for each age and housing type to determine a representative sample from the entire site.

- These 129 animals should be spread proportionately throughout the gestation and farrowing phases. Review the worksheet below to see how to achieve good representation throughout all phases on the site.

STEP 4. Calculate the number of pigs to observe for each age and housing type to determine a representative sample from the entire site.

- According to the calculations, 108 sows should be observed in gestation and 19 sows should be observed in farrowing, and all 5 boars should be observed on the site. **Remember to round up in the calculations.**

STEP 5. Determine which animals/pens you will be observing before you enter the barn.

- To select which sows to observe in gestation, divide the number of pigs to observe (108) by the average number of pigs/pen (120) to determine how many pens should be observed. Remember to round up in the calculations. Since all sows in gestation are housed in one pen in one barn, observing every animal in the one pen is sufficient.
- To select which sows to observe in farrowing, divide the total number stalls (20) by the minimum number of pigs to evaluate (19) to determine how many stalls to observe. This means every stall should be observed to achieve the sample.

Example 1	Step 1	Step 2	Step 3	Step 4	Step 5
Total Pigs on Site =	145	# to observe from Table 1	Percentage	# of pigs to observe	Pigs to observe
Total Pigs in Breeding =	145	129			
# in Gestation housed:					
individually =					
in groups =	120		$120 \div 145 = 0.83$	$129 \times 0.83 = 108$	$108 \div 120 = 1$
# in Farrowing housed:					
individually =	20		$20 \div 145 = 0.14$	$129 \times 0.14 = 19$	$20 \div 19 = \text{every stall}$
in groups =					
# Boars on the site =	5		$5 \div 145 = 0.04$	$129 \times 0.04 = 5.16$	All 5 boars
Total Pigs in Non-Breeding =					
# in Nursery (<10 wks.) housed in groups:					
# in Finishing (>10 wks.) housed in groups:					

Example 2: Determine the number of pigs to observe on a site with group and individually housed animals:

STEP 1. Identify how many pigs are kept in each type of housing.

- A producer has a farrow-to-finish site with 6,435 pigs of which there are
 - 435 in the breeding herd:
 - 325 sows housed individually in gestation and 50 sows housed as one large gestation group in one room
 - 50 sows housed individually in one farrowing room
 - 10 boars housed individually in the gestation barn
 - 6,000 in the non-breeding herd:
 - 100 pens of nursery pigs with 20 pigs per pen in one barn
 - 200 pens of finisher pigs with 20 pigs per pen in two barns

STEP 2. Identify the minimum number of pigs you need to observe for each phase based on Table 1.

- Each phase, Breeding and Non-Breeding, is looked at separately on Table 1. Therefore, based on Table 1, a total of 218 pigs in the breeding herd and 294 pigs in the nonbreeding herd should be observed.
- Remember, if the number of animals in a phase of production does not match a number given in Table 1, round up to the closest number on the table.

STEP 3. For each phase (breeding and non-breeding), calculate the percentage of pigs present for each age and housing type to determine a representative sample from the entire site.

- These 512 animals (218 in breeding and 294 in non-breeding) should be spread proportionately throughout each age and housing type. Review the worksheet below to see how to achieve good representation throughout the site.

STEP 4. Calculate the number of pigs to observe for each age and housing type.

- According to the calculations, 164 individual and 27 group housed sows in gestation, 27 sows in farrowing, and 7 boars totaling 225 breeding animals observed on the site. Also, 98 nursery pigs and 197 finisher pigs totaling 295 non-breeding animals observed on the site. Remember to round up in the calculations.
- Remember that **animals from all rooms/barns must be included in the sample**. You may want to observe more than the minimum number from Table 1 to achieve this.

STEP 5. Determine which animals/pens you will be observing before you enter the barn.

- To select which sows to observe in gestation:
 - Divide the total number of stalls (325) by the minimum number of pigs to evaluate (164) to determine that every 2nd stall plus 2 additional stalls should be observed to achieve the sample size.
 - Divide the number of pigs to observe (27) by the average number of pigs/pen (50) to determine how many pens should be observed. Remember to round up in the calculations. Since all sows in gestation are housed in one pen in one barn, observing every animal in the pen is sufficient.
- To select which sows to observe in farrowing, divide the total number of stalls (50) by the minimum number of pigs to evaluate (27) to determine that every 2nd stall plus 2 additional stalls should be observed to achieve the sample size.
- To select which pigs to observe:
 - In the nursery, divide the number of pigs to observe (98) by the average number of pigs/pen (20) to determine that 5 pens should be observed. Divide the total number of pens (100) by the number of pens to observe (5) to determine that every 20th pen should be observed to achieve the sample size
 - In the finisher, divide the number of pigs to observe (197) by the average number of pigs/pen (20) to determine that 10 pens should be observed. Divide the total number of pens (200) by the number of pens to observe (10) to determine that every 20th pen should be observed to achieve the sample size. Remember that **animals from all rooms/barns must be included in the sample** and observing every 20th pen should provide 5 pens per barn.

Example 2	Step 1	Step 2	Step 3	Step 4	Step 5
Total Pigs on Site =	6435	# to observe from Table 1	Percentage	# of pigs to observe	Pigs to observe
Total Pigs in Breeding =	435	218			
# in Gestation housed:					
individually =	325		$325 \div 435 = 0.75$	$218 \times 0.75 = 164$	$325 \div 164 =$ every 2 nd stall + 2
in groups =	50		$50 \div 435 = 0.12$	$218 \times 0.12 = 27$	$27 \div 50 = 1$ pen
# in Farrowing housed:					
individually =	50		$50 \div 435 = 0.12$	$218 \times 0.12 = 27$	$50 \div 27 =$ every 2 nd stall + 2
in groups =					
# Boars on the site =	10		$10 \div 435 = 0.03$	$218 \times 0.03 = 7$	$7 \div 10 =$ every stall
Total Pigs in Non-Breeding =	6000	294			
# in Nursery (<10 wks.) housed in groups:	2000		$2000 \div 6000 = 0.33$	$294 \times 0.33 = 98$	$98 \div 20 = 5$ pens $100 \div 5 =$ every 20 th pen
# in Finishing (>10 wks.) housed in groups:	4000		$4000 \div 6000 = 0.67$	$294 \times 0.67 = 197$	$197 \div 20 = 10$ pens $200 \div 10 =$ every 20 th pen

Instructions

Example 3: Determine the number of pigs to observe on a site with group housed animals:

STEP 1. Identify how many pigs are kept in each type of housing.

- A producer has a wean-to-finish site with 5,000 pigs of which:
 - 2,000 are in the nursery in groups of 25 pigs per pen across 4 rooms
 - 3,000 are in finishing in groups of 1500 pigs per pen in two barns

STEP 2. Identify the minimum number of pigs you need to observe for each phase based on Table 1.

- Using Table 1, the verification should be done on a total of 289 pigs.

STEP 3. Calculate the percentage of pigs present in each phase (breeding and non-breeding) and housing type.

- These 228 pigs should be spread proportionately throughout the nursery and finishing phases. Review the worksheet below to see how to achieve good representation throughout all phases on the site.

STEP 4. Calculate the number of pigs to observe for each phase and housing type.

- According to the calculations, 116 pigs in the nursery and 174 pigs in finishing totaling 290 non-breeding animals observed on the site. **Remember to round up in the calculations.**

STEP 5. Determine which animals/pens you will be observing before you enter the barn.

- To select which pigs to observe:
 - In the nursery, divide the number of pigs to observe (116) by the average number of pigs/pen (25) to determine that 5 pens should be observed. Divide the total number of pens (80) by the number of pens to observe (5) to determine that every 16th pen should be observed to achieve the sample size
 - In the finisher, divide the number of pigs to observe (174) by the average number of pigs/pen (1500) to determine that 1 pen should be observed. However, there are two barns so the sample must be divided between the two barns, or 87 pigs per barn. Rather than observing the entire pen of 1500 pigs, randomly mark 87 pigs. These marked pigs will make up the sample to observe.
- Remember that **animals from all rooms/barns must be included in the sample.**

Example 3	Step 1	Step 2	Step 3	Step 4	Step 5
Total Pigs on Site =	5000	# to observe from Table 1	Percentage	# of pigs to observe	Pigs to observe
Total Pigs in Breeding =					
# in Gestation housed:					
individually =					
in groups =					
# in Farrowing housed:					
individually =					
in groups =					
# Boars on the site =					
Total Pigs in Non-Breeding =	5000	289			
# in Nursery (<10 wks.) housed in groups:	2000		$2000 \div 5000 = 0.4$	$289 \times 0.4 = 116$	$116 \div 25 = 5$ pens $80 \div 5 =$ every 16 th pen
# in Finishing (>10 wks.) housed in groups:	3000		$3000 \div 5000 = 0.6$	$289 \times 0.6 = 174$	$174 \div 1500 = 1$ pen

Conducting an Audit

- Auditors must conduct an opening meeting to make introductions, discuss the scope and purpose of the visit, review the methods and techniques that will be used, and discuss the logistics of the audit such as facility layout, access to documents, and escorts.
- Auditors must conduct the audit according to the Common Audit Standard and Audit Tool by reviewing records, evaluating the facilities, and observing the pigs on the farm.
- The site representative should accompany the auditor but not interfere with the auditor's work. The PQA Plus Advisor may be present during the third-party audit as well but is not required. The PQA Plus Advisor must not interfere with the auditor's work.
- If a willful act of abuse is witnessed by the auditor, the auditor should immediately intervene to stop the situation if reasonably and safely possible. The incident is reported to the site representative, farm owner and the manager. Although this will result in automatic failure, the audit may be completed at the discretion of the auditor to gather the rest of the data for the site.
- When observing facilities, auditors must evaluate the penning, flooring, feeders, and waterers where the sample animals are housed. Only alleyways that are used to move pigs are to be evaluated. The auditor may or may not enter the pens per their discretion. However, there may be items that require an auditor to enter the pen (i.e. looking at feeders, waterers, animal movement, etc.).
- If animals need to be moved for observation, auditors should request assistance from farm staff to make this happen. In the interest of sow and piglet well-being, sows that are actively farrowing or nursing piglets must not be made to stand.
- Several audit questions, particularly those related to caretaker training, may require the auditor to interview caretakers. Information is best gathered from the caretaker by using a conversational process and asking open-ended "who", "what", "when", "where", "how", and "why" questions. Examples of open-ended interview questions are:
 - » What tasks are you responsible for each day?
 - » What training did you receive to perform this task?
 - » How do you perform this task?
 - » Where do you record treatment information?
 - » When did this animal first receive treatment and how do you know?
 - » Who do you tell if you have concerns about animal care or handling?

Auditors should avoid asking leading questions that are asked with the expectation of a specific answer. Examples of leading questions are:

- » Do you follow the procedure for this operation?
 - » Don't you have to notify your supervisor whenever you have concerns about animal care or handling?
 - » Did you read the standard operating procedure for this task?
 - » Do you record the treatments on the sow cards?
- Auditors must provide detailed comments for at least any question found to be unacceptable during the audit.

Audit Scoring

The Common Audit Standard is designed to help the auditor complete the third-party audit. Each section provides specific details for how that criterion should be evaluated and marked on the Audit Form. The Audit Form is available at the end of the Audit Standard and must be used to record the result, score, and comments for each of the audit criteria.

There are five audit questions that are considered critical and do not have point values. If any of these criteria are found to be unacceptable, the site will automatically fail the audit. Even if there is an automatic failure, the remainder of the audit may be completed at the discretion of the auditor, to gather the rest of the data for the site.

Each remaining audit question is assigned a number of points. If a site meets the minimum standard, full points are awarded for that question. If a site does not meet the minimum standard, no points are awarded for that question. A site cannot earn partial points for any audit question.

Some audit questions will have a measure allocated to them. The measures beneath an audit question will have an impact on how that point is scored. For example, the aerial ammonia concentrations in the facility will be expressed as parts per million (ppm).

Some audit questions will have a calculation allocated to them. The result of the calculations beneath an audit question will impact how that point is scored. For example, the percentage of pigs with a body condition score (BCS) of 1.

Example Calculation for BCS	
1. Number of pigs with BCS of 1:	2
2. Total number of animals observed:	46
$(2 \div 46) \times 100 =$	4.3%

Some audit questions may not apply to a particular type of site. Special instructions are provided in the audit standard for these questions and define when it is appropriate for auditors to select the “Not Applicable” option. When a question is marked “Not Applicable”, the possible points must be subtracted from the total possible points for the section and the overall score.

The Transport/Load-Out section of the Common Audit Standard can only be evaluated if the site is loading animals for transport during the audit visit. If this activity is not observed, the total points must be adjusted accordingly to provide an accurate score for the site.

The audit tool is designed to provide a score for each section (animal/benchmarking, caretaker, facility, records, pork safety, and loading and transport) and an overall score for the site. Section scores allow for better interpretation of the overall audit score. Any audit questions considered critical that are found to be unacceptable will result in automatic failure of the audit. For the remainder of the audit questions, no minimum score has been established. Rather, section and overall audit scores for an individual site will be presented compared to aggregated audit scores from the rest of the industry. Interpretation of scores must come from the buyers (e.g. packers, customers) in the marketplace.

Completing an Audit

- Auditors must conduct an exit meeting to recap the purpose and scope of the audit, explain their findings and/or positive practices, and allow for questions for clarification on non-conformance issues. The auditor is not permitted to provide guidance for non-conformance issues (considered consulting) during any point of the audit or the exit meeting, as this is outside of their scope.
- Determine the name, address and/or email of the individual(s) who should receive the final copy of the report for the site. Submit a copy of the final visit report to the identified site contact(s) and to the party that paid for the third-party audit.
- If an audit question is found to be unacceptable during the audit, producers must complete a corrective action report to document that either the correction has occurred or that a plan is in place to address the issue in the future. Producers may choose to work with their PQA Plus Advisors to complete the corrective action report.
- Corrective actions for areas considered critical must be completed within 10 calendar days from the receipt of the final report. Corrective actions for all other areas must be completed within 30 calendar days from the receipt of the final report.
- Buyers in the marketplace (i.e. packers) will be responsible for reviewing and approving corrective action reports to determine if their supplier has adequately resolved the identified issue and if the site requires a re-audit.

ANIMAL WELL-BEING

Willful Acts of Abuse or Neglect *Audit Question: #1*

This topic is critical to assuring good animal well-being and is an area of automatic failure.

Objective: No willful acts of abuse or neglect are observed during the audit. These criteria apply to all pigs on site during the audit. Willful acts of abuse or neglect are defined as acts outside of normally accepted production practices that intentionally cause pain and suffering including, but not limited to:

- Intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, genitals, or rectum. Excessive prod use could qualify as a willful act of abuse. Electric prods must not be used on suckling piglets or on the day of weaning.
- Malicious hitting/beatings of an animal. This includes forcefully striking an animal with closed fist, foot, handling equipment (e.g. sorting board, rattle paddle, etc.), or other hard/solid objects that can cause pain, bruising or injury.
- Driving pigs off high ledges, platforms or steps while moving, loading, or unloading (animals are falling to the ground).
- Dragging of conscious animals by any part of their body except in the rare case where a non-ambulatory animal must be moved from a life-threatening situation. Non-ambulatory pigs may be moved by using a drag mat.
- Purposefully dropping or throwing animals.
- Causing physical damage to the snout or tusks of a boar as a means to reduce aggression (this excludes nose ringing and tusk trimming).
- Failure to provide food, water and care that results in significant harm or death to animals. This includes the intentional failure to provide food, water or care that falls outside of normal husbandry practices and would reasonably be considered neglect.

If a willful act of abuse or neglect is witnessed by the auditor, the auditor should immediately intervene to stop the situation if reasonably and safely possible. The incident is reported to the site representative, farm owner and the manager. Although this will result in automatic failure, the audit may be completed at the discretion of the auditor, to gather the rest of the data for the site.

Humane Euthanasia *Audit Questions: #2-5*

This topic is critical to assuring good animal well-being and is an area for automatic failure.

Objective: Animals are euthanized in a timely manner, which is defined as:

- Animals that have no prospect for improvement or not responding to care and treatment after two days of intensive care must be humanely euthanized unless otherwise recommended by a veterinarian. The caretaker's past experiences with similar conditions should be used to make informed decisions about the likelihood of recovery.
- Severely injured or non-ambulatory pigs with the inability to recover are euthanized immediately.
- An animal is considered non-ambulatory if it cannot get up or if it can stand with support but is unable to bear weight on two of its legs.
- Any animal that is non-ambulatory with a body condition score of 1 must be euthanized immediately.
- Pigs with hernias that are perforated must be euthanized. Pigs with hernias that are ulcerated and necrotic must be euthanized. Pigs with large hernias that touch the ground while standing and cause difficulty walking and are ulcerated must be euthanized.
- Any pig with an untreated prolapse that has become necrotic must be euthanized. Uterine prolapses must be euthanized immediately.

If it is possible the pig became injured between the last barn check and the audit, Question 2 should be marked as acceptable. Examples of these types of situations would include recently-farrowed piglets that are deformed or have suddenly been injured.

Animals are observed to be handled humanely during the euthanasia process. If animals are not euthanized in place, suitable equipment is available to move non-ambulatory animals so they can be humanely euthanized.

Caretakers are observed confirming animals insensible and dead, per AASV guidelines, after euthanasia method is applied and before being removed from the facility. When the opportunity arises, euthanasia methods will be observed.

If euthanasia is not performed during the audit visit, questions 3-5 can be marked as “Not Observed”. However, if a pig is euthanized prior to the audit but the auditor observes the animal to be unconscious but not dead, question 5 is marked as “Fail.”

Animal Handling *Audit Questions: #6-10*

Objective: Animals are handled appropriately for their age or condition as recommended in PQA Plus. If animal handling activities are occurring during the audit, these must be observed. If animal handling activities are not occurring at the time of the audit, caretakers are asked to demonstrate or articulate animal handling procedures.

Pigs should be moved at their normal walking pace. Aggressive handling must be avoided as it can lead to injured or stressed pigs. Aggressive handling includes things such as:

- Excessive or improper use, of electric prods
- Excessive loud noises and yelling
- Moving pigs too fast
- Moving too many pigs per group
- Overcrowding pigs in chutes, ramps, and alleyways
- Rough physical contact, such as forcefully striking an animal with the corner of a sorting board

Handling PIGLETS and NURSERY PIGS: Pigs can either be moved by herding or by picking them up and moving them by hand or with a cart. Pigs should be picked up by holding them under their rib cage, over the back, or by grabbing a rear leg above the hock, and then gently setting the piglets into a cart, alleyway, or pen. Before releasing a pig to the ground, the pig must have at least two points of contact before the handler lets go (i.e. two front legs). Pigs may squirm and wiggle when picked up so care should be used so that they are not dropped. Pigs must not be tossed, thrown, or picked up by ears or tail. When being held for an extended period, pigs should be held under the rib cage next to the handler’s body or by both rear legs using two hands.

Pigs should be moved in groups large enough to be efficient for the production system, but small enough to be safe for the pigs and the handler(s). Electric prods must not be used on suckling or weaned piglets. Electric prods must not be used to move nursery pigs out of pens.

Question 9 may be marked as “Not Applicable” or NA if the specified size of pig is never on the site.

Handling FINISHER PIGS: Groups of finished pigs should be small enough so that the handler can apply handling interventions to the pigs not moving. Electric prods must not be used to move market pigs out of pens.

Handling BREEDING STOCK: Groups of breeding stock should be small enough so that the handler can maintain control of all pigs in the group so handling interventions can be applied to the pigs not moving. Electric prods must not be used to move sows or boars out of pens.

Animal handling equipment that aids in sorting and moving pigs in a safe, humane, and efficient manner are available to be used during animal handling. Animal caretakers can articulate or demonstrate appropriate use of these tools. Animal handling equipment must be in good working order and not broken or have any sharp edges. Pipes, sharp or pointed objects or other items which would cause injury or unnecessary pain to the animal shall not be used when moving pigs. Boar harnesses need to be appropriately sized for the animal. If electric prods are used, the auditor needs to have some visual, aural, or behavioral indication that the prod was energized when applied to the pig.

Electric prods must not be used as a primary tool for animal movement. If it is necessary to use a prod, it should be applied to the back of the pig behind the shoulder and the duration of the shock must not exceed one second. The pig should be allowed five seconds to respond before another shock is given. No more than 25% of animals receive an electric shock. The auditor needs to have some visual, aural, or behavioral indication that the prod was energized when applied to the pig. If a single pig is prodded more than once, it is only counted as one animal. Prods must not be used on non-ambulatory pigs that have clearly been identified as non-ambulatory and should not be used more than twice on ambulatory animals that refuse to move. Excessive prod use could qualify as a willful act of abuse. Intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, genitals, or rectum also qualifies as a willful act of abuse.

Space Allowance

Audit Questions: #11

Objective: At least 90% of pigs observed have adequate space allowance. For pig space to be considered adequate, the pig must be able to:

- Easily lie down fully on its side (full lateral recumbency) without having to lie on another pig and easily be able to stand back up.
- Lie down without the head having to rest on a raised feeder.
- Additionally, a pig housed in a stall must be able to lie down fully on its side (full lateral recumbency) without the head having to rest on a raised feeder and the rear quarters coming in contact with the back of the stall at the same time.

# Observed with Adequate Body Space	÷	Total # Observed	x 100 =	% with Adequate Body Space
Breeding	÷		x 100 =	
Non-Breeding	÷		x 100 =	
Total	÷		x 100 =	

For animals housed in individual stalls, the stall size must be appropriate for the physical size of the pig and cannot cause injury to the animal. Back-to-back, back-to-udder, or udder-to-udder contact is appropriate if injury due to contact is not evident.

The lactating sow and her litter must be evaluated as a unit. Split-suckling practices may be used in rooms that are farrowing or have recently farrowed and are considered acceptable temporary housing for piglets. If all piglets can perform the criteria listed above without the split-suckling area, they are recorded as having adequate space.

Body Space must be reported for each phase of production (breeding and non-breeding) and for total pigs observed. **Audit score is based on total animal percentage.**

Body Condition Score (BCS) *Audit Questions: #12-13*

Objective: Animals must be fed to at least meet their minimum nutrient requirements for maintenance and/or growth of good body condition. Good body condition is defined as no more than 1% of the observed animals scoring a body condition score of 1. Any animal that is non-ambulatory with a body condition score of 1 must be euthanized immediately.

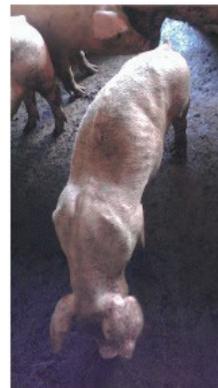
Body Condition Scoring Scale (at right)

Body Condition Score must be reported for each phase of production (breeding and non-breeding) and for total pigs observed. **Audit score is based on total animal percentage.** If zero animals are observed with a body condition score of 1, question 13 must be marked as “Not Applicable” or NA.

Image					
Score	1	2	3	4	5
Condition	Emaciated	Thin	Ideal	Fat	Obese
Detection of Ribs, Back Bone, “H” Bones and Pin Bones	Obvious/Visible	Easily detected with pressure	Barely felt with firm pressure	None	None

Taken from “Assessing Sow Body Condition” by R.D.Coffey, G.R. Parker, and K.M. Laurent (ASC-158; 1999)

# Observed with BCS 1	÷	Total # Observed	x 100 =	% with BCS 1
Breeding	÷		x 100 =	
Non-Breeding	÷		x 100 =	
Total	÷		x 100 =	



These animals have a body condition score of 1. Their ribs, vertebrae, hip, and pin bones are easily visible.

Lameness *Audit Questions: #14-15*

Objective: Note the number of pigs with severe lameness (category 4). No more than 2% of the pigs observed show signs of severe lameness. These pigs have been identified and are receiving treatment. Severely lame pigs that do not show improvement after two days of treatment must be evaluated per existing euthanasia protocol. Work with farm staff to ensure all animals evaluated for lameness are standing to observe their ability to bear weight.

Severe lameness must be reported for each phase of production (breeding and non-breeding) and for total pigs observed. **Audit score is based on total animal percentage.** If zero animals are observed with severe lameness, question 15 must be marked as “Not Applicable” or NA.

# Observed with Severe Lameness	÷	Total # Observed	x 100 =	% with Severe Lameness
Breeding	÷		x 100 =	
Non-Breeding	÷		x 100 =	
Total	÷		x 100 =	

Lameness Score	Description
0	Pig moves freely and uses all 4 limbs and feet evenly
1	Pig shows weight-shifting activities away from affected limb upon standing but shows little or no lameness or limping when walking
2	Pig obviously shifts weight away from affected limb when standing and shows limping or adaptive behavior when walking (head bob, arched back, caudal swagger, quickened step on affected limb, or shortened stride)
3	Pig is reluctant to stand and/or walk, obvious limp and adaptive behaviors when walking (head bob, arched back, caudal swagger, quickened step on affected limb, or shortened stride)
4	Pig is non-weight bearing on the affected limb when either standing or walking

Lameness Score Scale adapted from Karriker et al., 2013 and Nalon et al., 2014.

Lesion Scoring *Audit Questions: #16-31*

Objective: Skin lesions, particularly abscesses, open wounds, tail biting and shoulder sores, can be indirect indicators of how the animals are interacting and coping with their environment. Treatment protocols vary from farm to farm and by condition. Treatment can include observation, isolation, or medical intervention.

Abscesses are fluid-filled pockets in or under the skin that may cause the skin to be raised. They can be observed after a deep bruise, a penetrating injury, or an injection. Swollen ears are typically hematomas and are not considered abscesses. Large numbers of pigs observed with ear hematomas should be noted in the general comments. Note the number of animals observed with abscesses. No more than 5% of the pigs observed have abscesses.

# Observed with Abscesses	÷	Total # Observed	x 100 =	% with Abscesses
Breeding	÷		x 100 =	
Non-Breeding	÷		x 100 =	
Total	÷		x 100 =	



An example of a fluid-filled pocket in or under the skin that has caused the skin to be raised.

Abscesses must be reported for each phase of production (breeding and non-breeding) and for total pigs observed. **Audit score is based on total animal percentage.** If zero animals are observed with abscesses, question 17 must be marked as “Not Applicable” or NA.



This pig has a lesion that has completely penetrated the skin and is considered an open wound.

Open wounds are defined as gashes, breaks or openings that completely penetrate the skin. Animals with wounds that have scabbed over must not be counted. Note the location of the open wound to determine if one area is more common than others. Note the number of animals observed with open wounds. Lesions associated with ear tip necrosis and side suckling sores should be included here and noted in the comments. For piglets in the farrowing room, lesions associated with castration, ear notching, and tail docking are not included. Lesions associated with tattooing or treatment at any time are not included. Shoulder sores are evaluated in a separate section so are not included here. No more than 1% of the pigs observed have open wounds.

# Observed with Open Wounds	÷	Total # Observed	x 100 =	% with Open Wounds
Breeding	÷		x 100 =	
Non-Breeding	÷		x 100 =	
Total	÷		x 100 =	

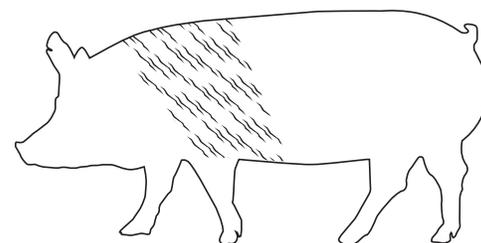
Open wounds must be reported for each phase of production (breeding and non-breeding) and for total pigs observed. **Audit score is based on total animal percentage.** If zero animals are observed with open wounds, question 19 must be marked as “Not Applicable” or NA.

Scratches are injuries to the skin that go into the skin but do not go all the way through. Animals with scratches that have scabbed over must be counted. The number of pigs with severe scratches must be noted. No more than 2% of the pigs are observed with severe scratches.

Scratches must be reported for each phase of production (breeding and non-breeding) and for total pigs observed. **Audit score is based on total animal percentage.** If zero animals are observed with severe scratches, question 21 must be marked as “Not Applicable” or NA.

# Observed with Severe Scratches	÷	Total # Observed	x 100 =	% with Severe Scratches
Breeding	÷		x 100 =	
Non-Breeding	÷		x 100 =	
Total	÷		x 100 =	

Score	Scratches Condition	Description
0	None / Minimal	Total scratches on <10% of body with no associated secondary adverse health conditions (including infection, necrosis, etc.)
1	Moderate	Total scratches on 10% - 25% of body with no associated secondary adverse health conditions (including infection, necrosis, etc.)
2	Severe	Total scratches on >25% of body with no associated secondary adverse health conditions (including infection, necrosis, etc.) -OR- Any scratch with associated secondary adverse health conditions (including infection, necrosis, etc.)



An example of a pig with total scratches on 25% of its body



Score 0: None/Minimal



Score 1: Moderate



Score 2: Severe

Shoulder sores are caused by pressure compressing the blood vessels supplying the skin and tissues covering the shoulder blade. This pressure interrupts the blood flow causing tissue damage and the formation of lesions. Note the number of animals observed with shoulder sores that are open sores or scabbed over. Animals with a healed shoulder sore with no scab must not be counted. No more than 5% of the pigs observed have shoulder sores.

# Observed with Shoulder Sores	÷	Total # Observed	x 100 =	% with Shoulder Sores
Breeding	÷		x 100 =	

Shoulder sores are observed in the breeding herd only. **Audit score is based on breeding herd percentage.** If the site only has non-breeding animals, questions 22 must be marked as “Not Applicable” or NA. If zero breeding animals are observed with shoulder sores, question 23 must be marked as “Not Applicable” or NA.

Standards

Tail biting is a behavior that negatively impacts the well-being of the targeted pig. Tail biting can result in open wounds, bleeding, infection, and even death. Note and record evidence of tail biting in the herd resulting in open wounds, bleeding, or infection of the tail. No more than 5% of the pigs in the herd observed show evidence of tail biting resulting in open wounds, bleeding, or infection of the tail.

# Observed with Tail Biting Lesions	÷	Total # Observed	x 100 =	% with Tail Biting Lesions
Breeding	÷		x 100 =	
Non-Breeding	÷		x 100 =	
Total	÷		x 100 =	

Tail biting must be reported for each phase of production (breeding and non-breeding) and for total pigs observed. **Audit score is based on total animal percentage.** If zero animals are observed with tail biting lesions, question 25 must be marked as “Not Applicable” or NA.

Hernias are the protrusion of the intestines through the muscles of the abdomen or groin. This includes abdominal and scrotal hernias. No more than 5% of the pigs observed have hernias larger than the size of a softball. Pigs with hernias that are perforated must be euthanized. Pigs with hernias that are ulcerated and necrotic must be euthanized. Pigs with large hernias that touch the ground while standing and cause difficulty walking and are ulcerated must be euthanized.

# Observed with Hernias	÷	Total # Observed	x 100 =	% with Hernias
Non-Breeding	÷		x 100 =	

Hernias are observed in the non-breeding herd only. **Audit score is based on non-breeding herd percentage.** If the site only has breeding animals, questions 26 must be marked as “Not Applicable” or NA. If zero non-breeding animals are observed with hernias, question 27 must be marked as “Not Applicable” or NA.

Prolapses are an eversion or the turning inside-out of the rectal lining, vagina, or uterus. These animals should be identified and isolated or treated as quickly as possible to prevent further injury and to enhance the chance of full recovery. Pigs with uterine prolapses must be euthanized immediately. No more than 1% of the pigs observed have prolapses. Prolapses that have not been addressed and have become necrotic are unacceptable and these pigs must be euthanized.

# Observed with Prolapses	÷	Total # Observed	x 100 =	% with Prolapses
Breeding	÷		x 100 =	
Non-Breeding	÷		x 100 =	
Total	÷		x 100 =	

Prolapses must be reported for each phase of production (breeding and non-breeding) and for total pigs observed. **Audit score is based on total animal percentage.** If zero animals are observed with prolapses, question 29 must be marked as “Not Applicable” or NA.

Vulva injuries can result in open wounds, bleeding, and infection. Note and record evidence of vulva injuries in the breeding herd resulting in open wounds, bleeding, or infection. No more than 5% of the pigs in the breeding herd observed show evidence of vulva injuries resulting in open wounds, bleeding, or infection.

# Observed with Vulva Injuries	÷	Total # Observed	x 100 =	% with Vulva Injuries
Breeding	÷		x 100 =	

Vulva injuries are observed in the breeding herd only. **Audit score is based on breeding herd percentage.** If the site only has non-breeding animals or only male breeding animals, questions 30 must be marked as “Not Applicable” or NA. If zero breeding animals are observed with vulva injuries, question 31 must be marked as “Not Applicable” or NA.

Treatment Management *Audit Question: #36*

Objective: Caretakers must have a method for tracking animals that are undergoing treatment. Caretakers must be able to demonstrate what treatments have been administered and how long that animal has been receiving the treatment. Caretakers must evaluate the effectiveness of the treatment and, if necessary, make good decisions about timely euthanasia.

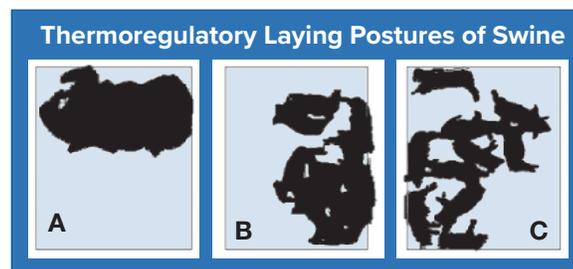
Thermal Comfort/Air Temperature *Audit Question: #32*

Objective: Pigs should not show thermoregulatory behaviors that indicate they are too hot or too cold and the air temperature at the pig level should be in the preferred temperature range for the phase of production. If the air temperature is outside the preferred temperature range for the phase of production and pigs are displaying thermoregulatory behaviors; the producer must have taken appropriate actions to minimize heat or cold stress.

As an example of thermoregulatory behaviors, the images at right portray the thermoregulatory laying postures of pigs in an environment with three different air temperatures. Take note of the pigs in relation to each other as well as the amount of free space within the pen. Image A depicts a pen of 10 pigs in an environment with cold air temperature. These pigs huddle very close together in a dense pile in one area of the pen. Image B depicts a pen of 10 pigs in an environment with ideal air temperature. These pigs have body contact with each other but do not pile excessively. Image C depicts a pen of 10 pigs in an environment with hot air temperature. These pigs spread out throughout the pen and avoid physical contact with other pigs in the pen.

The first step in establishing an audit score regarding thermal comfort is a visual assessment of the pigs. Auditors must also measure the air temperature at pig level. If the pigs are showing thermoregulatory behaviors indicating they are too hot or too cold and the air temperature is outside of the preferred range for the phase of production, the auditor should then interview the caretaker to see what steps have been taken to minimize heat or cold stress.

Heat or cold stress mitigation can also be verified visually (ex. the auditor sees misters or heaters running). If the caretaker has taken appropriate steps to minimize heat or cold stress, question 32 should be marked as acceptable.



Taken from Shao et al., 1997, in volume 40 of the Transactions of the American Society of Agricultural Engineers.

Critical Thermal Limits for Swine Production Phase	Lower Limit ¹	Upper Limit ²	Preferred Range
Lactating Sow and Litter	50°F for sow	90°F for sow	60-80°F for sows; 90-95°F for piglets
Prenursery, 10-30 lbs	60°F	95°F	80-90°F
Nursery, 30-75 lbs	40°F	95°F	65-80°F
Growing, 75-150 lbs	25°F	95°F	60-75°F
Finishing, 150 lbs-Market	5°F	95°F	50-75°F
Gestating sows	5°F	90°F	60-75°F
Boars	5°F	90°F	60-75°F

Table adapted from NRC (1981): Chapter 2; DeShazer and Overhults (1982): Chapters 1 and 2; Hahn (1985): Chapters 1 and 2

¹Bedding, supplemental heat or other environmental modification is recommended when air temperatures approach the lower critical limit. ²Except for brief periods above these air temperatures, some form of cooling should be provided when temperatures approach upper critical limits

Transport/Load-Out *Audit Questions: #37 & 71-79*

Objective: All transporters must be Transport Quality Assurance (TQA) Certified. This can be demonstrated by the current or most recent transporter delivering or loading pigs at the site providing their TQA card or name to verify TQA certification. Canadian transporters may alternatively be certified in the Canadian Livestock Transport (CLT) program. Those loading animals for transport must be trained according to practices taught in PQA Plus or TQA.

If loading animals for transport or unloading into the barn is occurring, the following must be observed during the audit. The audit should include the entire load-out process for one trailer. It is suggested to observe 1/3 of the load from the pen, 1/3 of the load from the alley, and 1/3 of the load from the chute. Observing the load from these locations is ideal, but biosecurity practices or facility design may limit observation from one or more of these suggested locations. If the trailer cannot be observed during load-out, questions 74, 77, 78 and 79 can be marked “Not Observed”. Transport trailers are in a good state of repair and properly aligned with the loading/unloading area. Handlers should move pigs in a way that prevents them from falling. Falling is defined as when a pig loses an upright position suddenly in which a part of the body other than the limbs touches the ground. Less than 1% of animals fall during loading or unloading. Pigs that are unable to walk or significantly injured consistent with TQA’s list of fitness for transport must not be transported.

Recommended Truck Setup Procedures Based on Air Temperatures (Market Pigs)		
Estimated Air Temperature	Bedding* (bags/trailer)	Side-Slats
<10	Heavy (6 bags)	90–95% Closed
11 - 20° F	Heavy (4-6 bags)	75–90% Closed
21 - 30° F	Heavy (4-6 bags)	50–75% Closed
31 - 40° F	Medium (3-4 bags)	50–75% Closed
41 - 50° F	Medium (3-4 bags)	25–50% Closed
51 - 60° F	Medium (3-4 bags)	0–25% Closed
61 – 90° F	Medium (3-4 bags)	0% Closed
> 90° F	Light (1-2 bags)	0% Closed

**Bedding refers to a 50-pound bale of wood shavings.*

Electric prods must not be used as a primary tool for animal movement. If it is necessary to use a prod, it should be applied to the back of the pig behind the shoulder and the duration of the shock must not exceed one second. The pig should be allowed 5 seconds to respond before another shock is given. No more than 25% of animals receive an electric shock. The auditor needs to have some visual, aural, or behavioral indication that the prod was energized when applied to the pig. If a single pig is prodded more than once, it is only counted as 1 animal. Prods must not be used on non-ambulatory pigs that have clearly been identified as non-ambulatory and should not be used more than twice on ambulatory animals that refuse to move. Excessive prod use could qualify as a willful act of abuse. Intentionally applying prods to sensitive parts of the animal such as the eyes, ears, nose, genitals, or rectum also qualifies as a willful act of abuse.

If the site does not use electric prods during load-out, question 73 can be marked “Not Applicable” or NA. Trailers must be appropriately equipped for weather conditions during transport. Protocols should comply with TQA and there may be variation depending on weather and phase of production.

Air Quality *Audit Question: #44*

Objective: Pigs do not show signs of exposure to poor air quality. If so, ammonia concentrations do not exceed 25ppm. Physical signs consistent with exposure to poor air quality include watery and mattery eyes and difficulty breathing. If physical signs are present in an air space, then ammonia concentrations must be measured in that air space. Ammonia concentrations can be measured using a number of technologies including dosimeter tubes, air meters, litmus papers, etc. Samples should be taken at pig height (approximately 1 foot above the floor) and in the room center at one-third intervals down the length of the barn. Calculate the barn/room average ammonia concentration. Remember to avoid taking samples near inlets and direct heat sources.

The first step in establishing an audit score regarding air quality is a visual assessment of the pigs. If the pigs are showing physical signs consistent with exposure to poor air quality such as watery and mattery eyes and difficulty breathing, the auditor should then measure the ammonia concentration in the room. If the ammonia concentration is less than 25 ppm, question 44 should be marked as acceptable.

Emergency Backup Ventilation System *Audit Questions: #45 & 54*

Objective: Facilities must have intervention procedures or equipment to prevent death of animals in the event of mechanical ventilation failure. Intervention procedures can be manual or automated and will be dependent upon ventilation type. The emergency backup equipment must be tested at least twice a year and the testing must be documented. If the site only houses animals outdoors or is non-mechanically ventilated, questions 45 and 54 must be marked as “Not Applicable” or NA.

Written Euthanasia Plan *Audit Questions: #34, 46 & 55-56*

Objective: Sites must have a written euthanasia plan covering primary and backup methods for each stage of production in the operation and it must be readily accessible to all caretakers in the facility. The written plan must comply with the current American Association of Swine Veterinarians (AASV) guidelines for euthanasia. This chart is a summary and additional information and guidance on these euthanasia methods can be found in the AASV and AVMA euthanasia guidelines.

Any equipment used for pig euthanasia must be kept in proper repair and must be functional. Records must exist that demonstrate routine maintenance of euthanasia equipment and be retained for 12 months.

Caretakers trained to conduct euthanasia must have access to this equipment. While others may also have access to euthanasia equipment, only trained caretakers may use equipment to conduct euthanasia. Auditors can verify that the equipment exists through observation or interview. Record the methods being used on the farm in the comments section. If euthanasia is not observed during the audit, question 34 must be marked “Not Observed” or N.O.

Euthanasia methods appropriate to pigs of different sizes (weights)	
Method	Approved for
Carbon dioxide (CO ₂)	All ages but may not be practical for pigs over 70 lbs
Gunshot	Nursery pigs or older
Non-Penetrating captive bolt	Pigs less than 70 lbs*
Penetrating captive bolt	Pigs greater than 12 lbs
Electrocution, (head-to-heart)	Pigs over 3 days of age
Electrocution, (head-only)	Pigs over 3 days of age with a secondary step
Veterinarian administered anesthetic overdose	All ages but may not be practical
Manual blunt force trauma	Pigs up to 12 lbs

** Refer to page 9 of On Farm Euthanasia of Swine – Recommendations for the Producer AASV 2016 to determine appropriate force and weight range combinations*

Feed/Water Access *Audit Questions: #33*

Objective: The animals must have access to feed and water according to the site's Standard Operating Procedure. All pigs must have free access to water at least once each day. Various feeding protocols may be used throughout the industry. Adequacy of feeding protocols are evaluated in this audit through body condition scores.

Caretaker Training *Audit Questions: #38-41, 57, & 89*

Objective: The caretaker is someone who has daily responsibility of providing care for animals. Caretakers must receive and be able to articulate training specific to their daily duties as detailed in the farm's written standard operating procedures and receive retraining annually. New caretakers who have not yet completed training should be directly supervised by someone who is trained. Training records must include date, topic of training, trainer, trainee, and trainee signature. Online training modules are acceptable forms of training if there is an electronic date stamp, topic of training, and name of trainee.

All caretakers must be PQA Plus certified within 90 days of employment and maintain certification while employed. Youth PQA certification or Youth for the Quality Care of Animals (YQCA) are acceptable certifications for caretakers 14 years or younger. Canadian Quality Assurance/Animal Care Assessment are acceptable certifications for residents of Canada.

Caretakers responsible for euthanasia have documented training and are familiar with the site's euthanasia plan. Trained caretakers must be able to articulate the farm's primary and backup methods of euthanasia for which they are responsible, handling methods used during euthanasia, and confirmation of insensibility and death. Euthanasia training may also include carcass disposal and cleaning and maintenance of equipment and/or supplies.

If observed on the site during the audit, specialized labor (ex. vaccination crews, load-out crews, infrequent part-time help) performing tasks with animals must be able to articulate or demonstrate training specific to their duties. If specialized labor is not observed on the site during the audit, question 39 must be marked as "Not Observed" or N.O.

All training can be verified by reviewing records that all caretakers have received training and interviewing a sample of caretakers in the barn or direct observation of practices.

Animal Care/Abuse Policy & Reporting *Audit Questions: #42 & 58-59*

Objective: All caretakers know there is zero tolerance for neglect or willful acts of abuse on the farm. Caretakers are aware of the policy, understand how to report abuse and neglect, and understand the disciplinary steps that are associated with abuse and neglect. Caretaker knowledge can be verified by reviewing records that all caretakers have received this training and interviewing a sample of caretakers in the barn. A documented reporting mechanism is in place for caretakers to report abuse and neglect. All reports are thoroughly investigated.

Piglet Processing Procedures *Audit Questions: #43 & 64*

Objective: The farm has a written Standard Operating Procedure in place for piglet processing procedures on sow farms, specifically castration and tail docking, that minimally complies with AASV guidelines. Caretakers responsible for piglet processing have been trained on the Standard Operating Procedure. Record use of anesthetics or analgesics in the comments section.

If no farrowing occurs on the site, questions 43 and 64 can be marked "Not Applicable" or NA.

The current AASV Policy on Castration and Tail Docking is at right:

Castration of male pigs is performed to reduce aggressive behaviors and improve the palatability of pork. The AASV supports the use of procedures that reduce pain, including the development and approval of practical analgesic and anesthetic protocols that improve piglet outcomes. Most U.S. commercial market pig processors do not accept immunocastrated male pigs for sale into the domestic or foreign food supply.

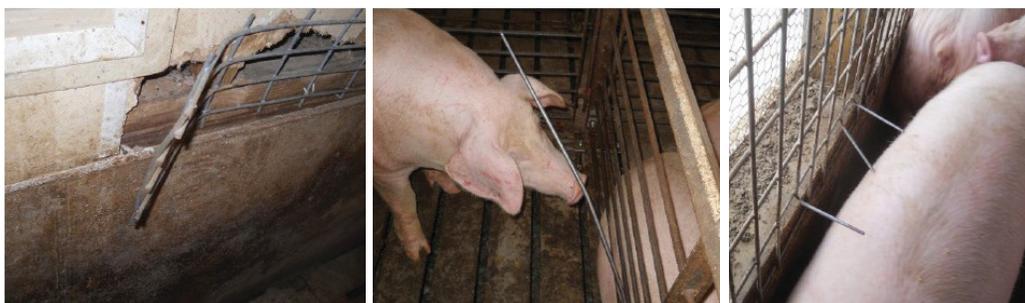
Surgical castration should be performed early and sufficiently prior to weaning such that no open wounds remain at the time of weaning. Clean, sharp equipment must be used to minimize pain and risk of infection. If surgical castration is performed after weaning, analgesia and/or AMDUCA-permissible anesthetic protocols should be used.

Tail docking is performed to reduce tail biting and cannibalism among pigs. Tail docking should be performed early and sufficiently prior to weaning such that no open wounds remain at the time of weaning. Clean, sharp equipment must be used to minimize pain and risk of infection.

Approved by the AASV Board of Directors on October 3, 2013 Reaffirmed by the AASV Board of Directors on March 30, 2015, Revised/Reaffirmed by the AASV Board of Directors April 3, 2018

Facilities *Audit Questions: #47-53*

Objective: Penning, floors, chutes, and alleyways must be appropriate for the phase of production, be in a good state of repair and not causing or posing an imminent threat of injury to the animal. Feeders and waterers must be in a good state of repair to allow for unobstructed feed or water delivery and not causing injury to the pigs. Waterers must be designed and positioned so animals can drink freely.



These are examples of facilities that pose an imminent threat of injury to the animals.

Housing must be designed to allow for good drainage so that pigs have access to a dry/clean area to lie down if they chose. If bedding is used, it must be dry enough not to transfer mud or manure onto the body of the animal. Deep mud/muck with no dry place to lay is unacceptable. Sites where wet flooring is observed as a result of using supplemental cooling such as misters should be given full points for this area.

When observing facilities, auditors must evaluate the penning, flooring, feeders, and waterers where the sample animals are housed. Only alleyways that are used to move pigs are to be evaluated. The auditor may or may not enter the pens per their discretion. However, there may be items that require an auditor to enter the pen (i.e. looking at feeders, waterers, animal movement, etc.).

Some sites may use temporary or mobile chutes during loading/unloading and the chute may not be at the site at the time of the audit. If the chute is not at the farm during the audit, question 49 can be marked as “Not Applicable” or NA.

Site Assessments *Audit Questions: #60-61*

Objective: A PQA Plus Site Assessment must be conducted and PQA Plus Site Status achieved at least once every three years. New production facilities must achieve PQA Plus Site Status within 6 months of operation or before animals are marketed or sold from the site. If a Canadian site has completed Canadian Quality Assurance/Animal Care Assessment, question 60 must be marked as acceptable.

Internal site assessments of the facility, animals, caretakers, and records must be conducted by the production management team including, but not limited to, veterinarians, supervisors, site managers, or other internal animal welfare auditors. Any tool that covers the four areas covered above will be considered acceptable. Producers are encouraged to use tools that provide feedback that supports continuous improvement. These Internal site assessments must be conducted at least quarterly on sow farms and semi-annually on nursery and finishing farms

Daily Observation Records *Audit Question: #62*

Objective: Caretakers conduct and document daily observations and deliver prompt care to address individual animal health and welfare and detect facility or management issues that need to be addressed. When performing daily observations, caretakers should evaluate the animals, environment, and equipment.

- Animal observations should include eating, drinking, laying behaviors and signs of sickness or injury.
- Caretakers should evaluate the environment at the pig and barn level to make sure temperatures and air quality are correct for the phase of production.
- Fans, flooring, penning, feeders, waterers, and other equipment should all be evaluated to make sure they are working properly.
- Total mortalities are recorded daily.

At a minimum, there is a record that demonstrates all animals on the site were observed at least once a day and includes the date and initials of the caretaker. The records must be kept for 12 months or as long as the farm has been operating under current leadership if less than 1 year.

Manuals/SOPs *Audit Questions: #55, 63-68, & 90-91*

Objective: The site has written Standard Operating Procedures (SOPs) for the following:

- Euthanasia plan
- Animal handling
- Piglet processing
- Feeding and watering protocols
- Daily observation
- Caretaker training
- Treatment management
- Needle usage
- Rodent control
- Biosecurity

Manuals and SOP's can be in paper or electronic form but need to be accessible at the farm. Some SOPs may be combined into one document but as long as the topics are covered, these are considered acceptable.

Emergency Action Plan *Audit Question: #69*

Objective: The site must have an emergency action plan that covers likely emergencies or catastrophes for that area and must be readily available to all employees. At a minimum, the plan must include telephone numbers for owner, veterinarian, electrical power company, fire and police, and address of the facility. For sites that do not have an address, the plan must include the site's GPS coordinates or directions from the nearest town. Emergency contact numbers and site address must be posted. All caretakers must be familiar with emergency procedures for the operation and the emergency action plan.

Mortality Records *Audit Question: #70*

Objective: The site maintains a record of total mortalities, including pigs that die and are euthanized, that occur on the farm. The mortality records must be kept for 12 months or as long as the farm has been operating under current ownership if less than 1 year.

Mortality Management *Audit Question: #35*

Objective: Dead animals are removed from the living space upon identification, or after ensuring the food, water and ventilation needs of the rest of the animals on the site. If a mortality is discovered within the living space during an audit, confirm with the caretaker when the last barn check was completed. If it is possible the pig died between the last barn check and the audit, the site should be given full points for this area. In the interest of sow and piglet well-being, mortality removal may be delayed until farrowing is complete.

PORK SAFETY

Medication and Treatment Records *Audit Questions: #80 & 84-87*

Objective: A Veterinarian-Client-Patient Relationship (VCPR) requires the caretaker and veterinarian to work together to ensure the health and well-being of the pigs on that operation. A VCPR means that a veterinarian has assumed responsibility for making medical judgments regarding the health of the animal(s) and the need for medical treatment, and the client (the owner of the animal(s) or other caretaker) has agreed to follow the instructions of the veterinarian. Such a relationship can exist only when the veterinarian has sufficient knowledge of the animal(s) to make a preliminary diagnosis and is personally acquainted with the keeping and care of the animal(s) by virtue of examination of the animal(s) and/or by medically appropriate and timely visits to the premises where the animal(s) are kept. The site must have a valid VCPR demonstrating the producer and veterinarian work together to ensure the health and well-being of the pigs on that operation. A VCPR can be verified by dated veterinary feed directives, dated medical prescription labels, a dated site visit report from the veterinarian, or a letter from your veterinarian confirming the relationship. Verification must be dated within the past 12 months.

Caretakers must follow the FDA's Compliance Policy Guide (CPG) Sec. 615.200 for Proper Drug Use and Residue Avoidance by Non-Veterinarians (CPG 7125.37). This CPG outlines the practices and procedures the FDA would expect to see as part of the operation's standard operating procedure for using animal-health products. The FDA expects producers to maintain medication and treatment records, including vaccinations that document the following information:

Medication records provide documentation that demonstrates the proper use of a drug. Medication and treatment records should be kept for 12 months after the animal has been treated or as long as the farm has been operating under current ownership if less than 1 year. Sites that have not treated any animals in the past 12 months or that participate in an antibiotic-free marketing program still need to provide documentation that no animals were treated and when those animals were marketed.

Minimum Requirement for Medication and Treatment Records						
Date	Animal/ Group ID	Product Name	Dose	Route	Given By	Withdrawal Time

Most animal health products require storage in a clean, dry, and dark location. Follow proper drug storage instructions located on the label or according to a written SOP or a written veterinarian recommendation. Animal health products must not be expired. Animal health products should be stored in the original container bearing the product label. If a product is placed in another container, it must be clearly labeled immediately to prevent misidentification.

Only a veterinarian with a Veterinarian-Client-Patient Relationship (VCPR) for a producer's herd can direct extra-label drug usage. The Animal Medicinal Drug Use Clarification Act (AMDUCA) was established by which FDA-approved drugs may be legally used in food-producing animals in a way other than expressly directed on the label. AMDUCA extends the privilege of extra-label use of drugs only to a veterinarian and only when "the health of an animal is threatened or when suffering or death may result from failure to treat the animal."

Feed Medication Records, also known as Veterinary Feed Directive (VFD) orders, must be kept according to FDA guidelines. A copy of the VFD must be available for review. If there are no products requiring a VFD used on the site, question 87 can be marked "Not Applicable" or NA.

Needle & Sharps Usage *Audit Questions: #81-83 & 89*

Objective: Use the proper size and length of needles to ensure the medication is deposited in the correct tissue. Needles that are 16 gauge or larger size (lower number) must be detectable. This is not applicable for sites that are using needle-free technologies. There may be needles of different sizes present on the site that do not meet the PQA Plus recommendations for specific reasons such as obtaining blood from animals or inducing sows or according to a written SOP or a written veterinarian recommendation. If caretaker interviews indicate the needles are used for a specific reason under veterinarian recommendations, question 81 should be marked acceptable.

A standard operating procedure (SOP) for needle usage will help address needle breakage in a logical, consistent way. If there are needles present on the site, the site must have an SOP for needle usage. When needle breakage occurs, it must be recorded and the animal identified in accordance with the farm's SOP. Caretakers must receive and be able to articulate training specific to broken needles as detailed in the site's needle usage SOP. The SOP must include prevention, identification of pigs at risk of carrying a broken needle, and protocol for what to do with these animals. Below are some examples of each portion of the SOP:

- Prevention
 - Evaluation of needle characteristics such as strength and detectability
 - Provide needle use guidelines to all animal caretakers
- Identification of pigs that are at risk of carrying a broken needle
 - Provide permanent identification
 - Provide employee training
 - Record all pertinent information
- Protocol for what to do with these animals
 - How are the pigs to be identified?
 - How is the packer to be notified?

Injection type	Intramuscular		Subcutaneous	
	Gauge	Length	Gauge	Length
Baby pigs	18 or 20	5/8" or 1/2"	18 or 20	5/8" or 1/2"
Nursery	16 or 18	3/4" or 5/8"	16 or 18	1/2"
Finisher	16	1"	16	3/4"
Breeding Stock	14 or 16	1" or 1 1/2"	14 or 16	1"

If the site uses needleless technologies, questions 81, 82, 83, 88 and 89 can be marked “Not Applicable” or NA.

Sharps must be disposed according to state medical waste regulations to prevent environmental contamination and injury to fellow workers, children, waste handlers and livestock. Proper disposal involves placing sharps in a rigid puncture-resistant container immediately after use. Glass containers are not acceptable. The container should prevent the penetration of needle both on the farm and throughout transport to the final disposal location.

Sharps containers must be clearly labeled as sharps and according to each state's regulation. When the container is full, the cap or lid must be securely tightened and may be sealed with heavy tape.

Biosecurity *Audit Questions: #90-93*

Objective: Biosecurity is a combination of management practices that are designed to prevent the introduction and transmission of disease and disease-causing agents into a herd.

A biosecurity plan must include:

1. Barn sanitation
2. Rodent Control
3. Worker and visitor entry policies
4. General farm security measures

Elements of an effective rodent control plan must include:

1. Denying rodent entrance to facilities
2. Removing sources of food that can attract and maintain rodent populations
3. Preventing or denying rodents places to live
4. Baiting/trapping to reduce rodent populations – including the location of bait stations and details of their inspections.

The required details of the rodent control plan may be included in the biosecurity SOP or may be a separate document. There must be evidence that the rodent control SOP is being followed. For example, bait stations are in place and they contain bait.

Sites must keep a visitor log for all individuals that visit a facility.

Sites must have appropriate signage or other methods around the facility to control and restrict access for biosecurity compliance. Examples may include security cameras, locked gates, or doors.

COMMON SWINE INDUSTRY AUDIT TOOL

Premises Identification Number (PIN): _____ State in which the site is located: _____

Farm Name: _____ Farm Manager: _____

Auditor Name: _____ Audit Date: _____

Phase of production at the site (check all that apply): Breeding Non-Breeding

Total number of Breeding pigs on the site: _____ Total number of Breeding pigs observed: _____

Total number of Non-Breeding pigs on site: _____ Total number of Non-Breeding pigs observed: _____

General Comments about the site:

Animal Welfare: CRITICAL	Acceptable Answer	Possible Points	Points Achieved	Comments
1. Were any willful acts of abuse or neglect observed during the audit?	No	Pass/Fail		
2. Are animals euthanized in a timely manner?	Yes	Pass/Fail		
3. If euthanasia is observed, are animals handled humanely during the process?	Yes/Not Observed	Pass/ Fail/"NO"		
4. If euthanasia is observed, are animals euthanized in place or is suitable equipment available to move non-ambulatory animals so they can be humanely euthanized?	Yes/Not Observed	Pass/ Fail/"NO"		
5. If euthanasia is observed, do caretakers confirm insensibility and death, per AASV guidelines, after the euthanasia method is applied and before being removed from the facility?	Yes/Not Observed	Pass/ Fail/"NO"		
Critical Total	Number of questions marked "Fail":			

Animal Welfare: ANIMAL/ BENCHMARKING				Acceptable Answer	Possible Points	Points Achieved	Comments
6. Are animals handled appropriately for their age?				Yes	10		
7. Is proper handling equipment available and in good working order with no sharp edges?				Yes	5		
8. Can animal caretakers articulate or demonstrate appropriate equipment use during animal handling?				Yes	10		
9. Are electric prods used on suckling or weaned piglets? NA if suckling/weaned pigs are never on the site.				No/NA	10/NA		
10. Are electric prods used to move nursery, market pigs, sows, or boars out of pens?				No	10		
11. Do at least 90% of pigs observed have adequate space allowance?							
# Observed with Adequate Space:	Breeding	Non-Breeding	Total				
% with Adequate Space:				Yes	10		
12. Do 1% or less of the pigs observed have a body condition score of 1?							
# Observed with BCS 1:	Breeding	Non-Breeding	Total				
% with BCS 1:				Yes	10		
13. Have these pigs observed with a Body Condition Score of 1 been identified and are receiving attention? NA if zero pigs observed with BCS of 1.				Yes/NA	5/NA		
14. Do 2% or less of the pigs observed show signs of severe lameness?							
# Observed with Severe Lameness:	Breeding	Non-Breeding	Total				
% with Severe Lameness:				Yes	10		
15. Have these pigs observed to be severely lame been identified by caretakers and are receiving attention? NA if zero pigs observed with severe lameness.				Yes/NA	5/NA		
16. Do 5% or less of the pigs observed have abscesses?							
# Observed with Abscesses:	Breeding	Non-Breeding	Total				
% with Abscesses:				Yes	10		
17. Have these pigs observed with abscesses been identified by caretakers and receiving attention? NA if zero pigs observed with abscesses.				Yes/NA	5/NA		

18. Do 1% or less of the pigs observed have open wounds?							
# Observed with Open Wounds:	Breeding	Non-Breeding	Total				
% with Open Wounds:				Yes	10		
19. Have these pigs observed with open wounds been identified by caretakers and receiving attention? NA if zero pigs observed with open wounds.				Yes/NA	5/NA		
20. Do 2% or less of the pigs observed have severe scratches?							
# Observed with Severe Scratches:	Breeding	Non-Breeding	Total				
% with Severe Scratches:				Yes	10		
21. Have these pigs observed with severe scratches been identified by caretakers and receiving attention? NA if zero pigs observed with severe scratches.				Yes/NA	5/NA		
22. Do 5% or less of the breeding herd observed have shoulder sores? NA if no breeding pigs on site.							
		Breeding					
# Observed with Shoulder Sores:							
% with Shoulder Sores:				Yes/NA	10/NA		
23. Have these pigs observed with shoulder sores been identified by caretakers and receiving attention? NA if no breeding pigs on the site or zero observed with shoulder sores.				Yes/NA	5/NA		
24. Do 5% or less of the pigs observed show evidence of tail biting in the herd?							
# Observed with Tail Biting Lesions:	Breeding	Non-Breeding	Total				
% with Tail Biting Lesions:				Yes	10		
25. Have these pigs observed with evidence of tail biting been identified by caretakers and receiving attention? NA if zero pigs observed with tail biting lesions.				Yes/NA	5/NA		
26. Do 5% or less of the non-breeding herd observed have hernias? NA if no non-breeding pigs on site.							
		Non-Breeding					
# Observed with Hernias:							
% with Hernias:				Yes/NA	10/NA		
27. Have these pigs observed with hernias been identified by caretakers and receiving attention? NA if no non-breeding pigs on the site or zero observed with hernias.				Yes/NA	5/NA		

Audit Tool

28. Do 1% or less of the pigs observed have prolapses?							
# Observed with Prolapses:	Breeding	Non-Breeding	Total				
% with Prolapses:				Yes	10		
29. Have these pigs observed with prolapses been identified by caretakers and receiving attention? NA if zero pigs observed with prolapses.				Yes/NA	5/NA		
30. Do 5% or less of the breeding herd observed have vulva injuries? NA if no breeding pigs or only male breeding pigs on site.							
# Observed with Vulva Injuries:	Breeding						
% with Vulva Injuries:				Yes/NA	10/NA		
31. Have these pigs observed with vulva injuries been identified by caretakers and receiving attention? NA if no breeding or only male breeding pigs on the site or zero observed with vulva injuries.				Yes/NA	5/NA		
32. Do pigs show thermoregulatory behaviors that indicate they are too hot or too cold and the air temperature at the pig level is outside the preferred temperature range for the phase of production? If so, has the caretaker taken appropriate actions to minimize heat or cold stress?				No; Yes	10		
33. Do the pigs have access to feed and water according to the site's SOP?				Yes	10		
34. If euthanasia is observed, are caretakers following the site's SOP for euthanasia. N.O. if euthanasia is not observed during the audit.				Yes/N.O.	10/N.O.		
35. Are dead animals removed from the living space upon identification?				Yes	10		
Animal/ Benchmarking Total	Possible Points			245			
	- NA possible points						
	Total Possible Points					Total Points Achieved	

Animal Welfare: CARETAKER	Acceptable Answer	Possible Points	Points Achieved	Comments
36. Can caretakers articulate their method for tracking what treatments have been administered and how long each animal has been receiving treatment?	Yes	5		
37. Are transporters delivering or picking up pigs from the site TQA Certified?	Yes	5		
38. Are caretakers able to articulate the training they received specific to their daily duties?	Yes	5		
39. If observed on the site, is specialized labor able to articulate or demonstrate the training they received specific to their duties?	Yes/N.O.	5/N.O.		
40. Do all caretakers have a current PQA Plus Certification or are within 90 days from their new employment date?	Yes	5		
41. Are caretakers responsible for euthanasia able to articulate the site's euthanasia plan?	Yes	5		
42. Can caretakers articulate the site's zero tolerance policy for willful acts of abuse and how to report abuse?	Yes	5		
43. Can caretakers responsible for piglet processing procedures demonstrate or articulate the training they received to conduct the procedure according to the site's SOP? NA if the site does not farrow piglets.	Yes/NA	5/NA		
Caretaker Total	Possible Points	40		
	- NA possible points			
	Total Possible Points			Total Points Achieved

Animal Welfare: FACILITY		Acceptable Answer	Possible Points	Points Achieved	Comments
44. Do pigs show signs of exposure to poor air quality? If so, does the ammonia concentration exceed 25 ppm?		No; No or Yes; No	5		
45. Does the site have an operational emergency backup system? NA if the site is outdoors or non-mechanically ventilated.		Yes/NA	5/NA		
46. Is the euthanasia equipment readily available for use?		Yes	5		
47. Is the penning appropriate for the phase of production and in a good state of repair and not causing or posing an imminent threat of injury to the animal?		Yes	5		
48. Is the flooring appropriate for the phase of production and in a good state of repair and not causing or posing an imminent threat of injury to the animal?		Yes	5		
49. Are the chutes in a good state of repair and not causing or posing an imminent threat of injury to the animal? NA if chute is not located at the site.		Yes/NA	5/NA		
50. Are the alleyways in a good state of repair and not causing or posing an imminent threat of injury to the animal?		Yes	5		
51. Are the feeders in a good state of repair to allow for unobstructed feed delivery and not causing or posing an imminent threat of injury to the pigs?		Yes	5		
52. Are the waterers in a good state of repair and positioned to allow for unobstructed water delivery and not causing or posing an imminent threat of injury to the pigs?		Yes	5		
53. Do pigs have a dry space to lie down?		Yes	5		
Facility Total	Possible Points		50		
	- NA possible points				
	Total Possible Points				Total Points Achieved

Animal Welfare: RECORDS		Acceptable Answer	Possible Points	Points Achieved	Comments
54. Is there a written record of emergency backup equipment being tested at least twice per year? NA if the site is outdoors or non- mechanically ventilated.	Yes/NA	2/NA			
55. Does the site have a written euthanasia plan that is consistent with the current AASV guidelines and is accessible to all caretakers in the facility?	Yes	2			
56. Does the site have 12 months of records demonstrating routine maintenance of euthanasia equipment?	Yes	2			
57. Does the site have documentation of annual caretaker training specific to their daily duties?	Yes	2			
58. Does the farm have a written zero tolerance policy for willful acts of abuse?	Yes	2			
59. Does the site have a reporting mechanism in place for caretakers to report abuse?	Yes	2			
60. Does the site have a valid PQA Plus Site Status?	Yes	2			
61. Does the site conduct an internal site assessment of the facility, animals, caretakers, and procedures (breeding: quarterly; non- breeding: semi-annually)?	Yes	2			
62. Does the site have 12 months of records to verify the animals were observed at least once daily?	Yes	2			
63. Does the site have a written SOP for animal handling procedures?	Yes	2			
64. Does the site have a written SOP for piglet processing procedures, specifically castration and tail docking, that complies with AASV guidelines? NA if the site does not farrow piglets.	Yes/NA	2/NA			
65. Does the site have a written SOP for feeding and watering protocols?	Yes	2			
66. Does the site have a written SOP for conducting daily observations?	Yes	2			
67. Does the site have a written SOP for caretaker training?	Yes	2			
68. Does the site have a written SOP for treatment management?	Yes	2			
69. Does the site have a written emergency action plan and are emergency contact numbers and site address posted?	Yes	2			
70. Does the site have 12 months of mortality records?	Yes	2			
Records Total	Possible Points		34		
	- NA possible points				
	Total Possible Points				Total Points Achieved

Instructions

Animal Welfare: TRANSPORT/LOAD-OUT		Acceptable Answer	Possible Points	Points Achieved	Comments
71. Are any pigs that are unable to walk or significantly injured being loaded for transport?		No	10		
72. Are electric prods used as the primary tool for animal movement?		No	10		
73. If electric prods are used, are they being applied correctly? NA if site does not use electric prods.		Yes/NA	10/NA		
74. Do pigs loaded on the trailer show signs of overcrowding? N.O. if could not be observed.		No/N.O.	10/N.O.		
75. Do 1% or less of pigs fall during loading or unloading?		Yes	10		
76. Do 25% or less of the pigs being moved receive an electric shock?		Yes	10		
77. Is the trailer in a good state of repair? N.O. if could not be observed.		Yes/N.O.	5/N.O.		
78. Is the trailer properly aligned with the loading/unloading area? N.O. if could not be observed.		Yes/N.O.	5/N.O.		
79. Is the trailer appropriately equipped for weather conditions and phase of production during transport? N.O. if could not be observed.		Yes/N.O.	5/N.O.		
Transport/ Load-Out Total	Possible Points		75		
	- NA possible points				
	Total Possible Points				Total Points Achieved

PORK SAFETY		Acceptable Answer	Possible Points	Points Achieved	Comments
80.	Are animal health products stored properly and not past the expiration date?	Yes	5		
81.	Is the site using the appropriate needle sizes per PQA Plus recommendations?	Yes/NA	5/NA		
82.	Are the 16 gauge or larger size (lower number) needles on the site detectable?	Yes/NA	5/NA		
83.	Are used sharps placed in a rigid puncture-resistant container that is labeled properly?	Yes/NA	5/NA		
84.	Does the site have a valid VCPR?	Yes	2		
85.	Does the site have compliant medication and treatment records?	Yes	2		
86.	Are medication and treatment records retained for 12 months?	Yes	2		
87.	Are VFD records retained according to FDA guidelines? NA for sites not using products requiring a VFD.	Yes/NA	2/NA		
88.	Is there a written SOP for needle usage that includes a section on broken needles covering prevention, identification of suspect pigs and protocol for what to do with that animal? NA for sites using needleless systems.	Yes/NA	2/NA		
89.	Can caretakers articulate the site's protocol for handling broken needles? NA for sites using needleless systems.	Yes/NA	5/NA		
90.	Does the site have a written biosecurity SOP that contains information covering barn sanitation, rodent control, worker and visitor entry policies, and general farm security measures?	Yes	2		
91.	Is there evidence that the site's rodent control protocol is being followed?	Yes	5		
92.	Does the site have a log for visitors?	Yes	2		
93.	Does the site have signage or other methods around the facility to control and restrict access for biosecurity compliance?	Yes	2		
Pork Safety Total	Possible Points		46		
	-NA Possible Points				
	Total Possible Points				Total Points Achieved

AUDIT SUMMARY			
CRITICAL: Questions marked "Fail"			
ANIMAL WELFARE:	Possible Points	Points Achieved	Percentage Score
Animal Benchmarking Section	245		
Caretaker Section	40		
Facilities Section	50		
Records Section	34		
Transport/Load-Out Section	75		
ANIMAL WELFARE TOTAL	444		
PORK SAFETY TOTAL	46		
TOTAL AUDIT SCORE <i>(sum of Animal Welfare & Pork Safety)</i>	490		

General Comments: