A GREENER WORLD NORTH AMERICA COMPLIANCE POLICY MANUAL

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Chapter One: Who We Are

P1 Legal Status

A Greener World (AGW) is a 501c3 organization (EIN 81-2116665). All contractual arrangements will be the responsibility of A Greener World's Executive Director. No contract or obligation will have been enacted without the written confirmation of the Executive Director or their delegated nominee.

All correspondence should be addressed to:

A Greener World
PO Box 115
Terrebonne, OR 97760

P1.1 Approving authorities

The programs are approved by the USDA and the Canadian authorities.

P1.2 Language

The language used in this document is consistent with the organization's published definitions at agreenerworld.org.

Chapter Two: General Compliance Policies

P2 Structure

P2.1 Confidentiality

P2.1.1 AGW will hold any and all information supplied by applicants and approved facilities, slaughter plants, or other businesses and groups in confidence. Information will only be shared with the consent of the party or as required by law or by contractual arrangement. In these cases the client or person concerned shall, unless prohibited by law, be notified of the information provided. Information about the client obtained from sources other than the client (e.g. from the complainant or from regulators) shall be treated as confidential.

p2.1.2 Farm, facility, slaughter plant, and other business information: Information will not be shared with any facility outside the review process except to confirm pass, re-audit or fail. Information will only be shared with the consent of the owner.

P2.1.3 All AGW staff, contractors, or other parties involved with the program are required to sign a non-disclosure agreement.

P2.2 Impartiality

P2.2.1 AGW is committed to impartiality in certification activities and has the overall responsibility to ensure that certification is done in accordance with AGW standards, policy and guidelines, and ISO/IEC 17065 requirements. *(See Policy on Impartiality)*

P2.2.2 All AGW staff, contractors, or other parties involved with the program, are required to disclose any conflicts of interest. When conflicts of interest are identified, other staff members can be used to carry out the task. *(See A Greener World Conflict of Interest Policy)*

P2.3 The Team

P2.3.1 In accordance with AGW's recruitment procedures, all of AGW's team members, whether in the Office, Technical, Marketing, or Auditing and Compliance departments, are highly qualified, competent and capable of performing all duties assigned to them. All employees have detailed job specifications providing information on their functions and assigned responsibilities. In addition to our entry requirements, there are ongoing training programs.

P2.3.2 Certification Staff

Certification staff must hold a Bachelor's degree at minimum, or have equivalent experience. Certification staff must demonstrate an understanding of agricultural practices, preferably alternative systems. All certification positions are appointed by the Executive Director. Certification staff members undergo a period of internal training overseen by a direct supervisor.

P2.3.3 The Auditors

AGW's team of auditors is selected based on experience, skills and abilities to deal with certification requirements. In order to ensure that auditing skills remain up to the required standard, yearly training programs are compulsory for all auditors to attend. *(See Auditor Selection and Training Policy)*

P2.3.4 Performance Reviews

All team members receive annual performance reviews in accordance with the Performance Reviews Procedure. *(See Performance Reviews Procedure)*

P2.4 Roles

The following roles make up the structure of AGW. Direct supervisors are responsible for personnel competence requirements.

P2.4.1 Executive Director: Responsible for all aspects of the program, including delegation of authority to committees or personnel to undertake defined activities on behalf of AGW; and provision of adequate resources for certification activities.

P2.4.2 Director of Communications and Outreach: Reports to the Executive Director. Responsible for oversight of all communications and outreach within AGW.

P2.4.3 Director of Compliance: Reports to Executive Director. Responsible for oversight of all auditing and compliance work.

P2.4.4 Director of Quality: Reports to Executive Director. Responsible for oversight of all repeatability auditing, consistency, equivalence and global compliance.

P2.4.5 Director of Operations: Reports to Executive Director. Responsible for oversight of program operations.

P2.4.6 Lead Farmer and Market Outreach Coordinator (FMOC): Reports to the Director of Communications and Outreach. Responsible for guiding FMOCs.

P2.4.7 Lead Auditor: Reports to the Director of Compliance. Responsible for managing auditors.

P2.4.8: Lead Slaughter Specialist: Reports to the Director of Compliance. Responsible for managing slaughter plant specialists.

P2.4.9 Program Coordinator: Reports to the Director of Operations with responsibilities to the Director of Compliance. Responsible for program management and administration.

P2.4.10 Marketing, Communications, and Outreach staff members: Report to the Lead FMOC. Responsible for promoting the program and working with facilities in specific regions.

P2.4.11 Auditors: Report to the Lead Auditor with responsibilities to the Director of Compliance and the Director of Quality. Responsible for performing audits.

P2.4.12 Technical Advisor: Reports to the Executive Director. Responsible for providing advice and support as required.

P2.4.13 Slaughter Facility Specialists: Report to the Lead Slaughter Facility Specialists. Responsible for slaughter plant reviews.

P2.4.14 Corrective Action Plan Coordinator: Report to the Director of Compliance. Responsible for reviewing audits and ensuring consistency and accuracy of compliance reports.

P2.4.15 Eligibility Coordinator: Reports to the Director of Compliance with responsibilities to the Director of Quality. Responsible for assessing eligibility of program applicants.

P2.4.16 Administrative Assistant: Reports to the Executive Director and the Director of Operations. Responsible for administrative tasks in support of the program.

Note: a person may have two roles provided they do not conflict.

P2.5 Auditor and Agent status

P2.5.1 All auditors and agents are directly employed or contracted by AGW. Auditors and agents do not make the final decision on whether an applicant is accepted into the program.

P2.6 Advisory Board

AGW's advisory board exists to add transparency and oversight to the certification programs' goals and objectives as laid out in the mission statement. The board will meet at least annually to discuss the operation and delivery of AGW's certification programs and will be asked to review the programs' compliance with policies and procedures. The board will provide feedback to AGW Executive Director and make recommendations on any changes to standards and/or identify operational practices that could be detrimental or beneficial to the programs. The board may receive confidential data or information to review and sensitivity is required. Board members will be required to sign AGW's Confidentiality and Nondisclosure Agreement.

(See: AGW Advisory Board Terms of Reference)

P2.7 Standards board

P2.7.1 The Standards

The standards have been developed over a period of time by a group of experts. These include scientists, farmers and animal welfare experts from around the globe. The standards will be reviewed annually by the Standards Board. A review of an individual standard by the board may occur outside the annual review if new information on its implementation makes this a necessity.

The "published standards" are the most up-to-date standards and are those that are available at ***www.agreenerworld.org.*** Standards are published and publicly available and will be reviewed annually by a Standards Board with the qualifications below. Facilities or groups who have been accepted into the program will be notified of changes in standards via email or mail. Reasonable consultation time will be given. Final versions will be posted to the website.

P2.7.2 Standards Board Terms of Reference
Standards Board:

P2.7.2.1 Sets the standards.

P2.7.2.2 Annually reviews standards.

P2.7.2.3 Evaluates standard review requests as these are submitted.

P2.7.3 Membership of the Standards Board

P2.7.3.1 Executive Director.

P2.7.3.2 Technical representative: responsible for matters relating to achievability of the standards.

P2.7.3.3 Producer Representative: responsible for representing the producer's perspective. (As required.)

P2.7.3.4 Production Expert: responsible for providing impartial opinion on subject discussions. (As required.)

P2.7.3.5 Secretary: responsible for minutes, agendas and correlations of required documentation.

P2.7.3.6 Invited representative from species or sector under discussion. (As required.)

P2.7.3.7 Authority to appoint and terminate members of the Standards Board lies with the Executive Director.

P2.7.4 Meetings of the Standards Board

P2.7.4.1 The board meets as required and at least annually.

P2.7.4.2 The board can if necessary, convene by phone and email.

P2.7.4.3 The board can seek and obtain any information that enables it to affect a more informed decision. These representations can be made in person or by document.

P2.7.4.4 Decisions of the board are only binding when the meeting is in quorum.

P2.7.4.5 Quorums

At minimum a quorum for standards change must include the technical representative, the Executive Director and the secretary. In addition, either the producer representative or production expert may be present. Wording may be modified without a representative for clarity or consistency.

A period of consultation and compliance must be granted when any changes to standards are made. Facilities are checked that standards have been implemented at the next scheduled audit.

P2.7.5 Standards amendment

P2.7.5.1 Anyone can submit a suggestion or request for a standards amendment.

P2.7.5.2 The standards amendment form must be completed and submitted to AGW. The amendment will be assessed against current records and if it has not been previously discussed and has merit it will be forwarded to the Standards Board for consideration. Reasonable consultation time will be given. *(See Standards Amendment Form)*

P2.8 Approval board

P2.8.1 Terms of Reference
The Approval Board:

P2.8.1.1 Reviews and decides on certification approvals.

P2.8.1.2 Reviews critical and cumulative non-compliances.

P2.8.1.3 Reviews complaint reports.

P2.8.1.4 Reviews and decides outcome of termination of facilities from the program.

P2.8.1.5 Delegates some or all of its duties to a competent team member. The scope and power of the delegation must be laid out in writing and the work subject to a review for quality.

P2.8.1.6 The Approval board may delegate authority to approve facilities to anyone employed by or under contract with AGW within the parameters set in 2.8.2.

P2.8.2 Membership of the Approval Board

P2.8.2.1 Executive Director or their nominee.

P2.8.2.2 Program representative: responsible for presenting non-compliance reports.

P2.8.2.3 A third member will be nominated to cover in case of a reclusion or a split decision.

P2.8.2.4 A member of the approvals board cannot vote on an audit they have carried out.

P2.8.2.5 Authority to appoint and terminate members of the Approval Board lies with the Executive Director.

P2.8.3 Meetings of the Approval Board

P2.8.3.1 The board meets as required and at least monthly.

P2.8.3.2 The board can convene by phone or email.

P2.8.3.3 The Approval Board can seek and obtain any information that enables it to affect a more informed decision. These representations can be made in person or by document.

P2.8.3.4 Decisions of the Approval Board are only binding when the meeting is in quorum. A quorum is defined as two board members.

P3 Certification Process

P3.1 Applicants

P3.1.1 At the point of submitting an application to AGW, and until that application is withdrawn or denied, whether this is in the initial or in subsequent years, the applicant agrees to comply or achieve compliance with all published standards, published program manuals, and to keep AGW immediately informed of any action or material change that could affect the applicant's ability to comply with that agreement. If a facility chooses to withdraw from a program, they must provide notification in writing.

A completed application form and a signed affidavit must be on file prior to approval being granted and certificate being issued. In certain circumstances audit may take place prior to official submission of an application; however, approval cannot be granted without this submission.

An application will not be considered complete until any and all fees are paid.

Applicants further agree that the standards, as written, are acceptable and either their method of production complies with them or they are willing to make changes in order to comply. Applicants agree to allow auditors reasonable access for the purpose of establishing and ensuring compliance with published standards. Applicants whose businesses are approved must continue to meet these commitments.

P3.1.2 Compliance with the program is voluntary, although some producer groups and cooperatives have decided to only work with facilities who are approved by the program.

P3.1.3 A one-time, non-refundable application fee as set out in the published fee summary is required for all applicants. Once an application is submitted, an applicant may not be screened until the fee has been received by AGW.

P3.1.4 AGW reserves the right not to accept an application, not enter into a relationship, or to end any relationship with any other party that has or may bring the program into disrepute, or for any reason whatsoever.

P3.1.5 At any time the applicant can withdraw from the process for whatever reason by giving notice to AGW. Should an applicant withdraw, all fees will be forfeited.

P3.1.6 An applicant must be an adult.

> P3.1.6.1 A minor, as defined by the legal authority in which the facility operates, may apply for certification as long as a parent or legal guardian co-signs the application form.
>
> p.3.1.6.2 If the facility owner is a minor, an appropriate management mentor must be appointed. The mentor may be a parent or other advisor.

p3.1.7 AGW will respond to an application to join the program within 7 days.

P3.1.8 Once the application fee has been received, the Eligibility Coordinator will review the submitted application for completeness and compliance with published standards, and if necessary, seek further information from the applicant.

P3.2 Audit Process

Whether an applicant becomes certified will be determined by the process of an open and transparent audit of the facility, its subsidiaries or its service providers as required. If certification is refused for any reason, the applicant or nominated contact will be informed of the reason for this decision in writing. AGW services are available to all applicants whose activities fall within the scope of operations. (See Audit and Review Categories within each certification subsection.)

P3.2.1 The audit is conducted by an auditor working for or appointed by AGW. Any compliance issues are raised in a Compliance Report to which the facility, plant or other business must provide a compliant response before being assessed by the Approval Board. All applicants to the program are treated equally. There are no financial gains from promoting particular facilities or products.

P3.2.2 Audit Arrangements

P3.2.2.1 AGW will notify the nominated contact of the date the next audit is due. Submission of an annual application is not required unless there is a scope addition (additional species, product, or location or seal), in which case an amended application is required. The application fee may be waived for amended applications.

P3.2.2.2 AGW charges an audit fee for all first-time and annual audits. This fee must be paid prior to scheduling the audit. Failure to pay the audit fee will result in termination from the program. See AGW's website for details. *(AGW Fee Schedule)*

P3.2.2.3 The Eligibility Coordinator will allocate the audit and the auditor will liaise with the facility contact to organize the review audit visit. The auditor will be assigned based on availability and/or geographical location. The auditor will report any changes prior to scheduling the audit.

P3.2.2.4 AGW is unable to consider requests seeking to include or exclude auditors based on race, color, religion, sex (including pregnancy, sexual orientation, or gender identity), national origin, age, disability and genetic information (including family medical history).

In exceptional circumstances only, genuine requests to vary this policy may be entertained solely at the discretion of the Approval Board and only if accompanied by an independent and credible supporting recommendation from an appropriately qualified medical expert.

The Approval Board reserves the right to refuse requests in this matter without further obligation to consider appeal or enter any further dialogue on individual cases.

p.3.2.2.5 Reported changes will be reviewed by the Director of Compliance or a nominee prior to scheduling the audit.

P3.2.2.6 AGW must be informed when an applicant or approved facility, plant, or other business moves their base of operation to a new site. If a facility carries out multiple moves within the space of 26 months or less their approved status will be reviewed.

P3.2.2.7 Any applicant or facility wishing to add species to their application must submit an amended application. The amended application can be obtained from the main office. Any

facility wishing to remove a species from their application must submit a request in writing to the Program Coordinator. The application fee may be waived for amended applications.

p3.2.2.8 An announced audit will be arranged by liaison between the facility contact and the auditor..

P3.2.2.9 An auditor may not carry out four consecutive audits on the same facility.

P3.2.2.10 Interested Parties Shadowing: AGW will review all requests for interested parties to shadow auditors on a case by case basis. AGW does not encourage shadowing unless a direct benefit can be demonstrated. (See *Protocol for Interested Parties Shadowing Auditors)*

p3.2.3 Audit Cycle

p3.2.3.1 The audit will be carried out by an AGW auditor with a maximum of 18 months between audits. (This allows facilities to be seen in different seasons.)

p3.2.3.2 With agreement from AGW, the audit cycle can be amended in cases of force majeure (unforeseeable circumstances beyond anyone's control) such as weather, epidemiological concerns, natural disaster or serious injury or illness.

p3.2.3.3 The audit cycle may also be amended by agreement in cases of major infrastructure change such as new facilities or introduction of a new species to be audited when audit in the normal cycle would necessitate re-audit within a few months to review the new situation.

p3.2.3.4 The audit cycle may also be amended where a facility has seasonal production of one species and also has other species that must at some point be audited outside of the production cycle of the seasonal species. If there are no major non-compliance issues with the seasonal species; and no non-compliances that relate to welfare; the seasonal species may not be seen at one audit and retain certification. The seasonal species must be audited at the next audit.

p3.2.3.5 Compliance activities may be held in abeyance while a facility is under investigation under the discretion of the ED or a delegated authority.

P3.2.4 Information on day of audit

P3.2.4.1 Applicants must note that the final decision for approval does not sit with the auditor. Use of the applicable seal or label can only be used after formal notification of an audit pass from the office.

P3.2.4.2 At the end of the audit visit the auditor will provide the facility contact with the details of any areas of the operation that do not comply with the standards.

P3.2.5 Non-Compliances noted at audit

P3.2.5.1 After the Corrective Action Plan Coordinator receives the audit report, the compliance form will be issued. This will detail any non-compliances and critical non-compliances that were identified at audit. The facility contact must complete and return this form within one month of receipt providing information on the action that has or will be taken to address compliance issues and the time scale for this.

P3.2.5.2 A facility or group that has been previously accepted into an AGW program may be allowed to continue to use the seal or label while action is taken to rectify any non-compliances. The action taken will be assessed at the next audit or sooner if necessary.

P3.2.5.3 Any non-compliance that has not been addressed and is noted at two audits in a row (repeat non-compliance) will be upgraded to a critical non-compliance.

P3.2.6 Critical non-compliances

P3.2.6.1 Critical non-compliances may result from failure to meet specific key standards or following a repeat of previously noted non-compliances.

P3.2.6.2 If a critical non-compliance is noted at an application audit, the use of the seal or label cannot be approved until corrective actions have been completed.

P3.2.6.3 If a critical non-compliance is noted at a review audit, the use of the seal or label may be suspended from the date of issue of the compliance form. During the suspension period the facility can continue to use the applicable label and seal on existing leaflets and labels and on their website, unless otherwise notified by the Approval Board. However, they cannot actively market their approval under the certification by entering into new advertising agreements, using new labels, producing new literature or new press releases.

P3.2.6.4 In some cases the critical non-compliance issues may be so great that AGW decides not to offer the option of compliance forms and may decline to allow the facility to enter or remain in the program.

P3.2.6.5 If at re-audit a facility is found not to have corrected a critical non-compliance, and therefore to have broken their agreed compliance action plan, they may be suspended from the program. If a facility is found to have changed their management between audits in such a way as to bring themselves into critical non-compliance, and therefore to have broken their agreement with the program under section 3.1 of this document and also section 15 of the standards, they may also be liable for suspension.

P3.2.7 Response times

The response times required of the facility for the compliance form and other information as shown in this document are based on the facility contact being able to use electronic communication. If a facility needs to receive communication via mail, the program may choose to extend the deadlines for response to take into account mailing time.

P3.2.8 Dormant facilities

P3.2.8.1 If an applicant submits an application but does not respond to the Eligibility Coordinator or other program communications it will be marked dormant. The applicant will be sent a letter via mail to inform them that the program will no longer attempt to contact them. If the applicant subsequently contacts the program, they may be put back into the eligibility review and audit allocation cycle or be required to submit a new application depending on how much time has passed since the submission of the original application. Application fees may apply.

P3.2.8.2 If a facility that has been audited for the first time does not respond to program communications regarding compliance issues, derogations or any other issues it will be marked dormant. The facility will be sent a letter via mail to inform them that the program will no longer attempt to contact them. If the facility subsequently contacts the program they may be placed back into the compliance and approval cycle or they may be required to undergo a new audit depending on how much time has passed since the original audit. Audit fees may apply.

P3.2.9 Changes in circumstance

Substantial change(s) in location may require a new application to be submitted. The new application will be reviewed with the history of the previous operation in mind.

P3.2.9.1 In the case of change of ownership or control of an approved facility a new application must be submitted.

P3.2.9.2 Change of ownership or control of a new facility could occur due to sale of a facility, death or serious illness or injury of the approved facility, or inheritance (with or without death of the previous approved facility).

P3.2.9.3 If there is an intent to remain certified, the new facility owner has 10 weeks to submit a new application. AGW would then move forward with normal audit protocol and issue a new certificate in the name of the new owner once the application is submitted. The facility/ may continue to trade under the old certificate until the new certificate is issued. If there are any outstanding compliance or other issues from the previously approved facility, AGW will discuss them with the new owner. Applicable standards must continue to be maintained during the handover period in order for certification to be maintained. Application and audit fees may apply.

P3.2.10 Refusal of entry to the program

AGW reserves the right to refuse entry to, or to remove a facility from the program, at any time and for any reason. At such a time AGW retains the right to inform any producer member or processor about any suspension or removal from the program. If a facility is refused entry or removed from the program, they will be told the reason for this decision. Facilities may be refused entry for any reason including, but not limited to:

P3.2.10.1 a history of animal abuse;

P3.2.10.2 a history of dishonesty with regard to the program;

P3.2.10.3 if the facility demonstrates or has demonstrated a lack of compatibility with the program;

P3.2.10.4 if the facility is found during the eligibility screening to be non-compliant with the standards and/or is unwilling to come into compliance with the standards;

P3.2.10.5 if the facility's missions or operations are not compatible with program;

P3.2.10.6 if a facility member contact threatens an AGW staff member in any way;

P3.2.10.7 AGW maintains a policy of non-discrimination and does not refuse entry based on other factors.

P3.2.11 Following audit and acceptance of the actions detailed on the compliance form, the facility or group may supply its product with the applicable seal or label. However, before any output or product can be supplied or marketed with the seal or label the slaughter facilities must be reviewed and approved where applicable.

P3.2.12 For the safety of everyone, AGW will discontinue audits or visits in cases where the auditor feels uncomfortable by the presence of a weapon.

P3.2.13 Spot Audits

All areas of the supply chain from production to retail may be subject to spot audit visits. *(See Spot Audit Policy)*

P3.3 Approval

AGW will grant the use of the applicable seal and label to the applicant following a review of submitted documentation; a review of the proposed design of the seal or label for use in trade; and a satisfactory audit and slaughter facility review (where applicable).

P3.3.1 The approval to use the seal and label is granted from the date given in the formal notification from AGW, until such time as the license is revoked in writing or 18 months has passed, whichever is the shorter period of time. The approval must be renewed to continue use of the seal.

P3.3.2 The seal and label can only be displayed on a product that is approved by the program and is compliant with all state and federal regulations.

P3.3.3 The approved facility or group can only use the seal and label on products derived from the animals or crops that originate from an audited facility that has been audited for the species, crop, ingredient or product subject to the claim and after a subsequent review of the slaughter plant (where applicable).

P3.3.4 The approval can be revoked at any time. The approved facility or group is responsible for ensuring continued compliance with the published standards. The published standards will be those on the AGW website and it is the facility's responsibility to ensure that they keep up-to-date with these.

P3.3.5 AGW's seals and certification logos are the property of AGW or its agents. A fee may be charged for use of the seals.

P3.4 Derogations

P3.4.1 Derogation is permission for a facility to carry out a practice or use a substance that is not allowed within the standards. Derogation will only be granted in exceptional cases.

P3.4.2 In order for a derogation to be granted, a derogation request form must be submitted stating the deviation from the published standard, the reason for this deviation, the length of time this deviation from standards will occur, and the welfare outcome should the derogation be granted. A derogation request form may be requested from AGW.

P3.4.3 A derogation request that is successful will receive the derogation in writing.

P3.5 Appeals

P3.5.1 If the applicant or facility owner or group disagrees with the result of an audit or Approval Board's decisions, they can submit an appeal to the Appeals Board, which will be formed to hear the appeal.

The appeal will be restricted to an interpretation of the standards or the process and not the material standard. By joining the program, the applicant agreed that the published standards were acceptable – see 3.1 – so an appeal cannot be launched on the basis of disagreement with a particular standard.

P3.5.2 Composition of the Appeals Board

P3.5.2.1 A representative not involved in the initial decision or any of the related certification activities.

P3.5.2.2 A recognized expert in the production system being considered not involved in the initial decision or any of the related certification activities.

P3.5.2.3 A third member not involved in the initial decision or any of the related certification activities will be nominated to cover in case of a reclusion or a split decision.

P3.5.2.4 Members of the Appeals Board must not review an appeal for a facility for which the member has been employed or provided consultancy in the previous two years.

3.5.3 The Appeals Process

3.5.3.1 The facility or group submits an Appeal Form to AGW. The Appeal Form may be requested from AGW. The Program Coordinator formally acknowledges receipt of the appeal.

3.5.3.2 The appeal must be arranged within 30 days of receipt of the Appeals Form unless agreed by all parties.

3.5.3.3 The appeal may be conducted in person, in written form or by telephone.

3.5.3.4 The appellant may provide witnesses or experts or submit reports or other evidence from witnesses or experts to make representations or appear in person—all at their own cost.

3.5.3.5 In all matters, the Board's decision will be final and the facility will have no further right of appeal.

P3.6 Cooperatives/Producer Groups

P3.6.1 Definitions

P3.6.1.1 A cooperative is a group of applicants or certified facilities who work together and market all their produce under one name or brand, mutually benefiting from the profits.

P3.6.1.2 A producer group is a group of applicants or certified facilities who work together but market some of their produce independently of other facilities in the group.

P3.6.2 Responsibilities

P3.6.2.1 In a cooperative, an individual must be appointed to liaise with AGW to ensure compliance with standards and facilitate communications as well as operate a program to ensure the integrity of the applicable label.

P3.6.2.2 In a producer group, each facility will be responsible for the liaison and communication as well as the integrity of the supply chain. An individual can be appointed at the discretion of the group.

P3.6.3 If the action or inaction of the named individual responsible for communication with AGW from a cooperative or a producer group causes that cooperative or producer group to fall out of compliance AGW may take action as follows:

P3.6.3.1 Suspend or terminate the group or cooperative.

P3.6.3.2 Suspend or terminate the individual facility/s within the group or cooperative.

P3.6.3.3 Appoint a new "named individual".

The action taken will depend on the action or inaction of the named individual and degree of severity of the non-compliance. The recommendation to suspend or terminate will be proposed by the Director of Compliance or their delegated authority. The decision to suspend or terminate will be taken by the Executive Director or their delegated authority or the Approval Board and will depend on the severity of the issue.

P3.6.4 Application process

P3.6.4.1 In a cooperative it is only necessary for one person to fill out the application with details of the entire group.

P3.6.4.2 In a producer group, each facility owner will be responsible for applying to the applicable program.

P3.6.4.3 Application fees will apply.

P3.6.5 Audit arrangements

P3.6.5.1 In a cooperative, the Eligibility Coordinator will allocate the audit and the auditor will liaise with the appointed person to schedule audits and visits. The audit will be carried out by an AGW auditor who will also audit the group record kept by the "Appointed Person" to ensure traceability is maintained.

P3.6.5.2 In a producer group, each individual facility will liaise with the auditor for the audit visit. An individual can be appointed at the discretion of the group. The audit of each individual facility will be carried out by an AGW auditor.

P3.6.5.3 Audit fees will apply.

P3.6.6 Audit outcomes and decisions

P3.6.6.1 In a cooperative, the auditor will give the facility and the appointed person the result of the audit.

P3.6.6.2 In a producer group, the auditor will give the facility the result of the audit. If a producer group's members agree in writing, their audits can be shared with an appointed person or board designated by the group.

P3.6.7 Non-compliances

P3.6.7.1 In a cooperative, the appointed person and AGW as required, will work with the facilities to complete the corrective actions.

P3.6.7.2 In a producer group, the individual facility/s will work with AGW or an agreed appointed representative to complete corrective actions.

P3.6.8 Critical non-compliances

P3.6.8.1 If a facility within a cooperative or a producer group is issued a critical non-compliance, the cooperative or producer group may continue to use the applicable seal or label, if this has been previously approved. AGW may require that products from the facility with the critical non-compliance is excluded from the group's supply chain, marketing or sales.

In a cooperative, the appointed person will be informed.

In a producer group where an agreement to share exists, the group's appointed representative will be informed.

P3.6.9 Corrective actions process

p3.6.9.1 In a cooperative, any suspended facility must be excluded from the cooperative's branded supply or the entire cooperative will lose this status. The suspended facility must submit a Corrective Action Plan or leave the program.

P3.6.9.2 In a producer group, the individual facility with critical non-compliances must submit a Corrective Action Plan. An appointed representative may also support the individual facility owner.

P3.6.10 Records and documentation

P3.6.10.1 In a cooperative, the appointed person will keep records adequate to allow an AGW auditor to trace the source of all meat and other livestock products being sold under the applicable label. This is in addition to the facility's normal records.

P3.6.10.2 In a producer group each individual facility will keep the records required by the standards. The marketing consolidation group must keep records as required in 3.6.10.1.

P4 Suspension/Termination

P4.1 Circumstances

A facility may be suspended <u>or</u> terminated from the program in instances that may include the following:

P4.1.1 the documents, application or any information supplied to or audited are found to be inaccurate, incomplete or otherwise misleading.

P4.1.2 as a result of any act or omission, the facility fails to comply with the applicable standards.

P4.1.3 the facility refuses to allow an audit.

P4.1.4 the facility is absent on the agreed day of audit or cancels an audit without reasonable cause within seven days or once the auditor has already traveled to the area—whichever is longer.

P4.1.5 unauthorized change of slaughter facility to one that has not passed review.

P4.1.6 the facility brings or may bring the program into disrepute.

P4.1.7 the facility fails to demonstrate competence in management.

P4.1.8 failure to respond to communication and/or requests for information.

P.4.1.9 if a facility member threatens an AGW staff member in any way.

P4.1.10 if a facility's test results exceed acceptable established thresholds.

> P4.1.10.1 results exceeding AGW's established thresholds may results in suspension of the facility, even if testing is ongoing

P4.2 Removal of species

P4.2.1 If a facility removes a species or scope from certification, either voluntarily or involuntarily, but is still approved or seeks approval for other species or scope, the Approval Board reviews the certification status across the whole facility and all species or scopes.

P4.2.2 The Approval Board reserves the right to terminate the facility from the program entirely. The recommendation to suspend or terminate will be proposed by the Director of Compliance or their delegated authority. The decision to suspend or terminate will be taken by the Executive Director or their delegated authority or the Approval Board and will depend on the severity of the issue.

P4.3 Suspension

P4.3.1 In the event a facility is suspended from the program the facility will be informed and provided the reasons for it by telephone or email, followed up by written notification. The facility will be given one month to respond with a Corrective Action Plan (CAP). The decision to suspend or terminate will be taken by the Executive Director or their delegated authority or the Approval Board and will depend on the severity of the issue.

P4.3.2 During the suspension period the facility can continue to use the applicable label and seal on existing leaflets and labels and on their website, unless otherwise notified by the Approval Board. However, they cannot actively market their approval under the AWA program by entering into new advertising agreements, using new labels, producing new literature or new press releases.

P4.3.3 If no response is received within one month, the termination process will be instigated.

(See Facility is Suspended Flow Chart)

P4.4 Termination

P4.4.1 In the event a facility is terminated from the program, the facility will be informed of the termination and the reasons for it by telephone or email, followed up by written notification.

P4.4.2 From the date of notification the facility must cease to use the applicable label and seal on any and all products and marketing information. This includes but is not restricted to product labels, leaflets, banners, press releases and websites. From the date of notification, the facility's AGW certificate is nullified and invalid.

P4.4.3 Product that has already been packed and labeled with the applicable seal may still be sold provided the seal or label is removed, covered or otherwise obscured.

P4.4.4 On suspension or termination of approval AGW may inform parties who may have an interest in the termination and the reasons for it. These parties may include competent authorities, other certification bodies, statutory bodies and others.

P4.4.5 Following notification of termination a facility must wait for a minimum of six months before reapplying to the program. Application fees may apply.

P4.4.6 The facility may appeal the decision.

P4.4.7 During the period of appeal all terms of termination noted above—including an end to the use of the applicable seal—must be met.

P4.4.8 A termination may be rescinded when information subsequently comes to light that might otherwise have stopped the facility from being terminated.

P4.5 Administrative Termination

P4.5.1 Administrative termination can be applied to facilities and slaughter plants. A facility or slaughter plant may be terminated from the program under administrative termination in instances that may include the following:

> P4.5.1.1 A previously approved business moves site and cannot get the new site ready for audit or review within a reasonable time.
>
> P4.5.1.2 Major changes occur at an approved business such as acquisition of new land, buildings or other facilities which cannot be prepared for audit or review within a reasonable time.

P4.5.2 Administrative termination cannot be requested by a facility or plant which cannot or will not come into compliance with standards. The recommendation for administrative termination will be proposed by the Director of Compliance or their delegated authority. The decision to terminate will be taken by the Executive Director or their delegated authority or the Approval Board.

P4.5.3 A facility or slaughter plant that has been subject to administrative termination is exempt from the requirement of clause that six months must elapse before reapplication to the AWA program. Administrative termination holds no negative connotation for the business concerned. Application fees may be waived following an administrative termination.

P5 Use of Label/Seal

P5.1 Use of Label and Seal

P5.1.1 Any seal use must be compliant with local or national regulations.

P5.1.2 Once a facility has been certified it may use the appropriate label or seal and any other promotional material available, until such time the facility is informed in writing of its removal or

termination from the program. The facility must refer to certification consistent with the scope of certification. The certification and/or seal may not be used in reference to species that are not certified by the program.

P5.1.3 Facilities must not use species or product certifications in such a manner as to bring AGW into disrepute and must not make any statement regarding species or product certification that may be misleading or unauthorized. In making reference to species or product certification in communication media, such as documents, brochures, websites or advertising, facilities must comply with the aforementioned requirements.

P5.1.4 Continuing to use a label or seal after receipt of a written instruction that the facility has been terminated from the program may result in legal action being taken.

P5.1.5 Use of the seal relating to products that cannot be certified by AGW, but may be associated with production (for example hand-held stunners for poultry slaughter), will be considered on a case-by-case basis. In approved cases, where the seal is used to promote such products, the seal must be accompanied by the text "Use of this product is compliant with the [AGW program] when used in accordance with the [program] standards." *(See Use of AGW Logos on Agricultural Products)*

P5.1.6 Applicants who are certified by AGW are responsible for submitting their label claim to the appropriate authority before marketing or supplying products using the applicable seal or label.

P5.2 Control of Approval

To ensure the integrity of the program, AGW controls the use, size, color and design of its brands. In order to protect the product of the approved system (our seals/labels) and the value they have for facilities and other businesses, we monitor the use of seals/labels and certification status.

P5.2.1 The program will allow facilities, producers, cooperatives, and restaurants to use the applicable label and seal on products that have come from animals or crops raised on an approved single facility or a network of facilities.

P5.2.2 If certified animals or products cross country borders the labeling on the end product must clearly state the following:

P5.2.2.1The country of birth;
P5.2.2.2 The country where the animal spent the majority of its life;
P5.2.2.3 The country where the animal was slaughtered; and
P5.2.2.4 The country where the meat and other livestock products were cut/further processed.

See also: *(Use of the AGW Seals in Commerce, Use of AGW Seals on Textiles, Use of AGW Seals on Those Not Directly Accredited* and *Dual Production and Sale of Product)*

P5.3 Appearance of Seal

P5.3.1 The seal must be reproduced from original artwork. Please contact AGW for a copy of the appropriate seal(s). The seal must be:

- complete and upright
- in proportion to the product description
- clearly visible

- clear and legible over the whole of a background, for example if used over a photograph.

P5.3.2 The seal should be:

- on the main face of the label or packaging.

P5.3.3 The seal must not appear:

- against a background that affects its legibility
- incomplete
- at an angle
- in different colors (without prior written consent)
- with a different font or typeface.

P5.4 Use of the Seal by Those who are not Directly Certified

In certain circumstances those who are not directly certified but who are marketing certified products may use the applicable seal.

5.4.1 This use must be approved in writing

5.4.2 This use may incur a charge

P5.5 Reproduction of the Certificate

P5.5.1 The AGW certificate must be reproduced in its entirety without alteration.

P5.5.2 Certificates will be issued for a period of 18 months.

P5.5.3 A valid certificate will be signed by the Executive Director or the Director of Operations.

P5.5.4 If a corrective action process goes beyond the certificate expiration date, the approval board reserves right to confirm validity of the certificate and extend the date as needed.

P6 Processes or Production Claims

P6.1 Transport and Storage of finished products

P6.1.1 An AGW auditor may arrange to inspect processing, transport and storage of any products claiming to be certified by AGW for any of the certifications.

P6.1.2 Identification

Records must be kept ensuring that traceability from certified facility to final point of sale can be demonstrated.

All finished items being marketed under one of AGW's labels must be clearly identified:

P6.1.2.1 On finished product by the applicable seal.

P6.1.2.2 On the wrapper or box containing finished product a clear denomination of the products status must be clearly and indelibly marked.

P6.1.3 Records

The facility will be responsible until the point of change of ownership for keeping records that would allow a competent auditor to trace the finished products.

P6.1.4 Audit arrangements

As required, the facility must facilitate access to records and facilities that transport and store finished product.

P6.2 Further processing and added value

P6.2.1 Responsibilities

P6.2.1.1 If the further processing facility is not audited and certified, the facility must ensure that sufficient and accurate documentation is kept demonstrating to the auditor that there is a balance between basic certified product going in and the certified further processed product coming out.

P6.2.1.2 If the further processing facility is not audited and certified by AGW, an auditor may arrange to inspect records of delivery and collection to match volume at operations where further processing is carried out.

P6.2.2 Records and documentation

If the further processing facility is not audited and certified by AGW, the following records must be kept:

P6.2.2.1 Delivery notes of meat, ingredients, other certified products to the further processor must be kept.

P6.2.2.2 Delivery notes must show that product is certified.

P6.2.2.3 Invoices showing the weight of finished product must be available for inspection.

P6.2.2.4 Records must be available to track back the sources of multi-ingredient products if these have come from a number of certified facilities.

P6.3 In-store handling and storage

P6.3.1 An AGW auditor may arrange to inspect storage and in-store handling of products.

P6.3.2 Where available, the facility or cooperative must have records to show the auditor the source and status of the products.

P6.3.3 As the program is a production claim, the store must be able to satisfy a USDA inspector as to its source.

P7 Promotion

P7.1 Press Contact

All press inquiries should be referred to the Communications Coordinator, Director of Communications and Outreach or Executive Director at the following address:

A Greener World
PO Box 115
Terrebonne, OR 97760

or by email at **MediaRelations@AGreenerWorld.org**.

p7.2 Conferences

From time to time representatives may be asked by AGW to attend a conference to promote the program. AGW will cover reasonable expenses.

P7.3 On Facility/ Tours and Visits

AGW may ask facilities to show or demonstrate the practices they use to other facilities or the press and media.

P7.4 Information

AGW will not use information about a specific identifiable facility or group, or management practices relating to that identifiable facility or group without the prior permission of that facility or group. Examples could be information provided as case studies for other facilities, or media briefings.

P7.5 Policy for Promoting Business or Individuals at Events AGW is Attending or Organizing

P7.5.1 Statement of intent: This policy affects all certified facilities.

P7.5.2 In order to make best use of resources AGW will assess potential businesses or individuals that could be supported/promoted at events and will work with whichever is the best fit for the event.

P7.5.3 In order to make the assessment AGW will use the following criteria.

- Is the business or individual in good standing with AGW?
- Is the business or individual capable of supplying the potential buyers/markets at the event?
- Is the business or individual local to the event/local to the demand that is likely to arise from the event
- Has AGW promoted the same business or individual before—is AGW over-promoting a particular business or individual?
- What is the impact on AGW? (Is this the best use of AGW's resources?)

P7.5.4 If the event is intended to promote supply the following criteria will be applied.

- Is the business or individual ready to enter retail? (Are the relevant labeling, licensing and processing systems in place to meet the event audience needs and is the business or individual able to supply sufficient product quantity for the potential customers?)
- Are there systems in place to monitor quality at the potential volume?
- If the potential for market growth is a factor, is there an ability to meet rising demand? (Scalable supply chain)

P8 Complaints

AGW takes complaints seriously. In the unlikely event that an unresolved concern does arise, the program has ensured that a process is in place to resolve it. (See *AGW Complaints Procedure*)

P8.1 First Recourse

In the first instance all complaints should be referred to the Executive Director.

P8.2 Appeal and Adjudication

If the complaint is not resolved by the Executive Director, the matter can be referred to the Approval Board for determination and the subsequent appeals procedure can be implemented. No person must review a complaint for a facility for which the person has been employed or provided consultancy in the previous two years.

P8.3 Complaints and Appeals from the Facility

Complaints related to the result of an audit must be referred to the appeals process. (Refer to section on appeals.)

P8.4 Complaints Against the Facility

Most complaints or concerns about facilities and practices come from misunderstandings. Communication with customers, the local community and others are the key to avoiding such situations. To help AGW to help facilities we strongly recommend that we are contacted about any complaints received.

P8.4.1 AGW must be informed of any complaints against the facility relating to animal welfare traceability and/or the applicable certification.

P8.4.2 A complaints record relating to complaints about AGW products or management must be maintained and be available at annual inspection.

P8.5 Legal Action against the Approved Facility

P8.5.1 AGW must be informed immediately of any legal action that is taken against the approved facility/facility owner relating to animal welfare or environmental damage.

P8.5.2 AGW program must be informed immediately if the facility or any facility employees are or have ever been knowingly convicted of offences relating to animal cruelty.

P8.5.3 The facility's approval may be suspended pending investigation if animal cruelty allegations or charges are bought against anyone working at the approved facility.

P8.5.4 AGW must be informed immediately of any state or federal activities that may affect the integrity of the seal.

P8.6 Informing AGW of Relevant Legal Action

P8.6.1 If AGW discovers or is informed by a third party that the approved facility or facility owner is or has been the subject of legal action relating to animal welfare or environmental damage the following actions will be undertaken:

> P8.6.1.1 All relevant information will be presented to the Director of Compliance for review and assessment.
>
> P8.6.1.2 Once the case has been assessed, the Director of Compliance will present the facts at Approval Board with a recommendation of further action.
>
> P8.6.1.3 Actions following review may include: a record on the facility's file with no further action; a letter to the facility/ requiring them to report any further legal actions against them;

suspension of the facility/ from the program and termination of the facility from the program depending on the severity of the problem.

P8.6.1.4 The Approval Board will decide the final action.

P8.7 Response to complainants

P8.7.1 The complainant will be informed of the results of their complaint whenever possible. The response will be one of the following options:

P8.7.1.1 AGW has reviewed the complaint and found it to have no merit.

P8.7.1.2 AGW has reviewed the complaint and found it unproven but will continue to monitor the situation.

P8.7.1.3 AGW has reviewed the compliant and found that it has merit. The facility in question has been placed into special measures to resolve the issue.

P8.7.1.4 AGW has reviewed the complaint and found that it has merit. The facility in question has been terminated from the program.

P8.7.2 Due to AGW's confidentiality protocols it is not possible to share the specifics of a complaint investigation with the complainant unless the investigated facility agrees that information can be shared.

P9 Internal Policies

P9.1 Internal audits

AGW carries out annual internal audits. An annual plan will be reviewed in order to ensure that during a three-year cycle, audits of every policy and procedure are carried out and delivery of the same is reviewed. The Executive Director will be responsible for preparing the annual plan and ensuring delivery.

(See AGW Internal Audit Policy and AGW Corrective and Preventative Action Procedure)

P9.2 Management Reviews

The purpose of a Management Review is to ensure the continuing stability, adequacy and effectiveness of AGW's quality management system. This means that once per year goals are evaluated against performance, results of Internal Audits are considered, any complaints against AGW's services are investigated and the general state of organizational affairs are evaluated.

(See AGW Management Review Procedure)

P9.3 Document and Record control

P9.3.1 In making sure that all team members know what is expected of them and in order to ensure that everyone always has access to the latest, properly approved version of a document, there is a procedure that defines the processes, requirements and responsibilities for document control.

(See AGW Version Control Policy)

P9.3.2 "Records" relate to information gathered and generated during the course of the approval process relating to a specific facility or other business. Records are retained for a minimum of three

years from the last activity on file. Digital copies of audits, confidential files, and correspondence are stored on a secure server accessed by authorized compliance personnel only. The Program Coordinator manages and maintains records and releases information as appropriate.

Chapter Three: Certified Animal Welfare Approved by AGW (AWA) Program Document

AWA1.0 Legal Status

Certified Animal Welfare Approved by AGW (AWA) is a program of A Greener World. As such, the AGW policies referenced herein are also applicable to AWA. This program document should be read in conjunction with the AGW Policy Manual.

AWA2.0 Statement of intent

It is the intent of the AWA program to improve farm animal welfare by confirming by audit compliance with the published AWA standards; by promoting independent farmers who adhere to the highest welfare standards; and to make the label available to as many qualifying entities (farmers and producers, cooperatives, retailers and restaurateurs as possible). The goal is to reach as many consumers as possible with products from farms that raise their animals according to the highest welfare standard practices in existence for food animals.

This program does not cover food safety, food handling or farm safety.

Requirements of certification.

1. Completed application;
2. Payment of any fees due;
3. Audit of all required facilities;
4. Compliance with any corrective actions identified;
5. Successful review of slaughter facility or use of already approved facility;
6. Current certificate;
7. Completion of subsequent reviews and audits to demonstrate continued compliance with the published standards.

AWA3.0 Program attributes

- United States Department of Agriculture (USDA) approved.
- The only pasture- and range-based program.
- Food Safety and Inspection Service (FSIS) and USDA labeling support provided by AGW staff.

AGW also offers the points below through their dedicated marketing and outreach team:

- Marketing support.
- Technical support.
- Loan of poultry stunning equipment. (See *Stunner Loan Policy*)

AWA4.0 Terms and definitions

The terms and conditions set out here must be met as well as the broader terms and conditions of AGW's policy.

See Standards and Program Definitions on the website

AWA5.0 Fees

AWA5.1 See the AWA fee schedule on AGW's website

AWA5.2 AGW reserves the right to require a facility to contribute to the cost of staff members' time and travel under the following circumstances:

AWA5.2.1 Where re-audit is required to verify that any compliance issues have been rectified before approval to use or continue to use the seal or label is granted.

AWA5.2.2 Where a visit or audit has to be rearranged due to the farmer being absent or unavailable when the auditor arrives at the previously agreed time and date; or when the farmer cancels a visit or audit at short notice without good reason.

AWA6.0 Animal Husbandry Categories

AWA6.1 The animal husbandry category is comprised of the following sub-categories:

AWA6.1.1Bison

AWA6.1.2 Cattle – Dairy

AWA6.1.3 Cattle – Beef

AWA6.1.4 Chicken – Egg Laying and Meat

AWA6.1.5 Ducks – Egg Laying and Meat

AWA6.1.6 Goats – Dairy

AWA6.1.7 Goats – Meat

AWA6.1.8 Geese – Egg Laying and Meat

AWA6.1.9 Pigs

AWA6.1.10 Sheep – Meat

AWA6.1.11 Sheep – Dairy

AWA6.1.12 Turkeys – Egg Laying and Meat

AWA7.0 Slaughter plants and on-farm slaughter policies

AWA7.1 Application

In order for a farmer to supply meat with the AWA seal or label, the accredited animals must be slaughtered in a facility that has passed review, whether this is a slaughter plant or on-farm. It is the farmer's responsibility to identify the plant they wish to use, discuss the AWA program with the plant, and support the Slaughter Facility Specialist (SFS) to gain access to visit. Slaughter plants are not required to submit a formal application. For non-meat production, a chain of custody must be visible from collection to sale.

AWA7.2 Withdrawal

At any time the slaughter plant can withdraw from the process for whatever reason by giving notice to AGW.

AWA7.3 Review arrangements

The Slaughter Facility Specialist (SFS) will arrange with the slaughter facility a mutually acceptable time to visit. For on-farm slaughter or slaughter facilities where slaughter is not regular through the year, the farmer must give the SFS at least one month notice of planned slaughter. To ensure the attendance of a SFS and to expedite the review process, it is recommended that farmers provide three months notice of planned slaughter.

AWA7.4 Slaughter Facility Specialist's concerns

If the SFS has any concerns about the suitability of a plant or on-farm slaughter facility to be part of the AWA program, they will provide a written record of the concerns recorded in the facility report to the facility's management as well as a copy to AGW

AWA7.5 Recommendation

The SFS submits the review to AGW. The program staff reviews it. The Lead Technical Advisor makes a recommendation. The Director of Compliance acting on behalf of Approval Board can either accept the recommendation or deny it.

AWA7.6 Review outcomes and decisions

The Program Coordinator will arrange for the applicant or certified facility to be informed of the outcome of the slaughter facility review for initial applications. However, final confirmation of the review lies with the Approval Board. The Approval Board can delegate review to a competent entity.

AWA7.7 Use of Seal

AWA7.7.1 For information on use of the AWA seal for slaughter facilities that have passed review, see "Information for Slaughter Plants on Use of AWA Seal." *(See Information for Slaughter Facilities on Use of AWA Seal)*

AWA7.7.2 Subject to prior approval, animals slaughtered under the supervision of a qualified staff member may be eligible to carry the AWA seal even if the facility or on-farm facility has yet to pass a review.

AWA7.8 Risk Assessment

Slaughter facilities will be assigned a Risk Assessment based on the Slaughter Review Risk Assessment procedure. *(See Slaughter Review Risk Assessment)*

AWA7.9 Suspension/termination of slaughter facilities

AWA7.9.1 As part of the farm approval process, the slaughter facility must be reviewed for suitability. If a facility passes a review it is considered suitable for use for slaughter of AWA animals.

AWA7.9.2 A slaughter facility may be considered to be unsuitable for slaughter of AWA animals and may be suspended or terminated from the program in the following instances:

> AWA7.9.2.1 the documents, application or any information supplied to or reviewed by AWA are found to be inaccurate, incomplete or otherwise misleading;

AWA7.9.2.2 as a result of any act or omission, the facility fails to comply with the AWA standards;

AWA7.9.2.3 the facility refuses to allow a review by AWA.

AWA7.9.3 The recommendation to suspend or terminate will be proposed by the Director of Compliance or their delegated authority. The decision to suspend or terminate will be taken by the Executive Director or their delegated authority or the Approval Board and will depend on the severity of the issue.

AWA7.9.4 On suspension or termination of approval, AGW may inform parties who may have an interest in the termination and the reasons for it. These parties may include farmers using or seeking to use the facility, competent authorities, other certification bodies, statutory bodies, the press and others.

AWA7.9.5 When a facility is suspended, AGW will contact all approved farmers using the facility to inform them of the situation and to assist with finding another suitable facility.

AWA7.9.6 If a facility is suspended a farmer may still have their animals slaughtered at the facility without their own approval being affected; however after the date of suspension they may not market any meat products from animals slaughtered at that facility under the AWA seal. Marketing of meat products under the AWA seal may only recommence once the facility suspension is revoked or a new facility suitable for AWA livestock is identified and used.

AWA7.9.7 If a facility is terminated, the farmer will be advised by AGW on a case by case basis. In certain circumstances and for a limited period, the Approval Board may permit a farmer to directly oversee slaughter in a terminated facility to enable them to continue to market product while another suitable slaughter facility is found.

AWA7.10 Suspension

AWA7.10.1 In the event a facility is or suspended from the program the owner or manager will be informed of the suspension and the reasons for it by telephone or email, followed up by written notification. The facility owner or manager will be given one month to respond dated from the initial time of contact.

AWA7.10.2 During that period the facility can continue to slaughter AWA animals from existing farm sources. However, they cannot actively market their suitability for the AWA program by entering into new agreements with new AWA farms.

AWA7.10.3 If no response is received within a month, the termination process will be instigated.

AWA7.11 Termination

AWA7.11.1 In the event a facility is terminated from the program the owner or manager will be informed of the suspension and the reasons for it by telephone or email, followed up by written notification.

AWA7.11.2 From the date of being informed, the facility must cease to slaughter AWA animals and must not use the AWA label and seal on any and all products and marketing information. This includes but is not restricted to product labels, leaflets, banners, press releases and websites.

From the date of being informed, the facility will not be approved to slaughter animals that are intended to carry the AWA seal. The facility will not be approved to affix and AWA seal/claim to any product under USDA inspection or not.

AWA7.11.3 Following notification of termination a facility must wait for a minimum of six months before requesting review for suitability for the program unless significant operational changes have taken place since the termination.

AWA7.11.4 Significant operational changes include but are not restricted to; change of ownership or management, appointment of specially qualified staff, rebuilding or redesign. AGW will assess whether such changes merit an earlier review for suitability on a case by case basis.

AWA7.11.5 The facility may appeal the decision – see section 1.18. During the period of appeal all terms of termination noted above—including an end to the slaughter of AWA animals and use of the AWA label —must be met.

AWA7.11.6 A termination may be rescinded when information subsequently comes to light that might otherwise have stopped the slaughter plant from being terminated.

AWA7.12 Information for farmer using slaughter facilities

AWA7.12.1 On suspension or termination of approval AGW may communicate with parties who may have an interest in the suspension or termination and the reasons for it. These parties may include farmers using or seeking to use the facility, competent authorities, other certification bodies, statutory bodies and others affected.

AWA7.13 Slaughter facilities that are or have been suspended by the USDA

AWA7.13.1 The USDA publishes a quarterly report that details all facilities that have been suspended and the reasons. The reasons are categorized as follows:

- SPS – sanitation performance standards
- INH – inhumane treatment/slaughter
- INT – interference/assault
- HACCP – Hazard Analysis and Critical Control Points

The reports can be found at: https://www.fsis.usda.gov/wps/portal/fsis/topics/regulatory-compliance/regulatory-enforcement/quarterly-enforcement-reports/QER-index

The relevant information is in Section 5 – Administrative Actions; tables 8, 9 and 10.

AWA7.13.2 Facilities put forward for AWA review

> AWA7.13.2.1When a new facility is put forward for AWA review the USDA Quarterly Enforcement Reports will be examined for any instances of suspension dating back not more than two years.
>
> AWA7.13.2.2 All facilities will be put forward for initial review regardless of past suspensions. At the review the AGW Slaughter Facility Specialist (SFS) will request sight of the log book and full details of any suspension. Suspensions classified under INH—inhumane treatment—are the most critical for full details to be obtained.

AWA7.13.2.3 If the facility allows the SFS full access to the log book and any other information including remedial actions relating to past suspensions, there have been no suspensions for at least two years and the SPS review of the facility to AWA standards does not lead to any uncorrected non-compliances the SFS can make the recommendation as to whether the facility is suitable to slaughter AWA animals.

AWA7.13.2.4 If the facility allows the SFS full access to the log book and any other information including remedial actions relating to past suspensions but suspensions have occurred within the past two years and/or the SFS does not feel that remedial action was appropriate or effective the SFS will carry out the AWA review but the decision as to whether the facility is suitable to slaughter AWA animals must be made by the full Standards Board.

AWA7.13.2.5 If the facility does not or cannot allow the SFS full access to the log book and other relevant information relating to past suspensions the SFS will carry out the AWA review but the decision as to whether the facility is suitable to slaughter AWA animals must be made by the full Approval Board.

AWA7.13.3 Slaughter facilities that are already deemed suitable to slaughter AWA animals

AWA7.13.3.1 The list of slaughter facilities that have been reviewed and are suitable for use for slaughter of AWA animals will be checked against each new USDA Quarterly Enforcement Report.

AWA7.13.3.2 If an AWA facility has received a suspension for INH the plant will be placed under immediate review by an SFS.

AWA7.13.3.3 If an AWA facility has a repeat USDA suspension under INH for the same problem within a two-year period it will be immediately suspended. There will be no prior review.

See section “suspension and termination of slaughter facilities” for further information

AWA7.13.3.4 If an AWA facility has received a suspension for any reason aside from INH the suspension will be noted but no further action will be taken unless suspension occurs for the same reason at least three times in the period covered by three quarterly reports. Under these circumstances the plant will be placed under immediate review by the Lead SPS.

AWA7.13.4 Review

AWA7.13.4.1 A facility that is under review may continue to slaughter animals for AWA farmers. The Lead SFS will carry out an investigation as part of the review which may or may not include a visit to the plant by a designated SFS.

AWA7.13.4.2 If a facility fails to cooperate with the Lead SFS it will be immediately suspended.

AWA7.13.4.3 If the facility cooperates with the review the SFS will report to the full Approval Board.

AWA7.13.4.4 The Approval Board will decide whether to allow the facility to continue slaughter of AWA animals, be suspended or be terminated based on the following criteria:

- Whether the facility informed AGW of the suspension or was found to have been suspended following examination of the USDA Quarterly Enforcement Reports
- Whether the plant cooperated fully with the SFS and allowed access to all relevant documentation relating to the suspension
- Remedial action planned or taken
- Management of other operational changes that have taken place since the suspension
- Whether the review is for a repeat suspension for any reason within the last two years
- Other details covered by the SFS review and report

See section “suspension and termination of slaughter facilities ” for further information.

AWA7.14 Showing, FFA and FH

AWA7.14.1 If a farmer supplies an animal from an approved herd or flock for FFA or 4H activities the animal can only be sold under the applicable label, or returned to an approved herd or flock, if it is managed to the applicable standards throughout its life.

AWA7.14.2 If a farmer supplies an animal from an approved herd or flock for FFA or 4H activities and the animal is not managed to the applicable standards throughout its life—OR the family member of a farmer buys an animal for FFA or 4H activities—the owner of the animal and the farmer must be able to show separation between the management of the approved herd or flock and the FFA or 4H animal.

AWA7.14.3 The applicable seal or label cannot be on any showing equipment or anything else association with an animal that is not managed to applicable standards.

Chapter Four: Certified Grassfed by AGW Program Document

CG1.0 Legal Status

Certified Grassfed by AGW is a program of A Greener World. As such, the AGW policies referenced herein are also applicable to Certified Grassfed by AGW. This program document should be read in conjunction with the AGW Policy Manual and the AWA Program Document.

CG2.0 Statement of intent

With independent on-farm audits to ensure compliance with AGW's practical and achievable standards, Certified Grassfed by AGW provides grassfed businesses with the tools they need to clearly differentiate themselves in the marketplace. This is the one grassfed label that farmers, retailers, and consumers can count on to meet their expectations.

CG3.0 Program attributes

Certified Grassfed by AGW is the only certification and logo in the U.S. and Canada that guarantees food products come from animals fed a 100 percent grass and forage diet, raised outdoors on pasture or range, and managed according to the highest welfare and environmental standards on an independent farm. While other grassfed labels exist, none can match the breadth, integrity, and transparency that Certified Grassfed by AGW offers.

This program does not cover food safety, food handling or farm safety.

Requirements of certification:

1. Certified AWA by AGW;
2. Completed application;
3. Payment of any fees due;
4. Audit of all required facilities;
5. Compliance with any corrective actions identified;
6. Successful review of slaughter facility or use of already approved facility;
7. Current certificate;
8. Completion of subsequent reviews and audits to demonstrate continued compliance with the published standards.

CG4.0 Terms and Definitions

The terms and conditions set out here must be met as well as the broader terms and conditions of AGW's policy.

See Standards and Program Definitions on the website

CG5.0 Fees

CG5.1 See the Certified Grassfed by AGW fee schedule on AGW's website

CG5.2 AGW reserves the right to require a facility to contribute to the cost of staff members' time and travel under the following circumstances:

CG5.2.1 Where re-audit is required to verify that any compliance issues have been rectified before approval to use or continue to use the seal or label is granted.

CG5.2.2 Where a visit or audit has to be rearranged due to the facility owner being absent or unavailable when the auditor arrives at the previously agreed time and date; or when the facility cancels a visit or audit at short notice without good reason (see also suspension and termination section 3.4.1).

CG6.0 Audit and review categories

CG6.1 The Certified Grassfed by A Greener World (AGW) standards are an optional addition to the Certified Animal Welfare Approved by AGW (AWA) beef and dairy cattle, meat and dairy sheep, meat and dairy goat and bison standards. These standards do not stand alone and cannot be applied in isolation. In order for animals to be approved as Certified Grassfed by AGW they must also be approved under the AWA species specific standards.

CG6.1.1 Bison

CG6.1.2 Cattle – Beef

CG6.1.3 Cattle – Dairy*

CG6.1.4 Goats – Dairy

CG6.1.5 Goats – Meat

CG6.1.6 Sheep - Dairy

CG6.1.7 Sheep – Meat

* Farms that wish to become Certified Grassfed by AGW for cow dairies must have had their animals certified by AWA for at least one audit cycle before being eligible to become Certified Grassfed by AGW.

Chapter Five: Certified Non-GMO by AGW Program Document

CNGMO1.0 Legal Status

Certified Non-GMO by AGW (CNGMO) is a program of A Greener World. As such, the AGW policies referenced herein are also applicable to Certified Non-GMO by AGW This program document should be read in conjunction with the AGW Policy Manual and the AWA Program Document (for livestock facilities).

CNGMO2.0 Statement of intent

Available to farmers, ranchers and food producers, the Certified Non-GMO by AGW label guarantees food products are produced without genetically engineered/modified feed, supplements or ingredients, and that meat, dairy and eggs come from animals raised according the highest animal welfare standards in the industry, Certified Animal Welfare Approved (AWA) by A Greener World.

CNGMO3.0 Program attributes

Certified Non-GMO by AGW is the only food label in North America that helps consumers avoid genetically modified food ingredients and support high-welfare, environmentally sustainable food animal production.

This program does not cover food safety, food handling or farm safety.

Requirements of certification:

1. Certified AWA by AGW (for livestock producers only);
2. Completed application;
3. Payment of any fees due;
4. Audit of all required facilities;
5. Compliance with any corrective actions identified;
6. Current certificate;
7. Completion of subsequent reviews and audits to demonstrate continued compliance with the published standards.

CNGMO4.0 Terms and Definitions

The terms and conditions set out here must be met as well as the broader terms and conditions of AGW's policy. CNGMO4.2 See Standards and Program Definitions on the website

CNGMO5.0 Fees

CNGMO5.1 See the CNGMO fee schedule on AGW's website

CNGMO5.2 Lab testing fees will also be charged where applicable. Testing needs will be determined by the risk assessment flow chart.

(See Certified Non-GMO by AGW Risk Assessment Flow Chart)

CNGMO5.3 AGW reserves the right to require a facility to contribute to the cost of staff members' time and travel under the following circumstances:

> CNGMO5.3.1 Where re-audit is required to verify that any compliance issues have been rectified before approval to use or continue to use the seal or label is granted.

CNGMO5.3.2 Where a visit or audit has to be rearranged due to the facility owner being absent or unavailable when the auditor arrives at the previously agreed time and date; or when the facility cancels a visit or audit at short notice without good reason.

CNGMO6.0 Audit and review categories

CNGMO6.1 The CNGMO standards are an optional addition to the individual AWA livestock standards. In order for animal products to be approved as CNGMO, the livestock they originate from must also be approved under the AWA species-specific standards.

CNGMO6.2 The CNGMO program may be applied in isolation as a stand-alone standard to non-livestock facilities.

CNGMO6.3 A livestock facility without AWA certification is not permitted to apply to the CNGMO program prior to AWA program application; however, applications may occur simultaneously.

CNGMO7.0 Subcontracts

CNGMO7.1 AGW utilizes external laboratories for Non-GMO testing validation.

CNGMO7.2 External Laboratory Requirements
AGW will subcontract genetic testing to third-party laboratories.

CNGMO7.3 Subcontracting to Non-Independent Bodies
AGW will not subcontract laboratory testing to non-independent bodies. AGW will maintain commitment to ensuring impartiality with third-party laboratories.

CNGMO7.4 Laboratory Contracts
Each third-party laboratory will have a legally binding contract with AGW.

CNGMO7.4.1 The contract will, at minimum, include provisions for conflict of interest and confidentiality.

CNGMO7.4.2 The contract will require a testing method that provides at least 90% confidence in quantifying genetically modified organisms to the threshold level. The threshold levels will be as follows: 1) seeds 0.1% 2) animal feeds 0.9% 3) animal supplements 0.9%.

CNGMO7.5 Subcontracting Responsibilities and Verification
AGW is responsible for all activities subcontracted to third-party laboratories.

CNGMO7.5.1 AGW will maintain records of each sample submitted and a chain of custody document for the associated sample. Chain of custody documents will be signed by the facility contact during the CNGMO audit.

CNGMO7.5.2 AGW requires each third-party to provide a record of their ISO/IEC 17025 accreditation.

CNGMO7.5.3 Laboratories will be reviewed and approved by the Director of Quality and Executive Director of AGW prior to entering contractual agreements. Laboratory qualifications will be reviewed for ISO/IEC 17025 accreditation, per ISO/IEC 17065 requirements. Certificates of accreditation must indicate the scope of testing is applicable to the samples being tested. Certificates of accreditation must be provided to AGW at minimum, annually.

CNGMO7.5.4 AGW will maintain a list of approved third-party laboratories.

CNGMO7.5.5 AGW will implement corrective action procedures for any breach of contract.

CNGMO7.5.6 AGW will notify the facility of the use of subcontracted laboratories prior to sample collection and testing.

CNGMO7.5.6.1 AGW will provide the facility with an opportunity to object to the selected subcontracted laboratory.

CNGMO8.0 Use of Seal

The Certified Non-GMO by AGW standards apply to the livestock that produce the meat, dairy and eggs that are certified, the crop species that are grown on and off-farm to feed them and the inputs used to produce both the crops and the animals.

On August 19, 2016, FSIS issued Notice 54-16, which approves the use of "Non-GMO" labeling of meat, poultry and egg products verified to be produced without the use of bioengineered ingredients. Upon completion of the Certified Non-GMO by AGW approval process, successful applicants may choose to use the term "Non-GMO" or "Non-GE" under the Certified Non-GMO by AGW module on product labels (see Standard 17.8.1).

CNGMO9.0 Testing

CNGMO9.1 In the case of a cooperative or producer group where clear lines of traceability can be demonstrated, a spot testing protocol should be implemented.

CNGMO9.1.1 For fewer than 10 farms per producer group or cooperative, a minimum of 1 farm must be tested.
CNGMO9.1.2 For 10 to 20 farms per producer group or cooperative, a minimum of 2 farms must be tested.
CNGMO9.1.3 For 21 or more farms per producer group or cooperative, a minimum of 10% of the farms must be tested. (e.g. Groups of 34 farms will have 3 farms tested, groups of 35 farms will have 4 farms tested.)

CNGMO9.2 For processors who have implemented and have effective controls to prevent cross contamination, valid quarterly or lot testing results may be accepted in lieu of auditor collection of samples.

CNGMO9.3 AGW recognizes that samples collected for testing may be lost or damaged during transport. If samples are lost or damaged, the Executive Director may grant an allowance to bypass testing for the facility during the associated audit year.

CNGMO10.0 Risk

CNGMO10.1 CNGMO facilities will be assessed for risk prior to the time of the audit.

Chapter Six: Certified Organic by AGW

Coming Soon