A GREENER WORLD COMPLIANCE POLICY MANUAL

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Chapter One: Who We Are

P1 Structure

P1.1 Legal Status

A Greener World (AGW) is a 501c3 organization (EIN 81-2116665) based in Oregon, United States (US). As a nonprofit, A Greener World is guided by a Board of Directors which provides strategic direction, oversees finances and upholds legal and ethical standards, providing advice and support to the Executive Director as needed.

Program operations and all contractual arrangements are the responsibility of A Greener World's Global Executive Director. No contract or obligation will have been enacted without the written confirmation of the Global Executive Director or their delegated nominee.

All correspondence should be addressed to:

A Greener World
PO Box 115
Terrebonne, OR 97760

P1.2 Regional Operations

See AGW Regional Operating Policy for details.

P1.3 Approving authorities

AGW certification programs are approved for use in commerce by applicable regulatory bodies in select countries. For details contact AGW.

P1.4 Language

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

P1.5 Confidentiality

P1.5.1 AGW will hold any and all information supplied by applicants and approved operators, 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.

P1.5.2 Farm, operator, slaughter plant, and other business information: Information will not be shared with any operator outside the review process except to confirm pass, re-audit or fail. Information will only be shared with the consent of the owner.

P1.5.3 All AGW staff, contractors, or other parties involved with the program are required to sign a non-disclosure agreement.

P1.6 Impartiality

P1.6.1 AGW is committed to impartiality in all activities including certification 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)*

P1.6.2 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)*

P1.7 The Team

P1.7.1 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.

P1.7.2 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. *(See Compliance Team Selection and Training Policy)*

P1.7.3 Performance Reviews

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

Chapter Two: General Compliance Policies

P2 Roles

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

P2.1 Global Roles

P2.1.1 Global Executive Director: Responsible for all aspects of the global organization, including delegation of authority to committees or personnel to undertake defined activities on behalf of AGW; and provision of adequate resources for certification activities.

P2.1.3 Director of Quality: Reports to Global Executive Director. Responsible for oversight of all repeatability auditing, consistency, equivalence and global compliance.

P2.1.4 Director of Operations: Reports to Global Executive Director. Responsible for oversight of global and financial operations of the certification body under guidance from the Global ED.

P2.1.5 Director of Communications and Outreach: Reports to Executive Director. Responsible for oversight of all communications and outreach within AGW.

P2.1.6 Chief Executive, Global Strategy and Partnerships: Reports to Global Executive Director. Responsible for developing, tracking and managing relationships associated with certifying supply chains of significant scale and impact.

P2.1.7 Technical Advisor: Reports to the Global Executive Director. Responsible for providing advice and support as required.

P2.1.8 Administrative Coordinator: Reports to the Regional Executive Director and the Director of Operations. Responsible for administrative tasks in support of the program.

P2.2 Regional Roles

P2.2.1 Regional Executive Director: Responsible for management and development of regional branch of AGW.

P2.2.2 Director of Compliance: Reports to Regional Executive Director. Responsible for oversight of all auditing and compliance work.

P2.2.3 Program Coordinator: Reports to the Regional Executive Director with obligations to the Director of Compliance and Director of Quality. Responsible for program management and administration.

P2.2.4 Lead Auditor: Reports to the Director of Compliance. Responsible for managing auditors.

P2.2.5 Lead Slaughter Plant Specialist: Reports to the Director of Compliance. Responsible for managing slaughter specialists.

P2.2.6 Marketing, Communications, and Outreach staff members: Report to the Director of Communications and Outreach. Responsible for promoting the program and working with operators in specific regions.

P2.2.7 Auditors: Report to the Lead Auditor with responsibilities to the Director of Compliance and the Director of Quality. Responsible for performing audits.

P2.2.8 Slaughter Plant Specialists: Report to the Lead Slaughter Plant Specialists. Responsible for slaughter reviews.

P2.2.9 Compliance Coordinator: Report to the Director of Compliance. Responsible for reviewing audits and ensuring consistency and accuracy of compliance reports. Role may be filled by any compliance team member that did not perform the audit.

P2.2.10 Technical Specialist: Report to the Director of Compliance. Responsible for ensuring accuracy and consistency of the application of AGW standards.

P2.2.11 Eligibility Coordinator: Reports to the Director of Compliance. Responsible for assessing eligibility of program applicants. Role may be filled by any compliance team member. For Certified Regenerative by AGW, this must not be the same person that performs the audit.

P2.3 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. Where established, 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 Global 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)

P2.4 Standards Board

P2.4.1 The Standards

The standards have been developed over a period of time by experts in the field. 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 on the AGW websites. Standards are published and publicly available and will be reviewed annually by a Standards Board with the qualifications below. Operators 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 (approximately one month). Final versions will be posted to the website. AGW will begin auditing to the new standards within approximately one month of their publication.

P2.4.2 Responsibilities of the Standards Board

P2.7.2.1 Sets the standards.

P2.4.2.2 Annually reviews standards.

P2.4.2.3 Evaluates standard review requests as these are submitted.

P2.4.2.4 Approves regional variations from Global Standards where necessary (for example to comply with local regulations).

P2.4.3 Membership of the Standards Board

P2.4.3.1 Global Executive Director. Responsible for ensuring that the AGW programs meet the aims and objectives of AGW. The Global Executive Director has the final decision.

P2.4.3.2 Technical representative: responsible for matters relating to achievability of the standards.

P2.4.3.3 Producer Representative: responsible for representing the producer's perspective. (As required.)

P2.4.3.4 Production Expert: responsible for providing impartial opinion on subject discussions. (As required.)

P2.4.3.5 Secretary: responsible for minutes, agendas and correlations of required documentation. Not a voting member. In most cases this will be the Director of Operations.

P2.4.3.6 Invited representative from species or sector under discussion. (As required.) Not a voting member.

P2.4.3.7 Authority to appoint and terminate members of the Standards Board lies with the Global Executive Director.

P2.4.4 Meetings of the Standards Board

P2.4.4.1 The board meets as required and at least annually.

P2.4.4.2 The board can, if necessary, convene virtually.

P2.4.4.3 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.

P2.4.4.4 Decisions of the board are only binding when the meeting is in quorum.

P2.4.4.5 Quorums

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

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

P2.4.5 Standards amendment

P2.4.5.1 Anyone can submit a suggestion or request for a standards amendment.

P2.4.5.2 The standards amendment form must be completed and submitted to AGW. The amendment will be assessed against current records and if it has merit it will be forwarded to the Standards Board for consideration. Reasonable consultation time will be given. *(See Standards Amendment Form)*

P2.5 Technical Team

P2.5.1 Responsibilities of the Technical Team:

P2.5.1.1 Reviews questions on standards when clarity is needed and/or for which there is no precedent for implementation.

P2.5.1.2 Clarifies questions on intent and interpretation of standards.

P2.5.1.3 Determines acceptable practices and inputs under the standards.

P2.5.1.4 Provides direction on procedures and protocols for auditing standards.

P2.5.1.5 Provides input for consistent applications of standards.

P2.5.1.6 Sets precedent on derogation requests.

P2.5.1.7 Provides guidance to Standards Board on new science relating to standards and input received by AGW relating to standard changes.

P2.5.1.8 Provides guidance and recommendations to Standards Board as required.

P2.5.1.9 Considers regional quality concerns as needed. May recommend a course of action up to and including certification termination.

P2.8.1.10 Approves access to out-of-region markets, for a product that has global markets.

P2.5.2 Membership of the Technical Team

P2.5.2.1. Global Executive Director or their nominee.

P2.5.2.2 Technical Representative.

P2.5.2.3 Production Expert.

P2.5.2.4 Secretary. Not a voting member.

P2.5.2.5 Invited representative from species or sector under discussion to provide input. (As required.) Not a voting member.

P2.5.2.6 Authority to appoint and terminate members of the Technical Team lies with the Global Executive Director.

P2.5.3 Meetings of the Technical Team

P2.5.3.1 The team meets as required.

P2.5.3.2 The team can convene virtually.

P2.5.3.3 The Technical Team 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.

P2.5.3.4 Decisions of the Technical Team are only binding when the meeting is in quorum. A quorum is defined as the three voting members.

P2.6 Approval Board

P2.6.1 Responsibilities of the Approval Board:

P2.6.1.1 Reviews and decides on certification approvals.

P2.6.1.2 Reviews critical and cumulative non-compliances.

P2.6.1.3 Reviews complaint reports.

P2.6.1.4 Reviews and decides outcome of termination of operators from the program.

P2.6.1.5 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.

P2.6.1.6 The Approval Board may delegate authority to approve operators to anyone employed by or under contract with AGW.

P2.6.2 Membership of the Approval Board

P2.6.2.1 Regional Executive Director or their nominee.

P2.6.2.2 Program representative.

P2.6.2.3 A third member will be nominated to cover in case of a recusal or a split decision.

P2.6.2.4 A member of the Approval Board cannot vote on an audit they have carried out.

P2.6.2.5 Authority to appoint and terminate members of the Approval Board lies with the Regional Executive Director.

P2.6.2.6 The Approval Board has the authority to delegate the certification decision to a nominee approved by the Global Executive Director.

P2.6.3 Meetings of the Approval Board

P2.6.3.1 The board meets as required.

P2.6.3.2 The board can convene by phone or email.

P2.6.3.3 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.

P2.6.3.4 Decisions of the Approval Board are only binding when the meeting is in quorum. A quorum is defined as two board members except in instances such as 2.6.1.6 above.

P2.7 Senior Management Team

P2.7.1 Responsibilities of the Senior Management Team

P2.7.1.1 Development of policies relating to the operation of AGW, outside of compliance.

P2.7.1.2 Provide input into decisions regarding the trajectory of AGW.

P2.7.2 Membership of the Senior Management Team

P2.7.2.1 Global Executive Director

P2.7.2.2 Regional Executive Director

P2.7.2.3 Director(s) of Compliance

P2.7.2.4 Director of Quality

P2.7.2.5 Director of Operations

P2.7.2.6 Director of Communications and Outreach

P2.7.3 Meetings of the Senior Management Team

P2.7.3.1 The team meets as required, or at least quarterly.

P2.7.3.2 Meetings may be by phone or email.

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 an operator chooses to withdraw from a program, they must provide notification in writing.

A completed application form and a signed contract 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 have decided to only work with operators 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 to decline to accept an application or maintain a contract for certification from an operator when fundamental or demonstrated reasons exist, such as the operator participating in illegal or unethical activities, having a history of repeated non-compliances with certification requirements, or similar client-related issues.

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 operator 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 operator 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, AGW will review the submitted application for completeness and compliance with published standards, and if necessary, seek further information from the applicant. (Please see appendices for specific program requirements.)

P3.2 Audit Process

Whether an applicant becomes certified will be determined by the process of an open and transparent audit of the operator, 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 operator, 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 operators 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. Re-submission of an application is not required unless there is a scope addition (additional species, product, or location or logo), 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 recurring 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 AGW will allocate the audit and the auditor will liaise with the operator 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 operator, plant, or other business moves their base of operation to a new site. If an operator carries out multiple moves within the space of 26 months or less their approved status will be reviewed.

P3.2.2.7 Any operator wishing to add species to their application must submit an amended application. The amended application can be obtained from the main office. Any operator 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 operator contact and the auditor.

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

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 generally on a 15-month cycle with a maximum of 18 months between audits. (This allows operators to be seen in different seasons.)

p3.2.3.2 With agreement from AGW, the audit cycle can be amended or extended in the following cases:

- Force majeure (unforeseeable circumstances beyond anyone's control) such as weather, epidemiological concerns, natural disaster or serious injury or illness.

- By agreement in cases of major infrastructure change such as new operators 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.

- Where an operator 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.

- Any other reason designated by the AGW approval board, including scheduling conflicts. The reason for extension must be documented.

p3.2.3.3 Compliance activities may be held in abeyance while an operator is under investigation under the discretion of the Global Executive Director 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 logo 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 operator 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 operator 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 operator or group that has been previously accepted into an AGW program may be allowed to continue to use the logo 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 logo 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 logo may be suspended from the date of issue of the compliance form. During the suspension period the operator can continue to use the applicable logo 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 issuing 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 operator to enter or remain in the program.

P3.2.6.5 If at re-audit a operator is found not to have corrected a critical non-compliance, and therefore to have broken their agreed corrective action plan, they may be suspended from the program. If a operator 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 operator for the compliance form and other information as shown in this document are based on the operator contact being able to use electronic communication. If an operator 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 operators

P3.2.8.1 If an applicant submits an application but does not respond to AGW communications it will be marked dormant. The applicant will be informed that AGW 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 an operator that has been audited for the first time does not respond to communications regarding compliance issues, derogations, or any other issues it will be marked dormant. The operator will be informed that AGW will no longer attempt to contact them. If the operator subsequently contacts AGW 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 operator a new application must be submitted.

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

P3.2.9.3 If there is an intent to remain certified, the new operator 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 operator/ 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 operator, 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 an operator 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 an operator is refused entry or removed from the program, they will be told the reason for this decision. Operators 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 AGW or similar organizations;

P3.2.10.3 if the operator demonstrates or has demonstrated a lack of compatibility with AGW;

P3.2.10.4 if the operator 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 operator's missions or operations are not compatible AGW;

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

P3.2.10.7 Conviction of violating environmental policy or law;

P3.2.10.8 AGW maintains a policy of non-discrimination and does not refuse entry based on protected status.

P3.2.11 Following audit and acceptance of the actions detailed on the compliance form, the operator or group may supply its product with the applicable logo. However, before any output or product can be supplied or marketed with the logo the slaughter plant 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 logo to the applicant following a review of submitted documentation; a review of the proposed design of the logo for use in trade; and a satisfactory audit and slaughter review (where applicable).

P3.3.1 The approval to use the logo 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 logo.

P3.3.2 The logo 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 operator or group can only use the logo on products derived from the animals or crops that originate from an audited operator 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 operator 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 operator's responsibility to ensure that they keep up to date with these.

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

P3.4 Derogations

P3.4.1 Derogation is permission for an operator 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 obtained 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 operator 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 recusal or a split decision.

P3.5.2.4 Members of the Appeals Board must not review an appeal for a operator 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 operator 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 At their own cost, the appellant may provide witnesses or experts or submit reports or other evidence from witnesses or experts to make representations or appear in person.

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

P3.6 Producer Groups

See AGW Producer Group Policy

P4 Suspension/Termination

P4.1 Circumstances

A operator may be suspended or 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 operator fails to comply with the applicable standards.

P4.1.3 the operator refuses to allow an audit.

P4.1.4 the operator 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 plant to one that has not passed review.

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

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

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

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

P4.1.10 if an operator's test results exceed acceptable established thresholds.

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

P4.1.11 successful prosecution of the operator(s) relating to an animal welfare, environmental or fraudulent marketing offense.

P4.1.12 theft or failure to return AGW property.

P4.1.13 failure to pay applicable fees or otherwise keep account current.

P4.2 Removal of species

P4.2.1 If an operator 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 operator and all species or scopes.

P4.2.2 The Approval Board reserves the right to terminate the operator 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 Regional 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 an operator is suspended from the program the operator will be informed and provided the reasons for it in writing. The operator will be given one month to respond with a Corrective Action Plan (CAP). The decision to suspend or terminate will be taken by the Regional 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 operator can continue to use the applicable logo 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.

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

(See Facility is Suspended Flow Chart)

P4.4 Termination

P4.4.1 In the event an operator is terminated from the program, the operator will be informed of the termination and the reasons for it in writing.

P4.4.2 From the date of notification the operator must cease to use the applicable logo 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 operator's AGW certificate is nullified and invalid.

P4.4.3 Product that has already been packed and labeled with the applicable logo may still be sold provided the logo 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 an operator must wait for a minimum of six months before reapplying to the program. Application fees may apply.

P4.4.6 The operator 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 logo—must be met.

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

P4.5 Administrative Termination

P4.5.1 Administrative termination can be applied to operators and slaughter plants. An operator 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 operator moves sites 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 operator such as acquisition of new land, buildings or other operators which cannot be prepared for audit or review within a reasonable time.

P4.5.2 Administrative termination cannot be requested by an operator 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 Regional Executive Director or their delegated authority or the Approval Board.

P4.5.3 A operator 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 AGW. Administrative termination holds no negative connotation for the business concerned. Application fees may be waived following an administrative termination.

P5 Use of Logo

P5.1 Use of Logo

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

P5.1.2 Once an operator has been certified it may use the appropriate logo and any other promotional material available, until such time the operator is informed in writing of its removal or termination from the program. The operator must refer to certification consistent with the scope of certification. The certification and/or logo may not be used in reference to species that are not certified by the program.

P5.1.3 Operators 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, operators must comply with the aforementioned requirements.

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

P5.1.5 Use of the logo 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 logo is used to promote such products, the logo 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 logo.

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 logos) and the value they have for operators and other businesses, we monitor the use of logos and certification status.

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

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;
P5.2.2.4 The country where the meat and other livestock products were cut/further processed; and
P5.2.2.5 The country where the produce or other goods from the operator were produced.

P5.2.3 All logo use is subject to pre-approval by the AGW Global Executive Director or their delegated authority. Approval to use an AGW logo may be requested from the regional office.

(See: Logo Use Guidance for Certified Operators.)

P5.2.4 Operators benefiting from subsidized certification must make every effort to use the logo in their marketing. Failure to do so may result in loss of the subsidy.

P5.3 Appearance of Logo and Associated Text

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

- on the main face of the label or packaging.

P5.3.3 The logo 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.

P5.3.4 Where content claims are used:

- Percentage of content must have a font size equal to or greater than the content claim.
- The claim “Regenerative” must always be accompanied by a content claim.

P5.4 Use of the Logo by Distributors and Further Processors

Distributors and processors are a vital part of the supply chain to ensure that products certified to an AGW program reach their customers, whether this is via retail stores, restaurants, direct to customer or other outlets.

AGW’s Standards for Distributors and Processors apply to operators that process AGW-certified products. To ensure the identity and traceability of AGW products is maintained, distributors and processors must meet the applicable standards. While certification is optional for distributors unless they are the entity affixing label on product, further processors must be certified in order to use AGW logos.

See Chapter Seven below.

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 issued and signed by the Regional Executive Director or their delegated authority

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

P5.6 Equivalency

P5.6.1 AGW can consider requests for equivalence to AGW standards by other audited certifications an operation may hold using a gap analysis.

P5.6.2 If an operator is using AGW certification or services to gain equivalency for another certification to achieve that certification or using another certification to gain AGW certification, AGW retains the right to charge an administrative fee.

P6 Mass Balance and Traceability

P6.1 Mass Balance

P6.1.1 Mass Balance ensures the integrity of certification by confirming that the amount of certified product produced or handled is consistent with the quantity of certified inputs available and the operator's production capacity. Mass balance exercises are required for AWA; Certified Regenerative by AGW; Certified Non-GMO by AGW; and Brands, and Further Processors and Distributors (see Chapter Seven below).

P6.1.2 AGW requires operators to keep records that ensure an input/output balance (mass balance) can be carried out on a product with an AGW logo and must be retained for at least two years (AWA 17.0.1; CNGMO 8.0.2; CR 1.13).

P6.1.2.1 In these cases, AGW verifies at audit that the operator's production capacity reasonably matches the quantity of certified product produced or handled. Records reviewed may include, but are not limited to:

P6.1.2.1.1 Meat Products:

- Production records (e.g. birth records, purchase orders, sale records, etc.)
- Slaughter records
- Processing records
- Labeling and sales records
- Other records determined to be sufficient

P6.1.2.1.2 Operators selling non-meat products (including eggs, cheese, or fiber):

- Production records (e.g. chick orders, egg collection records, milk logs, etc.)
- Labeling and sales records
- Inventory records
- Other records determined to be sufficient

P6.1.2.1.3 Crops:

- Planting records

- Harvest records
- Inventory records
- Labeling and sales records
- Other records determined to be sufficient

P6.2 Traceability

Traceability ensures the integrity of certified product by demonstrating that the certified products can be tracked through a documented and controlled chain of custody through each process step beginning with receiving through distribution.

P6.2.1 Operators must demonstrate the qualitative integrity of certification by demonstrating that certified products remain within a documented and controlled chain of custody throughout all applicable stages of production, processing and handling.

P6.2.2 AGW verifies at audit that the operator utilizes a method of tracing products. Methods may include, but are not limited to:

- Animal identification methods (e.g. ear tags, ear notches, leg bands, etc.)
- Recording relevant production dates (e.g. slaughter, packing and/or processing)
- Lot or batch number
- Barcodes

P7 Promotion

P7.1 Press Contact

All press inquiries should be referred to AGW at the following address:

A Greener World
PO Box 115
Terrebonne, OR 97760

or by email at mediarelations@agreenerworld.org (US); mediarelations@agreenerworld.org.uk (UK); or info@agreenerworld.org.za (South Africa).

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 Operator/ Tours and Visits

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

P7.4 Information

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

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? (Is the supply chain scalable?)

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 Complaints and Appeals from the Operator

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

P8.2 Complaints Against the Operator

Most complaints or concerns about operators 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 operators we strongly recommend that we are contacted about any complaints received.

P8.2.1 AGW must be informed of any complaints against the operator relating to animal welfare traceability and/or the applicable certification.

P8.2.2 A complaints record relating to complaints about AGW products or management must be maintained and be available at annual inspection.

P8.3 Legal Action against the Approved Operator

P8.3.1 AGW must be informed immediately of any legal action that is taken against the approved operator/operator owner relating to animal welfare or environmental damage.

P8.3.2 AGW program must be informed immediately if the operator or any operator employees are or have ever been knowingly convicted of offences relating to animal cruelty.

P8.3.3 The operator's approval may be suspended pending investigation if animal cruelty allegations or charges are bought against anyone working at the approved operator.

P8.3.4 AGW must be informed immediately of any state or federal activities that may affect the integrity of the logo.

P8.4 Informing AGW of Relevant Legal Action

P8.4.1 If AGW discovers or is informed by a third party that the approved operator or operator owner is or has been the subject of legal action relating to animal welfare, environmental damage or potentially fraudulent activities the following actions will be undertaken:

P8.4.1.1 All relevant information will be presented to the Director of Compliance for review and assessment.

P8.4.1.2 Once the case has been assessed, the Director of Compliance will present the facts at Approval Board with a recommendation of further action.

P8.4.1.3 Actions following review may include: a record on the operator's file with no further action; a letter to the operator requiring them to report any further legal actions against them; suspension of the operator from the program and termination of the operator from the program depending on the severity of the problem.

P8.4.1.4 The Approval Board will decide the final action.

P8.5 Response to complainants

P8.5.1 The complainant will be informed of the results of their complaint whenever possible. The response will be one of the following options:

P8.5.1.1 AGW has reviewed the complaint and found it to have no merit.

P8.5.1.2 AGW has reviewed the complaint and found it unproven but will continue to monitor the situation.

P8.5.1.3 AGW has reviewed the compliant and found that it has merit. The operator in question has been placed into special measures to resolve the issue.

P8.5.1.4 AGW has reviewed the complaint and found that it has merit. The operator in question has been terminated from the program.

P8.5.2 Due to AGW's confidentiality protocols it is not possible to share the specifics of a complaint investigation with the complainant unless the investigated operator 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 Global 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 operator 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

Certified Animal Welfare Approved by AGW is a trademarked program of A Greener World. Where approved, this chapter should be edited to reflect the regional program.

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 farmers who adhere to the highest welfare standards; and to make the logo 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 operators;
4. Compliance with any corrective actions identified;
5. Successful review of slaughter plant or use of already approved operator;
6. Current certificate;
7. Completion of subsequent reviews and audits to demonstrate continued compliance with the published standards.

Program participation must be renewed annually.

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 application assistance 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 an operator 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 logo 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:

AWA6.1.1 Bison

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

AWA6.1.13 Deer (Not available in the U.S.)

AWA7.0 Slaughter plants and on-farm slaughter policies

Note: This section is not applicable outside of North America.

AWA7.1 Application

In order for a farmer to supply meat with the AWA logo, the accredited animals must be slaughtered in a operator 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 Plant Specialist (SPS) 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.

Slaughter plants operating in the United States are considered compliant with 9 CFR § 317.8(a) and 9 CFR § 317.1(c) and therefore demonstrate sufficient traceability that products remain within a documented and controlled chain of custody throughout all applicable stages of production, processing and handling.

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

AWA7.4 Slaughter Plant Specialist's concerns

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

AWA7.5 Recommendation

The SPS submits the review to AGW. The program staff reviews it. The Director of Compliance reviews and approves it.

AWA7.6 Review outcomes and decisions

The Program Coordinator will arrange for the applicant or certified operator to be informed of the outcome of the slaughter plant 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 Logo

AWA7.7.1 For information on use of the AWA logo for slaughter plants that have passed review, see "Information for Slaughter Plants on Use of AWA Seal." *(See Information for Slaughter Plants 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 logo even if the operator or on-farm operator has yet to pass a review.

AWA7.8 Risk Assessment

Slaughter plants 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 plants

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

AWA7.9.2 A slaughter plant 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 operator fails to comply with the AWA standards;

AWA7.9.2.3 the plant 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 Regional 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 operator, competent authorities, other certification bodies, statutory bodies, the press and others.

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

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

AWA7.9.7 If a plant 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 plant to enable them to continue to market product while another suitable slaughter plant is found.

AWA7.10 Suspension

AWA7.10.1 In the event a plant is or suspended from the program the owner or manager will be informed of the suspension and the reasons for in writing. The plant owner or manager will be given one month to respond dated from the initial time of contact.

AWA7.10.2 During that period the plant 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 initiated.

AWA7.11 Termination

AWA7.11.1 In the event a plant is terminated from the program the owner or manager will be informed of the suspension and the reasons for it in writing.

AWA7.11.2 From the date of being informed, the plant must cease to slaughter AWA animals and must not use the AWA logo 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 plant will not be approved to slaughter animals that are intended to carry the AWA logo. The plant will not be approved to affix and AWA logo/claim to any product under USDA inspection or not.

AWA7.11.3 Following notification of termination a plant 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 plant 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 logo —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 plants

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 operator, competent authorities, other certification bodies, statutory bodies and others affected.

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

AWA7.13.1 The USDA publishes a quarterly report that details all operators 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 Critical Control Points

AWA7.13.2 Plants put forward for AWA review

AWA7.13.2.1When a new plant 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 plants will be put forward for initial review regardless of past suspensions. At the review the AGW Slaughter Plant Specialist (SPS) 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 plant allows the SPS 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 plant to AWA standards does not lead to any uncorrected non-compliances the SPS can make the recommendation as to whether the plant is suitable to slaughter AWA animals.

AWA7.13.2.4 If the plant allows the SPS 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 SPS does not feel that remedial action was appropriate or effective the SPS will carry out the AWA review but the decision as to whether the plant is suitable to slaughter AWA animals must be made by the Approval Board.

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

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

AWA7.13.3.1 The list of slaughter plants 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 plant has received a suspension for INH the plant will be placed under immediate review by an SPS.

AWA7.13.3.3 If an AWA plant 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 plants” for further information

AWA7.13.3.4 If an AWA plant 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 plant that is under review may continue to slaughter animals for AWA farmers. The Lead SPS will carry out an investigation as part of the review which may or may not include a visit to the plant by a designated SPS.

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

AWA7.13.4.3 If the plant cooperates with the review the SPS will report to the Approval Board.

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

- Whether the plant 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 SPS 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 SPS review and report

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

AWA7.14 Showing, FFA and 4H

Where applicable

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 logo, 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 logo 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 certification 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 certifications 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 operators;
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.

Program participation must be renewed annually.

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 an operator 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 logo is granted.

CG5.2.2 Where a visit or audit has to be rearranged due to the operator owner being absent or unavailable when the auditor arrives at the previously agreed time and date; or when the operator 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 operators).

CNGMO2.0 Statement of intent

Available to farmers, ranchers and food producers, the Certified Non-GMO by AGW logo guarantees production 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 certification in North America that helps consumers avoid genetically modified 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 operators;
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.

Program participation must be renewed annually.

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. 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 In addition to the fees above, AGW reserves the right to require an operator 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 logo is granted.

CNGMO5.3.2 Where a visit or audit has to be rearranged due to the operator owner being absent or unavailable when the auditor arrives at the previously agreed time and date; or when the operator 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 operators, for example food or feed products.

CNGMO6.3 A livestock operator 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 operator 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 Global 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 operator of the use of subcontracted laboratories prior to sample collection and testing.

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

CNGMO8.0 Use of Logo

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. They also apply to processed food or feed products. For products on which a CNGMO logo could add more confusion to the marketplace, AGW retains the right to not permit logo use.

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 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, a minimum of 1 farm must be tested.
CNGMO9.1.2 For 10 to 20 farms per producer group, a minimum of 2 farms must be tested.
CNGMO9.1.3 For 21 or more farms per producer group, 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 Regional Executive Director may grant an allowance to bypass testing for the operator during the associated audit year.

CNGMO10.0 Risk

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

Chapter Six: Certified Regenerative by AGW Program Document

Certified Non-GMO by AGW is a trademarked program of A Greener World. Where approved, this chapter should be edited to reflect the regional program.

CR1.0 Legal Status

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

CR2.0 Statement of Intent

It is the intent of the CR program to improve managed ecosystems by confirming by audit compliance with the published CR standards; by promoting independent farmers who adhere to the CR standards; and to make the certification available to as many qualifying entities (farmers and producers, cooperatives, retailers and restaurateurs) as possible. The goal is to certify as many holdings and as much landmass as possible, as well as to reach as many consumers as possible with products from holdings that are actively regenerating their ecosystems or maintaining equilibrium.

CR3.0 Program attributes

Stewards must agree to a minimum of one visit per year from CR staff or agents, with the possibility of additional visits if deemed necessary in order to confirm compliance with the standard during various seasons and to allow observation of plants and animals in different phases of life.

This program does not cover food safety or food handling.

Requirements of certification:

1. Completed application;
2. Payment of any fees due;
3. Completion and acceptance of a Regenerative Plan unique to that holding prepared in conjunction with a Qualified Expert;
4. Audit of all required operators;
5. Compliance with any corrective actions identified;
6. Successful review of slaughter plant or use of already approved plant (when holdings involve animals);
7. Current certificate;
8. Completion of subsequent reviews and audits to demonstrate continued compliance with the published standards.

Program participation must be renewed annually.

A Regenerative Plan must be designed by the stewards of the holding and tailored to the specific holding site(s). Regenerative Plans must be approved by a qualified expert (which in some cases may be the steward). Compliance of the CR standard will be measured in conjunction with the Regenerative Plan. Incremental and measurable improvement is expected and if equilibrium is reached within the soil, the steward is expected to maintain it over time. Compliance to the CR standard will also be measured against the criteria listed in the Certified Regenerative standards. In the case of Certified Regenerative by AGW, in a producer group, each operator (holding) owner will be responsible for their own Regenerative Plan.

The CR program is voluntary. The standards do not supersede national government or state legislation.

CR4.0 Terms and definitions

See Standards and Program Definitions on the website.

CR5.0 Fees

CR5.1 See the CR fee schedule on AGW's website

CR5.2 Lab testing fees will also be charged where applicable. Testing needs will be determined by the risk assessment in the accepted regenerative plan.

CR5.3 In addition to the fees above, AGW reserves the right to require an operator to contribute to the cost of staff members' time and travel under the following circumstances:

CR5.3.1 Where re-audit is required to verify that any compliance issues have been rectified before approval to use or continue to use the logo is granted.

CR5.3.2 Where a visit or audit has to be rearranged due to the operator owner being absent or unavailable when the auditor arrives at the previously agreed time and date; or when the operator cancels a visit or audit at short notice without good reason (see also suspension and termination section 3.4.1).

CR6.0 Audit and review categories

CR6.1 The CR standards are stand-alone standards but within three years of initial certification, holdings must be in compliance to AWA standards for at least one species, increasing it to all applicable species by year five.

The following foundational standards and best practices, as detailed in the CR standards, must be met for certification:

CR6.1.1 Ownership and Operation

CR6.1.2 The Regenerative Plan

CR6.1.2.1 Review of the Regenerative Plan for Certified Regenerative by AGW

Whether an applicant is recommended for audit in the Certified Regenerative by AGW program, depends on the acceptance of their Regenerative Plan.

CR6.1.2.2 Review and acceptance of the submitted Regenerative Plan will be conducted by the Review Panel.

CR6.1.3 Soil

CR6.1.4 Water

CR6.1.5 Air

CR6.1.6 Livestock

CR6.1.7 Land Use and Cropping

CR6.1.8 Biodiversity

CR6.1.9 Buildings

CR6.1.10 Human

CR6.1.11 Financial

CR7.0 Use of Logo

The CR by AGW standards generally apply to agricultural products produced on a holding, but permission to use the logo must be explicitly granted for each product. A holding may also be eligible for CR status if it generates no products for sale; for example: historical estates, parks, educational institutions or conservation land.

Chapter Seven: AGW Standards for Distributors and Further Processors

DFP1.0 Legal Status

Certification for Distributors and Further Processors is a certification of A Greener World. As such, the AGW policies referenced herein are also applicable to this program document and should be read in conjunction with the AGW Policy Manual and the AGW Standards for Distributors and Further Processors.

DFP2.0 Statement of intent

Distributors and processors are a vital part of the supply chain to ensure that products certified to an AGW program reach their customers, whether this is via retail stores, restaurants, direct to customer or other outlets.

AGW's Standards for Distributors and Processors apply to operators that process AGW-certified products. To ensure the identity and traceability of AGW products is maintained, distributors and

processors must meet the applicable standards. While certification is optional for distributors unless they are entity affixing logo on product, further processors must be certified in order to use AGW logos.

DFP3.0 Program attributes

AGW recognizes that great value can be added to products by further processing and consolidation. To ensure operators get the most exposure and value for certified products, AGW facilitates the responsible and transparent use of logos by non-farmers, consolidators and marketing entities, in accordance with AGW policies.

Requirements of certification:

1. A product derived from an animal or crop that has been audited and approved as having been raised to AGW's published standards;
2. Completed application;
3. Payment of any fees due;
4. Audit of all required operators;
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.

Program participation must be renewed annually.

DFP4.0 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

DFP5.0 Fees

DFP5.1 See the Fee Schedule on AGW's website

DFP5.2 AGW reserves the right to require an operator to contribute to the cost of staff members' time and travel under the following circumstances:

DFP5.3.1 Where re-audit is required to verify that any compliance issues have been rectified before approval to use or continue to use the logo is granted.

DFP5.3.2 Where a visit or audit has to be rearranged due to the operator owner being absent or unavailable when the auditor arrives at the previously agreed time and date; or when the operator cancels a visit or audit at short notice without good reason.

DFP6.0 Audit and review categories

DFP6.1 Distributor: An operator that does not produce products but sells or distributes certified AGW product(s).

DFP6.2 Further Processor: An operator that processes, packages or labels a product that contains ingredient(s) currently certified by AGW or eligible for AGW certification.

DFP6.3 The AGW logo may be used by a Distributor or Further Processor on all products, provided they derive from an animal or crop that has been audited and approved as having been raised to AGW's published standards in at least one of the following categories: Certified Animal Welfare Approved by AGW, Certified Grassfed by AGW, Certified Non-GMO by AGW, or Certified Regenerative by AGW.