

**KPCS Standard – External Audit Checklist**

[ ]  **KPCS “Full Certification”** [ ]  **KPCS “Restricted Certification”** [ ]  **KPCS “Shelter Trees”**

**Audit Date:**

|  |  |
| --- | --- |
| **Nursery Details** | **Auditor Details** |
| **Name:**  | **Name:** |
| **Sites included in audit:**  | **Company:** |
| **Address:**  | **Phone:** |
| **Phone:**  | **Email:** |
| **Email**: |  |

**Audit Result**

[ ]  **Audit complete with no corrective actions required**

[ ]  **Corrective actions to be completed before audit signoff (details on page 6)**

[ ]  **Date corrective actions required to be completed:**

**Anticipated date of next external audit:**

*Note: The following audit checklist is a guide for auditors of some of the key points to verify during the KPCS External Audit. It is not a complete list of the KPCS requirements, these are located in the KPCS Standard Manual. Therefore, auditors should use this checklist in conjunction with the KPCS Standard Nursery Manual during the KPCS external audit.*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Std. Ref.** | **Audit level** | **Checklist** | **Information Required** | **Complete (Y/N)** | **Verification Details** |
| **Part A – Nursery Essentials** |
| 5.1 | **Major** | Nursery details | Are nursery details complete, and correct? |  |  |
| 5.1.1 | **Minor** | Production system | Is the production system described in the Manual consistent with that observed during the audit? Have they recorded all species of plants on site? List here. |  |  |
| 5.1.2 | **Major** | Production sites | Has the nursery provided an accurate list of all production sites? List these here. |  |  |
| 5.1.3 | **Minor** | Nursery maps | The nursery must provide a map for each production site that includes key features specified in 5.1.3.During the audit, verify that key features are correctly labelled in one production site especially those used for traceability such as numbering for buildings, fields, blocks and rows.  |  |  |
| 5.2 | **Major** | Staff and management responsibilities | Verify that a staff member is assigned to each of the three key roles specified in the Standard; all three roles are required for completion of this criteria. |  |  |
| 5.2.1 | **Major (if no records minor if incomplete)** | Staff training | Do nursery records demonstrate that key staff members have sufficient training for assigned roles? Choose one of the three key roles and discuss with the designated staff member to ensure:* adequate awareness of tasks required.
* adequate training to perform role consistent with training records.
* For long term staff competence in task and need for any retraining should be verified every couple of years.

Has the nursery included statement of experience for nursery manager in lieu of training records? |  |   |
| 5.3 | **Major (if no signage otherwise minor)** | Signage | Do all nursery entrances have appropriate signage highlighting biosecurity risks, restricting entry to permitted persons, indicating parking and directions for visitors to register presence? |  |  |
| 5.4 | **Minor** | Visitor registration | Is there a clear procedure for visitors and a visitor register that is maintained and up to date? |  |  |
| **Part B – Hazard Management** |
| PF.1 | **Major** | Pest free place of production | The nursery must demonstrate that measures are in place to prevent incursions from target high organisms. The nursery operator should have a good understanding of what the risks are to their operation and how they intend to maintain their status as a pest free place of production. For covered nurseries check there are no holes/gaps in covers, and there are barriers between field grown plants and adjacent orchards/properties.State method and source of irrigation water.Procedures in place to ensure irrigation runoff doesn’t enter the growing areas.Describe how weed species in the nursery are controlled. |  |  |
| HG.1 | **Critical** | Hygiene | Nurseries are required to have a hygiene protocol addressing the required areas specified in HG.1. Verify that a copy of this protocol is available and that it is being implemented. Interview a staff member to ensure they are familiar with hygiene requirements relevant to their role. Record name and role of staff member interviewed.People hygiene is especially important, are staff working between production sites and nursery visitors managing hygiene correctly?Is a footbath in place – what sanitiser is used and how often is it replaced. |  |  |
| TR.1&2 | **Critical** | Traceability | Nurseries are required to have a traceability system with records showing movements from suppliers, through production system to final purchaser and batch details are Ensure that such a system is being implemented and functions as intended by choosing a plant at random and asking how it is identified and traced through the system. Provide a brief description of the nurseries traceability system. Review reconciliation records |  |  |
| GM.1 | **Minor** | Growing media | Does the nursery have records showing where potting mix and compost, and fertilizer comes from and level of assurance that product is pest / disease free and free of kiwifruit plant material? |  |  |
| SR.1 | **Minor** | Site requirements | Verify that all production sites and facilities are secure. |  |  |
| SR.2 | **Major** | Multiple nursery sites | If the nursery has multiple sites, verify that movement between sites is managed according to their protocol to avoid cross – contamination. Particularly focus on hygiene measures and traceability. Verify by visiting that all sites meet Pest free place of production requirements. |  |  |
| PM.1 | **Major** | Supplier documentation | Verify that nursery records document the origin and pest and disease status of all *Actinidia,*  and shelter beltplant material brought on-site. Record KPIN for kiwifruit seed and budwood. Ensure proof of certification/virus testing available for mother plants. |  |  |
| PM.2&3 | **Major** | Propagation material | Verify the nursery has appropriate systems and records to ensure propagation material is free of target organisms. For seed – sterilization, for budwood-clean source Must have inspected material that arrives on site to verify that it is “clean” and recorded the inspection (e.g. on Supplier template) |  |  |
| PP.1 | **Major** | Propagation and plant husbandry | Verify that the nursery has systems in place to avoid contamination during this process. Tool hygiene, wound protection etc. |  |  |
| CP.1 | **Major** | Crop protection programme | Verify the nursery has a designated crop protection manager, crop protection plan and associated records meeting the requirements of CP.1. Nursery records must demonstrate that the plan is being implemented. If bactericides have been used on kiwifruit (i.e. Kasumin, KeyStrepto™ ) there must be evidence of KVH approval for each use(i.e. email authorization) |  |  |
| MN.2&3 | **Critical****(if no monitoring -major if records incomplete or frequency doesn’t match nursery manual** | Monitoring | Verify from nursery records and interviewing the staff responsible, that the nursery is conducting monitoring in accordance to Standard requirements and nursery manual proceduresIf symptoms have been observed (other than Psa in kiwifruit restricted certification plants) and noted in monitoring records, have these been followed up and appropriate actions taken? |  |  |
| DW.1 | **Major** | Disposal of waste | Verify that any waste potentially contaminated with target organisms is disposed of in a manner consistent with KVH requirements. All nurseries must have a plan of how waste would be disposed of should infection occur. Disposal site to be indicated on nursery map. |  |  |
| TT.1 | **Minor** | Transport | Verify that the nursery is implementing their plan and a plan that adequately manages risk of contamination during transport.If vehicles arrive from kiwifruit orchards – do they come near the production area, and if so are these appropriately sanitized? |  |  |
| D.1 | **Critical** | Dispatch | Is there a documented dispatch inspection and treatment process with associated records? Do dispatch records maintain the required information including KPIN, address and region of destination?Is batch information accurate?Every dispatch record must have a KPIN (or nursery name) – or email evidence of KVH approval (plants supplied to new developments or home gardenersCheck dispatch records for compliance with KVH movement controls.(Select a number of KPINs and verify region with KVH.) |  |  |
| 7.1 | **Major** | Internal Audit | Ensure the nursery has completed at least one internal audit in the past 12 months with documented outcomes and actions for improvement. |  |  |

**Audit Result**

Number of non-conformances: Critical Major: Minor:

[ ]  **Audit has less than five minor non-compliances. Corrective actions must be completed before the audit can be signed off.**

[ ]  **Audit has non-conformances actions requiring sign off**. Audits with no Critical, but 1 or more Major non-conformances, or 5 or more Minor non-conformances will require all corrective actions to be completed within a 30-day period and the audit cannot be signed off until these have been completed.

[ ]  **CRITICAL non-conformances**. Audits with any critical non-conformances, or 3 or more Major non-conformances will require all corrective actions to be completed within a 30-day period and the audit cannot be signed off until these have been completed. Nurseries are unable to sell KPCS certified plants until corrective actions have been addressed and signed off by the external auditor. Increase in audit frequency may result and in serious instances suspension or cancellation of ability to sell certified plants.

**List all non-conformances and corrective actions below.**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Compliance criteria (Ref)** | **Non-compliance applied****(Critical, major, minor)** | **Non-conformance correction actions** | **Corrective action deadline** | **Sign off****(signature/date)** |
|  |  |  |  |  |