

## Appendix 7c Clean Plants

### External Audit Check List

**Nursery Name:**

**Certification Number:**

**Additional Module:**  P. Ramorum

**Manual Evaluation Report Date:**

**General comments**

Manual Section	Standard Section	Title/ information required	Complete? Yes/No/NA	Comments
A	1.0	<b>General Description of Nursery</b>		
		Does the facility's current business still relate closely to the descriptions outlined in their Clean Plants Manual?		
	3.1	Using current map(s) from the Manual, confirm that they correspond to what you see in a tour of the nursery. If the map system goes to point of identifying actual plant blocks at a particular location, confirm the accuracy of the location within the production area. Clarify how the Certified plants are distinguished from the non-certified plants.		
	3.2.1	Select a sample of recent plant lots arriving at the nursery and confirm that their source, plant names and quantities are listed properly in their electronic records or on the Plant Suppliers List attached to the Manual.		

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<b>B</b>	<b>2.0</b>	<b>Management Responsibilities</b>		
	2.2	Through conversation with various staff positions during the course of the audit, determine if management supports them in the delivery of their tasks within Clean Plants.		
	2.1.1 2.1.2 2.1.3	Select one of the three key management positions and determine if the corresponding records are accurate by discussing with the employee.		
	2.2 3.6	Examine a sample of shipments to confirm that the staff positions who apply the Certification stamp are properly listed in the Clean Plants Manual.		
	2.2 5.2	Are the staff positions who are performing pest monitoring functions listed in the manual?  With interviews, establish that staff performing pest inspections have been trained to follow the requirements outlined in the Clean Plants Nursery Manual.		

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	2.2	Through a conversation with selected staff that hold a Clean Plants role, determine what their most recent training consisted of. Confirm if that the Clean Plants training has been recorded.		
<b>C</b>		<b>Plant Identity and Certification Status</b>		
	3.2.2	Confirm that there is an appropriate plant identification (genus, species, cultivar, size) system operating .		
		Select a random plant from inventory and determine if this plant can be traced back to its origin using the procedures in the Clean Plants Manual.		
	3.4	Observe the method of distinguishing Certified from non-certified plants in the production area.		

Manual Section	Standard Section	Title/ information required	Complete ? Yes/No/NA	Comments
	3.4	Observe the method of tracking time required for Clean Plants Certification (30 days). How is the transition from non-certified to Certified managed?		
	3.7	Examine a selection of the records that are listed in the manual and determine if they are being completed as expected.		
<b>D</b>	<b>3.3</b>	<b>Receiving Plants Inspection</b>		
	3.3	Review samples of recent inspection records. Are the records of inspections up to date and in the form described in the Clean Plants Manual?		
		If possible, observe staff inspecting a received shipment and documenting the results of the inspection as outlined in the Nursery Manual.		
		Through discussion with receiving staff, determine if they understand and follow the Manual's method of determining the certification status of in-coming plants		

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		If the nursery immediately re-sells non-certified plants, determine if staff understand and follow the manual's procedure.		
<b>E</b>	<b>3.5</b>	<b>Shipping Inspection</b>		
	3.5	Through observation of records and discussion with staff, determine if shipping inspections are carried out as described in the Clean Plants Manual.		
	3.5	If possible, observe staff inspecting plants prepared for shipping and determine if the inspection is performed and results recorded as described in the Nursery Manual.		
	3.5	Observe samples of recent shipping records and confirm that they show pest inspection results as described in the Clean Plants Manual.		
	3.5	Determine if inspected plants are kept separate from non-inspected plants in the shipping area.		

Manual Section	Standard Section	Title/ information required	Complete? Yes/No/NA	Comments
	3.5	Determine if staff members assigned to inspect out-going plants have been trained		
	3.2.4	Review with nursery staff how plants that are of uncertain origin are handled and how they are identified as non-certified.		
	3.5.3	Through a review of pest inspection records, attempt to find an order of plants where pest monitoring identified some pest presence and where that order subsequently was shipped. Was the definition of “practically free” of unregulated pests at the time of shipping used appropriately?		
		If the nursery ever ships non-certified plants, check shipping records to confirm that such non-certifiable plants are properly identified on shipping documents and that the reasons for the non-certified status do not include pest deficiencies.		

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		If the nursery ships non-certified plants, confirm that the Clean Plants Manual's methods of communicating the non-certified status to customers is actually done.		
<b>F</b>	<b>3.2.3</b>	<b>Shipping Plants to CNCP Nurseries</b>		DELETED IN MANUAL
<b>G</b>	<b>3.6</b>	<b>Clean Plants Certification Stamp</b>		
		Are the staff positions using the Certification Stamp consistent with those listed in the Clean Plants Manual?		
		Interview a staff member authorized to use the Clean Plants Stamp. Is the staff member aware of the policy for use of the Stamp?		
		Observe the method of storing or securing the Clean Plants Stamp.		
		Review a selection of records on which the Clean Plants Stamp has been used. Is the information outlined in the Nursery Manual regarding plant names and numbers also on these records?		

Manual Section	Standard Section	Title/ information required	Complete? Yes/No/NA	Comments
H	5.0	<b>Pest Management in Production</b>		
		Review a sample of recent pest monitoring and control records to determine if they are consistent with the Clean Plants Manual's procedures.		
		Confirm if the stated frequency of monitoring is being followed by examining recent entries in the pest log.		
		Confirm if all staff positions conducting monitoring tasks have been trained for those tasks.		
		Determine if control measures are applied following pest detections In cases where no active control was applied can staff explain the rationale for this non-action?		
		Confirm that the biosecurity practices checked in the Manual are being followed.		

Manual Section	Standard Section	Title/ information required	Complete? Yes/No/NA	Comments
I		<b>Detection of Regulatory Pests</b>		
	3.5.1	Confirm that staff assigned to do inspections know how to determine which plants may need special inspections because of a CFIA Specific Regulated Pest Program.		
	3.5.1	Confirm that the Clean Plants Manual's methods to ensure that plants are free of regulated pests are followed in practice.		
	3.5.1	Confirm that the nursery is still in good standing or has proof of CFIA authorization for the CFIA programs that apply.		
	3.8	If the nursery has detected a regulated pest since their last external audit, ask to see the records associated with the incident to see if they comply with the Clean Plants Manual's procedures.		
	3.8	In the event that no regulated pest has been detected since the last external audit, determine if the pest scouts understand what must be done in the event of a regulated pest detection.		

Manual Section	Standard Section	Title/ information required	Complete? Yes/No/NA	Comments
	3.5.2	Confirm that the nursery is still in good standing with the Clean Plants Pest Specific Modules that apply to them.		
<b>J</b>	<b>4.1</b>	<b>Internal Audits</b>		
		Confirm that the frequency of internal audits described in the Clean Plants Manual has been achieved since the last external audit.		
		Review a recent internal audit and confirm that any corrective actions were implemented. Through conversation with the Internal Auditor, determine if he or she feels empowered to do the job properly.		
		If any corrective actions were identified in the most recent internal audit determine if they were properly implemented.		

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<b>K</b>	<b>4.2, 7.0</b>	<b>External Audits</b>		
		Determine if the nursery complied with its responsibilities as described in their Clean Plants Manual for this audit.		
<b>L</b>	<b>6.0</b>	<b>Updates and changes to the Clean Plants Manual</b>		
		Review the implementation of the method for recording procedure changes.		
		Does the nursery formally revise its Clean Plants Manual properly given the nature of the procedure changes identified?		

Other general observations	
N/A	The auditor will list the numbers of the Corrective Action Requests produced as a result of this audit: _____
N/A	Anticipated date of the next audit is _____