



United States Department of Agriculture

APHIS PPQ

Animal & Plant Health Inspection Service, Plant Protection & Quarantine

# Nursery Audits

## Basic Elements

Presented by Kimberly Merenz, USDA-APHIS-PPQ  
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# Topics

Audit Types  
Audit Planning  
The Audit  
Compliance  
Post Audit  
Info



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# Audit Types

## Paper

- ▶ Pest Management & Program Manuals

## Initial Evaluation

- ▶ External

## Systems & Surveillance

- ▶ Internal & External





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# Paper

- ▶ Assessment of the facility Manual and Pest Management Plan prior to the Initial Evaluation Audit.
- ▶ Ongoing evaluation as needed.
- ▶ Corrective actions.



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# Initial Evaluation

- ▶ Assessment of entire operation prior to participation - may take 2 or 3 days.
- ▶ Evaluation of specific phytosanitary requirements, propagation, staff, resources, recordkeeping, etc...
- ▶ Corrective actions.

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# Systems

- ▶ Assessment of the entire operation during program participation.
- ▶ Evaluation of specific phytosanitary requirements, propagation, staff, resources, Pest Management Plan, facility Manual, recordkeeping, etc...
- ▶ Corrective actions.



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# Surveillance

- ▶ Assessment of the specific portions of operation during program participation.
- ▶ Recordkeeping, shipping, receiving, propagation, etc...
- ▶ Corrective actions

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# Audit Planning

- ▶ Determine scope, i.e. systems or surveillance audit, areas to be audited, audit check list, etc...
- ▶ Identify resources needed, i.e. meeting rooms, dress code, sanitation, special access, facility maps, etc...
- ▶ Identify Audit Team





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# Audit Team

## Participants

- ▶ Industry, State and Federal Stakeholders

## Dynamics

- ▶ Facility Pest Control Manager and Staff
- ▶ Lead Auditor
- ▶ Audit Team Members



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## Pre-Audit

- ▶ Set agenda, date, time, and identify participants
- ▶ Pre-meeting with Audit Team
- ▶ Pre-meeting with facility POC



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# Opening Meeting

- ▶ Review purpose, scope, agenda and expectations
- ▶ Confirm details of audit, i.e. areas to be audited, meetings with specific staff, arrangements for lunch, transportation, etc...





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## The Audit

- ▶ Respect the participant – this is a voluntary program.
- ▶ Allow the Lead Auditor to lead – ask clarifying questions.
- ▶ Be flexible – the scope of the audit may need to be adjusted.



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## Pre-Closing Meeting

- ▶ Meet with the Audit Team Members to confirm results.
- ▶ Identify any non-conformance.
- ▶ Be prepared to negotiate timeline for corrective actions if needed.

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# Closing Meeting

- ▶ Meet with the facility POC to explain the results of the audit.
- ▶ Identify any non-conformance and corrective actions.
- ▶ Identify a date for the next audit.





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# Compliance

## Non-Conformance

- ▶ Allow the facility to identify the solution.
- ▶ Agree upon a timeline for correction.
- ▶ If no solution is identified suspend.

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# Post Audit

## Lead Auditor

- ▶ Produces the final report and distributes.
- ▶ Confirms corrective actions have been applied within the specified time frame.



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## More Information

- ▶ USNCP Documents

- ▶ Contacts

- ▶ Kimberly Merenz      518-218-7514

- ▶ Zaida Ortiz              407-825-4232

- ▶ Accreditation Manager ???



A winter landscape with snow-covered trees and a blue-tinted sky. The text "THANK YOU!" is overlaid in the center.

**THANK YOU!**