



Appendix 5 – EABAFCP Evaluation and Surveillance Audit Checklist

Note: The checklist is only a general guide for CFIA staff and that it is expected that details of what was reviewed and how will be included

Facility Name:	Registration Facility No.	Audit Report No:	Date:
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REQUIRED ELEMENTS FROM QSM-07	C NC	LEVEL OF NC MAJOR, MINOR, CRITICAL	REMARKS	CORRECTIVE ACTIONS
5.1 GENERAL REQUIREMENTS				
The facility's Manual is maintained and distributed as per Manual procedures	<input type="checkbox"/> <input type="checkbox"/>			
Procedural changes and other updates are documented and described in the amendment log	<input type="checkbox"/> <input type="checkbox"/>			
All previous CARs have been addressed adequately	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.2 ADMINISTRATION				
Certification Manager or alternate as listed in the Manual is available for the audit	<input type="checkbox"/> <input type="checkbox"/>			
Certification Manager and alternate demonstrate expertise in tree genus identification	<input type="checkbox"/> <input type="checkbox"/>			
Certification Manager demonstrate knowledge of the D-03-08 requirements and of how their Manual meets these requirements	<input type="checkbox"/> <input type="checkbox"/>			
The Manual is accessible to all facility employees named in the manual	<input type="checkbox"/> <input type="checkbox"/>			



REQUIRED ELEMENTS FROM QSM-07	C NC	LEVEL OF NC MAJOR, MINOR, CRITICAL	REMARKS	CORRECTIVE ACTIONS
Additional question at the auditor's discretion				
5.3 TRAINING				
Copy of current training regime is on file	<input type="checkbox"/> <input type="checkbox"/>			
Training records are completed with employee name, date, and specific training topics	<input type="checkbox"/> <input type="checkbox"/>			
Employees are trained according to the frequency outlined in the Manual	<input type="checkbox"/> <input type="checkbox"/>			
Employees fully understand their roles and demonstrate the ability to fulfill their responsibilities as listed in the Manual	<input type="checkbox"/> <input type="checkbox"/>			
Employees are able to correctly identify signs, symptoms, and presence of EAB	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.4.1 PHYTOSANITARY CONTROL POINTS – Receiving regulated articles				
Procedures for all incoming regulated ash materials (e.g. documentation, records, people responsible, etc) are followed as per Manual	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.4.2 PHYTOSANITARY CONTROL POINTS – Segregation				



REQUIRED ELEMENTS FROM QSM-07	C NC	LEVEL OF NC MAJOR, MINOR, CRITICAL	REMARKS	CORRECTIVE ACTIONS
Procedures that verify and maintain identity of all regulated articles that enter the facility are followed as per Manual (for facilities in non regulated areas only)	<input type="checkbox"/> <input type="checkbox"/>			

5.4.2 PHYTOSANITARY CONTROL POINTS – Segregation

Procedures that indicate how ash logs from regulated areas are segregated from ash logs from non regulated areas (for facilities in non regulated areas only) are followed	<input type="checkbox"/> <input type="checkbox"/>			
Procedures that indicate how regulated ash lumber is segregated from mitigated ash lumber are followed	<input type="checkbox"/> <input type="checkbox"/>			
Procedures that indicate how bark, chips and other waste from regulated articles are segregated from non regulated ash waste products (for facilities in non regulated areas only) are followed	<input type="checkbox"/> <input type="checkbox"/>			
Segregation process for firewood (Genus, non ash & ash) is implemented	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				

5.4.3 PHYTOSANITARY CONTROL POINTS – Processing procedures

Risk mitigation procedures for chip production (grinding / chipping to less than 2.5cm in diameter) are followed	<input type="checkbox"/> <input type="checkbox"/>			
Risk mitigation procedures for heat treatment of lumber are followed	<input type="checkbox"/> <input type="checkbox"/>			



Risk mitigation for lumber production (milling to exclude all bark and sapwood) are followed	<input type="checkbox"/> <input type="checkbox"/>			
Charge reports indicate lumber has been heat treated to the standards of PI-07. Mandatory kiln requirements have been met (probe placement, air flow speeds, etc.)	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.4.4 PHYTOSANITARY CONTROL POINTS – Traceability				
Procedures to ensure traceability of lumber are followed according to Manual (for non regulated areas only)	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.4.5 PHYTOSANITARY CONTROL POINTS – Other Control Activities				
Procedures to ensure that regulated articles are secured from unauthorized movement are followed	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				



5.5 RECORDS and DOCUMENTATION				
The appropriate control documents are completed and the 3 year retention period is respected (e.g. shipping records, movement certificates, invoices, audit report, correctives actions, etc.) as per Manual	<input type="checkbox"/> <input type="checkbox"/>			
Movement Certificates for incoming and outgoing articles are verified and accompany incoming/outgoing loads and journal logs are accurately completed	<input type="checkbox"/> <input type="checkbox"/>			
Inspections/records are complete and accurate	<input type="checkbox"/> <input type="checkbox"/>			
Appropriate disposal/clean-up documentation is complete and accurate (Where applicable)	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.6 SUPPLIERS LIST				
Suppliers list from non-regulated area is maintained	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.7 MOVEMENT CERTIFICATE				
Facility is tracking all information related to the receipt and distribution of regulated ash materials as described in the Manual	<input type="checkbox"/> <input type="checkbox"/>			



Additional question at the auditor's discretion				
5.8 HEAT TREATMENT				
Procedures specifying how the general operating requirements set out in PI-07 or in site specific schedules are met and maintained. (i.e. air flow rate, operation of fans, wet/dry bulb sensors locations, process for determining initial wood core temperature) to meet the phytosanitary standard of 56/30 are followed	<input type="checkbox"/> <input type="checkbox"/>			
Description of heat treatment chamber is accurate (e.g. Probe placement is verified, dimensions are verified, etc.)	<input type="checkbox"/> <input type="checkbox"/>			
Heat treatment documents indicate the specific PI 07 options (or site specific schedules) used	<input type="checkbox"/> <input type="checkbox"/>			
Charge records demonstrate and verify that the charges meet the PI 07 or site specific charge requirement (i.e. Minimum wet bulb run time, final wet bulb run time, and total heat treatment time is verified)	<input type="checkbox"/> <input type="checkbox"/>			
Facility demonstrates that the verification of temperature sensors is done regularly	<input type="checkbox"/> <input type="checkbox"/>			
Moisture contents have been verified for all charges where PI-07 is utilized	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				



5.9 FACILITY NON-CONFORMANCE				
The internal system developed for reporting and correcting instances of non-conformance is followed as per Manual	<input type="checkbox"/> <input type="checkbox"/>			
The CFIA has been notified within 24 hours of any major and critical non-conformances	<input type="checkbox"/> <input type="checkbox"/>			
Non-conformance reports are available	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.10 CLEAN-UP and DISPOSAL for facilities in non-regulated areas. Must be completed by March 31 or later with weather condition exemption issued by CFIA				
Facility is free of all regulated articles as a result of clean-up or disposal	<input type="checkbox"/> <input type="checkbox"/>			
Employees understand their responsibilities in relation to disposal/clean up	<input type="checkbox"/> <input type="checkbox"/>			
Procedures to generate by-products are followed to effectively mitigate the risk of EAB spread	<input type="checkbox"/> <input type="checkbox"/>			
Procedures to effectively store, distribute, or dispose of non-compliant products are followed as applicable	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				
5.11 PEST NOTIFICATION				



The facility has notified the CFIA if EAB in any life stage is found in materials from non-regulated areas (e.g. No infested material from non-regulated areas is found during the audit)	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				

5.12 INTERNAL AUDITS (Optional)				
Record of internal audits (which should occur at the same frequency as the surveillance audits) are available.	<input type="checkbox"/> <input type="checkbox"/>			
Additional question at the auditor's discretion				

Audit Team Members:	Date:
CFIA Auditor:	CFIA Office:
Signature:	Phone:

Distribute copies to Area Program Specialist and Regional Program Officer