

**Stock Feed Audit Form**

**Manufacturer**

This form is intended to be completed by facilities manufacturing stock feed intended for export to Australia. Each offsite facility undertaking storage, containerisation and handling activities associated with the export of product to Australia must complete a separate form titled “*Stock Feed Audit Form- Offsite storage, containerisation and export facilities*”

**Risks associated with the importation of plant based stock feed**

Imported plant based stock feeds present a possible pathway into Australia for a number of quarantineable diseases. Diseases include Transmissible Spongiform Encephalopathies (TSE’s) including Bovine Spongiform Encephalopathy (BSE), Foot and Mouth Disease (FMD), Avian Influenza (AVI) and numerous plant pathogens such as Karnal Bunt (*Tilletia indica*). Any incursion of these diseases/ pathogens into Australia would have serious consequences in terms of local and export markets.

Another major risk associated with the importation of stock feed is the possible introduction of weed seeds as a contaminant. Some species of weeds are potentially devastating to the Australian environment and agricultural production areas due to seed borne pathogens and biological traits.

The audit and possible site inspection of overseas stockfeed processing facilities is designed to manage the risks associated with importing stockfeed of plant origin into Australia. The Department of Agriculture imposes strict controls on the importation of plant-based stockfeed products to ensure that they do not contain contaminants harbouring these diseases

Prior to entry into Australia, stock feed or stock feed ingredients could be exposed to infected material through:

* contamination or substitution of raw materials
* contamination during production / processing
* contamination during storage / packaging
* contamination during transport to the point of export
* contamination on board ship or in container

The purpose of this audit is to ensure that the risks above are mitigated at every step along the manufacturing / export / import pathway, including storage of raw materials, processing, transport and shipping.

In order to progress your import permit application, you must provide the most detailed answers possible with supporting documentation.

**The Audit process for plant based stock feed**

In order to obtain an import permit for plant based stock feed it is a requirement that a desk audit of the offshore processing facility and export pathway be performed. In order to successfully complete the audit, all the information requested below **must** be supplied. Completed desk audit forms and supporting documentation is either to be provided in English, or accompanied by suitable translations.

Following the desk audit an importer funded site audit may be required to confirm observations made during the desk audit process. Information provided during the desk audit process that is found not to be accurate during site audit will result in non-conformities being issued. Such non conformities may require subsequent importer funded site audits before an import permit can be issued.

**The assessment of the import permit application and desk audit submission will not commence until all the information requested in this form is provided. This is to be confirmed through completion and provision of the checklist (below)**

**Importers should note that all time associated with import permit assessment (including the undertaking of desk audits) is cost recovered as per the department’s charging guideline. The assessment fee paid when lodging the import permit application covers only the first 3 hours of assessment. Additional assessment time is charged at the rate of $30.00 per ¼ hour. Importers may wish to minimise the assessment fees payable through ensuring that all information provided is clear, concise and relevant.**

**CHECKLIST FOR SUPPORTING INFORMATION REQUIRED FOR AUDIT**

All questions and required information should be considered to be mandatory. If information cannot be provided there must be a clear explanation as to why this is the case (e.g. not applicable to the manufacturing process). Explanations such as “does not exist” or “proprietary information” are not acceptable. In situations where information is commercially sensitive it can be provided by the manufacturing facility directly to the department. All information is held by the department in accordance with the *Privacy Act 1988*.

Please confirm (by completing the checklist) that you have completed / submitted the following:

|  |  |  |
| --- | --- | --- |
| [ ]  | 1. | * Site plan of the processing facility showing manufacturing areas, storage area for raw ingredients and final product, loading out areas, administration buildings, site entry points, access roads, staff parking, staff entry points etc. (Question 2)
* Photographs of the processing facility exterior, including the area designated for receipt of raw ingredients used in production
 |
| [ ]  | 2. | Provide details of the Pest Control Program used at the processing facility(Question 10) This should include:* Site map / layout of facility show the location of traps / bait stations etc.
* Details of bird control and locations of bird exclusion devices (e.g. bird netting)
* Details on insect control
* Completed inspection / treatment reports
* Photographs of area-exclusion measure and traps
 |
| [ ]  | 3 | Provide copies of valid quality assurance or regulatory scheme certification (Question 11) |
| [ ]  | 4. | SOP’s, samples of completed inspection / test reports and quality / contamination specifications or parameters associated with the receival of raw materials (Question 22) |
| [ ]  | 5. | Details (SOP’s if available) of rejection or remediation process including samples of completed records etc for rejected raw material at receival (Question 23) |
| [ ]  | 6. | Manufacturing details (Question 26)1. A process flow diagram showing movement of all materials through the facility from the raw material receival to the loading of the final product for export. If a step includes heating the product, and/or the use of steam/pressure, please include temperature, duration and pressure of all heat treatments
2. A copy of the GMP manual, HACCP charts, SOP’s, and Manufacturer’s declarations covering the manufacturing process
3. Photographs of machinery and process line components from raw materials entry point through to packaging/bagging.
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| [ ]  | 7. | Provide SOP’s and completed copies of temperature and duration monitoring and recording (Question 28)* Photographs of temperature measurement and recording equipment and the position of the probe to measure product temperature
 |
| [ ]  | 8. | Copies of calibration schedules and completed calibration records (Question 29) |
| [ ]  | 9. | Provide SOP’s and records for finished product inspection and analysis. Include SOP’s or HACCP charts that outline what remedial action is taken if non conformity is detected. Provide details of finished product quality parameters (Question 30) |
| [ ]  | 10. | Provide SOP’s of cleaning processes, completed records and cleaning schedules in place across all areas and for specific equipment such as front end loaders (Questions 31, 32, 35 and 40) |
| [ ]  | 11 | A flow diagram showing movement of finished product listing all equipment used (e.g. conveyors, elevators, augurs, storage bins, front end loaders, etc. (Questions 22, 25 and 30) |
| [ ]  | 12 | Provide details of Identity Preservation (IP) programs, checklists, cleaning and lockout procedures for the export pathway (Question 37) |
| [ ]  | 13. | Provide SOP’s and completed records of container or ships hold cleanliness (Question 38)* Photographs of the finished product being processed packed and stored and loaded onto vehicles for delivery
* Photographs showing receiving vehicles cargo-hold or transport compartments
 |
| [ ]  | 14. | Provide SOP’s on transport unit cleaning for movement of finished product to the point of export, include completed records (Question 42) |

**Glossary of Terms**

BSE Bovine Spongiform Encephalopathy

Contamination Anything that is not the final product that becomes in contact with the final product to be exported to Australia (this includes: Animal materials, faeces, live animals, whole seeds, raw ingredients, other processed products, product that has not been processed to Australian standards and any other material that is not the final product).

Final Product The product which has been processed to Australian requirements and to be exported to Australia

FMD Foot and Mouth Disease

GMP Good Manufacturing Process

HACCP Hazard Analysis and Critical Control Point

Raw Material The ingredient/s used to make the final product

SOP Standard Operating Procedure

Stock Feed Any material, which is intended to be fed to food producing animals (including horses).

TSE Transmissible Spongiform Encephalopathy

**Product and manufacturing facility details**

1. What is the product(s) to be imported? For multi-ingredient products please provide a full ingredients list for each product.
2. What is the name and address of the processing facility where this product is produced? (Note: A separate Stock Feed Audit Form must be completed for each facility if the product to be exported to Australia is sourced from multiple processing facilities).

Select one or more of the following options which accurately describe the way in which land surrounding the processing facility is used:

[ ]  Industrial
[ ]  Commercial
[ ]  Agricultural/Rural/Hobby farm
[ ]  Residential
[ ]  Other - Please describe:

Provide a site plan of the processing facility clearly showing the different areas of the manufacturing process, storage area for raw ingredients and final product, loading out areas, administration buildings, site entry points, access roads, staff parking, staff entry points etc. – (See Checklist 1)

Provide current photographs of the processing facility exterior, including the area designated for receipt of raw ingredients used in production. (See Checklist 1)

1. Describe the activities undertaken on properties or land adjacent to the processing facility i.e. all neighbouring buildings/land.
2. Are animals housed or moved through the processing facility or on properties adjacent to the processing facility? If yes, please provide more detail including the species of animals and the nature of the animal-related enterprise.
3. Does the processing facility currently produce stock feed products for other international markets? If yes, provide detail of countries receiving product from the processing facility.
4. From where are the raw ingredients sourced (country, state, province, etc.)? If raw ingredients are sourced from multiple geographical areas please describe the location of each area for each ingredient.

Please provide the approximate distance between the processing facility and the area(s) from which the raw ingredients are sourced.
5. List **ALL** products received at the processing facility (including those not directly used to manufacture products for export to Australia).
6. Does the processing facility store or use any animal derived products? This includes dairy, egg and fish products. If so, what measures are in place to prevent cross-contamination with raw or processed stockfeed product?
7. Are there any other products manufactured at this plant? Please specify.
8. What measures are taken to exclude birds, rodents and other animals from the facilities’ storage and production areas?

Provide details of the Pest Control Program used at the processing facility. This should include a site map of the processing facility and a selection of photographs clearly indicating the location of bird netting, rodent traps, bait stations, measures used for insect control and copies of completed inspection / treatment reports– (see checklist 2)

1. Is the product manufactured under a standard of quality assurance or any other international standard? Please specify

Provide copies of valid certification (see checklist 3)

1. Is the product manufactured under the supervision of an independent or government regulatory authority? If so, which authority? What is the typical schedule or cycle of inspection/audit when no major non-conformities are detected?

**Production of raw ingredients**

Please provide information that describes the crop production systems of farms supplying raw material. Specific details of each source farm is not required. You need to contact the supplier of the raw material as the information relates to how the crop is grown and harvested in the field.

1. Are organic certification/standards being adhered to in this production system? If yes, please provide a copy of the standard.
2. Is manure-based fertiliser used in this production system?

If yes – Which manure e.g. human, animal (cow, poultry)?

 Is the manure composted, processed or aged before application?

 Where is the fertiliser stored?

If no – What fertilisers are used (if any) e.g. chemical, mineral, plant-based, blood & bone?

1. Application of fertiliser:
* When is the fertiliser applied e.g. before sowing, during crop growth?
* How is the fertiliser applied e.g. manually, with machinery (sprayed, injected)?
1. Other production practices:
* Do farm animals graze in the paddocks while the crop is growing?
* Do farm animals graze in the paddocks between crop cycles?
1. Harvest:
* How is the crop harvested e.g. manually, with machinery?
* Is the seed/grain stored on-farm?
* How is it stored e.g. bagged, silo?
1. Outer layer removal (e.g. husks, seed pods, shells, bran):
* How is the outer layer removed e.g. manually, with machinery?
* When does this occur e.g. in field at harvest or at a facility?

If at a facility – Where does this occur?

 Are any animal-derived products stored or used at this facility?

1. Transport:
* How is the crop / raw material transported to the manufacturing facility? (e.g. bagged / bulk in trucks, rail, ships, barges etc.).
* Are the vehicles/conveyances used for transport to the processing facility cleaned before loading with the seed/grain?
* Have the vehicles/conveyances used for transport to the processing facility carried animal material?
1. Handling:

Describe the systems and processes in place to prevent the plant material from being contaminated with extraneous materials including soil, faeces, feathers, insects, or other seeds during the following steps:

a. Harvesting?

b. Storage?

c. Transport to the processing facility?

**Receival/ Storage of Raw Product / Ingredients**

1. How is the raw material / ingredients received at the processing facility (bags, in-ground receival pit, auger from barges etc)? Please provide a detailed description of the receival process including all raw materials received using the same equipment.
2. Is the raw product inspected or sampled for contamination when it arrives at the processing plant? (animal material – feathers, faeces, weed seeds, soil)

Provide SOP’s, samples of completed inspection / test reports and quality / contamination specifications or parameters – (see checklist 4)

1. What happens if contamination of the raw product is detected, or the raw material is found not to meet quality specifications? Please detail any rejection procedures.

Provide details (SOP’s if available) of rejection or remediation process including samples of completed records– (see checklist 5)

1. How is the raw product stored at the plant prior to processing? Please provide a description detailing storage facilities e.g. vertical (silos) or horizontal (warehouse) storage.

**Manufacturing Process**

1. Is the raw product cleaned or prepared before processing? If so provide a detailed description.
2. Provide the following documentation in relation to the manufacturing process:
	1. Provide a process flow diagram showing movement of all materials through the facility from the raw material receival to the loading of the final product for export. If a step includes heating the product, and/or the use of steam/pressure, please include core temperature, duration and pressure of all heat treatments - (see checklist 6)
	2. Photographs of machinery and process line components from raw materials entry point through to packaging/bagging.
	3. Provide a copy of the GMP manual, HACCP charts, SOP’s, and Manufacturer’s declarations covering the manufacturing process (see checklist 6)
3. What temperature during processing does the **product** reach and how long is this temperature maintained? Where various heat treatments are undertaken, please list the **product** temperature and duration of each?
4. How are heat treatments and pressure parameters measured and monitored during processing? Are the relevant measuring devices fitted with recording or alarm systems which provide warning of inadequate heat treatment and/or pressure parameters?

Provide SOP’s, a list of measuring equipment used, a list of the monitoring equipment used and completed heat treatment monitoring records – (see checklist 7)

1. What is the maintenance and calibration program for measurement and monitoring equipment?

Provide copies of maintenance and calibration schedules and completed maintenance and calibration records - (see checklist 8)

1. Is the product checked or sampled after production for quality analysis or to confirm freedom from contamination?

Provide SOP’s and records for finished product inspection and analysis. Include SOP’s or HACCP charts that outline what remedial action is taken if non conformity is detected. Provide details of finished product quality parameters – (see checklist 9)

1. What is the method and frequency of cleaning of manufacturing areas and equipment? What is the protocol for the cleaning of the manufacturing areas and equipment?

Provide SOP’s of cleaning processes, details of all chemicals that are used, completed records and cleaning schedules in place across all areas and for specific equipment such as front end loaders (see checklist 10)

**Storage – Post processing**

1. How is the finished product moved to the finished goods storage?

Include a flow diagram showing movement of product, listing all equipment used (e.g. conveyors, elevators, augurs, storage bins, scales, front end loaders, etc) – (See checklist 11)

Provide SOP’s, completed records of cleaning processes and cleaning schedules, this should include cleaning of specific equipment, such as front end loaders – (see checklist 10)

1. Describe the type of storage of the final product including the structure, level of enclosure and whether other products are co-located in the same structure / area.

**Loadout and export**

1. Is the processing facility located at the point of containerisation or ship loading?

[ ] Yes - Complete questions 35-39

[ ] No –Complete **only** questions 40-43 and request each relevant offsite facility to complete “*Stock Feed Audit Form- Offsite storage, containerisation and export facilities*”

1. Provide a detailed description of the bagging / bulk loading process from final product storage to loading the product into shipping containers / ships holds. Details must include a description of how the final product is moved, details of the equipment used and details on cleaning of the equipment etc.

Include a flow diagram showing movement of finished product listing all equipment used (e.g. conveyors, elevators, augurs, storage bins, scales, front end loaders, etc) – (See checklist 11)

Provide SOP’s, completed records of cleaning processes and cleaning schedules, this should include cleaning of specific equipment, such as front end loaders – (see checklist 10)

1. If the product is bagged, are the bags clean and new prior to use? Please describe the types of bags used and detail where and how the bags are stored prior to use.
2. What other products are loaded / handled using the export pathway? How is the risk of cross contamination with other materials managed?

Provide details of Identity Preservation (IP) programs, checklists, cleaning and lockout procedures for the export pathway (see checklist 12)

1. Detail how the shipping containers or ships holds are cleaned and inspected prior to loading with the final product?

Provide SOP’s and completed records of container or ships hold cleanliness – (see checklist 13)

1. When and where does phytosanitary inspection take place?

**Transport to other facility for export**

1. Provide a detailed description of the bagging / bulk loading process from final product storage to loading the transport unit (e.g. truck, barge, rail cars). Details must include a description of how the final product is moved, details of the equipment used and details on cleaning of the equipment etc.

Include a flow diagram showing movement of finished product listing all equipment used (e.g. conveyors, elevators, augurs, storage bins, scales, front end loaders, etc) – (See checklist 11)

Provide SOP’s, completed records of cleaning processes and cleaning schedules, this should include cleaning of specific equipment, such as front end loaders – (see checklist 10)

1. How is the product transported to the export facility? (e.g. bagged / bulk in trucks, rail cars, ships, barges etc.)
2. How is the cleanliness of these transport units achieved? Are the transport units dedicated to the product? If transport units are not dedicated detail other products carried.

Provide SOP’s on transport unit cleaning for movement of finished product to the point of export, include completed records – (see checklist 14)

1. How is the product protected from contamination during transport? Please detail.

**Declaration (manufacturer)**

I declare that the information above is true and accurate to the best of my knowledge.

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Position:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Printed name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Date:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

E-mail:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Phone: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Company (including address and country): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ .

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**Privacy**

Personal information means any information or opinion about an identified, or reasonably identifiable, individual. The collection of personal information by the Department of Agriculture in relation to this form is authorised under the Quarantine Act 1908 for the purpose of conducting a quarantine assessment of your product and to determine if an import permit may be granted. If the relevant personal information requested in this application is not provided by you, the department will be unable to grant an import permit. Personal information may be disclosed to other Australian persons or organisations where necessary for this purpose, provided the disclosure is consistent with relevant laws, in particular the *Privacy Act 1988*.  Your personal information will be used and stored in accordance with the Privacy Principles. By completing this form you consent to the Department of Agriculture using the information provided in this application in the manner stated above. The department's Privacy Policy, including information about access to and correction of your personal information is available on the departmental website.

It is a criminal offence under the Criminal Code Act 1995 to knowingly give false or misleading information to a Commonwealth officer exercising powers under Commonwealth law.  This offence carries a potential penalty of 12 months' imprisonment.