

NIS SUPPLIER SELF-AUDIT REPORT

2021

Grower Name: _____ Grower No.: _____ Date: _____

This Self-Audit report, along with the Pre-Season and Grower Delivery Reports, is a part of the Marquis Macadamias Premium Approved Supplier Program documentation.

The Marquis Macadamias Premium Approved Supplier Program was implemented to ensure that we comply with food safety requirements to ensure global market access for our product and meet our customers' increasingly stringent demands for food safety.

This Self-Audit follows the Macadamia Industry Approved Supplier Program and references to relevant templates are included in the questions.

Locate your records and review them as you complete the Self-Audit questions. If a question cannot be answered record this in the Explanatory Note section at the end of the audit. For example, if you don't have a lockable chemical shed but are in the process of building one, record this. You must include a time frame for when work will be complete, preferably before the next audit is due.

During Premium Approved Supplier Training you will have been provided a folder with information about the program and templates for the required records.

If you have not completed Approved Supplier training, need help completing the audit OR need a template, please contact the Grower Services Team – Lismore on (02) 6624 3900 or Bundaberg on (07) 4155 9377.

Anyone with a third party audited Food Safety System (e.g. Freshcare) **does not** need to complete this Self-Audit Report, you just need to supply a copy of your current Food Safety Certification.

	Yes	No
<p>Q1. Do you have a current Freshcare certification?</p> <p>If 'Yes' please supply a copy of your certificate, you do not need to complete the rest of this audit.</p>	<input type="checkbox"/>	<input type="checkbox"/>

FARM PLAN	Yes	No
<p>Q2. Has a current Farm Plan with property orientation, blocks (separate growing areas), the area of the block and varieties been completed?</p> <p>If 'No' please complete one. Refer to Farm Plan template for an example.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q3.a) Are there any contaminated sites present on this farm? e.g. old cattle dips, backfilled garbage dump areas etc.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>b) If Yes, have they been identified on the farm map?</p>	<input type="checkbox"/>	<input type="checkbox"/>

MANAGEMENT	Yes	No
<p>Q4.a) Has a record of the job responsibilities for staff been completed?</p> <p>If 'No' please complete a 'Job responsibility and training record'.</p> <p>Note: Sole-operators must have a record.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q5. Has on-the-job staff training been provided and a training record maintained? E.g. site specific induction.</p> <p>File copies of training records and certificates if applicable.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q6.a) Are chemicals used on the orchard?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>b) If yes, do all people who use farm chemicals have a current chemical users certificate from a Registered training Organisation?</p> <p>File copies of Chemical users Certificate for staff.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q7. Has a register of staff authorised to use farm chemicals been prepared and is it displayed in the chemical storage area?</p> <p>If 'No' and you store chemicals on-site, please complete a 'Register of Personnel Trained to Spray' and display this in the chemical shed.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q8. Is an internal review and Self-Audit of all activities, records, procedures, and systems carried out every 12 months and a report prepared?</p> <p>File a copy of this Self-Audit</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q9. Has a list of documents and records been prepared, detailing name, date of issue, where copies are stored, and the minimum period that records are retained?</p> <p>If 'No' please complete a 'Document and Record Register'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q10. Have all documents been checked to ensure that only the current version is used?</p>	<input type="checkbox"/>	<input type="checkbox"/>

CHEMICALS

The following questions are about the chemical history of the property. For example, contamination of persistent chemicals from old cattle dips and garbage dumping sites. Title deeds of the property should have this information. If you are concerned about potential unmarked contaminated sites please contact the grower services team for guidance.

	Yes	No
<p>Q11. a) Has a risk assessment of the growing sites for persistent chemicals and heavy metals been carried out and a record kept? If 'No' please complete a 'Risk Assessment Record'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
b) Have you identified any significant sites of potential contamination from persistent pesticides and heavy metals?	<input type="checkbox"/>	<input type="checkbox"/>
c) If 'Yes' have you quarantined or managed the area to reduce the contamination risk and marked the area on the "Farm Plan"?	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q12. Have persistent chemicals been disposed of in legal off-farm areas or isolated from other chemicals in separate locked storage? Note: An example of legal off farm area is a council waste facility.</p>	<input type="checkbox"/>	<input type="checkbox"/>

The following questions are about current chemical use and covers the purchase of the chemicals, storage and the disposal of chemical containers.

	Yes	No
<p>Q13. Do you store chemicals on-farm? If 'No' move onto to Q18.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q14. a) Are all farm chemicals purchased from Agsafe accredited suppliers? Note: It is a legal requirement to source chemicals from accredited suppliers.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q15. Are all farm chemicals stored safely in a secure, lockable and bunded area according to label directions? Note: All Safety Data Sheets (SDSs) must be filed in an obvious location outside the locked chemical store for each chemical. SDS can be obtained from the chemical retailer, the chemical company's website OR the APVMA pubCRIS portal.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q16. Has the chemical name, date, place and quantity purchased, batch number and expiry/manufacture date been recorded for all farm chemicals? If 'No' please complete a 'Chemical Storage Record'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q17. Is a stock-take of the chemical store completed every 12 months, and a record kept of any chemicals disposed of and how? Note: The date of the stock-take and signature of the person conducting the stock-take should be recorded. If 'No' please contact the grower services team for guidance.</p>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
<p>Q18. Do you use chemicals on-farm?</p> <p>If 'No' move onto Q24 'Fertilisers and Soil Additives'.</p> <p>Note: Spraying fence-lines is still using chemicals, so the following questions are applicable.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q19. Are only approved chemicals used and applied according to label or permit instructions?</p> <p>Note: If using a chemical under permit you should have a copy of this permit. These can be obtained from the APVMA pubCRIS portal under 'Permit search'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q20. Are all chemical withholding periods strictly adhered to?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q21. a) Is the chemical application equipment calibrated at least annually?</p> <p>Keep signed and dated records of any calibrations completed. If using contractors answer 'Yes', you don't need a copy of their calibration records but they should provide a statement that it has been done.</p> <p>If 'No' please contact the grower services team for guidance.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>b) Are external contractors used for all spray applications?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q22. Are chemical application records completed for all chemical sprays on the orchard?</p> <p>Note: This is a legal requirement for all chemical users. If contractors are used, they should provide this information.</p> <p>If 'No' please complete a 'Chemical Application Record' or file contractor application records.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q23. Are empty chemical containers and/or surplus chemical (e.g. past expiry date, banned, obsolete) disposed of in an approved manner (e.g. drumMUSTER, ChemClear)?</p> <p>Note: Keep a copy of receipts for any disposals and include these in your Chemical Storage stock-take records.</p>	<input type="checkbox"/>	<input type="checkbox"/>

FERTILISERS AND SOIL ADDITIVES

The following questions relate to the use of inorganic/synthetic fertilisers; organic fertilisers e.g. mulch, manures and husk; and other commercial soil additives such as microbial suspensions.

	Yes	No
<p>Q24. a) Has a risk assessment for the use of fertilisers and soil additives been carried out and a record kept?</p> <p>If 'No' please complete a 'Risk Assessment Record'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q25. a) Have any significant risks of contamination been identified in the risk assessment?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>b) If 'Yes' have measures been taken to reduce the risk of contamination?</p> <p>e.g. Applied at least 4 months before harvest or has material been composted.</p>	<input type="checkbox"/>	<input type="checkbox"/>

	Yes	No
<p>Q26. a) Do you compost on-farm?</p> <p>b) If 'Yes', are records kept of the composting process details e.g. treatment process, temperature, duration?</p> <p>Note: Proof of correct composting procedure is required if manure-based products are applied less than 4 months before harvest.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q27. a) Do you buy in any pre-composted material?</p> <p>If 'No' move onto Q28.</p> <p>b) If 'Yes' has a certificate from the supplier been provided to show compliance with Australian standard for compost production (AS4454-2012)?</p> <p>Note: If a supplier cannot provide a certificate demonstrating compliance to Australian standards then you must assume non-composted and comply with 4 month withholding period.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q28. Has the application of fertilisers, organic matter and/or soil additives been recorded detailing name of product, date, area treated, rate, and person applying?</p> <p>If 'No' please complete a 'Fertiliser and Soil Additive Record'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q29. Are fertilisers and soil additives stored, applied, and disposed of in a manner that does not pose a contamination risk?</p> <p>Note: Fertilisers and soil additives should not be used or dumped in an area where chemical leachate could contaminate a water source/waterways during rainfall.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q30. Where there is significant risk of heavy metal contamination, have fertilisers and soil additives been selected to reduce the risk of heavy metal contamination?</p> <p>Note: Commercial fertiliser mixtures should not contain any heavy metal contaminants, if you are unsure request a certificate of analysis from the supplier.</p>	<input type="checkbox"/>	<input type="checkbox"/>

WATER

	Yes	No
<p>Q31. Has a risk assessment of the use of water for irrigation and water sorting been carried out and a record kept?</p> <p>If 'No' please complete a 'Risk Assessment Record'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q32. a) Have any significant risks of contamination been identified in the risk assessment?</p> <p>If 'No' move onto Q34 'Site and Premises'.</p> <p>b) If 'Yes' is either a safe alternative water source used or is the water treated, the treatment monitored and the monitoring results recorded?</p> <p>If unsure, please contact the grower services team for guidance.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q33. If a water test was first used to determine the risk of contamination, has a test of the water source been done in the last 12 months?</p> <p>Keep a record and file these water tests.</p>	<input type="checkbox"/>	<input type="checkbox"/>

SITE AND PREMISES

The following questions relate to the site that you use to handle any nut in shell or nut in husk. This can be a shed, outdoor loading area, paddock etc.

	Yes	No
<p>Q34. Are grease, oil, fuel, farm machinery, and workshop equipment segregated or screened from nut-in-shell/nut-in-husk handling and storage areas during the harvest period?</p> <p>Note: If nut-in-shell or nut-in-husk goes straight into field bins or skips without entering a shed then you must ensure that these vessels are free of any of the contaminants listed above. In this scenario you can also answer 'Yes'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q35. Are the septic, waste disposal and drainage systems designed and constructed to reduce the risk of contaminating the water supply and the orchard?</p>	<input type="checkbox"/>	<input type="checkbox"/>

EQUIPMENT, CONTAINERS AND MATERIALS

	Yes	No
<p>Q36. a) Are storage containers, silos and materials (e.g. packing wraps, bin liners etc.) checked for soundness, cleanliness and vermin infestation before use and discarded if they cannot be appropriately cleaned?</p> <p>b) Do you have a 'Cleaning and Vermin Control Plan' in place which outlines how storage containers, silos and materials are checked?</p> <p>If 'No' please complete a 'Cleaning and Vermin Control Plan'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q37. Are equipment, containers and materials made of substances that are non-toxic and constructed to enable adequate cleaning and maintenance?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q38. Is regular equipment maintenance carried out to prevent chemical and physical contamination of nut in shell or nut in husk?</p> <p>e.g. Ensuring hydraulic lines are not leaking. Over greasing bearings and de-huskers can result in contamination of nut-in-shell.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q39. Are containers used for storage of waste, chemicals and other dangerous substances clearly identified and not used for holding nut in husk or nut in shell?</p>	<input type="checkbox"/>	<input type="checkbox"/>

VERMIN CONTROL

	Yes	No
<p>Q40. Are bait stations in the orchard and/or in the shed of correct design and monitored regularly to reduce the risk of contaminating produce?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q41. Are vermin control chemicals approved for use in the orchard and/or in the shed?</p> <p>Note: Tomcat II is NOT registered for use in macadamia orchards but may be used in approved bait stations within and around agricultural buildings (within 2 metres).</p>	<input type="checkbox"/>	<input type="checkbox"/>

DEHUSKING & STORAGE

If an Approved Dehusking Facility OR outside contractor is used for **all** dehusking of nut please tick this box and move onto the next section Q51 'Personal Hygiene'.

	Yes	No
<p>Q42. a) Is a written plan followed for the cleaning of silos, equipment, containers and materials that come in contact with nut-in-shell, and areas where nut-in-shell is handled and stored?</p> <p>If 'No' please complete a 'Cleaning and Vermin Control Plan'. A copy must be affixed to the wall in the dehusking area and another copy with your approved supplier records.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q43. Are only approved 'food safe' chemicals used for cleaning of nut-in-shell handling equipment and de-husking area floor?</p> <p>If unsure, please contact the grower services team for guidance.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q44. Are cleaning and vermin control chemicals approved for use in food premises?</p> <p>Note: Tomcat II is NOT registered for use in macadamia orchards but may be used in approved bait stations within and around agricultural buildings (within 2 metres).</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q45. Are measures in place to discourage the roosting of birds above handling and storage areas?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q46. Are domestic animals (includes cats, dogs etc.) excluded from areas where nut-in-shell is handled and stored?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q47. Is the floor of the dehusking shed durable and cleanable?</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q48. Are the lights above areas where nut-in-shell is stored, dehusked and/or sorted, protected with shatter proof covers? OR, is there a 'Broken Light Plan' in place that provides steps to be undertaken if a breakage occurs?</p> <p>If 'No' please create a Broken Light Plan (Marquis Grower Services team have an example if needed).</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q49. Have structures been constructed and maintained to reduce the risk of contaminating nut-in-shell?</p> <p>e.g. is the product likely to be contaminated with paint chips, wood chips, rust, or galvanized metal flakes? These are significant food safety risks.</p> <p>Note: If maintenance is completed to rectify potential sources of contamination this should be noted in the 'Site and Premise Record'.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q50. Are storage vessels and plenum cleaned thoroughly when vessels are emptied?</p>	<input type="checkbox"/>	<input type="checkbox"/>

PERSONAL HYGIENE

	Yes	No
Q51. Are toilets and hand washing facilities readily accessible to staff? Note: If you are a sole operator and you only use your house toilet tick 'yes'.	<input type="checkbox"/>	<input type="checkbox"/>
Q52. Have verbal instructions on personal hygiene practices been provided to staff and reinforced with written instructions and/or prominent signs? If 'No' please request a Personal Hygiene template and affix this in an appropriate area within the dehusking shed area. Note: This is only applicable if you dehusk on farm.	<input type="checkbox"/>	<input type="checkbox"/>

STORAGE AND TRANSPORT

	Yes	No
Q53. Are delivery vehicles checked for cleanliness, physical contamination and vermin infestation before loading?	<input type="checkbox"/>	<input type="checkbox"/>
Q54. Is nut-in-shell stored and transported separately to goods that are a potential source of chemical, microbial and physical contamination? e.g. domestic animals/livestock and chemicals should not be on vehicles when transporting nut-in-shell.	<input type="checkbox"/>	<input type="checkbox"/>

PRODUCT IDENTIFICATION AND TRACEABILITY

	Yes	No
Q55. Where separate growing areas are treated differently, is each batch of harvested nut-in-shell clearly marked to identify the growing area? e.g. If a contaminated site is present in the orchard you must do this.	<input type="checkbox"/>	<input type="checkbox"/>
Q56. Has a record been kept of harvest date, growing area and destination? If 'No' please complete a 'Harvest Record'.	<input type="checkbox"/>	<input type="checkbox"/>
Q57. Is a record kept of how and who delivered the nut-in-shell to Marquis? Transport dockets from contract carriers and/or pack-out receipts from approved dehusking facilities are an acceptable record.	<input type="checkbox"/>	<input type="checkbox"/>
Q58. a) Has any nut-in-shell been identified as being contaminated, or potentially contaminated? b) If 'Yes' was Marquis immediately notified and a record kept? File these under 'Corrective Action Reports'.	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

PRODUCT AND HANDLING SPECIFICATIONS

	Yes	No
<p>Q59. Is nut-in-shell ready for delivery to Marquis checked for conformance with the current Marquis nut-in-shell specifications?</p> <p>Note: If you use an approved dehusking facility this is completed for you.</p>	<input type="checkbox"/>	<input type="checkbox"/>
<p>Q60. a) Has nut in shell been identified that does not meet specification?</p> <p>b) If 'Yes', has Marquis been informed before delivery and a record of the notification & Marquis' advice been made?</p> <p>Note: You will be notified by Marquis if your consignment does not meet the required specifications.</p>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

QUALITY ASSESSMENT RECORDS

The following questions refer to documentation you provide upon consignment delivery (Pre-Season and Delivery Report) and you receive once the consignment has been assessed (Consignment Quality Report; CQR).

Paper or electronic records are acceptable and must be kept for at least 3 years.

	Yes	No
Q61. Is a copy kept of the Pre-Season report?	<input type="checkbox"/>	<input type="checkbox"/>
Q62. Is a copy kept of the Delivery Report for each delivery?	<input type="checkbox"/>	<input type="checkbox"/>
Q63. Are copies kept of the Consignment Quality Reports?	<input type="checkbox"/>	<input type="checkbox"/>

EXPLANATORY NOTES – If you have answered No to any questions and they require further action to comply with food safety requirement note these here.

Practices needing attention	Expected completion date

Actions taken to ensure compliance with Premium Approved Supplier Audit	Completion Date	Initial

Name of Grower Authorised representative:

Date

*electronic submission
without signature
acceptable

Signature:

Name of Marquis Authorised representative:

Date

Signature:
