

# 2020 Audit Checklist

CGCN-RCCV Certification Program, Version 1.1



## Table of Contents

<b>TABLE OF CONTENTS</b> .....	<b>1</b>
<b>GUIDANCE</b> .....	<b>2</b>
ABOUT THIS CHECKLIST .....	2
AUDIT SCORING CRITERIA.....	2
<b>AUDIT CHECKLIST</b> .....	<b>3</b>
NURSERY INFORMATION .....	3
PART 1: ADMINISTRATION AND RECORD KEEPING.....	4
<b>1.1: General Record Keeping</b> .....	4
<b>1.2: Preventative Control Plan (PCP)</b> .....	6
<b>1.3: PCP Management Systems, Record keeping, Inventory</b> .....	7
<b>1.4: Testing Records</b> .....	9
PART 2: PRODUCTION AND HANDLING AREAS.....	10
<b>2.1 Planting Sites</b> .....	10
<b>2.2 Identifying Marks</b> .....	11
<b>2.3 Sanitation and Cultural Practices</b> .....	12
<b>2.4 Specific Production Requirements</b> .....	13
<b>2.5: G2 and G3 blocks</b> .....	14
<b>2.6: G4 Buffer Zones</b> .....	15
<b>2.7 Containerized Grapevines</b> .....	16
<b>2.8 Nematode Testing</b> .....	18
<b>2.9: Crown Gall</b> .....	19

## Guidance

### About this Checklist

The audit checklist stands as a reference point before, during and after the audit process, and used correctly will provide the following benefits:

- Ensures the audit is conducted systematically;
- Promotes audit planning;
- Ensures a consistent audit approach;
- Actively supports the CGCN-RCCV standards;
- Provides a repository for notes collected during the audit;
- Provides reference to objective evidence.

### Audit Scoring Criteria

Finding	Definition/Impact	Action/Mitigation
<b>COMPLIANT</b>	Compliant means adherence with the requirements of the individual CGCN-RCCV standard. The process is implemented and documented, and records exist to verify this.	Continue to monitor.
<b>NOT APPLICABLE</b>	Not applicable means the individual standard being assessed does not apply to the nursery being audited.	Continue to be aware of standard.
<b>OFI</b>	A <b>low risk issue</b> that offers an opportunity to improve (OFI) current practice. Processes may be cumbersome or overly complex but meet their targets and objectives. Unresolved OFIs may degrade over time to become non-compliant.	Investigate root cause(s) and implement corrective action by the next reporting period or next scheduled audit.
<b>NOT COMPLIANT</b>	A non-conformance to an individual CGCN-RCCV standard.	Implement immediate containment action, investigate root cause(s) and apply corrective action. Re-audit in 4 weeks after delivery of Audit report to the nursery to verify correction.

## Audit Checklist

### Nursery Information

Nursery Name:	
Nursery Location:	
Certification Level:	
Auditor Name & Company:	
Auditor Signature:	
Audit Date(s):	
Nursery Representative Present at Audit:	
Nursery Representative Signature:	

PART 1: Administration and Record Keeping

**1.1: General Record Keeping**

The participating facility maintains records as indicated below (as required by CGCN-RCCV Standard No. 2.5);

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
					Provide reference to documented information to justify the finding	Provide suggestions for process improvement	
1	Maintains records on the nursery premises.						
2	All records are maintained and retained in a manner to prevent accidental loss.						
3	Records are kept on site for seven years after the grapevines are sold or removed.						
4	Records indicate the quantity, Latin (botanical) name, variety/clone, rootstock, origin, date of introduction or grapevine stock to facility, date of grafting, if applicable field, nursery row planting and accession number. - Growers inventory records can be used instead of Appendix 3 provided they contain the same information. Records must be updated to include material planted since the last systems audit inspection.						
5	Maintains records of sale invoices or plant movement documentation. These records list all grapevines (grafted or own-rooted) planted and sold under the CGCN-RCCV Certification Program.						

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
6	Maintains data collected from pest monitoring, control or eradication and surveillance activities.						
7	Maintains records of any cultural and treatment records including planting dates, spray records, cultivation, virus monitoring, bud collecting, grafting and re-grafting, quantities, etc.						
8	Maintains maps of the facility indicating planting blocks.						

### 1.2. Preventative Control Plan (PCP)

Written Preventative Control Plan (PCP) are up to date, procedures are followed and documented as below (as required by CGCN-RCCV Standard No. 2.1):

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
						Provide reference to documented information to justify the finding	Provide suggestions for process improvement
9	A qualified individual is designated to be Pest Control Manager (PCM).						
10	Documentation and records for all pest finds are entered into a Pest Log and CGCN-RCCV is notified if virus or phytoplasma is suspected.						
11	Documentation and training/accreditation records are available for persons designated to carry out components of the PCP.						
12	Records of spraying, surveying or other pest management actions have been maintained.						
13	The PCM monitors the approved block for visual symptoms of viruses and other diseases at least once a month during the growing season. - Records of these inspections are kept, including name(s) of person who performed inspection, date(s) inspected, area monitored and results of monitoring.						

**1.3: PCP Management Systems, Record keeping, Inventory**

Management systems and inventory records are up to date, procedures are followed and documented as below (as required by CGCN-RCCV Standard No. 2.2):

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
					Provide reference to documented information to justify the finding	Provide suggestions for process improvement	
14	Documentation and records of plant material entering an approved facility are available for examination.						
15	Documentation and records to ensure that only eligible grapevines that comply with the requirements are marketed under the CGCN-RCCV Certification Program.						
	<b>The records adequately record the following information:</b>						
16	- Tracking of material on-site						
17	- How material is stored and propagated						
18	- Records of propagation						
19	- Procedures or instructions for working with certified material						
20	- Organizational structure and responsibilities						
21	- Corrective or preventative actions ordered						

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
						Provide reference to documented information to justify the finding	Provide suggestions for process improvement
22	- Record of distribution						
23	- Record of number of plants sold						
24	- List of all suppliers providing plants and products including certification documentation						
25	- Copies of Phytosanitary Certificates issued						
26	- Data collected from monitoring, treatment, control or eradication and verification activities						
27	All propagative material produced under this program must be derived from Generation 1 (G1), Generation 1A (G1A), Generation 2 (G2) or Generation 3 (G3), virus-tested stock grown under conditions that mitigate the risk of reinfection. No other source material can be used.						

**1.4: Testing Records**

Virus testing records are up to date, procedures are followed and documented as below (as required by CGCN-RCCV Standard No. 2.7):

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
						Provide reference to documented information to justify the finding	Provide suggestions for process improvement
28	Testing for viruses, virus-like diseases, phytoplasmas or viroids are carried out by an approved lab.					<b>Testing Lab Name:</b>	
29	Every vine in the CGCN-RCCV certified G2 and G3 increase blocks shall be retested by a CGCN-RCCV authorised laboratory at least once every six years. <ul style="list-style-type: none"> <li>- In year one of the G2-G3 established block, not testing will be done.</li> <li>- From year two – year six testing will be done at 20% of total vines each year cumulating to 100% in six years.</li> </ul>						

PART 2: PRODUCTION AND HANDLING AREAS

2.1 Planting Sites

Buffer zones and planting sites are maintained as below (as required by CGCN-RCCV Standard No. 2.3.1):

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
1	The buffer zones owned or under appropriate management control by the applicant.					Provide reference to documented information to justify the finding	Provide suggestions for process improvement
	All planting sites, regardless of the level of certification, are:						
2	- Clean cultivated						
3	- Planted with turf variety of perennial ryegrass that carries endophyte or planted with turf variety of fescue that carries endophyte						
4	Planting site minimizes contamination by virus-vectoring nematodes from surrounding land through drainage, flooding, irrigation or other means.						
5	Buffer zone is minimum 8 metres and is under appropriate management control.						

## 2.2 Identifying Marks

Identifying marks are maintained and correct in all planting and production areas (as required by CGCN-RCCV Standard No. 2.3.7):

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
	Identifying Marks – In Field					Provide reference to documented information to justify the finding	Provide suggestions for process improvement
6	- In a row of grapevines in which every plant consists of the same cultivar/rootstock combination, the grapevines at both ends of the row are labelled to identify the cultivar/rootstock combination of that row.						
7	- In a row of grapevines in which every plant consists of more than one combination planted in a row, each cultivar/rootstock combination must be clearly labelled within the row.						
	Identifying Marks – Containerized Plants						
8	- Each potted grapevine or container must be clearly identified to reflect its certified status and cultivar/rootstock combination.						
9	Harvests of individual grapevines, bundles or crates are labelled and processed in separate facilities or on separate days from material not in the CGCN-RCCV Certification Program.						

### 2.3 Sanitation and Cultural Practices

Sanitation and cultural practices are carried out as below (as required by CGCN-RCCV Standard Nos. 2.3.5 and 2.3.7):

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
					Provide reference to documented information to justify the finding	Provide suggestions for process improvement	
10	A record of the cleaning procedure is kept.						
11	Operators take steps to ensure that tractors and other equipment used in the CGCN-RCCV Certification Program approved block are free from soil prior to entering the block.						
12	Suitable precautions must be taken to prevent the introduction of pathogen virus-vectoring nematodes, which may be associated with soil as well as other potential insect vectors which could be moved into the CGCN-RCCV Certification Program blocks with cultivation or spray equipment: <ul style="list-style-type: none"> <li>- Records of equipment cleaning</li> <li>- Workflow from certified to non-certified blocks</li> </ul>						
13	If processing happens in the same facility where non-certified material is handled, the facility is thoroughly cleaned and any non-certified propagating material is removed from the premises in order to avoid any accidental co-mingling of product.						

## 2.4 Specific Production Requirements

Production, shipping and handling/storage areas are maintained as below (as required by CGCN-RCCV Standard No. 2.4).

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence  Provide reference to documented information to justify the finding	Opportunities for Improvement (OFI)  Provide suggestions for process improvement
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
	Examination of Production Areas:						
14	- Certified and non-certified materials are clearly separated by location or time, and cleaning measures and/or records.						
	Examination of Shipping Areas:						
15	- Certified and non-certified materials are clearly separated by location or time, and cleaning measures and/or records.						
	Handling, Storage and Delivery Areas:						
16	- Certified and non-certified materials are clearly separated by location or time, and cleaning measures and/or records.						

**2.5: G2 and G3 blocks**

G2 and G3 planting blocks are maintained as below (as required by CGCN-RCCV Standard No. 2.4.1).

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
	G2 & G3 blocks have not been established on land which:					Provide reference to documented information to justify the finding	Provide suggestions for process improvement
17	- Non-certified grapevines have grown within the last 10 years.						
18	- Non-certified fruit trees have grown within the last two years. and						
19	- Other Rosaceous plants not tested within the last two years for nepoviruses of grapevines known to occur in Canada have grown.						
20	- Documented proof or an affidavit of the above has been provided.						
	G2 & G3 blocks are separated from other non-certified material:						
21	- By a minimum of 8 metres.						
22	- The buffer zone is clean cultivated or planted with a turf variety of perennial ryegrass or fescue that carries endophyte.						
23	- The buffer zone is planted with virus-tested Rosaceae or <i>Vitis</i> spp. plants.						

**2.6: G4 Buffer Zones**

G4 planting blocks are maintained as below (as required by CGCN-RCCV Standard No. 2.4.2).

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
	Approved planting sites must have:					Provide reference to documented information to justify the finding	Provide suggestions for process improvement
24	- A minimum 4 metre buffer zone separating CGCN-RCCV Certification Program grapevines from grapevines not in the program.						
25	- Clean cultivated or planted with turf variety perennial ryegrass or fescue that carries endophyte.						
26	- OR, the buffer zone may be planted with woody plants such as conifers, that are not hosts to grapevine viruses or virus-tested <i>Vitis</i> spp. or Rosaceae plants.						

## 2.7 Containerized Grapevines

Containerized Grapevine areas are maintained as below (as required by CGCN-RCCV Standard No. 2.4.3).

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence  Provide reference to documented information to justify the finding	Opportunities for Improvement (OFI)  Provide suggestions for process improvement
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
	Growing media used in containers						
27	- Consists of soil-free materials, including but not limited to: expanded or baked clay pellets; ground coconut husks; coffee hulls; cocoa pods or rice husks; peat; perlite; pumice; sawdust; sphagnum; vermiculite or bark.						
28	- The components of the growing media have not been previously used for growing plants or for other agricultural purposes.						
29	- The components of the growing media are mixed and maintained under conditions which preclude soil contamination or contamination by water runoff.						
	If soil is used for containerized plants,						
30	- The soil has been tested and found free of <i>Xiphinema</i> and <i>Longidorus</i> nematodes capable of transmitting nepoviruses or has been fumigated prior to planting.						

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
31	- the soil has been sieved to remove any significant root debris.						
	For containerized plants growing in nursery blocks:						
32	- The containers are set on a barrier that prevents direct soil contact such as plastic, hard-packed clay, pavement, or a minimum of five centimetres of coarse gravel.						
33	- The site is located to preclude soil contamination, either directly or through water runoff drainage, flooding, irrigation or other means e.g., raised or protected by dams or drainage ditches - If contamination due to natural disaster is suspected, testing soil for vectors and Agrobacterium may be requested to maintain certification status.						

## 2.8 Nematode Testing

Nematode testing has been carried out and maintained as below (as required by CGCN-RCCV Standard No. 2.3.3).

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
	All planting sites including the buffer zones:					Provide reference to documented information to justify the finding	Provide suggestions for process improvement
34	Have been sampled and found free of <i>Xiphinema</i> and <i>Longidorus</i> nematodes capable of transmitting nepoviruses						
35	<b>OR:</b> have been fumigated in a manner that has been approved by CGCN-RCCV. (A certificate of application from a registered fumigation applicator must be retained as proof of treatment.)						

**2.9: Crown Gall**

**Crown Gall Certification – Optional Participation**    **YES**    **NO**    **(Circle or remove one)**

Crown gall standards have been maintained as below (as required by CGCN-RCCV Crown Gall Standards).

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
						Provide reference to documented information to justify the finding	Provide suggestions for process improvement
36	All material used to propagate plants that claim that they have been produced from rootstock and scion wood found free of <i>A. vitis</i> are sourced from G1, G1a, G2 or G3 material that has been tested at the G1 level by dd PCR or other CGCN-RCCV approved method and has been found to be free of <i>A. vitis</i> .						
	<b>AUDITOR: choose one to audit: Growing Medium or Soil:</b>						
	Growing Medium						
37	- Any medium suitable for the production of grapevines that does not contain any trace of soil and has not been contaminated by soil during handling and has not been previously used for nursery production is allowed.						
38	- Containers cannot be directly placed on soil, but must be either on concrete, impermeable plastic sheets or other material that excludes the risk of contamination with soil.						

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence  Provide reference to documented information to justify the finding	Opportunities for Improvement (OFI)  Provide suggestions for process improvement
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
	Soil:						
39	- Production plants from material tested to be free from <i>A. vitis</i> cannot be grown on a plot of land that has been used for grapevine nursery or vineyard in at least the previous seven years.						
40	- Land use history is available and verifiable for a minimum of 10 years.						
41	- Propagating blocks are mapped with GPS.						
42	- A buffer of three metres on all sides separates <i>A. vitis</i> - tested propagating material from any other crop.						
43	- If the neighbouring crop is grape, the buffer is eight metres.						
44	- Equipment used for planting, cultivating, spraying and harvesting is thoroughly cleaned of any soil or other potential contaminants by pressure washing before it is used in the production of grapevines from <i>A. vitis</i> -free propagating material. Grafting and cutting tools are cleaned with bleach or alcohol before use with crown gall free propagating material.						

Question No.	Audit Question	Audit Findings (Score '1' per box)				Audit Evidence	Opportunities for Improvement (OFI)
		COMPLIANT	NOT APPLICABLE	OFI	NOT COMPLIANT		
						Provide reference to documented information to justify the finding	Provide suggestions for process improvement
45	Processing of the material is done in a manner to ensure that the risk of contamination by and co-mingling with untested materials is eliminated.						
46	Tested material is clearly identified and stored separately from untested material.						
47	If propagating material is hydrated, the water used is clean and has not been previously used for hydrating material that has not been tested to be free from <i>A. vitis</i> .						
48	Records are maintained that detail amount of wood harvested and source and location of crown gall-free G2 and G3 blocks.						
49	Records are maintained of cleaning procedures of facilities and equipment prior to use of tested material.						
50	In the case of grafted material, both rootstock and scion material are sourced from blocks tested and maintained under this program.						