



License Application for sustainable hand-harvesting of *Ascophyllum nodosum* in Kenmare Bay.

Appendix 8: Harvesting Audit Forms.

Prepared by: BioAtlantis Ltd.
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BioAtlantis Ltd,
Clash Industrial Estate,
Tralee,
Co. Kerry,
Ireland.

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Quarterly Audit Part A: Records, Forms & Documents

Audit number and Date: (e.g. 1st Quarter)		Note: For documents to be up-to-date, they must (a) be appropriately revised, (b) be present in both electronic & paper format, (c) be completed correctly and in full.
Audit performed by:		
Time-frame assessed:		Yes, Y; No, N; not determined, ND; not applicable, NA.

					Follow-up section		
Document type/subset	Documents up-to-date (Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
1. Forms: receipt of training & verification of understanding							
Training/Teaching Material: SAC requirements, sustainable hand harvesting methods, the Code of Practice, H&S, communicating with BioAtlantis, etc.							
Forms: Cert of attendance at training (sustainable harvesting methods; health & safety, other requirements, etc).							
Verification Forms: Verifying harvester's understanding of training and requirements for protecting the SAC.							
2. Completed Training Certs (obtained through training above.)	Documents up-to-date (Y/N?)	Description / Corrective Action	Responsibility	Due Date	Explanation	Y/N	Date
Training Certs							
Safety Certs							
Verification of training and understanding of requirements for working in SAC.							
3. Records, forms & documents							
Codes of Practice							

					Follow-up section		
Document type/subset	Documents up-to-date (Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
Standard Operating Procedures (SOPS)							
Goods Received Notes, Site Inspection Forms, Incident Report forms, Non-conformance reports, etc.							
Log of additional compliance measures (Painting of boats, cleaning of nets/bags).							
Have nets/bags been cleaned in production facilities and returned clean to harvesters (see production log sheets).							
If YES to all of the above, Documentation is up-to-date			QC				
If NO to any of the above, system is not up-to-date and must be amended immediately			QC				

Quarterly Audit Part B: Quality Assessment (Documentation)

Audit number and Date:		Note: For documents to be up-to-date, they must (a) be appropriately revised, (b) be present in both electronic & paper format, (c) be completed correctly and in full. Yes, Y; No, N; Not determined, ND; Not applicable; NA.
Audit performed by:		
Time-frame assessed:		

					Follow-up section (for use by QC staff only)		
Question	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
Step 1. Goods Received Notes (GRNs), Site Inspection Forms (SIFs).							
Have all GRNs and SIFs been completed since last audit?							
Have GRNs and SIFs been completed in full, i.e. net/bag tag No., weight of harvest, batch code, etc.							
Have all inspection checks been completed?							
On failure of quality check, non-conformance was reported?							
On failure of quality check, have Management decided the appropriate action?							
Excessive levels of sand, shingle, gravel, pebbles, stones, debris contamination is absent?							
Holdfast contamination is absent?							
Fucus contamination does not exceed 10%?							

					Follow-up section (for use by QC staff only)		
Question	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
Cutting of <i>A. nodosum</i> is >200mm above holdfast ?							
Has no more than 20% of the available biomass been harvested?							
Have activities only take place at approved sites (cross-check with schedule and sensitive site list)?							
Have health & safety requirements are adhered to?							
If YES to all of the above, control measures are effective.							
If NO to any of the above, then control measures are deemed ineffective.							
If ineffective, corrective actions have been taken.							
Corrective actions, if ineffective, have been documented.							
Introduction of further corrective actions, if any, have been documented.							
Step 2. Production Logsheets (Production Facilities)	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Explanation	Y/N	Date
Have all Production Logsheets been completed since last audit?							
Have Production Logsheets been completed in full?							
Have all inspection checks been completed?							
On failure of quality check, the non-conformance was reported.							

					Follow-up section (for use by QC staff only)		
Question	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
On failure of quality check, have Management decided the appropriate action.							
All GRNs are signed by production staff.							
There is no evidence of excessive levels of sand, shingle, gravel, pebbles, stones, debris?							
Holdfast contamination is absent?							
Fucus contamination is at ≤10%?							
Have bags/nets been cleaned in Production Facilities and returned clean to harvesters (see production log sheets).							
If YES to all of the above, control measures are effective.							
If NO to any of the above, then control measures are deemed ineffective.							
If ineffective, corrective actions have been taken.							
Corrective actions, if ineffective, have been documented.							
Introduction of further corrective actions, if any, have been documented.							
Step 3. Incident Reports	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Explanation	Y/N	Date
Have all Incident Reports been accounted for (numerical sequence)?							
Has the cause of the incident been established?							
Have all corrective or preventative actions been completed?							

					Follow-up section (for use by QC staff only)		
Question	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
Step 4. Non-conformance Reports	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Explanation	Y/N	Date
Have non-conformances reports (if any) been completed in full?							
Has the cause of the NCR been established?							
Have all corrective or preventative actions been completed?							
Step 5. Software Systems	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Explanation	Y/N	Date
Is harvesting database up-to-date?							
Is harvesting schedule up-to-date?							
Is hand harvesting taking place according to the schedule?							
Does software pass all checks (i.e. no errors)?							
If YES to all of the above, the system has passed compliance checks.							
If NO to any of the above, system has failed compliance checks and urgent corrective actions are required.							

Annual Audit: Quality Assessment (on-site)

Audit number and Date:		
Audit performed by:		
Time-frame assessed:		Yes, Y; No, N; Not determined, ND; Not applicable; NA.

					Follow-up section (for use by QC staff only)		
Question	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
Step 1. Site Quality (inspection of harvested sites)							
Has hand harvesting taken place according to the schedule?							
Has seaweed at the sites been cut 200-300mm above the holdfast?							
Has harvesting been limited to no more than 20% of the available biomass?							
There is no evidence of disturbance or damage to reef or shingle?							
If YES to all of the above, control measures are effective.							
If NO to any of the above, then control measures are deemed ineffective.							
If ineffective, corrective actions have been taken.							
Corrective actions, if ineffective, have been documented.							
Introduction of further corrective actions, if any, have been documented.							
Step 2. Harvest methods (inspection of techniques)					Explanation	Y/N	Date
Are harvester blades and equipment sharp enough and fit-for-purpose?							

					Follow-up section (for use by QC staff only)		
Question	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
Are harvesters working on approved sites, according to schedule?							
Are harvesters cutting of <i>A. nodosum</i> is >200mm above holdfast ?							
Is harvesting being limited to no more than 20% of the available biomass?							
Holdfast contamination is absent?							
Fucus contamination does not exceed 10%?							
Is harvested seaweed free of shingle, stone, etc.?							
Are harvesters using clean, approved bags/nets of appropriate size?							
Are harvesters actively avoiding fronds with high levels of periwinkle egg masses?							
Are harvesters actively avoiding by-catch during harvesting?							
Is by-catch being returned to the water where possible?							
Are health & safety requirements being adhered to?							
Are there a maximum of 3 harvesters per site?							
If YES to all of the above, control measures are effective.							
If NO to any of the above, then control measures are deemed ineffective.							
If ineffective, corrective actions have been taken.							
Corrective actions, if ineffective, have been documented.							
Introduction of further corrective actions, if any, have been documented.							
Step 3. Boats	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Explanation	Y/N	Date

					Follow-up section (for use by QC staff only)		
Question	(Y/N?)	Description / Corrective Action	Responsibility	Due Date	Are corrective actions closed out?		
					Explanation	Y/N	Date
Is collection boat (if applicable to the area) travelling according to schedule and within the bay?							
Are calibration and maintenance schedules in place?							
Are calibration and maintenance logs up-to-date?							
Does the Resource Manager have access to Incident Reports, Site Inspection Forms & GRN forms?							
Are communication systems in working order?							
Are health & safety requirements being adhered to?							
Has collection boat (if applicable to the area) been painted with anti-fouling agents this year?							
Have harvester boats been painted with anti-fouling agents this year?							
If YES to all of the above, control measures are effective.							
If NO to any of the above, then control measures are deemed ineffective.							
If ineffective, corrective actions have been taken.							
Corrective actions, if ineffective, have been documented.							
Introduction of further corrective actions, if any, have been documented.							