



# Bio-Security Module BSM21:

AUDIT OF CRITICAL ISSUES  
(Version 3.3: February 2012)

## OBJECTIVE

To provide clear guidance on steps to be followed in undertaking Critical Issues Audits, audit procedures to be followed in undertaking audits and the aspects to be included in the audits of all registered ostrich farms

## BACKGROUND

A number of different levels of audit are proposed to confirm compliance with the BSMs and the VPN04. Firstly, the primary audit function will be based on an audit of only the most critical issues that pose a risk to the sustainability of the ostrich industry. These audits will be undertaken by the industry itself through the use of appointed auditors.

Secondly, the Provincial State Veterinarian (or his representatives) will undertake different levels of audit in terms of their legal responsibility as set out in VPN04. These comprehensive audits include the following:

- Annual registration audit by PSV which should be a comprehensive audit against all elements of the VPN04.
- Six monthly audit by PSV (or DGT) which should be also a comprehensive audit against all elements of the VPN04.
- Spot audits by appointed DAFF auditor which should be also a comprehensive audit against all elements of the VPN04.

This BSM deals with the first level of audit by way of the Critical Issues Audit in order to audit compliance with BSM01, BSM05, BSM10 and BSM11

## SCOPE OF AUDIT

The critical issues audit function is addressed by BSM21 and has four critical issues that require regularly auditing:

1. Is the appropriate infrastructure as required by the farm's registration in place?
2. Does the census of ostriches on the farm correspond with registers and authorised movement permits?
3. Is appropriate disinfection of drinking water taking place?
4. Are the appropriate records associated with the critical issues available and correct?

These issues (especially points 2 and 3) are at the core of the problems facing the ostrich industry and are directly related to the risk of AI outbreaks. It is therefore critical for the management of risk to the industry that compliance with these critical issues is assured. It is only these critical issues (not all elements of the VPN04) that are intended to be covered by the audit system addressed by BSM21.

## AUDIT STATUS OF FARM

Provision is made to recognize the efforts of farms that consistently comply with all aspects of the critical issues audit. All farms will

initially be classified as having a **Silver** status. Silver status farms which show three consecutive clean audits with no non-compliances will be elevated to **Gold** status.

A fourth category of **Platinum** status will be applied to farms that can be classified as closed cycle farms, i.e. they only bring in day-old chicks and only dispatch full grown ostriches to a registered abattoir. Platinum status farms must have a registration number (in terms of BSM01) that ends with any of the following number combinations: A1Y; A1L; B1Y; B1L; C1Y; C1L; D1Y or D1L.

Any audit that includes a significant non-compliance will result in the farm in question dropping its status, i.e. Platinum will drop to Gold, Gold will drop to Silver and Silver will drop to Bronze.

The frequency of audits varies depending on the audit status of the farm as follows:

**Bronze Audit Status:** must be audited monthly

**Silver Audit Status:** must be audited every second month

**Gold Audit Status:** must be audited every third month

**Platinum Audit Status:** must be audited every fourth month

## AUDITING PROCEDURES

The auditing schedule will depend on the status classification of the farm and the required Critical Issues Audit Reports must then be submitted to the SAOBC in accordance with the agreed audit deadlines.

1. Each farm must keep detailed records of how many ostriches are kept in the different camps in order that these records can be audited by the Auditor. The required information must be entered into the Monthly Ostrich Location Register (Form BSM21/006)
2. The Auditor must undertake the audit by fully completing the Farm Audit Report (Form BSM21/004).
3. The auditor will make a scheduled audit on a date to be agreed in advance with the farmer.
4. The farmer will provide the auditor with all information required to undertake the audit and farm labourers to assist in the census functions.
5. The farmer will not have the right to interfere with the auditor or to attempt to influence the auditor in making his findings.
6. Comprehensive audits listed above and undertaken by DAFF and/or PSVs which have findings contrary to those reported by the critical issues auditor will initiate an investigation that may lead to the scrapping of the critical issues auditor as an approved auditor if it comes to light that he is not reporting critical non-compliances in order to find favour with the farmer.

7. The auditor will submit his report to the SAOBC who will also forward a copy of the report to the farmer.
8. The SAOBC will initiate any critical actions that may be required due to the outcome of the audit (e.g. change in audit status of farm [bronze, silver, gold, platinum], reporting to PSV for further investigation, etc.)
9. The auditor will be appointed and paid by the SAOBC who will, in turn, invoice the cost to the farmer. The cost will be determined on the basis of time spent on site by the Auditor and travel costs. A farmer who is overdue in paying the audit fees will be temporarily prevented from undertaking any movements of ostriches onto or off the farm until the outstanding debt has been settled.
10. Similarly, a farmer who for whatever reason undertakes actions (or fails to take actions) that result in the requisite audits not being able to be undertaken will have his farm temporarily deregistered and will automatically fall back to bronze status. Failure to submit the outstanding audit and the second requisite audit within 30 days will result in the temporary deregistration becoming permanent deregistration.

## AUDIT OUTCOMES

Completed critical issues audit reports must be submitted to the SAOBC. Audit reports that have more than one negative finding will be formally notified by the SAOBC and will be given two weeks to address the negative findings, whereafter a follow-up audit will be undertaken (at the farm's cost). If the negative finding has not been rectified, the farm's audit status will be downgraded and the farm may be reported to the PSV for initiation of further actions.

The Audit Farm must keep copies of all Critical Issue Audit Reports for a period of at least 2 years.

**NOTES:** This BSM21 must be used in conjunction with the following forms:

Form BSM11/002: Monthly Drinking Water Report

Form BSM21/004: Critical Issues Audit Report

Form BSM21/005: Monthly Ostrich Register

Form BSM21/006: Monthly Ostrich Location Register