

**ESCAS SUMMARY AUDIT REPORT TEMPLATE**

<b>ESCAS Audit Summary Report</b>		
<b>Audit details</b>		
Reporting Period	<i>[Reporting period number and dates]</i>	
Audit type	<i>[Initial or performance]</i>	
Exporter	<i>[Name]</i>	
	<i>[Address]</i>	
	<i>[Contact details - phone/email]</i>	
Importer	<i>[Name]</i>	
	<i>[Address]</i>	
	<i>[Contact details - phone/email]</i>	
Audit organisation	<i>[Name]</i>	
	<i>[Address]</i>	
	<i>[Contact details - phone/email]</i>	
Name and signature of auditor(s)	<i>[Name 1]</i>	
	<i>[Signature 1]</i>	<i>[Date of signature]</i>
	<i>[Name 2]</i>	
	<i>[Signature 1]</i>	<i>[Date of signature]</i>
ESCAS supply chain identifier	<i>[Exporter to provide the relevant Department of Agriculture and Water Resources (the department) ESCAS supply chain identifier, and ESCAS Variation Number (EVN) assigned to the specific variation for a particular ESCAS]</i>	
Names and physical addresses of all supply chain elements that were assessed as part of this audit ( <u>include as attachment if necessary</u> )  (discharge, land transport, holding facilities, feedlots and slaughter facilities/ abattoirs)	<b>Name and address of supply chain elements audited</b>	<b>Date Audited</b>
	<i>E.g. Discharge from vessel and/or land transport</i>	
	<i>E.g. Depot A [Name/Address]</i>	
	<i>E.g. Feedlot A [Name/Address]</i>	
	<i>E.g. Feedlot B [Name/Address]</i>	
	<i>E.g. Abattoir A [Name/Address]</i>	
	<i>E.g. Abattoir B[Name/Address]</i>	

<b>Description of supply chain elements covered by the audit</b>	
Discharge from the ship	<ul style="list-style-type: none"> <li>• [Type of audit - initial or performance]</li> <li>• [Name of vessel]</li> <li>• [Name of port]</li> <li>• [Date of discharge]</li> </ul> <p><i>Note 1: For INITIAL AUDIT REPORTS: Audit of discharge and transport is required for initial audits. If at the time of initial audit there was no vessel discharge or transport to the facility, the auditor must provide clarification confirming that:</i></p> <ul style="list-style-type: none"> <li>• at time of audit there was no vessel discharge, and</li> <li>• whether or not they are sufficiently confident that the importer has in place facilities, processes and procedures (SOPs etc) that would allow for compliant discharge and transport to the facility, and that</li> <li>• discharge of livestock from the next vessel and transport to the facility will be audited when the vessel arrives.</li> </ul> <p><i>Note 2: If the initial audit did not include observation of animals during discharge or transport, the first PERFORMANCE AUDIT REPORT must include outcomes of discharge and transport audit within one month of the first shipment. Where the initial audit did include observation of discharge of animals, further audit of discharge is not required during PERFORMANCE AUDIT REPORTS, unless specifically requested by the department. For performance audits, audit of transport is to be covered by observing loading/unloading activity at facilities but does not require a separate audit unless specifically requested by the department.</i></p>
Transport	<ul style="list-style-type: none"> <li>• [Type of audit - Initial or performance]</li> <li>• For initial audits, see Note 1 above. For performance audits see Note 2 above.</li> </ul>
Holding facilities/feedlots	<ul style="list-style-type: none"> <li>• [Type of audit - Initial or performance]</li> </ul>
Slaughter facilities/abattoirs	<ul style="list-style-type: none"> <li>• For cattle / buffalo - detailed description of the restraint box and slaughter (stunning/non-stunning) used at each slaughter facility/abattoir. Description to include how the restraint box is operated (e.g. manual/electric/hydraulic); position of animal at point of slaughter (e.g. standing/lateral recumbancy/fully inverted); other procedures to minimise risks with the slaughter procedure (e.g. type of support during standing slaughter; neck restraint).</li> <li>• For sheep / goats – detailed description of presentation to slaughter (e.g. manual, ramp, v-restrainer etc), restraint (e.g. manual on slaughter table etc) and slaughter (stunning / non-stunning) used at each facility / abattoir</li> <li>• Detailed description of the slaughter lines:             <ul style="list-style-type: none"> <li>○ What is the total number of slaughter lines in the facility?</li> <li>○ How many of the lines are included in this audit.</li> <li>○ How many of the audited lines use stunning, non-stunning or both slaughter methods?</li> </ul> </li> <li>• [If stunning is used, the type of stunning method (and equipment) and back-up method]</li> <li>• For performance audits, also include confirmation that the methods described above are the same as those audited during the initial audit as part of the ESCAS.</li> </ul>

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<b>Summary of outcomes of the audit</b>	
Animal Welfare	<p><i>[Summary of the ESCAS animal welfare audit - including detail of the non-compliances raised].</i></p> <p><i>The summary must include:</i></p> <p><i>(i) method of determining audit sample size, e.g. number of animals or percentage audited</i></p> <p><i>(ii) for abattoirs, the facility's daily slaughter capacity, and the number of animals observed during the audit</i></p> <p><i>(iii) the number of slaughter lines in the facility, and how many of these were audited.</i></p> <p><i>(iv) whether the livestock were handled and slaughtered in accordance with OIE animal welfare standards</i></p> <p><i>(v) the name of the supply chain location or facility/ies where the non-compliance/s occurred, the nature of the non-compliance, and detail of any corrective action taken including whether the non-compliance is closed or not</i></p>
Control	<ol style="list-style-type: none"> <li>1. <i>Whether the exporter had documented processes and evidence of control of the supply chain from the port of discharge up to and including point of slaughter.</i></li> <li>2. <i>For facilities with multiple processing lines, describe how the exporter ensures that animals are processed in the correct ESCAS lines.</i></li> </ol> <p><i>[Summary of non-compliances raised - related to control]</i></p>
Traceability	<ol style="list-style-type: none"> <li>1. <i>Whether the exporter's traceability system ensured that the livestock were only moved to facilities listed in the ESCAS and movements of livestock between the listed facilities were recorded and reconciled.</i></li> <li>2. <i>Whether there was a loss of traceability of the livestock from the listed facilities and whether there was evidence of the livestock leaving the supply chain and/or private sales from the supply chain.</i></li> </ol> <p><i>[Summary of non-compliances raised related to traceability]</i></p>
<u>Breeding Animals</u>	<p><i>Provide confirmation of any breeding animals that left the approved supply chain during the reporting period.</i></p> <p><i>Provide confirmation that the ear tag number of each animal that left the approved supply chain during the reporting period is being held, and that the list can be supplied to the department on request.</i></p>
<u>Recommendations and list of non-compliances</u>	<p><i>Provide the audit recommendations and list the non-compliances for animal welfare, control and traceability as a single list.</i></p>
<b>Other information as deemed necessary by the auditor</b>	

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**Note:** *Audit report(s) must be provided to the Department of Agriculture and Water Resources in English. A translation from a National Accreditation Authority for Translation and Interpreters (NAATI) accredited authority is also acceptable.*