

**AUDIT ID:** 1234

<b>AUDIT DATE:</b>	<b>HANDLER:</b>	<b>CONTACT PERSON:</b>	<b>E-MAIL:</b>		
<b>AUDITOR:</b>	<b>ESCORT:</b>	<b>AUDIT SCOPE:</b>			
		LGMA General Requirements/California Verification Unannounced Audit			
<b>GROWER:</b>	<b>HARVESTER:</b>	<b>CREW:</b>	<b>RANCH:</b>	<b>BLOCK:</b>	<b>COMMODITY &amp; PACK STYLE:</b>
<b>GROWER SANITATION SERVICE:</b>			<b>HARVESTER SANITATION SERVICE:</b>		
<b>COOLER:</b>					
The review was based on the Commodity Specific Food Safety Guidelines for the Production and Harvest of Lettuce and Leafy Greens dated August 20, 2020. The following information and/or observations were noted during the audit.					

<b>AUDITOR SIGNATURE:</b>	<b>DATE:</b>
Signature on File	
<b>REVIEWER SIGNATURE:</b>	

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<b>Unannounced Observational Audit Checklist</b>			
<b>General Requirements</b>			
UA_GR 01	Is there a traceability process in place?		
UA_GR 02	Are there visitor policies/procedures in place?		
<b>Water Use</b>			
UA_WU01	From visual inspection, is there evidence that the water sources and distribution systems may pose a contamination risk (damage, inadequately maintained, evidence of animal activity, connection with effluent systems)?		
UA_WU02	If the water is reused (multi-pass), is sufficient disinfection added and monitored at routine intervals to prevent possible cross-contamination? (e.g. Chlorine-more than 1ppm free chlorine and pH 5.5-7.5 or other approved treatment per product EPA label for human pathogen reduction in water)?		
UA_WU03	If disinfectant is used during re-hydration or product coring in the field (single-pass) does the water have breakpoint disinfectant present at point of entry and does the operation monitor at routine intervals for disinfectant levels?		
UA_WU03a	Are instruments or controls used to measure, regulate, or record temperature, hydrogen ion concentration, pH, sanitizer concentration or other conditions?		
UA_WU03b	Are instruments or controls accurate and precise as necessary and appropriate for their intended use?		
UA_WU03c	Are instruments or controls adequately maintained?		
UA_WU03d	Are instruments or controls adequate in number for their intended use?		
UA_WU04	Are there any other observations of improper water use?		
<b>Soil Amendments</b>			
UA_SA 01	Is there evidence of improperly applied soil amendments?		

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UA_SA 02	Is there evidence of improperly stored soil amendments?		
UA_SA 03	Is there evident of undocumented use of soil amendments?		
UA_SA 04	Are there any other observations of improper use of soil amendments?		
<b>Environmental Factors</b>			
UA_EA 01	Is there evidence of fecal contamination in the production area?		
UA_EA 02	Is there evidence of animal intrusion or potential risk of intrusion in the production area?		
UA_EA 03	Is there evidence of non-compliance with distances as outlined in the Metrics addressing Environmental Assessments?		
UA_EA 04	Is there evidence that remedial actions such as animal barriers (fences, gates, gates, etc.) are not in good repair and operational?		
UA_EA 05	Are there any other observations of environmental risk factors?		
<b>Worker Practices</b>			
UA_WP 01	Are employees observed eating, drinking (except water), chewing tobacco or smoking in crop production or actively harvested areas?		
UA_WP 02	Are all employees observed to have washed their hands after restroom usage, work breaks, or returning to work on any occasion?		
UA_WP 03	Is there evidence that worker hygiene rules have been violated?		
UA_WP 04	Is there evidence that workers are not using restrooms?		

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UA_WP 05	Is there evidence that sanitary facilities are not routinely clean and operational?	
UA_WP 06	Is there evidence that sanitary facilities are not adequately stocked with disposable supplies?	
UA_WP 07	Are improperly stored personal items observed in the field?	
UA_WP 08	Is there evidence that workers practices for further processing have been violated?	
UA_WP 09	Were any employees observed with uncovered wounds, boils or cuts?	
UA_WP 10	Were employees observed with symptoms of infectious or contagious disease?	
UA_WP 11	Are there any other observations of improper worker practices?	
UA_WP 12	Is a specific individual assigned the food safety responsibility for harvesting?	
<b>Field Sanitation - Field and Harvest Activities SOP's</b>		
UA_FS 01	Is there evidence of cross-contamination potential of product and/or product contact surfaces?	
UA_FS 02	Is there evidence of potential cross-contamination of product (i.e. cut surface of product and contact with the ground/soil)?	
UA_FS 03	Is there evidence of the use of non-sanitized farm equipment that may have come in contact with raw manure, untreated compost, waters of unknown quality, wildlife or domestic animals?	
UA_FS 04	Is there evidence of potential cross-contamination of equipment or tools with food contact surfaces?	
UA_FS 05	Is there evidence of potential cross-contamination of containers and packing materials?	

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UA_FS 06	Is there evidence of excessive non-vegetative debris in the field?	
<b>Field Sanitation - Daily Harvest Assessment</b>		
UA_FS 07	Is a documented daily food safety harvest assessment available for review?	
UA_FS 08	Is the assessment dated?	
UA_FS 09	Is the individual who conducted the assessment identified?	
UA_FS 10	Is the harvester name and contact information documented?	
UA_FS 11	Are the specific growing blocks associated with the assessment identified?	
UA_FS 12	Did the assessment indicate that the production area was free from evidence of animal intrusion?	
UA_FS 13	If the area was not free of animal intrusion, was the animal hazard or potential risk of intrusion assessed by Food Safety Professional or Food Safety Personnel?	
UA_FS 13a	Was the animal hazard or potential risk of intrusion assessed as a "Low Hazard"?	
UA_FS 13b	If Yes, were corrective actions carried out according to company SOP?	
UA_FS 14	If the area was not free of animal intrusion, was the animal hazard or potential risk of intrusion assessed as a "Medium/High Hazard"?	
UA_FS 14a	If yes, Were corrective actions carried out per the LGMA requirements?	

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UA_FS 14b	If Yes, is documentation available to show that actions were implemented?	
UA_FS 15	Did the daily harvest assessment address changes in weather condition or weather events (e.g. severe wind, hail, freeze, excessive rain, or consecutive weather events) since the last assessment? If the assessment indicates the production area had a change in weather condition or a weather event occurred during the production period are the following addressed:	
UA_FS 15a	The potential impact on the crop or operations?	
UA_FS 15b	If the crop or operations were impacted were corrective actions carried out according to Company SOP?	
<b>Field Sanitation - Harvest Equipment, Packing Materials and Buildings</b>		
UA_FS 16	Did the Daily inspection of harvest equipment and tools that was completed prior to beginning harvest address cleaning and sanitation or change in conditions since prior sanitation?	
UA_FS 16a	Did the inspection indicate the equipment did need to be rinsed and sanitized prior to beginning daily harvest?	
UA_FS 16b	If yes, was the equipment rinsed and sanitized prior to beginning daily harvest?	
UA_FS 17	Are all chemical storage containers labeled appropriately?	
UA_FS 18	Is there evidence of improper storage of chemicals in the field?	
UA_FS 19	Are containers used only as intended?	
UA_FS 20	Is there evidence that equipment, tools, tanks, and containers are not maintained and/or clean?	

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UA_FS 21	Is there evidence of leaks and spills on equipment in the production area?	
UA_FS 22	Is there other evidence of improper field sanitation?	
<b>Transportation</b>		
UA_TR 01	Are equipment, shipping units and/or shipping containers used to transport leafy greens on the farm or from the farm to a cooling, packing, or processing facility checked for cleanliness before being utilized?	
<b>Additoinal Comments</b>		