



**UNANNOUNCED OBSERVATION AUDIT**

Approved by ECGA Board - May 10, 2013

FARM: \_\_\_\_\_

CITY/STATE: \_\_\_\_\_

CONTACT: \_\_\_\_\_

PHONE: \_\_\_\_\_

DATE OF AUDIT: \_\_\_\_\_

Signature: \_\_\_\_\_

Auditor: \_\_\_\_\_

THIS FARM: PASSED \_\_\_\_\_

Auditor - Cell Phone: \_\_\_\_\_

FAILED \_\_\_\_\_

Auditor - Email: \_\_\_\_\_

Standard #(s) that require future corrective action:  
\_\_\_\_\_  
\_\_\_\_\_

Signature: \_\_\_\_\_

**NOTES TO AUDITOR:**

1. Please fax or email the audit results to the ECGA office ASAP but at least within 24 hours of completing the audit
2. Please place a check mark or 'X' in the proper column as to whether the farm 'passed' or 'failed' each standard
3. For audit standards for which an immediate corrective action can be taken to address a deficiency it is acceptable to PASS the operation for that standard when the CA has been accomplished.
4. All corrective actions plans noted to be submitted to ECGA within a specified time period (i.e.- 48 hrs, 72 hrs.) is within that time period of when the audit was completed.
5. Growers will not be given advance notice of the audit; however, they will be given the latitude when the auditor arrives they can ask for a delay audit if they have pressing production/harvest issues that day. The second audit time will also be unannounced and must be completed at that time.

#	Audit Standard	Passed	Failed	IF FAILED	Auditor NOTES
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**FIELD PRODUCTION – HARVEST AREAS:**

	<u>Water Use:</u>				
1	FP_WU	From visual inspection, there is no evidence that the water sources and distribution systems may pose a contamination risk (damage, inadequately maintained, evidence of animal activity, connection with effluent systems)?	<input type="checkbox"/>	<input type="checkbox"/>	A risk assessment must be conducted by the grower within 24 hours, and appropriate action, including but not limited to recall or withdrawal, taken to ensure potentially contaminated product has not been and will not be shipped. Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.

2	FP_WU	Review of field irrigation water testing records prior to use and subsequent monthly testing records.	<input type="checkbox"/>	<input type="checkbox"/>	<p>(A) If water has never been tested <u>IMMEDIATE REVOCATION of ECGA CERTIFICATION</u>. Grower must then re-apply and be re-certified. The ECGA should review the Grower's current audit to determine if Testing was noted as compliant in the most recent GFSI audit with ECGA rider. Discrepancies in audit results shall be reviewed by the ECGA to determine necessary action.</p> <p>(B) Failure to do follow up tests, outside of a 5 day window on the current monthly cycle, requires immediate testing (within 24 hrs) be conducted, and that no harvest be conducted until testing with satisfactory results has occurred.</p> <p>(C) If grower is within a 5 day window of the current monthly cycle testing must occur within 48 hours of audit if past history is in compliance. If history is not within compliance must follow (B) above. (D) All test results for (B) and (C) shall be submitted to ECGA and ECGA shall determine if a followup audit is required and when such audit should occur.</p>
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	<u>Soil Amendments:</u>				
3	FP_SA	No evidence of recent manure application	<input type="checkbox"/>	<input type="checkbox"/>	Evidence of manure application - <u>IMMEDIATE REVOCATION of ECGA Certification</u> . Reapplication next growing season.

4	FP_SA	No evidence of improperly stored soil amendments or potential contamination by soil amendments	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action required within 48 hours to pass. Failure to take action within 48 hours results in the REVOCATION of the ECGA Certification.
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	<u>Environmental Factors:</u>				
5	FP_EF	No evidence of fecal contamination in the field?	<input type="checkbox"/>	<input type="checkbox"/>	If failed - corrective action required within 48 hours to pass and contaminated area quarantined. Evidence of fecal material in the production area requires immediate action by the grower, including but not limited to area quarantine pursuant to the Grower's SOP. Failure to take immediate and appropriate action results in the REVOCATION of the ECGA Certification.

6	FP_EF	No evidence of animals of significant risk in the field?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 48 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
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#	Audit Standard	Passed	Failed	IF FAILED	Auditor NOTES
7	FP_EF No evidence of recent flooding in field or fruit being submerged due to flooding.	<input type="checkbox"/>	<input type="checkbox"/>	Evidence of flooding in the production area requires immediate action by the grower, including but not limited to area quarantine pursuant to the Grower's SOP. Failure to take immediate and appropriate action results in the REVOCATION of the ECGA Certification. Corrective action taken must be reported to ECGA within 48 hours.	
	<b>Work Practices:</b>				
8	FP_WP No employees eating, drinking (except water), chewing tobacco or smoking in crop production actively harvested areas?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
9	FP_WP All employees observed to have washed their hands after; restroom usage, work breaks, or any returning to work occasion?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
10	FP_WP No evidence that sanitary facilities are not routinely clean and operational?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
11	FP_WP No evidence that worker hygiene rules have been violated during the crop cycle?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
12	FP_WP No evidence that sanitary facilities are not adequately stocked with disposable supplies?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
13	FP_WP No improperly stored personal items observed in the field?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
14	FP_WP No evidence or observations that employees are not using the restrooms?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
15	FP_WP No employees with uncovered wounds, boils or cuts?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
16	FP_WP No employees with symptoms of infection or contagious disease?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	
17	FP_WP No other observations of improper work practices?	<input type="checkbox"/>	<input type="checkbox"/>	Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.	

#	Audit Standard	Passed	Failed	IF FAILED	Auditor NOTES
	<b>Field Sanitation:</b>				
18	FP_FS No 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?	<input type="checkbox"/>	<input type="checkbox"/>		A risk assessment must be conducted by the grower within 24 hours, and appropriate action taken to ensure potentially contaminated product has not been and will not be shipped. Corrective action must be submitted by the Grower to the ECGA within 48 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
19	FP_FS No evidence of other cross-contamination potential of product and/or product contact surfaces?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
20	FP_FS No evidence of harvest tools not stored appropriately in containers with sanitizing solution when not in use.	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
	<b>General Requirements:</b>				
21	FP_GR Is a specific individual assigned the food safety responsibility for harvesting?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.

**POST-HARVEST PACKING FACILITY:**

	<b>Sanitary Conditions:</b>				
22	PF_SC From visual inspection, there is no evidence of unsanitary conditions, standing water, birds and pest nesting, rodent droppings, etc.	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be taken within 24 hours and submitted by the Grower to the ECGA within 48 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
23	PF_SC No employees eating, drinking (except water), chewing tobacco or smoking outside of the designated break areas?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
24	PF_SC All employees observed to have washed their hands after; restroom usage, work breaks, or any returning to work occasion?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
25	PF_SC No evidence that sanitary facilities are not routinely clean and operational?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
26	PF_SC No evidence that that worker hygiene rules have been violated in the packing facility?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
27	PF_SC No evidence or observations that employees are not using the restrooms?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
28	PF_SC No employees with uncovered wounds, boils or cuts?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.
29	PF_SC No employees with symptoms of infection or contagious disease?	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours of the audit. The ECGA shall determine if a followup audit is required and when such audit should occur.

#	Audit Standard	Passed	Failed	IF FAILED	Auditor NOTES
<b>Environmental and Water Testing:</b>					
30	PF_EWT From visual inspection, there is no evidence that the packing facility water sources and distribution systems may pose a contamination risk (damage, inadequately maintained, evidence of animal activity, connection with effluent systems)?	<input type="checkbox"/>	<input type="checkbox"/>		A risk assessment must be conducted by the grower within 24 hours, and appropriate action, including but not limited to recall or withdrawal, taken to ensure potentially contaminated product has not been and will not be shipped. Corrective action must be submitted by the Grower to the ECGA within 72 hours of the audit. The ECGA shall determine if a followup audit is required and when such audit should occur.

31	PF_EWT Review of packing facility water testing records prior to use and subsequent monthly testing records.	<input type="checkbox"/>	<input type="checkbox"/>		<p>(A) If water has never been tested <b>IMMEDIATE REVOCATION of ECGA CERTIFICATION</b>. Grower must then re-apply and be re-certified. The ECGA should review the Grower's current audit to determine if Testing was noted as compliant in the most recent GFSI audit with ECGA rider. Discrepancies in audit results shall be reviewed by the ECGA to determine necessary action.</p> <p>(B) Failure to do follow up tests, outside of a 5 day window on the current monthly cycle, requires immediate testing (within 24 hrs) be conducted, and that no use of the packing facility conduct until testing with satisfactory results has occurred.</p> <p>(C) If grower is within a 5 day window of the current monthly cycle testing must occur within 48 hours of audit if past history is in compliance. If history is not within compliance must follow (B) above.</p> <p>(D) All test results for (B) and (C) shall be submitted to ECGA and ECGA shall determine if a followup audit is required and when such audit should occur.</p> <p>(E) If municipal water authority source is used for packing facility the most recent microbial test conducted by the government must be shown. Test should be conducted on a routine basis.</p>
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#	Audit Standard	Passed	Failed	IF FAILED	Auditor NOTES
<b>Environmental and Water Testing (con't):</b>					
32	PF_EWT Review of environmental testing conducted for Listeria and Salmonella and documentation of corrective actions taken per test results.	<input type="checkbox"/>	<input type="checkbox"/>		<p>If testing has never been conducted <b>IMMEDIATE REVOCATION of ECGA CERTIFICATION</b>. If positive results are recorded and no corrective action listed - <b>IMMEDIATE REVOCATION of ECGA Certificate</b>. Grower must then re-apply and be re-certified.</p> <p>The ECGA shall review the Grower's most recent GFSI audit with ECGA Rider to determine if Testing was noted as compliant in the audit. Discrepancies in audit results shall be reviewed by the ECGA to determine necessary action. Environmental monitoring program must include corrective actions taken if positive(s) are found on food contact surfaces.</p>
33	PF_EWT No evidence of facility reusing corrugated containers for packing products.	<input type="checkbox"/>	<input type="checkbox"/>		Corrective action must be submitted by the Grower to the ECGA within 72 hours. The ECGA shall determine if a followup audit is required and when such audit should occur.

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34 PF\_EWT No evidence of fruit coming in contact with any materials that cannot be sanitized, including carpet, during harvest or packing operations.



If carpet or other porous material is used and contacting fruit - IMMEDIATE REVOCATION of ECGA CERTIFICATION. Grower must then re-apply and be re-certified. The ECGA shall review the Grower's most recent GFSI audit with ECGA Rider to determine if such item was noted as compliant in the audit. Discrepancies in audit results shall be reviewed by the ECGA to determine necessary action.

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