

**Sustainability Standard Auditor Assessment**

V1.0, published September 13, 2023

*The following form should be completed by an approved auditor with an approved Certification Body.*

<b>Auditor:</b>	<b>Assessor:</b>
<b>Certification Body:</b>	<b>Audit Date:</b>
<b>Audited Organization:</b>	<b>Registration Number:</b>
<b>Products Audited:</b>	<b>Location (City, State and Country):</b>
<b>Type(s) of Operation Audited:</b>	
<input type="checkbox"/> Organization <input type="checkbox"/> Farm <input type="checkbox"/> Facility	
<b>Assessment Type:</b>	
<input type="checkbox"/> Witness assessment <input type="checkbox"/> Desk review	

General Assessment				
Section 1	#	Question	Y/N/NA	Comments
Personal Attributes	01.01	Was the auditor punctual?		
Personal Attributes	01.02	Was the auditor wearing suitable and appropriate clothing for the operation?		
Section 2	#	Question	Y/N/NA	Comments
Opening Meeting	02.01	Did the auditor confirm organization details and scope of the audit(s) to be conducted (operations, commodities, scheme version, etc.)?		
Opening Meeting	02.02	Did the auditor confirm that the operation was in production, confirm what was in production and confirm that they would see as much of normal operations as possible?		

Section 3	#	Question	Y/N/N	Comments
Audit Execution	03.01	Did the auditor show a logical and workable approach to the order in which sections/areas were audited?		
Audit Execution	03.02	Did the auditor bring and/or carry a copy of the relevant and up-to-date audit checklist(s) and associated normative documents (either paper or electronic copies) for the operation(s) to be audited?		
Audit Execution	03.03	Did the auditor take sufficient notes on their findings throughout the audit?		
Audit Execution	03.04	Did the auditor adequately and appropriately sample information (i.e., did he/she review enough documentation and observe enough of the operation to justify the audit scores and report)?		
Audit Execution	03.05	Did the auditor limit the amount of verbal verifications?		
Audit Execution	03.06	Did the auditor avoid making any suggestions, product or service endorsements or any other information that could be interpreted as consulting?		
Audit Execution	03.07	Overall, did the auditor appear to have the required agricultural production and sustainability knowledge and experience required for the product and process being audited?		
Audit Execution	03.08	Overall, did the auditor understand and apply the Audit Checklist and Guidelines throughout the audit?		
Section 4	#	Question	Y/N/NA	Comments
Organization-Level Assessment	04.01	Was the auditor's evaluation of the "Environmental Certifications" section satisfactory?		
Organization-Level Assessment	04.02	Was the auditor's evaluation of the "Policies" section satisfactory?		
Organization-Level Assessment	04.03	Was the auditor's evaluation of the "Air Quality" section satisfactory?		
Organization-Level Assessment	04.04	Was the auditor's evaluation of the "Water Conservation" section satisfactory?		

Organization-Level Assessment	04.05	Was the auditor’s evaluation of the “Energy Conservation” section satisfactory?		
Organization-Level Assessment	04.06	Was the auditor’s evaluation of the “Waste and Recycling” section satisfactory?		
Organization-Level Assessment	04.07	Was the auditor’s evaluation of the “Worker Safety and Welfare” section satisfactory?		
Organization-Level Assessment	04.08	Was the auditor’s evaluation of the “Sustainability and Stewardship” section satisfactory?		
Organization-Level Assessment	04.09	Was the auditor’s evaluation of the “Informational” section satisfactory?		
<b>Section 5</b>	<b>#</b>	<b>Question</b>	<b>Y/N/NA</b>	<b>Comments</b>
Farm-Level Assessment	05.01	Was the auditor’s evaluation of the “Biodiversity and Environmental Protection” section satisfactory?		
Farm-Level Assessment	05.02	Was the auditor’s evaluation of the “Environmental Emergency Management” section satisfactory?		
Farm-Level Assessment	05.03	Was the auditor’s evaluation of the “Fertilizer and Pesticide Drift” section satisfactory?		
Farm-Level Assessment	05.04	Was the auditor’s evaluation of the “Soil Health” section satisfactory?		
Farm-Level Assessment	05.05	Was the auditor’s evaluation of the “Water Conservation” section satisfactory?		
Farm-Level Assessment	05.06	Was the auditor’s evaluation of the “Energy Conservation” section satisfactory?		
Farm-Level Assessment	05.07	Was the auditor’s evaluation of the “IPM and Nutrient Management” section satisfactory?		
Farm-Level Assessment	05.08	Was the auditor’s evaluation of the “Informational” section satisfactory?		
<b>Section 6</b>	<b>#</b>	<b>Question</b>	<b>Y/N/NA</b>	<b>Comments</b>
Facility-Level Assessment	06.01	Was the auditor’s evaluation of the “Biodiversity and Environmental Protection” section satisfactory?		
Facility-Level Assessment	06.02	Was the auditor’s evaluation of the “Environmental Emergency Management” section satisfactory?		
Facility-Level Assessment	06.03	Was the auditor’s evaluation of the “Water Conservation” section satisfactory?		

Facility-Level Assessment	06.04	Was the auditor’s evaluation of the “Energy Conservation” section satisfactory?		
---------------------------	-------	---	--	--

Section 7	#	Question	Y/N/NA	Comments
Closing Meeting	07.01	Did the auditor reiterate and confirm the audit scope, products, confidentiality and other disclaimers?		
Closing Meeting	07.02	Did the auditor present a summary of the non-conformances to the auditee, taking care not to speculate about either the score or the auditee's pass/fail status?		
Closing Meeting	07.03	Did the auditor ask for and discuss any questions or concerns?		
Closing Meeting	07.04	Did the auditor outline next steps, e.g. report timing, corrective action procedures, etc.?		
Section 8	#	Question	Y/N/NA	Comments
Audit Report	08.01	Was the preliminary report submitted within the time frame specified in the General Regulations (15 calendar days)?		
Audit Report	08.02	Was the Audit Report written properly in terms of clarity, grammar and spelling?		
Audit Report	08.03	Do the comments contain sufficient information to support the score assignments? Were scores correctly assigned for issues observed?		
Audit Report	08.04	Do the non-conformances in the report provide enough detail for the auditee to evaluate the necessary corrective actions?		
Audit Report	08.05	Did the auditor avoid writing any suggestions, product or service endorsements or any other information that could be interpreted as consulting?		
Audit Report	08.06	Did the auditor correctly enter the audit details into the report?		

<b>Assessment Outcomes</b>	
<b>Action points from assessment</b> (issues for auditor to address for future audits):	
<b>Assessment outcome discussed with auditor?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Auditor agreed to the Assessment comments?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> N/A
<b>Auditor comments, if any:</b>	
<b>Recommendation from assessor:</b>	
Approval for Sustainability Standard audits? <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Provisional (add details below)	
<b>Conditions for provisional approval:</b>	