

# GRANJERO DE BAUER

## ORGANIC INTERNAL AUDIT CHECKLIST AND SCORING HANDBOOK

*Certification-grade inspection guide, scorecard, evidence framework, and corrective action toolkit*

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Controlled document. Use the current approved version only.

## Preface

This handbook converts the Granjero de Bauer Organic Standard into a field-ready internal audit tool. It is designed for inspectors, internal control staff, farm managers, and certification coordinators who need a practical system for verifying compliance, grading risk, recording findings, and closing corrective actions.

### How to use this handbook

- Use Sections 1–7 to plan and conduct the audit.
- Use Sections 8–15 as the clause-by-clause checklist and scoring sheets.
- Use Sections 16–20 to classify findings, issue corrective actions, and summarize certification readiness.
- Use the annex forms as printable working papers during field inspections, internal reviews, or mock certification audits.

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## 1. Purpose, scope, and audit philosophy

This handbook covers organic crop production, livestock, greenhouse production, input control, storage, labeling, marketing, labour compliance, environmental stewardship, and wild collection within the scope of the Granjero de Bauer Organic Standard.

Internal audits are intended to test system effectiveness before external certification assessments, identify control gaps early, and drive continual improvement rather than merely produce paperwork.

The audit approach is risk-based. High-risk operations such as contamination-prone fields, bought-in feed, conversion parcels, livestock medicines, water-scarce irrigation, and purchased goods require deeper verification and more direct evidence.

### Practical auditor note

Do not rely on a single evidence source. For important findings, verify through at least two of the following: physical observation, operator interview, and document/record review.

## 2. Audit roles and competence requirements

Internal auditors shall be independent from the activity being audited as far as practicable and shall understand the organic standard, farm operations, traceability logic, and evidence review.

A lead auditor coordinates the plan, sampling, scoring, opening and closing meetings, and report issue. Technical resource persons may support specialist topics such as livestock, greenhouse production, residue risk, labour compliance, or wild collection.

All auditors should be trained in interviewing, note-taking, non-conformity grading, root cause analysis, and respectful field conduct.

### Practical auditor note

Do not rely on a single evidence source. For important findings, verify through at least two of the following: physical observation, operator interview, and document/record review.

## 3. Audit types, frequency, and planning

Conduct at least one full-system internal audit annually for each certified or conversion unit.

Use targeted follow-up audits for high-risk activities, unresolved major non-conformities, complaint investigations, residue alerts, new sites, and major operational changes.

Prepare an audit plan showing date, scope, team, areas to visit, records to review, personnel to interview, and expected timing.

### Practical auditor note

Do not rely on a single evidence source. For important findings, verify through at least two of the following: physical observation, operator interview, and document/record review.

## 4. Scoring model and rating logic

Each checklist clause is scored on a 0–5 scale. Score 5 means fully compliant and consistently evidenced. Score 3 means partially compliant with moderate gaps. Score 0 means absent control or unacceptable practice.

Critical clauses are weighted more heavily. These include contamination prevention, prohibited input control, GMO exclusion, water safety where applicable, livestock medication control, traceability, segregation, and corrective action closure.

Any critical non-conformity overrides the numeric score and prevents a recommendation of full compliance until closed and verified.

### **Practical auditor note**

Do not rely on a single evidence source. For important findings, verify through at least two of the following: physical observation, operator interview, and document/record review.

## **5. Non-conformity grading and escalation**

Critical: confirmed use of prohibited input, fraudulent representation, loss of organic integrity, serious traceability breakdown, or severe worker safety breach.

Major: significant control weakness likely to compromise compliance if not corrected promptly, such as missing records on purchased feed, absent conversion maps, incomplete livestock medicine controls, or poor storage segregation.

Minor: isolated lapse with limited immediate risk, such as incomplete signatures, late filing, missing dates on one or two logs, or minor housekeeping weakness.

### **Practical auditor note**

Do not rely on a single evidence source. For important findings, verify through at least two of the following: physical observation, operator interview, and document/record review.

## **6. Evidence standards and sampling rules**

Evidence may include direct observation, interviews, records, stock checks, field walks, labels, invoices, maps, residue results, stock reconciliation, and photograph references where permitted.

Cross-check records against physical reality. A log is only credible if the field, herd, store, or stock position matches what the record claims.

Sample more deeply where risk is higher, records are inconsistent, or operator explanations are weak.

### **Practical auditor note**

Do not rely on a single evidence source. For important findings, verify through at least two of the following: physical observation, operator interview, and document/record review.

## **7. Audit workflow and reporting protocol**

Opening meeting: confirm scope, team, time plan, records availability, safety requirements, and any changes since the last audit.

Field and record verification: walk the site, inspect fields and facilities, review records, interview staff, test traceability, and note both positive controls and weaknesses.

Closing meeting: explain findings clearly, agree due dates, identify immediate containment actions, and issue the report and corrective action request package.

## Practical auditor note

Do not rely on a single evidence source. For important findings, verify through at least two of the following: physical observation, operator interview, and document/record review.

Ref	Audit checkpoint	Weight	Score 0–5	Evidence seen	NC grade	Action required
8.1	Valid registration, certification status, and scope are current and documented	3				
8.2	All sites, parcels, units, and storage locations are listed and mapped	5				
8.3	Conversion plan exists and reflects actual practice and timelines	5				
8.4	Changes in land, livestock, or major processes are reported and approved	4				
8.5	Document control, filing, and retrieval are orderly and current	3				
8.6	Management review and training records support organic compliance	2				
8.7	Complaints, incidents, and corrective actions are tracked and closed	4				

### 8. Governance, registration, and conversion checklist

Score each checkpoint from 0 to 5. Record key evidence and classify any non-conformity. Use N/A only where the clause genuinely does not apply to the audited operation.

Section subtotal notes:

<b>Key strengths observed</b>	
<b>Highest risk issue in this section</b>	
<b>Immediate containment action required</b>	

### 9. Crop production and soil management checklist

Score each checkpoint from 0 to 5. Record key evidence and classify any non-conformity. Use N/A only where the clause genuinely does not apply to the audited operation.

Ref	Audit checkpoint	Weight	Score 0–5	Evidence seen	NC grade	Action required
9.1	Field histories and crop rotations are documented and implemented	4				

9.2	Soil fertility plan is based on compost, organic matter, and approved inputs	5				
9.3	Prohibited fertilizers, pesticides, GMOs, and nanomaterials are excluded	5				
9.4	Manure, compost, and amendments are sourced, handled, and applied correctly	4				
9.5	Contamination risks from neighbours, roads, flooding, or drift are controlled	5				
9.6	Biodiversity, erosion control, and habitat measures are visible and maintained	3				
9.7	Input purchase and usage logs reconcile with stock and field application	4				

Section subtotal notes:

<b>Key strengths observed</b>	
<b>Highest risk issue in this section</b>	
<b>Immediate containment action required</b>	

## 10. Water management and irrigation checklist

Score each checkpoint from 0 to 5. Record key evidence and classify any non-conformity. Use N/A only where the clause genuinely does not apply to the audited operation.

Ref	Audit checkpoint	Weight	Score 0–5	Evidence seen	NC grade	Action required
10.1	Water sources are identified, lawful, and suitable for intended use	5				
10.2	Water-scarcity obligations and management plans are implemented where relevant	4				
10.3	Irrigation systems are maintained to prevent leakage and waste	3				

10.4	Runoff, wastewater, and contamination pathways are controlled	5				
10.5	Water measurement, optimization actions, and maintenance records are current	3				

Section subtotal notes:

<b>Key strengths observed</b>	
<b>Highest risk issue in this section</b>	
<b>Immediate containment action required</b>	

## 11. Livestock and animal welfare checklist

Score each checkpoint from 0 to 5. Record key evidence and classify any non-conformity. Use N/A only where the clause genuinely does not apply to the audited operation.

Ref	Audit checkpoint	Weight	Score 0–5	Evidence seen	NC grade	Action required
11.1	Livestock origin, conversion status, and identification are traceable	5				
11.2	Feed sourcing and storage protect organic integrity	5				
11.3	Housing, outdoor access, bedding, water, and welfare standards are met	5				
11.4	Veterinary treatment and medicine controls are compliant and recorded	5				
11.5	Young stock feeding, weaning, and species-specific welfare are appropriate	3				
11.6	Animal movements, mortality, culling, and pasture access are recorded	4				

Section subtotal notes:

<b>Key strengths observed</b>	
<b>Highest risk issue in this section</b>	
<b>Immediate containment action required</b>	

## 12. Greenhouse and intensive vegetable checklist

Score each checkpoint from 0 to 5. Record key evidence and classify any non-conformity. Use N/A only where the clause genuinely does not apply to the audited operation.

Ref	Audit checkpoint	Weight	Score 0-5	Evidence seen	NC grade	Action required
12.1	Greenhouse scope, beds, and production units are clearly identified	3				
12.2	Soil or substrate system complies with approved organic requirements	5				
12.3	Nutrient planning, nitrogen balance, and residue risk checks are in place	4				
12.4	Seedlings, pots, media, and intensive inputs are controlled and traceable	4				
12.5	Energy use, ventilation, hygiene, and crop health controls are practical and effective	3				

Section subtotal notes:

<b>Key strengths observed</b>	
<b>Highest risk issue in this section</b>	
<b>Immediate containment action required</b>	

## 13. Storage, labeling, sales, and traceability checklist

Score each checkpoint from 0 to 5. Record key evidence and classify any non-conformity. Use N/A only where the clause genuinely does not apply to the audited operation.

Ref	Audit checkpoint	Weight	Score 0–5	Evidence seen	NC grade	Action required
13.1	Organic, in-conversion, and non-compliant goods are segregated	5				
13.2	Stores are clean, secure, and free from prohibited contamination risk	4				
13.3	Purchased goods and own-farm goods are separately controlled and traceable	5				
13.4	Labels, logo use, and organic claims are approved and accurate	5				
13.5	Mass balance and product flow tests can be completed successfully	5				
13.6	Dispatch and sales records reconcile with stock and production volumes	4				

Section subtotal notes:

<b>Key strengths observed</b>	
<b>Highest risk issue in this section</b>	
<b>Immediate containment action required</b>	

## 14. Labour and social compliance checklist

Score each checkpoint from 0 to 5. Record key evidence and classify any non-conformity. Use N/A only where the clause genuinely does not apply to the audited operation.

Ref	Audit checkpoint	Weight	Score 0–5	Evidence seen	NC grade	Action required
14.1	Employment relationships are documented and lawful	4				
14.2	No forced labour, discrimination, or abusive practice is evident	5				
14.3	Wages, hours, overtime, and benefits records are available and credible	4				
14.4	Health, safety, training, and incident management	4				

	controls are functioning					
14.5	Child work, family labour, and vulnerable worker risks are appropriately controlled	4				

Section subtotal notes:

<b>Key strengths observed</b>	
<b>Highest risk issue in this section</b>	
<b>Immediate containment action required</b>	

## 15. Wild collection and specialized operation checklist

Score each checkpoint from 0 to 5. Record key evidence and classify any non-conformity. Use N/A only where the clause genuinely does not apply to the audited operation.

Ref	Audit checkpoint	Weight	Score 0-5	Evidence seen	NC grade	Action required
15.1	Wild collection areas are mapped, approved, and ecologically managed	5				
15.2	Collectors are trained, authorized, and monitored	4				
15.3	Harvest volumes, seasons, and residue risk controls are documented	4				
15.4	Specialized operations not fully covered elsewhere have defined control procedures	3				

Section subtotal notes:

<b>Key strengths observed</b>	
<b>Highest risk issue in this section</b>	
<b>Immediate containment action required</b>	

## 16. Opening meeting sheet

### Audit details

<b>Site / unit audited</b>	
<b>Audit type</b>	
<b>Audit date</b>	
<b>Lead auditor</b>	

### Participants

<b>Name</b>	<b>Role</b>	<b>Signature / contact</b>

### Changes since last audit

<b>Change / issue 1</b>	
<b>Change / issue 2</b>	
<b>Change / issue 3</b>	
<b>Change / issue 4</b>	

## 17. Audit note sheets and interview log

<b>Person interviewed</b>	
<b>Function</b>	
<b>Topic reviewed</b>	
<b>Key statement / explanation</b>	
<b>Records cross-checked</b>	
<b>Auditor assessment</b>	

<b>Person interviewed</b>	
<b>Function</b>	
<b>Topic reviewed</b>	
<b>Key statement / explanation</b>	
<b>Records cross-checked</b>	
<b>Auditor assessment</b>	

<b>Person interviewed</b>	
<b>Function</b>	
<b>Topic reviewed</b>	
<b>Key statement / explanation</b>	
<b>Records cross-checked</b>	
<b>Auditor assessment</b>	

## 18. Corrective action request forms

<b>CAR number</b>	
<b>Clause reference</b>	
<b>Finding summary</b>	
<b>Risk / impact</b>	
<b>NC grade</b>	
<b>Containment action</b>	
<b>Root cause</b>	
<b>Corrective action</b>	
<b>Responsible person</b>	
<b>Due date / verification result</b>	

<b>CAR number</b>	
<b>Clause reference</b>	
<b>Finding summary</b>	
<b>Risk / impact</b>	
<b>NC grade</b>	
<b>Containment action</b>	
<b>Root cause</b>	
<b>Corrective action</b>	
<b>Responsible person</b>	
<b>Due date / verification result</b>	

## 19. Scoring summary and certification recommendation

<b>Section</b>	<b>Weighted score</b>	<b>Possible score</b>	<b>%</b>	<b>Comment</b>
Governance and conversion				
Crop production				
Water				
Livestock				
Greenhouse				
Storage and sales				
Labour				
Wild collection / specialized				

Overall result				
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### Recommendation options

- Recommend continued approval
- Recommend approval subject to corrective action closure
- Do not recommend approval at this time
- Escalate for management / certification review

## 20. Annual internal audit programme template

Month	Unit / site	Audit type	Risk driver	Lead	Planned date	Status	Follow-up due
Jan							
Feb							
Mar							
Apr							
May							
Jun							
Jul							
Aug							
Sep							
Oct							
Nov							
Dec							

## Annex A. Scoring scales

Score	Meaning	Typical condition
5	Full compliance	Control is effective, current, and supported by consistent evidence
4	Good compliance	Minor isolated weakness but system remains strong

3	Partial compliance	Control exists but is inconsistent or incompletely implemented
2	Weak compliance	Significant gap; high likelihood of repeated failure
1	Very weak	Minimal evidence of control; practice mostly unmanaged
0	Absent / unacceptable	No control, false claim, or clearly unacceptable practice

### Annex B. Sample sizes and evidence guide

- Review all high-risk approvals and exceptions, not just a sample.
- For routine logs, sample at least three months spread across the year, or more where the season is short or activity is concentrated.
- For livestock medicines, review every treatment event since the previous audit.
- For product flow, test at least one finished product or harvest stream back to input and field / herd source.
- For labour compliance, interview a mix of permanent, seasonal, and supervisor personnel where applicable.

### Annex C. Printable checklists

#### Quick field walk checklist

Item	Yes	No	Comment

#### Store inspection checklist

Item	Yes	No	Comment


Livestock welfare spot-check

Item	Yes	No	Comment

Water and irrigation spot-check

Item	Yes	No	Comment

Closing meeting action list

Item	Yes	No	Comment

## Annex D. Forms and registers

### Auditor day plan

<b>Form ID / date</b>	
<b>Operation / site</b>	
<b>Purpose</b>	
<b>Entries</b>	
<b>Reviewer sign-off</b>	

### Evidence item register

<b>Form ID / date</b>	
<b>Operation / site</b>	
<b>Purpose</b>	
<b>Entries</b>	
<b>Reviewer sign-off</b>	

### Photograph reference log

<b>Form ID / date</b>	
<b>Operation / site</b>	
<b>Purpose</b>	
<b>Entries</b>	
<b>Reviewer sign-off</b>	

### Sample submission register

<b>Form ID / date</b>	
<b>Operation / site</b>	
<b>Purpose</b>	
<b>Entries</b>	
<b>Reviewer sign-off</b>	

### Non-conformity tracker

<b>Form ID / date</b>	
<b>Operation / site</b>	
<b>Purpose</b>	
<b>Entries</b>	
<b>Reviewer sign-off</b>	

### Verification visit record

<b>Form ID / date</b>	
<b>Operation / site</b>	
<b>Purpose</b>	
<b>Entries</b>	
<b>Reviewer sign-off</b>	

### Management review follow-up log

<b>Form ID / date</b>	
<b>Operation / site</b>	
<b>Purpose</b>	
<b>Entries</b>	
<b>Reviewer sign-off</b>	