Process Improvement Audit Checklist

This worksheet is designed to assist you in identifying areas in your business where it may be appropriate to standardize process and document SOPs, GAPs, or BMPs. Inventory which of these apply to your business, place an "X" in columns that apply, and note which organizational unit in your business has lead responsibility to initiate and/or administrate the topical area.

Process Improvement Area (Place an "X" in the columns that apply.)	Applies to Us	Have it in place	Organization Unit or Person with Lead Responsibility
Management System			
Mission, Vision and Core Values			
Farm History			
Goals and Objectives-updating process			
Strategic Planning Process			
Organization Chart/Job descriptions			
Policy Handbook			
Critical agreements documentation (buyout agreements, estate plans & wills, lease arrangements			
Human Resource Mgmt			
Job Announcement, application & interview processes			
Job Descriptions, org. charts & Performance Standards			
Training and orientation checklists; EEOC postings			
Compensation Policy and Payroll procedures			
Administration of employee benefits, vacation, sick leave			
Performance Appraisals /Employee Development Plans			
Office Functions			
Database management system			
Computer Access, backup & security protocols			
Network and internet documentation			
Filing system & records retention protocols			
Financial & Risk Management Processes			
Financial statement preparation & circulation			
Project Control Checklist for year-end adjustments, book closing procedures, federal and state PR & 1099 reports			
Audits – inventory & supplies			
Enterprise Profitability and Cost Center Tracking			
Ratio analysis procedures			
Cashflow budgeting process			
Field and livestock herd records updating procedures			
Partner capital account-base & target capital review			
Crop/liability insurance programs coverage process			
Equipment Servicing/Harvest Operations			
Equipment Servicing checklists -			
Annual maintenance planning processes			
Power unit chassis inspection checklists			
Shop protocols			
Harvest preparation – staff orientation meeting			

Process Improvement Area (Place an "X" in the columns that apply.)	Applies to Us	Have it in place	Organization Unit or Person with Lead Responsibility
Equipment Servicing/Harvest Operations (cont'd)			
On farm grain storage, drying & scale weight protocols			
Driving courtesy & safety expectations			
Field burning rules & procedures			
Winterization procedures and checklists			
Fuel & Supply Storage			
Security procedures – storage & access locations			
Waste disposition			
Spill prevention systems (i.e. Fuel SPCC)			
Open container rules and identification protocols			
Equipment & rolling stock fueling protocols			
Safety			
Common hazards & warnings/OSHA preparedness			
Safety audit protocols & training – internal vs. external			
Transport/cargo security			
Eye, ear, breathing protection			
Protective clothing requirements – product handling			
Job Site rules-visitor orientation, riders, cell phone use			
Confined space lock-out/tag-out			
Herd Health/Animal Care			
Waste disposal protocols – CAFO			
Herd health protocols – timing, purpose & products			
Animal Care Statement & handling expectations			
Quality Assurance–injection/withdrawal protocols			
Animal Identification procedures & traceback protocols			
Manure management/composting			
Agronomic/Pest Management			
Nutrient management plan			
Integrated Pest Management Plan (IPM)			
Stewardship program documentation requirements(CSP)			
Precision Ag/Variable Rate prescription map SOPs			
Field records – field activity, scouting, inputs			
Food Safety			
Hand washing, hygiene requirements			
Rodent control			
Traceability procedures			
Clothing & jewelry policy			
Waste disposal/composting procedures			
Sanitation-containers, harvesting equipment			
Risk separation – field equipment vs. processing plant			