



when food safety counts

Food Safety Audit

Harvest Crew v07.04

Auditor: _____

Date Sent: _____ * Date Received: _____

Audit Start: Time/Date:: _____ Audit End: Time/Date:: _____

Foreman/Contact: _____

Crew Name or Number: _____

City/Location: _____

State: _____

Country: _____

Scope: _____

G.P.S.: _____

Commodities: _____

Customer: _____

Grower: _____

Ranch/Farm Name: _____

Buyer: _____

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Inspection

Max. point value

Verified

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|--------|---|----|--|--|
| 01.01 | Have self-audits been completed for each harvest crew? | 5 | | |
| 01.02 | Was a pre-harvest inspection performed on the block being harvested and was the block cleared for harvest? If NO, go to 1.3. | 5 | | |
| 01.02a | Where pre-harvest inspections have discovered issues, have buffer zones been clearly identified and at the time of the audit, are these buffer zones being respected? | 15 | | |
| 01.03 | Are there records of daily pre-operation inspections that check key aspects of equipment hygiene, personal hygiene, etc.? | 5 | | |
| 01.04 | Is there a documented and implemented policy that when commodities are dropped on the ground they are discarded? (Non-applicable for commodities such as tubers, root crops, etc.) | 5 | | |
| 01.05 | Is there a food safety hygiene training program covering new and existing employees and are records of these training events? | 15 | | |
| 01.06 | Is there is a documented and implemented policy stating what happens when harvesters find evidence of animal intrusion e.g. fecal material? | 5 | | |

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Employee Activities & Sanitary Facilities

Max. point value

Verified

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|--------|---|---|--|--|
| 02.01 | Are there any employees observed with improperly covered open wounds? | 5 | | |
| 02.02 | Are any employees eating and drinking (other than water) in active harvest areas, areas yet to be harvested, near harvested product or storage areas? | 5 | | |
| 02.03 | Are any employees using tobacco products in active harvest areas, areas yet to be harvested, near harvested product or storage areas? | 5 | | |
| 02.04 | Is it evident the clothing harvesters are wearing is not posing a cross contamination risks? | 5 | | |
| 02.05 | Is it evident that employees are free of exposed jewelry (that may pose a foreign contamination issue) except for a single plain ring? | 5 | | |
| 02.06 | Where gloves are required by the auditee, are they appropriate for the type of harvesting (i.e., not using cotton gloves for harvesting a product such as lettuce) and are they in good working order? | 5 | | |
| 02.06a | Where gloves are used, are they latex-free? | 0 | | |

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|--------|---|----|--|--|
| 02.07 | If any protective clothing is required by the auditee (e.g., gloves, aprons, sleeves) are they removed prior to using restrooms, going on breaks, etc? | 5 | | |
| 02.07a | Are secondary hand sanitation stations (e.g., hand dip, gel or spray stations) adequate in number and location? Are the stations maintained properly? NOTE: Secondary hand sanitation does not replace hand washing requirements (lack surfactant qualities). | 5 | | |
| 02.08 | Are there operational toilet facilities provided? If this question is answered No, the audit will result in an automatic failure. If No, go to 2.9 | 20 | | |
| 02.08a | Are toilet facilities located in a suitable area and within ¼ mile or 5 minutes walking distance of all employees? | 10 | | |
| 02.08b | Are toilet facilities in a suitable location to prevent contamination to product, packaging, equipment, and growing areas? | 15 | | |
| 02.08c | Are separate toilet facilities provided for men and women in groups larger than 5 employees? | 5 | | |
| 02.08d | Is a minimum of one toilet facility provided for each group of 20 employees? | 10 | | |
| 02.08e | Do toilet facilities have visuals or signs, written in the appropriate languages, reminding employees to wash their hands before returning to work? | 5 | | |

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|--------|---|----|--|--|
| 02.08f | Are toilets supplied with toilet paper and is the toilet paper maintained properly (e.g. toilet paper rolls not stored on the floor or in the urinals)? | 5 | | |
| 02.08g | Are the toilets maintained in a clean condition? | 10 | | |
| 02.08h | Are toilets constructed of materials that are easy to clean? | 2 | | |
| 02.08i | Are the toilet's construction materials of a light color allowing easy evaluation of cleaning performance? | 2 | | |
| 02.08j | Is there a documented and implemented policy that if portable toilets are used, waste is disposed of properly and the units are cleaned in an appropriate location? | 5 | | |
| 02.08k | Are there toilet cleaning records and for portable toilets, are there servicing records? | 2 | | |
| 02.08l | If used, are catch basins of the toilets designed and maintained to prevent contamination (e.g. free from leaks and cracks)? | 5 | | |
| 02.08m | Are the toilet catch basins emptied properly? | 5 | | |

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|--------|--|----|--|--|
| 02.09 | Is there evidence of human fecal contamination in the growing area? If this Yes, an automatic failure of the audit will occur. | 20 | | |
| 02.10 | Are operational hand washing facilities provided? If No, go to 2.11, If this question is answered No, an automatic failure of the audit will occur. | 20 | | |
| 02.10a | Are the hand washing facilities placed within ¼ mile or 5 minutes walking distance of all employees? | 15 | | |
| 02.10b | Are hand wash stations clearly visible (e.g. situated outside the toilet facility) and easily accessible to workers? | 2 | | |
| 02.10c | In the event of running out of toilet materials (e.g., water, soap, toilet tissue, hand paper towels) are there extra supplies readily available so that toilets can be restocked quickly? | 5 | | |
| 02.10d | Is soap made available at all hand washing facilities? If No, go to 2.10f. | 10 | | |
| 02.10e | Is non-perfumed soap available? | 5 | | |
| 02.10f | Are single-use towels available at all hand washing facilities and trash cans for them? | 10 | | |

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|--------|---|----|--|--|
| 02.10g | Are the hand wash stations designed and maintained properly (e.g. ability to capture or control rinse water to prevent contamination onto product, packaging, and growing area, free of clogged drains, etc)? | 5 | | |
| 02.10h | Are the employees washing their hands prior to beginning work? Score NA if this discipline is not observed at the time of the audit. | 10 | | |
| 02.10i | Are the employees washing their hands after break periods? Score NA if this discipline is not observed at the time of the audit. | 10 | | |
| 02.10j | Are the employees washing their hands after using the toilet facilities? Score NA if this discipline is not observed at the time of the audit. | 15 | | |
| 02.10k | Is it evident that corrective action is taken when employees fail to comply with hand washing guidelines? | 5 | | |
| 02.11 | Is fresh potable drinking water readily accessible to employees.? If No, go to 2.12. | 7 | | |
| 02.11a | Are the water containers maintained in a clean condition? | 5 | | |
| 02.11b | Are single use cups provided (unless a drinking fountain is used) made available near the drinking water? | 7 | | |

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|--------|--|----|--|--|
| 02.12 | Are first-aid kits available and is the inventory maintained properly? | 5 | | |
| 02.13 | If observed, are all commodities that come in contact with blood destroyed? If this question is answered No, an automatic failure of the audit will occur. | 20 | | |
| 02.13a | Is there a documented and implemented policy and procedure in place and available for all commodities that come in contact with blood to be destroyed? | 5 | | |
| 02.14 | Is garbage disposed of properly in the harvested and non harvested areas? | 10 | | |
| 02.15 | Are garbage containers provided in the field for the disposal of food and beverage containers, cups, and paper towels? If No, go to 2.16. | 5 | | |
| 02.15a | Are garbage containers constructed and maintained (e.g. bags, lids) to protect against pre harvest or post harvest contamination of the crop? | 5 | | |
| 02.16 | Have any potential metal, glass, or plastic contamination issues been controlled? | 5 | | |

Harvest Practices

Max. point value

Verified

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|--------|---|----|--|--|
| 03.01 | Is the crop free of any evidence of systematic animal fecal (e.g. flocking geese, escaped cattle) contamination? If this question is answered NO, this question results in an automatic failure. | 20 | | |
| 03.02 | Is there evidence of animal activity in the crop that is a potential food safety risk? | 20 | | |
| 03.03 | Is the product packed in the final packing unit in the field ? If No, go to 3.04. | 0 | | |
| 03.03a | Is packing material (e.g. cartons, bags, clamshells, sacks, RPCs) intended for carrying product used for that purpose only? | 5 | | |
| 03.03b | Is packing material free from evidence of pest activity, foreign materials and other signs of hazardous materials? If this question is answered No, an automatic failure of the audit will occur. | 20 | | |
| 03.03c | Is packed product free from evidence of pest activity, foreign materials, hazardous materials and any adulteration issues? If this question is answered No, an automatic failure of the audit will occur. | 20 | | |
| 03.03d | Is product and packing material free from exposure to the ground and or any handling contamination? | 5 | | |
| 03.03e | Does the operation inspect packaging prior to use and is packed product inspected after packing; where contamination issues are found is corrective action taken and record? | 5 | | |

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| 03.03f | If packing material is left in the field overnight is it secured and protected? | 5 | | |
| 03.04 | Are grading and packing tables used? If No, go to 3.05. | 0 | | |
| 03.04a | Does the surface allow for easy sanitation? | 5 | | |
| 03.04b | Are grading and packing tables subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 3.05. | 5 | | |
| 03.04c | Is an anti-microbial solution (e.g. chlorinated or equivalent) used to sanitize the grading and packing tables after cleaning has occurred? | 5 | | |
| 03.04d | Are records of grading and packing tables equipment cleaning being maintained? | 5 | | |
| 03.05 | Are re-useable containers (e.g. buckets, field totes, lugs, bins) used in the harvesting operation? If No, go to 3.06. | 0 | | |
| 03.05a | Are re-useable containers made of easy to clean materials? | 5 | | |

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|--------|---|---|--|--|
| 03.05b | Are re-useable containers subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 3.05e. | 5 | | |
| 03.05c | Is an anti-microbial solution (e.g. chlorinated or equivalent) used to sanitize the re-useable containers after cleaning has occurred? | 5 | | |
| 03.05d | Are records of re-useable containers cleaning being maintained? | 5 | | |
| 03.05e | Are re-useable containers free from any handling contamination? | 5 | | |
| 03.06 | Are tools (e.g. knives, clippers, scissors, etc.) used in harvesting? If No, go to 3.07. | 0 | | |
| 03.06a | Are harvest tools (e.g. knives, coring rings, holsters) being used, made of non corrosive and easy to clean materials (e.g. no wood or fabric parts)? | 5 | | |
| 03.06b | Are harvest tools not being taken into break or toilet areas or used for any other purpose other than product harvesting? | 5 | | |
| 03.06c | Are harvest tools free from exposure to the ground and or any handling contamination? | 5 | | |

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| 03.06d | Is there an equipment and utensil (e.g. knives) storage and control procedures when not in use? | 5 | | |
| 03.06e | Are harvest tools subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 3.06h. | 5 | | |
| 03.06f | Is an anti-microbial solution (e.g. chlorinated or equivalent) used to sanitize the harvesting tools after cleaning has occurred? | 5 | | |
| 03.06g | Are records of harvesting tools cleaning being maintained? | 5 | | |
| 03.06h | Are harvesting tool dips being maintained properly in terms of anti-microbial solution strength and are records of the solutions checks being maintained? AUDITORS SHOULD REQUIRE A TEST AT THE TIME OF THE AUDIT. | 5 | | |
| 03.07 | Is machinery used in the harvesting process? If No, go to 3.08. | 0 | | |
| 03.07a | Are all food contact surfaces on the machinery used in the harvest process constructed of food grade materials or stainless steel? | 5 | | |
| 03.07b | Does the packing surface allow for easy sanitation? | 5 | | |

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|--------|--|---|--|--|
| 03.07c | Is the harvesting equipment subject to a documented cleaning program including stating the cleaning frequency and cleaning procedures? If No, go to 3.07f. | 5 | | |
| 03.07d | Is an anti-microbial solution (e.g. chlorinated or equivalent) used to sanitize the harvesting equipment after cleaning has occurred? | 5 | | |
| 03.07e | Are records of harvesting equipment cleaning being maintained? | 5 | | |
| 03.07f | Is equipment designed and used properly to minimize product contamination (e.g. drip pans utilized, lights protected)? | 5 | | |
| 03.07g | Are only food grade lubricants used on the critical parts of the harvesting machinery that have the potential to contaminate product? | 3 | | |
| 03.07h | Are all glass issues on harvesting machines, in-field trucks, and tractors protected in some manner? | 3 | | |
| 03.07i | Are all platforms above product, packaging, or food contact surfaces (e.g. belts) on the harvest machinery, in-field trucks fitted with protection to prevent product contamination? | 3 | | |
| 03.08 | Is water used directly on product contact(e.g. re-hydration, core in field)? If No, go to 3.09. | 0 | | |

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|--------|--|----|--|--|
| 03.08a | Are microbial tests conducted including Generic E.coli on water used for washing, hydrating, etc. harvested crops (e.g. re-hydration, core in field) ? If No, go to 3.08c. | 10 | | |
| 03.08b | Are the microbiological tests current and conducted at the required and/or expected frequencies? | 10 | | |
| 03.08c | Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results? | 10 | | |
| 03.08d | If unsuitable or abnormal results have been detected, have documented corrective measures been performed? | 15 | | |
| 03.08e | Are the anti-microbial parameters clearly documented and correct for the type anti-microbial being used? | 10 | | |
| 03.08f | Are anti-microbial checks being performed on a routine basis? | 10 | | |
| 03.08g | Are corrective actions recorded where anti-microbial results are less than the stated minimum criteria? | 10 | | |
| 03.09 | Is the harvested product "in-field processed" or "In-field semi-processed" (e.g. core in field, top & tail, florets)? If No, go to 4.01. | 0 | | |

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| 03.09a | Does the process flow, machine layout, employee control, utensil control, etc. ensure that processed products are not contaminated by unprocessed products? | 5 | | |
| 03.09b | Do all employees that come in contact with the product being harvested wear clean protective outer garments (e.g. hairnets, plastic gloves, sleeves and aprons)? | 5 | | |
| 03.09c | Do all employees that wear protective outer garments remove and keep them in a clean and secure area during breaks or when using the toilet facilities? | 5 | | |
| 03.09d | Are all plastic bin liners closed immediately after harvest to avoid contamination of the harvested product? | 3 | | |

Transportation and Tracking

Max. point value

Verified

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|--------|---|----|--|--|
| 04.01 | Are the vehicles transporting fresh produce from field to facility limited to this function only and maintained in proper condition? | 5 | | |
| 04.02 | Is there a system in place to track product from the farm? If No, go to 5.01. | 20 | | |
| 04.02a | Is harvested product (each individual unit) coded to identify date of harvest? NOTE: This question is targeting finished goods packed in the field. N/A for raw material/bulk product destined for further handling in a packinghouse or processor facility. | 10 | | |

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|--------|--|----|--|--|
| 04.02b | Is harvested product (each individual unit) coded to identify production area where grown (e.g. field/lot/greenhouse)? NOTE: This question is targeting finished goods packed in the field. N/A for raw material/bulk product destined for further handling in a packinghouse or processor facility. | 10 | | |
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On Site Storage

Max. point value

Verified

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| 05.01 | Is there an on site storage for items and/or equipment used in the harvest process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs)? If No, go to 6.1. | 0 | | |
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| 05.01a | Are packaging, containers, and harvesting equipment stored to prevent cross contamination (this includes RPCs, cartons, clamshells, bins, and other harvesting type of containers that are single use or reusable, etc.)? | 5 | | |
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| 05.01b | Is the storage area under a sanitation program? | 5 | | |
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| 05.01c | Is the storage area under a pest control program? | 5 | | |
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Food Security

Max. point value

Verified

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| 06.01 | Is access to the harvest area and related equipment controlled (unauthorized individuals Not allowed near the equipment)? | 5 | | |
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| 06.02 | Are Harvest Crew Forman and members directed to report entry of unauthorized individuals? | 5 | | |
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| 06.03 | Does the company have documented food security policies? | 3 | | |
| 06.04 | Are materials such as sanitizers or packaging (cartons, film, wraps, etc.) stored in secured areas overnight? | 5 | | |
| 06.05 | Are materials (e.g. cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs) when used in the field while harvesting, controlled in a manner that prevents unauthorized tampering (e.g. on a truck near point of harvest)? | 5 | | |
| 06.06 | Are background checks conducted on critical personnel? | 5 | | |
| 06.07 | Are all personal materials kept away from the harvest and packaging of the harvesting operation? | 5 | | |
| 06.08 | Are all personnel required to undergo training on food security issues and are records kept? | 5 | | |
| 06.09 | Are off premises transportation vehicles (trucks, trailers, rail cars, etc) equipped with cell phones, two way radio, GPS or other positioning systems? | 3 | | |

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