



Version 07.04-2 Harvest Crew Rev. 1

Audit Scoring Guidelines

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Point Assignment Guidelines

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The Primus Standard Audit Scoring Guidelines are not exhaustive and detail minimum requirements only by means of short statements related to the Standard questions. There will be variations in applicability to commodities involved. Auditors should interpret the questions and conformance criteria in different situations, with food safety and risk minimization being the key concerns.

Where laws, commodity specific guidelines and/or best practice recommendations exist and are derived from a reputable source, these practices and parameters should be followed if they present a higher level of conformance than those included in the standard system.

Website links shown in this document are there to aid understanding and provide assistance by way of example (link listings are not exhaustive). These links are not a sign of endorsement by Azzule. Furthermore, Azzule Systems accepts no liability for the content of these links. Please email primusstandard@azzule.com if you discover that links are no longer active or have been redirected.

Please be aware that there is additional information on the website, including the actual Standard templates at <http://www.primuslabs.com/Services/StandardGAP.aspx>

This document is designed to be used by all interested parties, especially:

1st Party Auditors, e.g. a QA Manager to audit his/her own operation.

2nd Party Auditors, e.g. a QA Manager who is auditing his/her supplier(s).

3rd Party Auditors, e.g. an auditor/auditing company who is/are independent of the organization being audited.

Useful websites that help further investigate food safety requirements include:

FDA "Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables"

<http://www.fda.gov/downloads/food/guidancecomplianceregulatoryinformation/guidancedocuments/produceandplantproducts/ucm169112.pdf>

2013 FDA Food Code

<http://www.fda.gov/downloads/Food/GuidanceRegulation/RetailFoodProtection/FoodCode/UCM374510.pdf>

Guidance on Inspection of Firms Producing Food Products Susceptible to Contamination with Allergenic Ingredients <http://www.fda.gov/ICECI/Inspections/InspectionGuides/ucm074944.htm>

USDA/FDA Food Safety Information Center, <http://www.usda.gov/wps/portal/usda/usdahome?navid=food-safety>

California Leafy Green Handler Market Agreement G.A.P. Metrics

<http://www.lgma.ca.gov/wp-content/uploads/2014/09/California-LGMA-metrics-08-26-13-Final.pdf>

Standard Audit Template Definitions, Standard Structures and Scoring System

A field operation is a growing operation carried out in an open or in a covered area for the production of fresh produce for human consumption. The type of field operation can be classified as “Ranch” or “Greenhouse”. They can both include or not include a “Harvest Crew”. In addition, standalone “Harvest Crew” audits can also be performed not in conjunction with a “Ranch” or “Greenhouse” audit. An example may be a contracted harvesting company.

- **Ranch:** A "ranch" is defined as a parcel of ground (not necessarily a "lot" for production purposes) with the following characteristics: common management, common water supply and contiguous grounds.
- **Greenhouse:** A greenhouse is defined as a temporary or permanent enclosed structure where crops are grown in a controlled environment. Does not include shade or hoop houses. Product grown under this type of operation is commonly marketed as “Greenhouse grown”.
- **Harvest Crew:** A "Harvest crew" is defined as a group of harvesting personnel under common management.

Standard Template Structure

- Self- Inspection
- Traceability
- Ground History
- Adjacent Land
- Fertilizer/Crop Nutrition
- Irrigation/Water Use
- Crop Protection
- Employee Hygiene
- Food Security

The Standard format is updated as needed. This may include the layout, the questions themselves and point assignments. The following is the scoring system used for the Primus Standard GAP audits:

Point System for Individual Questions			
Possible Question Points	Total compliance	Non- compliance	Not applicable
20 Point Question	20	0	0
15 Point Question	15	0	0
10 Point Question	10	0	0
7 Point Question	7	0	0
5 Point Question	5	0	0
3 Point Question	3	0	0
2 Point Question	2	0	0
0 Point Question	0	0	0

Compliance Categories	
Total compliance (can be Yes or No, depending on the question)	To meet the question and/or compliance criteria in full. This is when the answer Yes or No is the same as the “earning points answer”.
Non-compliance (can be Yes or No, depending on the question)	The question or compliance criteria has not been fully met. This is when the answer Yes or No is NOT the same as the “earning points answer”.
Not applicable	The requirement described in the question is not applicable for the operation being audited. Justification should be provided in the auditor’s comments. Be aware that there are some questions that do not allow a non-applicable response.

Automatic Failure

There are certain questions located in various sections of the audit that if down scored will lead to an automatic failure and an overall score of 0%. These questions are of greatest food safety areas of concern. A report will include a breakdown of the scores for each section (summary chart), even if an automatic failure occurs. **On being immediately informed of the non-conformance resulting in an automatic failure by the auditor during the audit, the auditee has the option to have the auditor continue to complete the audit or to have the audit halt at that point (all charges will apply).**

2.8	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
2.9	Is there evidence of human fecal contamination in the growing area? If this Yes, an automatic failure of the audit will occur.
2.10	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.
2.13	If observed, are all commodities that come in contact with blood and/or bodily fluids destroyed? If this question is answered No, an automatic failure of the audit will occur.

3.1	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.
3.3b	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.
3.3c	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.

Special Circumstances

Under special circumstances Azzule reserves the right for a certificate not to be issued. These circumstances include the inability to complete the audit, detection of serious food safety issues (in the audit or corrective action processes), deliberate illegal activities, physical acts/threats to an auditor, attempted bribery, falsified records, etc.

Audit Termination

Once an audit has been started, should the auditee wish to stop the audit for any reason other than an automatic failure (see Non-compliance section text above) the auditor will complete the report for as many questions as they were able to verify. Questions that the auditor was unable to verify will be marked as non-compliance and receive a score of zero. For questions unable to be verified, the auditor will indicate the audit was terminated at the request of the auditee before the auditor could verify whether or not the audit conformed to the compliance criteria of the question. **A report will be created on the database issued and all charges will apply.**

Change of Audit Service

Once an audit has been started it cannot be converted into a pre-assessment audit. This includes when an automatic failure question has been reported as non-compliant, as noted in the non-compliance section above paragraph. Vice versa, a pre-assessment audit cannot be converted into a certificated audit once the service has begun.

The only time a primus standard audit can be optionally turned into a pre-assessment audit is when the operation is found not to be running on the day of the audit, which can result in the cancellation of the audit (with charges) or the audit can be turned into a pre-assessment.

Commodity Selection

The audit report will show a list of commodities that the auditee indicates they handle under the scope of the audit and a list of commodities that the auditor actually saw on the day of the audit. The two lists may or may not be the same, as the auditor indicates what is seen at the time of inspection.

Field Audit Agenda Audit agenda's do vary, but the normal pattern of events is as follows:

- **Opening Meeting.** Confirm the appointment details, introduce the auditor(s) and auditee team, confirm scope and the day's agenda.
- **Tour of sites under review (e.g., ranch, vineyard, grove)**
- **Food Safety Management Documents** (policies, procedures, records, etc) **Food Security Section.** The auditor will have made notes about physical security aspects when carrying out the tour of the operation. These questions are scored.
- **Auditor "Quiet" Time.** Time required for the auditor to organize notes before delivering the closing meeting.
- **Closing Meeting.** Discuss findings with the auditee team. Auditors are not able to provide either a final score or pass/fail commentary at the end of the audit due to the high number of questions that are asked in the standard template and the scoring system that is applied. However, auditors do submit audit reports quickly and auditees should contact primusstandard@azzule.com if reports have not been received electronically within two weeks after the audit has occurred (at the latest).

Primus Standard Audits Documentation Requirements

New Auditees/First Time Auditees

In operation for more than three consecutive months – auditee should have at least three months of documentation available for review. If the auditee has less than three months of most of their documentation available for review a pre-assessment audit is strongly advised. If the auditee has less than three months of most of their documentation available for review and decides to have a regular audit, they should be aware that they **cannot receive full conformance for paperwork questions relating to monitoring and that the non-compliance will be based on the amount of paperwork available.**

Short season operation-in operation for less than three consecutive months - auditee should have at least three months of documentation available for review and may include last season's documentation. Where an operation does not have three months of records available for their current season (e.g., one month of operation per year), auditee should have at least the previous season's records available for review. If the auditee has less than three months of most of their documentation available for review and decides to have a regular audit, they should be aware that they **may not receive full conformance for paperwork questions related to monitoring and that the down score will be based on amount of paperwork available.**

Existing Auditees

In operation for more than three consecutive months – auditee should have documentation available from the date of the prior audit.

Short season operation, in operation for less than three consecutive months – auditee should have at least three months of documentation and documentation at least since the last audit (which includes the last season). Where an operation does not have three months of records available (e.g. 1 month of operation per year) auditee should have at least the previous season's records available for review.

	Operates <three months/year	Operates >three months/year
New Auditee	Three months of records (may include last season's records)	Three months of records (may include last season's records)
Existing Auditee	Records at least since last audit (or longer) to meet minimum requirement of three consecutive months of records	Records since last audit

For further information about the field operations audit process please go to <http://www.primuslabs.com/Services/StandardGAP.aspx>

Visual versus Verbal Confirmation

Visual confirmation is the default method of auditing, whether on the growing operation tour or the paperwork section. Scores and comments are assumed to have been visually confirmed unless otherwise stated. Verbal confirmation should be the exception to the rule and if auditing properly these should be rarely used. If a verbal confirmation is accepted, the auditor should write this in the comments section of the question.

Tools and Supplies

- Correct Standard template
- Audit Expectations Manual Maps, and Maps of the Growing area supplied by Farm Management
- Note paper, pens clip board
- Flashlight
- Digital Camera
- Global Positioning System (GPS device)
- Appropriate clothing for conditions

Glossary

Aerosolized- The dispersion or discharge of a substance under pressure that generates a suspension of fine particles in air or other gas.

Animal by-product- Most parts of an animal that do not include muscle meat including organ meat, nervous tissue, cartilage, bone, blood and excrement.

Biofertilizers- Organisms such as bacteria, fungi, and cyanobacteria that enrich the nutrient quality of soil.

Biosolids- Solid, semi-solid, or liquid residues generated during primary, secondary, or advanced treatment of domestic sanitary sewage through one or more controlled processes.

Bud- Bud that forms in the axil of a leaf.

Colony forming units (CFU)- Viable micro-organisms (bacteria, yeasts & mold) capable of growth under prescribed conditions (medium, atmosphere, time and temperature) develop into visible colonies (colony forming units) which are counted.

Composting- Controlled breakdown or decomposition of organic materials under aerobic (i.e. with air) or anaerobic (i.e. without air) conditions.

Concentrated Animal Feeding Operation (CAFO)- A lot or facility where animals have been, are or will be stabled, maintained or confined and fed for a total of 45 days or more in any 12-month period and crops, vegetation forage, or post-harvest residues are not sustained in the normal growing season over any portion of the lot or facility. In addition, there must be more than 1,000 'animal units' (as defined in 40 CFR 122.23) confined at the facility; or more than 300 animal units confined at the facility if either one of the following conditions are met: pollutants are discharged into navigable waters through a man-made ditch, flushing system or other similar manmade device; or pollutants are discharged directly into waters of the United States which originate outside of and pass over, across, or through the facility or otherwise come into direct contact with the animals confined in the operation.

Coliforms- Gram-negative, non-spore forming, rod-shaped bacteria that ferment lactose to gas. They are frequently used as indicators of process control, but exist broadly in nature.

Cross contamination The transfer of microorganisms, such as bacteria and viruses, from one place to another.

E. coli- Escherichia coli is a common bacteria that lives in the lower intestines of animals (including humans) and is generally not harmful. It is frequently used as an indicator of fecal contamination, but can be found in nature from non-fecal sources.

Fecal coliforms- Coliform bacteria that grow at elevated temperatures and may or may not be of fecal origin. Useful to monitor effectiveness of composting processes. Also called "thermotolerant coliforms."

Flooding- The flowing or overflowing of a field with water outside a grower's control that is reasonably likely to contain microorganisms of significant public health concern and is reasonably likely to cause adulteration of edible portions of fresh produce in that field.

Food safety assessment- A systematic procedure that identifies hazards and risks from chemical, microbial and physical sources that may be harmful from a food safety perspective. A Person Responsible and entrusted with management level decisions for conducting food safety assessments before food reaches consumers requires formal training in scientific principles and a solid understanding of the principles of food safety as applied to agricultural production.

Fumigation- Treatment with a pesticide active ingredient that is a gas under treatment conditions.

Geometric mean- Mathematical definition.: the n-th root of the product of n numbers, or: Geometric Mean = n-th root of $(X_1)(X_2)...(X_n)$, where X_1 , X_2 , etc. represent the individual data points, and n is the total number of data points used in the calculation. Practical definition: the average of the logarithmic values of a data set, converted back to a base 10 number.

Indicator microorganisms- An organism used to indicate the potential presence of other (usually pathogenic) organisms. Indicator organisms are more easily sampled and measured.

Leafy greens- Iceberg lettuce, romaine lettuce, green leaf lettuce, red leaf lettuce, butter lettuce, baby leaf lettuce (i.e., immature lettuce or leafy greens), escarole, endive, spring mix, spinach, kale, arugula, and chard.

Most probable number (MPN)- Statistical estimates of the number of cells or clusters of cells in a sample.

Non-synthetic crop treatments- Any crop input that contains animal manure, an animal product, and/or an animal by-product that is reasonably likely to contain human pathogens.

Oxidation reduction potential (ORP)- The ability of water to oxidize or reduce. Measured in millivolts (mv) with an electrode and an electronic meter it gives an indication of ability of oxidizing agents in the water to control contaminants.

Parts per million (ppm)- A way of expressing very dilute concentrations of substances, usually in water or soil. Parts per million means "out of a million" just as per cent (%) means "out of a hundred".

Pathogen- A disease causing agent such as a virus, parasite, or bacteria.

Pesticide- Any substance or mixture intended for preventing, destroying, repelling, killing, or mitigating problems caused by any insects, rodents, weeds, nematodes, fungi, or other pests; and any other substance or mixture intended for use as a plant growth regulator, defoliant, or desiccant.

Pooled water- An accumulation of standing water; not free flowing.

Potable water- Suitable and safe for drinking.

Pre-harvest interval (PHI)- The time interval between the last application of a pesticide to a crop and harvest.

Privy- The same as outhouse or pit toilet but is not the same as portable toilets.

Process authority- A regulatory body, person, or organization that has specific responsibility responsibility and knowledge regarding a particular process or method; these authorities publish standards, metrics, or guidance for these processes and/or methods.

Reclaimed wastewater- Wastewater that becomes suitable for a specific beneficial use as a result of treatment. See also: wastewater reclamation.

Re-entry interval (REI)- Minimum time between pesticide application and human re-entry to a treated area. Established by a regulatory authority to assure safety of workers from exposure to residues.

Reservoir- A place where water is stored until it is needed. A reservoir can be an open lake, pond or an enclosed storage tank.

Risk mitigation- Actions to reduce the severity/impact of a risk.

Runoff- Liquid water that travels over the surface of the Earth, moving downward due to the law of gravity; runoff is one way in which water that falls as precipitation returns to the ocean.

Soil amendment- Inorganic or organic materials which are used to improve the physical properties of soil and adjust the soil for increased fertility. May be treated or Untreated.

Ultraviolet index (UV index)- A measure of the solar ultraviolet intensity at the Earth's surface; indicates the day's exposure to ultraviolet rays. The UV index is measured around noon for a one-hour period and rated on a scale of 0-15.

Validated process- A process that has been demonstrated to be effective through a statistically-based study, literature, or regulatory guidance.

Acronyms and Abbreviations

Some of the acronyms and abbreviations that may be found in this document

AFOs: Animal feeding operations
AOAC: The Association of Official Agricultural Chemists
BAM: Bacteriological Analytical Manual
CAFOs: Concentrated animal feeding operations
CFU: Colony forming units
cGMP: Current good manufacturing practices
COA: Certificate of Analysis
DL: Detection Limit
FDA: Food and Drug Administration
GAPS: Good agricultural practices
GLPs: Good laboratory practices
HACCP: Hazard analysis critical control point
MPN: Most probable number
NRCS: Natural Resources Conservation Service
ORP: Oxidation reduction potential
PPM: Parts per million
RTE: Ready-to-eat
USEPA: United States Environmental Protection Agency
UV: Ultraviolet
WHO: World Health Organization

How to Use Point Assignment Guidelines

The following sections of this guidance manual are designed to help the users choose the right score for each question, thereby helping to ensure consistency.

This document does not cover all situations and is intended to be a guideline as opposed to a rule. Auditors are expected to follow the guidelines as much as possible, but it is understood that there will be situations where an auditor should use their discretion. If an auditor does have to make a judgment call and/or tackle a situation not covered by this manual, then the auditor should note the circumstances in the audit report with full justifications. (The auditor should also forward these details to primusstandard@azzule.com in a separate note, so that this can be accounted for in the next version of the manual.)

In order to be consistent with the voluntary nature of requesting a third party audit, and in order not to be seen as a legal document, the requirements within the questions are written as “should”, and can be scored against. In other questions that use the term “ideally”, these statements cannot be scored against, but give the auditee an opportunity for improvement.

Notes in “red” are questions and/or conformance criteria that have changed significantly since the previous version. Many of the changes are to improve clarification, but some are changes to the actual requirements. Please read carefully to see if these changes impact your particular situation.

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Point Assignment Guidelines

Version 07.04-2 Harvest Crew Rev. 1			
#	Question	Guideline	Auditor Notes
1	Inspection		
1.1	Have self-audits been completed for each harvest crew?	Frequent self-audits should be done to identify problems and/or situations which need improvement. More frequent inspections may be necessary depending on the type of harvesting activity associated risk pressures. Surveys are designed to identify problems and/or situations which need improvement in advance (maintenance of documentation, etc.). Records should show where corrective actions have been made.	A No response must be justified in comments section. Frequent inspections should be done to identify problems and/or situations which need improvement. More frequent inspections may be necessary depending on the type of harvesting activity associated risk pressures. Surveys are designed to identify problems and/or situations which need improvement in advance (maintenance of documentation, etc.). Records should show where corrective actions have been made. Visual confirmation (documentation) required. 5 Points No N/A.
1.2	Was a pre-harvest inspection performed on the block being harvested and was the block cleared for harvest? If No, go to 1.3.	A pre-harvest block inspection should have been performed and if harvesting is occurring, it should show if there are any harvesting restrictions, etc. The harvest crew might not have a copy of the actual inspection, but they should have a document indicating which blocks have been inspected and cleared for harvest. *	If No, go to 1.3. A No response must be justified in comments section. A pre-harvest block inspection should have been performed and if harvesting is occurring, it should show if there are any harvesting restrictions, etc. The harvest crew might not have a copy of the actual inspection, but they should have a document indicating which blocks have been inspected and cleared for harvest. Visual confirmation (documentation) required.* 5 Points No N/A.
1.2a	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?	Where pre-inspections have discovered issues e.g. flooding, animal intrusion issues, have the buffer zones been implemented e.g. 30ft (9.1m) from flooded areas, 5ft (1.5m) from evidence of pest activity - use larger buffer zones if national and local laws are more stringent.*	A No or N/A response must be justified in comments section. Where pre-inspections have discovered issues e.g. flooding, animal intrusion issues, have the buffer zones been implemented e.g. 30ft (9.1m) from flooded areas, 5ft (1.5m) from evidence of pest activity - use larger buffer zones if national and local laws are more stringent. Visual confirmation (may include documentation if an issue has occurred) required. * 15 Points
1.3	Are there records of daily pre-operation inspections that check key aspects of equipment hygiene, personal hygiene, etc.?	Recorded pre-inspections should be designed to cover the key basic issues attributed to the type of harvesting and particular crop being harvested. Aspects to be considered would include equipment hygiene (including that it is free of insects, rodents, birds, reptiles, mammals and any evidence of them), tool hygiene and personnel hygiene. Use of ATP is an optional recommendation, but where used, should be recorded properly along with any required corrective actions.	A No response must be justified in comments section. Recorded pre-inspections should be designed to cover the key basic issues attributed to the type of harvesting and particular crop being harvested. Aspects to be considered would include equipment hygiene (including that it is free of insects, rodents, birds, reptiles, mammals and any evidence of them), tool hygiene and personnel hygiene. Use of ATP is an optional recommendation, but where used, should be recorded properly along with any required corrective actions. Visual confirmation (documentation) required. 5 Points No N/A.
1.4	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.)	There should be a documented policy that if products are dropped on the ground the products are discarded. Staff should be trained regarding this policy and records of training maintained. Non- applicable for tubers and root crops.	A No response must be justified in comments section. There should be a documented policy that if products are dropped on the ground the products are discarded. Staff should be trained regarding this policy and records of training maintained. Non-applicable for tubers and root crops. Visual confirmation (documentation) required. 5 Points No N/A.

1.5	Is there a food safety hygiene training program covering new and existing employees and are there records of these training events?	There should be a formal training program to inform employees of the current policies and procedures and requirements of the company regarding hygiene. Frequency should be at the start of the season and then some topics covered at least quarterly, but ideally monthly. Training material covering the content of the company policies/procedures (which includes those items asked in this audit) and requirements regarding hygiene should be available.	A No response must be justified in comments section. There should be a formal training program to inform employees of the current policies and requirements of the company regarding hygiene. Frequency should be at the start of the season and then some topics covered at least quarterly, but ideally monthly. Training material covering the content of the company policies and requirements regarding hygiene should be available. Visual confirmation (documentation) required. 15 Points No N/A.
1.6	Is there a documented and implemented policy stating what happens when harvesters find evidence of animal intrusion e.g. fecal material?	There should be a documented and implemented policy stating what happens if harvesting staff find evidence of animal intrusion e.g. fecal material. The policy should cover recorded training of staff regarding this policy, potential corrective actions e.g. product disposal, buffer zones, equipment cleaning and recording of the corrective actions.	A No response must be justified in comments section. There should be a documented and implemented policy stating what happens if harvesting staff find evidence of animal intrusion e.g. fecal material. The policy should cover recorded training of staff regarding this policy, potential corrective actions e.g. product disposal, buffer zones, equipment cleaning and recording of the corrective actions. Visual confirmation (documentation) required. 5 Points No N/A.
2	<i>Employee Activities & Sanitary Facilities</i>		
2.01	Is there a documented and implemented policy for any employees observed with improperly covered open sores and/or wounds and for dealing with workers who appear to be physically ill, or who become ill while working?	There should be a documented and implemented policy that employees with exposed boils, sores, infected wounds, or any other source of abnormal contamination should be prohibited from contact with product. All bandages must be covered with a non-porous covering such as vinyl or nitrile gloves. This policy should require workers to immediately report illness or symptoms of illness to the management. If labor is supplied by a contractor, copies of the policies used by the contractor should be available.	A No response must be justified in comments section. There should be written policies and procedures, supported by visual evidence, stating that workers with exposed boils, sores, infected wounds, or any other source of abnormal contamination should be prohibited from contact with product. All bandages must be covered with a non-porous covering such as vinyl or nitrile gloves. This policy should require workers to immediately report illness or symptoms of illness to the management. If labor is supplied by a contractor, copies of the policies used by the contractor should be available. Visual confirmation required. 5 Points No N/A.
2.02	Is there a documented and implemented policy restricting any employees from eating and drinking (other than water) in active harvest areas, areas yet to be harvested, near harvested product or storage areas?	There should be a written and implemented policy that eating and drinking (other than water), including gum chewing must be restricted to areas away from production to prevent contamination of product, packaging, equipment, and the growing areas.	A No response must be justified in comments section. There should be a written policy, supported by visual evidence, stating that eating and drinking (other than water), including gum chewing must be restricted to areas away from production to prevent contamination of product, packaging, equipment, and the growing. Visual confirmation required. 5 Points No N/A.
2.03	Is there a documented and implemented policy restricting any employees from using tobacco products in active harvest areas, areas yet to be harvested, near harvested product or storage areas?	There should be a written and implemented policy that smoking or chewing tobacco must be restricted to areas away from production to prevent contamination of product, packaging, equipment, and the growing area. There should be no evidence of spitting. Cigarette butts should be disposed of appropriately.	A No response must be justified in comments section. There should be a written policy, supported by visual evidence, stating that smoking or chewing tobacco must be restricted to areas away from production to prevent contamination of product, packaging, equipment, and the growing area. There should be no evidence of spitting. Cigarette butts should be disposed of appropriately. Visual confirmation required. 5 Points No N/A.

2.04	Is it evident the clothing harvesters are wearing is not posing a cross contamination risk ?	Harvester's clothing should not be a cross contamination issue in terms of cleanliness .	A No response must be justified in comments section. Harvester's clothing should not be a cross contamination issue in terms of cleanliness. Visual confirmation (documentation) required. 5 Points No N/A.
2.05	Is it evident that employees are free of exposed jewelry (that may pose a foreign contamination issue) except for a single plain ring?	There should be no employees wearing loose objects above the waist (e.g., jewelry, earrings). Other examples of foreign items that may be a source of foreign material contamination include sequins, studs, false fingernails and fingernail polish, false eye lashes, eye lash extensions, and badges. Top pockets can also be a source of foreign material issues, especially if used to store things like pens and other items.	A No response must be justified in comments section There should be no employees wearing loose objects above the waist (e.g. jewelry, earrings , etc.). Visual confirmation required. Other examples of foreign items that may be a source of foreign material contamination include sequins, studs, false fingernails and fingernail polish, false eye lashes, eye lash extensions, and badges. Top pockets can also be a source of foreign material issues, especially if used to store things like pens and other items. Visual confirmation required. 5 Points No N/A.
2.06	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?	If the auditee requires the use of gloves, then the gloves need to be fit for the purpose intended. For example, cotton gloves trap moisture and get dirty easily, therefore are not ideal for an activity such as lettuce harvesting.	A No or N/A response must be justified in comments section. If the auditee requires the use of gloves, then gloves need to be fit for the purpose intended. For example, cotton gloves trap moisture and get dirty easily, therefore are not ideal for an activity such as lettuce harvesting. Visual confirmation required. 5 Points No N/A.
2.06a	Where gloves are used, are they latex-free, powder-free, and provided by the auditee?	If the auditee requires the use of gloves, then the gloves should be latex-free, powder-free, and provided by the auditee.	A No or N/A response must be justified in comments section. If the auditee requires the use of gloves, then the gloves should be latex-free, powder-free, and provided by the auditee. Visual confirmation required. 0 Points
2.07	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?	If outer garments (e.g., gloves, aprons, sleeves) are used, these should be removed prior to using the restrooms, going on break, etc. The use of outer garments is mandated if "in-field processing" is performed. See question 3.9c for further details.	A No or N/A response must be justified in comments section. If outer garments (e.g., gloves, aprons, sleeves) are used, these should be removed prior to using the restrooms, going on break, etc. The use of outer garments is mandated if in field product "processing" is used, see question 3.9c. Visual confirmation required. 5 Points
2.07a	Are secondary hand sanitation stations (e.g., hand dip, gel or spray stations) adequate in number and location? Are the stations maintained properly? <u>NOTE: Secondary hand sanitation does not replace hand washing requirements (lack surfactant qualities).</u>	Secondary hand sanitation stations (non-perfumed) should be located near hand washing and other easily accessible areas. Secondary hand sanitizers are optional for crops with an inedible skin or a commodity that requires cooking prior to eating. Hand gel / spray stations should be well stocked. Hand dips where used should be tested regularly to ensure they are at the required strength - checks should be recorded. Secondary hand sanitizers lack surfactant qualities, therefore their use <u>does not replace hand washing requirements.</u>	A No or N/A response must be justified in comments section. Secondary hand sanitation stations (non-perfumed) should be located near hand washing and other easily accessible areas. Secondary hand sanitizers are optional for crops with an inedible skin or a commodity that requires cooking prior to eating. Hand gel / spray stations should be well stocked. Hand dips where used should be tested regularly to ensure they are at the required strength - checks should be recorded. Secondary hand sanitizers lack surfactant qualities, therefore their use does not replace hand washing requirements. Visual confirmation required. 5 Points

2.08	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	The term operational means that the toilets have water, if they are a flushing toilet, they flush, etc. Toilet facilities should be adequately ventilated, appropriately screened, have self-closing doors that can be closed. Privies (unplumbed outhouses) may be allowed <i>only</i> if they are in suitable condition meeting prevailing national/ local standards and guidelines. http://health.state.ga.us/pdfs/environmental/290-5-27.pdf . http://www.who.int/water_sanitation_health/hygiene/om/linkingchap8.pdf	If No, go to 2.9. A No response must be justified in comments section. The term operational means that the toilets have water, if they are a flushing toilet, they flush, etc. Toilet facilities should be adequately ventilated, appropriately screened, have self-closing doors that can be closed. Privies (unplumbed outhouses) may be allowed only if they are in suitable condition meeting prevailing national/ local standards and guidelines. http://health.state.ga.us/pdfs/environmental/290-5-27.pdf . http://www.who.int/water_sanitation_health/hygiene/om/linkingchap8.pdf If this question is answered No, the audit will result in an automatic failure. Visual confirmation required. 20 Points No N/A.
2.08a	Are toilet facilities located in a suitable area and within ¼ mile or 5 minutes walking distance of all employees?	Placement of toilet facilities should be in a suitable location to prevent contamination to product, packaging, equipment, and growing areas. Toilet facility placement should be within 1/4 mile or 5 minutes walking distance of where harvesting crews are located or if more stringent, as per prevailing national/ local guidelines.	A No or N/A response must be justified in comments section. Placement of toilet facilities should be in a suitable location to prevent contamination to product, packaging, equipment, and growing areas. Toilet facility placement should be within 1/4 mile or 5 minutes walking distance of where harvesting crews are located or if more stringent, as per prevailing national/ local guidelines. 10 Points
2.08b	Are toilet facilities in a suitable location to prevent contamination to product, packaging, equipment, and growing areas?	Placement of toilet facilities should be in a suitable location to prevent contamination to product, packaging, equipment, and growing areas. Consideration should be given when portable units are used that they are not parked (if on trailers) too close to the edge of the crop.	A No or N/A response must be justified in comments section. The placement of toilet facilities should be in a suitable location to prevent contamination to the growing area. Toilets should not be positioned or parked (if mobile) too close to the growing area. Visual confirmation required. 15 Points
2.08c	Are separate toilet facilities provided for men and women in groups larger than 5 employees?	There should be separate toilet facilities provided for men and women in groups larger than 5 employees or if more stringent, as per prevailing national/ local guidelines.	A No or N/A response must be justified in comments section. There should be separate toilet facilities provided for men and women in groups larger than 5 employees or if more stringent, as per prevailing national/ local guidelines. Visual confirmation required. 5 Points
2.08d	Is a minimum of one toilet facility provided for each group of 20 employees?	At least one toilet per 20 employees should be provided or if more stringent, as per prevailing national/ local guidelines.	A No or N/A response must be justified in comments section. At least one toilet per 20 employees should be provided or if more stringent, as per prevailing national/ local guidelines. Visual confirmation required. 10 Points
2.08e	Do toilet facilities have visuals or signs, written in the appropriate languages, reminding employees to wash their hands before returning to work?	Toilet facilities should have visuals or signs written in the appropriate languages, reminding employees to wash their hands before returning to work. The visuals or signs should be permanent and placed in key areas where employees can easily see them.	A No or N/A response must be justified in comments section. Toilet facilities should have visuals or signs written in the appropriate languages, reminding employees to wash their hands before returning to work. The visuals or signs should be permanent and placed in key areas where employees can easily see them. Visual confirmation required. 5 points
2.08f	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)?	Toilet paper should be provided in a suitable holder in each toilet facility. Toilet paper should be maintained properly (e.g. toilet paper rolls not stored on the floor or in the urinals).	A No or N/A response must be justified in comments section. Toilet paper should be provided in a suitable holder in each toilet facility. Toilet paper should be maintained properly (e.g. toilet paper rolls not stored on the floor or in the urinals). Visual confirmation required. 5 Points
2.08g	Are the toilets maintained in a clean condition?	Toilet facilities shall be operational and maintained in clean and sanitary condition Soiled tissue should not be placed in trash cans, urinals, or on the floor. Effective odor control should be practiced at all toilet facilities.	A No or N/A response must be justified in comments section. Toilet facilities shall be operational and maintained in clean and sanitary condition. Soiled tissue should not be placed in trash cans, urinals, or on the floor. Effective odor control should be practiced at all toilet facilities. Visual confirmation required. 10 Points
2.08h	Are toilets constructed of materials that are easy to clean?	Toilet facilities should be constructed of non porous materials that are easy to clean and sanitize.	A No or N/A response must be justified in comments section. Toilet facilities should be constructed of non porous materials that are easy to clean and sanitize. Visual confirmation required. 2 Points

2.08i	Are the toilet's construction materials of a light color allowing easy evaluation of cleaning performance?	Toilets should be constructed of materials light in color allowing easy evaluation of cleaning performance.	A No or N/A response must be justified in comments section. Toilets should be constructed of materials light in color allowing easy evaluation of cleaning performance. Visual confirmation required. 2 Points
2.08j	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?	For portable toilets there should be a documented and implemented procedure available covering emptying and cleaning. The concern is that waste might be disposed of inappropriately causing contamination in or near the growing area, equipment and storage areas. If there is an on the farm designated "wash out" and waste disposal site, then the area must be in a suitable condition meeting prevailing national/ local standards and guidelines which pose no threat for contamination.	A No or N/A response must be justified in comments section. For portable toilets there should be a documented and implemented procedure available covering emptying and cleaning. The concern is that waste might be disposed of inappropriately causing contamination in or near the growing area, equipment and storage areas. If there is an on the farm designated "wash out" and waste disposal site, then the area must be in a suitable condition meeting prevailing national/ local standards and guidelines which pose no threat for contamination. Visual confirmation (documentation) required. 5 Points
2.08k	Are there toilet cleaning records and for portable toilets, are there servicing records?	There should be cleaning records available for toilets. Frequency depends on use, but usually the baseline is daily for regular harvest crews. Portable toilets should be emptied and serviced regularly to prevent overflow. Servicing records (either contracted or in-house) should be available for review.	A No or N/A response must be justified in comments section. There should be cleaning records available for toilets. Frequency depends on use, but usually the baseline is daily for regular harvest crews. Portable toilets should be emptied and serviced regularly to prevent overflow. Servicing records (either contracted or in-house) should be available for review. Visual confirmation (documentation) required. 2 Points
2.08l	If used, are catch basins of the toilets designed and maintained to prevent contamination (e.g. free from leaks and cracks)?	Catch basins for toilets must be designed and maintained properly to prevent contamination onto field, product, packaging, and equipment. Catch basins should be free of leaks, cracks and constructed of durable materials that will not degrade or decompose such as wood.	A No or N/A response must be justified in comments section. Catch basins for toilets must be designed and maintained properly to prevent contamination onto field, product, packaging, and equipment. Catch basins should be free of leaks, cracks and constructed of durable materials that will not degrade or decompose such as wood. Visual confirmation required. 5 Points
2.08m	Are the toilet catch basins emptied properly?	If self-contained toilets are used, the toilet catch basins should be emptied, pumped, and cleaned in a manner to avoid contamination to product, packaging, equipment, water systems and growing area(s) Equipment used in emptying/pumping must be in good working order. A documented policy should exist and if occurring at the time of the inspection, the policy should be followed. The policy should include a response plan for major leaks and/or spills.	A No or N/A response must be justified in comments section. If self-contained toilets are used, the catch toilet basins should be emptied, pumped, and cleaned in a manner to avoid contamination to product, packaging, equipment, water systems and growing area(s) Equipment used in emptying/pumping must be in good working order. A documented policy should exist and if occurring at the time of the inspection, the policy should be followed. The policy should include a response plan for major leaks and/or spills. Visual confirmation required. 5 Points
2.09	Is there evidence of human fecal contamination in the growing area? If answered Yes, an automatic failure of the audit will occur.	There should be no evidence of human fecal contamination in the growing area, area being harvested, packaging area, equipment area, or in any other area that would cause a contamination issue.	A Yes response must be justified in comments section. There should be no evidence of human fecal contamination in the growing area, area being harvested, packaging area, equipment area, or in any other area that would cause a contamination issue. Visual confirmation required. 20 Points. No N/A
2.10	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.	"Operational hand washing facility" means a facility providing either a basin, container, or outlet with an adequate supply of potable water.	If No, go to 2.11 and mark the following questions N/A. A No response must be justified in comments section. "Operational hand washing facility" means a facility providing either a basin, container, or outlet with an adequate supply of potable water. If this question is answered No, an automatic failure of the audit will occur. Visual confirmation required. 20 Points. No N/A

2.10a	Are the hand washing facilities placed within ¼ mile or 5 minutes walking distance of all employees?	Toilets and hand washing facilities should be located in close proximity to each other. Hand washing facilities should be provided and placed within 1/4 mile or 5 minutes walking distance of the harvest crew or if more stringent, as per prevailing national/ local guidelines.	A No or N/A response must be justified in comments section. Toilets and hand washing facilities should be located in close proximity to each other. Hand washing facilities should be provided and placed within 1/4 mile or 5 minutes walking distance of the harvest crew or if more stringent, as per prevailing national/ local guidelines. Visual confirmation required. 15 Points.
2.10b	Are hand wash stations clearly visible (e.g. situated outside the toilet facility) and easily accessible to workers?	So employee's hand washing activities can be verified, hand wash stations should be clearly visible (i.e. situated outside the toilet facility) and easily accessible to workers.	A No response must be justified in comments section. So employee's hand washing activities can be verified, hand wash stations should be clearly visible (i.e. situated outside the toilet facility) and easily accessible to workers. Visual confirmation required. 2 Points
2.10c	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?	There should be readily available an extra stock of fresh water, soap, toilet paper and paper towels, etc. in the event that replenishment is needed while harvesting is occurring.	A No or N/A response must be justified in comments section. There should be readily available an extra stock of fresh water, soap, toilet paper and paper towels, etc. in the event that replenishment is needed while harvesting is occurring. Visual confirmation required. 5 Points
2.10d	Is soap made available at all hand washing facilities? If No, go to 2.10f.	All hand washing facilities must be stocked with soap. Liquid/foam/powder with single use pump dispenser method preferred over communal bar type.	A No or N/A response must be justified in comments section. All hand washing facilities must be stocked with soap. Liquid/foam/powder with single use pump dispenser method preferred over communal bar type. Visual confirmation required. 10 Points
2.10e	Is non-perfumed soap available?	Soap should be non-perfumed and have emulsifying capabilities to aid in the hand washing procedure.	A No or N/A response must be justified in comments section. Soap should be non-perfumed and have emulsifying capabilities to aid in the hand washing procedure. Visual confirmation required. 5 Points
2.10f	Are single-use towels available at all hand washing facilities and trash cans for them?	To reduce the spreading of germs, single-use towels should be available at all hand washing facilities. Trash cans should be supplied for used towels, and kept closed with a lid/cover.	A No or N/A response must be justified in comments section. To reduce the spreading of germs, single-use towels should be available at all hand washing facilities. Trash cans should be supplied for used towels, and kept closed with a lid/cover. Visual confirmation required. Visual confirmation required. 10 Points
2.10g	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)?	Hand wash stations should be free of clogged drains, designed and maintained properly to capture or control rinse water that could cause contamination onto product, packaging, equipment, and growing area.	A No or N/A response must be justified in comments section. Hand wash stations should be free of clogged drains, designed and maintained properly to capture or control rinse water that could cause contamination onto product, packaging, equipment, and growing area. Visual confirmation required. 5 Points
2.10h	Are the employees washing their hands prior to beginning work? Score NA if this discipline is not observed at the time of the audit.	To prevent contamination to product, packaging, and equipment, employees should wash their hands prior to beginning work. Also after sneezing, placing their hands in their pockets and at any other point when cross contamination could occur. It also must be evident that employees' fingernails are kept clean and trimmed.	A No or N/A response must be justified in comments section. To prevent contamination to product, packaging, and equipment, employees should wash their hands prior to beginning work. Also after sneezing, placing their hands in their pockets and at any other point when cross contamination could occur. It also must be evident that employees' fingernails are kept clean and trimmed. Efforts should be made to observe employees washing their hands at the time of the audit. Visual confirmation required. 10 Points

2.10i	Are the employees washing their hands after break periods? Score N/A if this discipline is not observed at the time of the audit.	To prevent contamination to product, packaging, and equipment, employees should wash their hands after break periods. It also must be evident that employees' fingernails are kept clean and trimmed. If employees' hands come into contact with mucous, hands must be washed.	A No or N/A response must be justified in comments section. To prevent contamination to product, packaging, and equipment, employees should wash their hands after break periods. It also must be evident that employees' fingernails are kept clean and trimmed. If employees' hands come into contact with mucous, hands must be washed. Efforts should be made to observe employees washing their hands at the time of the audit. Visual confirmation required. 10 Points
2.10j	Are the employees washing their hands after using the toilet facilities? Score N/A if this discipline is not observed at the time of the audit.	To prevent contamination to product, packaging, and equipment, employees should wash their hands after using toilet facilities. It also must be evident that employees' fingernails are kept clean and trimmed.	A No or N/A response must be justified in comments section. To prevent contamination to product, packaging, and equipment, employees should wash their hands after break periods. It also must be evident that employees' fingernails are kept clean and trimmed. If employees' hands come into contact with mucous, hands must be washed. Efforts should be made to observe employees washing their hands at the time of the audit. Visual confirmation required. 15 Points
2.10k	Is it evident that corrective action is taken when employees fail to comply with hand washing guidelines?	It should be evident that corrective action is taken by a supervisor in charge when employees fail to comply with hand washing requirements.	A No or N/A response must be justified in comments section. It should be evident that corrective action is taken by a supervisor in charge when employees fail to comply with hand washing requirements. Auditors should score NA if there are no issues to warrant corrective action. Visual confirmation required. 5 Points
2.11	Is fresh potable drinking water readily accessible to employees? If No, go to 2.12.	Water should be suitably cool and in sufficient amounts, taking into account the air temperature, humidity and the nature of the work performed, to meet the needs of all employees. Potable water should be provided and placed in locations readily accessible to all employees. Potable meaning drinking water quality e.g. the EPA Drinking Water Standard.	If No, go to 2.12. and mark the following question N/A. A No response must be justified in comments section. Water should be suitably cool and in sufficient amounts, taking into account the air temperature, humidity and the nature of the work performed, to meet the needs of all employees. Potable water should be provided and placed in locations readily accessible to all employees. Potable meaning drinking water quality e.g. the EPA Drinking Water Standard. Visual confirmation required. 7 Points No N/A.
2.11a	Are the water containers maintained in a clean condition?	Water containers should be maintained in a clean condition, free from residues and contamination to ensure employees are not adversely affected by contaminated water from unclean containers.	A No or N/A response must be justified in comments section. Water containers should be maintained in a clean condition, free from residues and contamination to ensure employees are not adversely affected by contaminated water from unclean containers. Visual confirmation required. 5 Points
2.11b	Are single use cups provided (unless a drinking fountain is used) near the drinking water?	Water should be provided so that cross contamination issues are avoided from person to person. Examples include single-use paper cups, drinking fountains, etc.	A No or N/A response must be justified in comments section. Water should be provided so that cross contamination issues are avoided from person to person. Examples include single-use paper cups, drinking fountains, etc. Visual confirmation required. 7 Points
2.12	Are first-aid kits available and is the inventory maintained properly?	There should be a first-aid kit available that is stocked with inventory (e.g. disposable gloves, bandages) and accessible for employees. All date coded materials are within expiry dates.	A No response must be justified in comments section. There should be a first-aid kit available that is stocked with inventory (e.g. disposable gloves, bandages) and accessible for employees. All date coded materials are within expiry dates. Visual confirmation required. 5 Points. No N/A.
2.13	If observed, are all commodities that come in contact with blood and/or bodily fluids destroyed? If this question is answered No, an automatic failure of the audit will occur.	Any commodity that comes into contact with blood and/or bodily fluids must be destroyed. If this occurs during the time of inspection, auditor must witness that product is destroyed.	A No or N/A response must be justified in comments section. Any commodity that comes into contact with blood and/or bodily fluids must be destroyed. If this occurs during the time of inspection, auditor must witness that product is destroyed and that the event is recorded in an Unusual Occurrence Log or equivalent type of Log. If this question is answered No, an automatic failure of the audit will occur. Visual confirmation (which may include documentation if an issue has occurred) required. 20 Points

2.13a	Is there a documented policy and procedure in place and available for all commodities that come in contact with blood and/or bodily fluids to be destroyed?	There should be a documented policy and procedure that is communicated to harvest crew workers detailing that if product has come into contact with blood and/or bodily fluids, all affected product must be destroyed. Special attention should be given to those crops where tools /equipment (e.g., knives, scissors) are used.	A No or N/A response must be justified in comments section. There should be a documented policy and procedure that is communicated to harvest crew workers detailing that if product has come into contact with blood and/or bodily fluids, all affected product must be destroyed. Special attention should be given to those crops where tools /equipment (e.g., knives, scissors) are used. Visual confirmation (documentation) required. 5 Points
2.14	Is garbage disposed of properly in the harvested and non harvested areas?	Waste and garbage must be removed on a frequent basis to prevent contamination from occurring. Receptacles should be kept covered or closed to prevent contamination and attraction of pests.	A No response must be justified in comments section. Waste and garbage must be removed on a frequent basis to prevent contamination from occurring. Receptacles should be kept covered or closed to prevent contamination and attraction of pests. Visual confirmation required. 10 Points. No N/A.
2.15	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	Garbage containers should be provided in the field for the disposal of food and beverage containers, cups, and paper towels.	If No, go to 2.16 and mark the following questions N/A. A No response must be justified in comments section. Garbage containers should be provided in the field for the disposal of food and beverage containers, cups, and paper towels. Visual confirmation required. 5 Points. No N/A.
2.15a	Are garbage containers constructed and maintained (e.g. bags, lids) to protect against pre harvest or post harvest contamination of the crop?	Garbage containers should be constructed and maintained in such a manner with liners, bags, lids, etc., that protects against pre harvest or post harvest contamination of the crop. Receptacles should be kept covered or closed to prevent attraction of pests. Liners are important so trash can be removed easily.	A No or N/A response must be justified in comments section. Garbage containers should be constructed and maintained in such a manner with liners, bags, lids, etc., that protects against pre harvest or post harvest contamination of the crop. Receptacles should be kept covered or closed to prevent attraction of pests. Liners are important so that trash can be removed easily. Visual confirmation required. 5 Points
2.16	Have any potential metal, glass, or plastic contamination issues been controlled?	Examples include but are not limited to glass bottles, unprotected lights on equipment, staples on wooden crates, hair pins, using "snappable" blades instead of one piece blades, broken and brittle plastic issues on re-useable totes.	A No response must be justified in comments section. This question is designed to allow the auditor to underline potential foreign material contaminants to the auditee that are not covered by other more specific questions within the audit. Visual confirmation required. 5 Points. No N/A.
3	Harvesting Practices		
3.01	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.	Systematic animal fecal contamination refers to finding evidence of flocks, herds, groups of animals' fecal material in an area of the crop. In un-harvested areas, a harvest pre-assessment should have detected this issue. In harvested areas, the affected areas and buffers zones should have been left un-harvested.	A No, response must be justified in comments section. Systematic animal fecal contamination refers to finding evidence of flocks, herds, groups of animals' fecal material in an area of the crop. In un- harvested areas, a harvest pre-assessment should have detected this issue. In harvested areas, the affected areas and buffers zones should have been left un-harvested. If this question is answered Yes, this question results in an automatic failure. Visual confirmation (which may include documentation) required. 20 Points. No N/A
3.02	Is there evidence of animal activity in the crop that is a potential food safety risk?	Produce that has come into direct contact with fecal material must not be harvested and a 5ft (1.5m) radius no harvest zone implemented unless or until adequate mitigation measures have been considered. If evidence of fecal material is found, a food safety assessment must be conducted by qualified personnel. This question is answered "no" if the grower has already noted this issue and performed adequate corrective actions. *	A Yes response must be justified in comments section. Produce that has come into direct contact with fecal material must not be harvested and a 5ft (1.5m) radius no harvest zone implemented unless or until adequate mitigation measures have been considered. If evidence of fecal material is found, a food safety assessment must be conducted by qualified personnel. This question is answered "no" if the grower has already noted this issue and performed adequate corrective actions. Visual confirmation (which may include documentation) required. * 20 Points. No N/A

3.03	Is the product packed in the final packing unit in the field ? If No, go to 3.4.	This question refers to product packed in the field that is in the final unit for shipping (i.e. clamshell, wrapped products, etc.), that usually bypasses any selection packing lines in a facility i.e. goes to a cooling process as opposed to a packing line.	If No, go to 3.4 and mark the following questions N/A. This question refers to product packed in the field that is in the final unit for shipping (i.e. clamshell, wrapped products, etc.), that usually bypasses any selection packing lines in a facility i.e. goes to a cooling process as opposed to a packing line. Visual confirmation required. 0 points. No N/A
3.03a	Is packing material (e.g. cartons, bags, clamshells, sacks, RPCs) intended for carrying product used for that purpose only?	All containers intended for product should not be used for any other purpose than product storage.	A No or N/A response must be justified in comments section. All containers intended for product should not be used for any other purpose than product storage. Visual confirmation required. 5 points.
3.03b	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.	Packing material should be free from evidence of pest activity, foreign materials and other signs of hazardous materials.	A No or N/A response must be justified in comments section. Packing material should be 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. Visual confirmation required. 20 points.
3.03c	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.	Packed product should be free from evidence of pest activity, foreign materials, hazardous materials and any adulteration issues.	A No or N/A response must be justified in comments section. Packed product should be 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. Visual confirmation required. 20 points.
3.03d	Is product and packing material free from exposure to the ground and/ or any handling contamination?	Avoid stacking soiled bins on top of each other if the bottom of the bin has had direct contact with soil. Product and packing materials used in the harvesting process should be placed with protection underneath and handled in a manner to eliminate contamination from the ground or from inappropriate human handling, which includes commodities where it is industry practice to place the products on the ground after harvest (e.g., asparagus). Crops down scored for exposure to the ground do not include root crops that are grown underground (e.g., carrots, potatoes, etc.). Handling contamination could also be caused by the use of cloths or towels to remove dirt and/or debris from product.	A No or N/A response must be justified in comments section. Avoid stacking soiled bins on top of each other if the bottom of the bin has had direct contact with soil. Product and packing materials used in the harvesting process should be placed with protection underneath and handled in a manner to eliminate contamination from the ground or from inappropriate human handling, which includes commodities where it is industry practice to place the products on the ground after harvest (e.g., asparagus). Crops down scored for exposure to the ground do not include root crops that are grown underground (e.g., carrots, potatoes, etc.). Handling contamination could also be caused by the use of cloths or towels to remove dirt and/or debris from product. Visual confirmation required. 5 points.
3.03e	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 recorded?	The operation should be actively inspecting packaging materials prior to use and also checking packed product after the packing process. If any contamination issues are found, then corrective actions should be enacted and recorded.	A No or N/A response must be justified in comments section. The operation should be actively inspecting packaging prior to use as well as packed product being inspected after packing; where contamination issues are found corrective action taken and recorded. Visual confirmation (may include documentation) required. 5 points.
3.03f	If packing material is left in the field overnight is it secured and protected?	All containers, cartons, packing material should be stored in a protected area to reduce the risk of contamination and tampering that can occur if cartons are left in field overnight.	A No or N/A response must be justified in comments section. All containers, cartons, packing material should be stored in a protected area to reduce the risk of contamination and tampering that can occur if cartons are left in field overnight. Visual confirmation required. 5 points.
3.04	Are grading and packing tables used? If No, go to 3.5.	This refers to food contact surfaces used to grade, inspect, re-pack, or pack product.	If No, go to 3.5 and mark the following questions N/A. This refers to food contact surfaces used to grade, inspect, re-pack, or pack product. Visual confirmation required. 0 points. No N/A.
3.04a	Does the surface allow for easy sanitation?	Grading and packing table surfaces should be made of materials suitable for food contact that can be easily cleaned. Surfaces that are porous, trap debris, badly damaged should be replaced. Wood for example is porous and can trap moisture.	A No or N/A response must be justified in comments section. This refers to food contact surfaces used to grade, inspect, re-pack, or pack product. Visual confirmation required. 5 points.

3.04b	Are grading and packing tables subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 3.5.	There should be evidence of a sanitation program in place for packing tables, etc. The program should state the frequency of cleaning and the cleaning procedures.	If No, go to 3.5. and mark the following questions N/A. A No or N/A response must be justified in comments section. There should be evidence of a sanitation program in place for packing tables, etc. The program should state the frequency of cleaning and the cleaning procedures. Visual confirmation (documentation) required. 5 points.
3.04c	Is an antimicrobial solution (e.g. chlorinated or equivalent) used to sanitize the grading and packing tables after cleaning has occurred?	Antimicrobial solutions, if properly managed help ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded.	A No or N/A response must be justified in comments section. Antimicrobial solutions, if properly managed help ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded. Visual confirmation (documentation) required. 5 points.
3.04d	Are records of grading and packing tables equipment cleaning being maintained?	There should be cleaning and sanitizing records showing that the sanitation program is being maintained.	A No or N/A response must be justified in comments section. There should be cleaning and sanitizing records showing that the sanitation program is being maintained. Visual confirmation (documentation) required. 5 points.
3.05	Are re-useable containers (e.g. buckets, field totes, lugs, bins) used in the harvesting operation? If No, go to 3.6.	This refers to any re-useable containers used in the harvesting operation (e.g., buckets, field totes, lugs, bins, gondolas).	If No, go to 3.6 and mark the following questions N/A. This refers to any re-useable containers used in the harvesting operation (e.g., buckets, field totes, lugs, bins, gondolas). Visual confirmation required. 5 points. No N/A
3.05a	Are re-useable containers made of easy to clean materials?	All re-useable containers (totes, bins, buckets, etc.) should be made of easy to clean, smooth seamed materials that do not flake or oxidize. Validation that packaging material is suitable for its intended purpose (e.g. certificate of conformance for all food contact packaging, tests/analysis confirming no chemical migration to food contents). Efforts should be made to eliminate wooden surfaces because of its porous nature. Where wood containers are used they should be in a state of good repair and a written cleaning and repair program must be in place.	A No or N/A response must be justified in comments section. All re-useable containers (totes, bins, buckets, etc.) should be made of easy to clean, smooth seamed materials that do not flake or oxidize. Validation that packaging material is suitable for its intended purpose (e.g. certificate of conformance for all food contact packaging, tests/analysis confirming no chemical migration to food contents). Efforts should be made to eliminate wooden surfaces because of its porous nature. Where wood containers are used they should be in a state of good repair a written cleaning and repair program must be in place. Visual confirmation required. 5 points.
3.05b	Are re-useable containers subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 3.5e.	There must be evidence that a sanitation program is in place for re-useable containers. The program should state the frequency of cleaning and the cleaning procedures.	If No, go to 3.5e and mark the following questions N/A. A No or N/A response must be justified in comments section. There must be evidence that a sanitation program is in place for re-useable containers. The program should state the frequency of cleaning and the cleaning procedures. Visual confirmation required. 5 points.
3.05c	Is an antimicrobial solution (e.g. chlorinated or equivalent) used to sanitize the re-useable containers after cleaning has occurred?	Antimicrobial solutions, if properly managed ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis.	A No or N/A response must be justified in comments section. Antimicrobial solutions, if properly managed ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis. Visual confirmation required. 5 points.
3.05d	Are records of re-useable containers cleaning being maintained?	There should be cleaning and sanitizing records showing that the sanitation program is being maintained.	A No or N/A response must be justified in comments section. There should be cleaning and sanitizing records showing that the sanitation program is being maintained. Visual confirmation required. 5 points.
3.05e	Are re-useable containers free from any handling contamination?	Re-useable containers used in the harvesting process should be managed to eliminate contamination from inappropriate handling practices.	A No or N/A response must be justified in comments section. Re-useable containers used in the harvesting process should be managed to eliminate contamination from inappropriate handling practices. Visual confirmation required. 5 points.

3.06	Are tools (e.g. knives, clippers, scissors, etc.) used in harvesting? If No, go to 3.7.	This refers to harvest tools (e.g. knives, clippers, scissors, etc.) used in harvesting.	If No, go to 3.7 and mark the following questions N/A. This refers to harvest tools (e.g. knives, clippers, scissors, etc.) used in harvesting. Visual confirmation required. 0 points. No N/A
3.06a	Are harvest tools (e.g. knives, coring rings, holsters) made of non-corrosive and easy to clean materials (e.g. no wood or fabric parts)?	To prevent foreign contamination issues, harvest tools (e.g., knives, coring rings, etc.) should be constructed of easy to clean materials. Tools should be shard free, smooth seamed that do not have ability to flake or oxidize.	A No or N/A response must be justified in comments section. To prevent foreign contamination issues, harvest tools (e.g., knives, coring rings, etc.) should be constructed of easy to clean materials. Tools should be shard free, smooth seamed that do not have ability to flake or oxidize. Visual confirmation required. 5 points.
3.06b	Are harvest tools not being taken into break or toilet areas or used for any other purpose other than product harvesting?	In order to prevent contamination, harvest tools (e.g., knives, coring rings, etc.) should not be taken into break/toilet areas or used for any other purpose other than product harvesting.	A No or N/A response must be justified in comments section. In order to prevent contamination, harvest tools (e.g., knives, coring rings, etc.) should not be taken into break/toilet areas or used for any other purpose other than product harvesting. Visual confirmation required. 5 points.
3.06c	Are harvest tools free from exposure to the ground and/or any handling contamination?	Harvest tools (knives, clippers, scissors, etc.) should be free from exposure to the ground and/or any handling contamination.	A No or N/A response must be justified in comments section. Harvest tools (knives, clippers, scissors, etc.) should be free from exposure to the ground and/or any handling contamination. Visual confirmation required. 5 points.
3.06d	Is there an equipment and utensil (e.g. knives) storage and control procedure for when items are not in use?	Employees should not be taking tools such as knives from the work area and should be required to use knife scabbards that can easily be cleaned i.e. non-porous. The operation should have a policy detailing the control, storage and cleaning procedures for knife scabbards. Leather scabbards should not be used. Visual confirmation required.	A No or N/A response must be justified in comments section. Employees should not be taking tools such as knives from the work area and should be required to use knife scabbards that can easily be cleaned i.e. non-porous. The operation should have a policy detailing the control, storage and cleaning procedures for reusable containers, gloves, utensils, aprons and all other reusable items used and worn by the workers. Leather scabbards should not be used. Visual confirmation required. 5 points.
3.06e	Are harvest tools subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 3.6h.	There must be evidence that a sanitation program is in place for harvesting tools. The program should state the frequency of cleaning and the cleaning procedures. Dipping of harvest tools in antimicrobial solution in the harvesting process, might also be required, please see later question.	If No, go to 3.6h and mark the following questions N/A. A No or N/A response must be justified in comments section. There must be evidence that a sanitation program is in place for harvesting tools. The program should state the frequency of cleaning and the cleaning procedures. Dipping of harvest tools in antimicrobial solution in the harvesting process, might also be required, please see later question. Visual confirmation (documentation) required. 5 points.
3.06f	Is an antimicrobial solution (e.g. chlorinated or equivalent) used to sanitize the harvesting tools after cleaning has occurred?	Antimicrobial solutions, if properly managed ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded. Solutions too weak may be ineffective, while those too strong might cause residue issues.	A No or N/A response must be justified in comments section. Antimicrobial solutions, if properly managed ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded. Solutions too weak may be ineffective, while those too strong might cause residue issues. Visual confirmation (documentation) required. 5 points.
3.06g	Are records of harvesting tools cleaning being maintained?	There should be cleaning and sanitizing records showing that the sanitation program is being maintained.	A No or N/A response must be justified in comments section. There should be cleaning and sanitizing records showing that the sanitation program is being maintained. Visual confirmation (documentation) required. 5 points.

3.06h	Are harvesting tool dips being maintained properly in terms of antimicrobial solution strength and are records of the solutions checks being maintained? AUDITORS SHOULD REQUIRE A TEST AT THE TIME OF THE AUDIT.	There should be records to show that the tool dip solutions are being maintained on a regular basis. The strength of sanitizers should be checked on a regular basis e.g. hourly and recorded, minimum strength for a chlorinated system is >1ppm free chlorine or >650mV. Total chlorine does not measure the "available chlorine" after the dip has started to be used. * AUDITORS ARE INSTRUCTED TO REQUIRE A TEST AT THE TIME OF THE AUDIT.	A No or N/A response must be justified in comments section. There should be records to show that the tool dip solutions are being maintained on a regular basis. The strength of sanitizers should be checked on a regular basis e.g. hourly and recorded, minimum strength for a chlorinated system is >1ppm free chlorine or >650mV. Total chlorine does not measure the "available chlorine" after the dip has started to be used. * AUDITORS SHOULD REQUIRE A TEST AT THE TIME OF THE AUDIT. Visual confirmation (documentation) required. 5 points.
3.07	Is machinery used in the harvesting process? If No, go to 3.8.	This includes equipment with the potential to affect product (e.g., conveyor belts, mechanical harvesting units, field packing rigs, coring rigs and any "in-field" processing rigs). Please note that there are some more specific questions for coring rigs and any "in- field" processing rigs in a later section.	If No, go to 3.8 and mark the following questions N/A. This includes any conveyor belts that might be part of a field packed situation. Also includes mechanical harvesting unit, any field packing rigs, any coring rigs and any "in-field" processing rigs. Please note that there are some more specific questions for coring rigs and any "in- field" processing rigs in a later section. Visual confirmation required. 0 points. No N/A
3.07a	Are all food contact surfaces on the machinery used in the harvest process constructed of food grade materials or stainless steel?	Food contact surfaces on equipment should be free of flaking paint corrosion, rust, and other materials. Food contact surfaces should be made of non-toxic, non-porous materials. Surfaces should be maintained in good condition.	A No or N/A response must be justified in comments section. Food contact surfaces on equipment should be free of flaking paint corrosion, rust, and other materials. Food contact surfaces should be made of non-toxic, non-porous materials. Surfaces should be maintained in good condition. Visual confirmation required. 5 points.
3.07b	Does the packing surface allow for easy sanitation?	Packing surfaces should be made of sanitary, food grade material that can be easily cleaned. Foam rubber, any type of carpet, non-food grade plastic, tape, etc. should not be used. Efforts should be made to eliminate wooden surfaces.	A No or N/A response must be justified in comments section. Packing surfaces should be made of sanitary, food grade material that can be easily cleaned. Foam rubber, any type of carpet, non- food grade plastic, tape, etc. should not be used. Efforts should be made to eliminate wooden surfaces. Visual confirmation required. 5 points.
3.07c	Is the harvesting equipment subject to a documented cleaning program including stating the cleaning frequency and cleaning procedures? If No, go to 3.7f.	There must be evidence of a sanitation program in place for specialized harvest equipment, etc. The program should state the frequency of cleaning and the cleaning procedures. Frequency should reflect the type of machinery, type of harvesting practice and risk associated with the crop involved. For "in-field" processing, clean and core, etc. at least daily cleaning should be performed.	If No, go to 3.7f and mark the following questions N/A. A No or N/A response must be justified in comments section. There must be evidence of a sanitation program in place for specialized harvest equipment. The program should state the frequency of cleaning and the cleaning procedures. Frequency should reflect the type of machinery, type of harvesting practice and risk associated with the crop involved. For "in-field" processing, clean and core, etc. at least daily cleaning should be performed. Visual confirmation (documentation) required. 5 points.
3.07d	Is an antimicrobial solution (e.g. chlorinated or equivalent) used to sanitize the harvesting equipment after cleaning has occurred?	Antimicrobial solutions, if properly managed help ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded.	A No or N/A response must be justified in comments section. Antimicrobial solutions, if properly managed help ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded. Visual confirmation (documentation) required. 5 points.
3.07e	Are records of harvesting equipment cleaning being maintained?	There should be cleaning and sanitizing records showing that the sanitation program is being maintained.	A No or N/A response must be justified in comments section. There should be cleaning and sanitizing records showing that the sanitation program is being maintained. Visual confirmation (documentation) required. 5 points.

3.07f	Is equipment designed and used properly to minimize product contamination (e.g. drip pans utilized, lights protected)?	Overhead contamination from materials such as hydraulic fluid can result in product and/or packaging contamination, therefore equipment should be fitted with catch pans.	A No or N/A response must be justified in comments section. Overhead contamination from materials such as hydraulic fluid can result in product and/or packaging contamination, therefore equipment should be fitted with catch pans. Where not feasible to install drip pans, but a pre-operational check of equipment has been done and records maintained, this should be acceptable. Visual confirmation (may include documentation) required. 5 points.
3.07g	Are only food grade lubricants used on the critical parts of the harvesting machinery that have the potential to contaminate product?	In order to prevent or reduce contamination to product/packaging, food grade lubricants (i.e. incidental food contact compounds or H1 materials) should be used on critical areas of equipment where product exposure exists. Proof must be available that food grade lubricants are being used.	A No or N/A response must be justified in comments section. In order to prevent or reduce contamination to product/packaging, food grade lubricants (i.e. incidental food contact compounds or H1 materials) should be used on critical areas of equipment where product exposure exists. Proof must be available that food grade lubricants are being used (e.g., container, label information). Visual confirmation (may include documentation) required. 3 points.
3.07h	Are all glass issues on harvesting machines, in-field trucks, and tractors protected in some manner?	Glass located on the harvesting machinery (e.g. lights, night lights) that may pose a threat of contamination onto product, packaging, and re-useable containers should be protected. Machinery includes tractors and other equipment that may come into contact with product. There should be no evidence of cracked lenses.	A No or N/A response must be justified in comments section. Glass located on the harvesting machinery (e.g. lights) that may pose a threat of contamination onto product, packaging, and re-useable containers should be protected. Machinery includes tractors and other equipment that may come into contact with product. Visual confirmation required. 3 points.
3.07i	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?	Measures should be taken to eliminate or reduce potential contamination by placing protection on areas of equipment above product, food contact surfaces, and belts.	A No or N/A response must be justified in comments section. Measures should be taken to eliminate or reduce potential contamination by placing protection on areas of equipment above product, food contact surfaces, and belts. Visual confirmation required. 3 points.
3.08	Is water used directly on product contact (e.g. re-hydration, core in field)? If No, go to 3.9.	This refers to water that is used directly on product contact. Examples may include but are not limited to re-hydration, core in field.	If No, go to 3.9 and mark the following questions N/A. This refers to water that is used directly on product contact. Examples may include but are not limited to re-hydration, core in field. Visual confirmation required. 0 points. No N/A
3.08a	Are microbial tests conducted including generic <i>E.coli</i> on water used for washing, hydrating, etc. harvested crops (e.g. re-hydration, core in field) ? If No, go to 3.8c.	Water that directly contacts edible portions of harvested crop should meet microbial standards set forth in U.S. EPA National Drinking Water Regulations, and/or contain an approved disinfectant at sufficient concentration to prevent cross contamination.	If No, go to 3.8c and mark the following questions N/A. A No or N/A response must be justified in comments section. Water that directly contacts edible portions of harvested crop should meet microbial standards set forth in U.S. EPA National Drinking Water Regulations, and/or contain an approved disinfectant at sufficient concentration to prevent cross contamination. Visual confirmation (documentation) required. 10 points.
3.08b	Are the microbiological tests current and conducted at the required and/or expected frequencies?	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. Sample sources as close to the point-of-use as possible.	A No or N/A response must be justified in comments section. One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. Sample sources as close to the point-of-use as possible. Visual confirmation (documentation) required. 10 points.
3.08c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.	A No or N/A response must be justified in comments section. Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings. Visual confirmation (documentation) required. 10 points.

3.08d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	For generic <i>E.coli</i> there should be negative or < detection limit (MPN or CFU/100mL). Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (<i>E.coli</i> O157:H7 and Salmonella < detection limits or Negative- zero tolerance). *	A No or N/A response must be justified in comments section. For generic <i>E.coli</i> there should be negative or < detection limit (MPN or CFU/100mL). Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (<i>E.coli</i> O157:H7 and Salmonella < detection limits or Negative- zero tolerance). Visual confirmation (documentation) required. 15 points.
3.08e	Are the antimicrobial parameters clearly documented and correct for the type antimicrobial being used?	Antimicrobial standards should be indicated in an SOP and/or on the recording documentation. For chlorine, the criteria should be >1ppm free chlorine or ORP >650 mV for recycled water systems. Total chlorine records are not viewed as acceptable for recycled water systems. Single pass systems must have stated antimicrobial level. Other antimicrobials include ozone, peracetic acid, etc. *	A No or N/A response must be justified in comments section. Antimicrobial standards should be indicated in an SOP and/or on the recording documentation. For chlorine, the criteria should be >1ppm free chlorine or ORP >650 mV for recycled water systems. Total chlorine records are not viewed as acceptable for recycled water systems. Single pass systems must have stated antimicrobial level. Other antimicrobials include ozone, peracetic acid, etc. Visual confirmation (documentation) required. 10 points.
3.08f	Are antimicrobial checks being performed on a routine basis?	Antimicrobial checks should be performed on a routine basis. For manual microbial additions, for "single pass" systems, this should be every batch of antimicrobial solution that is mixed, for recycled systems the minimum testing frequency is hourly. If direct continuous injection (pumping) of the antimicrobial is used, then minimum of hourly verification checks should occur.	A No or N/A response must be justified in comments section. Antimicrobial checks should be performed on a routine basis. For manual microbial additions, for "single pass" systems, this should be every batch of antimicrobial solution that is mixed, for recycled systems the minimum testing frequency is hourly. If direct continuous injection (pumping) of the antimicrobial is used, then minimum of hourly verification checks should occur. Visual confirmation (documentation) required. 10 points.
3.08g	Are corrective actions recorded where antimicrobial results are less than the stated minimum criteria?	Documented corrective actions are required when antimicrobial results are less than the stated minimum. These corrective actions should indicate what happens to the products as well as how changes are made to the process e.g. adding more chemical.	A No or N/A response must be justified in comments section. Documented corrective actions are required when antimicrobial results are less than the stated minimum. These corrective actions should indicate what happens to the products as well as how changes are made to the process e.g. adding more chemical. Visual confirmation (documentation) required. 10 points.
3.09	Is the harvested product "in-field processed" or "In-field semi-processed" (e.g. core in field, top & tail, florets)? If No, go to 4.1.	"In-field processed" products are subject to the all the questions in this audit and these extra requirements below. "In-field processed" usually refers to product who having multiple cuts surfaces created in the field e.g. coring in field, topping & tailing, florets.	If No, go to 4.1 and mark the following questions N/A. "In-field processed" products are subject to the all the questions in this audit and these extra requirements below. "In-field processed" usually refers to product who having multiple cuts surfaces created in the field e.g. coring in field, topping & tailing, florets. Visual confirmation required. 0 points. No N/A.
3.09a	Does the process flow, machine layout, employee control, utensil control, etc. ensure that processed products are not contaminated by unprocessed products?	The design, personnel management, utensil management and general practice should avoid contact between processed and unprocessed product, contact surfaces and tools.	A No or N/A response must be justified in comments section. The design, personnel management, utensil management and general practice should avoid contact between processed and unprocessed product, contact surfaces and tools. Visual confirmation required. 5 points.
3.09b	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)?	An outer garment policy considering potential cross contamination and foreign material risks should be established.	A No or N/A response must be justified in comments section. An outer garment policy considering potential cross contamination and foreign material risks should be established. Visual confirmation required. 5 points.
3.09c	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?	Protective outer garments should be removed and kept clean and in a secure area during breaks or when using the toilet facilities.	A No or N/A response must be justified in comments section. Protective outer garments should be removed and kept clean and in a secure area during breaks or when using the toilet facilities. Visual confirmation required. 5 points.
3.09d	Are all plastic bin liners closed immediately after harvest to avoid contamination of the harvested product?	All plastic bin liners should be closed immediately and appropriately secured after harvest to avoid product contamination.	A No or N/A response must be justified in comments section. All plastic bin liners should be closed immediately and appropriately secured after harvest to avoid product contamination. Visual confirmation required. 3 points.

4	Transportation and Tracking		
4.01	Are the vehicles transporting fresh produce from field to facility limited to this function only and maintained in proper condition?	Vehicles transporting product should be limited to this function only. Vehicles should be in a good state of repair, clean, odor free, free from personal items, and free from chemical and microbiological contamination. If loads are tied down, tarps, belts, ropes, etc, should also be in good working order, without contamination risk to product.	A No response must be justified in comments section. Vehicles transporting product should be limited to this function only. Vehicles should be in a good state of repair, clean, odor free, free from personal items, and free from chemical and microbiological contamination. If loads are tied down, tarps, belts, ropes, etc, should also be in good working order, without contamination risk to product. Visual confirmation required. 5 points.
4.02	Is there a system in place to track product from the farm? If No, go to 5.1.	There should be a tracking system in place to ensure product can be traced back to each exact growing location (e.g. grower identification, farm identification, block, etc.).	If No, go to 5.1 and mark the following questions N/A. A No response must be justified in comments section. There should be a tracking system in place to ensure product can be traced back to each exact growing location (e.g. grower identification, farm identification, block, etc.). Visual confirmation required. 20 points. No N/A.
4.02a	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.	For finished goods packed in the field there should be date coding on each individual unit. This question is non-applicable for raw material/bulk product destined for further handling in a packinghouse or processor facility. However, if there are no coding details indicated on pallet tags, bins, trip ticket, or other accompanying load documentation then the response would be no.	A No or N/A response must be justified in comments section. For finished goods packed in the field there should be date coding on each individual unit. This question is non-applicable for raw material/bulk product destined for further handling in a packinghouse or processor facility. However, if there are no coding details indicated on pallet tags, bins, trip ticket, or other accompanying load documentation then the response would be no. Coding (painting, engraving, etc.) on a harvest container detailing the farm name is not sufficient, there must be accompanying field documentation for each load. Visual confirmation required. 10 points.
4.02b	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.	For finished goods packed in the field there should be either a code on the pack, or a system to trace back from a date code to a product area(s). This question is non-applicable for raw material/bulk product destined for further handling in a packinghouse or processor facility. However, if there are no coding details indicated on pallet tags, bins, trip ticket, or other accompanying load documentation then the response would be no.	A No or N/A response must be justified in comments section. For finished goods packed in the field there should coding to trace back to the harvested field/lot/greenhouse code on each individual unit. For finished goods packed in the field there should be date coding on each individual unit. This question is non-applicable for raw material/bulk product destined for further handling in a packinghouse or processor facility. However, if there are no coding details indicated on pallet tags, bins, trip ticket, or other accompanying load documentation then the response would be no. Coding (painting, engraving, etc.) on a harvest container detailing the farm name is not sufficient, there must be accompanying field documentation for each load. Visual confirmation required. 10 points.
5	On Site Storage		
5.01	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.	On-site carton/container storage areas must be secure, clean, and maintained properly to reduce pest and foreign material contamination.	If No, go to 6.1 and mark the following questions N/A. On-site carton/container storage areas must be secure, clean, and maintained properly to reduce pest and foreign material contamination. Visual confirmation required. 0 points. No N/A.
5.01a	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.)?	Packaging, containers, etc., should be stored away from farm chemicals, sanitizers, fertilizers, etc. All packaging materials should be stored off the ground (i.e. on racks, pallets, shelves, etc.). Cartons and other packing materials should be properly protected during storage to prevent contamination.	A No or N/A response must be justified in comments section. Packaging, containers, and harvesting equipment should be stored to prevent cross contamination (this includes RPCs, cartons, clamshells, bins, and other harvesting type of containers that are single use or reusable, etc.) Visual confirmation required. 5 points.
5.01b	Is the storage area under a sanitation program?	All storage areas should have a sanitation program in place.	A No or N/A response must be justified in comments section. Storage areas must be kept in clean and sanitary conditions proving that a sanitation program in place. Visual confirmation required. 5 points.

5.01c	Is the storage area under a pest control program?	All storage areas should have a pest control program in place (which may include vertebrates, bird, etc.). Poisonous bait must not be placed inside the storage areas (risk of cross contamination). Poisonous bait stations and other pesticides should only be used outside. Snap traps are not allowed unless the placement is for emergency situations. Avoid using allergen containing baits/attractants e.g. peanut butter.	A No or N/A response must be justified in comments section. All storage areas should have a written pest control program in place (which may include vertebrates, bird, etc.). Poisonous bait must not be placed inside the storage areas (risk of cross contamination). Poisonous bait stations and other pesticides should only be used outside. Snap traps are not allowed unless the placement is for emergency situations. Avoid using allergen containing baits/attractants e.g. peanut butter. Visual confirmation required. 5 points.
6	Food Security		
6.01	Is access to the harvest area and related equipment controlled (unauthorized individuals not allowed near the equipment)?	To reduce risk of tampering to equipment and harvest area (or areas still in production), access to should be limited.	A No response must be justified in comments section. To reduce risk of tampering to equipment and harvest area (or areas still in production), access to should be limited. Visual confirmation required. 5 points. No N/A.
6.02	Are Harvest Crew Foreman and members directed to report entry of unauthorized individuals?	If entry of unauthorized individuals is recognized, harvest crew members/supervisors should report sightings.	A No response must be justified in comments section. If entry of unauthorized individuals is recognized, harvest crew members/supervisors should report sightings. Visual confirmation required. 5 points. No N/A.
6.03	Does the company have documented food security policies?	Documented food security policies should be in place (e.g. a document that summarizes the "rules" pertaining to personnel, site, and incoming material security).	A No response must be justified in comments section. Documented food security policies should be in place (e.g. a document that summarizes the "rules" pertaining to personnel, site, and incoming material security. Visual confirmation (documentation) required. 3 points. No N/A.
6.04	Are materials such as sanitizers or packaging (cartons, film, wraps, etc.) stored in secured areas overnight?	Critical materials used in the harvesting process must be stored in secured areas with controlled access to reduce potential tampering.	A No response must be justified in comments section. Critical materials used in the harvesting process must be stored in secured areas with controlled access to reduce potential tampering. Visual confirmation required. 5 points. No N/A.
6.05	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)?	Packaging material (cartons, wrap film, fruit cups, etc.) should be stored in secured areas with controlled access to reduce potential tampering.	A No response must be justified in comments section. Packaging material (cartons, wrap film, fruit cups, etc.) should be stored in secured areas with controlled access to reduce potential tampering. Visual confirmation required. 5 points. No N/A.
6.06	Are background checks conducted on critical personnel?	Background checks (e.g. social security numbers, INS details, previous job references) should be conducted on harvest crew personnel.	A No response must be justified in comments section. Background checks (e.g. social security numbers, INS details, previous job references) should be conducted on harvest crew personnel. Visual confirmation (documentation) required. 5 points. No N/A.
6.07	Are all personal materials kept away from the harvest and packaging of the harvesting operation?	Personal materials (with special attention to foodstuffs, glass items etc.) should be kept away from the operations and storage areas.	A No response must be justified in comments section. Personal materials (with special attention to foodstuffs, glass items etc.) should be kept away from the operations and storage areas. Visual confirmation required. 5 points. No N/A.
6.08	Are all personnel required to undergo training on food security issues and are records kept?	Records should be kept for attendance of either external or in-house training on the food security issues.	A No response must be justified in comments section. Records should be kept for attendance of either external or in-house training on the food security issues. Visual confirmation (documentation) required. 5 points. No N/A.
6.09	Are off premises transportation vehicles (trucks, trailers, rail cars, etc.) equipped with cell phones, two way radio, GPS or other positioning systems?	Transportation vehicles should be equipped with means of communication.	A No response must be justified in comments section. Transportation vehicles should be equipped with means of communication. Visual confirmation required. 5 points. No N/A.

*Where laws, commodity specific guidelines and/or best practice recommendations exist and are derived from a reputable source, then these practices and parameters should be used. Audit users should allow a degree of risk association if laws, guidelines, best practices, etc., have not been documented.

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