Rev. 3

GMP OPERATIONS	
FIELD NAME	**RESPONSE**
Season:	Month From:_____ Month to:_____ ☐ Year around season
Country of destination for product:	_____
Total Number of Workers for the Operation: _____	Maximum number of workers during peak season: _____
Number of lines for the operation: _____	Number of lines being used during the audit: _____
Facility Size: _____	☐ Square Feet ☐ Square Meters
Facility Environment Conditions:	☐ Dry Environment Only ☐ Wet- Single Pass Water Use with Product contact ☐ Wet- Recycled Water Use with Product Contact ☐ Wet- High Humidity Storage

Was an anti-microbial used in the water/ice?	☐ Yes
	   ☐ Chlorine dioxide
	   ☐ Sodium/calcium hypochlorite
	   ☐ Acidified chlorine
	   ☐ Peroxyacetic acid
	   ☐ UV Light
	   ☐ Ozone
	   ☐ Other: _____
	 ☐ No
	 ☐ N/A

Are allergens present in the facility?	☐ Yes ☐ Beef ☐ Buckwheat ☐ Celery ☐ Cereal Grains w/Gluten ☐ Chicken ☐ Crab ☐ Crustacean Shellfish ☐ Egg ☐ Fish ☐ Lupin ☐ Mackerel ☐ Mango ☐ Milk ☐ Molluscan Shellfish ☐ Mustard ☐ Peach ☐ Peanut ☐ Pork ☐ Royal Jelly ☐ Sesame ☐ Shrimp/Prawn ☐ Soy ☐ Squid ☐ Sulfites >= 10 ppm ☐ Tomato ☐ Tree Nuts ☐ Walnuts ☐ Wheat ☐ Other:_____ ☐ No
Is temperature controlled storage used?	☐ Yes ☐ No
Water use:	☐ Municipal/District ☐ Well ☐ Non-Flowing Surface Water ☐ Open Flowing Surface Water ☐ Reclaimed Water

		☐ Tail Water	
Is cooling equipment used?	☐ Yes	☐ Hydrovac,	
		☐ Hydrocooler	
		☐ Vacuum Tube	
		☐ Ice Injector	
		☐ Forced Air	
		☐ Ice Machine	
		☐ Top Icing	
		☐ Other :_____	
	☐ No		
Are production areas completely enclosed?	☐ Yes		
	☐ No	☐ Single open door	
		☐ Numerous open doors	
		☐ Open structure on one to three sides	
		☐ Open sided building with roof	
		☐ No roof or production area is located outside	
		☐ Short-term outside storage due to product transfer e.g. staging for line, to/from a hydrocooler	
		☐ Describe situation in detail and any mitigating measures in place:_____	
Are storage areas completely enclosed?	☐ Yes		
	☐ No	☐ Single open door	
		☐ Numerous open doors	
		☐ Open structure on one to three sides	
		☐ Open sided building with roof	
		☐ No roof or production area is located outside	
		☐ Short-term outside storage due to product transfer e.g. staging for line, to/from a hydrocooler	
		☐ Describe situation in detail and any mitigating measures in place:_____ _____	

PrimusGFS - Checklist - v3.2

This Module should be completed for each one of the facility operations in the scope of the organization's application.

Module 5 - GMP option   (Sections 5.01 to 5.18)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Auditor Comments
General GMP	5.01.01	Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	15	
General GMP	5.01.02	Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and not commingled?	10	
General GMP	5.01.03	Are signs supporting GMPs posted appropriately?	10	
General GMP	5.01.04	Are the necessary food defense controls implemented in the operation?	10	
Pest Control	5.02.01	Are products or ingredients free of pests (e.g. insects, rodents, birds, reptiles, mammals) or any evidence of them? **ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.**	15	
Pest Control	5.02.02	Are packaging supplies free of pests (e.g., insects, rodents,birds,reptiles,mammals) or any evidence of them? **ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.**	15	
Pest Control	5.02.03	Are plant and storage areas free of pests (e.g., insects, rodents, birds, reptiles, mammals) or any evidence of them?	15	
Pest Control	5.02.04	Is the area outside the facility free of evidence of pest activity?	10	
Pest Control	5.02.05	Is there an effective pest control program in place? **ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.**	15	
Pest Control	5.02.06	Are pest control devices located away from exposed raw materials, work-in-progress, ingredients (including water and ice), finished goods and packaging, and poisonous bait stations are not used within the facility?	10	
Pest Control	5.02.07	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	5	
Pest Control	5.02.08	Are interior and exterior building perimeter pest control devices adequate in number and location?	5	
Pest Control	5.02.09	Are all pest control devices identified by a number or other code (e.g. barcode) ?	5	
Pest Control	5.02.10	Are all pest control devices effective and bait stations secured?	5	
Storage Areas & Packaging Materials	5.03.01	Does the facility layout ensure separation of ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well as any allergen cross contamination issues)?	15	

Section	Q #	Question	Total Points	Auditor Comments
Storage Areas & Packaging Materials	5.03.02	Is the facility's use restricted to the storage of food products?	5	
Storage Areas & Packaging Materials	5.03.03	Are rejected or on hold materials clearly identified and separated from other materials?	10	
Storage Areas & Packaging Materials	5.03.04	Are raw products, work in progress, ingredients (including water and ice), finished goods and food contact packaging within accepted tolerances for spoilage and free from adulteration? **ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.**	15	
Storage Areas & Packaging Materials	5.03.05	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	10	
Storage Areas & Packaging Materials	5.03.06	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?	5	
Storage Areas & Packaging Materials	5.03.07	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	5	
Storage Areas & Packaging Materials	5.03.08	Are storage areas at the appropriate temperatures for the specific products being stored?	10	
Storage Areas & Packaging Materials	5.03.09	Is any packaging being stored outside, being stored protected?	10	
Operational Practices	5.04.01	Does the process flow, facility layout, worker control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?	15	
Operational Practices	5.04.02	Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	15	
Operational Practices	5.04.03	Are production areas clean and well maintained; especially lights, ducts, fans, floor areas by the walls and equipment, and other hard to reach areas?	15	
Operational Practices	5.04.04	Where facilities are not completely enclosed, are there measures in place to mitigate potential hazards?	15	
Operational Practices	5.04.05	Is all re-work / re-packaging handled correctly?	10	
Operational Practices	5.04.06	Are raw ingredients examined before use?	5	
Operational Practices	5.04.07	Are finished products coded (carton and unit packaging) for the day of production?	5	
Operational Practices	5.04.08	Are foreign material control methods (e.g. metal detectors, metal traps, magnets, visual inspection, x-ray machines, etc.) in place and regularly tested (where relevant) to ensure proper operation?	10	
Operational Practices	5.04.09	Does the facility use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product contact water, terminal sanitizers, dip stations, etc.) being used, are they in operational condition and are they being used correctly?	15	

Section	Q #	Question	Total Points	Auditor Comments
Operational Practices	5.04.10	Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage?	15	
Operational Practices	5.04.11	Are hand washing stations in working order, have water of suitable temperature and pressure, adequately stocked (e.g. disposable towels, unscented soap, etc.) and restricted to hand washing purposes only?	15	
Operational Practices	5.04.12	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, unscented soap, etc.)?	15	
Operational Practices	5.04.13	Are secondary hand sanitation stations adequate in number and location, and are the stations maintained properly?	5	
Operational Practices	5.04.14	Are foot baths, foamers or dry powdered sanitizing stations adequate in number and location, and are the stations maintained properly?	3	
Operational Practices	5.04.15	Are single service containers used for their intended purpose only so that potential cross contamination is prevented?	5	
Operational Practices	5.04.16	Are re-usable containers cleanable and clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?	5	
Operational Practices	5.04.17	Are devices used to measure, regulate or control temperature, pH, acidity, water activity, and other conditions that affect food safety, working properly and adequately maintained?	3	
Worker Practices	5.05.01	Are workers washing and sanitizing their hands before starting work each day, after using the restroom, after breaks, before putting on gloves and whenever hands may be contaminated?	15	
Worker Practices	5.05.02	Are workers' fingernails clean, short and free of nail polish?	5	
Worker Practices	5.05.03	Are workers who are working directly or indirectly with food, free from signs of boils, sores, open wounds and are not exhibiting signs of foodborne illness?	10	
Worker Practices	5.05.04	Are workers wearing effective hair restraints that contain all hair?	5	
Worker Practices	5.05.05	Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?	5	
Worker Practices	5.05.06	Are all workers wearing protective outer garments suitable for the operation (e.g., appropriate clean clothes, smocks, aprons, sleeves, non-latex gloves)?	5	
Worker Practices	5.05.07	Do workers remove protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break, before using the toilets and when going home at the end of their shift?	5	
Worker Practices	5.05.08	Is there a designated area for workers to leave protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break and before using the toilets?	5	
Worker Practices	5.05.09	Are worker personal items being stored appropriately (i.e. not in the production or material storage area)?	5	
Worker Practices	5.05.10	Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	5	

Section	Q #	Question	Total Points	Auditor Comments
Worker Practices	5.05.11	Is fresh potable drinking water readily accessible to workers?	10	
Worker Practices	5.05.12	Are all items removed from garment (shirt, blouse, etc.) top pockets, and unsecured items are not worn (e.g., pens, glasses on top of the head, Bluetooth devices, etc.)?	3	
Worker Practices	5.05.13	Are first aid kits adequately stocked and readily available in the facility, and are blue band aids used?	5	
Equipment	5.06.01	Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	15	
Equipment	5.06.02	Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	10	
Equipment	5.06.03	Does food contact equipment design, placement, and condition (e.g., smooth surfaces, smooth weld seams, non-toxic materials, corrosion-resistant, no wood or other absorbent materials) facilitate effective cleaning and maintenance?	15	
Equipment	5.06.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	5	
Equipment	5.06.05	Are all thermometers non-glass and non-mercury?	10	
Equipment Cleaning	5.07.01	Are food contact equipment surfaces clean?	15	
Equipment Cleaning	5.07.02	Are non-food contact equipment surfaces clean?	10	
Equipment Cleaning	5.07.03	Are items (totes, bins, etc.) that are used to hold or store product clean?	10	
Equipment Cleaning	5.07.04	During cleaning, are food products and packaging materials protected from contamination?	15	
Equipment Cleaning	5.07.05	Are cooling units, including coils in coolers and freezers, clean and free of aged, dirty ice?	5	
Equipment Cleaning	5.07.06	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	5	
Equipment Cleaning	5.07.07	Is stored equipment that is not used on a daily basis stored in a clean condition with food-contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?	10	
Equipment Cleaning	5.07.08	Are all utensils, hoses, and other items not being used, stored clean and in a manner to prevent contamination?	10	
Equipment Cleaning	5.07.09	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	3	
Equipment Cleaning	5.07.10	Are excess lubricants and grease removed from the equipment and are lubricant catch pans fitted where needed?	5	
General Cleaning	5.08.01	Are spills cleaned up immediately?	10	
General Cleaning	5.08.02	Are waste and garbage frequently removed from production and storage areas?	5	

Section	Q #	Question	Total Points	Auditor Comments
General Cleaning	5.08.03	Are floor drains covered, do they appear clean, free from odors, in good repair, and flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system)?	10	
General Cleaning	5.08.04	Do high level areas, including overhead pipes, ducts, fans, etc., appear clean?	10	
General Cleaning	5.08.05	Are plastic strip curtains maintained in good condition, kept clean and mounted so that the tips are not touching the floor?	5	
General Cleaning	5.08.06	Is personal protection equipment (PPE) for the sanitation crew in good condition and stored to prevent cross contamination to raw products, work in progress, ingredients, finished goods or packaging?	3	
General Cleaning	5.08.07	Is cleaning equipment maintained clean and stored properly?	5	
General Cleaning	5.08.08	Is cleaning equipment identified in order to prevent potential cross contamination issues (e.g., production, maintenance, outside, restroom equipment)?	10	
General Cleaning	5.08.09	Are all items used for sanitation appropriate for their designated purpose (e.g., no steel wool, metal bristles, etc.)?	5	
General Cleaning	5.08.10	Are toilet facilities and hand washing stations clean?	15	
General Cleaning	5.08.11	Are worker break facilities clean, including microwaves and refrigerators, and no rotting or out of date foodstuffs?	5	
General Cleaning	5.08.12	Is the maintenance shop organized, with equipment and spares stored in a neat and tidy fashion?	5	
General Cleaning	5.08.13	Are internal transport vehicles (e.g., forklifts, bobcats, pallet jacks, carts, floor cleaners, etc.), clean, do not emit toxic fumes and are being used in a sanitary manner?	5	
General Cleaning	5.08.14	Are shipping trucks clean and in good condition?	5	
Buildings and Grounds	5.09.01	Are all lights in the facility that could potentially contaminate raw materials, work in progress, ingredients (including ice), finished goods, equipment or packaging shielded, coated or otherwise shatter resistant to protect product from contamination in the event of breakage?	15	
Buildings and Grounds	5.09.02	Has the operation eliminated or adequately controlled any potential metal, glass or brittle plastic contamination issues?	10	
Buildings and Grounds	5.09.03	Has the facility eliminated the use of wooden items or surfaces?	5	
Buildings and Grounds	5.09.04	Is there adequate lighting in the production and storage areas?	5	
Buildings and Grounds	5.09.05	Is ventilation adequate to control dust, condensation, odors and vapors?	10	
Buildings and Grounds	5.09.06	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	10	
Buildings and Grounds	5.09.07	Are the floor drains where they are needed for drainage and cleanup?	5	
Buildings and Grounds	5.09.08	Are closed doors and windows to the outside pest-proof?	10	
Buildings and Grounds	5.09.09	In temperature controlled environments, are docks enclosed and dock doors fitted with buffers/shelters to seal against trucks?	5	
Buildings and Grounds	5.09.10	Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?	3	

Section	Q #	Question	Total Points	Auditor Comments
Buildings and Grounds	5.09.11	Are exterior walls free of holes to exclude pests, and are pipes, vents, and air ducts designed and protected in order to prevent pest entry (e.g., by using fine mesh)?	5	
Buildings and Grounds	5.09.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	5	
Buildings and Grounds	5.09.13	Is an 18" (46 cm) internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters, thereby allowing inspection and cleaning?	5	
Buildings and Grounds	5.09.14	Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?	5	
Buildings and Grounds	5.09.15	Are control measures being implemented for the outside storage of equipment, pallets, tires, etc. (i.e. out of the mud, pipe ends capped, stacked to prevent pest harborage, away from the building perimeter)?	5	
Buildings and Grounds	5.09.16	Are pallets inspected to separate and replace dirty or broken pallets, and broken or dirty pallets are not in use?	5	
Buildings and Grounds	5.09.17	Is the area around the dumpster/cull truck/trash area clean?	3	
Buildings and Grounds	5.09.18	Are outside garbage receptacles and dumpsters kept covered or closed?	5	
Buildings and Grounds	5.09.19	Are all water lines protected against back siphonage?	5	
Buildings and Grounds	5.09.20	Where there is an on-site laboratory, is it completely enclosed and separated from production and storage areas?	5	
Site	5.10.01	Is there a site plan showing the facility location, adjacent sites, roads, water sources, storm water, wastewater and other relevant features?	5	
Site	5.10.02	Is there a facility floor plan showing the layout of the building, production areas, storage areas, water sources and fixtures, layout of equipment and traffic flow patterns?	5	
Site	5.10.03	Has a documented risk assessment been performed to ensure that any food safety hazards relevant to facility location and adjacent land use are identified and controlled?	10	
Site	5.10.04	Is there a current certificate of inspection (or similar record) for backflow prevention assemblies on water lines into the facility?	3	
Site	5.10.05	Is there a designated person responsible for the operation's food safety program?	10	
Chemical Files	5.11.01	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible (e.g., rodent chemicals, product sanitizers)?	5	
Chemical Files	5.11.02	Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	3	
Chemical Files	5.11.03	Are there specific Standard Operating Procedures (SOPs) for the monitoring of anti-microbial parameters in single pass and/or recirculated/batch water systems, changing of recirculated/batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.) and for monitoring pH and water temperature (if applicable)?	10	

Section	Q #	Question	Total Points	Auditor Comments
Pest Control Documentation	5.12.01	Is the pest control program properly documented, detailing the scope of the program, target pests and frequency of checks, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s)/training (if baits are used), and insurance documents?	15	
Pest Control Documentation	5.12.02	Is there a schematic drawing/plan of the facility showing numbered locations of all pest monitoring devices (e.g., rodent traps, bait stations, insect light traps, etc.) both inside and outside the facility?	10	
Pest Control Documentation	5.12.03	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	10	
Operation Monitoring Records	5.13.01	Are there inspection records for incoming goods (e.g., raw materials, ingredients and packing materials)?	5	
Operation Monitoring Records	5.13.02	Are there inspection logs on incoming trailers (and other forms of transport) for rodents and insects, cleanliness, holes and temperature control of the trailer (for food requiring temperature control for safety and/or as required per buyer specifications)?	10	
Operation Monitoring Records	5.13.03	Are there records for the necessary process monitoring activities (e.g., pH, water temperature vs. product temperature, metal detection, X-ray, labeling, heating processes, reduction/kill step processes, postharvest pesticides (e.g. fungicides), control of water activity, drying, etc.), showing, for example, monitoring frequencies, results and where necessary the corrective actions?	10	
Operation Monitoring Records	5.13.04	Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, peroxyacetic acid) strength testing of product contact water and ice solutions prior to start up and throughout the production runs?	10	
Operation Monitoring Records	5.13.05	Are there records of monitoring for build-up of organic material (turbidity) and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.)?	5	
Operation Monitoring Records	5.13.06	Are there records (with corrective actions) that show anti-microbial strength testing of hand/foot/tool dip stations, and are there stock check and replenishment records for gel and spray stations?	3	
Operation Monitoring Records	5.13.07	Is there a tool accountability program for knives and similar cutting hand tools used in the production area?	3	
Operation Monitoring Records	5.13.08	Is there a pre-operation inspection log?	10	
Operation Monitoring Records	5.13.09	Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	15	
Maintenance & Sanitation Files	5.14.01	Does the facility have a preventative maintenance program that includes a schedule and completion records?	10	

Section	Q #	Question	Total Points	Auditor Comments
Maintenance & Sanitation Files	5.14.02	Are there a logs of maintenance work and repairs and are they signed off when work is completed?	10	
Maintenance & Sanitation Files	5.14.03	Are there logs showing that equipment is properly cleaned and sanitized after maintenance and repair work has been completed?	5	
Maintenance & Sanitation Files	5.14.04	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	10	
Maintenance & Sanitation Files	5.14.05	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	10	
Maintenance & Sanitation Files	5.14.06	Are cleaning and sanitation logs on file that show what was done, when and by who?	10	
Maintenance & Sanitation Files	5.14.07	Are there records showing verification of cleaning and sanitizing chemical concentrations?	5	
Maintenance & Sanitation Files	5.14.08	Are there documented procedures and completion records for clean-in-place (CIP) activities (e.g., cleaning re-circulating water systems such as washing flumes, ice injectors, hydrocoolers, chilled water systems, ice makers, etc.), where applicable?	10	
Maintenance & Sanitation Files	5.14.09	Are there sanitation logs on file indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	10	
Maintenance & Sanitation Files	5.14.10	Are there records showing filters in air conditioning, evaporative coolers, ventilation and air filtration units are regularly cleaned and replaced?	5	
Maintenance & Sanitation Files	5.14.11	Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?	10	
Maintenance & Sanitation Files	5.14.12	Is there a routine program and written procedure to verify sanitation effectiveness using rapid post sanitation checks (e.g., ATP measurements, allergen specific proteins)?	15	
Maintenance & Sanitation Files	5.14.13	Is there a documented glass and brittle plastic management procedure (including company glass and brittle plastic policy, glass breakage procedure and where necessary a glass register)?	10	
Worker Documentation	5.15.01	Are there records of new worker food safety (GMP) orientation training (with topics covered and attendees) and are all workers required to sign the company's food safety hygiene and health policy?	10	
Worker Documentation	5.15.02	Are there logs of ongoing worker food safety education training, including topics covered, attendees, etc.?	10	
Worker Documentation	5.15.03	Are there training logs for the sanitation workers, including best practices and chemical use details?	5	

Section	Q #	Question	Total Points	Auditor Comments
Worker Documentation	5.15.04	Are there written and communicated procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced, and include return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors should check procedure/policy but not the actual records).	10	
Worker Documentation	5.15.05	Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	3	
Worker Documentation	5.15.06	Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health requirements?	3	
Testing	5.16.01	Is there a written risk-based, scientifically valid microbiological testing program that may include pathogen testing, and details program design (zonal approach, food contact/non-food contact surfaces, spent sprout irrigation water, test & hold, water, ice, etc.), rationale for organisms tested for, procedures for sampling and testing (surfaces, water, product, ingredients, etc.), timing and frequency of testing, the testing methodology, the lab that performs the tests, and acceptable results/threshold levels for each organism?	15	
Testing	5.16.02	Are there written risk-based corrective action procedures for when unacceptable test results are received, that describe the steps to be taken, assign responsibility for taking those steps, and steps to ensure the cause is identified (e.g., root cause analysis) and corrected to minimize the potential for product contamination?	10	
Testing	5.16.03	Are there records of environmental microbiological test results and does testing meet the program requirements?	15	
Testing	5.16.04	Are there records of microbiological tests on water used in the facility (sampled from within the facility) and does the testing meet the program requirements?	15	
Testing	5.16.05	Are there records of microbiological tests on ice used in the facility (either produced in-house or purchased) and does testing meet the program requirements?	15	
Testing	5.16.06	Are there records of tests performed on compressed air or other mechanically introduced gases that are used directly on food and food contact surfaces and does testing meet the program requirements?	5	
Testing	5.16.07	Are there records of other tests (e.g., spent sprout irrigation water, product, raw ingredients, etc.) that are performed for any reason (e.g., customer requirements, best practice, regulatory requirements) and does testing meet program requirements?	15	
Testing	5.16.08	Are there records of corrective actions taken after unsuitable testing results that describe the steps taken, responsibility for taking those steps, and actions taken to ensure that the cause of contamination has been identified and corrected?	15	

Section	Q #	Question	Total Points	Auditor Comments
Testing (new question)	5.16.09	Is there a documented training program with training records for the sampling personnel, including aseptic sampling collection techniques, sampling protocols and sample handling?	10	
Testing	5.16.10	Where food safety related testing is being done in-house, is there a laboratory quality assurance manual with protocols and validated testing methods, evidence of training on testing protocols and methods, and relevant supporting documentation?	10	
Temperature Controlled Storage & Distribution Logs	5.17.01	Are there records of final product temperature checks for temperature sensitive product?	10	
Temperature Controlled Storage & Distribution Logs	5.17.02	Are there temperature logs for the production area (if refrigerated)?	5	
Temperature Controlled Storage & Distribution Logs	5.17.03	Are there temperature logs for storage rooms?	5	
Temperature Controlled Storage & Distribution Logs	5.17.04	Is there a documented procedure for checking truck trailer temperature and reviewing sanitary condition of truck trailers prior to loading?	10	
Temperature Controlled Storage & Distribution Logs	5.17.05	Are there records of shipping truck trailer (or other transportation systems) temperature checks, indicating the truck trailer temperature settings and that the truck trailer was pre-cooled prior to loading?	5	
Temperature Controlled Storage & Distribution Logs	5.17.06	Are there sanitary condition logs for shipping truck trailers (or other transportation systems)?	5	
Allergen Control	5.18.01	Are production and storage areas free of allergen risks (i.e. allergens are not stored or handled)??	0	
Allergen Control	5.18.02	Has a documented allergen management plan been developed?	10	
Allergen Control	5.18.03	Are there adequate storage controls (e.g., separation, identification, etc.) that ensure that allergens are not contaminating other materials?	5	
Allergen Control	5.18.04	Is there a dedicated allergen production line or adequate clean down and production procedures that prevent allergen cross contamination?	5	
Allergen Control	5.18.05	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	5	
Allergen Control	5.18.06	Does re-work handling take into account the issues associated with allergen containing products?	5	
Allergen Control	5.18.07	Are workers trained with respect to allergen risks and the facility allergen cross contamination controls (including hand washing between production runs) and are there records of this allergen training?	5	

Section	Q #	Question	Total Points	Auditor Comments
Allergen Control	5.18.08	Are worker practices adequate and being followed to protect against allergen cross-contact and against contamination of food?	5	
Allergen Control	5.18.09	Are all products manufactured on site labeled correctly with respect to allergens?	5	

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.

Document Revision History		
Date	Rev.#	Description
1/19/21	0	Initial
8/30/21	1	Changes to question 5.03.07
12/30/21	2	No changes to module 5
04-08-22	3	No changes to module 5