

## PrimusGFS Audit Report Guidelines

### Purpose:

To provide PrimusGFS auditors with the minimum requirements for reports entry and information to include in audit reports.

### 1) Audit Information/Scope Requirement

- a. Audit Started and Finished Date(s)/Times:
  - i. Audit duration includes the time required to perform the documentation review (including Module 1- FSMS) and the visual inspection for each operation included in the certification scope.
  - ii. The following guidelines are provided as an estimate of expected audit durations:
    - Farm, Harvest Crew, Packinghouse, Cooling & Cold Storage Audits (GFSI scope BI, BII, BIII) - minimum of 0.5 days.
    - Manufacturing Audits (GFSI scope CI, CIII, CIV) - minimum of 2 days
    - Storage & Distribution Audits (GFSI scope G) - minimum 1 day.
      - Any deviations from the minimum expected audit duration shall be adequately justified and shall be included in the Audit Executive Summary/scope.
  - iii. The times for both the documentation review and the visual inspection should reflect the size of the operation and the types of processes audited. If audits occur on multiple days, please ensure that each day's auditing activities are recorded separately.
  - iv. Audit duration includes the time from the opening meeting to the closing meeting (where the non-conformances found during the audit are reviewed). The timeframes shall be indicated in the audit report.
  - v. All times recorded in local time zones.
  - vi. When the documentation review is handled between audits (operations) in the same organization, it is recorded in the first inputted audit. It can only be edited on the audit where it was captured, impacting all the audits under that organization.
  - vii. For multiple operations under the same organization and application number (i.e., multiple ranches and harvest crews under one organization), the date and times should be recorded as the following:
    - Documentation date/time started and finished should be entered in the first audit ID submitted for the organization. The time will be captured and recorded in the subsequent reports for the organization's audit package.
    - Visual Inspection date/time started and finished should be the total amount of time to conduct the visual inspection for all operations.
    - An example for multiple operations audited under one organization application number and certification cycle: *The certification body scheduled a multi-day audit with farms and harvest crews.*

**Example Farm 1:**

Operation Type:	<b>Farm</b>
Audit Type:	<b>Announced Audit</b>
Audit Scope:	test
Date Documentation Review Started:	23 Aug 2019 10:00
Date Documentation Review Finished:	23 Aug 2019 15:00
Total Amount of Time on the Documentation Review:	5.00 Hours
Date Visual Inspection Started:	22 Aug 2019 11:00
Date Visual Inspection Finished:	22 Aug 2019 14:00
Total Amount of Time on Visual Inspection:	3.00 Hours

**Example Harvest Crew 1:**

Operation Type:	<b>Harvest Crew</b>
Audit Type:	<b>Announced Audit</b>
Audit Scope:	test
Date Documentation Review Started:	23 Aug 2019 10:00
Date Documentation Review Finished:	23 Aug 2019 15:00
Total Amount of Time on the Documentation Review:	5.00 Hours
Date Visual Inspection Started:	22 Aug 2019 11:00
Date Visual Inspection Finished:	22 Aug 2019 14:00
Total Amount of Time on Visual Inspection:	3.00 Hours

b. GPS Points

- i. GPS points should be captured for each operation. The GPS points allow customers to verify the operation location, be used for analytical purposes, and support other measures customers use for supplier compliance.
  - At least one GPS point is required for each Facility and Harvest Crew.
  - At least three (optimal four) per Farm and Indoor Agriculture operations.
  - Coordinates are entered as degrees, minutes, and seconds.
- ii. The auditor must verify the GPS points are correct by viewing the GPS link and map and editing, if necessary, in the report entry.

c. **Executive Summary**/Audit scope

- i. The **executive summary** should reflect what is observed at the time of the audit, including a description of the growing/harvesting/packing/processing process.
  - ii. **This executive summary is mandatory even in the absence of non-conformances.**
  - iii. If there are additional products that an operation produces during other times of the year, it can be acknowledged in the section of **“audit executive summary/scope.” Still**, the auditor should mention the process was not observed at the time of the audit.
  - iv. If significant issues were observed during the audit, **the auditor should include details of the situation.** (e.g., an automatic failure occurrence).
  - v. **There are details required in the “Additional Information” Section of the report entry that does not have to be repeated in the “executive summary” text box.**
- d. GFSI Scope
- i. **It is essential that the Auditor chooses the correct GFSI scope(s) during report entry. This is a required data field.**

GFSI Scope	Category name	Operation Type(s)	Examples of product
BI	Farming of Plants (other than grains and pulses)	<ul style="list-style-type: none"> <li>• Farm</li> <li>• Indoor Agriculture</li> <li>• Harvest Crew</li> </ul>	<p>Growing or harvesting plants (other than grains and pulses), <b>including horticultural products and hydrophytes for food.</b></p> <p><b>On farm storage of plants (other than grains and pulses), including horticultural products and hydrophytes for food.</b></p>
BII	Farming of Grains and Pulses	<ul style="list-style-type: none"> <li>• Farm</li> <li>• Indoor Agriculture</li> <li>• Harvest Crew</li> </ul>	<p>Growing or harvesting of grains and pulses for food. <b>On farm storage of grains and pulses for food.</b></p>
BIII	Pre-process handling of plant products, nuts and grains	<ul style="list-style-type: none"> <li>• Storage and Distribution Center</li> <li>• Cooling / Cold Storage</li> <li>• Packinghouse</li> </ul>	<p><b>Activities on harvested plants, including horticultural products and hydrophytes for food, that keep the products whole and integral.</b></p> <p>De-shelling of nuts; Drying of grain; Grading of fruit and vegetables; Storage;</p> <p>Cleaning, washing, rinsing, fluming, sorting, grading, trimming, bundling, cooling, hydro-cooling, waxing, drenching, packing, re-packing, staging, storing, loading and / or any other handling activity that does not</p>

			significantly transform the product from its original harvested form.
CII	Processing of perishable plant products	<ul style="list-style-type: none"> <li>• Processing</li> </ul>	<p>Production of plant products, including fruits and fresh juices, vegetables, grains, nuts, pulses and perishable pet food from plant products only.</p> <p>Washing, slicing, dicing, cutting, shredding, peeling, grading, pasteurization, cooking, chilling, juicing, pressing, freezing, packed in modified atmosphere, packed in vacuum packing or any other activity that significantly transforms the product from its original whole state.</p>
CIII	Processing of perishable animal and plant products (mixed products)	<ul style="list-style-type: none"> <li>• Processing</li> </ul>	<p>Production of mixed animal and plant products, including ready to eat and perishable pet food.</p> <p>Mixing, cooking, chilling, freezing, packing in modified atmosphere, packed in vacuum packing.</p> <p>(e.g. ready to eat salads with grilled chicken or other meat, frozen foods with both plant and animal ingredients, etc.).</p>
CIV	Processing of ambient stable products	<ul style="list-style-type: none"> <li>• Processing</li> </ul>	<p>Production of food products from any source that are stored and sold at ambient temperature, including canned food and ambient stable pet food.</p> <p>Aseptic filling, baking, bottling, brewing, canning, cooking, distilling, drying, extrusion, fermentation, freeze drying, pressing, frying, hot filling, irradiating, milling, mixing and blending, packing in modified atmosphere, packed in vacuum packing, pasteurizing, pickling, roasting, salting and refining.</p>

G	Storage and Distribution services for food	<ul style="list-style-type: none"> <li>Storage and Distribution Center</li> </ul>	<p>Storage, distribution, and/or logistics operations for the storage and transport of perishable or non-perishable food, feed, and packaging.</p> <p>Note: any packing with labelling activities are excluded.</p>
<i>Table 1: GFSI Scopes of Recognition (taken from GFSI v2020.1)</i>			

e. Product Information

- i. The auditor must confirm the product group/name(s) and select if product was observed during the audit; not observed but of a similar risk type to what was observed, or not observed and not of a similar risk type to what was observed.
- ii. **Select the seasonality of the product(s)**
  - The purpose of confirming product seasonality is for a customer compliance review, customer or industry analytics in the Supply Chain Program, etc.
- ii. **Select the country of destination for the product(s). If not known, the country of origin should be selected.**
  - The purpose of confirming the product country of destination is to gain information for specific compliance questions, acts as an aid for customer compliance reviews (i.e., FSVP decisions), and may be used in customer Supply Chain Program analytics.

f. Location Information

- i. Indicate if the organization and operation address(es) are correct.
  - If the address is incorrect, the auditor must inform the certification body to make the changes.

g. Additional Information.

- i. A list of audit information requirements can be found within each operational PrimusGFS v3.2 Checklist.
- ii. Farm/Indoor Agriculture operations:
  - Which agronomic inputs are used?
  - Which water source(s) are used in the growing operation?
  - Does water come into contact with the edible portion of the crop?
  - Which product grouping is the water source used for?
  - Operation size
  - Description of the adjacent land
  - A total number of workers for the operation. The auditor should clarify with the auditee and not rely on the number seen during the visual inspection.
  - If any work was being performed

- The cultural methods used (organic, conventional, transition, hydroponics, other)
  - What type(s) of toilet present at the operation
  - **Applicable to indoor agriculture: The temperature condition (ambient, controlled, other) and the structural material used (Glass, acrylic, plastic, other)**
- iii. Harvest Crew:
- A total number of workers for the operation. **The auditor should clarify with the auditee and not rely on the number seen during the visual inspection.**
  - Harvesting process either by hand or mechanical
  - If processing in the field was occurring **(core in field, top & tail, florets, other)**
  - If post-harvest water was used and, if yes, was an anti-microbial used **and the type.**
  - Which type(s) of equipment was used **(e.g., rig, ladder, buckets, RPCs, Knives, Picking carts, clippers/scissors, other)?**
- iv. Facility
- Total number of workers (on day of audit)
  - Maximum number of workers during peak season
  - Number of lines for the operation
  - Number of lines being used during the audit
  - Facility size
  - If an anti-microbial is used in the water/ice
  - If allergens are present
  - If temperature-controlled storage is used
  - Is cooling equipment used?
  - Which water source(s) are used?
  - Facility environment conditions (dry, high humidity storage, single-pass wash step, reused water wash step)

## 2) Auditor Comments for each Question

- i. The guideline *PrimusGFS Report Minimum Comments* is provided by Azzule and should be followed for commenting on each observation, and non-specific comments should be avoided.
- ii. All scores must be justified, except when specified that a Yes/No answer is acceptable.
- iii. Nonconformities should be detailed to help readers understand the down score.

## 3) Free of Mistakes & Scoring

- i. Spelling and Grammar Errors: The auditor is responsible for reviewing the report for grammar and spelling before submitting the report. Those errors affect the language translation tools.

- ii. Consulting Language: Comments should not include terms that could be considered consulting, such as “recommend,” “suggest,” “need,” etc.
- iii. Personal Opinion: Comments should be specific to what was observed at the time of the audit (e.g., using quantitative measures when possible) and should not include any personal opinion (e.g., avoid using terms like “excellent” “very bad,” etc.). The use of objective comments avoids noting ideas.
- iv. Scoring Designation: Scoring needs to be indicated at the start of the auditor comment (e.g., “NC. The operation did not have a corrective action procedure.”). Acceptable responses are:
  - Total Compliance - “Yes,” “TC,” “Total Compliance,” or “No” (if applicable to the question response).
  - Deficiencies - “No,” “NC,” “Non-Conformance,” “Major,” “MJ,” “Minor,” “MN,” or “Yes” (if applicable to the question response).
  - Non-applicable– “N/A,” “Non-applicable.”
- v. Scoring Designation versus Auditor Comment: The score designated in the comment should reflect the option selected in the report system (e.g., the auditor comment should not read “TC” when the system selection is “N/A”).
- vi. Issue/nonconformities scored: For nonconformity comments, the reason for the downscore should be listed first.
- vii. Nonconformance Categories: When downscoring a question, the auditor should follow the scoring designations in the PrimusGFS Interpretation Guidelines.
- viii. Double Dinging: Deficiencies should not be downscored in more than one question. If there is overlap, the auditor can downscore in the most relevant question and then score N/A in the following question and detail that it had already been downscored in another question.
- ix. Scoring the future: The auditor must report what is happening at the time of the audit, not what will happen in the future or potentially happen.
- x. Using Non-Applicable: The auditor should mark questions as N/A when the question does not apply to the specific operation, or, for example, the auditor misses something during the visual inspection and is unable to return to observe the particular question. All uses of N/A must be justified with a comment as to why they were marked as N/A.

#### 4) Corrective Actions Review

- i. **The Appendix 3 Guidance for the Closure of Non-conformances and Corrective Actions and the General Regulations v3.2 Section 12 Nonconformances & Corrective Actions must be followed by auditors.**
- ii. The auditee should provide:
  - Evidence that the auditee determined the cause of the problem and has addressed it (see question 1.03.03 for further details), **any action plan(s) to address the immediate issue(s) regarding the non-**

- conformances, corrective actions taken, and, if applicable, any preventive actions to help avoid future occurrences.
- If corrective action is not able to be completed during the corrective action timeframe, the organization should submit the corrective action plan, the evidence of intent to complete, and a timeframe for completion and/or a documented risk assessment with the mitigation measures in place that shows the identified issue or non-conformance is controlled.
- iii. Rejected Corrective Actions: For all auditee corrective action/corrective action plans rejected in the system, the auditor must include a comment referencing the reasoning for the rejection.
- iv. Scoring Designation versus Auditor Comment: The auditor's acceptance/rejection of the corrective action should also match the auditor's comment and the change in the score.
- v. During the next audit, the auditor visiting the operation must verify that the corrective actions/corrective action plans implemented/submitted adequately addressed the original issue and that these actions were effective. When the corrective action/corrective action plan is ineffective or has not sufficiently addressed the issues, the auditor should evaluate questions 1.01.03 and 1.03.03 to determine if a non-conformance should be raised during that audit.