

PrimusGFS Minimum Comment Guidelines v3.2			
MODULE 1 - FSMS			
Section	Q #	Question	Mandatory Information Required in the Report
Management System	1.01.01	Is there a documented food safety policy detailing the company's commitment to food safety?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Confirm document is signed (by senior management) and dated</li> <li>• Indicate where the policy is posted</li> </ul>
Management System	1.01.02	Is there an organizational chart showing all management and workers who are involved in food safety related activities and documentation (job descriptions) detailing their food safety responsibilities?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Confirm document is signed &amp; dated</li> </ul>
Management System	1.01.03	Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	<ul style="list-style-type: none"> <li>• Confirm frequency of meetings, confirm minutes, indicate topics covered and attendees</li> </ul>
Management System	1.01.04	Is there a training management system in place that shows what types of training are required for various job roles of specific workers, including who has been trained, when they were trained, which trainings they still need to take, and a training schedule?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Confirm all job roles related to food safety are listed</li> </ul>
Management System	1.01.05	Is there documented management verification review of the entire food safety management system at least every 12 months, including an evaluation of resources, and are there records of changes made?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Most recent date of verification of the food safety system</li> <li>• Indicate if the system has had any changes</li> </ul>
Management System	1.01.06	Where specific industry guidelines or best practices exist for the crop and/or product, does the operation have a current copy of the document?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> </ul>
Control of Documents and Records	1.02.01	Is there a written document control procedure (including document control register/record) describing how documents will be maintained, updated and replaced?	<ul style="list-style-type: none"> <li>• Procedure name and/or code</li> <li>• Indicate who is responsible for document control</li> </ul>
Control of Documents and Records	1.02.02	Is there a documented and implemented procedure that requires all records to be stored for a minimum period of 24 months (or greater if legally required) or for at least the shelf life of the product if it is greater than 24 months?	<ul style="list-style-type: none"> <li>• Procedure name and/or code</li> <li>• Indicate how long documents are retained for</li> </ul>
Control of Documents and Records	1.02.03	Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?	<ul style="list-style-type: none"> <li>• Describe briefly how they control the documents</li> <li>• Detail any issues with how records are being recorded/edited</li> </ul>
Control of Documents and Records	1.02.04	Are records maintained in an organized and retrievable manner?	<ul style="list-style-type: none"> <li>• Describe how documents are organized and managed</li> </ul>
Control of Documents and Records	1.02.05	Are all records and test results that can have an impact on the food safety program verified by a qualified person independent of the individual(s) completing the records?	<ul style="list-style-type: none"> <li>• Indicate an example of who reviews and signs as person responsible</li> </ul>
Procedures and Corrective Actions	1.03.01	Is there a written and standardized procedure for creating Standard Operating Procedures (SOPs) and their content?	<ul style="list-style-type: none"> <li>• Name and/or code of the written procedure detailing how to create an SOP</li> </ul>
Procedures and Corrective Actions	1.03.02	Are the written procedures available to relevant users and is a master copy maintained in a central file?	<ul style="list-style-type: none"> <li>• Describe the availability of the SOPs</li> </ul>
Procedures and Corrective Actions	1.03.03	Is there a documented corrective action procedure that describes the basic requirements for handling all non-conformances affecting food safety?	<ul style="list-style-type: none"> <li>• Name and/or code of the corrective action procedure</li> </ul>
Procedures and Corrective Actions	1.03.04	Is there an incident reporting system, also known as a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Mention an example, the date it was recorded and the corrective action taken (if applicable)</li> </ul>
Internal and external inspections	1.04.01	Is there a documented procedure for how internal audits are to be performed at the operations, including frequency and covering all processes impacting food safety and the related documents and records?	<ul style="list-style-type: none"> <li>• Name and/or code of the audit program</li> <li>• Frequency of internal audits</li> </ul>
Internal and external inspections	1.04.02	Are there written procedures for handling regulatory inspections?	<ul style="list-style-type: none"> <li>• Procedure name and/or code</li> </ul>
Internal and external inspections	1.04.03	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	<ul style="list-style-type: none"> <li>• Date of most recent inspection, type of inspection and which Company performed the inspection</li> <li>• Confirm corrective actions (if applicable) are documented</li> </ul>
Internal and external inspections	1.04.04	Are there documented calibration and/or accuracy verification procedures for measuring and monitoring devices used in the operations that are related to the safety of the product?	<ul style="list-style-type: none"> <li>• Describe one of the calibration procedures reviewed, including the frequency, calibration method, corrective actions (if applicable)</li> </ul>
Internal and external inspections	1.04.05	Are calibration and/or accuracy verification records maintained and are they consistent with the requirements outlined in the SOP(s) for instruments and measuring devices requiring calibration?	<ul style="list-style-type: none"> <li>• Indicate frequency of verification</li> </ul>
Release of items/product	1.05.01	Is there a documented product release procedure available?	<ul style="list-style-type: none"> <li>• Procedure name and/or code</li> </ul>
Release of items/product	1.05.02	Are there records of product releases kept on file?	<ul style="list-style-type: none"> <li>• Describe how the records are maintained</li> </ul>
Release of items/product	1.05.03	Is there a documented procedure for handling on hold and rejected items?	<ul style="list-style-type: none"> <li>• Procedure name and/or code</li> </ul>

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Release of items/product	1.05.04	Are there records of the handling of on hold and rejected items kept on file?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>Mention an example, including the date, reason for hold/rejection, which product was rejected and measures taken to release the product (if applicable)</li> </ul>
Release of items/product	1.05.05	Is there a documented procedure for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?	<ul style="list-style-type: none"> <li>Name and/or code of the observed procedure/policy</li> <li>Mention an example of a complaint and the corrective and/or preventive actions taken (if applicable)</li> </ul>
Supplier Monitoring/ Control	1.06.01	Is there a written procedure detailing how suppliers and service providers are evaluated, approved, and include the ongoing verification activities including monitoring? <i>Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.</i>	<ul style="list-style-type: none"> <li>Procedure name and/or code</li> <li>Describe the monitoring program for suppliers</li> </ul>
Supplier Monitoring/ Control	1.06.02	Is there a list of approved suppliers and service providers including justification for use of any emergency (temporary) suppliers or providers?	<ul style="list-style-type: none"> <li>Name and/or code of documented supplier list</li> <li>Provide an example of three approved suppliers</li> </ul>
Supplier Monitoring/ Control	1.06.03	Are there current written food safety related specifications for all incoming products, ingredients, materials (including primary packaging), services provided on-site, and outsourced services?	<ul style="list-style-type: none"> <li>Indicate the most recent revision date(s) of the specifications</li> </ul>
Supplier Monitoring/ Control	1.06.04	Does the organization have documented evidence to ensure that all incoming products, ingredients, materials, services provided on-site and outsourced service suppliers comply with the approval requirements and that all supplier verification activities (including monitoring) are being followed, as defined in the supplier approval procedure?	<ul style="list-style-type: none"> <li>Indicate what types of documentation are available, covering which suppliers</li> </ul>
Supplier Monitoring/ Control	1.06.05	Where food safety related testing is being performed by laboratory service providers, are these licensed and/or accredited laboratories (e.g., ISO 17025 or equivalent, national and local regulations, etc.)?	<ul style="list-style-type: none"> <li>Note from whom they are accredited</li> <li>Scope of the license/accreditation</li> <li>Expiration date of the accreditation</li> </ul>
Traceability and Recall	1.07.01	Is there is a document that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	<ul style="list-style-type: none"> <li>Indicate which type of tracking system they have (flow diagram or written description of process)</li> <li>Indicate which type of coding is used to trace materials</li> </ul>
Traceability and Recall	1.07.02	Does the organization have a documented recall program including procedures, recall team roles and contact details, external contact listings, requirement for recall effectiveness checks, explanation of different recall classes and handling of recalled product?	<ul style="list-style-type: none"> <li>Procedure name and/or code</li> <li>Date of most recent revision of contact listing</li> </ul>
Traceability and Recall	1.07.03	Is testing of recall procedures (including traceback) performed and documented at least every six months, and the company can demonstrate the ability to trace materials (one step forward, one step back) effectively?	<ul style="list-style-type: none"> <li>Date and duration of the most recent mock recall</li> <li>Frequency of the mock recalls</li> <li>Indicate if any of recalls have occurred within the past year (if applicable)</li> </ul>
Food Defense	1.08.01	Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?	<ul style="list-style-type: none"> <li>Confirm all potential risks are identified from the organization and operations applicable to the audit</li> </ul>
Food Defense	1.08.02	Is there a written food defense vulnerability assessment and food defense plan based on the risks associated with the operation?	<ul style="list-style-type: none"> <li>Name and/or code of the food defense policy</li> <li>Confirm all food defense risks have been identified</li> </ul>
Food Defense	1.08.03	Are records associated with the food defense plan and its procedures being maintained, including monitoring, corrective action and verification records (where appropriate)?	<ul style="list-style-type: none"> <li>Provide example(s)</li> </ul>
Food Defense	1.08.04	Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	<ul style="list-style-type: none"> <li>Indicate location of list (part of recall plan, posted in a public place)</li> </ul>
Food Defense	1.08.05	Are visitors and contractors to the company operations required to adhere to food defense procedures?	<ul style="list-style-type: none"> <li>Indicate if a log is signed, identification worn, etc.</li> </ul>

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MODULE 2 - Farm			
Section	Q #	Question	Mandatory Information Required in the Report
General	2.01.01	Is there a designated person responsible for the operation's food safety program?	• Name <b>and or the position</b> of the designated person who is responsible
General	2.01.02	If the operation is growing under organic principles, is there written documentation of current certification by an accredited organic certification organization?	• Name of accredited organic certification organization • Date granted and the expiration date of the certificate
General	2.01.03	Does the operation have a written food safety hygiene and health policy covering at least worker and visitor hygiene and health, infants and toddlers, animal presence in growing and storage areas, fecal matter, dropped product, blood and bodily fluids?	• Document name and/or code
Site	2.02.01	Is there a map that accurately shows all aspects of the operation, including water sources and fixtures used to deliver water used in the operation?	• Confirm the map is up to date and accurate for the operation
Site	2.02.02	Are growing areas adequately identified or coded to enable trace back and trace forward in the event of a recall?	• Indicate how growing area(s) are coded or identified
Site	2.02.03	Has a documented risk assessment been conducted at least annually for the operation?	• Confirm risk assessment covers growing area and <b>water sources</b>
Site	2.02.03a	If any risk is identified, have corrective actions and/or preventative measures been documented and implemented?	• Detail risk reduction steps
Site	2.02.04	Are the necessary food defense controls implemented in the operation?	• Indicate any areas defined by the operation as "high risk" <b>and their controls</b>
Site	2.02.05	Is the exterior area immediately outside the growing area, including roads, yards and parking areas, free of litter, weeds and standing water?	• <b>Confirm Y/N</b>
Site	2.02.06	Are control measures being implemented for the outside storage of equipment, pallets, tires, etc. (i.e. out of the mud, stacked to prevent pest harborage, away from the growing area)?	• <b>Describe control measures.</b>
Site	2.02.07	Are garbage receptacles and dumpsters kept covered or closed?	• Confirm Y/N
Site	2.02.08	Where soil, substrates or fertilizer (e.g., compost) are stored or handled, are measures in place to ensure seepage and runoff is collected or diverted and does not reach growing areas, product, or any of the water sources? <b>A ZERO POINT DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail the measures used to protect growing areas, product, and water sources
Site	2.02.09	Where there are fill stations for fuel or pesticides, is it evident that the location and/or use is not a risk of contamination to the product, water sources, growing areas, equipment, packaging materials, etc.?	• Confirm Y/N
Site	2.02.10	Is the audited area free from animal presence and/or animal activity (wild or domestic)? If <b>Total Compliance</b> , go to 2.02.11.	• If no, detail any observed animal activity
Site	2.02.10a	Is the audited area free from any evidence of animal fecal matter? <b>A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Detail any presence of fecal contamination • Describe corrective actions performed
Site	2.02.11	Is the audited area free from any evidence of human fecal matter? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail any presence of fecal contamination
Site	2.02.12	Is the audited area free of evidence of infants and toddlers?	• <b>If present, indicate what evidence of infants, children was seen.</b>
Ground History	2.03.01	Were growing area(s) used for growing food crops last season?	• Indicate which crops were previously grown, or previous land use
Ground History	2.03.02	Has the growing area(s) been used for any non-agricultural functions? If No, go to 2.03.03.	• Describe any non-agricultural use(s)
Ground History	2.03.02a	If the growing area has been used previously for non-agricultural functions, have soil tests been conducted showing soil was negative or within an appropriate regulatory agency's approved limits for contaminants?	• Date and results of any soil tests performed
Ground History	2.03.03	Has the growing area(s) been used for animal husbandry or grazing land for animals <b>in the last 12 months</b> ? If No, go to 2.03.04.	• If yes, indicate the time period between any animal husbandry/grazing and crop planting
Ground History	2.03.03a	If the land was used previously for animal husbandry or grazing land for livestock, has a risk assessment been performed?	• Detail any risk reduction steps in place

Ground History	2.03.04	Has flooding from uncontrolled causes occurred on the growing area(s) since the previous <b>growth cycle</b> ? If No, go to 2.03.05.	<ul style="list-style-type: none"> <li>If yes, describe any cause of flooding</li> </ul>
Ground History	2.03.04a	If the growing area(s) and product was affected from the flood waters, is there documented evidence of a <b>risk assessment</b> and that corrective measures were taken to affected land and product?	<ul style="list-style-type: none"> <li>Confirms that documented corrective actions ensured affected product and product within approximately 30ft (9.1m) of the flooding was not harvested for human consumption</li> <li>Confirm replanting on formerly flooded production ground did not occur for approximately 60 days</li> </ul>
Ground History	2.03.04b	Have soil tests been conducted on the flooded area(s) showing the <b>soil</b> was negative or within an appropriate regulatory agency's approved limits for contaminants?	<ul style="list-style-type: none"> <li>Date and results of any soil tests performed</li> </ul>
Ground History	2.03.04c	If septic or sewage systems adjacent to the growing area were affected by the flood waters, is there a documented inspection after flooding to ensure they are functioning properly and are not a source of contamination?	<ul style="list-style-type: none"> <li>If yes, provide the name of the document and date of the inspection</li> </ul>
Adjacent Land Use	2.04.01	Is the adjacent land to the growing area a possible source of contamination from intensive livestock production (e.g., feedlots, dairy operations, poultry houses, meat rendering operation)? If No, go to 2.04.02.	<ul style="list-style-type: none"> <li>Briefly describe the adjacent land use</li> <li>If the crop may be affected by adjacent land, describe the topography and the risk it creates</li> </ul>
Adjacent Land Use	2.04.01a	Where there is intensive livestock production on the adjacent land, have appropriate measures been taken to mitigate this possible contamination source onto the growing area (e.g., buffer areas, physical barriers, foundation, fences, ditches, etc.)?	<ul style="list-style-type: none"> <li>Describe any measures that have been taken to mitigate the risk from adjacent lands</li> </ul>
Adjacent Land Use	2.04.02	Is there evidence of domestic animals <b>and/or</b> wild animals (includes homes with hobby farms, and non-commercial livestock) in proximity to the growing operation? If No, go to 2.04.03.	<ul style="list-style-type: none"> <li>Describe any animal activity on adjacent land</li> </ul>
Adjacent Land Use	2.04.02a	<b>Where there are</b> domestic <b>and/or</b> wild animals (includes homes with hobby farms, and non-commercial livestock) <b>have physical measures been put in place to restrain the animals</b> and their waste from entering the growing area (e.g., vegetative strips, windbreaks, physical barriers, berms, fences, diversion ditches)?	<ul style="list-style-type: none"> <li>Describe any measures that have been taken to mitigate identified risk(s)</li> </ul>
Adjacent Land Use	2.04.03	Are untreated animal manure piles, compost, biosolids, or non-synthetic amendment stored and/or applied on adjacent land? If No, go to 2.04.04.	<ul style="list-style-type: none"> <li>Indicate presence of any manure, compost, biosolids or non-synthetic amendments on adjacent land</li> </ul>
Adjacent Land Use	2.04.03a	Where present, have physical measures been taken to secure untreated animal manure piles, compost, biosolids, or non-synthetic amendment stored and/or applied on adjacent land?	<ul style="list-style-type: none"> <li>Indicate buffer and topography</li> <li>Describe any other measures taken to mitigate risks to the storage of the manure, compost, etc. products that are stored on adjacent land</li> </ul>
Adjacent Land Use	2.04.03b	If biosolids are stored and/or applied on adjacent land, has the adjacent landowner supplied paperwork confirming the biosolids meet prevailing guidelines, governmental, or local standards?	<ul style="list-style-type: none"> <li>Identify documents supplied confirming biosolids meet required standards</li> </ul>
Adjacent Land Use	2.04.04	Is the growing area situated in a higher risk location where contamination could occur from nearby operations or functions (e.g., leach fields, runoff or potential flooding from sewers, toilet systems, industrial facilities, labor camps, etc.)? If No, go to 2.04.05.	<ul style="list-style-type: none"> <li>Describe any high risk activity and/or operation that could pose a threat</li> </ul>
Adjacent Land Use	2.04.04a	Where the growing area is situated in a higher risk location, have appropriate measures been taken to mitigate risks related to nearby operations?	<ul style="list-style-type: none"> <li>Describe any measures that have been taken to mitigate identified risk(s)</li> </ul>
Adjacent Land Use	2.04.05	Are there any other potential risks in the adjacent land that could potentially lead to contamination of the growing area?	<ul style="list-style-type: none"> <li>Describe any other potential risks that could pose a threat</li> </ul>
Adjacent Land Use	2.04.05a	Have appropriate measures been taken to mitigate risks related to nearby operations?	<ul style="list-style-type: none"> <li>Describe any measures that have been taken to mitigate identified risk(s)</li> </ul>
Adjacent Land Use	2.04.06	Is there evidence of human fecal matter in the adjacent land to the audited area? If No, go to 2.05.01.	<ul style="list-style-type: none"> <li>Indicate the presence or absence of human fecal matter in the adjacent land</li> </ul>
Adjacent Land Use	2.04.06a	Where there is evidence of human fecal matter in the adjacent land, are there adequate controls in place to mitigate risk (e.g., access controls (barriers), distance from the growing area and equipment, crop type and maturity, land condition, etc.)?	<ul style="list-style-type: none"> <li>Describe risk to the crop from fecal matter on the adjacent land</li> <li>Describe any measures that have been taken to mitigate identified risk(s)</li> </ul>
Inspection	2.05.01	Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>Confirm the frequency of the inspections, date of the last internal audit</li> <li><b>If there is NCs, confirm that Corrective actions (or with action plan and mitigation measures) were noted.</b></li> </ul>
Inspection	2.05.02	Are there chemical inventory logs for chemicals, including pesticides and fertilizers?	<ul style="list-style-type: none"> <li>Confirm the frequency of inventory checks</li> </ul>
Inspection	2.05.03	Are all chemicals ( <b>pesticides, sanitizers, detergents, lubricants, etc.</b> ) stored securely, safely and are they labeled correctly?	<ul style="list-style-type: none"> <li>Indicate where and how chemicals are stored</li> </ul>

Inspection	2.05.04	Are the crop, ingredients (including water), food contact packaging and food contact surfaces within accepted tolerances for spoilage and free from adulteration? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail any spoilage or adulteration issues
Training	2.06.01	Is there a food safety hygiene training program covering new and existing workers and are there records of these training events?	• Confirm the frequency of training
Training	2.06.02	Are there written and communicated procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering from any illnesses that might be a contamination risk to the products being produced, and return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not actual records).	• Document name and/or code
Training	2.06.03	Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	• Indicate if worker non-compliance is documented
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.01	Are toilet facilities adequate in number and location? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Indicate the number of toilets and number of workers at time of inspection and at peak season (if applicable)
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.01a	Are toilet facilities in a suitable location to prevent contamination to product, packaging, equipment, and growing areas?	• Describe the location of the toilet facilities
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.01b	Are <b>toilet facilities</b> designed and maintained to prevent contamination (e.g., free from leaks and cracks)?	• Confirm Y/N
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.01c	Are toilet <b>facilities</b> constructed of materials that are easy to clean?	• Describe the type of material in which the toilets are composed
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.01d	Are the toilet <b>facility</b> materials constructed of a light color allowing easy evaluation of cleaning performance?	• Describe the color of the toilets
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.01e	Are toilet <b>facilities</b> supplied with toilet paper and is the toilet paper maintained properly (e.g., toilet paper rolls are not stored on the floor or in the urinals)?	• Describe the condition of the toilet paper in the toilet facilities
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.01f	<b>Where used, is</b> there a documented procedure for emptying the <b>waste holding tanks</b> in a hygienic manner and also in a way that prevents product, packaging, equipment, water systems and growing area contamination?	• Procedure name and/or code
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.01g	Are the toilet facilities and hand washing stations clean and are there records <b>showing cleaning</b> , servicing and stocking is occurring regularly?	• Frequency of cleaning and servicing
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.02	Is hand washing signage posted appropriately?	• Confirm Y/N
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.03	Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Indicate the number of stations and number of workers at time of inspection and at peak season (if applicable)
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.03a	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.)?	• Describe how spent water is captured
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.03b	Are hand wash stations clearly visible (e.g., situated outside the toilet facility) and easily accessible to workers?	• Describe the location of the hand washing facilities in relation to the toilet facilities.
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.03c	Are hand wash stations adequately stocked with unscented soap and paper towels?	• Confirm Y/N
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.04 (new question)	<b>Are total coliforms (TC) and generic E. coli tests conducted on the water used for hand washing at the required and/or expected frequency?</b>	• <b>Indicate the frequency testing</b>
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.04a (new question)	<b>Do written procedures (SOPs) exist covering proper sampling protocols, which include where samples should be taken and how samples should be identified?</b>	• <b>Name and/or code of the water sampling procedure</b>
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.04b (new question)	<b>Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?</b>	• <b>Name and/or code of the water sampling procedure</b>

Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.04c (new question)	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.05	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?	• Confirm if handwashing is observed or if there are apparent signs of hand washing
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.06	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?	• Confirm Y/N
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.07	Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?	• Confirm Y/N
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.08	Are worker personal items being stored appropriately (i.e. not in the growing area(s) or material storage area(s))?	• Indicate where items are stored.
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.09	Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	• Describe any non-compliance
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.10	Is fresh potable drinking water readily accessible to workers?	• Confirm that the auditor verified that the drinking water is potable (verbal verification accepted)
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.10a	Are single use cups provided (unless a drinking fountain is used) and made available near the drinking water?	• Confirm Y/N for cups or indicate if there is a drinking fountain.
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.11	Are first aid kits adequately stocked and readily available?	• Note the location/accessibility of the first aid kit, and confirm it is stocked.
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.12	Are there adequate trash cans placed in suitable locations?	• Confirm Y/N
Field Worker Hygiene (Applies to on-the-farm workers, not the harvesting workers)	2.07.13	Are any potential foreign material issues (e.g., metal, glass, plastic) controlled?	• Describe any potential foreign material risks observed
Agronomic Inputs	2.08.01	Is human sewage sludge (biosolids) used as an input? Information gathering question.	• Confirm Y/N
Agronomic Inputs	2.08.01a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	2.08.01b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	2.08.01c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents
Agronomic Inputs	2.08.01d	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	• Confirm pathogens were tested for and results for each lot. Detail any corrective actions. • Name of the accredited lab that did the testing
Agronomic Inputs	2.08.01e	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	• Confirm heavy metal testing was done, and indicate metals tested for
Agronomic Inputs	2.08.02	Is compost produced from animal derived materials used as an input? Information gathering question.	• Confirm Y/N
Agronomic Inputs	2.08.02a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	2.08.02b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	2.08.02c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents

Agronomic Inputs	2.08.02d	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	<ul style="list-style-type: none"> <li>• Confirm pathogens were tested for and results for each lot. Detail any corrective actions.</li> <li>• Name of the accredited lab that did the testing</li> </ul>
Agronomic Inputs	2.08.02e	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	<ul style="list-style-type: none"> <li>• Confirm heavy metal testing was done, and indicate metals tested for</li> </ul>
Agronomic Inputs	2.08.03	Is untreated animal manure used as an input (e.g., raw manure &/or uncomposted, incompletely composed animal manure, green waste, non-thermally treated animal manure)? Information gathering question.	<ul style="list-style-type: none"> <li>• Confirm Y/N</li> </ul>
Agronomic Inputs	2.08.03a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>• If Yes, detail the fertilizer used</li> </ul>
Agronomic Inputs	2.08.03b	Are there fertilizer use records available for each growing area, including application records?	<ul style="list-style-type: none"> <li>• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.</li> </ul>
Agronomic Inputs	2.08.03c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	<ul style="list-style-type: none"> <li>• Confirm the type of documentation and its contents</li> </ul>
Agronomic Inputs	2.08.03d	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	<ul style="list-style-type: none"> <li>• Confirm heavy metal testing was done, and indicate metals tested for</li> </ul>
Agronomic Inputs	2.08.04	Are other non-synthetic crop treatments used as an input (e.g., compost teas, fish emulsions, fish meal, blood meal, bio-fertilizers, etc.)? Information gathering question.	<ul style="list-style-type: none"> <li>• Confirm Y/N</li> </ul>
Agronomic Inputs	2.08.04a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>• If Yes, detail the fertilizer used</li> </ul>
Agronomic Inputs	2.08.04b	Are there fertilizer use records available for each growing area, including application records?	<ul style="list-style-type: none"> <li>• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.</li> </ul>
Agronomic Inputs	2.08.04c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	<ul style="list-style-type: none"> <li>• Confirm the type of documentation and its contents</li> </ul>
Agronomic Inputs	2.08.04d	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	<ul style="list-style-type: none"> <li>• Confirm pathogens were tested for and results for each lot. Detail any corrective actions.</li> <li>• Name of the accredited lab that did the testing</li> </ul>
Agronomic Inputs	2.08.04e	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	<ul style="list-style-type: none"> <li>• Confirm heavy metal testing was done, and indicate metals tested for</li> </ul>
Agronomic Inputs	2.08.05	Are soil or substrate amendments used as an input (e.g., plant by-products, humates, seaweed, inoculants, and conditioner, etc.)? Information gathering question.	<ul style="list-style-type: none"> <li>• Confirm Y/N</li> </ul>
Agronomic Inputs	2.08.05a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>• If Yes, detail the fertilizer used</li> </ul>
Agronomic Inputs	2.08.05b	Are there fertilizer use records available for each growing area, including application records?	<ul style="list-style-type: none"> <li>• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.</li> </ul>
Agronomic Inputs	2.08.05c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	<ul style="list-style-type: none"> <li>• Confirm the type of documentation and its contents</li> </ul>
Agronomic Inputs	2.08.05d	Are there Certificate(s) of Analysis (CoA) and/or letters of guarantee stating that the materials used are free from animal products and/or animal manures?	<ul style="list-style-type: none"> <li>• Confirm the type of documentation and its contents</li> </ul>
Agronomic Inputs	2.08.06	Are inorganic fertilizers used as an input (e.g., ammonium nitrate, ammonium sulfate, chemically synthesized urea, etc.)? Information gathering question.	<ul style="list-style-type: none"> <li>• Confirm Y/N</li> </ul>

Agronomic Inputs	2.08.06a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	2.08.06b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	2.08.06c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents
Irrigation / Water Use	2.09.01	Is municipal/district water used in the growing operation?	• Confirm Y/N
Irrigation / Water Use	2.09.01	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	2.09.01	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	2.09.01	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	2.09.01a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• If Yes, detail actual tests done • Indicate the frequency testing, most recent test date and results to confirm the compliance
Irrigation / Water Use	2.09.01b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	2.09.01c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	2.09.01d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	2.09.01e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	2.09.01f	Are records kept for periodic visual inspection of the water source and available for review?	• Frequency of inspections • Detail actions if an unusual occurrence has been recorded
Irrigation / Water Use	2.09.02	Is well water used in the operation?	• Confirm Y/N
Irrigation / Water Use	2.09.02	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	2.09.02	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	2.09.02	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	2.09.02a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• If Yes, detail actual tests done • Indicate the frequency testing, most recent test date and results to confirm the compliance
Irrigation / Water Use	2.09.02b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	2.09.02c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	2.09.02d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	2.09.02e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	2.09.02f	Are records kept for periodic visual inspection of the water source and available for review?	• Frequency of inspections • Detail actions if an unusual occurrence has been recorded



Irrigation / Water Use	2.09.03	Is non-flowing surface water (e.g., pond, reservoir, watershed) used in the operation?	• Confirm Y/N
Irrigation / Water Use	2.09.03	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freezing protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	2.09.03	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	2.09.03	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	2.09.03a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• If Yes, detail actual tests done • Indicate the frequency testing, most recent test date and results to confirm the compliance
Irrigation / Water Use	2.09.03b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	2.09.03c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	2.09.03d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	2.09.03e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	2.09.03f	Are records kept for periodic visual inspection of the water source and available for review?	• Frequency of inspections • Detail actions if an unusual occurrence has been recorded
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Irrigation / Water Use	2.09.04	Is open flowing surface water used in the operation? (e.g., river, canal, ditch)	• Confirm Y/N
Irrigation / Water Use	2.09.04	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freezing protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	2.09.04	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	2.09.04	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	2.09.04a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• If Yes, detail actual tests done • Indicate the frequency testing, most recent test date and results to confirm the compliance
Irrigation / Water Use	2.09.04b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	2.09.04c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	2.09.04d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	2.09.04e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	2.09.04f	Are records kept for periodic visual inspection of the water source and available for review?	• Frequency of inspections • Detail actions if an unusual occurrence has been recorded
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Irrigation / Water Use	2.09.05	Is reclaimed water used in the operation? <b>Note, this refers to wastewater that has gone through a treatment process.</b>	• Confirm Y/N
Irrigation / Water Use	2.09.05	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freezing protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	2.09.05	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	2.09.05	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N

Irrigation / Water Use	2.09.05a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	<ul style="list-style-type: none"> <li>• If Yes, detail actual tests done</li> <li>• Indicate the frequency testing, most recent test date and results to confirm the compliance</li> </ul>
Irrigation / Water Use	2.09.05b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	2.09.05c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	2.09.05d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	2.09.05e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	2.09.05f	Are records kept for periodic visual inspection of the water source and available for review?	<ul style="list-style-type: none"> <li>• Frequency of inspections</li> <li>• Detail actions if an unusual occurrence has been recorded</li> </ul>
Irrigation / Water Use	2.09.06	Is tail water (run-off water including hydroponics) used in the operation?	• Confirm Y/N
Irrigation / Water Use	2.09.06	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	2.09.06	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	2.09.06	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	2.09.06a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	<ul style="list-style-type: none"> <li>• If Yes, detail actual tests done</li> <li>• Indicate the frequency testing, most recent test date and results to confirm the compliance</li> </ul>
Irrigation / Water Use	2.09.06b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	2.09.06c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	2.09.06d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	2.09.06e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	2.09.06f	Are records kept for periodic visual inspection of the water source and available for review?	<ul style="list-style-type: none"> <li>• Frequency of inspections</li> <li>• Detail actions if an unusual occurrence has been recorded</li> </ul>
Irrigation / Water Use	2.09.07	Is dryland farming used in the growing operation	• Confirm Y/N
Irrigation / Water Use	2.09.08	Are there backflow prevention devices on all main lines, including where chemical, fertilizer and pesticide applications are made?	• Describe the backflow prevention systems
Irrigation / Water Use	2.09.09	If the operation stores water (tank, cistern, container), is the storage container well maintained?	• Describe the condition of the container
Pesticide Usage	2.10.01	Are there up-to-date records of all pesticides applied during the growth cycle? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Confirm records are current and include date and time of application, crop name, treated area, product name and code, amount applied, applicator name and pre-harvest interval.
Pesticide Usage	2.10.02	Are all pesticides applied during the growth cycle authorized/registered by the authority/government of the country of production? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail any pesticides used that are not authorized/registered
Pesticide Usage	2.10.03	Are all pesticides used during the growth cycle applied as recommended/directed in the label? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail comparison(s) made of application records reviewed against the product label

Pesticide Usage	2.10.04	Where harvesting is restricted by pre-harvest intervals, are required pre-harvest intervals on product labels, national (e.g., EPA) registration and any federal, state or local regulations and guidelines being adhered to? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Name and details for a chosen PPP, the pre-harvest interval indicated on the product label and the number of days that passed between application and harvest.
Pesticide Usage	2.10.05	Where products are destined for export, is there information for pesticide Maximum Residue Limits (MRLs) compliance considering country of destination, target crop(s), and active ingredients applied?	• Describe the evidence used to document their compliance
Pesticide Usage	2.10.06	Where products are destined for export, is there evidence that Maximum Residue Limits (MRLs) of the intended markets are met?	• Describe the evidence used to document their compliance
Pesticide Usage	2.10.07	Is there a documented procedure for the pesticide applications, considering mixing and loading, applying, and equipment cleaning?	• Procedure name and/or code
Pesticide Usage	2.10.08	Is there documentation that shows the individual(s) making decisions for pesticide applications is competent?	• List the certificates/licenses/recognized training of individual(s) making crop protection decisions
Pesticide Usage	2.10.09	Is there documentation that shows that individuals who handle pesticide materials are trained and are under the supervision of a trained person?	• List the certificates/licenses/recognized training of individual(s) who handle pesticide materials

PrimusGFS Minimum Comment Guidelines v3.2			
MODULE 3 - Indoor Agriculture			
Section	Q #	Question	Mandatory Information Required in the Report
General	3.01.01	Is there a designated person responsible for the operation's food safety program?	• Name of the designated person who is responsible
General	3.01.02	If the operation is growing under organic principles, is there written documentation of current certification by an accredited organic certification organization?	• Name of accredited organic certification organization • Date granted and the expiration date of the certificate
General	3.01.03	Does the operation have a written food safety hygiene and health policy covering at least worker and visitor hygiene and health, infants and toddlers, animal presence in growing and storage areas, fecal matter, dropped product, blood and bodily fluids?	• Document name and/or code
Site	3.02.01	Is there a map that accurately shows all aspects of the operation, including water sources and fixtures used to deliver water used in the operation?	• Confirm the map is up to date and accurate
Site	3.02.02	Are growing areas adequately identified or coded to enable trace back and trace forward in the event of a recall?	• Indicate how growing area(s) are coded or identified
Site	3.02.03	Has a documented risk assessment been conducted at least annually for the operation?	• Confirm risk assessment covers growing area and <b>water sources</b>
Site	3.02.03a	If any risk is identified, have corrective actions and/or preventative measures been documented and implemented?	• Detail risk reduction steps
Site	3.02.04	Are the necessary food defense controls implemented in the operation?	• Confirm Y/N • Provide example(s)
Site	3.02.05	Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?	• Confirm Y/N
	3.02.06	<b>Is any packaging stored outside, being stored protected?</b>	<b>• Detail any outside storage of packaging and how it is protected</b>
Site	3.02.07	Are control measures being implemented for the outside storage of equipment, pallets, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from the building perimeter)?	• Confirm Y/N
Site	3.02.08	Is the area around the dumpster/cull truck/trash area clean?	• Confirm Y/N
Site	3.02.09	Are outside garbage receptacles and dumpsters kept covered or closed?	• Confirm Y/N
Site	3.02.10	Where soil, substrates or fertilizer (e.g., compost) are stored or handled, are measures in place to ensure seepage and runoff is collected or diverted and does not reach growing areas, product, or any of the water sources? <b>A ZERO POINT DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail measures used to protect growing areas, product, and water sources
Site	3.02.11	Where there are fill stations for fuel or pesticides, is it evident that the location and/or use is not a risk of contamination to the product, water sources, growing areas, equipment, packaging materials, etc.?	• Confirm Y/N
Site	3.02.12	Is the audited area free from animal presence and/or animal activity (wild or domestic)? If <b>Total Compliance</b> , go to 3.02.13	• Confirm Y/N. Detail any findings.
Site	3.02.12a	<b>Is the audited area free from any evidence of animal fecal matter? A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Detail any presence of fecal contamination • Describe corrective actions performed
Site	3.02.13	<b>Is the audited area free from any evidence of human fecal matter? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail any presence of fecal contamination
Site	3.02.14	<b>Is the audited area free from evidence of infants or toddlers?</b>	• Indicate if any children or infants are observed during the audit
Pest Control	3.03.01	Is there a written policy prohibiting animals in the facility, including the growing areas and any packaging or equipment storage areas?	• Document name and/or code
Pest Control	3.03.02	Is there an effective pest control program in place? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Describe the main controls implemented, the pests controlled • Indicate if the program is contracted and/or in-house • Provide the company name if contracted
Pest Control	3.03.03	<b>Is the pest control program properly documented</b> , 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?	• Detail operator's license information and/or training • Confirm that there is a document in place describing the scope of the program, type of pests and frequency of service • Confirm insurance and licenses are current

Pest Control	3.03.04	Is there a schematic drawing/plan of the indoor agriculture operation, showing numbered locations of all pest monitoring devices (e.g., rodent traps, bait stations, insect light traps, etc.) both inside and outside the facility?	<ul style="list-style-type: none"> <li>Confirm that the drawing/plan in place matches the physical placement and types of traps in use</li> </ul>
Pest Control	3.03.05	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	<ul style="list-style-type: none"> <li>Confirm that the records are current and show chemical use details, trap-by-trap activity report, and corrective actions (if required)</li> </ul>
Pest Control	3.03.06	Are closed doors, and windows to the outside pest proof?	<ul style="list-style-type: none"> <li>Describe the structure/condition of the growing facility, storage and packaging areas</li> </ul>
Pest Control	3.03.07	Is the area outside the facility free of evidence of pest activity?	<ul style="list-style-type: none"> <li>Confirm Y/N. Detail any findings.</li> </ul>
Pest Control	3.03.08	Are pest control devices located away from exposed raw materials (e.g., seeds, transplants, soil, media), finished goods and packaging, and poisonous bait stations are not used within the facility?	<ul style="list-style-type: none"> <li>Describe the types of devices in use and where they are located</li> </ul>
Pest Control	3.03.09	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	<ul style="list-style-type: none"> <li>Indicate the condition of the devices</li> <li>Describe how monitored (check card, bar code)</li> </ul>
Pest Control	3.03.10	Are interior and exterior building perimeter pest control devices adequate in number and location?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Pest Control	3.03.11	Are all pest control devices identified by a number or other code (e.g. barcode)?	<ul style="list-style-type: none"> <li>Confirm internal devices have a wall sign</li> <li>Confirm physical placement matches trap map</li> </ul>
Pest Control	3.03.12	Are all pest control devices effective and bait stations secured?	<ul style="list-style-type: none"> <li>Indicate how bait devices are secured</li> </ul>
General Chemicals	3.04.01	Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	<ul style="list-style-type: none"> <li>Confirm the frequency of inventory checks</li> </ul>
General Chemicals	3.04.02	Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	<ul style="list-style-type: none"> <li>Indicate where and how chemicals are stored</li> </ul>
General Chemicals	3.04.03	Are "food grade" and "non-food grade" chemicals used appropriately according to the label and not commingled?	<ul style="list-style-type: none"> <li>Indicate how non-food grade chemicals are stored with respect to food grade chemicals</li> </ul>
General Chemicals	3.04.04	Does the operation use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (e.g., dip stations, etc.) being used, are they in operational condition and are they being used correctly?	<ul style="list-style-type: none"> <li>Describe method(s) used for verifying anti-microbial(s)</li> <li>Confirm they are operational and tested during the audit</li> </ul>
Production Facility	3.05.01	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	<ul style="list-style-type: none"> <li>Confirm that the schedule lists what is to be cleaned and the frequencies</li> </ul>
Production Facility	3.05.02	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the indoor agricultural operation and all equipment?	<ul style="list-style-type: none"> <li>Confirm SSOPs include details e.g. chemicals used</li> <li>Confirm SSOPs in place match the Master Sanitation Schedule</li> </ul>
Production Facility	3.05.03	Are cleaning and sanitation logs on file that shows what was done, when and by who?	<ul style="list-style-type: none"> <li>Confirm that the logs are correctly filled out with required details</li> </ul>
Production Facility	3.05.04	Where used, are there records showing filters in air conditioning, evaporative coolers, ventilation and air filtration units are regularly cleaned and replaced?	<ul style="list-style-type: none"> <li>Indicate the date(s) of the last cleaning and replacement</li> </ul>
Production Facility	3.05.05	Where used, are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?	<ul style="list-style-type: none"> <li>Indicate the date(s) of the last cleaning and servicing</li> </ul>
Production Facility	3.05.06	If fans or other blowing equipment are used, are they operated in a manner that minimizes the potential for contaminating product, equipment, or packaging materials?	<ul style="list-style-type: none"> <li>If No, detail issues found</li> </ul>
Production Facility	3.05.07	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)?	<ul style="list-style-type: none"> <li>Confirm that the procedure includes the glass policy, glass breakage procedure and clean-up</li> <li>Indicate the frequency of glass register checks (if applicable)</li> </ul>
Production Facility	3.05.08	Are any potential foreign material issues (e.g., metal, glass, plastic) controlled?	<ul style="list-style-type: none"> <li>Indicate any potential risks of contamination (glass, lights, staples, etc.)</li> </ul>
Production Facility	3.05.09	Are all lights in the facility that could potentially contaminate raw materials (e.g. seeds, transplants, soil, media), product, equipment or packaging shielded, coated or otherwise shatter resistant to protect product from contamination in the event of a breakage?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>

Production Facility	3.05.10	Are raw materials (e.g. seeds, transplants, soil, media), finished goods and food contact packaging within accepted tolerances for spoilage and free from adulteration? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail any spoilage or adulteration issues
Production Facility	3.05.11	Are materials (commodities, <b>packaging, inputs</b> , etc.) properly marked with <b>codes</b> (receipt dates, manufacture dates, etc.)?	• Give an example of/describe coding used
Production Facility	3.05.12	Are materials (commodities, <b>packaging, etc.</b> ) rotated using FIFO policy?	• Confirm Y/N
Production Facility	3.05.13	Does the process flow, facility layout, worker control, utensil control, internal vehicle use, etc. ensure that finished goods are not contaminated by raw materials (e.g., seeds, transplants, soil, media)?	• Describe any potential or actual cross contamination risks observed
Production Facility	3.05.14	Is there <b>proper storage and adequate</b> separation of raw materials (e.g. seeds, transplants, soil, media), products and packaging?	• Describe any potential or actual cross contamination risks observed
Production Facility	3.05.15	Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	• Describe any overhead issues observed
Production Facility	3.05.16	Are all growing areas clean and well maintained; especially lights, ducts, fans, floor areas by walls and equipment, and other hard to reach areas?	Describe the details.
Production Facility	3.05.17	Are single service containers used for their intended purpose only so that potential cross contamination is prevented?	Describe the details.
Production Facility	3.05.18	Are re-usable containers cleanable or used with a liner and clearly designated for the specific purpose (finished product, trash, etc.) such that cross contamination is prevented?	Describe the details.
Production Facility	3.05.19	Are all utensils, hoses, and other items not being used, stored clean and in a manner to prevent contamination?	• Describe how items are stored
Production Facility	3.05.20	Are floor drains covered, do they appear clean, free from odors, in <b>good repair, and</b> flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system)?	• Describe the condition of the drains
Production Facility	3.05.21	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?	• Indicate internal transport vehicles in use and their condition
Inspection	3.06.01	Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	• Document name and/or code • Confirm the frequency of the inspections, date of the last internal audit • If there is NCs, confirm that <b>Corrective actions (or with action plan and mitigation measures) were noted.</b>
Inspection	3.06.02	Is there a daily inspection log, including but not limited to, checking worker hygiene, housekeeping of bathrooms, break area, growing area, and storage area?	• Name or position of person who performs the daily inspections
Training	3.07.01	Is there a food safety hygiene training program covering new and existing workers and are there records of these training events?	• Confirm the frequency of training
Training	3.07.02	Is there a documented training program with training logs for the sanitation workers, including best practices and chemical use details?	• Note the date of the last training and the topics covered
Training	3.07.03	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 return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).	• Document name and/or code
Training	3.07.04	Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	• Indicate if worker non-compliance is documented
Worker Hygiene	3.08.01	Are toilet facilities adequate in number and location? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Indicate the number of toilets and number of workers at time of inspection and at peak season (if applicable)
Worker Hygiene	3.08.01a	Are toilet facilities in a suitable location to prevent contamination to <b>product, packaging, equipment, and</b> growing areas?	• Describe the location of the toilet facilities
Worker Hygiene	3.08.01b	Are <b>toilet facilities</b> designed and maintained to prevent contamination (e.g., free from leaks and cracks)?	• Confirm Y/N

Worker Hygiene	3.08.01c	Are toilet facilities constructed of materials that are easy to clean?	• Describe the type of material in which the toilets are composed
Worker Hygiene	3.08.01d	Are the toilet facility materials constructed of a light color allowing easy evaluation of cleaning performance?	• Describe the color of the toilets
Worker Hygiene	3.08.01e	Are toilets supplied with toilet paper and is the toilet paper maintained properly (e.g., toilet paper rolls are not stored on the floor or in the urinals)?	• Describe the condition of the toilet paper in the toilet facilities
Worker Hygiene	3.08.01f	Where used, is there a documented procedure for emptying the waste holding tanks in a hygienic manner and also in a way that prevents product, packaging, equipment, water systems and growing area contamination?	• Procedure name and/or code
Worker Hygiene	3.08.01g	Are toilet facilities and hand washing stations clean and are there records showing cleaning, servicing and stocking is occurring regularly?	• Frequency of cleaning and servicing
Worker Hygiene	3.08.02	Is hand washing signage posted appropriately?	• Confirm Y/N
Worker Hygiene	3.08.03	Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Indicate the number of stations and number of workers at time of inspection and at peak season (if applicable)
Worker Hygiene	3.08.03a	Are hand washing stations in working order (no leaks, free of clogged drains, etc.) and restricted to hand washing purposes only?	• Describe the location of the hand washing stations • Confirm they are operational and stocked
Worker Hygiene	3.08.03b	Are hand wash stations clearly visible (e.g., situated outside the toilet facility) and easily accessible to workers?	• Describe the location of the hand washing facilities in relation to the toilet facilities.
Worker Hygiene	3.08.03c	Are hand wash stations adequately stocked with unscented soap and paper towels?	• Confirm Y/N
Worker Hygiene	3.08.04	Are total coliforms (TC) and generic <i>E. coli</i> tests conducted on the water used for hand washing at the required and/or expected frequency?	• Indicate the frequency testing
Worker Hygiene	3.08.04a	Do written procedures (SOPs) exist covering proper sampling protocols, which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Worker Hygiene	3.08.04b	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure
Worker Hygiene	3.08.04c	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Worker Hygiene	3.08.05	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?	• Confirm if handwashing is observed or if there are apparent signs of hand washing
Worker Hygiene	3.08.06	Are secondary hand sanitation stations (e.g., touch-free dispensers) adequate in number and location, and are the stations properly maintained?	• Describe the location of the stations • Confirm they are operational and stocked
Worker Hygiene	3.08.07	Are foot baths, foamers or dry powdered sanitizing stations provided at entrances to growing areas (where appropriate), and are the stations maintained properly?	• Confirm foot dips are in place • Where used, confirm tested during the audit
Worker Hygiene	3.08.08	Are workers' fingernails clean, short and free of nail polish?	• Confirm Y/N
Worker Hygiene	3.08.09	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?	• Confirm Y/N
Worker Hygiene	3.08.10	Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?	• Confirm Y/N
Worker Hygiene	3.08.11	Are all workers wearing protective outer garments suitable for the operation (e.g., appropriate clean clothes, smocks, aprons, sleeves and non-latex gloves)?	• Describe outer garments used
Worker Hygiene	3.08.11a	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?	• Confirm Y/N
Worker Hygiene	3.08.11b	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?	• Describe where garments are left
Worker Hygiene	3.08.12	Are worker personal items being stored appropriately (i.e. not in the growing area(s) or material storage area(s)?	• Confirm Y/N. Indicate where items are stored.
Worker Hygiene	3.08.13	Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	• Describe any non-compliance

Worker Hygiene	3.08.14	Is fresh potable drinking water readily accessible to workers?	• Confirm that the auditor verified that the drinking water is potable (verbal verification accepted)
Worker Hygiene	3.08.14a	Are single use cups provided (unless a drinking fountain is used) and made available near the drinking water?	• Confirm Y/N for cups or indicate if there is a drinking fountain.
Worker Hygiene	3.08.15	Are first aid kits adequately stocked and readily available?	• Describe the location of the first aid kit(s) and if blue band aids are available
Worker Hygiene	3.08.16	Are there adequate trash cans placed in suitable locations?	• Confirm Y/N
Agronomic Inputs	3.09.01	Is human sewage sludge (biosolids) used as an input? Information gathering question.	• Confirm Y/N
Agronomic Inputs	3.09.01a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	3.09.01b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	3.09.01c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents
Agronomic Inputs	3.09.01d	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	• Confirm pathogens were tested for and results for each lot. Detail any corrective actions. • Name of the accredited lab that did the testing
Agronomic Inputs	3.09.01e	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	• Confirm heavy metal testing was done, and indicate metals tested for
Agronomic Inputs	3.09.02	Is compost produced from animal derived materials used as an input? Information gathering question.	• Confirm Y/N
Agronomic Inputs	3.09.02a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	3.09.02b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	3.09.02c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents
Agronomic Inputs	3.09.02d	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	• Confirm pathogens were tested for and results for each lot. Detail any corrective actions. • Name of the accredited lab that did the testing
Agronomic Inputs	3.09.02e	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	• Confirm heavy metal testing was done, and indicate metals tested for
Agronomic Inputs	3.09.03	Is untreated animal manure used as an input (e.g., raw manure &/or uncomposted, incompletely composted animal manure, green waste, non-thermally treated animal manure)? Information gathering question.	• Confirm Y/N
Agronomic Inputs	3.09.03a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	3.09.03b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	3.09.03c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents
Agronomic Inputs	3.09.03d	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	• Confirm heavy metal testing was done, and indicate metals tested for



Agronomic Inputs	3.09.04	Are other non-synthetic crop treatments used as an input (e.g., compost teas, fish emulsions, fish meal, blood meal, bio-fertilizers, etc.)? Information gathering question.	• Confirm Y/N
Agronomic Inputs	3.09.04a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	3.09.04b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	3.09.04c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents
Agronomic Inputs	3.09.04d	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	• Confirm pathogens were tested for and results for each lot. Detail any corrective actions. • Name of the accredited lab that did the testing
Agronomic Inputs	3.09.04e	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	• Confirm heavy metal testing was done, and indicate metals tested for
Agronomic Inputs	3.09.05	Are soil or substrate amendments used as an input (e.g., plant by-products, humates, seaweed, inoculants, and conditioner, etc.)? Information gathering question.	• Confirm Y/N
Agronomic Inputs	3.09.05a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	3.09.05b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	3.09.05c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents
Agronomic Inputs	3.09.05d	Are there Certificate(s) of Analysis (CoA) and/or letters of guarantee stating that the materials used are free from animal products and/or animal manures?	• Confirm the type of documentation and its contents
Agronomic Inputs	3.09.06	Are inorganic fertilizers used as an input (e.g., ammonium nitrate, ammonium sulfate, chemically synthesized urea, etc.)? Information gathering question.	• Confirm Y/N
Agronomic Inputs	3.09.06a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• If Yes, detail the fertilizer used
Agronomic Inputs	3.09.06b	Are there fertilizer use records available for each growing area, including application records?	• Confirm that the application records include at least the date and time of application, fertilizer name, lot, type, amount and application method. Details required.
Agronomic Inputs	3.09.06c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	• Confirm the type of documentation and its contents
Irrigation / Water Use	3.10.01	Is municipal/district water used in the operation?	• Confirm Y/N
Irrigation / Water Use	3.10.01	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	3.10.01	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	3.10.01	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	3.10.01a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• If Yes, detail actual tests done • Indicate the frequency testing, most recent test date and results to confirm the compliance

Irrigation / Water Use	3.10.01b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	3.10.01c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	3.10.01d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	3.10.01e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	3.10.01f	Are there records for periodic visual inspection of the water source with corrective actions (where necessary)?	• Frequency of inspections • Detail actions if an unusual occurrence has been recorded
Irrigation / Water Use	3.10.02	Is well water used in the operation?	• Confirm Y/N
Irrigation / Water Use	3.10.02	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	3.10.02	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	3.10.02	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	3.10.02a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• If Yes, detail actual tests done • Indicate the frequency testing, most recent test date and results to confirm the compliance
Irrigation / Water Use	3.10.02b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	3.10.02c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	3.10.02d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	3.10.02e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	3.10.02f	Are there records for periodic visual inspection of the water source with corrective actions (where necessary)?	• Frequency of inspections • Detail actions if an unusual occurrence has been recorded
Irrigation / Water Use	3.10.03	Is non-flowing surface water (e.g., pond, reservoir, watershed) used in the operation?	• Confirm Y/N
Irrigation / Water Use	3.10.03	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	3.10.03	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	3.10.03	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	3.10.03a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• If Yes, detail actual tests done • Indicate the frequency testing, most recent test date and results to confirm the compliance
Irrigation / Water Use	3.10.03b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	3.10.03c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	3.10.03d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	3.10.03e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring

Irrigation / Water Use	3.10.03f	Are there records for periodic visual inspection of the water source with corrective actions (where necessary)?	<ul style="list-style-type: none"> <li>• Frequency of inspections</li> <li>• Detail actions if an unusual occurrence has been recorded</li> </ul>
Irrigation / Water Use	3.10.04	Is open flowing surface water (e.g., river, canal, ditch) used in the operation?	• Confirm Y/N
Irrigation / Water Use	3.10.04	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	3.10.04	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	3.10.04	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	3.10.04a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	<ul style="list-style-type: none"> <li>• If Yes, detail actual tests done</li> <li>• Indicate the frequency testing, most recent test date and results to confirm the compliance</li> </ul>
Irrigation / Water Use	3.10.04b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	3.10.04c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	3.10.04d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	3.10.04e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	3.10.04f	Are there records for periodic visual inspection of the water source with corrective actions (where necessary)?	<ul style="list-style-type: none"> <li>• Frequency of inspections</li> <li>• Detail actions if an unusual occurrence has been recorded</li> </ul>
Irrigation / Water Use	3.10.05	Is reclaimed water used in the operation? Note, this refers to wastewater that has gone through a treatment process.	• Confirm Y/N
Irrigation / Water Use	3.10.05	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses
Irrigation / Water Use	3.10.05	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	3.10.05	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	3.10.05a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	<ul style="list-style-type: none"> <li>• If Yes, detail actual tests done</li> <li>• Indicate the frequency testing, most recent test date and results to confirm the compliance</li> </ul>
Irrigation / Water Use	3.10.05b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	3.10.05c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	3.10.05d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	3.10.05e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	3.10.05f	Are there records for periodic visual inspection of the water source with corrective actions (where necessary)?	<ul style="list-style-type: none"> <li>• Frequency of inspections</li> <li>• Detail actions if an unusual occurrence has been recorded</li> </ul>
Irrigation / Water Use	3.10.06	Is tail water (run-off water including hydroponics) used in the operation?	• Confirm Y/N
Irrigation / Water Use	3.10.06	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	• List the water uses

Irrigation / Water Use	3.10.06	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	• List the types of irrigation methods used
Irrigation / Water Use	3.10.06	Does the water come in contact with the edible portion of the crop?	• Confirm Y/N
Irrigation / Water Use	3.10.06a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical point of use) at the required and/or expected frequency? <b>A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• If Yes, detail actual tests done • Indicate the frequency testing, most recent test date and results to confirm the compliance
Irrigation / Water Use	3.10.06b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Irrigation / Water Use	3.10.06c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Irrigation / Water Use	3.10.06d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Irrigation / Water Use	3.10.06e	Where anti-microbial water treatments (e.g. chlorination, U.V., ozone, etc.) are used, are there records of the monitoring frequencies, results and where necessary the corrective actions?	• Detail treatment including frequency of treatment and monitoring
Irrigation / Water Use	3.10.06f	Are there records for periodic visual inspection of the water source with corrective actions (where necessary)?	• Frequency of inspections • Detail actions if an unusual occurrence has been recorded
Irrigation / Water Use	3.10.07	Are there backflow prevention devices on all main lines, including where chemical, fertilizer and pesticide applications are made?	• Describe the backflow prevention systems
Irrigation / Water Use	3.10.08	If the operation stores water (tank, cistern, container), is the storage container well maintained?	• Describe the condition of the container
Pesticide Usage	3.11.01	Are there up-to-date records of all pesticides applied during the growth cycle (including soil and substrate pre-plant treatments)? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Confirm records are current and include date and time of application, crop name, treated area, product name and code, amount applied, applicator name and pre-harvest interval.
Pesticide Usage	3.11.02	Are all pesticides applied during the growth cycle authorized/registered by the authority/government of the country of production? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail any pesticides used that are not authorized/registered
Pesticide Usage	3.11.03	Are all pesticides used during the growth cycle applied as recommended/directed in the label? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail comparison(s) made of application records reviewed against the product label
Pesticide Usage	3.11.04	Where harvesting is restricted by pre-harvest intervals, are required pre-harvest intervals on product labels, national (e.g., EPA) registration and any federal, state or local regulations and guidelines being adhered to? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Name and details for a chosen PPP, the pre-harvest interval indicated on the product label and the number of days that passed between application and harvest.
Pesticide Usage	3.11.05	Where products are destined for export, is there information for pesticide Maximum Residue Limits (MRLs) compliance considering country of destination, target crop(s), and active ingredients applied?	• Describe the evidence used to document their compliance
Pesticide Usage	3.11.06	Where products are destined for export, is there evidence that Maximum Residue Limits (MRLs) of the intended markets are met?	• Describe the evidence used to document their compliance
Pesticide Usage	3.11.07	Is there a documented procedure for the pesticide applications, considering mixing and loading, applying, and equipment cleaning?	• Procedure name and/or code
Pesticide Usage	3.11.08	Is there documentation that shows the individual(s) making decisions for pesticide applications is competent?	• List the certificates/licenses/recognized training of individual(s) making crop protection decisions
Pesticide Usage	3.11.09	Is there documentation that shows that individuals who handle pesticide materials are trained and are under the supervision of a trained person?	• List the certificates/licenses/recognized training of individual(s) who handle pesticide materials

PrimusGFS Minimum Comment Guidelines v3.2			
MODULE 4 - Harvest Crew			
Section	Q #	Question	Mandatory Information Required in the Report
General	4.01.01	Is there a designated person responsible for the operation's food safety program?	• Name of the designated person who is responsible
General	4.01.02	Does the operation have a written food safety hygiene and health policy covering at least worker and visitor hygiene and health, infants and toddlers, animal presence in growing and storage areas, fecal matter, dropped product, blood and bodily fluids?	• Document name and/or code
Inspection	4.02.01	Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	• Document name and/or code • Confirm the frequency of the inspections, date of the last internal audit
Inspection	4.02.02	Are there records of pre-harvest inspections and do they show that the current block (or coded area) is cleared for harvest? If there are no pre-harvest inspections got to 4.02.03.	• Document name and/or code
Inspection	4.02.02a	Where pre-harvest inspections have discovered issues, have buffer zones been clearly identified, and at the time of the audit, are those buffer zones being respected?	• If Y, detail issue and buffer zones.
Inspection	4.02.03	Is there a pre-operation inspection log?	• Name or position of person who performs the pre-operation inspections
Training	4.03.01	Is there a food safety hygiene training program covering new and existing workers and are there records of these training events?	• Confirm the frequency of training
Training	4.03.02	Is there a documented training program with training logs for the sanitation workers, including best practices and chemical use details?	• Note the date of the last training and the topics covered
Training	4.03.03	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 return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).	• Document name and/or code
Training	4.03.04	Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	• Indicate if worker non-compliance is documented
Harvest Worker Hygiene	4.04.01	Are toilet facilities adequate in number and location? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Indicate the number of toilets and number of workers at time of inspection and at peak season (if applicable)
Harvest Worker Hygiene	4.04.01a	Are toilet facilities in a suitable location to prevent contamination to the product, packaging, equipment, and growing areas?	• Describe the location of the toilet facilities
Harvest Worker Hygiene	4.04.01b	Are toilet facilities designed and maintained to prevent contamination (e.g., free from leaks and cracks)?	• Confirm Y/N
Harvest Worker Hygiene	4.04.01c	Are toilet facilities constructed of materials that are easy to clean?	• Describe the type of material in which the toilets are composed
Harvest Worker Hygiene	4.04.01d	Are the toilet facility materials constructed of a light color allowing easy evaluation of cleaning performance?	• Describe the color of the toilets
Harvest Worker Hygiene	4.04.01e	Are toilet facilities supplied with toilet paper and is the toilet paper maintained properly (e.g., toilet paper rolls are not stored on the floor or in the urinals)?	• Describe the condition of the toilet paper in the toilet facilities
Harvest Worker Hygiene	4.04.01f	Where used, is there a documented procedure for emptying the waste holding tanks in a hygienic manner and also in a way that prevents product, packaging, equipment, water systems and growing area contamination?	• Procedure name and/or code
Harvest Worker Hygiene	4.04.01g	Are the toilet facilities and hand washing stations clean and are there records showing toilet cleaning, servicing and stocking is occurring regularly?	• Frequency of cleaning and servicing
Harvest Worker Hygiene	4.04.02	Is hand washing signage posted appropriately?	• Confirm Y/N
Harvest Worker Hygiene	4.04.03	Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Indicate the number of stations and number of workers at time of inspection and at peak season (if applicable)

Harvest Worker Hygiene	4.04.03a	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.)?	• Describe the design and condition of hand wash stations.
Harvest Worker Hygiene	4.04.03b	Are hand wash stations clearly visible (e.g., situated outside the toilet facility) and easily accessible to workers?	• Describe the location of the hand washing facilities in relation to the toilet facilities.
Harvest Worker Hygiene	4.04.03c	Are hand wash stations adequately stocked with unscented soap and paper towels?	• Confirm Y/N
Harvest Worker Hygiene	4.04.03d	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?	• Indicate where supplies are stored.
Harvest Worker Hygiene	4.04.04	Are total coliforms (TC) and generic <i>E. coli</i> tests conducted on the water used for hand washing at the required and/or expected frequency?	• Indicate the frequency testing, most recent test date and results to confirm the compliance
Harvest Worker Hygiene	4.04.04a	Do written procedures (SOPs) exist covering proper sampling protocols, which include where samples should be taken and how samples should be identified?	• Name and/or code of the water sampling procedure
Harvest Worker Hygiene	4.04.04b	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	• Name and/or code of the procedure(s)
Harvest Worker Hygiene	4.04.04c	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	• Date of the most recent corrective action taken (if applicable), the date of re-testing and results
Harvest Worker Hygiene	4.04.05	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?	• Confirm if handwashing is observed or if there are apparent signs of hand washing
Harvest Worker Hygiene	4.04.06	Are secondary hand sanitation stations (e.g., hand dips, gels or spray stations) adequate in number and location, and are the stations maintained properly?	• Describe the location of the stations • Confirm they are operational and stocked
Harvest Worker Hygiene	4.04.07	Is it evident that corrective actions are taken when workers fail to comply with hand washing guidelines?	• Describe any corrective actions taken when hand washing is not done properly during the audit
Harvest Worker Hygiene	4.04.08	Are workers who are working directly or indirectly with food, free from evidence of boils, sores, open wounds and are not exhibiting signs of foodborne illness?	• Confirm Y/N
Harvest Worker Hygiene	4.04.09	Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?	• Confirm Y/N
Harvest Worker Hygiene	4.04.10	Are worker personal items being stored appropriately (i.e. not in the growing areas(s) or material storage areas)?	• Confirm Y/N. Indicate where items are stored.
Harvest Worker Hygiene	4.04.11	Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	• Describe any non-compliance
Harvest Worker Hygiene	4.04.12	Are workers wearing effective hair nets that contain all hair?	• Describe hair restraints in use
Harvest Worker Hygiene	4.04.13	Are all items removed from garment (shirt, blouse, etc.) top pockets, and unsecured items are not worn (e.g., pens, glasses on top of head, Bluetooth devices, etc.)?	• Confirm Y/N.
Harvest Worker Hygiene	4.04.14	Are all workers wearing protective outer garments suitable for the operation (e.g. appropriate clean clothes, smocks, aprons, sleeves and non-latex gloves)?	• Confirm Y/N. Detail any issues.
Harvest Worker Hygiene	4.04.15	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?	• Confirm Y/N
Harvest Worker Hygiene	4.04.15a	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 toilet?	• Describe where garments are left
Harvest Worker Hygiene	4.04.16	Is fresh potable drinking water readily accessible to workers?	• Confirm that the auditor verified that the drinking water is potable (verbal verification accepted)
Harvest Worker Hygiene	4.04.16a	Are single use cups provided (unless a drinking fountain is used) and made available near the drinking water?	• Confirm Y/N for cups or indicate if there is a drinking fountain.
Harvest Worker Hygiene	4.04.17	Are first aid kits adequately stocked and readily available?	• Note the location/accessibility of the first aid kit
Harvest Worker Hygiene	4.04.18	Are all commodities that come in contact with blood and/or other bodily fluids destroyed? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Briefly describe situation that led to the product being destroyed
Harvest Worker Hygiene	4.04.19	Are there adequate trash cans placed in suitable locations?	• Confirm Y/N
Harvest Worker Hygiene	4.04.20	Are any potential foreign material issues (e.g., metal, glass, plastic) controlled?	• Describe any potential contamination issues that exist in the harvesting area

Harvest Practices	4.05.01	Is the harvest area free from animal presence and/or animal activity (wild or domestic)? If Total Compliance, go to 4.05.02.	<ul style="list-style-type: none"> <li>Confirm Y/N</li> <li>If Y, describe the presence or evidence of any animal activity.</li> </ul>
Harvest Practices	4.05.01a	Is the harvest area free from any evidence of animal fecal matter? <b>A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	<ul style="list-style-type: none"> <li>If fecal contamination is found, detail event</li> <li>Detail any corrective actions performed</li> </ul>
Harvest Practices	4.05.02	Is the harvesting area free from any evidence of human fecal contamination? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>Detail any presence of fecal contamination</li> </ul>
Harvest Practices	4.05.03	Is the harvest area free from evidence of infants or toddlers?	<ul style="list-style-type: none"> <li>Indicate if there are any infants, toddlers, or evidence of them observed during the audit</li> </ul>
Harvest Practices	4.05.04	Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	<ul style="list-style-type: none"> <li>Indicate where and how chemicals are stored</li> </ul>
Harvest Practices	4.05.05	Are "food grade" and "non-food grade" chemicals used appropriately according to the label and <b>not commingled</b> ?	<ul style="list-style-type: none"> <li>Indicate how non-food grade chemicals are stored with respect to food grade chemicals</li> </ul>
Harvest Practices	4.05.06	Are there records of microbial testing for water used for postharvest product contact (e.g., washing, re-hydrating) and product contact surfaces (e.g., cleaning grading packing tables and harvest tools) showing that there is no detectable total coliforms and generic <i>E. coli</i> in the water?	<ul style="list-style-type: none"> <li>If Y, detail actual tests done</li> </ul>
Harvest Practices	4.05.06a	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	<ul style="list-style-type: none"> <li>Name and/or code of the procedure(s)</li> </ul>
Harvest Practices	4.05.06b	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	<ul style="list-style-type: none"> <li>Date of the most recent corrective action taken (if applicable), the date of re-testing and results</li> </ul>
Harvest Practices	4.05.07	Is the product harvested and transported to a facility for additional handling and/or final packing?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Harvest Practices	4.05.08	Is the product packed in the final packing unit in the <b>growing area</b> ? If No, go to 4.05.09.	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Harvest Practices	4.05.08a	Is packing material (e.g., cartons, bags, clamshells, sacks, RPCs) intended for carrying product used for that purpose only?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> <li>If N, describe what else the packing material is being used for</li> </ul>
Harvest Practices	4.05.08b	Is <b>packing</b> material inspected prior to use and <b>is product and packing material</b> free from handling contamination and exposure to the ground?	<ul style="list-style-type: none"> <li>Describe how the harvest process ensures that product and packing material are kept off the ground</li> <li>Indicate how packaging is monitored</li> </ul>
Harvest Practices	4.05.08c	If packing material is left in the <b>growing area</b> unattended, is it stored secured and protected?	<ul style="list-style-type: none"> <li>Describe where and how the packing material is stored overnight</li> </ul>
Harvest Practices	4.05.09	Is the crop, harvested product, ingredients (including water), food contact packaging and food contact surfaces within accepted tolerances for spoilage and free from adulteration? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>Detail any spoilage or adulteration issues</li> </ul>
Harvest Practices	4.05.10	Are grading and packing <b>surfaces, carts, ladders and other harvest aids</b> used? If No, go to 4.05.11.	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Harvest Practices	4.05.10a	Does the design and condition of the grading and packing <b>surfaces</b> (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood) facilitate effective cleaning and maintenance?	<ul style="list-style-type: none"> <li>Confirm Y/N, if no provide details.</li> </ul>
Harvest Practices	4.05.10b	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the grading and packing surfaces that includes the frequency of cleaning and sanitizing, and the procedures used, including chemical use details?	<ul style="list-style-type: none"> <li>Indicate the frequency of cleaning</li> <li>Indicate anti-microbial used, and the strength</li> <li>Frequency of testing</li> </ul>
Harvest Practices	4.05.10c	Are cleaning and sanitation logs on file for grading and packing surfaces that show what was done, when, by who and detail strength testing of anti-microbial solution used to sanitize surfaces?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Harvest Practices	4.05.11	Are re-useable containers (e.g. buckets, <b>totes</b> , lugs, <b>RPCs</b> , bins) used in the harvesting operation? If No, go to 4.05.12.	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Harvest Practices	4.05.11a	Does the design and condition of re-usable containers (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood, no fabric) facilitate effective cleaning and maintenance?	<ul style="list-style-type: none"> <li>Confirm Y/N, if no provide details.</li> </ul>
Harvest Practices	4.05.11b	Are re-useable containers free from any handling contamination?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Harvest Practices	4.05.11c	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the reusable containers that includes the frequency of cleaning and sanitizing, and the procedures used including chemical use details?	<ul style="list-style-type: none"> <li>Indicate the frequency of cleaning</li> <li>Indicate anti-microbial used, and the strength</li> <li>Frequency of testing</li> </ul>

Harvest Practices	4.05.11d	Are cleaning and sanitation logs on file for reusable containers that show what was done, when, by who and detail strength testing of anti-microbial solution used to sanitize surfaces?	•Confirm Y/N
Harvest Practices	4.05.12	Are tools (e.g. knives, clippers, scissors, etc.) used in harvesting? If No, go to 4.05.13.	• Indicate if and which types of harvesting tools are used
Harvest Practices	4.05.12a	Does the design and condition of harvest tools (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood, no fabric) facilitate effective cleaning and maintenance?	• Describe what materials harvest tools are made of.
Harvest Practices	4.05.12b	Are harvest tools free from exposure to the ground and/or any handling contamination?	• Describe the handling practices for the harvest tools
Harvest Practices	4.05.12c	Is there a tool accountability, storage and control program for knives and similar cutting hand tools used in the harvest area when not in use?	• Describe storage and control procedures
Harvest Practices	4.05.12d	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for harvest tools that includes the frequency of cleaning and sanitizing, and the procedures used including chemical use details?	• Indicate the frequency of cleaning • Indicate anti-microbial used, and the strength • Frequency of testing
Harvest Practices	4.05.12e	Are cleaning and sanitation logs on file for harvest tools that show what was done, when, by who and detail strength testing of anti-microbial solution used to sanitize surfaces?	• Confirm Y/N
Harvest Practices	4.05.12f	Are harvesting tool dips being maintained properly in terms of anti-microbial solution strength and are records of the solution checks being maintained? AUDITORS SHOULD REQUIRE A TEST AT THE TIME OF THE AUDIT.	• Indicate if records are maintained • Indicate if the auditee test demonstrates that the desired level is maintained
Harvest Practices	4.05.13	Is machinery used in the harvesting process? If No, go to 4.05.14.	• Confirm Y/N
Harvest Practices	4.05.13a	Are food contact machinery surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	• Confirm Y/N. Describe any issues.
Harvest Practices	4.05.13b	Are food contact machinery surfaces clean?	• Confirm Y/N
Harvest Practices	4.05.13c	Are non-food contact machinery surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	• Confirm Y/N. Describe any issues.
Harvest Practices	4.05.13d	Are non-food contact machinery surfaces clean?	• Confirm Y/N
Harvest Practices	4.05.13e	Does the design and condition of the machinery (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood) facilitate effective cleaning, sanitation and maintenance?	• Describe what material(s) the equipment is made of
Harvest Practices	4.05.13f	Is machinery designed and used properly to minimize product contamination (e.g., drip pans utilized, dedicated tractor pathways)?	• Describe any potential contamination concerns
Harvest Practices	4.05.13g	Are all glass issues on harvesting machines, in-field trucks, and tractors protected in some manner?	• Describe how glass contamination is being prevented
Harvest Practices	4.05.13h	Are all platforms above product, packaging, or food contact surfaces (e.g., belts) on the harvest machinery and in-field trucks fitted with protection to prevent product contamination?	• Describe the platform design and any protection fitted
Harvest Practices	4.05.13i	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the harvest machinery that includes the frequency of cleaning and sanitizing, the procedures used including chemical use details?	• Indicate the frequency of cleaning • Indicate anti-microbial used, and the strength • Frequency of testing
Harvest Practices	4.05.13j	Are cleaning and sanitation logs on file for harvest machinery that show what was done, when, by who and detail strength testing of anti-microbial solution used to sanitize surfaces?	• Confirm Y/N
Harvest Practices	4.05.13k	Is there written documentation showing that only food grade lubricants are used on the critical parts of the harvesting machinery that have the potential to contaminate product?	• Confirm Y/N
Harvest Practices	4.05.14	Is water used directly on product contact (e.g. re-hydration, core in field)? If No, go to 4.05.15.	• Confirm Y/N
Harvest Practices	4.05.14a	Are there specific Standard Operating Procedures (SOPs) for the monitoring of anti-microbial parameters in single-pass and/or recirculated/batch water systems and changing of recirculated/batch water systems (e.g., dump tanks) and for pH and monitoring water temperature (if applicable)?	• Document name and/or code • If applicable, confirm water changing, testing frequencies • Note the frequency of validation documentation
Harvest Practices	4.05.14b	Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, peroxyacetic acid) strength testing of wash water prior to start up and throughout the run?	• Document name and/or code • Detail the processes being monitored, anti-microbial/method used, frequencies and parameters
Harvest Practices	4.05.14c	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.)?	• Document name and/or code



Harvest Practices	4.05.14d	Does the operation use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (e.g., postharvest product contact water, dip stations, etc.) being used, are they in operational condition and are they being used correctly?	<ul style="list-style-type: none"> <li>Describe method(s) used for verifying anti-microbial(s)</li> <li>Confirm they are operational and tested during the audit</li> </ul>
Harvest Practices	4.05.15	Is the harvested product "in-field processed" or "in-field semi-processed" (e.g., core in field, top & tail, florets)? If No, go to 4.05.16.	<ul style="list-style-type: none"> <li>Describe the processing being done</li> </ul>
Harvest Practices	4.05.15a	Where harvested product is "in-field processed" or "in-field semi-processed," does the process flow, machine layout, worker control, utensil control, etc. ensure that processed products are not contaminated by unprocessed products?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Harvest Practices	4.05.15b	Are all plastic bin liners closed immediately after harvest to avoid contamination of the harvested product?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Post-Harvest Treatments	4.06.01	Is there any post-harvest treatment performed to the product in the growing area? If No, go to 4.07.01	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Post-Harvest Treatments	4.06.01a	Are there up to date records of all pesticides applied in the growing area to the harvested product? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>Confirm that records are current and include date of application, product name and amount applied</li> </ul>
Post-Harvest Treatments	4.06.01b	Are all pesticides applied post-harvest authorized/ registered by the authority/government of the country of production? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>Detail any pesticides used that are not authorized/registered</li> </ul>
Post-Harvest Treatments	4.06.01c	Are all pesticides applied post-harvest used as recommended/directed in the label? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>Detail comparison(s) made of application records reviewed against the product label</li> </ul>
Post-Harvest Treatments	4.06.01e	Where products are destined for export, is there evidence that Maximum Residue Levels (MRL's), of the intended markets are met?	<ul style="list-style-type: none"> <li>Describe the evidence used to document their compliance</li> </ul>
Post-Harvest Treatments	4.06.01d	Where products are destined for export, is there information for post-harvest pesticide Maximum Residue Limits (MRLs) compliance considering, country of destination, target crop(s) and active ingredients applied?	<ul style="list-style-type: none"> <li>Describe the evidence used to document their compliance</li> </ul>
Post-Harvest Treatments	4.06.01f	If is there a documented procedure for the post-harvest pesticide applications, considering mixing and loading, applying, and equipment cleaning?	<ul style="list-style-type: none"> <li>Procedure name and/or code</li> </ul>
Post-Harvest Treatments	4.06.01g	Is there documentation that shows the individual(s) making decisions for post-harvest pesticide applications is competent?	<ul style="list-style-type: none"> <li>List the certificates/licenses/recognized training of individual(s) making crop protection decisions</li> </ul>
Post-Harvest Treatments	4.06.01h	Is there documentation that shows that individuals who handle post-harvest pesticide materials are trained and are under the supervision of a trained person?	<ul style="list-style-type: none"> <li>List the certificates/licenses/recognized training of individual(s) who handle pesticide materials</li> </ul>
Transportation and Tracking	4.07.01	Are the vehicles loading and transporting fresh produce from growing area to facility limited to this function only, maintained in proper condition, and adequate for the purpose?	<ul style="list-style-type: none"> <li>Describe the condition of the transport vehicles</li> </ul>
Transportation and Tracking	4.07.02	Is there a system in place to track product from the growing area?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
Transportation and Tracking	4.07.02a	If product is being packed in the growing area, are the cartons, boxes, RPCs or any other packaging material used, identified with the harvesting date and growing location information? This question does not apply for raw material/bulk product destined for further handling in a packinghouse or processing facility.	<ul style="list-style-type: none"> <li>Describe coding used</li> </ul>
Transportation and Tracking	4.07.02b	If product is being packed in the growing area and individual packing units are used (e.g., clamshells, bags, baskets or others), are these individual units identified with the harvesting date and growing location information? This question does not apply for raw material/bulk product destined for further handling in a packinghouse or processing facility.	<ul style="list-style-type: none"> <li>Describe coding used</li> </ul>
On-site storage	4.08.01	Is there an on-site storage for items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.)?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
On-site storage	4.08.01a	Is on-site storage for items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.) clean and secure?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>

On-site storage	4.08.02	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.)?	• Describe the storage area and how items are being stored
On-site storage	4.08.03	Are there cleaning logs for the storage area(s)?	• Confirm records show areas were cleaned, dates and person doing cleaning
On-site storage	4.08.04	Is there a <b>documented and</b> effective pest control program in place for fixed location storage areas?	• Confirm Y/N and document name and/or code
On-site storage	4.08.04a	Are pest control devices located away from items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.), and poisonous bait stations are not used inside the storage areas?	• Describe the placement of pest control devices
On-site storage	4.08.04b	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	• Indicate condition of devices
On-site storage	4.08.04c	Are pest control devices adequate in number and location?	• Confirm Y/N
On-site storage	4.08.04d	If storage areas are fully enclosed, are measures taken to prevent pest entry?	• Confirm Y/N
On-site storage	4.08.04e	Are all pest control devices identified by a number or other code (e.g., barcode)?	• Describe how the pest control devices are identified
On-site storage	4.08.04f	Are all pest control devices effective and bait traps secured?	• Confirm Y/N
On-site storage	4.08.04g	Is there a schematic drawing/plan of the storage area showing numbered locations of all pest monitoring devices, both inside and outside the storage area?	• Indicate whether the trap map matches the physical placement of traps
On-site storage	4.08.04h	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	• Date of the most recent inspection

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MODULE 5 - Good Manufacturing Practices			
Section	Q #	Question	Mandatory Information Required in the Report
General GMP	5.01.01	Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	• Indicate where and how chemicals are stored
General GMP	5.01.02	Are "food grade" and "non-food grade" chemicals used appropriately according to the label and <b>not commingled</b> ?	• Indicate how non-food grade chemicals are stored with respect to food grade chemicals
General GMP	5.01.03	Are signs supporting GMPs posted appropriately?	• Give locations where signage is posted
General GMP	5.01.04	Are the necessary food defense controls implemented in the operation?	• Describe the security of facility, including high risk areas and external storage
Pest Control	5.02.01	Are products or ingredients free of pests (e.g. insects, rodents, birds, reptiles, mammals) or any evidence of them? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Confirm Y/N, if no provide details of the observation.
Pest Control	5.02.02	Are packaging supplies free of pests (e.g., insects, rodents,birds,reptiles,mammals) or any evidence of them? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Confirm Y/N, if no provide details of the observation.
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?	• Confirm Y/N. Detail any findings.
Pest Control	5.02.04	Is the area outside the facility free of evidence of pest activity?	• Confirm Y/N. Detail any findings.
Pest Control	5.02.05	Is there an effective pest control program in place? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	<ul style="list-style-type: none"> <li>• Describe the main controls implemented, the pests controlled</li> <li>• Indicate if the program is contracted and/or in-house</li> <li>• Provide the company name if contracted</li> </ul>
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 <b>stations</b> are not used within the facility?	• Describe the types of devices in use and where they are located
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?	<ul style="list-style-type: none"> <li>• Indicate the condition of the devices</li> <li>• Describe how monitored (check card, bar code)</li> </ul>
Pest Control	5.02.08	Are interior and exterior building perimeter pest control devices adequate in number and location?	• Confirm Y/N
Pest Control	5.02.09	Are all pest control devices identified by a number or other code (e.g barcode) ?	• Confirm internal devices have a wall sign
Pest Control	5.02.10	Are all pest control devices effective and bait <b>stations</b> secured?	• Indicate how bait devices are secured
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)?	• Detail any storage issues with food related items, including raw, processed, wet, dry, ice and allergens.
Storage Areas & Packaging Materials	5.03.02	Is the facility's use restricted to the storage of food products?	• Confirm Y/N. Detail any issues.
Storage Areas & Packaging Materials	5.03.03	Are rejected or on hold materials clearly identified and separated from other materials?	<ul style="list-style-type: none"> <li>• Confirm tagging shows date, reason and who responsible.</li> <li>• Provide an example as applicable</li> </ul>
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? <b>ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</b>	• Detail any spoilage or adulteration issues
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?	• Confirm Y/N
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.)?	• Give an example of/describe coding used
Storage Areas & Packaging Materials	5.03.07	Are materials (commodities, packaging, ingredients, processing aids work in progress, etc.) rotated using FIFO policy?	• Confirm Y/N
Storage Areas & Packaging Materials	5.03.08	Are storage areas at the appropriate temperatures for the specific products being stored?	• Confirm Y/N

	5.03.09	Is any packaging being stored outside, being stored protected?	• Detail any outside storage of packaging and how it is protected
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?	• Describe any potential or actual cross contamination risks observed
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.)?	• Describe any overhead issues observed
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?	• Confirm Y/N
Operational Practices	5.04.04	Where facilities are not completely enclosed, are there measures in place to mitigate potential hazards?	• Describe the facility if not completely enclosed, and describe mitigation measures taken
Operational Practices	5.04.05	Is all re-work / re-packaging handled correctly?	• Describe any re-work activity observed
Operational Practices	5.04.06	Are raw ingredients examined before use?	• Confirm Y/N. Detail process observed.
Operational Practices	5.04.07	Are finished products coded (carton and unit packaging) for the day of production?	• Give an example of/describe coding used
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?	• Describe method(s) used • Confirm they are operational and tested during the audit
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?	• Describe method(s) used for verifying anti-microbial(s) • Confirm they are operational and tested during the audit
Operational Practices	5.04.10	Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage?	• Describe the location of the hand washing stations including the number of stations and workers at time of inspection and at peak season (if applicable)
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?	• Confirm they are operational and stocked
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.)?	• Indicate the number of toilets and number of workers at time of inspection and at peak season (if applicable)
Operational Practices	5.04.13	Are secondary hand sanitation stations adequate in number and location, and are the stations maintained properly?	• Describe the location of the stations • Confirm they are operational and stocked
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?	• Confirm foot sanitizing stations are in place in processing operations • Where used, confirm tested during the audit
Operational Practices	5.04.15	Are single service containers used for their intended purpose only so that potential cross contamination is prevented?	• Confirm Y/N. Detail any issues.
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?	• Confirm Y/N. Detail any issues.
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?	• Confirm Y/N • Describe equipment and any calibration
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?	• Confirm if handwashing is observed or if there are apparent signs of hand washing
Worker Practices	5.05.02	Are workers' fingernails clean, short and free of nail polish?	• Confirm Y/N
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?	• Confirm Y/N
Worker Practices	5.05.04	Are workers wearing effective hair restraints that contain all hair?	• Describe hair restraints in use
Worker Practices	5.05.05	Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?	• Confirm Y/N
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)?	• Describe outer garments used

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?	• Confirm Y/N
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?	• Describe where garments are left
Worker Practices	5.05.09	Are worker personal items being stored appropriately (i.e. not in the production or material storage area)?	• Indicate where items are stored.
Worker Practices	5.05.10	Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	• Describe any non-compliance
Worker Practices	5.05.11	Is fresh potable drinking water readily accessible to workers?	• Confirm that the auditor verified that the drinking water is potable (verbal verification accepted)
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.)?	• Confirm Y/N
Worker Practices	5.05.13	Are first aid kits adequately stocked and readily available in the facility, and are blue band aids used?	• Describe the location of the first aid kit(s) and if blue band aids are available
<b>Equipment</b>			
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.)?	• Confirm Y/N. Describe any issues.
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.)?	• Confirm Y/N. Describe any issues.
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?	• Describe what material(s) the equipment is made of
Equipment	5.06.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	• Confirm Y/N
Equipment	5.06.05	Are all thermometers non-glass and non-mercury?	• Describe what the thermometers are made of
<b>Equipment Cleaning</b>			
Equipment Cleaning	5.07.01	Are food contact equipment surfaces clean?	• Confirm Y/N
Equipment Cleaning	5.07.02	Are non-food contact equipment surfaces clean?	• Confirm Y/N
Equipment Cleaning	5.07.03	Are items (totes, bins, etc.) that are used to hold or store product clean?	• Confirm Y/N
Equipment Cleaning	5.07.04	During cleaning, are food products and packaging materials protected from contamination?	• Confirm Y/N
Equipment Cleaning	5.07.05	Are cooling units, including coils in coolers and freezers, clean and free of aged, dirty ice?	• Confirm Y/N
Equipment Cleaning	5.07.06	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	• Confirm Y/N
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?	• If there is any stored equipment, describe its storage condition
Equipment Cleaning	5.07.08	Are all utensils, hoses, and other items not being used, stored clean and in a manner to prevent contamination?	• Describe how items are stored
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?	• Confirm Y/N
Equipment Cleaning	5.07.10	Are excess lubricants and grease removed from the equipment and are lubricant catch pans fitted where needed?	• Confirm Y/N
<b>General Cleaning</b>			
General Cleaning	5.08.01	Are spills cleaned up immediately?	• Indicate treatment of any spills
General Cleaning	5.08.02	Are waste and garbage frequently removed from production and storage areas?	• Confirm Y/N
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)?	• Describe the condition of the drains
General Cleaning	5.08.04	Do high level areas, including overhead pipes, ducts, fans, etc., appear clean?	• Confirm Y/N
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?	• Confirm Y/N
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?	• Confirm Y/N
General Cleaning	5.08.07	Is cleaning equipment maintained clean and stored properly?	• Describe how items are stored

General Cleaning	5.08.08	Is cleaning equipment identified in order to prevent potential cross contamination issues (e.g., production, maintenance, outside, restroom equipment)?	• Describe the identification system used
General Cleaning	5.08.09	Are all items used for sanitation appropriate for their designated purpose (e.g., no steel wool, metal bristles, etc.)?	• Confirm Y/N
General Cleaning	5.08.10	Are toilet facilities and hand washing stations clean?	• Confirm Y/N
General Cleaning	5.08.11	Are worker break facilities clean, including microwaves and refrigerators, and no rotting or out of date foodstuffs?	• Confirm Y/N
General Cleaning	5.08.12	Is the maintenance shop organized, with equipment and spares stored in a neat and tidy fashion?	• Confirm Y/N
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?	• Indicate internal transport vehicles in use and their condition
General Cleaning	5.08.14	Are shipping trucks clean and in good condition?	• Confirm Y/N
<b>Buildings and Grounds</b>			
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?	• Confirm Y/N
Buildings and Grounds	5.09.02	Has the operation eliminated or adequately controlled any potential metal, glass or brittle plastic contamination issues?	• Describe any contamination issues observed
Buildings and Grounds	5.09.03	Has the facility eliminated the use of wooden items or surfaces?	• Confirm Y/N
Buildings and Grounds	5.09.04	Is there adequate lighting in the production and storage areas?	• Confirm Y/N
Buildings and Grounds	5.09.05	Is ventilation adequate to control dust, condensation, odors and vapors?	• Describe any issues, especially condensation
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?	• Indicate floor condition and if there's any standing water
Buildings and Grounds	5.09.07	Are the floor drains where they are needed for drainage and cleanup?	• Indicate the location
Buildings and Grounds	5.09.08	Are closed doors and windows to the outside pest-proof?	• Confirm Y/N
Buildings and Grounds	5.09.09	In temperature controlled environments, are docks enclosed and dock doors fitted with buffers/shelters to seal against trucks?	• Confirm Y/N
Buildings and Grounds	5.09.10	Are dock load levelers and buffers/shelters maintained in good condition, pest proof and debris free?	• Confirm Y/N
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)?	• Confirm Y/N
Buildings and Grounds	5.09.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	• Confirm Y/N
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?	• Confirm Y/N
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?	• Confirm Y/N
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)?	• Confirm Y/N
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?	• Confirm Y/N
Buildings and Grounds	5.09.17	Is the area around the dumpster/cull truck/trash area clean?	• Confirm Y/N
	5.09.18	Are outside garbage receptacles and dumpsters kept covered or closed?	
Buildings and Grounds	5.09.19	Are all water lines protected against back siphonage?	• Confirm Y/N
Buildings and Grounds	5.09.20	Where there is an on-site laboratory, is it completely enclosed and separated from production and storage areas?	• Confirm Y/N

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?	<ul style="list-style-type: none"> <li>Confirm the plan is accurate</li> </ul>
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?	<ul style="list-style-type: none"> <li>Confirm the plan is accurate</li> </ul>
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?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>List areas covered</li> </ul>
Site	5.10.04	Is there a current certificate of inspection (or similar record) for backflow prevention assemblies on water lines into the facility?	<ul style="list-style-type: none"> <li>Confirm the name of the company doing the inspections and the date</li> </ul>
Site	5.10.05	Is there a designated person responsible for the operation's food safety program?	<ul style="list-style-type: none"> <li>Name of the designated person who is responsible</li> </ul>
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)?	<ul style="list-style-type: none"> <li>If chemicals are decanted, confirm that the labels are readily accessible</li> </ul>
Chemical Files	5.11.02	Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	<ul style="list-style-type: none"> <li>Confirm the frequency of inventory checks</li> </ul>
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)?	<ul style="list-style-type: none"> <li>Confirm water changing frequencies</li> <li>Confirm testing frequencies</li> </ul>
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?	<ul style="list-style-type: none"> <li>Confirm if in-house or contracted (if contracted, name of the contracted company)</li> <li>Detail operator's license information and/or training</li> <li>Confirm that there is a document in place describing the scope of the program, type of pests and frequency of service</li> <li>Confirm insurance and licenses are current</li> </ul>
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?	<ul style="list-style-type: none"> <li>Confirm that the map in place matches the physical placement and types of traps in use</li> </ul>
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)?	<ul style="list-style-type: none"> <li>Confirm that the records are current and show chemical use details, trap-by-trap activity report, and corrective actions (if required)</li> </ul>
Operation Monitoring Records	5.13.01	Are there inspection records for incoming goods (e.g., raw materials, ingredients and packing materials)?	<ul style="list-style-type: none"> <li>Document name and/or code</li> </ul>
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)?	<ul style="list-style-type: none"> <li>Document name and/or code</li> </ul>
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?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>Detail the processes being monitored, along with the frequencies and parameters</li> </ul>
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?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>Detail the processes being monitored, anti-microbial/method used, frequencies and parameters</li> </ul>
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.)?	<ul style="list-style-type: none"> <li>Document name and/or code</li> </ul>
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?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>Detail the parameters and confirm that the auditor verified the concentration (if applicable)</li> </ul>
Operation Monitoring Records	5.13.07	Is there a tool accountability program for knives and similar cutting hand tools used in the production area?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>Name hand tools used</li> </ul>
Operation Monitoring Records	5.13.08	Is there a pre-operation inspection log?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>List areas covered</li> </ul>
	5.13.09	Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	<ul style="list-style-type: none"> <li>Document name and/or code</li> <li>Confirm the frequency of the inspections, date of the last internal audit</li> </ul>

Maintenance & Sanitation Files	5.14.01	Does the facility have a preventative maintenance program that includes a schedule and completion records?	<ul style="list-style-type: none"> <li>Confirm the items/areas that the program covers</li> <li>Give an example of the scheduled frequencies</li> </ul>
Maintenance & Sanitation Files	5.14.02	Are there a logs of maintenance work and repairs and are they signed off when work is completed?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
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?	<ul style="list-style-type: none"> <li>Document name and/or code</li> </ul>
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?	<ul style="list-style-type: none"> <li>Confirm that the schedule lists what is to be cleaned and the frequencies</li> </ul>
Maintenance & Sanitation Files	5.14.05	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	<ul style="list-style-type: none"> <li>Confirm SSOPs include details e.g. chemicals used</li> <li>Confirm SSOPs in place match the Master Sanitation Schedule</li> </ul>
Maintenance & Sanitation Files	5.14.06	Are cleaning and sanitation logs on file that show what was done, when and by who?	<ul style="list-style-type: none"> <li>Confirm that the logs are correctly filled out with required details</li> </ul>
Maintenance & Sanitation Files	5.14.07	Are there records showing verification of cleaning and sanitizing chemical concentrations?	<ul style="list-style-type: none"> <li>Provide verification details.</li> </ul>
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?	<ul style="list-style-type: none"> <li>Name CIP equipment in use</li> <li>Confirm the procedure and records are in place</li> </ul>
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)?	<ul style="list-style-type: none"> <li>Confirm frequency of drain cleaning</li> </ul>
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?	<ul style="list-style-type: none"> <li>Indicate the date(s) of the last cleaning and replacement</li> </ul>
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?	<ul style="list-style-type: none"> <li>Indicate the date(s) of the last cleaning and servicing</li> </ul>
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)?	<ul style="list-style-type: none"> <li>Name the type of rapid post sanitation checks being used, including the manufacturer brand name</li> <li>Detail frequency, threshold parameters and confirm corrective actions (if applicable)</li> </ul>
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)?	<ul style="list-style-type: none"> <li>Confirm that the procedure includes the glass policy, glass breakage procedure and clean-up</li> <li>Indicate the frequency of glass register checks (if applicable)</li> </ul>
<b>Worker Documentation</b>			
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?	<ul style="list-style-type: none"> <li>Document name and/or code</li> </ul>
Worker Documentation	5.15.02	Are there logs of ongoing worker food safety education training, including topics covered, attendees, etc.?	<ul style="list-style-type: none"> <li>Confirm the frequency of training</li> <li>Note the date of the last training and give an example of topics covered</li> </ul>
Worker Documentation	5.15.03	Are there training logs for the sanitation workers, including best practices and chemical use details?	<ul style="list-style-type: none"> <li>Note the date of the last training and the topics covered</li> </ul>
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).	<ul style="list-style-type: none"> <li>Document name and/or code</li> </ul>
Worker Documentation	5.15.05	Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	<ul style="list-style-type: none"> <li>Indicate if worker non-compliance is documented</li> </ul>
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?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>
<b>Testing</b>			
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?	<ul style="list-style-type: none"> <li>Detail organisms tested for, frequency of testing, laboratory name, acceptable results, timing of testing</li> <li>Confirm program includes rationale for organisms tested for</li> </ul>



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?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• <b>Detail actions to take if unacceptable results are received, who is responsible for taking those actions</b></li> <li>• <b>Confirm procedure includes steps to identify the cause</b></li> </ul>
Testing	5.16.03	Are there records of <b>environmental</b> microbiological test results and does testing meet the program requirements?	<ul style="list-style-type: none"> <li>• Detail type of tests, frequency of testing, laboratory name, results</li> </ul>
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?	<ul style="list-style-type: none"> <li>• Detail type of tests, frequency of testing, laboratory name, results</li> </ul>
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?	<ul style="list-style-type: none"> <li>• Detail type of tests, frequency of testing, laboratory name, results</li> </ul>
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?	<ul style="list-style-type: none"> <li>• Detail type of tests, frequency of testing, laboratory name, results</li> </ul>
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?	<ul style="list-style-type: none"> <li>• <b>Detail type of tests, frequency of testing, laboratory name, results</b></li> </ul>
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?	<ul style="list-style-type: none"> <li>• <b>Detail corrective actions including dates</b></li> </ul>
Testing	5.16.09	<b>Is there a documented training program with training records for the sampling personnel, including aseptic sampling collection techniques, sampling protocols and sample handling?</b>	<ul style="list-style-type: none"> <li>• <b>Detail what training was provided</b></li> </ul>
Testing	5.16.10	Where food safety related testing is being done in-house, is there a laboratory quality assurance manual with protocols <b>and validated testing methods</b> , evidence of training on testing protocols <b>and methods</b> , and relevant <b>supporting documentation</b> ?	<ul style="list-style-type: none"> <li>• Document name and/or code and provide examples of method(s), training records.</li> </ul>
<b>Temperature Controlled Storage &amp; Distribution Logs</b>			
Temperature Controlled Storage & Distribution Logs	5.17.01	Are there records of final product temperature checks for temperature sensitive product?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Specify applicable products and the temperature range</li> </ul>
Temperature Controlled Storage & Distribution Logs	5.17.02	Are there temperature logs for the production area (if refrigerated)?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Indicate the temperature range</li> </ul>
Temperature Controlled Storage & Distribution Logs	5.17.03	Are there temperature logs for storage rooms?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Give an example of the temperature range and products</li> </ul>
Temperature Controlled Storage & Distribution Logs	5.17.04	Is there a documented procedure for checking truck trailer temperature <b>and reviewing sanitary condition of truck trailers</b> prior to loading?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> </ul>
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?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> </ul>
Temperature Controlled Storage & Distribution Logs	5.17.06	Are there sanitary condition logs for shipping truck trailers (or other transportation systems)?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> </ul>
<b>Allergen Control</b>			
Allergen Control	5.18.01	Are production and storage areas <b>free of allergen risks (i.e. allergens are not stored or handled)</b> ?	<ul style="list-style-type: none"> <li>• Confirm Y/N</li> </ul>
Allergen Control	5.18.02	Has a documented allergen management plan been developed?	<ul style="list-style-type: none"> <li>• Document name and/or code</li> <li>• Detail areas covered by the plan</li> </ul>
Allergen Control	5.18.03	Are there adequate storage controls (e.g., separation, identification, etc.) that ensure that allergens are not contaminating other materials?	<ul style="list-style-type: none"> <li>• Detail storage controls in place</li> </ul>
Allergen Control	5.18.04	Is there a dedicated allergen production line or adequate clean down and production procedures that prevent allergen cross contamination?	<ul style="list-style-type: none"> <li>• Detail procedures in place</li> </ul>
Allergen Control	5.18.05	Are utensils and work in progress storage containers identified in order to prevent allergen cross contamination?	<ul style="list-style-type: none"> <li>• Detail system in place</li> </ul>
Allergen Control	5.18.06	Does re-work handling take into account the issues associated with allergen containing products?	<ul style="list-style-type: none"> <li>• Detail re-work process</li> </ul>
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?	<ul style="list-style-type: none"> <li>• Confirm that training is for new and existing workers</li> <li>• Note the date of the last training</li> </ul>

Allergen Control	5.18.08	Are worker practices adequate and being followed to protect against allergen cross-contact and against contamination of food?	• Confirm Y/N
Allergen Control	5.18.09	Are all products manufactured on site labeled correctly with respect to allergens?	• Confirm that the label shows allergens associated with the product

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MODULE 6 - HACCP			
Section	Q #	Question	Mandatory Information Required in the Report
Preliminary steps	6.01.01	Is there a team responsible for the HACCP program at the operation, with an <b>assigned</b> leader for the development, implementation and on-going maintenance of the HACCP system?	• Indicate the HACCP coordinator and the number of people on the team
Preliminary steps	6.01.02	Is there documented evidence that the HACCP team members have been trained on HACCP principles?	• Confirm the type of training for the HACCP coordinator and team members including the date of the training and company name that provided the training
Preliminary steps	6.01.03	Does a product description exist for the products produced?	• <b>Confirm the description includes intended use, all ingredients, shelf life, method of storage and distribution</b>
Preliminary steps	6.01.04	Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps?	• Confirm that the flow chart is accurate and that inputs are shown
Preliminary steps	6.01.05	Is there documented evidence that the flow chart(s) has been verified on-site?	• Describe the evidence including the date, name of the person(s) responsible
Development of the HACCP Plan	6.02.01	Has a documented hazard analysis for the processes been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures? <b>A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.</b>	• Confirm that the hazard analysis is properly documented and identifies the <b>specific</b> hazards in the process (biological, chemical and physical), <b>including likelihood and severity</b> • <b>Confirm documented justification of hazards</b>
Development of the HACCP Plan	6.02.02	Have CCP decisions been made with <b>logical</b> , documented justification and where CCPs are implemented in a specific processing step, have they been developed to control the identified hazard(s)?	• Give an example of documentation for CCP justification
Development of the HACCP Plan	6.02.03	Is the HACCP system <b>reviewed</b> when <b>significant</b> changes are made and at least once every 12 months?	• Indicate the date of the most recent verification
Development of the HACCP Plan	6.02.04	Have critical control point (CCP) processing steps been identified that eliminate or reduce food safety hazards to an acceptable level? Information gathering. If the answer is YES, continue with the next question. If the answer is NO, the rest of "Module 6 HACCP" is not applicable.	• Indicate if there are or are not CCPs • Detail the identified CCPs
Development of the HACCP Plan	6.02.05	Have CCP critical control limits been established and <b>are they</b> supported by relevant validation documentation?	• Detail validation documentation used to support critical limits
Development of the HACCP Plan	6.02.06	Have monitoring requirements and frequencies been determined and documented for the CCPs?	• Detail requirements and frequencies
Development of the HACCP Plan	6.02.07	Have specific responsibilities been assigned for the monitoring, recording and corrective action implementation of each CCP?	• Indicate the assigned responsibility
Development of the HACCP Plan	6.02.08	Have standard operating procedures (SOPs) been created for the monitoring process(es) of the CCPs, which would include how to carry out the monitoring activities?	• Confirm that SOPs are in place for each CCP
Development of the HACCP Plan	6.02.09	Have corrective action procedures been established for the CCPs, including a detailed action plan for operators to follow if the critical control limits are not met (loss of control/deviation) and plans to adjust the process back into control?	• Confirm Y/N and provide example(s)
Development of the HACCP Plan	6.02.10	Have <b>recording forms been developed</b> for monitoring the CCPs?	• Confirm that the forms meet the requirements
Development of the HACCP Plan	6.02.11	Have verification plans and schedules been developed for each CCP?	• Indicate responsibility for verification • Give an example of a verification activity
Development of the HACCP Plan	6.03.01	Is there documented evidence that all plant workers have attended a HACCP training, including <b>specific</b> training for CCP operators?	• Indicate the date of the most recent training on HACCP topics
Development of the HACCP Plan	6.03.02	Do CCP operators understand basic HACCP principles and their role in monitoring CCPs?	• Confirm Y/N
Execution of the HACCP plan on the Plant Floor	6.03.03	Are the CCP monitoring activities and frequencies in compliance with the HACCP Plan and CCP SOPs?	• Confirm Y/N
Execution of the HACCP plan on the Plant Floor	6.03.04	Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	• Confirm Y/N
Execution of the HACCP plan on the Plant Floor	6.03.05	Are the CCP records reviewed and signed off by the quality control supervisor and/or management (second signatory)?	• Confirm Y/N and provide name of the supervisor/manager
Execution of the HACCP plan on the Plant Floor	6.03.06	Is there a deviation record detailing documented corrective actions when a deviation/loss of control of a CCP occurs (a critical control limit is exceeded)?	• If a failure detected in records, give details of actions taken

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MODULE 7 - Preventive Controls Program			
Section	Q #	Question	Mandatory Information Required in the Report
Preliminary steps	7.01.01	Is there a team responsible for the preventive control program at the operation, with a leader assigned, if applicable, for the development, implementation and on-going maintenance of the preventive control program?	<ul style="list-style-type: none"> <li>Indicate the leader and the number of people on the preventive control team</li> <li>Provide PCQI qualification information</li> </ul>
Preliminary steps	7.01.02	Is there documented evidence that the preventive control team members have been trained on preventive control program development?	<ul style="list-style-type: none"> <li>Confirm the type of PC training for team members including the date of the training, the company name and or the trainer that provided the training.</li> </ul>
Preliminary steps	7.01.03	Does a product description exist for the products produced?	<ul style="list-style-type: none"> <li>Confirm Y/N and provide details on the date or revision of the description(s)</li> </ul>
Preliminary steps	7.01.04	Has the process(es) been flow charted in sufficient detail to completely describe the process or product handling/processing steps?	<ul style="list-style-type: none"> <li>Confirm that the flow chart is accurate and that inputs are shown</li> </ul>
Preliminary steps	7.01.05	Is there documented evidence that the flow chart(s) has been verified on-site?	<ul style="list-style-type: none"> <li>Describe the evidence including the date, name of the person(s) responsible</li> </ul>
Development of the Preventive Controls Program	7.02.01	Has a documented hazard analysis for each product been conducted, showing the various types of hazards, their likelihood of occurrence, their associated severity and their control measures?	<ul style="list-style-type: none"> <li>Confirm that the hazard analysis is properly documented and identifies the hazards in the process (biological, chemical and physical)</li> </ul>
Development of the Preventive Controls Program	7.02.02	Where risk-based preventive controls are identified, have they been developed using plans and/or procedures to control identified hazard(s) are they appropriate and consistent with current scientific understanding?	<ul style="list-style-type: none"> <li>Give an example of documentation for PC justification</li> </ul>
Development of the Preventive Controls Program	7.02.03	Is the preventive control program (as part of the Preventive Control Plan re-analysis) reviewed when significant changes are made (raw materials, packaging, suppliers, product, process, construction, recurring deviations, new scientific information, etc.) and at least once every 3 years?	<ul style="list-style-type: none"> <li>Indicate the date of the most recent review</li> </ul>
Development of the Preventive Controls Program	7.02.04	Do the process preventive controls have critical limits, supported by relevant validation documentation, and do other preventive controls have parameters, values and targets (where relevant)?	<ul style="list-style-type: none"> <li>Detail validation documentation used to support critical limits</li> </ul>
Development of the Preventive Controls Program	7.02.05	Have monitoring requirements and frequencies been determined and documented for the preventive controls?	<ul style="list-style-type: none"> <li>Detail requirements and frequencies</li> </ul>
Development of the Preventive Controls Program	7.02.06	Are there documents that show validation work for the process preventive controls and was this validation work performed by or overseen by a Preventive Control Qualified Individual?	<ul style="list-style-type: none"> <li>Y/N and Provide examples</li> </ul>
Development of the Preventive Controls Program	7.02.07	Do the preventive control plans, charts and/or procedures indicate that specific responsibilities have been assigned for the monitoring, recording and corrective action implementation?	<ul style="list-style-type: none"> <li>Indicate the assigned responsibility</li> </ul>
Development of the Preventive Controls Program	7.02.08	Have standard operating procedures (SOPs) been created for the monitoring process(es) of the preventive controls, including those in plan or chart format (e.g., process preventive controls)?	<ul style="list-style-type: none"> <li>Confirm that SOPs are in place for each PC</li> </ul>
Development of the Preventive Controls Program	7.02.09	Have corrective action procedures been established for the preventive controls, including a detailed action plan for operators to follow if out of specification situations are observed (loss of control/deviation) and plans to adjust process back into control?	<ul style="list-style-type: none"> <li>Confirm Y/N and provide example(s)</li> </ul>
Development of the Preventive Controls Program	7.02.10	Have recording forms been developed for monitoring the preventive controls?	<ul style="list-style-type: none"> <li>Confirm that the forms meet the requirements</li> </ul>
Development of the Preventive Controls Program	7.02.11	Have verification procedures and schedules been developed for the preventive controls?	<ul style="list-style-type: none"> <li>Indicate responsibility for verification</li> <li>Give an example of a verification activity</li> </ul>
Execution of the Preventive Controls Program	7.03.01	Is there documented evidence that all plant workers have attended a preventive control training, including specific training for workers directly involved with preventive controls?	<ul style="list-style-type: none"> <li>Indicate the date of the most recent training on preventive control topics</li> </ul>
Execution of the Preventive Controls Program	7.03.02	Are the preventive control monitoring activities and frequencies in compliance with the preventive control plans, charts, and procedures?	<ul style="list-style-type: none"> <li>Indicate frequencies</li> </ul>
Execution of the Preventive Controls Program	7.03.03	Do workers directly involved with preventive control operations understand basic preventive control principles and their role in monitoring preventive controls?	<ul style="list-style-type: none"> <li>Confirm Y/N</li> </ul>

Execution of the Preventive Controls Program	7.03.04	Are preventive control associated records signed off (or initialed) by the workers who are carrying out and recording the preventive control activities?	• Confirm Y/N
Execution of the Preventive Controls Program	7.03.05	Is there a deviation record detailing documented corrective actions when a deviation or deficiency of a preventive control occurs?	• If a failure detected in records, give details of actions taken
Execution of the Preventive Controls Program	7.03.06	Are the records associated with preventive controls reviewed and signed off by a preventive controls qualified individual or trained designate (second signatory)?	• Confirm Y/N