

Name of Auditee:			0				
Date of Audit:			1/0/1900				
Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
1	General Questions						
1.1	Management Responsibility						
1.1.1.	A food safety policy shall be in place.	WP					
1.1.2.	Management has designated individual(s) with roles, responsibilities, and resources for food safety functions.	WP					
1.1.3.	There is a disciplinary policy for food safety violations.						
1.2	Food Safety Plan						
1.2.1.	There shall be a written food safety plan that covers the Operation.	WP					
1.2.2.	The food safety plan shall be reviewed at least annually.	R					
1.3	Documentation and Recordkeeping						
1.3.1	Documentation shall be kept that demonstrates the food safety plan is being followed.	R					

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1.3.2.	Documentation shall be readily available for inspection.						
1.3.3.	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulations.						
1.4	Worker Education and Training						
1.4.1.	All personnel shall receive food safety training.	R					
1.4.2.	Personnel with food safety responsibilities shall receive training sufficient to their responsibilities.						
1.4.3.	Contracted personnel are held to the relevant food safety standards as they would be as employees.	R					
1.5	Sampling and Testing						

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1.5.1.	Where laboratory analysis is required in the Food Safety Plan, testing shall be performed by a GLP laboratory using validated methods.	R					
1.5.2.	Where microbiological analysis is required in the food safety plan, samples shall be collected in accordance with an established sampling procedure.	WP					
1.5.3.	Tests, their results and actions taken must be documented.	R					
1.5.4.	All required testing shall include test procedures and actions to be taken based on the results.	WP					
1.6	Traceability						
1.6.1.	A documented traceability program shall be established.	WP, R					

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1.6.2.	A trace back and trace forward exercise shall be performed at least annually.						
1.7	Recall Program						
1.7.1.	A documented recall program, including written procedures, shall be established.	WP, R					
1.8	Corrective Actions						
1.8.1.	The Operation shall have documented corrective action procedures.	WP, R					
1.9	Self Audits						
1.9.1.	The Operation shall have documented self-audit procedures.	R					
2	Field Production						
2.1	Field History and Assessment						

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2.1.1.	The food safety plan shall, initially and at least annually thereafter, evaluate and document the risks associated with land use history and adjacent land use, including equipment and structures.	R					
2.1.2	For indoor growing and field storage buildings, building shall be constructed and maintained in a manner that prevents contamination of produce.						
2.1.3	Sewage or septic systems are maintained so as not to be a source of contamination.						
2.2	Worker Health/Hygiene and Toilet/Handwashing Facilities						
2.2.1	Operation shall have a policy for toilet, hygiene, and health.	WP					

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2.2.2	Employees and visitors shall be made aware of and follow all personal hygiene practices as designated by the Operation.						
2.2.3	Toilet facilities shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination and are directly accessible for servicing.						
2.2.4	Toilet facilities shall be of adequate number, easily accessible to employees and visitors and in compliance with applicable regulation.						
2.2.5	Toilet and wash stations shall be maintained in a clean and sanitary condition.						
2.2.6	Personnel shall wash their hands at any time when their hands may be a source of contamination.						

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2.2.7	Signage requiring hand washing is posted.						
2.2.8	Clothing, including footwear, shall be effectively maintained and worn so as to protect product from risk of contamination.						
2.2.9	If gloves are used, the Operation shall have a glove use policy.						
2.2.10	Protective clothing, when required, shall be maintained, stored, laundered and worn so as to protect product from risk of contamination.						
2.2.11	When appropriate, racks and/or storage containers or designated storage area for protective clothing and tools used by employees shall be provided.						

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2.2.12	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) shall be in compliance to company policy and applicable regulation.						
2.2.13	The use of hair coverings shall be in compliance with company policy and applicable regulations.						
2.2.14	Employees' personal belongings shall be stored in designated areas.						
2.2.15	Smoking, chewing, eating, drinking (other than water), urinating, defecating or spitting is not permitted in any growing areas.						
2.2.16	Operation shall have a written policy that break areas are located so as not to be a source of product contamination.	WP					

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2.2.17	Drinking water shall be available to all field employees.	R					
2.2.18	Workers and field personnel who show signs of illness shall be restricted from direct contact with produce or food-contact surfaces.	WP					
2.2.19	Personnel with exposed cuts, sores, or lesions shall not be engaged in handling product.						
2.2.20	Operation shall have a blood and bodily fluids policy.	WP					
2.2.21	First aid kits shall be accessible to all personnel.						
2.3	Agricultural Chemicals/Plant Protection Products						
2.3.1	Use of agricultural chemicals shall comply with label directions and prevailing regulation.	R					

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2.3.2	If product is intended for export, agricultural chemical use, including post-harvest chemicals, shall consider requirements in the intended country of destination.						
2.3.3	Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulation.	R					
2.3.4	Water used with agricultural chemicals shall not be a source of product or field contamination.						
2.3.5	Agricultural chemical disposal shall not be a source of product or field contamination.						

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2.4	Water Used in Growing Activities						
2.4.1	Water System Description						
2.4.1.1	A water system description shall be available for review.	WP					
2.4.1.2	The water source shall be in compliance with prevailing regulations.						
2.4.1.3	Water systems shall not be cross-connected with human or animal waste systems.						
2.4.2	Water System Risk Assessment						
2.4.2.1	An initial risk assessment shall be performed and documented that takes into consideration the historical testing results of the water source, the characteristics of the crop, the stage of the crop, and the method of application.	R					
2.4.3	Water Management Plan						

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2.4.3.1	There shall be a water management plan to mitigate risks associated with the water system on an ongoing basis.	WP					
2.4.3.2	Water testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or prevailing regulations for the commodities being grown.	WP					
2.4.3.3	The testing program shall be implemented consistent with the water management plan.	R					
2.4.3.4	If water is treated to meet microbiological criteria, the treatment is approved and effective for its intended use, and is appropriately monitored.	R					

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2.4.3.5	If post-harvest handling is used to achieve microbial criteria, Operation has documentation supporting its use.	R					
2.4.3.6	If Operation uses an alternative approach to regulatory microbiological testing, Operation has scientific data or information to support the alternative.	R					
2.5	Animal Control						
2.5.1	The Operation has a written risk assessment on animal activity in and around the production area.	WP					
2.5.2	The Operation routinely monitors for animal activity in and around the growing area during the growing season.	R					

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2.5.3	Based on the risk assessment, there shall be measures to prevent or minimize the potential for contamination from animals, including domesticated animals used in farming operations.	R					
2.6	Soil Amendments						
2.6.1	The food safety plan shall address soil amendment risk, preparation, use, and storage.	R					
2.6.2	If a soil amendment containing raw or incompletely treated manure is used, it shall be used in a manner so as not to serve as a source of contamination of produce.	R					
2.7	Vehicles, Equipment, Tools and Utensils						
2.7.1	Equipment, vehicles, tools utensils and other items or materials used in farming operations that may contact produce are identified.	R					

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2.7.2	Equipment, vehicles, tools and utensils used in farming operations which come into contact with product are in good repair, and are not a source of contamination of produce.	R					
2.7.3	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of chemical hazards.						
2.7.4	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of physical hazards.						
2.7.5	Cleaning and sanitizing procedures do not pose a risk of product contamination.						
2.7.6	Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination.	WP					

3	Harvesting
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3.1	Preharvest Assessment						
3.1.1.	A preharvest risk assessment shall be performed.	WP. R					
3.2	Water/Ice Used in the Harvesting and Postharvest Operations						
3.2.1.	Operation has procedures for water used in contact with product or food contact surfaces.	R					
3.2.2.	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food- contact surfaces.	R					
3.2.3.	Water use SOPs address treatment of re-circulated water, if used.	R					
3.2.4.	Water use SOPs address condition and maintenance of water-delivery system.						
3.2.5.	If applicable to the specific commodity, water use SOPs address control of wash water temperature.						
3.3	Containers, Bins and Packaging Materials						

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3.3.1.	Operation has written policy regarding storage of harvesting containers.	WP					
3.3.2.	Operation has written policy regarding inspection of food contact containers prior to use.	WP					
3.3.3.	Operation has written policy regarding acceptable harvesting containers.	WP					
3.3.4.	Operation has written policy prohibiting use of harvest containers for non-harvest purposes.	WP					
3.4	Field Packing and Handling						
3.4.1.	Operation shall have a written policy that visibly contaminated, damaged or decayed produce is not harvested, or is culled.	WP					
3.4.2.	Product that contacts the ground shall not be harvested unless the product normally grows in contact with the ground.	WP					

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3.4.3.	Harvest procedures shall include measures to inspect for and remove physical hazards.						
3.4.4.	Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce.						
3.4.5.	Packaging materials shall be appropriate for their intended use.						
3.4.6.	Packaging shall be stored in a manner that prevents contamination.						
3.4.7.	Operation has written policy regarding whether packing materials are permitted in direct contact with the soil.	WP					
3.5	Post Harvest Handling and Storage						
3.5.1.	Harvested produce is handled in a manner such that it is not likely to become contaminated.						

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3.5.2.	Materials that come in contact with the produce shall be clean and in good repair.						
3.5.3.	Harvested produce shall be stored separately from chemicals which may pose a food safety hazard.						

4	Transportation (Field to Storage or Packinghouse)						
4.1	Equipment Sanitation and Maintenance						
4.1.1.	The Operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	WP, R					
4.1.2.	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.						

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5	Waste Management						
5.1	Operation has implemented a waste management plan.						
5.2	Trash shall not come in contact with produce.						

Code Key: WP = Written Policy/Procedure; R = Record

Additional Auditor Comments: