

	<b>Requirement</b>	<b>Procedure</b>	<b>Verification</b>	<b>Corrective Action</b>
<b>1.</b>	<b>General Questions</b>			
1.1.	Management Responsibility			
1.1.1.	A food safety policy shall be in place.	A written policy shall outline a commitment to food safety, in general terms, how it is implemented and how it is communicated to employees, and be signed by Senior Management.	The auditor observes the food safety policy, observes that it is signed by Senior Management, and observes that it has been communicated to all employees in a manner that can be understood.	The Operation creates or revises the policy, or its communication to employees, to be in compliance.
1.1.2.	Management has designated individual(s) with roles and responsibilities for food safety functions.	The Food Safety Plan shall designate who has the responsibility and authority for food safety, including a provision for the absence of key personnel. Twenty-four hour contact information shall be available for these individuals in case of food safety emergencies. These roles and responsibilities shall be communicated within the organization.	Auditor observes that the Food Safety Plan has identified individual(s) for key food safety activities. Auditor verifies that procedures include provisions for when the identified individual is not present.	Operation identifies individual(s) for key food safety activities in the Food Safety Plan. Operation identifies actions to be taken when the identified individual(s) are not present.
1.1.3.	There is a disciplinary policy for food safety violations	There shall be a policy that establishes corrective actions for personnel who violate established food safety policies or procedures.	Auditor observes the policy and checks for examples of enforcement.	The Operation creates or revises the policy, or its communication to employees, to be in compliance.
1.2.	Food Safety Plan or Risk Assessment			
1.2.1.	There shall be a written Food Safety Plan. The plan shall cover the operation. The operation and products covered shall be defined.	The Food Safety Plan shall identify all locations of operation covered by the plan and shall identify physical, chemical, and biological hazards reasonably likely to occur and hazard control procedures, including monitoring, verification and recordkeeping, for all provisions covered by this audit.	Auditor shall observe the Food Safety Plan and verify that the plan has considered potential biological, chemical and physical hazards and has identified preventive controls for hazards that may reasonably affect food safety.	Operation develops or completes a Food Safety Plan for all locations of operation.
1.2.2.	The Food Safety Plan shall be reviewed at least annually.	Operation shall be responsible for reviewing their Food Safety Plan at least annually, documenting the review procedure and revising the plan as necessary.	Auditor reviews last Food Safety Plan review.	Operation reviews Food Safety Plan and documents review.

1.3.	Raw Material Sourcing			
1.3.1.	Operation has an Approved Supplier program for all incoming materials, including packaging.	Operation has and maintains a current list of approved raw material suppliers. Approved Supplier program includes a procedure for accepting materials from alternate sources.	Auditor verifies a list of raw material suppliers is maintained and current. Auditor verifies that all materials received from alternate sources has followed established procedure.	Operation develops an Approved Supplier program and maintains current list. Operation develops a procedure for accepting materials from alternate sources. Operation ceases accepting or shipping materials from non-compliant suppliers.
1.3.2.	The Operation has a policy and takes affirmative steps to ensure that all fresh produce that are packed or stored in the facility are grown following requirements in <i>Field Operations and Harvesting</i> harmonized standard.	The Operation requires all raw product suppliers to provide evidence of food safety/GAP programs and compliance. Such evidence must include sufficient documentation to demonstrate that the supplier complies with the requirements in <i>Field Operations and Harvesting</i> harmonized standard.	Auditor reviews policy and verifies that Operation's evidence of supplier compliance with food safety/GAP programs is in compliance with the Operation's policy.	Operation obtains required documentation. Operation ceases accepting or shipping product from non-approved suppliers, until sufficient documentation demonstrating compliance is received by the Operation.
1.4.	Documentation & Recordkeeping			
1.4.1.	Documentation shall be kept that demonstrates the Food Safety Plan is being followed.	Documents and records of procedures, standard operating procedures (SOPs) and policies shall be in place for meeting each of the food safety standards identified in the Food Safety Plan.	Auditor reviews Food Safety Plan and verifies that all required documentation is available.	Operation develops missing documentation or recordkeeping procedures.
1.4.2.	Documentation shall be readily available for inspection.	Documents and records may be maintained on-site or at an off-site location, or accessible electronically (e.g., MSDS), and shall be available for inspection in a reasonable timeframe or as required by prevailing regulation.	Auditor verifies that required documentation can be accessed in a reasonable timeframe.	Operation defines in Food Safety Plan where and how documentation is maintained and expected retrieval time.

1.4.3.	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulation.	Document and record handling policy or procedures require that documentation required by the Food Safety Plan shall be retained for a minimum of two years, or as required by prevailing regulation.	Auditor reviews document handling procedures and verifies that required documentation is available for at least two years, or as required by prevailing regulation.	Operation revises documentation procedures.
1.5.	Worker Education and Training			
1.5.1.	All personnel shall receive food safety training.	All personnel shall receive training in the food safety policy and plan, food safety procedures, sanitation and personal hygiene appropriate to their job responsibilities. Personnel shall receive training at hire and refresher training at prescribed frequencies. Documentation of training is available.	Auditor reviews program of required training and examines training records for evidence of compliance.	Operation shall develop and deliver required training.
1.5.2.	Personnel with food safety responsibilities shall receive training sufficient to their responsibilities.	The individual designated for food safety responsibilities demonstrates knowledge of food safety principles. Food safety designate has completed at least one formal food safety course/workshop or by job experience.	Auditor reviews the evidence of the individual's training relevant to produce food safety, such as a degree or course certificate or receipt, or attendance at a relevant food safety meeting, or company training record. If the Operation passes the food safety audit, the food safety individual's training is deemed adequate.	Individual must obtain demonstrable food safety training.
1.6.	Traceability			
1.6.1.	A documented traceability program shall be established.	Records that enable reconciliation of product delivered to recipients (one step forward) shall be maintained except for direct to consumer sales. Records shall be maintained that link product with source of the produce and other supplies and raw materials (one step backward). Records shall include the items and date of receipt, lot numbers, quantities, source of the produce, and transporter. Additional information may be included. Contents and retention of records shall be consistent with applicable regulations.	Auditor reviews traceability program and verifies Operation's ability to trace product accurately one step forward and one step back.	Operation establishes an effective traceability program.

1.6.2.	A trace back and trace forward exercise shall be performed at least annually.	The trace back and trace forward exercise shall achieve accurate traceability within 4 hr or as required by applicable regulations. Trace exercise shall achieve 100% reconciliation of product to recipients.	Auditor reviews records of most recent trace exercise. If no trace exercise was performed in the past year, the Operation will perform the exercise during the audit.	Operation performs exercise and/or improves traceability program to achieve accurate reconciliation.
1.7.	Recall Program			
1.7.1.	A documented recall program, including written procedures, shall be established.	The recall program shall have a designated recall team. A mock recall exercise shall be performed at least annually at the Operation being audited. The mock recall shall include the trace back and trace forward exercise and shall be completed as stated in the program and in compliance to applicable regulations.	Auditor reviews records of most recent mock recall performed at the Operation.	Operation develops recall team and recall plan, and tests the plan for effectiveness.
1.8.	Corrective Actions			
1.8.1.	The Operation shall have documented corrective action procedures.	A documented Corrective Action is required for an observation or audit that contains a non-conformance with food safety requirements. The responsibility, methods, and timelines to address Corrective Actions shall be documented and implemented.	Auditor reviews corrective action procedures and examines records for evidence of compliance.	Operation develops and implements corrective actions procedures.
1.9.	Self-audits			
1.9.1.	The Operation shall have documented self-audit procedures.	Internal audits will be conducted at a minimum annually by an assigned individual who is knowledgeable in this standard, utilizing this standard to assist in the self-audit. All aspects of the Operation's Food Safety Plan will be audited and a written record of required corrective action will be documented.	Auditor reviews internal audit procedures and examines records for evidence of compliance.	Operation develops and implements internal audit procedures.

1.10.	Agricultural Chemicals /Plant Protection Products			
1.10.1.	Use of agricultural chemicals shall comply with label directions and prevailing regulation.	Agricultural chemicals applied post-harvest (e.g., biocides, waxes and plant protection products) must be registered for such use as required by prevailing regulation, and used in accordance with label directions including application rates, worker protection standards, personal protection equipment, container disposal, storage, and all requirements specified for the chemical or compound. Records of use are maintained.	Auditor reviews post-harvest agricultural chemical use records for evidence of compliance with approved uses or label directions.	Operation develops and maintains agricultural chemical use records and maintains evidence of proper use of each chemical use. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.10.2.	If product is intended for export, pre- and post-harvest agricultural chemical use shall consider requirements in the intended country of destination.	The operation shall have procedures, such as review of pre-harvest intervals and adjustment of post-harvest application rates, sufficient to meet the MRL entry requirements of the country(ies) in which the product is intended to be traded, if known during post-harvest handling.	Auditor reviews operation's procedure for complying with agricultural chemical restrictions in countries of destination. If the country of destination is unknown during post-harvest handling, this item is not applicable.	Operation develops procedures, and diverts non-compliant product to a market in which the product meets standards.
1.10.3.	Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulation.	Operation maintains records demonstrating that all personnel responsible for chemical applications are trained and/or licensed, or supervised by licensed personnel, in compliance with prevailing regulation.	Auditor reviews records demonstrating that application personnel are licensed and/or trained in compliance with prevailing regulation.	Operation utilizes application personnel who are appropriately licensed and/or trained.

1.11.	Water/Ice			
1.11.1.	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food-contact surfaces.	If water or ice directly contacts the harvested crop or is used on food-contact surfaces, Operation's water use SOP requires that water or ice when applied meets the microbial standards for drinking water, as defined by prevailing regulation or the country in which the product is intended to be traded, whichever is more stringent. Water may be treated (e.g., with chlorine) to achieve the microbial standards or to prevent cross-contamination. Ice and water shall be sourced/manufactured, transported, and stored under sanitary conditions.	Auditor reviews Operation's policy regarding water quality and its transport, and observes evidence that water or ice that contacts harvested crop or food contact surfaces meets the microbial standards for drinking water.	Operation discontinues using water or ice that does not meet the microbial standards of drinking water. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.11.2.	A water system description shall be prepared.	Water sources and the operations they serve shall be documented and current. The description shall include one or more of the following: maps, photographs, drawings (hand drawings are acceptable) or other means to communicate the location of water source(s), permanent fixtures and the flow of the water system (including holding systems, reservoirs or any water captured for re-use). Permanent fixtures include wells, gates, reservoirs, valves, returns, backflow prevention and other above ground features that make up a complete water distribution system shall be documented in such a manner as to enable location in the operation.	Auditor reviews water system description or map, and verifies accuracy during operation inspection.	Operation develops or corrects the water system description or map.

1.11.3.	Documented scheduled assessment of water system including delivery equipment shall be performed.	The water-delivery system shall be maintained so as not to serve as a source of contamination of produce, water supplies or equipment with pathogens, or to create an unsanitary condition. Water installations and equipment are constructed and maintained to prevent back siphonage backflow and cross connections between product contact water and waste water. Routine checks verify that back siphonage and backflow prevention units are functioning properly (annual or as needed to maintain continuous protection). Results are documented.	Auditor reviews maintenance records and examines water system for compliance with water system maintenance program, including backflow prevention and cross-connections.	Operation corrects deficiencies in ability of water system to reliably distribute safe water and schedules water system assessments. Affected product is evaluated for potential contamination and disposition.
1.11.4.	The sewage disposal system is adequate for the process and maintained to prevent direct or indirect product contamination.	The human waste and gray water sewage system has sufficient capacity to handle the operation's peak flows and not cause direct or indirect product contamination. Cross-connections with product contact water systems are prohibited.	Auditor observes operation for evidence of compliance.	Operation suspends operation until sewage disposal system functions so as to prevent risk of product contamination. Affected product and product handling areas are evaluated for potential contamination and disposition.
1.11.5.	Water-change schedules shall be developed for all uses of water where water is re-used.	Operation shall have procedures for changing water that is re-used, such as recirculated water, flumes and dump tanks.	Auditor observes water use procedures and evidence of compliance.	Operation develops water use procedures. Affected product is evaluated for potential contamination and disposition.
1.11.6.	Re-circulated water that contacts product or food contact surfaces shall be treated using an approved antimicrobial process or chemical treatment.	Re-circulated water shall be treated using an antimicrobial treatment sufficient to prevent cross- contamination. Treatments shall be in compliance with prevailing regulation or the country in which the product is intended to be traded, whichever is more stringent.	Auditor reviews water treatment process and evidence of compliance with regulation and the Operation's established procedure.	Operation suspends operation until water treatment functions so as to prevent risk of product contamination. Affected product and product handling areas are evaluated for potential contamination and disposition.

1.11.7.	If used, water antimicrobial treatments shall be monitored sufficiently to assure continuous control.	Microbial, physical or chemical testing shall be performed, as appropriate to the specific operation, to demonstrate that acceptance criteria have been met.	Auditor reviews monitoring records for compliance with the Operation's established procedure and acceptance criteria.	Operation establishes monitoring program that assures continuous control of water antimicrobial treatment to meet acceptance criteria.
1.11.8.	If applicable to the specific commodity, water use SOPs address control of immersion water temperature.	For produce that is immersed in water and demonstrated as being susceptible to microbial infiltration from water, water temperature differentials during immersion shall be controlled in accordance with prevailing regulation or industry guidelines.	If applicable to the commodity being immersed, auditor reviews the SOP for inclusion of water temperature control, and observes monitoring records for evidence of compliance.	Operation revises SOP to address and control water temperature.
1.12.	Containers, Bins			
1.12.1.	Operation has written policy regarding storage and post-storage handling of product-contact containers.	Product-contact containers, as appropriate to the specific operation (e.g., harvest bins, totes, crates, sacks, buckets, finished product clam shells, bags or packaging films), shall be stored, or handled (e.g., cleaned prior to post-storage use), in a manner so as not to serve as a source of contamination	Auditor observes whether Operation has a policy regarding storage and handling of product-contact containers used in the operation. Auditor observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.
1.12.2.	Operation has written policy regarding whether product-contact containers are permitted in direct contact with the ground.	If produce does not normally contact the ground during production, Operation has considered and developed written policies regarding placement of product-contact containers directly on the ground, or whether a physical buffer (e.g., buffer bin or slip sheet) is required, or use of containers constructed to prevent contact of the produce or produce contact surfaces with the ground. Policy shall be consistent with industry standards.	Auditor observes whether Operation has a policy regarding placement of product-contact containers in direct contact with the ground. Auditor observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.



1.12.3.	Operation has written policy regarding inspection of food contact containers and bins prior to use.	Food-contact totes, bins, packing materials, other harvest containers, and pallets shall be visually inspected, clean, intact and free of any foreign materials prior to use. Containers shall be sufficiently maintained so as not to become a source of contamination.	Auditor observes whether Operation has a policy regarding inspection of food contact containers and observes current practices for compliance with policy.	Operation develops the policy. Retraining is performed and documented.
1.12.4.	Operation has written policy regarding acceptable product-contact containers.	The types and construction of product-contact containers and packing materials shall be appropriate to the commodity being handled and suited for their intended purpose. Produce shall only be stored in clean and sanitary containers.	Auditor observes whether Operation has a policy regarding what types of containers and packing materials are acceptable for use, and observes current practices for compliance with the policy.	Operation develops the policy. Appropriate product-contact containers are obtained. Affected product is evaluated for potential contamination and disposition.
1.12.5.	Operation has written policy prohibiting use of product-contact containers for non-product purposes unless clearly marked or labeled for that purpose.	Food-contact totes, bins and other product-contact containers shall not be used for other purposes unless the Operation has a policy or procedure that clearly designates approved non-product contact uses and how the containers are to be marked or labeled for that purpose. Food-contact totes, bins and other packing containers and equipment that are no longer cleanable shall not be used for packing but can be used for other non-food uses if clearly marked/labeled.	Auditor observes whether Operation has a policy prohibiting use of product-contact containers for other uses unless otherwise labeled, and observes current practices for compliance with the policy.	Operation develops the policy. Retraining is performed and documented.
1.12.6.	Pallets shall be kept clean and in good condition as appropriate for their intended use.	Operation inspects pallets prior to use for conditions that may be a source of produce contamination. Pallets that are not cleanable are removed from use. Pallets and other wooden surfaces are properly dried after being washed.	Auditor observes pallets for compliance	Operation removes noncompliant pallets from use.

1.13.	Facility, Equipment, Tools			
1.13.1.	Facility shall be designed, constructed and maintained in a manner that prevents contamination of produce during staging and cooling.	Facility and equipment structures and surfaces (floors, walls, ceilings, doors, frames, hatches, etc.) shall be constructed in a manner that facilitates cleaning and sanitation and does not serve as harborage for contaminants or pests. Chill and cold storage loading dock areas shall be appropriately sealed, drained and graded. Fixtures, ducts, pipes and overhead structures shall be installed and maintained so that drips and condensation do not contaminate produce, raw materials or food contact surfaces. Water from refrigeration drip pans shall be drained and disposed of away from product and product contact surfaces. Drip pans and drains shall be designed to assure condensate does not become a source of contamination. Air intakes shall not be located near potential sources of contamination.	Auditor observes facility and equipment for evidence that the facility can be cleaned and maintained to prevent product contamination.	Facility deficiencies are corrected. Affected product is evaluated for potential contamination and disposition.
1.13.2.	A Preventive Maintenance and/or Master Cleaning Schedule, with related SOPs, shall be established	There is a written cleaning and sanitation schedule for all food and non-food contact surfaces including floors, drains, walls, ceilings and other surfaces that may pose a source of product contamination. Roof leaks shall be promptly identified, controlled and repaired. Operation has procedures for cleaning and sanitation of cooling equipment. Drip pans and drains shall be maintained to assure condensate does not become a source of contamination.	Auditor reviews Preventive Maintenance and/or Master Cleaning Schedule, observes facility and equipment for evidence that the facility is cleaned and maintained to prevent product contamination. Auditor reviews facility maintenance records for evidence of repairs.	Operation develops a Preventive Maintenance and/or Master Cleaning Schedule, with related SOPs. Facility deficiencies are corrected. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

1.13.3.	All cleaning agents shall be approved for their intended use on food contact surfaces.	All chemicals used for cleaning or sanitizing of food contact equipment, tools, utensils, containers and other food contact surfaces shall be approved for that use, according to the chemical manufacturer or supplier and all federal, state and local requirements, and shall be used in a manner consistent with the approved use.	Auditor reviews cleaning and sanitizing chemicals purchasing practices or procedures, storage area, and use procedures to verify compliance.	Operation ceases use of unapproved chemicals. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.13.4.	Cleaning equipment and tools are clean, in working order and stored properly away from product handling areas.	Equipment, utensils and tools used for cleaning or sanitizing, including food contact and non-food contact surfaces, are maintained in a manner sufficient to avoid becoming a source of produce contamination and are stored away from product handling areas.	Auditor reviews practices or procedures for use and storage of cleaning and sanitizing equipment, tools and utensils, and observes storage area for compliance.	Operation develops written procedures for maintaining and storing cleaning and sanitizing equipment, tools and utensils. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.13.5.	Food contact surfaces shall be cleaned, sanitized and maintained according to the Food Safety Plan	Prior to use, the lines used for washing, grading, sorting, or packing shall be cleaned and sanitized as appropriate per risk assessment. When in use, the lines shall be maintained so as not to be a source of contamination with pathogens.	Auditor reviews cleaning and sanitizing procedures and observes food contact surfaces to verify compliance.	Operation develops written cleaning and sanitizing procedures consistent with the Food Safety Plan. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.13.6.	Adequate lighting shall be provided in all areas.	Lighting in all areas shall be sufficient to enable cleaning, sanitation, repairs, etc.	Auditor observes, directly or by other evidence, that sufficient lighting is provided to the worker to clearly see the task being performed.	Facility installs adequate, lighting.

1.13.7.	Where temperature control is required for food safety, cooling facilities shall be fitted with temperature monitoring equipment or suitable temperature monitoring device.	Temperature monitoring equipment shall be located in all temperature controlled areas, and shall be located so as to accurately monitor the temperature. Temperature measuring devices shall be monitored and calibrated on a scheduled basis or as needed.	Auditor observes evidence that temperatures are being monitored, and reviews calibration records and procedures for temperature monitoring equipment.	Operation establishes and implements temperature monitoring procedures.
1.13.8.	Cooling equipment shall be maintained so as not to be a source of product contamination.	Cooling equipment (e.g. hydrocoolers, air coolers), shall be inspected, all debris removed, and cleaned and sanitized according to written sanitation SOPs.	Auditor reviews cooling equipment maintenance and sanitation procedures and inspects equipment for compliance with procedures.	Operation develops and implements effective maintenance and sanitation procedures.
1.13.9.	Transporting equipment shall be maintained to prevent contamination of products being transported.	Pallet jacks, carts, trolleys and forklifts, shall be maintained to prevent contamination of products being transported and are listed on the Preventive Maintenance and/or Master Cleaning Schedules.	Auditor observes transporting equipment and reviews Schedules and records for evidence of compliance.	Operation develops and implements Preventive Maintenance and/or Master Cleaning Schedules.
1.13.10.	Outside garbage receptacles/dumpsters are closed and located away from facility entrances and the area around such sites is reasonably clean.	Waste containers and compactors are located away from produce handling areas, are closed or have lids (except for waste collection/cull trailers in active use), are emptied on a scheduled basis or as needed, and weeds and other pest harborage are minimized around the containers.	Auditor observes waste container location and management practices.	Operation relocates waste containers. Facility deficiencies are corrected. Retraining is performed and documented.
1.13.11.	The plant grounds are reasonably free of litter, waste culls, vegetation, debris and standing water.	Operation has procedures to maintain the grounds surrounding the building in a manner to minimize sources of contamination, such as litter, vegetation, waste culls, debris and standing water that may be pest attractants or harborages. Vegetation that does not serve as an attractant or harborage is permitted.	Auditor observes the grounds for compliance.	Operation removes the attractants and harborages, and develops procedure to maintain grounds in compliance.
1.14.	Storage			
1.14.1.	Product storage areas and conditions shall be appropriate to the commodities stored.	Produce storage locations and conditions shall not pose a risk of produce contamination, consistent with industry standards or prevailing regulation.	Auditor observes storage area for evidence that stored produce is protected from contamination.	Operation designates and maintains storage areas to prevent contamination of produce.

1.14.2.	Iced produce is handled so as not to serve as a source of contamination.	Protective measures are provided in areas where iced product is stored over food items in order to prevent melting ice from contaminating product below.	Auditor inspects any iced product on premises for compliance.	Operation develops written procedures to handling and storage of iced product. Facility deficiencies are corrected. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.14.3.	Non-product storage areas shall be maintained so as not to be a source of product or materials contamination.	Areas designated to store materials, whether indoors or out, shall be clean, well ventilated, and designed to protect materials and produce from contaminants.	Auditor observes storage area for evidence that stored materials are protected from contamination.	Operation designates and maintains storage areas to prevent contamination of non-product materials.
1.14.4.	Materials and packaging materials shall be protected from contaminants.	Materials stored in uncovered areas shall be protected from condensate, sewage, dust, dirt, chemicals, allergens or other contamination. Materials shall be stored off the floor/ground on pallets, slip-sheets or stands and covered where applicable.	Auditor observes stored materials for protection from contamination.	Operation develops and implements written procedures for materials storage. Facility deficiencies are corrected. Affected product is evaluated for potential contamination and disposition.
1.14.5.	Adequate space shall be maintained between rows of stored materials to allow cleaning and inspection.	Materials shall be stored away from walls and ceilings. Written procedures shall be followed to guarantee the proper cleaning, inspection and monitoring for pest activity in storage areas.	Auditor reviews the procedures and observes the storage area to determine whether storage practices allow cleaning, inspection and monitoring for pest activities.	Operation develops and implements a written procedure, and moves material into compliance.

1.14.6.	All chemicals shall be stored in a secure separate area. All chemicals shall be properly labeled.	Chemicals, including cleaning and maintenance compounds and lubricants, when not being used, are stored away from product handling areas and in a manner that inhibits unauthorized access. Food-grade and non food-grade lubricants are kept separate from each other.	Auditor observes that chemicals are properly labeled and storage practices protect against product contamination.	Operation designates a secure area for storage of chemicals. Unlabeled chemicals are labeled or properly discarded. Retraining is performed and documented.
1.15.	Waste Material			
1.15.1.	Waste materials and their removal are managed to avoid contamination.	Trash, leaves, trim, culls, waste water and other waste materials are removed from the produce handling areas at a frequency sufficient to avoid becoming a source of produce contamination.	Auditor observes waste control procedures in produce handling areas.	Operation develops a written waste control procedure. Facility deficiencies are corrected. Retraining is performed and documented.
1.16.	Outside Grounds			
1.16.1.	Operation has procedures to prevent pest harborage in any equipment stored near the building.	Equipment stored outside is stored away from the building perimeter. Equipment is not to accumulate near the building. Bone yards are located away from the building. Outside equipment storage areas are included in pest control program.	Auditor observes outside equipment storage areas for evidence of compliance.	Operation includes outside storage areas in pest control program. Equipment is moved to be in compliance.
1.17.	Glass Control			
1.17.1.	Only essential glass and brittle plastic shall be present in the facility.	Light bulbs, fixtures, windows, mirrors, skylights and other glass and brittle plastic in the facility or in the product path entering or exiting the facility shall be of the safety type, or shall be otherwise protected to prevent breakage. If glass or brittle plastic must be used, there shall be a written glass and brittle plastic control policy, including a glass and brittle plastic register.	Auditor observes glass and brittle plastic use in facility, and glass and brittle plastic control policy and glass and brittle plastic register for compliance.	Operation develops a glass and brittle plastic control policy or eliminates all glass and brittle plastic in the facility.

1.18.	Leaks/Lubrication			
1.18.1.	Equipment lubrication is managed so as not to contaminate food products.	Only food-grade lubricants are used on food processing and packaging equipment, or on any other equipment where incidental food contact may occur, unless the equipment manufacturer specifies only a non-food grade lubricant. Lubricant leaks are fixed or catch pans are installed to prevent product contamination.	Auditor reviews purchase or maintenance records to verify all lubricants used are food grade. Auditor observes lubrication points to verify leaks are controlled.	Operation replaces non-food grade lubricants. Operation fixes lubricant leaks or installs catch pans. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.19.	Equipment and Utensil Construction			
1.19.1.	All food contact equipment, tools and utensils are designed and made of materials that are easily cleaned and maintained.	The Operation shall develop, implement, and schedule repair, cleaning, sanitizing, storage and handling procedures of all food contact surfaces to reduce and control the potential for contamination. These procedures shall be documented. Product contact tools, utensils and equipment shall be made of materials that can be cleaned and sanitized.	Auditor observes food contact surfaces for design and materials that can be easily cleaned and maintained. Auditor reviews cleaning, sanitizing, storage and handling procedures.	Operation develops and implements procedures. Operation replaces all non-compliant food contact equipment, tools and utensils.
1.19.2.	Equipment is installed in a way that provides access for cleaning.	Cooling, packing and other food contact equipment is installed away from walls and otherwise positioned so as not to inhibit access for proper cleaning.	Auditor observes positioning of all food contact equipment for compliance.	Operation relocates the equipment to be compliant.
1.19.3.	Catwalks above product zones are protected to prevent produce or packaging contamination.	Where workers walk over product contact surfaces, those walkways are solid surface or have catch trays installed, are protected by kick plates, product covers or other barriers.	Auditor observes catwalks over product zones for evidence of protective measures.	Operation retrofits catwalks or product zones to protect against potential contamination. Affected product is evaluated for potential contamination and disposition.

1.20.	Temporary Repairs			
1.20.1.	Any temporary repairs on food contact surfaces are constructed of food-grade material. Operation has a procedure to ensure that permanent repairs are implemented in a timely manner.	Operation has procedures to ensure temporary repairs are compliant with all food safety requirements, and do not create potential sources of chemical, microbiological or physical contamination. Permanent repairs are implemented as soon as practical; Operation establishes timelines and responsibilities for completion.	Auditor observes temporary repairs, if present, and Operation's plans for timely completion.	Operation develops and implements a temporary repair procedure. Operation immediately fixes any non-compliant temporary repairs. Affected product is evaluated for potential contamination and disposition.
1.21.	Worker Health/Hygiene and Toilet/Handwashing Facilities			
1.21.1.	Restrooms shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination.	Restrooms shall be designed and constructed in a manner that minimizes the potential risk for product contamination, are located away from produce handling areas, and are directly accessible for servicing.	Auditor visually and by records verifies that toilet facilities are not positioned, leaking or serviced in a manner that poses a risk of produce contamination.	Toilet facility is replaced, repaired or repositioned to be compliant.
1.21.2.	Toilet facilities shall be of adequate number, easily accessible to employees and in compliance with applicable regulation.	The Operation will have verification that the number of toilet facilities and their location relative to employees meets the more stringent of federal, state or local regulations.	Auditor verifies that the number of available toilet facilities and their location is compliant with prevailing regulation for the number of employees.	Operation obtains a sufficient number of toilet facilities to be compliant.
1.21.3.	The practice of disposing of used toilet tissue on the floor, in trash receptacles, or in boxes is prohibited.	Operation shall instruct employees that used toilet tissue shall only be disposed of in the toilet.	Auditor observes restrooms for evidence of compliance.	Retraining is performed and documented.
1.21.4.	Toilet and hand wash stations shall be maintained in a clean and sanitary condition.	Toilet paper shall be available in toilet facility. Restrooms shall include hand wash facilities with water that meets the microbial standard for drinking water, hand soap, disposable towels or other hand drying device, and towel disposal container. Gray water is plumbed or captured for disposal.	Auditor observes toilet and handwashing facilities for compliance.	Toilet or handwashing facility is replaced, repaired or maintained to be compliant.



1.21.5.	Signage requiring handwashing is posted.	Signage in applicable languages and/or pictures shall be provided adjacent to hand wash facilities requiring people to wash their hands after each toilet visit.	Auditor verifies that signage is present adjacent to all hand wash facilities and is in appropriate language or pictures to clearly communicate requirements to all employees.	Operation obtains and posts signage to be compliant.
1.21.6.	If protective clothing is required by the Operation in product handling areas, it shall be handled in a manner to protect against contamination. When appropriate, racks and/or storage containers or designated storage area for protective clothing and tools used by employees shall be provided.	When employees wear protective clothing, such as aprons and gloves, the Operation shall have a policy that the clothing not be left on product, work surfaces, equipment or packaging material but hung on apron and glove racks or in designated areas. Racks shall be available and located so as to avoid potential contamination. In addition, storage containers or designated storage areas shall be provided to ensure tools used by employees are properly stored prior to entering toilet facilities. Operation shall have a policy regarding whether protective clothing can be taken home.	If employees wear protective clothing, auditor reviews protective clothing policy and observes whether clothing rack and tool storage containers or designated storage areas are available and used.	Operation develops or revises clothing policy. Operation obtains and positions racks and storage containers as necessary. Retraining is performed and documented.
1.21.7.	Employees and visitors shall follow all personal hygiene practices as designated by the Operation.	Operation's hygiene policies shall apply to all employees, contractors, visitors, buyers, product inspectors, auditors, and other personnel in the facility. The Operation shall designate competent supervisory personnel to ensure compliance with the requirements in this section.	Auditor observes personnel in operation for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.8.	Workers and visitors who show signs of illness shall be restricted from direct contact with produce or food-contact surfaces.	Operation shall have a policy that restricts employees, contractors, visitors, buyers, product inspectors, auditors, and other personnel in the facility who show signs of illness (e.g., vomiting, jaundice, diarrhea) from contact with product or food contact surfaces.	Auditor reviews policy and observes personnel for evidence of compliance.	Operation develops and implements policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

1.21.9.	Personnel with exposed cuts, sores or lesions shall not be engaged in handling product.	Minor cuts or abrasions on exposed parts of the body are acceptable if covered with a non-permeable covering, bandage or glove. Bandages on hands shall be covered with gloves in compliance with Operation's glove policy.	Auditor observes personnel for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.10.	Operation shall have a blood and bodily fluids policy.	There shall be a written policy specifying the procedures for the handling/ disposition of food or product contact surfaces that have been in contact with blood or other bodily fluids.	Auditor reviews policy and observes operation for evidence of compliance.	Operation develops and implements policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.11.	First aid kits shall be accessible to all personnel.	The kits shall be readily available in the facility and maintained in accordance with prevailing regulation. The kit materials shall be within shelf life and kept in a sanitary and usable condition.	Auditor observes that provisions exist for first aid kit to be readily available in facility and is stocked in accordance with prevailing regulation.	Operation obtains and stocks a first aid kit and ensures it is readily accessible near personnel.
1.21.12.	Smoking, chewing, eating, drinking (other than water), chewing gum and using tobacco shall be prohibited except in clearly designated areas.	Operation shall have policy prohibiting smoking, eating, chewing gum or tobacco, drinking other than water except in designated areas. Such areas shall be designated so as not to provide a source of contamination.	Auditor observes personnel for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.13.	Personnel shall be required to wash their hands before beginning or returning to work, after each visit to the toilet and whenever their hands may have become a source of contamination.	Personnel shall wash their hands prior to start of work, after each visit to a toilet, after using a handkerchief/tissue, after handling contaminated material, after smoking, eating or drinking, after breaks and prior to returning to work and at any other time when their hands may have become a source of contamination.	Auditor observes personnel for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

1.21.14.	If gloves are used, the Operation shall have a glove use policy.	If rubber, disposable, cloth or other gloves are used in contact with product, the Operation shall have a glove use policy that specifies types of glove materials that are allowed, how and when gloves are to be used, cleaned, replaced and stored. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.	If gloves are used, auditor observes glove use for compliance with the Operation's policy and current industry practices or regulatory requirements.	Operation develops or revises glove policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.15.	Clothing, including footwear, shall be effectively maintained, stored, laundered and worn so as to protect product from risk of contamination.	Operation shall have a policy that employee clothing shall be clean and appropriate for the operation.	Auditor reviews policy and observes compliance with Operation's policy.	Operation develops or revises clothing policy. Retraining is performed and documented.
1.21.16.	The use of hair coverings shall be in compliance to company policy and applicable regulation.	The Operation shall have a policy that addresses use of hair coverings (e.g., hair nets, beard nets, caps), which is in compliance with prevailing regulation.	Auditor reviews the Operation's policy and observes employees for compliance.	Operation develops policy. Retraining is performed.
1.21.17.	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) shall be in compliance to company policy and applicable regulation.	Operation shall have a policy to minimize risk for jewelry or loose objects to be a source of product contamination. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.	Auditor observes personnel for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.18.	Employees' personal belongings shall be stored in designated areas.	Operation shall have a policy for when and how employee's personal belongings shall be stored so as not to be a source of product contamination.	Auditor observes produce handling areas and designated area for evidence of compliance.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
1.21.19.	Break areas shall be designated and located away from food contact/handling zones.	Operation shall have a written policy that break areas are located so as not to be a source of product contamination.	Auditor observes break areas for evidence of compliance with Operation's policy.	Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

1.22.	Temperature Control			
1.22.1.	When produce is cooled, it is cooled to temperatures appropriate to the commodity according to current established regulatory or industry standards.	When required for food safety or by industry guidelines, steps are taken to minimize temperature increases and minimize the time between produce receipt and cooling at the operation. The product temperature and equipment control mechanisms are calibrated and monitored at a defined frequency and temperatures are kept appropriate to the commodity. Records are maintained.	Auditor reviews cooling procedures for commodities requiring temperature control, and reviews temperature logs for evidence of compliance.	Operation develops and implements procedures to monitor cooling procedures in compliance with current established regulatory or industry standards.
1.23.	Packing and Handling			
1.23.1.	If applicable, Operation has a written Allergen Control Program	The Allergen Control Program lists the allergens in use or storage at the facility specific to country regulations. If applicable, procedures address identification and segregation of allergens during storage and handling as based on a risk assessment conducted by the facility	Auditor reviews Allergen Control Program and inspects facility for evidence of allergen use and storage.	Operation develops and implements an Allergen Control Program or eliminates allergens from the facility.
1.23.2.	Specifications for all packaging materials that impact on finished product safety and quality shall be provided and comply with prevailing regulations.	The methods and responsibility for developing and approving detailed specifications and labels for all packaging shall be documented. A register of packaging specifications and label approvals shall be maintained and kept current.	Auditor reviews documentation on methods and responsibilities for packaging materials and label approvals.	Operation revises labels and packaging materials to be compliant with prevailing regulations.

1.24.	Pest and Animal Control			
1.24.1.	Operation has procedures to manage pests to the extent appropriate to the facility.	Operation has a written pest control program, performed by a trained pest control operator (or licensed where required by prevailing regulation). The written program includes policies and procedures applicable to that operation, such as storage of outside equipment or other factors dealing with pest harborages, and maps of the location of pest traps outside and inside the facility. Operation maintains a pest-control log that includes dates of inspection, inspection reports and steps taken to eliminate any problems. Applications of pesticides (e.g., insecticides, rodenticides) shall be performed in compliance with local, state, and federal pesticide regulations.	Auditor reviews pest control program, pest control operator's credentials, and inspects facility for pest activity.	Operation develops, documents and implements an effective pest control program.
1.24.2.	Operation restricts animals from food handling facilities.	Domestic animals are prohibited from pack house, cooling, and storage facilities unless procedures are in place for their safe presence. Procedures are in place to exclude wild and feral animals to the degree practical.	Auditor looks for evidence of animals or animal activity.	Operation develops, documents and implements an effective animal control program.
1.24.3.	If used, pest control devices, including rodent traps and electrical flying insect devices, are located so as to not contaminate produce or food handling surfaces.	Only non-toxic traps and pest control devices are used inside the packing house or storage facility.	Auditor reviews pest control program and placement of pest control devices.	Operation removes or repositions pest control devices to be compliant.
1.25.	Sampling/Testing			
1.25.1.	Where laboratory analysis is required in the Food Safety Plan, testing shall be performed by a GLP laboratory using validated methods.	Operation utilizes laboratories that have, at minimum, passed a Good Laboratory Practices (GLP) audit or participates in a Proficiency Testing program, and utilizes FDA's Bacteriological Analytical Manual (BAM), AOAC International or testing methods that have been validated for detecting or quantifying the target organism(s) or chemical(s).	Auditor reviews Operation's evidence that only GLP laboratories and validated methods are used.	Operation discontinues using non-GLP laboratory and non-validated testing methods.

1.25.2.	Where microbiological analysis is required in the Food Safety Plan, samples shall be in accordance with an established sampling procedure.	Operation utilizes a written sampling protocol when collecting samples for microbiological testing.	Auditor observes that the Operation has a sampling protocol for each type of microbiological testing required in the Operation's Food Safety Plan.	Operation develops or obtains written sampling protocols for each type of microbiological testing required in their Food Safety Plan.
1.25.3.	Tests, their results and actions taken must be documented.	All results for microbiological testing required in the Operation's Food Safety Plan shall be recorded and the records maintained for two years.	Auditor reviews Operation's recordkeeping of microbiological test results.	Operation maintains for at least two years test records for all required microbiological tests.
1.25.4.	All required testing shall include test procedures and actions to be taken based on the results.	For all microbiological testing required by the Food Safety Plan, Operation has a written testing procedure that includes test frequency, sampling, test procedures, responsibilities and actions to be taken based on results. If finished product is tested for pathogens or other adulterants, Operation's procedures require that it shall not be distributed outside the Operation's control until test results are obtained.	Auditor reviews the Operation's microbiological testing procedures for completeness.	Operation revises testing procedures for completeness and to meet expectations of the Food Safety Plan.
<b>2.</b>	<b>Packinghouse</b>			
2.1.	Operation Food Safety Plan includes produce washing process, if used.	If produce is washed, an initial risk assessment of the washing process shall be performed that takes into consideration the commodity, type of wash system, type of sanitizer, and water quality.	Auditor reviews Food Safety Plan and operational procedures to determine if washing process has been considered.	Operation revises Food Safety Plan to include produce washing process.
2.2.	Debris and damaged produce shall be removed from wash areas/dump tanks to the extent possible.	Operation has procedures to determine how and when debris shall be removed from wash areas/dump tanks.	Auditor reviews procedures and observes wash areas for evidence of compliance.	Operation develops, documents and implements a wash area control program. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.

2.3.	Operation has documentation demonstrating regulatory approval of the wash water antimicrobials in use.	Only wash water antimicrobials or antimicrobial systems registered or approved by EPA, FDA or the prevailing regulatory agency for their specific intended use may be used in the dump tank wash water, on the spray line or other food contact purposes.	Auditor reviews documentation for appropriateness of use.	Operation obtains documentation or discontinues use of the antimicrobial system and implements use of appropriate antimicrobial system. Affected product is evaluated for potential contamination and disposition.
2.4.	If wash water antimicrobial is used, it shall be used in accordance with established operational procedure and manufacturer instructions.	Records shall be kept. Operation shall have a procedure that includes minimum limits for antimicrobial in wash water for food safety. Procedure shall include how to control, monitor and record use of wash water antimicrobial as needed to assure compliance with minimum limits. Operation shall have a procedure as to what corrective actions are taken if criteria are not met.	Auditor reviews operational procedures and antimicrobial use and corrective actions records for compliance.	Operation develops, documents and implements procedures for use of the antimicrobial system in compliance with manufacturer instructions. Affected product is evaluated for potential contamination and disposition.
2.5.	All instruments used to measure temperature, pH, antimicrobial levels and or other important devices used to monitor requirements in this section shall be calibrated at a frequency sufficient to assure continuous accuracy.	Records shall be kept. If an ORP system is used, an independent measurement shall be used to verify compliance. Test methods or test strips used to monitor requirements shall be appropriate to their use and sufficiently sensitive to their intended purpose.	Auditor reviews calibration and verification procedures and records.	Operation develops, documents and implements calibration and verification procedures and records.

2.6.	Foreign material control devices are inspected and maintained	If included in the Food Safety Plan, foreign material control devices shall be included as part of a Preventive Maintenance Schedule or other program and maintained to ensure effective operation. Calibration checks shall be performed according to written procedure or manufacturer's recommendations.	Auditor inspects any foreign material control devices and maintenance and calibration check records for compliance.	Operation develops written procedures for inspection, calibration checks and maintenance of foreign material control devices. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
<b>3.</b>	<b>Transportation (Packinghouse to Customer)</b>			
3.1.	Temperature Control			
3.1.1.	There is a written policy for transporters and conveyances to maintain a specified temperature(s) during transit.	When refrigerated transport is required for food safety, transporters have written, predetermined temperature ranges for commodities being transported.	Auditor reviews documentation of predetermined temperature ranges.	Operation develops, documents and implements temperature range requirements.
3.1.2.	Prior to loading, the vehicle shall be pre-cooled.	When refrigerated transport is required for food safety, the proper temperature for pre-cooling is appropriate to the type of produce and as specified by documented protocol.	Auditor reviews documented protocol, shipping checklist records, and observes vehicles during loading for compliance.	Operation develops, documents and implements vehicle cooling requirements.
3.1.3.	The refrigerated transport vehicles shall have properly maintained and fully functional refrigeration equipment.	When refrigerated transport is required for food safety, Operation has a written policy that refrigerated transportation equipment shall be controlled by a thermostatic device as necessary to maintain temperatures in the cargo area for the particular type of produce being transported and as specified by documented protocol.	Auditor reviews written policy and observes refrigerated transport vehicles in use at the time of the audit.	Operation develops, documents and implements a policy. Retraining is performed and documented.
3.1.4.	Where required, temperatures of product are taken and recorded prior to or upon loading.	When refrigerated transport is required for food safety, Operation has a written procedure for when and how to measure product temperatures prior to or during loading	Auditor reviews written procedure and observes temperature monitoring procedures during loading	Operation develops, documents and implements a policy. Retraining is performed and documented.



3.2.	Equipment Sanitation and Maintenance			
3.2.1.	The Operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	Shipping units shall be clean, functional and free of objectionable odors before loading, in compliance with current industry practices or regulatory requirements for that commodity. Refrigeration units, if used, must be in working order. Procedures include prohibition of raw animal or animal product transport, or other materials that reasonably may be a source of contamination with biological, chemical or physical hazards. Shipping units shall be washed between loads if prior transport included materials that reasonably may be a source of contamination. A responsible individual shall sign or initial the completed checklist or inspection report.	Auditor reviews cleaning procedures and inspection records and inspects produce transport vehicles for cleanliness.	Operation develops the policy and written procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.2.2.	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.	Personnel responsible for the loading and unloading of produce shall take steps to minimize the potential of physical damage to produce, which can introduce and/or promote the growth of pathogens. Loading/unloading equipment shall be clean and well maintained and of suitable type to avoid contamination of the produce.	Auditor observes loading/unloading procedures for evidence of practices that result in excessive damage to produce. Auditor observes loading/unloading equipment for suitability and condition.	Operation revises procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.
3.2.3.	Trash shall not come in contact with produce.	Trash handling and removal shall not pose a hazard of contamination of produce.	Auditor reviews trash handling procedures for operation, and observes trash handling practices for evidence of compliance.	Operation revises procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.