

|           | Requirement   | Procedure   | Verification  | Corrective Action   |
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| <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, responsibilities and resources 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. The organization's senior management shall determine and provide, in a timely manner, the resources needed to implement and maintain the food safety plan. | 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. Auditor observes whether Senior Management has provided the resources needed to implement and maintain the food safety plan. | 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. Senior Management commits resources needed to implement and maintain the food safety plan. |
| 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  |   |   |   |

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| 1.2.1. | There shall be a written food safety plan that covers the Operation.  | The food safety plan shall identify all locations of the Operation and products covered by the plan. The plan shall address potential physical, chemical, and biological hazards and hazard control procedures, including monitoring, verification and recordkeeping, for the following areas: water, soil amendments, field sanitation, production environment, and worker practices. | 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. Updated or revised on date shall be indicated.   | Auditor reviews last food safety plan review.   | Operation reviews food safety plan and documents review.   |
| 1.3.   | <b>Documentation &amp; Recordkeeping</b>  |  |   |  |
| 1.3.1. | 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. Records comply with prevailing regulations.   | Auditor reviews food safety plan and verifies that all required documentation is available.   | Operation develops missing documentation or recordkeeping procedures.  |
| 1.3.2. | 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. |
| 1.3.3. | 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.  |
| 1.4.   | <b>Worker Education and Training</b>  |  |   |  |

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| 1.4.1. | 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.                             |
| 1.4.2. | 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, by job experience or as required by prevailing regulation.   | 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.                          |
| 1.4.3  | Contracted personnel are held to the relevant food safety standards as they would be as employees.                                     | Operation shall have procedures and/or records to demonstrate that contracted personnel whose activities can affect food safety have been informed of and, to the extent that can be verified, are in compliance with the relevant requirements of the <i>Field Operations and Harvesting</i> standards.       | Auditor reviews Operation's evidence that contracted personnel are trained to the same food safety requirements as employees would be and, if practical during the audit, observes contracted personnel for compliance.   | Operation obtains evidence, trains or discontinues using contracted personnel.     |
| 1.5.   | <b>Sampling and Testing</b>  |  |   |  |
| 1.5.1. | 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 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. |

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| 1.5.2. | Where microbiological analysis is required in the food safety plan, samples shall be collected 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. |
| 1.5.3. | 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 or as required by prevailing regulation.  | Auditor reviews Operation's recordkeeping of microbiological test results.   | Operation maintains for at least two years test records for all required microbiological tests.                                       |
| 1.5.4. | 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.                               |
| 1.6.   | <b>Traceability</b>  |   |  |   |
| 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 or production inputs, e.g., soil amendments, fertilizers, seeds/transplants, agricultural chemicals, homemade preparations (one step backward). Records shall include the date of harvest, quantities, farm identification (field or block), transporter and non-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.  |

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| 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. |
| <b>1.7.</b> | <b>Recall Program</b>  |  |   |  |
| 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.                |
| <b>1.8.</b> | <b>Corrective Actions</b>  |  |   |  |
| 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.                                     |
| <b>1.9.</b> | <b>Self-audits</b>   |  |   |  |
| 1.9.1.      | The Operation shall have documented self-audit procedures.                       | Internal audits will be conducted at a minimum annually by an assigned individual 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.   |
| <b>2.</b>   | <b>Field Production</b>  |  |   |  |
| 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. | When land use history or adjacent land use indicates a possibility of physical, chemical or biological contamination, preventive controls shall be performed and documented to mitigate food safety risk. The assessment is re-performed, and documented, at least annually for environmental conditions or risk awareness that has changed since the last assessment. The assessment shall include indoor growing facilities and structures such as green houses and hydroponics.  | Auditor reviews food safety plan to verify that risks associated with field history, adjacent land use and indoor growing facilities have been evaluated at least annually and preventive controls implemented for identified risks. | Operation evaluates and documents risks associated with land use history, adjacent land use, indoor growing facilities and implements preventive controls for identified risks. |
| 2.1.2. | For indoor growing and field storage buildings, building shall be constructed and maintained in a manner that prevents contamination of produce.   | Building 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 building and equipment for evidence that the building can be cleaned and maintained to prevent product contamination.   | Building deficiencies are corrected. Affected product is evaluated for potential contamination and disposition.   |

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| 2.1.3. | Sewage or septic systems are maintained so as not to be a source of contamination.   | After a significant event (such as flooding or an earthquake) that could negatively impact a sewage or septic system, Operation takes appropriate steps to ensure that sewage and septic systems continue to operate in a manner that does not contaminate produce, food contact surfaces, areas used for produce handling, water sources, or water distribution systems. | If a significant event has occurred, Auditor reviews steps taken by Operation to verify sewage or septic system is not a source of contamination.                               | Sewage or septic systems deficiencies are corrected. Affected product is evaluated for potential contamination and disposition. |
| 2.2.   | <b>Worker Health/Hygiene and Toilet/Handwashing Facilities</b>   |   |   |   |
| 2.2.1. | Operation shall have a policy for toilet, hygiene, and health.   | Each Operation shall establish written policies for their specific operations, which shall be in compliance with prevailing regulations for Worker Health and Hygiene Practices.  | Auditor ensures that policies for toilet, hygiene and health exist.   | Operation develops written policies covering toilets, hygiene and health.   |
| 2.2.2. | Employees and visitors shall be made aware of and 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 field. The Operation shall designate competent supervisory personnel to ensure compliance by all workers, visitors, and field personnel with the requirements in this section.   | Auditor observes personnel in field for evidence of compliance. Auditor notes whether s/he was informed of the policy.  | Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.              |
| 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. | Toilet and handwashing facilities are situated during operation and servicing, and maintained so as not to pose a hazard to the produce or other opportunity for contamination.   | Auditor visually and by records verifies that toilet and handwashing facilities are not positioned, leaking or serviced in a manner that poses a risk of produce contamination. | Toilet or handwashing facility is replaced, repaired or repositioned to be compliant.   |

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| 2.2.4. | Toilet facilities shall be of adequate number, easily accessible to employees and visitors 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.  |
| 2.2.5. | Toilet and wash stations shall be maintained in a clean and sanitary condition.  | Toilet paper shall be available in toilet facility. Wash stations shall be located with the field sanitation units and include hand wash facilities with water that meets the microbial standard for drinking water, hand soap, disposable towels or other hand drying device, towel disposal container, and a tank that captures used hand wash water for disposal. These stations shall be provided inside or adjacent to toilet facilities.                             | Auditor observes toilet and handwashing facilities for compliance. Auditor observes checklist or other evidence of a documented system for tracking cleaning of toilets.       | Toilet or handwashing facility is replaced, repaired or maintained to be compliant.                                |
| 2.2.6. | Personnel shall wash their hands at any time when their hands may be 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, after touching animals or waste and at any other time when their hands may have become a source of contamination. Antiseptic hand rubs may not be used as a substitute for soap (or other effective surfactant) and water. | Auditor observes personnel in field for evidence of compliance.  | Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| 2.2.7. | 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.   |

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| 2.2.8.  | Clothing, including footwear, shall be effectively maintained and worn so as to protect product from risk of contamination.                         | Operation shall have a policy that employee clothing shall be clean at the start of the day 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.   |
| 2.2.9.  | 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 how and when gloves are to be used, cleaned, replaced and stored. Hands must be washed before putting on gloves. 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.                             |
| 2.2.10. | Protective clothing, when required, shall be maintained, stored, laundered and worn so as to protect product from risk of contamination.            | If protective clothing is used in proximity to product, the Operation shall have a policy or procedures for how and when protective clothing are to be used, cleaned, replaced and stored. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity.   | If protective clothing is used, auditor observes use for compliance with the Operation's policy and current industry practices or regulatory requirements. | Operation develops or revises protective clothing policy or procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| 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. | When employees wear protective clothing, such as aprons and gloves, the Operation shall have a policy for how the clothing and tools shall be stored when not in use so as to avoid potential contamination.  | If employees wear protective clothing, auditor observes whether storage areas are designated, available and used.  | Operation obtains and positions racks and storage containers as necessary. Retraining is performed and documented.   |

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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. | Operation shall have a policy that personal effects such as jewelry, watches or other items shall not be worn or brought into fresh fruit and vegetable production areas if they pose a threat to the safety and suitability of the food. Policy shall be in compliance with current industry practices or regulatory requirements for that commodity. | Auditor observes personnel in field for evidence of compliance.                | Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| 2.2.13. | 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.  |
| 2.2.14. | 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 personnel in field for evidence of compliance.                | Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| 2.2.15. | Smoking, chewing, eating, drinking (other than water), urinating, defecating or spitting is not permitted in any growing 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. Operation shall have policy prohibiting urinating or defecating in any growing area.   | Auditor observes personnel in field for evidence of compliance.                | Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| 2.2.16. | Operation shall have a written policy that break areas are located so as not to be a source of product contamination.                                 | Break areas shall be designated and located away from food contact/handling zones and production equipment.  | Auditor observes break areas for evidence of compliance with Operation policy. | Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |

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| 2.2.17. | Drinking water shall be available to all field employees.  | Drinking water, which meets drinking water standards, shall be easily accessible to field personnel and in compliance with applicable regulation. Bottled water or potable drinking water stations with single-use cups and a trash receptacle shall be available to all field employees.               | Auditor observes evidence of drinking water accessibility and Operation's evidence that water supplied to personnel meets drinking water standards.                 | Operation makes drinking water available to field employees, in compliance with prevailing regulation.   |
| 2.2.18. | Workers and field personnel who show signs of illness shall be restricted from direct contact with produce or food-contact surfaces. | Operation shall have a written policy that restricts personnel who show signs of illness (e.g., vomiting, jaundice, diarrhea) from contact with product or food contact surfaces. Policy shall require that any person so affected immediately report illness or symptoms of illness to the management. | Auditor reviews policy and observes field personnel for evidence of compliance.   | Operation develops and implements policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| 2.2.19. | 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 in field for evidence of compliance.   | Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.   |
| 2.2.20. | 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. |
| 2.2.21. | First aid kits shall be accessible to all personnel.   | The kits shall be readily available in the vicinity of field work and maintained in accordance with prevailing regulation. The kit materials shall be kept in a sanitary and usable condition.  | Auditor observes that provisions exist for first aid kit to be readily available in vicinity of field work and is stocked in accordance with prevailing regulation. | Operation obtains and stocks a first aid kit and ensures it is readily accessible near field personnel.  |
| 2.3.    | Agricultural Chemicals /Plant Protection Products  |   |   |  |

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| 2.3.1. | Use of agricultural chemicals shall comply with label directions and prevailing regulation.   | Agricultural chemicals, including post-harvest chemicals such as 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 agricultural use are maintained. | Auditor reviews 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. |
| 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. | The Operation shall have procedures, such as pre-harvest interval and application rate, sufficient to meet the MRL entry requirements of the country(ies) in which the product is intended to be traded, if known during production.  | Auditor reviews Operation's procedure for complying with agricultural chemical restrictions in countries of destination. If the country of destination is unknown during production, this item is not applicable. | Operation develops procedures, and diverts non-compliant product to a market in which the product meets standards.   |
| 2.3.3. | 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.  |

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| 2.3.4.   | Water used with agricultural chemicals shall not be a source of product or field contamination. | Water used to dilute or deliver agricultural chemicals shall be from a source in compliance with the Water System Risk Assessment and Water Management Plan, consistent with current industry practices or regulatory requirements for that commodity.   | Auditor reviews the Water System Risk Assessment for evidence that water used with agricultural chemicals has been considered, and that agricultural chemical use policies are in compliance with the Water System Risk Assessment. | Operation revises the Water System Risk Assessment. Operation uses a water source in compliance with the Water System Risk Assessment. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| 2.3.5.   | Agricultural chemical disposal shall not be a source of product or field contamination.         | Operation shall have procedures for disposal of waste agricultural chemicals and for cleaning of application equipment that protects against contamination of product and growing areas.   | Auditor reviews procedures and observes chemical handling records for evidence of compliance.   | Operation develops and implements procedures. Steps are taken to mitigate any contamination events.   |
| 2.4.     | <b>Water Used in Growing Activities</b>   |  |   |   |
| 2.4.1.   | <b>Water System Description</b>   |  |   |   |
| 2.4.1.1. | A water system description shall be available for review.                                       | Water sources and the production blocks they may 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 and other above ground features that make up a complete irrigation system shall be documented in such a manner as to enable location in the field or in hydroponic, aeroponic or aquaponics operations. | Auditor reviews water system description or map, and verifies accuracy during inspection.   | Operation develops or corrects the water system description or map.   |

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| 2.4.1.2. | The water source shall be in compliance with prevailing regulations.  | Water shall be sourced from a location and in a manner that is compliant with prevailing regulations.  | Auditor determines whether the water source is compliant with regulations relevant for the intended use of the water. | Operation discontinues use of the source until compliant with regulations. Affected produce is evaluated for potential contamination and disposition. |
| 2.4.1.3. | Water systems shall not be cross-connected with human or animal waste systems.  | Water systems intended to convey untreated human or animal waste shall be separated from conveyances utilized to deliver water.  | Auditor reviews water system for cross-connections with human or animal waste conveyances.                            | Operation discontinues use of the system until they are separated.  |
| 2.4.2.   | <b>Water System Risk Assessment</b>   |  |   |   |
| 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. | A review or new assessment shall be conducted seasonally and any time there is a change made to the system or a situation occurs that could introduce an opportunity to contaminate the system. The risk assessment shall address potential physical, chemical, and biological hazards and hazard control procedures for the water distribution system.  | Auditor reviews the risk assessment for completeness of consideration of potential hazards.                           | Operation develops or updates the risk assessment.  |
| 2.4.3.   | <b>Water Management Plan</b>  |  |   |   |
| 2.4.3.1. | There shall be a water management plan to mitigate risks associated with the water system on an ongoing basis.  | The water management plan shall include the following: preventive controls, monitoring and verification procedures, corrective actions, and documentation. The plan shall be reviewed following any changes made to the water system risk assessment and adjusted accordingly to incorporate such changes. Training and/or retraining of personnel having oversight or performance duties shall be documented. | Auditor reviews the water management plan for accuracy and completeness relative to the risk assessment.              | Operation develops or updates the water management plan.  |

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| 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. | As required, there shall be a written procedure for water testing during the production and harvest season, which includes frequency of sampling, who is taking the samples, where sample is taken, how the sample is collected, type of test and acceptance criteria. If all water is sourced from a municipal source, the municipal testing shall suffice. The frequency of testing and point of water sampling shall be determined based on the risk assessment and current industry standards or prevailing regulations for commodities being produced. | Auditor verifies that a water testing program is in compliance with the risk assessment and current industry standards or prevailing regulations and is included in the water management plan.   | Operation develops a testing program consistent with risks identified in the risk assessment and with current industry standards or prevailing regulations for the commodities being produced.   |
| 2.4.3.3. | The testing program shall be implemented consistent with the water management plan.  | Testing shall be performed and documented according to procedures described in the water management plan.   | Auditor reviews testing records for compliance with the written plan.  | Operation shall revise testing to be in compliance with the written plan. The corrective actions noted in the water management plan shall be followed until the conditions have been mitigated and the non-conformity has been resolved. |
| 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.  | Treatment is approved for its intended use (e.g., EPA-registered antimicrobial pesticide) and is delivered in a manner to ensure that the treated water is consistently safe and of adequate sanitary quality for its intended use and/or consistently meets the relevant microbial quality criteria. Treatment is monitored at a frequency adequate to ensure that the treated water is consistently safe and of adequate sanitary quality for its intended use and/or consistently meets the relevant microbial quality criteria.                         | Auditor verifies that water treatment is approved for its intended use, reviews documentation that it is used effectively to meet the intended microbiological criteria, and reviews monitoring records for compliance with the Operation's established procedure and acceptance criteria. | Operation discontinues use of unapproved treatments, uses approved treatments in an effective manner, and monitors the treatment at an adequate frequency.   |

|          | Requirement   | Procedure   | Verification  | Corrective Action  |
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| 2.4.3.5. | If post-harvest handling is used to achieve microbial criteria, Operation has documentation supporting its use.   | If die-off or removal rates or other methods (e.g., commercial washing) are used to achieve microbial criteria of water used during growing, Operation has scientific data or information used to support its effectiveness. Documentation includes the specific time interval or log reduction applied, how the time interval or log reduction was determined, and the dates of corresponding activities such as the dates of last irrigation and harvest, the dates of harvest and end of storage, and/or the dates of activities such as commercial washing. | Auditor verifies documentation for completeness.  | Operation obtains documentation on, or discontinues use of, unsupported methods, uses approved methods in an effective manner, and maintains required documentation. |
| 2.4.3.6. | If Operation uses an alternative approach to regulatory microbiological testing, Operation has scientific data or information to support the alternative. | If Operation uses an alternative testing method, frequency or criteria to regulatory requirements, Operation has documentation supporting the alternative.  | Auditor verifies documentation for completeness.  | Operation obtains documentation on, or discontinues use of, the alternative.   |
| 2.5.     | Animal Control  |   |   |  |
| 2.5.1.   | The Operation has a written risk assessment on animal activity in and around the production area.   | There shall be a written assessment of the growing fields and adjacent land, prior to each growing season, focusing on domestic and wild animal activity including grazing and feeding operations, noting crop characteristics, type and approximate number of animals, proximity to the growing field, water sources, and other relevant factors.  | Auditor reviews the written assessment to ensure it has been performed for this season and is complete.   | Operation performs and documents the assessment.   |
| 2.5.2.   | The Operation routinely monitors for animal activity in and around the growing area during the growing season.  | There shall be scheduled monitoring of growing fields and adjacent land for evidence of animal activity. A frequency of monitoring and assessment shall be established based on production factors, such as the crop, geography, and other conditions.  | Auditor reviews monitoring records to ensure the frequency of monitoring is consistent with the schedule. | Operation develops and implements a monitoring schedule.   |

|        | Requirement   | Procedure  | Verification  | Corrective Action   |
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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 <del>domestic</del> domesticated animals used in farming operations. | The Operation shall have risk-appropriate actions to prevent or minimize the potential for contamination of produce with pathogens from animal feces, including from <del>domestic</del> domesticated animals used in farming operations. There shall be a written record of any mitigation or corrective actions. Preventive measures and corrective actions shall comply with all local, state and federal regulations concerning animal control and natural resource conservation.  | Auditor reviews preventive measures and corrective action plans.  | Operation develops and implements risk-appropriate corrective actions for animal intrusions reasonably likely to contaminate produce in the field.  |
| 2.6.   | Soil Amendments   |  |   |   |
| 2.6.1. | The food safety plan shall address soil amendment risk, preparation, use, and storage.  | If animal-based soil amendments or biosolids are used, records of composition, dates of treatment, methods utilized and application dates must be documented. Evidence of processing adequate to eliminate pathogens of human concern, such as letter of guarantee, certificate of analysis (COA) or any test results or verification data (e.g., time and temperature) demonstrating compliance with process or microbial standards, shall be documented. Such soil amendments must be produced, stored and applied in accordance with applicable federal, state, or local regulations. | Auditor reviews soil amendment records for completeness and evidence of compliance with prevailing regulations. If biosolids are used, it shall be noted. | Operation discontinues use of untreated, partially treated or undocumented animal-based soil amendments or biosolids. Operation develops and implements policies to obtain treatment information for all animal-based soil amendments.                              |
| 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.                                       | If such a product is used, there shall be documentation of the composition, and time and method of application. Such use will be consistent with current industry practices or regulatory restrictions for that commodity. Human waste shall not be used.  | Auditor reviews records for any soil amendment use that may contain raw or incompletely treated manure.   | Operation discontinues use, or develops and implements policies to safely use animal-based soil amendments that may contain raw or incompletely treated manure. Produce grown without such controls are either diverted to thermal-processed products or destroyed. |

|        | Requirement   | Procedure   | Verification  | Corrective Action   |
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| 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.  | Operation maintains a list of equipment, vehicles, tools, utensils and other items or materials that may pose a risk of produce contamination during normal use.  | Auditor reviews the list for completeness.  | Operation develops a list of equipment, vehicles, tools and utensils that may pose a risk of produce contamination during normal use.   |
| 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. | 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. Records must include the date and method of cleaning and sanitizing equipment. As necessary for food safety, vehicles and equipment shall be properly calibrated, operated, maintained, and used as intended. Equipment traffic flow is prevented from traveling through an untreated manure area into the harvesting field. These procedures shall be documented. Product contact tools, utensils and equipment shall be made of materials that can be cleaned and sanitized. Procedures include equipment and vehicles that are in the field infrequently. | Auditor observes production and harvest vehicles, equipment, tools and utensils which may come into contact with produce for evidence of food safety risks. Auditor reviews maintenance, cleaning and sanitation records that demonstrate compliance with procedures. | Operation develops maintenance, cleaning and sanitation procedures for equipment, vehicles, tools and utensils that may pose a risk for produce contamination. Affected product is evaluated for potential contamination and disposition. |
| 2.7.3. | Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of chemical hazards.   | Operation shall have a written procedure to address the spills and leaks (fuel, oil, hydraulic fluids) which might occur during equipment operation in the field.   | Auditor observes production and harvest vehicles, equipment, tools and utensils which may come into contact with produce for evidence of food safety risks.   | Operation repairs leaks and cleans any food contact surfaces. Affected product is evaluated for potential contamination and disposition.  |

|           | <b>Requirement</b>  | <b>Procedure</b>  | <b>Verification</b>  | <b>Corrective Action</b>   |
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| 2.7.4.    | Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of physical hazards. | Operation has a glass and brittle plastic policy that addresses glass on production equipment and in growing area. Inspections performed in compliance with the policy shall be documented.   | Auditor observes production and harvest vehicles, equipment, tools and utensils which may come into contact with produce for evidence of food safety risks and for compliance with the glass and brittle plastic policy. | Operation develops policy. Retraining is performed. Source of food safety risk is mitigated.   |
| 2.7.5.    | Cleaning and sanitizing procedures do not pose a risk of product contamination.                           | Equipment cleaning and sanitizing operations shall be conducted away from the product and other equipment to reduce the potential for contamination. Water used for cleaning and sanitizing shall meet the microbial standards for drinking water.  | Auditor reviews cleaning and sanitizing procedures for steps to prevent contamination of produce, and observes Operation's evidence of compliance.   | Operation develops and implements procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| 2.7.6.    | Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination.              | There shall be a written procedure for cleaning water tanks, such as those used for dust control, the water from which may contact produce in the field.  | Auditor reviews water tank cleaning procedures for steps to prevent contamination of produce, and observes Operation's evidence of compliance.   | Operation develops and implements procedures. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |
| <b>3.</b> | <b>Harvesting</b>   |   |  |  |
| 3.1.      | Preharvest Assessment   |   |  |  |
| 3.1.1.    | A preharvest risk assessment shall be performed.  | The Operation shall have a preharvest assessment procedure, which describes when the assessment is performed and that it includes an evaluation of conditions that may be reasonably likely to result in physical, chemical, or biological contamination of the produce, and demonstrates that the Operation is in compliance with the food safety plan. Results of the evaluation shall be documented. | Auditor reviews most recent preharvest assessment for completeness and consistency with the food safety plan.  | Operation develops and implements a preharvest assessment procedure.   |
| 3.2.      | Water/Ice Used in the Harvesting and Postharvest Operations   |   |  |  |

|        | <b>Requirement</b>  | <b>Procedure</b>   | <b>Verification</b>   | <b>Corrective Action</b>  |
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| 3.2.1. | Operation has procedures for water used in contact with product or food contact surfaces.   | Standard Operating Procedures (SOPs), including water-change schedules, shall be developed for all uses of water. Microbial and/or physical/ chemical (e.g., test strips) testing shall be performed, as appropriate to the specific Operation, to demonstrate that acceptance criteria have been met.   | Auditor observes evidence of existence of water use SOPs.   | Operation develops the SOPs.  |
| 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. | If water or ice directly contacts the harvested crop or is used on food-contact surfaces, such as in the field, as the final wash step prior to consumer packaging, or as a cooling aid in a consumer package, Operation's water use SOP requires that water or ice when applied meets the microbial standards for drinking water, as defined by prevailing regulation. 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. Special considerations or variances may be appropriate for some crops, e.g. cranberries and watercress, where deliberate flooding of the field is part of production and harvest practices. | 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.                    |
| 3.2.3. | Water use SOPs address treatment of re-circulated water, if used.   | Operation's water use SOPs require re-circulated water to be treated using an approved antimicrobial to prevent it from becoming a source of contamination, according to prevailing regulation or industry specific standards for the commodity.   | Auditor reviews water use SOP for completeness, and observes water treatment records for adequacy and consistency of treatment.   | Operation discontinues using re-circulated water that is not treated sufficiently to prevent contamination of the produce. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition. |

|        | <b>Requirement</b>   | <b>Procedure</b>   | <b>Verification</b>  | <b>Corrective Action</b>   |
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| 3.2.4. | Water use SOPs address condition and maintenance of water-delivery system.                         | 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.  | Auditor reviews the SOP for inclusion of condition and maintenance of water-delivery system, and observes maintenance records for evidence of compliance.  | Operation revises SOP and implements maintenance procedures.           |
| 3.2.5. | If applicable to the specific commodity, water use SOPs address control of wash water temperature. | For produce demonstrated as being susceptible to microbial infiltration from wash water, wash water temperature differentials during immersion shall be considered.  | If applicable to the commodity being washed, 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 wash water temperature.   |
| 3.3.   | <b>Containers, Bins and Packaging Materials</b>  |  |  |  |
| 3.3.1. | Operation has written policy regarding storage of harvesting containers.                           | Harvesting containers shall be stored in a manner so as not to serve as a source of contamination to the extent feasible and appropriate.  | Auditor observes whether Operation has a policy regarding storage of harvesting containers used in the field. Auditor observes current practices for compliance with policy.                                   | Operation develops the policy. Retraining is performed and documented. |
| 3.3.2. | Operation has written policy regarding inspection of food contact containers 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. |
| 3.3.3. | Operation has written policy regarding acceptable harvesting containers.                           | The types and construction of harvest containers and packing materials shall be appropriate to the commodity being harvested and suited for their intended purpose.  | Auditor observes whether Operation has a policy regarding what types of containers and packing materials are acceptable for use during harvest, and observes current practices for compliance with the policy. | Operation develops the policy. Retraining is performed and documented. |

|        | <b>Requirement</b>  | <b>Procedure</b>   | <b>Verification</b>   | <b>Corrective Action</b>  |
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| 3.3.4. | Operation has written policy prohibiting use of harvest containers for non-harvest purposes.                                | Food-contact totes, bins and other harvest containers designated for harvesting shall not be used for other purposes unless clearly marked or labeled for that purpose.  | Auditor observes whether Operation has a policy prohibiting use of harvest 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.  |
| 3.4.   | <b>Field Packaging and Handling</b>   |  |   |   |
| 3.4.1. | Operation shall have a written policy that visibly contaminated, damaged or decayed produce is not harvested, or is culled. | Employees are trained that only sound produce appropriate for the intended use is harvested, and that produce that has been visibly contaminated or otherwise damaged to an extent that it poses a microbial food safety hazard is not harvested or is culled.   | Auditor reviews written policy and evidence of employee training. Auditor inspects the harvest or sorting operation for evidence of compliance.   | Operation develops the policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.                                 |
| 3.4.2. | Product that contacts the ground shall not be harvested unless the product normally grows in contact with the ground.       | Operation has considered and developed written policies regarding produce that comes in contact with the soil (e.g., drops) and to avoid, to the degree practicable, contact of cut surfaces of harvested produce with soil. Policy shall be consistent with industry standards or prevailing regulations. | Auditor reviews written policy and evidence of employee training. Auditor inspects the harvest or sorting operation for evidence of compliance.   | Operation develops the policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.                                 |
| 3.4.3. | Harvest procedures shall include measures to inspect for and remove physical hazards.                                       | Operation shall have procedures to detect glass/plastic breakage and remove possible physical contamination such as glass, metal, rocks, or other hazardous items, during harvesting operations.   | Auditor inspects the harvest or sorting operation for evidence of hazard control.   | Operation develops the procedure. Affected product is evaluated for potential contamination and disposition.  |
| 3.4.4. | Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce.      | Operations shall not use cloths or other cleaning materials to clean produce, unless there is a procedure to prevent cross-contamination.  | Auditor reviews whether Operation uses cloths or other produce cleaning materials and, if so, how Operation prevents cross-contamination between uses.  | Operation ceases use of produce cleaning cloths, or develops procedure to prevent cross-contamination. Affected product is evaluated for potential contamination and disposition. |

|        | <b>Requirement</b>  | <b>Procedure</b>  | <b>Verification</b>  | <b>Corrective Action</b>   |
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| 3.4.5. | Packaging materials shall be appropriate for their intended use.  | The product contact packaging shall be appropriate to the commodity being harvested and suited for its intended purpose.  | Auditor observes evidence (e.g., information from supplier, customer specification, industry standards, prevailing regulation) that the packaging does not create an unsafe condition.                 | Operation discontinues use of the packaging until information can be obtained demonstrating safe use. Affected product is evaluated for potential contamination and disposition. |
| 3.4.6. | Packaging shall be stored in a manner that prevents contamination.  | Packaging storage shall be designed to maintain packaging dry, clean and free from dirt or residues so it remains fit for the purpose. Particular care shall be taken to prevent packaging from becoming a harborage for rodents and other vermin. Packaging shall be stored separately from hazardous chemicals, toxic substances and other sources of contamination.                  | Auditor inspects packaging storage area for evidence of compliance.  | Operation designates a storage area and practices that reduce risk of contamination. Affected packaging is evaluated for potential contamination and disposition.                |
| 3.4.7. | Operation has written policy regarding whether packing materials are permitted in direct contact with the soil. | If produce is packed in field, Operation has considered and developed written policies regarding placement of packing materials directly on the soil, or whether a physical buffer (e.g., buffer bin or slip sheet) is required. Policy shall be consistent with industry standards.  | Auditor observes whether Operation has a policy regarding placement of packing materials used in the field in direct contact with soil. Auditor observes current practices for compliance with policy. | Operation develops the policy. Retraining is performed and documented.   |
| 3.5.   | <b>Postharvest Handling and Storage</b>   |   |  |  |
| 3.5.1. | Harvested produce is handled in a manner such that it is not likely to become contaminated.                     | Operation has a policy, in compliance with current industry practices or regulatory requirements for that commodity, regarding handling, walking, stepping, or lying on harvested produce, food contact surfaces or packaging materials, or coming in contact with produce that has not been handled in compliance with these standards, or that may otherwise result in contamination. | Auditor reviews policy and produce handling practices for evidence of compliance.  | Operation develops the policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.                                |

|           | <b>Requirement</b>  | <b>Procedure</b>  | <b>Verification</b>   | <b>Corrective Action</b>  |
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| 3.5.2.    | Materials that come in contact with the produce shall be clean and in good repair.  | Operation has a policy that pallets, produce bins, totes and materials that come in contact with the produce or the containers during handling or storage shall be cleaned and, if practicable, sanitized sufficient so as not to be a source of contamination.   | Auditor observes current practices for compliance with policy.  | Operation develops the policy. Retraining is performed and documented. Affected materials are evaluated for potential contamination and disposition.            |
| 3.5.3.    | Harvested produce shall be stored separately from chemicals which may pose a food safety hazard.  | Chemicals, including cleaning and maintenance compounds shall be stored in an area separate from harvested produce.   | Auditor observes produce storage area for evidence of compliance.   | Operation designates a storage area and practices that reduce risk of contamination. Affected produce is evaluated for potential contamination and disposition. |
| <b>4.</b> | <b>Transportation (Field to Storage or Packinghouse)</b>  |   |   |   |
| 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). | 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.  | Auditor reviews cleaning and inspection procedures and inspects produce transport vehicles for cleanliness.   | Operation develops the policy. Retraining is performed and documented. Affected product is evaluated for potential contamination and disposition.               |
| 4.1.2.    | 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.                |
| <b>5.</b> | <b>Waste Management</b>   |   |   |   |

|      | <b>Requirement</b>                                 | <b>Procedure</b>  | <b>Verification</b>  | <b>Corrective Action</b>   |
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| 5.1. | Operation has implemented a waste management plan. | Operation implements procedures for the control, storage and disposal of trash, litter, and waste in areas used for produce handling activities. Such procedures minimize the potential for trash, litter, or waste to attract or harbor pests and protect against contamination of produce, food contact surfaces, areas used for produce handling activities, water sources, and water distribution systems. Waste treatment and disposal systems operate so that they do not constitute a potential source of contamination in produce handling areas. | Auditor verifies the Operation has implemented a waste management plan.  | Operation implements a waste management plan.  |
| 5.2. | Trash shall not come in contact with produce.      | The Operation shall have a procedure describing how trash shall be handled and transported out of the field in a manner that does not pose a food safety risk.  | Auditor reviews trash handling procedures for field 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. |