



2019

An internationally recognized Global Food Safety Initiative (GFSI) food safety audit scheme

CHECKLIST

PrimusGFS v3.1

MODULE 3

INDOOR AGRICULTURE

Good Agricultural Practices Requirements



POWERED



CONNECTED



SMART



SUPPORTED



GLOBAL



RECOGNIZED



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PrimusGFS v3.1

Checklist

MODULE 3: INDOOR AGRICULTURE

Good Agricultural Practices Requirements

(Sections 3.01 to 3.11)

This Module should be completed for each one of the indoor farming operations in the scope of the organization's application.

CONTACT:

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AUDIT INFORMATION QUESTIONNAIRE - INDOOR AGRICULTURE

Operation size: _____ <input type="checkbox"/> Hectares <input type="checkbox"/> Square Feet <input type="checkbox"/> Acres <input type="checkbox"/> Square Meters	Country or Countries of Destination for Product:
Season from: ____/____/____ to: ____/____/____ <input type="checkbox"/> Year around season	

Field Name	Response
Agronomic inputs:	<input type="checkbox"/> Sewage Sludge (biosolids) <input type="checkbox"/> Soil or Substrate amendments <input type="checkbox"/> Animal Based Compost <input type="checkbox"/> Inorganic Fertilizer <input type="checkbox"/> Untreated Animal Manure <input type="checkbox"/> N/A <input type="checkbox"/> Non-Synthetic Treatments
Water use:	<input type="checkbox"/> Municipal / District <input type="checkbox"/> Open Flowing Surface Water <input type="checkbox"/> Well <input type="checkbox"/> Reclaimed Water <input type="checkbox"/> Non-Flowing Surface Water <input type="checkbox"/> Tail Water
What is this water source used for?	<input type="checkbox"/> Irrigation <input type="checkbox"/> Cooling <input type="checkbox"/> Crop Protection Spray <input type="checkbox"/> Dust Abatement <input type="checkbox"/> Fertigation <input type="checkbox"/> Other: _____ <input type="checkbox"/> Frost / Freeze Protection
What type of irrigation is being used?	<input type="checkbox"/> Drip <input type="checkbox"/> Micro-Irrigation <input type="checkbox"/> Flood Irrigation <input type="checkbox"/> Overhead <input type="checkbox"/> Furrow Irrigation <input type="checkbox"/> Seepage Irrigation <input type="checkbox"/> Hydroponic <input type="checkbox"/> Other: _____
Does the water come in contact with the edible portion of the crop?	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Other: _____
Which product grouping is this water source to?	
Total number of workers for the operation:	
Was work being performed?	<input type="checkbox"/> Yes <input type="checkbox"/> No
What work was being performed:	<input type="checkbox"/> Irrigation <input type="checkbox"/> Weeding <input type="checkbox"/> Planting <input type="checkbox"/> Other: _____ <input type="checkbox"/> Pesticide Application
Describe the adjacent land:	
Cultural methods used:	<input type="checkbox"/> Organic <input type="checkbox"/> Hydroponics <input type="checkbox"/> Conventional <input type="checkbox"/> Other: _____ <input type="checkbox"/> Transition
What type of temperature condition is used?	<input type="checkbox"/> Ambient <input type="checkbox"/> Controlled <input type="checkbox"/> Other:
What type of structural material is used?	<input type="checkbox"/> Glass <input type="checkbox"/> Plastic <input type="checkbox"/> Acrylic <input type="checkbox"/> Other:

GENERAL			
Question No.	Question	Total Points	Auditor Comment
3.01.01	Is there a designated person responsible for the operation's food safety program?	10	
3.01.02	If the operation is growing under organic principles, is there written documentation of current certification by an accredited organic certification organization?	0	
3.01.03	Does the operation have a written food safety hygiene and health policy covering at least worker and visitor hygiene and health, infants and toddlers, animal presence in growing and storage areas, fecal matter, dropped product, blood and bodily fluids?	15	
SITE			
Question No.	Question	Total Points	Auditor Comment
3.02.01	Is there a map that accurately shows all aspects of the operation, including water sources and fixtures used to deliver water used in the operation?	5	
3.02.02	Are growing areas adequately identified or coded to enable trace back and trace forward in the event of a recall?	15	
3.02.03	Has a documented risk assessment been conducted at least annually for the operation?	10	
3.02.03a	If any risk is identified, have corrective actions and/or preventative measures been documented and implemented?	10	
3.02.04 (New question)	Are the necessary food defense controls implemented in the operation?	5	

3.02.05	Are workers issued non-reproducible identification (e.g., badges, company ID cards, etc.)? Informational Gathering Question.	0	
3.02.06	Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?	5	
3.02.07	Are control measures being implemented for the outside storage of equipment, pallets, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from the building perimeter)?	5	
3.02.08	Is the area around the dumpster/cull truck/trash area clean?	3	
3.02.09	Are outside garbage receptacles and dumpsters kept covered or closed?	5	
3.02.10	Where soil, substrates or fertilizer (e.g., compost) are stored or handled, are measures in place to ensure seepage and runoff is collected or diverted and does not reach growing areas, product, or any of the water sources? A ZERO POINT DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.02.11	Where there are fill stations for fuel or pesticides, is it evident that the location and/or use is not a risk of contamination to the product, water sources, growing areas, equipment, packaging materials, etc.?	15	

PEST CONTROL

Question No.	Question	Total Points	Auditor Comment
3.03.01	Is there a written policy prohibiting animals in the facility, including the growing areas and any packaging or equipment storage areas?	10	

3.03.02	Is there an effective pest control program in place? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.03.03	Is there a documented pest control program, detailing the scope of the program, target pests and frequency of checks, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s)/training (if baits are used), and insurance documents?	15	
3.03.04	Is there a schematic drawing/plan of the facility (indoor agriculture operation), showing numbered locations of all pest monitoring devices (e.g., rodent traps, bait stations, insect light traps, etc.) both inside and outside the facility?	10	
3.03.05	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	10	
3.03.06	Are all entry points to growing areas, storage and packaging areas protected to prevent the entry of rodents or birds?	10	
3.03.07	Is the audited area free from animal presence and/or animal activity (wild or domestic)? If Yes, go to 3.03.08	15	
3.03.07a (New Question)	Is there any evidence of fecal matter in the audited area?	15	
3.03.07b (New Question)	Is the fecal matter found in the audited area, a systematic event (not sporadic)? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.03.08	Is the area outside the facility free of evidence of pest activity?	10	

3.03.09	Are pest control devices located away from exposed raw materials (e.g., seeds, transplants, soil, media), finished goods and packaging, and poisonous bait traps are not used within the facility?	10	
3.03.10	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	5	
3.03.11	Are interior and exterior building perimeter pest control devices adequate in number and location?	5	
3.03.12	Are all pest control devices identified by a number or other code (e.g. barcode) ?	5	
3.03.13	Are all pest control devices effective and bait traps secured?	5	

GENERAL CHEMICALS

Question No.	Question	Total Points	Auditor Comment
3.04.01	Are there chemical inventory logs for chemicals, including pesticides, fertilizers and cleaning and sanitizing chemicals?	3	
3.04.02	Are copies of all Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	5	
3.04.03	Are all cleaning and maintenance chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	15	

3.04.04	Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and stored in a controlled manner?	10	
3.04.05	Does the operation use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (e.g., dip stations, etc.) being used, are they in operational condition and are they being used correctly?	15	
PRODUCTION FACILITY			
Question No.	Question	Total Points	Auditor Comment
3.05.01	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	10	
3.05.02	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the indoor agricultural operation and all equipment?	10	
3.05.03	Are cleaning and sanitation logs on file that shows what was done, when and by who?	10	
3.05.04	Are there records showing filters in air conditioning, ventilation and air filtration units are regularly cleaned and replaced?	5	
3.05.05	Are there records showing cooling units are maintenance serviced and cleaned at least every 12 months or more frequently as required?	10	
3.05.06	If fans or other blowing equipment are used, are they operated in a manner that minimizes the potential for contaminating product, equipment, or packaging materials?	5	

3.05.07	Is there a documented glass and brittle plastic management procedure (including company glass and brittle plastic policy, glass breakage procedure and where necessary a glass register)?	10	
3.05.08	Has the operation eliminated or adequately controlled any potential metal, glass or hard plastic contamination issues?	10	
3.05.09	Are all lights in the facility that could potentially contaminate raw materials (e.g. seeds, transplants, soil, media), product, equipment or packaging shielded, coated or otherwise shatter resistant to protect product from contamination in the event of a breakage?	15	
3.05.10	Is the storage area fully enclosed?	15	
3.05.11	Are raw materials (e.g. seeds, transplants, soil, media), finished goods and food contact packaging within accepted tolerances for spoilage and free from adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.05.12	Are materials (commodities, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc.)?	5	
3.05.13	Are materials (commodities, processing aids, work in progress, etc.) rotated using FIFO policy?	5	
3.05.14	Does the process flow, facility layout, worker control, utensil control, internal vehicle use, etc. ensure that finished goods are not contaminated by raw materials (e.g., seeds, transplants, soil, media)?	15	
3.05.15	Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	15	

3.05.16	Does the facility layout ensure separation of raw materials (e.g. seeds, transplants, soil, media), products and packaging?	15	
3.05.17	Are all growing areas clean and well maintained; especially lights, ducts, fans, floor areas by walls and equipment, and other hard to reach areas?	10	
3.05.18	Are single service containers used for their intended purpose only so that potential cross contamination is prevented?	5	
3.05.19	Are re-usable containers cleanable or used with a liner and clearly designated for the specific purpose (finished product, trash, etc.) such that cross contamination is prevented?	5	
3.05.20	Are all utensils, hoses, and other items not being used, stored clean and in a manner to prevent contamination?	10	
3.05.21	Do floor drains flow in a manner that prevents contamination (e.g., from high to low risk areas, from high risk directly to drain system), are they covered, appear clean, free from odors and are well maintained?	5	
3.05.22	Are internal transport vehicles (e.g., forklifts, bobcats, pallet jacks, carts, floor cleaners, etc.), clean, do not emit toxic fumes and are being used in a sanitary manner?	5	

INSPECTION

Question No.	Question	Total Points	Auditor Comment
3.06.01	Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	15	

3.06.02	Is there a daily inspection log, including but not limited to, checking worker hygiene, housekeeping of bathrooms, break area, growing area, and storage area?	10	
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TRAINING

Question No.	Question	Total Points	Auditor Comment
3.07.01	Is there a food safety hygiene training program covering new and existing workers and are there records of these training events?	15	
3.07.02	Is there a documented training program with training logs for the sanitation workers, including best practices and chemical use details?	5	
3.07.03	Are there written and communicated procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced, and return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).	10	
3.07.04	Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	3	

WORKER HYGIENE

Question No.	Question	Total Points	Auditor Comment
3.08.01	Are toilet facilities adequate in number and location and are they adequately stocked (e.g., toilet paper, disposable towels, soap, etc.)? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	
3.08.01a	Are toilet facilities and hand washing stations clean?	15	

3.08.02	Is hand washing signage posted appropriately?	5	
3.08.03	Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	
3.08.03a	Are hand washing stations in working order, have water of suitable temperature and pressure, adequately stocked (e.g., disposable towels, soap, etc.) and restricted to hand washing purposes only?	15	
3.08.04	Are workers washing and sanitizing their hands before starting work each day, after using the restroom, after breaks, before putting on gloves and whenever hands may be contaminated?	15	
3.08.05	Are secondary hand sanitation stations (e.g., touch-free dispensers) adequate in number and location, and are the stations properly maintained?	5	
3.08.06	Are foot baths, foamers or dry powdered sanitizing stations provided at entrances to growing areas (where appropriate), and are the stations maintained properly?	3	
3.08.07	Are workers' fingernails clean, short and free of nail polish?	5	
3.08.08	Is there no sign of any worker with boils, sores, open wounds or exhibiting signs of foodborne illness working directly or indirectly with food?	10	
3.08.09	Is jewelry confined to a plain wedding band and watches are not worn?	5	

3.08.10	Are all workers wearing protective outer garments suitable for the operation (e.g., appropriate clean clothes, smocks, aprons, sleeves and non-latex gloves)?	5	
3.08.10a	Do workers remove protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break, before using the toilets and when going home at the end of their shift?	5	
3.08.10b	Is there a designated area for workers to leave protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break and before using the toilets?	5	
3.08.11	Worker personal items are not being stored in the growing area(s) or material storage area(s)?	5	
3.08.12	Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	5	
3.08.13	Is fresh potable drinking water readily accessible to workers?	10	
3.08.13a	Are single use cups provided (unless a drinking fountain is used) and made available near the drinking water?	5	
3.08.14	Are all items removed from garment (shirt, blouse, etc.) top pockets, and unsecured items are not worn (e.g., pens, glasses on top of head, Bluetooth devices, etc.)?	3	
3.08.15	Are first aid kits adequately stocked and readily available?	5	

AGRONOMIC INPUTS			
Question No.	Question	Total Points	Auditor Comment
3.09.01	Is sewage sludge (biosolids) being used as an input for this operation? Informational Gathering Question.	0	
3.09.01a	Is fertilizer being used where the country regulations/ guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.09.01b	Are there fertilizer use records available for each growing area, including application records?	15	
3.09.01c	Are applications incorporated into the soil prior to planting or bud burst for tree crops and not applied during the growing season?	10	
3.09.01d	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	10	
3.09.01e	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	15	
3.09.01f	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	10	
3.09.02	Is animal based compost being used as an input for this operation? Informational Gathering Question.	0	

3.09.02a	Is fertilizer being used where the country regulations/ guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.09.02b	Are there fertilizer use records available for each growing area, including application records?	15	
3.09.02c	Are applications incorporated into the soil prior to planting or bud burst for tree crops and not applied during the growing season?	10	
3.09.02d	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	10	
3.09.02e	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	15	
3.09.02f	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	10	
3.09.03	Is the operation using untreated animal manure as an input? (e.g., raw manure &/or uncomposted, incompletely composted animal manure &/or green waste or non-thermally treated animal manure, etc.) Informational Gathering Question.	0	
3.09.03a	Is fertilizer being used where the country regulations/ guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.09.03b	Are there fertilizer use records available for each growing area, including application records?	15	

3.09.03c	Are applications incorporated into the soil prior to planting or bud burst for tree crops and not applied during the growing season?	10	
3.09.03d	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	10	
3.09.03e	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	15	
3.09.03f	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	10	
3.09.04	Is the operation using non-synthetic crop treatments as an input? (e.g., compost teas, fish emulsions, fish meal, blood meal, bio-fertilizers, etc.) Informational Gathering Question.	0	
3.09.04a	Is fertilizer being used where the country regulations/ guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.09.04b	Are there fertilizer use records available for each growing area, including application records?	15	
3.09.04c	Is the material applied in a manner that does not contact the edible portions of the crop?	15	
3.09.04d	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	10	

3.09.04e	Are there Certificate(s) of Analysis (CoA) from the supplier(s) that cover pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding supplier SOPs and logs?	15	
3.09.04f	Are there Certificate(s) of Analysis (CoA), letters of guarantee or other documents from the supplier(s) that cover heavy metal testing?	10	
3.09.05	Is the operation using soil or substrate amendments as an input? (e.g., plant by-products, humates, seaweed, inoculants, and conditioner, etc.) Informational Gathering Question.	0	
3.09.05a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.09.05b	Are there fertilizer use records available for each growing area, including application records?	15	
3.09.05c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	10	
3.09.05d	Are there Certificate(s) of Analysis (CoA) and/or letters of guarantee stating that the materials used are free from animal products and/or animal manures?	15	
3.09.06	Is the operation using inorganic fertilizers as an input? (e.g., ammonium nitrate, ammonium sulfate, chemically synthesized urea, etc.) Informational Gathering Question.	0	
3.09.06a	Is fertilizer being used where the country regulations/guidelines ban the use of such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	

3.09.06b	Are there fertilizer use records available for each growing area, including application records?	15	
3.09.06c	Are there Certificate(s) of Analysis (CoA), specifications, product label or other documents available for review provided by the supplier stating the components of the material?	10	

IRRIGATION / WATER USE

Question No.	Question	Total Points	Auditor Comment
3.10.01	Is municipal/district water used in the growing operation?	0	
3.10.01	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	0	
3.10.01	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	0	
3.10.01	Does the water come in contact with the edible portion of the crop?	0	
3.10.01a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical source of use) at the required and/or expected frequency? A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	
3.10.01b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	

3.10.01c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	
3.10.01d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	
3.10.01e	Are there records of any anti-microbial water treatment (e.g. chlorination, U.V., ozone, etc.), and is testing current and available?	15	
3.10.01f	Are records kept for periodic visual inspection and disinfection (if occurring) of the water source and available for review?	5	
3.10.02	Is well water used in the growing operation?	0	
3.10.02	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	0	
3.10.02	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	0	
3.10.02	Does the water come in contact with the edible portion of the crop?	0	
3.10.02a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical source of use) at the required and/or expected frequency? A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	

3.10.02b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	
3.10.02c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	
3.10.02d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	
3.10.02e	Are there records of any anti-microbial water treatment (e.g. chlorination, U.V., ozone, etc.), and is testing current and available?	15	
3.10.02f	Are records kept for periodic visual inspection and disinfection (if occurring) of the water source and available for review?	5	
3.10.03	Is non-flowing surface water used in the growing operation? (e.g., pond, reservoir, watershed)	0	
3.10.03	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	0	
3.10.03	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	0	
3.10.03	Does the water come in contact with the edible portion of the crop?	0	

3.10.03a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical source of use) at the required and/or expected frequency? A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	
3.10.03b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	
3.10.03c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	
3.10.03d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	
3.10.03e	Are there records of any anti-microbial water treatment (e.g. chlorination, U.V., ozone, etc.), and is testing current and available?	15	
3.10.03f	Are records kept for periodic visual inspection and disinfection (if occurring) of the water source and available for review?	5	
3.10.04	Is open flowing surface water used in the operation? (e.g., river, canal, ditch)	0	
3.10.04	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	0	
3.10.04	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	0	

3.10.04	Does the water come in contact with the edible portion of the crop?	0	
3.10.04a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical source of use) at the required and/or expected frequency? A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	
3.10.04b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	
3.10.04c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	
3.10.04d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	
3.10.04e	Are there records of any anti-microbial water treatment (e.g. chlorination, U.V., ozone, etc.), and is testing current and available?	15	
3.10.04f	Are records kept for periodic visual inspection and disinfection (if occurring) of the water source and available for review?	5	
3.10.05	Is reclaimed water used in the operation?	0	
3.10.05	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	0	

3.10.05	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	0	
3.10.05	Does the water come in contact with the edible portion of the crop?	0	
3.10.05a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical source of use) at the required and/or expected frequency? A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	
3.10.05b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	
3.10.05c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	
3.10.05d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	
3.10.05e	Are there records of any anti-microbial water treatment (e.g. chlorination, U.V., ozone, etc.), and is testing current and available?	15	
3.10.05f	Are records kept for periodic visual inspection and disinfection (if occurring) of the water source and available for review?	5	
3.10.06	Is tail water (including hydroponics) used in the operation?	0	

3.10.06	What is this water source used for (e.g., irrigation, crop protection sprays, fertigation, frost/freeze protection, cooling, dust abatement, etc.)?	0	
3.10.06	What type of irrigation methods are used (e.g., micro-irrigation, drip, overhead, flood irrigation, furrow irrigation, seepage irrigation, hydroponic (specify type))?	0	
3.10.06	Does the water come in contact with the edible portion of the crop?	0	
3.10.06a	Are generic <i>E. coli</i> tests conducted on the water (taken from the closest practical source of use) at the required and/or expected frequency? A ZERO POINT (NONCOMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	
3.10.06b	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	
3.10.06c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	
3.10.06d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	
3.10.06e	Are there records of any anti-microbial water treatment (e.g. chlorination, U.V., ozone, etc.), and is testing current and available?	15	
3.10.06f	Are records kept for periodic visual inspection and disinfection (if occurring) of the water source and available for review?	5	

3.10.07	Is there a documented assessment for each water source covering animal access, upstream contamination/runoff, proper well condition, water treatment, backflow, maintenance, cross contamination from leaching, recirculating water systems, etc., as applicable?	15	
3.10.08	Are there backflow prevention devices on all main lines, including where chemical, fertilizer and pesticide applications are made?	10	
3.10.09	If the operation stores water (tank, cistern, container), is the storage container well maintained?	15	

PESTICIDE USAGE

Question No.	Question	Total Points	Auditor Comment
3.11.01	Are there up-to-date records of all pesticides applied during the growing cycle? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	
3.11.02	Do records show that pesticides and their use are in compliance with all requirements of label direction, national (e.g., EPA) registration and any federal, state or local regulations and guidelines? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.11.03	Where products are destined for export, do records show that only pesticides approved for use in destination market(s) are used and are in compliance with all requirements of label direction, national (e.g., EPA) registration and any federal, state or local regulations and guidelines? Corrective actions are required if a non-compliance. If corrective actions are not provided and acceptable by the certification body a failure of the audit is scored.	15	
3.11.04	Where products are destined for export, are there records showing that pre-harvest intervals and application rates are sufficient to meet MRL entry requirements of the country of export? Records show any non-compliant product is diverted to a market where it meets requirements. Corrective actions are required if a non-compliance. If corrective actions are not provided and acceptable by the certification body a failure of the audit is scored.	15	

3.11.05	<p>For those pesticides that are not registered for use on the target crops in the country of production or if the country does not have, or has a partial legislative framework to cover pesticides, can the grower show that they have registration information, label information, MRL tolerances, etc. for the country of destination?</p> <p>Corrective actions are required if a non-compliance. If corrective actions are not provided and acceptable by the certification body a failure of the audit is scored.</p>	15	
3.11.06	<p>Where harvesting is restricted by pre-harvest intervals, are required pre-harvest intervals on product labels, national (e.g., EPA) registration and any federal, state or local regulations and guidelines being adhered to? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.</p>	15	
3.11.07	<p>Is there a documented procedure for the mixing/loading of pesticides?</p>	5	
3.11.08	<p>Is there a documented procedure for the application of pesticides?</p>	5	
3.11.09	<p>Is there a documented procedure for the rinsing and cleaning of pesticide equipment?</p>	5	
3.11.10	<p>Is there documentation that shows the individual(s) making decisions for pesticide applications are competent?</p>	15	
3.11.11	<p>Is there documentation that shows that individuals who handle pesticide materials are trained and are under the supervision of a trained person?</p>	15	
3.11.12	<p>Are pesticides stored without risk of contamination, in a locked, dedicated area with legible labels, and are empty pesticide containers held and disposed of according to their label and/or regulatory instructions?</p>	10	

3.11.13	Is it evident that the equipment used for pesticide applications is in good working order?	10	
3.11.14	Are restricted entry interval (REI) signs posted in the area(s) where pesticide applications occur?	10	

Where laws, commodity specific guidelines and/or best practice recommendations exist and are derived from a reputable source, then these practices and parameters should be used. Audit users should allow a degree of risk association if laws, guidelines, best practices, etc., have not been documented.