



2019

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

CHECKLIST

PrimusGFS v3.1

MODULE 4

HARVEST CREW

Good Agricultural Practices Requirements



POWERED



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PrimusGFS v3.1

Checklist

MODULE 4: HARVEST CREW

Good Agricultural Practices Requirements

(Sections 4.01 to 4.08)

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

CONTACT:

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AUDIT INFORMATION QUESTIONNAIRE - HARVEST CREW

Season from: ___/___/____ to: ___/___/____ Year around season

Field Name	Response
Total number of workers for the operation:	
Harvesting process:	<input type="checkbox"/> Hand Harvest <input type="checkbox"/> Mechanical Harvest
Was in field processing occurring?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Processing type:	<input type="checkbox"/> Core in Field <input type="checkbox"/> Florets <input type="checkbox"/> Top & Tail <input type="checkbox"/> Other:
Was post-harvest water used?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, how was post-harvest water used? If no, continue to the next question.	<input type="checkbox"/> Rehydration <input type="checkbox"/> Core in Field <input type="checkbox"/> Washing <input type="checkbox"/> Other:
Antimicrobial used:	<input type="checkbox"/> Chlorine dioxide <input type="checkbox"/> UV Light <input type="checkbox"/> Sodium / calcium hypochlorite <input type="checkbox"/> Ozone <input type="checkbox"/> Acidified chlorine <input type="checkbox"/> Other: _____ <input type="checkbox"/> Peroxyacetic acid
Equipment used:	<input type="checkbox"/> Rig <input type="checkbox"/> Picking Carts <input type="checkbox"/> Ladder <input type="checkbox"/> Clippers / Scissors <input type="checkbox"/> Buckets <input type="checkbox"/> N/A <input type="checkbox"/> RPC Knives <input type="checkbox"/> Other: _____

GENERAL			
Question No.	Question	Total Points	Auditor Comment
4.01.01	Is there a designated person responsible for the operation's food safety program?	10	
4.01.02	Does the operation have a written food safety hygiene and health policy covering at least worker and visitor hygiene and health, infants and toddlers, animal presence in growing and storage areas, fecal matter, dropped product, blood and bodily fluids?	15	
INSPECTION			
Question No.	Question	Total Points	Auditor Comment
4.02.01	Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	15	
4.02.02	Are there records of pre-harvest inspections and do they show that the current block (or coded area) is cleared for harvest?	5	
4.02.02a	Where pre-harvest inspections have discovered issues, have buffer zones been clearly identified, and at the time of the audit, are those buffer zones being respected?	15	
4.02.03	Is there a pre-operation inspection log?	10	
TRAINING			
Question No.	Question	Total Points	Auditor Comment
4.03.01	Is there a food safety hygiene training program covering new and existing workers and are records of these training events?	15	

4.03.02	Is there a documented training program with training logs for the sanitation workers, including best practices and chemical use details?	5	
4.03.03	Are there written and communicated procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced, and return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).	10	
4.03.04	Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	3	

HARVESTING INSPECTIONS, POLICIES AND TRAINING

Question No.	Question	Total Points	Auditor Comment
4.04.01	Is there a documented policy, supported by worker training records, stating that when commodities are dropped on the ground they are discarded? (Non-applicable for commodities such as tubers, root crops, etc.)	5	
4.04.02	Is there a documented policy, supported by worker training records, stating what happens when harvesters find evidence of animal intrusion (e.g., fecal material)?	5	
4.04.03	Is there a documented policy, supported by worker training records, stating that commodities are discarded after coming into contact with blood or bodily fluids?	5	

HARVEST WORKER HYGIENE

Question No.	Question	Total Points	Auditor Comment
4.05.01	Are toilet facilities adequate in number and location? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	15	

4.05.01a	Are toilet facilities in a suitable location to prevent contamination to the product, packaging, equipment, and growing areas?	15	
4.05.01b	Are the catch basins of the toilets designed and maintained to prevent contamination (e.g., free from leaks and cracks)?	5	
4.05.01c	Is there a documented procedure for emptying the catch basin in a hygienic manner and also in a way that prevents product, packaging, equipment, water systems and growing area contamination?	5	
4.05.01d	Are toilets constructed of materials that are easy to clean?	3	
4.05.01e	Are the toilet materials constructed of a light color allowing easy evaluation of cleaning performance?	3	
4.05.01f	Are toilets supplied with toilet paper and is the toilet paper maintained properly (e.g., toilet paper rolls are not stored on the floor or in the urinals)?	5	
4.05.01g	Are the toilet facilities and hand washing stations clean and are there records showing toilet cleaning, servicing and stocking is occurring regularly?	10	
4.05.02	Is there evidence of human fecal contamination in the harvesting area? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
4.05.03	Is hand washing signage posted appropriately?	5	

4.05.04	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	
4.05.04a	Are the hand wash stations designed and maintained properly (e.g., ability to capture or control rinse water to prevent contamination onto product, packaging, and growing area, free of clogged drains, etc.)?	5	
4.05.04b	Are hand wash stations clearly visible (e.g., situated outside the toilet facility) and easily accessible to workers?	5	
4.05.04c	Are hand wash stations adequately stocked with unscented soap and paper towels?	5	
4.05.04d	In the event of running out of toilet materials (e.g., water, soap, toilet tissue, hand paper towels), are there extra supplies readily available so that toilets can be restocked quickly?	5	
4.05.05	Are total coliforms (TC) and generic <i>E. coli</i> tests conducted on the water used for hand washing at the required and/or expected frequency?	15	
4.05.05a	Do written procedures (SOPs) exist covering proper sampling protocols, which include where samples should be taken and how samples should be identified?	10	
4.05.05b	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	
4.05.05c	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	

4.05.06	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	
4.05.07	Are secondary hand sanitation stations (e.g., hand dips, gels or spray stations) adequate in number and location, and are the stations maintained properly?	5	
4.05.08	Is it evident that corrective actions are taken when workers fail to comply with hand washing guidelines?	5	
4.05.09	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	
4.05.10	Is jewelry confined to a plain wedding band and watches are not worn?	5	
4.05.11	Worker personal items are not being stored in the growing area(s) or material storage area(s)?	5	
4.05.12	Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	5	
4.05.13	Are workers wearing effective hair nets that contain all hair?	5	
4.05.14	Are all workers wearing protective outer garments suitable for the operation (e.g. appropriate clean clothes, smocks, aprons, sleeves and non-latex gloves)?	5	

4.05.15	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	
4.05.16	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	
4.05.16a	Is there a designated area for workers to leave protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break and before using the toilet?	5	
4.05.17	Is fresh potable drinking water readily accessible to workers?	10	
4.05.17a	Are single use cups provided (unless a drinking fountain is used) and made available near the drinking water?	5	
4.05.18	Are first aid kits adequately stocked and readily available?	5	
4.05.19	Are all commodities that come in contact with blood and/or other bodily fluids destroyed? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
4.05.20	Are there adequate trash cans placed in suitable locations?	5	
4.05.21	Have any potential foreign material issues (e.g., metal, glass, plastic) been controlled?	5	

HARVEST PRACTICES			
Question No.	Question	Total Points	Auditor Comment
4.06.01	Is there evidence of animal presence and/or animal activity (wild or domestic) in the harvesting area?	15	
4.06.01a	Is there any evidence of fecal matter in the harvesting area?	15	
4.06.01b	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	
4.06.02	Is there evidence of infants or toddlers in the harvesting area?	10	
4.06.03	Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the harvesting equipment?	10	
4.06.03a	Are cleaning and sanitation logs on file for harvesting equipment that show what was done, when and by who?	10	
4.06.04	Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	15	
4.06.05	Are "food grade" and "non-food grade" chemicals used appropriately, according to label and stored in a controlled manner?	10	

4.06.06	Are there records of microbial testing for water used for postharvest product contact (e.g., washing, re-hydrating) and product contact surfaces (e.g., cleaning grading packing tables and harvest tools) showing that there is no detectable total coliforms and generic <i>E. coli</i> in the water?	10	
4.06.06a	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	
4.06.06b	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	
4.06.07	Is the product harvested and transported to a facility for additional handling and/or final packing?	0	
4.06.08	Is the product packed in the final packing unit in the field?	0	
4.06.08a	Is packing material (e.g., cartons, bags, clamshells, sacks, RPCs) intended for carrying product used for that purpose only?	5	
4.06.08b	Is packaging material inspected prior to use and free from handling contamination and exposure to the ground?	10	
4.06.08c	Is packing material left in the field unattended, stored secured and protected?	5	
4.06.08d	Are finished products coded (containers, cartons and unit packaging) for the day of harvest?	3	

4.06.09	Is the crop, harvested product, ingredients (including water), food contact packaging and food contact surfaces within accepted tolerances for spoilage and free from adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
4.06.10	Are grading and packing tables used? If No, go to 4.06.11.	0	
4.06.10a	Does the design and condition of the grading and packing tables (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood) facilitate effective cleaning and maintenance?	10	
4.06.10b	Is there a documented cleaning program, with records, for the grading and packing tables that includes the frequency of cleaning and sanitizing, the procedures used and the strength test records of anti-microbial solution used to sanitize surfaces?	5	
4.06.11	Are re-useable containers (e.g. buckets, field totes, lugs, bins) used in the harvesting operation? If No, go to 4.06.12.	0	
4.06.11a	Does the design and condition of re-usable containers (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood, no fabric) facilitate effective cleaning and maintenance?	10	
4.06.11b	Is there a documented cleaning program, with records, for the reusable containers that includes the frequency of cleaning and sanitizing, the procedures used and the strength test records of anti-microbial solution used to sanitize surfaces?	5	
4.06.11c	Are re-useable containers free from any handling contamination?	10	
4.06.12	Are tools (e.g. knives, clippers, scissors, etc.) used in harvesting? If No, go to 4.06.13.	0	

4.06.12a	Does the design and condition of harvest tools (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood, no fabric) facilitate effective cleaning and maintenance?	5	
4.06.12b	Are harvest tools free from exposure to the ground and/or any handling contamination?	5	
4.06.12c	Is there a tool accountability, storage and control program for knives and similar cutting hand tools used in the harvest area when not in use?	5	
4.06.12d	Is there a documented cleaning program, with records, for the harvest tools that includes the frequency of cleaning and sanitizing, the procedures used and the strength test records of anti-microbial solution used to sanitize surfaces?	5	
4.06.12e	Are harvesting tool dips being maintained properly in terms of anti-microbial solution strength and are records of the solution checks being maintained? AUDITORS SHOULD REQUIRE A TEST AT THE TIME OF THE AUDIT.	5	
4.06.13	Is machinery used in the harvesting process? If No, go to 4.06.14.	0	
4.06.13a	Are food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	15	
4.06.13b	Are food contact equipment surfaces clean?	15	
4.06.13c	Are non-food contact equipment surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	10	

4.06.13d	Are non-food contact equipment surfaces clean?	10	
4.06.13e	Does the design and condition of the equipment (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood) facilitate effective cleaning, sanitation and maintenance?	5	
4.06.13f	Is there a documented cleaning program, with records, for the harvest equipment that includes the frequency of cleaning and sanitizing, the procedures used and the strength test records of anti-microbial solution used to sanitize surfaces?	5	
4.06.13g	Is equipment designed and used properly to minimize product contamination (e.g., drip pans utilized, dedicated tractor pathways)?	5	
4.06.13h	Is there written documentation showing that only food grade lubricants are used on the critical parts of the harvesting machinery that have the potential to contaminate product?	3	
4.06.13i	Are all glass issues on harvesting machines, in-field trucks, and tractors protected in some manner?	3	
4.06.13j	Are all platforms above product, packaging, or food contact surfaces (e.g., belts) on the harvest machinery and in-field trucks fitted with protection to prevent product contamination?	3	
4.06.14	Is water used directly on product contact (e.g. re-hydration, core in field)? If No, go to 4.06.15.	0	
4.06.14a	Are there specific Standard Operating Procedures (SOPs) for the monitoring and changing of recirculated and batch water systems (e.g., dump tanks) and for monitoring water temperature?	10	

4.06.14b	Are there records of visual monitoring, testing and changing of recirculated and batch water systems (e.g., dump tanks) and water temperature checks (where relevant)?	5	
4.06.14c	Is there a specific Standard Operating Procedure (SOP) that clearly details the anti-microbial parameters in water systems (single pass and recirculated/batch water systems) and are they correct for the type of anti-microbial being used?	10	
4.06.14d	Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, ORP, peroxyacetic acid) strength testing of wash water prior to start up and throughout the run?	10	
4.06.14e	Does the operation use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (e.g., postharvest product contact water, dip stations, etc.) being used, are they in operational condition and are they being used correctly?	15	
4.06.15	Is the harvested product "in-field processed" or "in-field semi-processed" (e.g., core in field, top & tail, florets)? If No, go to 4.06.16.	0	
4.06.15a	Where harvested product is "in-field processed" or "in-field semi-processed," does the process flow, machine layout, worker control, utensil control, etc. ensure that processed products are not contaminated by unprocessed products?	5	
4.06.15b	Are all plastic bin liners closed immediately after harvest to avoid contamination of the harvested product?	3	
4.06.16	Are transport vehicles (e.g., forklifts) clean, are not a source of contamination and are being used in a sanitary manner?	5	
4.06.17	Is there any post-harvest treatment performed to the product in the field? If No, go to 4.07.01.	0	

4.06.17a	Are there up to date records of all pesticides applied in the field to the harvested product? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
4.06.17b	Do records show that pesticides applied postharvest 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? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE.	15	
4.06.17c	For those pesticides that are registered and/or authorized by a government agency for use in the postharvest period to the target crops in the country of production or are not registered for use in the postharvest period on target crops in the country of production (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? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
4.06.17d	Where products are destined for export, are there records showing that 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. ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	10	

TRANSPORTATION AND TRACKING

Question No.	Question	Total Points	Auditor Comment
4.07.01	Are the vehicles transporting fresh produce from field to facility limited to this function only, maintained in proper condition, and adequate for the purpose?	5	
4.07.02	Is there a system in place to track product from the farm? If No, go to 4.08.01.	15	
4.07.02a	If product is being packed in the field, are the cartons, boxes, RPCs or any other packaging material used, identified with the harvesting date and growing location information? This question does not apply for raw material/bulk product destined for further handling in a packinghouse or processing facility.	10	

4.07.02b	If product is being packed in the field and individual packing units are used (e.g., clamshells, bags, baskets or others), are these individual units identified with the harvesting date and growing location information? This question does not apply for raw material/bulk product destined for further handling in a packinghouse or processing facility.	10	
ON-SITE STORAGE			
Question No.	Question	Total Points	Auditor Comment
4.08.01	Is there an on-site storage for items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.)?	0	
4.08.01a	Is on-site storage for items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.) clean and secure?	10	
4.08.02	Are packaging, containers, and harvesting equipment stored to prevent cross contamination (this includes RPCs, cartons, clamshells, bins, and other harvesting type of containers that are single use or reusable, etc.)?	5	
4.08.03	Are there cleaning logs for the storage area(s)?	5	
4.08.04	Is there an effective pest control program in place for fixed location storage areas?	15	
4.08.04a	Are pest control devices located away from items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.), and poisonous bait traps are not used inside the storage areas?	5	
4.08.04b	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	5	

4.08.04c	Are pest control devices adequate in number and location?	5	
4.08.04d	If storage areas are fully enclosed, are measures taken to prevent pest entry?	5	
4.08.04e	Are all pest control devices identified by a number or other code (e.g., barcode) ?	5	
4.08.04f	Are all pest control devices effective and bait traps secured?	5	
4.08.04g	Is there a schematic drawing/plan of the storage area showing numbered locations of all pest monitoring devices, both inside and outside the storage area?	5	
4.08.04h	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	5	

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.