



2018

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

CHECKLIST

PrimusGFS v3.0

MODULE 3

INDOOR AGRICULTURE

Good Agricultural Practices Requirements



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Checklist

MODULE 3: INDOOR AGRICULTURE

(Sections 3.01 to 3.11)

GOOD AGRICULTURAL PRACTICES REQUIREMENTS

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

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GENERAL			
Question No.	Question	Total Points	Expectation
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 (New Question)	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			
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	

SITE (CONTINUED)			
Question No.	Question	Total Points	Expectation
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	Are the external areas and vulnerable points (i.e. those that are not permanently locked) surrounded by security fencing or otherwise protected? Where there is no external storage and doors are permanently locked, score as N/A.	5	
3.02.05	Is access to the facility controlled by locks, swipe cards, alarms or other devices?	5	
3.02.06	Are workers issued non-reproducible identification (e.g., badges, company ID cards, etc.)?	5	
3.02.07	Is the exterior area immediately outside the facility, including roads, yards and parking areas, free of litter, weeds and standing water?	5	

SITE (CONTINUED)			
Question No.	Question	Total Points	Expectation
3.02.08	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	
3.02.09	Is the area around the dumpster/cull truck/trash area clean?	3	
3.02.10	Are outside garbage receptacles and dumpsters kept covered or closed?	5	
3.02.11	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? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	15	
3.02.12	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	Expectation
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/ <u>plan</u> of the facility, 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 entry of rodents or birds?	10	

PEST CONTROL (CONTINUED)			
Question No.	Question	Total Points	Expectation
3.03.07	Are the growing and storage areas free of pest activity including rodents/birds/reptiles/mammals, or any evidence of them?	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 rodent 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	Expectation
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	Expectation
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 facility and all equipment?	10	
3.05.03	Are cleaning and sanitation logs on file that show 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	

PRODUCTION FACILITY (CONTINUED)			
Question No.	Question	Total Points	Expectation
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 facility fully enclosed?	15	

PRODUCTION FACILITY (CONTINUED)			
Question No.	Question	Total Points	Expectation
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	

PRODUCTION FACILITY (CONTINUED)			
Question No.	Question	Total Points	Expectation
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	

PRODUCTION FACILITY (CONTINUED)			
Question No.	Question	Total Points	Expectation
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			
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	

TRAINING			
Question No.	Question	Total Points	Expectation
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	Expectation
3.08.01	Are toilet facilities adequate in number and location and are they adequately stocked (e.g., toilet paper, disposable towels, soap, etc.)?	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?	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	

WORKER HYGIENE (CONTINUED)			
Question No.	Question	Total Points	Expectation
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. clean clothes, smocks, aprons, sleeves and non-latex gloves)?	5	

WORKER HYGIENE (CONTINUED)			
Question No.	Question	Total Points	Expectation
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	

WORKER HYGIENE (CONTINUED)			
Question No.	Question	Total Points	Expectation
3.08.15	Are first aid kits adequately stocked and readily available?	5	

SEE FERTILIZER, WATER & PESTICIDE TABLES FOR THOSE SECTIONS

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.