



Walmart  Food Safety & Health

Food Safety Requirements for Produce Suppliers

Providing safe and affordable
food so people can live better.

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Food Safety at Walmart

At Walmart Stores, Inc., our commitment to our customers is unparalleled. We strive relentlessly to provide safe, quality foods in our retail operations. As part of our commitment to continuous improvement, we go further than many U.S. retailers in requiring that harmonized, leading-edge food safety standards be adopted throughout the entire food production chain.

To be considered as a potential supplier for Walmart or Sam's Club, the following expectations and criteria must be met. The requirements must be provided to the Walmart Home Office Food Safety & Health department for approval prior to being given an approved supplier agreement. Failure to comply with the requirements listed below will make your company ineligible to supply to Walmart or Sam's Club. Please read the supplier definitions below to determine how your company will be categorized.

- **Private Brand Supplier** - A vendor that supplies produce items that are sold as a Walmart or Sam's Club branded item, that carries a "Distributed by Walmart" or "Distributed by Sam's Club" legend on the label, or is sold at the Sam's Deli.
- **Non-Private Brand Supplier** - A vendor that supplies produce items grown at their own operations. This includes suppliers that deliver products locally or regionally. These products will NOT be sold as a Walmart or Sam's Club branded item.
- **Small & Developing Supplier** - A non-private brand supplier that does not have the capacity to supply product to more than 65 total stores, does not make more than \$1 million total annual sales, and does not deliver product beyond a 250 mile radius.
- **Distributors** - A supplier that sells produce grown by other operations. They may warehouse or repack the items. They may or may not also grow their own produce.

Please note that Local, State, FDA and USDA inspections will **NOT** be accepted in the place of a food safety assessment. It is strongly suggested that all companies take the time to review the requirements and prepare for the food safety assessments. To learn more about what may be expected at your facility during your audit, please view the [Supplier Food Safety Resources](#)* for educational web sites and videos.

After becoming a Walmart or Sam's Club supplier, facilities must pass their food safety assessment annually. Failure to comply with the annual assessment requirements may result in deactivation of your vendor number.

*Document located in the [Appendix](#).

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on Campus



Private Brand Supplier Requirements

(Pages 5-7)

Food Safety Assessment

Walmart Stores, Inc. has aligned with GFSI (Global Food Safety Initiative) and requires all private brand suppliers, regardless of company size or the inherent food safety risks associated with their products, to obtain full GFSI certification. Every operation from farm to final pack house or warehouse must achieve GFSI certification to be a Private Brand Supplier. For more information about the certification process, you may review [The Supplier's Guide to Becoming GFSI Certified](#)*. Please visit www.mygfsi.com for a full list of recognized schemes. You may also view a list of the recognized audits on the [Level 1 - Produce Supplier Food Safety Audit Requirements](#)* document.

FDA Bioterrorism Registration

Suppliers will need to ensure that all operations that provide product to Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. Each operation that is approved and issued a vendor number is required to have an individual FDA registration. To ensure Compliance, suppliers will provide this number to Walmart upon our request.

Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the supplier's responsibility to be familiar with the laws and regulations in every state in which their product will be sold. Suppliers will be asked to submit proof of registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed, suppliers are responsible for completing and submitting all licensing and registration forms and paying all licensing and registration fees on or before the annual deadline.



Import Requirements

Suppliers importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements for import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.





Non-Private Brand Supplier Requirements

(Pages 9-11)

Food Safety Assessment

Non-Private Brand Suppliers (also referred to as National Brand Suppliers) must complete an approved food safety audit based on the risk associated with their products. All operations must pass an audit of both their growing and pack house operations.

- **Suppliers of High-Risk Products (Products that have been Associated with Foodborne Outbreak)**

Walmart Stores Inc. has aligned with GFSI (Global Food Safety Initiative) and requires all suppliers of high-risk products to obtain full GFSI certification annually. Suppliers may complete any GFSI recognized scheme. For more information about the certification process, you may review [The Supplier's Guide to Becoming GFSI Certified](#)*. For a full list of GFSI recognized schemes, please visit www.mygfsi.com. You may also view a list of the recognized audits on the [Level 1 - Produce Supplier Food Safety Audit Requirements](#)* document.

- **Suppliers of Low-Risk Products (Products that have NOT been Associated with Foodborne Outbreak)**

Suppliers of low-risk products are required to obtain an approved audit and complete all corrective actions. Your fields and pack houses have the option to complete a GFSI recognized audit (www.mygfsi.com or [Level 1 - Produce Supplier Food Safety Audit Requirements](#)*) or any approved audit listed on the [Level 2 - Produce Supplier Food Safety Audit Requirements](#)* document.

For further clarification of audit requirements and to confirm that your product is high- or low-risk, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.

*Document located in the [Appendix](#).



FDA Bioterrorism Registration

Suppliers will need to ensure that all operations that provide product to Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. Each operation that is approved and issued a vendor number is required to have an individual FDA registration. To ensure Compliance, suppliers will provide this number to Walmart upon our request.

Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the supplier's responsibility to be familiar with the laws and regulations in every state in which their product will be sold. Suppliers will be asked to submit proof of registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed, suppliers are responsible for completing and submitting all licensing and registration forms and paying all licensing and registration fees on or before the annual deadline.



Import Requirements

Suppliers importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements for import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.



Small & Developing Supplier Requirements

(Pages 13-15)

Food Safety Assessment

Small & Developing Suppliers must complete an approved food safety audit based on the risk associated with their products. All operations must pass an audit of both their growing and pack house operations.

- **Suppliers of High-Risk Products (Products that have been Associated with Foodborne Outbreak)**

Suppliers of high-risk products are required to obtain an approved audit and complete all corrective actions. Your fields and pack houses have the option to complete a GFSI recognized audit (www.mygfsi.com or [Level 1 - Produce Supplier Food Safety Audit Requirements](#)*) or any approved audit listed on the [Level 3 - Produce Supplier Food Safety Audit Requirements](#)* document.

- **Suppliers of Low-Risk Products (Products that have NOT been Associated with Foodborne Outbreak)**

Suppliers of low-risk products are required to obtain an approved audit and complete all corrective actions. Your fields and pack houses have the option to complete a GFSI recognized audit (www.mygfsi.com or [Level 1 - Produce Supplier Food Safety Audit Requirements](#)*), any approved audit listed on the [Level 2 - Produce Supplier Food Safety Audit Requirements](#)* document, or any approved audit listed on the [Level 4 - Produce Supplier Food Safety Audit Requirements](#)* document.

To ensure your company meets the criteria for the Small & Developing program, for further clarification of audit requirements, or to confirm that your product is high- or low-risk, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.

*Document located in the [Appendix](#).



FDA Bioterrorism Registration

Suppliers will need to ensure that all operations that provide product to Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. Each operation that is approved and issued a vendor number is required to have an individual FDA registration. To ensure Compliance, suppliers will provide this number to Walmart upon our request.

Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the supplier's responsibility to be familiar with the laws and regulations in every state in which their product will be sold.

Suppliers will be asked to submit proof of registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed, suppliers are responsible for completing and submitting all licensing and registration forms and paying all licensing and registration fees on or before the annual deadline.

Import Requirements

Suppliers importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements

for import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.





Distributor Requirements

(Pages 17-19)

Food Safety Assessment

Walmart Stores, Inc. requires that all operations whose commodities are sold in our stores or clubs obtain a food safety assessment annually. As a distributor, you must disclose all operations that you source products from to supaudit@wal-mart.com. You must also submit a passing food safety assessment for **each** operation you source product from. The operations must meet the requirements outlined above for their [specific operation type](#). Walmart will not accept any product from an operation that does not meet the specified requirements.

In addition, suppliers that warehouse product at their own facility or use a third party warehouse will also need to obtain a Distribution Center and Transportation Audit for each warehouse.

- **Distributors of High-risk Food Items that Warehouse Product**

Distributors that have the capacity to supply product to more than 65 total stores, have more than \$1 million total annual sales, supply further than a 250 mile radius AND warehouse high-risk products must obtain a storage & distribution audit from one of the GFSI scheme holders. Please view the [High-Risk Produce Distributor Food Safety Audit Requirements*](#) for a list of accepted audits.

Please note that if you repack items, you must complete the audit requirements for [Non-Private Brand Suppliers](#).





- **Distributors of Low-risk Food Items that Warehouse Product**

Distributors that have the capacity to supply product to more than 65 total stores, have more than \$1 million total annual sales, supply further than a 250 mile radius AND warehouse low-risk products must obtain a storage & distribution audit from one of the GFSI scheme holders. Please view the [Low-Risk Produce Distributor Food Safety Audit Requirements](#)* for a list of accepted audits.

Please note that if you repack items, you must complete the audit requirements for [Non-Private Brand Suppliers](#).

- **Small & Developing Distributors that Warehouse Product**

Distributors that do **NOT** have the capacity to supply product to more than 65 total stores, have

LESS than \$1 million total annual sales, supply **LESS** than a 250 mile radius **AND** warehouse products must obtain a storage & distribution audit from an approved audit company listed on the [Small Distributor Food Safety Audit Requirements](#)*.

Please note that if you repack items, you must complete the audit requirements for [Small & Developing Suppliers](#).

*Documents located in the [Appendix](#).

For further clarification of distributor audit requirements, to confirm that your items are high- or low-risk, or to ensure you meet the requirements of a Small & Developing supplier, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.

FDA Bioterrorism Registration

Distributors will need to ensure that all operations they source product from and sell to Walmart and/or Sam's Club have registered with the FDA and have a current FDA bioterrorism registration number. To ensure Compliance, suppliers will provide this number to Walmart upon our request.

Licensing & Registration

Certain states have licensing and registration requirements above and beyond Federal registration requirements. It is the distributor's responsibility to be familiar with the laws and regulations in every state in which their product will be sold. Distributors will be asked to provide proof of their operations's registration to the Walmart Food Safety & Health department at supaudit@wal-mart.com upon request. Unless otherwise directed, distributors are responsible for completing and submitting all licensing and registration forms and

paying all licensing and registration fees on or before the annual deadline.

Import Requirements

Distributors importing products will be required to comply with additional food product and inspection requirements in order to ensure products comply with all regulatory requirements for the retail markets in which the products will be sold. For additional information on requirements for distributors of import suppliers, please contact the Walmart Food Safety & Health department at supaudit@wal-mart.com.





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Supplier Food Safety Resources

The below resources are educational tools that you may use to familiarize yourself with different food safety programs and terminology.

RESOURCES FOR ALL SUPPLIERS:

Full Presentations over Most Audit Sections

Food Safety Knowledge Network & Michigan State (<http://fskntraining.org/coca-colafoodsafety09/program>)

Laws and Regulations

Please note, you may be held to different city, county, and state standards.

Code of Federal Regulations – FSIS Products (CFR9)

(<http://www.fda.gov/Food/FoodSafety/RetailFoodProtection/FoodCode/FoodCode2009/>)

Sanitation Standard Operating Procedures (SSOPs)

Purdue Extension (<http://www.extension.purdue.edu/extmedia/FS/FS-21-W.pdf>)

Minnesota Department of Agriculture

(<http://www.mda.state.mn.us/en/licensing/inspections/meatpoultryegg/haccp-ssop-resources.aspx>)

Pest Control

Phantom (<http://www.phantomhome.com/pdfs/home/PhanWhitepaper%208.5%20x%2011.pdf>)

Recall/Traceability

Ohio State University Extension (<http://ohioline.osu.edu/aex-fact/0253.html>)

Purdue Extension (<http://www.ces.purdue.edu/extmedia/FS/FS-23-W.pdf>)

The Food Recall Manual (<http://edis.ifas.ufl.edu/pdffiles/FS/FS10800.pdf>)

HACCP

Developing a HACCP plan (<http://www.fao.org/docrep/005/y1390e/y1390e0a.htm>)

HACCP Critical Control Point Decision Tree (<http://meat.tamu.edu/tree.html>)

USDA Guidebooks for Preparation of HACCP Plans and Generic HACCP Models

(http://www.fsis.usda.gov/Science/HACCP_Models/index.asp)

Risk Assessment/Hazard Analysis

University of Florida IFAS Extension (<http://edis.ifas.ufl.edu/fs139>)

Food Defense Plan

University of Missouri Extension (<http://extension.missouri.edu/fooddefense/>)

Supplier Food Safety Resources

PROCESSOR SPECIFIC RESOURCES:

General Resources

AIB Food Safety Essentials Class (<http://www.foodsafetyessentials.net>)

Purdue Extension (<http://www.extension.purdue.edu/extmedia/menu.htm>)

Good Manufacturing Practices (GMPs)

Purdue Extension (<http://www.extension.purdue.edu/extmedia/FS/FS-21-W.pdf>)

US Food and Drug Administration

(<http://www.fda.gov/food/guidancecomplianceregulatoryinformation/currentgoodmanufacturingpracticesgmps/ucm110877.htm>)

PRODUCE SPECIFIC RESOURCES:

General Resources

AIB Food Safety Essentials Class (<http://www.foodsafetyessentials.net>)

NSF Agriculture Link (http://www.nsf.org/business/nsf_agriculture/index.asp?program=NSFAgr)

On-Farm Food Safety Project (<http://onfarmfoodsafety.org>)

Penn State Extension (<http://extension.psu.edu/food-safety/farm/resources>)

Purdue Extension (<http://www.extension.purdue.edu/extmedia/menu.htm>)

University of Minnesota (<http://safety.cfans.umn.edu/FSP4U.html>)

Good Agricultural Practices (GAPs)

Food and Agriculture Organization of the United Nations (http://www.fao.org/prods/gap/index_en.htm)

Iowa State Extension (<http://www.extension.iastate.edu/Publications/PM1974a.pdf>)

Commodity Specific Guidelines

US Food and Drug Administration

(<http://www.fda.gov/Food/GuidanceComplianceRegulatoryInformation/GuidanceDocuments/ProduceandPlanProducts/default.htm>)

The Supplier's Guide to Becoming GFSI Certified

Please note that the time needed to prepare for a GFSI certification assessment will vary between companies. The complete process, from choosing a scheme through final assessment, may take between 6-12 months.

Step 1 – Choose a Scheme

Review the [GFSI recognized schemes](#) to determine which best fits your company and the programs currently implemented. Each scheme is linked to the standard owner's website. Here you can learn more about their certification processes and requirements. Please note that the Manufacturing Schemes are for processors while the Primary Production Schemes are for produce suppliers.

Step 2 – Understand the Requirements

Request or download a copy of the scheme's standard. The standard includes all of the requirements your facility will be assessed against. Standards may be ordered or downloaded by visiting the standard owner's website or by contacting the standard owner. Depending on the scheme you move forward with, the cost for the standard could range from \$0 – \$200. Many of the standard owner's offer training courses over their schemes and, although usually not required, these courses may be attended to better understand the requirements. For more information and cost of these training courses, please visit the standard owner's website.

Step 3 – Prepare for the audit

To begin your preparation, it is suggested that your facility perform a gap analysis. A gap analysis is where you assess your facility against the standard's requirements to identify the areas where you do not meet the requirements, or where you have gaps. If your company is familiar with the expectations of the scheme, you may conduct this assessment yourself. If you do not feel comfortable conducting the gap analysis yourself, your company may also hire someone from an approved certification body to perform the gap analysis. Please note that the certification body you use to perform a gap analysis cannot be the same certification body used to perform your final GFSI certification assessment. For more information on certification bodies, please see Step 4.

After you have identified your gaps you will need to complete corrective actions to become compliant with the requirements. It is recommended that your company develop a timeline to complete these corrective actions. This timeline should include scheduled meetings at a pre-determined frequency to ensure that the individual or team that was assigned the corrective action is staying on task as well as a rough estimate of when you will have your final GFSI certification assessment.

Step 4 – Choose a Certification Body & Schedule the Assessment

Certification bodies must demonstrate their knowledge in a scheme and be approved to conduct assessments. This means you must ensure you choose a certification body that is approved to conduct the scheme you have chosen to be certified against.

You may find a list of approved certification bodies at the standard owner's website. Please be advised that due to current GFSI certification demand, certification bodies may be fully booked for two to four months and will not be immediately available to conduct your assessment. Because of this, we recommend that you look at your certification timeline and schedule your assessment a few months before you will be ready for your assessment to be conducted.

Step 5 – Share GFSI Certification with Walmart

Once you obtain your GFSI certification, you will need to send a copy directly to the food safety manager you have worked with or to supaudit@wal-mart.com.

Level 1 - Produce Supplier Food Safety Audit Requirements

Packinghouse and Field/Ranch Audit Standard Requirements

Pack House or Storage Operations ^{1,3,4}

- [BRC Food Standard; Guideline for Fresh Produce](#)
- [Canada GAP](#) (options B or C)
- [Food Safety System Certification 22000](#)
- [GlobalGAP Integrated Farm Assurance Standard](#) Must include Produce Handling - Section FV 5
- [International Food Standard](#)
- [PrimusGFS](#) (Packinghouse, Processing or Cooling & Cold Storage)
- [Safe Quality Food 1000 or 2000 Level II or III](#)

Field Level or Greenhouse ^{2,3,4}

- [Canada GAP](#) (options B or C)
- [GlobalGAP Integrated Farm Assurance Standard](#)
- [PrimusGFS](#) (Ranch or Greenhouse)
- [Safe Quality Food 1000 Level II or III](#)

1. Suppliers that have both field level or greenhouses **AND** pack houses or storage operations must complete an audit for each field, greenhouse, packinghouse, and storage operation.
2. Suppliers that field pack and do not have a packinghouse or cold storage facility only need to complete a field level or greenhouse audit for each field or greenhouse.
3. Audits must be conducted during harvest or while packinghouses or storage operations are operating.
4. Audits must be conducted annually **PRIOR** to the expiration of the current audit.

Please click on the name of the standard to be taken to an online version of the standard or to the scheme holder's website.

Audit Providers

Global Food Safety Initiative (GFSI) Benchmarked Certifications

Further information on any of the GFSI Benchmarked Certifications can be found at:

<http://www.mygfsi.com>

Click on a certification below to find contact information for approved certification bodies:

- [BRC Food Standard; Guideline for Fresh Produce](#)
- [Canada GAP](#)
- [Food Safety System Certification 22000](#)
- [GlobalGAP Integrated Farm Assurance Standard](#)
- [International Food Standard](#)
- [PrimusGFS](#)
- [Safe Quality Food 1000 Level II or III, Safe Quality Food 2000 Level II or III](#)

**Level 2 -
Produce Supplier Food Safety Audit Requirements**

Field/Ranch and Packinghouse Audit Standard Requirements

Pack House or Storage Operations ^{1,3,4,5}

- [GFSI Global Markets Intermediate Level Assessment](#)* Must include BOTH the basic and intermediate level requirements
- [GlobalGAP Primary Farm Assurance Intermediary Level Assessment](#)* (PFA Checklist - Intermediary Level)
- [PrimusLabs.com Packinghouse Audit with HACCP](#)
- [PrimusLabs.com Cooling & Cold Storage Audit with HACCP](#)
- [Safe Quality Food 2000 Level I](#)
- [USDA Produce GAPs Harmonized Audit for Post-Harvest Operations with the Global Markets Addendum - Intermediate Level](#)

Field Level or Greenhouse ^{2,3,4,5}

- [GFSI Global Markets Intermediate Level Assessment](#)* Must include BOTH the basic and intermediate level requirements
- [GlobalGAP Primary Farm Assurance Intermediary Level Assessment](#)* (PFA Checklist - Intermediary Level)
- [PrimusLabs.com Ranch Audit](#)
- [PrimusLabs.com Greenhouse Audit](#)
- [Safe Quality Food 1000 Level I](#)
- [USDA Produce GAPs Harmonized Audit for Field Operations and Harvesting with the Global Markets Addendum - Intermediate Level](#)

1. Suppliers that have both field level or greenhouses **AND** pack houses or storage operations must complete an audit for each field, greenhouse, packinghouse, and storage operation.
2. Suppliers that field pack and do not have a packinghouse or cold storage facility only need to complete a field level or greenhouse audit for each field or greenhouse.
3. Audits must be conducted during harvest or while packinghouses or storage operations are operating.
4. Audits must be conducted annually **PRIOR** to the expiration of the current audit.
5. Only verified PrimusLabs audits will be accepted. We do NOT accept affiliated audits using PrimusLabs software.

* Please note that these audits will cover both your Packinghouse/Cold Storage facility as well as your Field/Greenhouse in one audit.

Please click on the name of the standard to be taken to an online version of the standard or to the scheme holder's website.

Audit Providers

Click on a certification below to find contact information for approved certification bodies:

- [GlobalGAP Primary Farm Assurance Intermediary Level Assessment](#)
- PrimusLabs.com [Packinghouse with HACCP](#), [Cooling & Cold Storage with HACCP](#), [Ranch](#), [Greenhouse](#)
- [Safe Quality Food 2000 Level I](#), [Safe Quality Food 1000 Level I](#)
- [USDA Produce GAPs Harmonized Audit for Field Operations and Harvesting with the Global Markets Addendum - Intermediate Level](#)

Note: The GFSI Global Markets Assessment may be conducted by any audit firm that is approved to conduct a GFSI benchmarked primary production certification. Please view the audit providers section of the [Level 1 - Produce Supplier Food Safety Audit Requirement](#) document to find an audit firm.

The USDA, Agricultural Marketing Service, Fruit and Vegetable Program, may also be contacted via email at fvaudits@ams.usda.gov or at 202.720.5870 to schedule an audit.

Level 3 - Produce Supplier Food Safety Audit Requirements

Field/Ranch and Packinghouse Audit Standard Requirements

Pack House or Storage Operations ^{1,3,4,5}

- [GFSI Global Markets Intermediate Level Assessment](#)* Must include BOTH the basic and intermediate level requirements
- [GlobalGAP Primary Farm Assurance Intermediary Level Assessment](#)* (PFA Checklist - Intermediary Level)
- [PrimusLabs.com Packinghouse Audit with HACCP](#)
- [PrimusLabs.com Cooling & Cold Storage Audit with HACCP](#)
- [USDA Produce GAPs Harmonized Audit for Post-Harvest Operations with the Global Markets Addendum - Intermediate Level](#)

Field Level or Greenhouse ^{2,3,4,5}

- [GFSI Global Markets Intermediate Level Assessment](#)* Must include BOTH the basic and intermediate level requirements
- [GlobalGAP Primary Farm Assurance Intermediary Level Assessment](#)* (PFA Checklist - Intermediary Level)
- [PrimusLabs.com Ranch Audit](#)
- [PrimusLabs.com Greenhouse Audit](#)
- [USDA Produce GAPs Harmonized Audit for Field Operations and Harvesting with the Global Markets Addendum - Intermediate Level](#)*

1. Suppliers that have both field level or greenhouses **AND** pack houses or storage operations must complete an audit for each field, greenhouse, packinghouse, and storage operation.
2. Suppliers that field pack and do not have a packinghouse or cold storage facility only need to complete a field level or greenhouse audit for each field or greenhouse.
3. Audits must be conducted during harvest or while packinghouses or storage operations are operating.
4. Audits must be conducted annually **PRIOR** to the expiration of the current audit.
5. Only verified PrimusLabs audits will be accepted. We do NOT accept affiliated audits using PrimusLabs software.

* Please note that these audits will cover both your Packinghouse/Cold Storage facility as well as your Field/Greenhouse in one audit.

Please click on the name of the standard to be taken to an online version of the standard or to the scheme holder's website.

Audit Providers

Click on a certification below to find contact information for approved certification bodies:

- [GlobalGAP Primary Farm Assurance Intermediary Level Assessment](#)
- PrimusLabs.com [Packinghouse with HACCP](#), [Cooling & Cold Storage with HACCP](#), [Ranch](#), [Greenhouse](#)
- [USDA Produce GAPs Harmonized Audit for Field Operations and Harvesting with the Global Markets Addendum - Intermediate Level](#)

Note: The GFSI Global Markets Assessment may be conducted by any audit firm that is approved to conduct a GFSI benchmarked primary production certification. Please view the audit providers section of the [Level 1 - Produce Supplier Food Safety Audit Requirement](#) document to find an audit firm.

The USDA, Agricultural Marketing Service, Fruit and Vegetable Program, may also be contacted via email at fvaudits@ams.usda.gov or at 202.720.5870 to schedule an audit.

**Level 4 -
Produce Supplier Food Safety Audit Requirements**

Field/Ranch and Packinghouse Audit Standard Requirements

Pack House or Storage Operations ^{1,3,4,5}

- [GFSI Global Markets Basic Level Assessment*](#)
- [GlobalGAP Primary Farm Assurance Foundation Level Assessment*](#) (PFA Checklist - Foundational Level)
- [PrimusLabs.com Packinghouse Audit without HACCP](#)
- [PrimusLabs.com Cooling & Cold Storage Audit](#)
- [USDA Produce GAPs Harmonized Audit for Post-Harvest Operations with the Global Markets Addendum - Basic Level*](#)

Field Level or Greenhouse ^{2,3,4,5}

- [GFSI Global Markets Basic Level Assessment*](#)
- [GlobalGAP Primary Farm Assurance Foundation Level Assessment*](#) (PFA Checklist - Foundational Level)
- [PrimusLabs.com Ranch Audit](#)
- [PrimusLabs.com Greenhouse Audit](#)
- [USDA Produce GAPs Harmonized Audit for Field Operations and Harvesting with the Global Markets Addendum - Basic Level*](#)

1. Suppliers that have both field level or greenhouses **AND** pack houses or storage operations must complete an audit for each field, greenhouse, packinghouse, and storage operation.
2. Suppliers that field pack and do not have a packinghouse or cold storage facility only need to complete a field level or greenhouse audit for each field or greenhouse.
3. Audits must be conducted during harvest or while packinghouses or storage operations are operating.
4. Audits must be conducted annually **PRIOR** to the expiration of the current audit.
5. Only verified PrimusLabs audits will be accepted. We do NOT accept affiliated audits using PrimusLabs software.

* Please note that these audits will cover both your Packinghouse/Cold Storage facility as well as your Field/Greenhouse in one audit.

Please click on the name of the standard to be taken to an online version of the standard or to the scheme holder's website.

Audit Providers

Click on a certification below to find contact information for approved certification bodies:

- [GlobalGAP Primary Farm Assurance Basic Level Assessment](#)
- PrimusLabs.com [Packinghouse without HACCP](#), [Cooling & Cold Storage](#), [Ranch](#), [Greenhouse](#)

Note: The GFSI Global Markets Assessment may be conducted by any audit firm that is approved to conduct a GFSI benchmarked primary production certification. Please view the audit providers section of the [Level 1 - Produce Supplier Food Safety Audit Requirement](#) document to find an audit firm.

The USDA, Agricultural Marketing Service, Fruit and Vegetable Program, may also be contacted via email at fvaudits@ams.usda.gov or at 202.720.5870 to schedule an audit.

High-Risk Produce Distributor Food Safety Audit Requirements

Distribution Center Audit Standard Requirements

- [BRC Storage & Distribution](#)
- [International Food Standard Logistics - Storage & Distribution](#)
- [PrimusGFS - Storage & Distribution Center](#)
- [Safe Quality Food 2000 Level I \(Food Sector Category 25\)](#)

OR

(Any GFSI Benchmarked Certification listed below)

- [BRC Food Standard: Guideline for Fresh Produce](#)
- [Food Safety System Certification 22000](#)
- [International Food Standard](#)
- [Safe Quality Food 2000 Level II or III](#)

Note: Audits must be conducted annually PRIOR to the expiration of the current audit

Please click on the name of the standard to be taken to an online version of the standard or to the scheme holder's website.

Providing Audit Documents to Walmart

If you have no previously provided us with a copy of your current food safety audit documentation, please send a copy of the complete audit report and corrective action report to us at:

Email: supaudit@wal-mart.com

OR

Fax: 479-273-1911

Low-Risk Produce Distributor Food Safety Audit Requirements

Distribution Center Audit Standard Requirements

- [ASI - Distribution & Warehouse Audit](#)
- [NSF Agriculture - Distribution Center Audit](#)
- [NSF Agriculture - Cooling Facility Food Safety & GMP Systems Audit](#)
- [PrimusLabs.com - Storage & Distribution Center Audit](#)
- [Silliker Labs - Distribution Center Audit](#)
- [SCS - Cold Storage & Distribution](#)
- [SGS - Distribution Center Audit](#)

Other 3rd party distribution audits from firms not listed above may be submitted for consideration

Note: Audits must be conducted annually PRIOR to the expiration of the current audit

Please click on the name of the standard to be taken to an online version of the standard or to the scheme holder's website.

Providing Audit Documents to Walmart

If you have not previously provided us with a copy of your current food safety audit documentation, please send a copy of the complete audit report and corrective action report to us at:

Email: supaudit@wal-mart.com

OR

Fax: 479.273.1911

Small Produce Distributor Food Safety Audit Requirements

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GFSI Global Markets Programme for Primary Production

Basic (B) Level Assessor Guidelines

A. Food Safety Related Elements

Basic Level Requirement Assessment
B.A.1 RECORD KEEPING
All relevant records of farming practices in relation to food safety shall be maintained
B.A.1.1 Are all required records up-to-date and kept for a minimum of 1 year or longer depending on national legislation? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Relevant records of farming practices in relation to food safety shall be kept for a minimum of 1 year depending on national legislation.(Exception: records from a minimum of one production period is acceptable for the first assessment) Records shall be up-to-date and accessible Records kept in electronic form shall be backed-up

Basic Level Requirement Assessment
B.A.2 TRACEABILITY
A traceability system shall be implemented to identify the produce at any stage of production/harvesting and distribution within the scope of activities
B.A.2.1 Are there records available to demonstrate the identification of the produce one step back and one step forward? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> A traceability system shall be implemented Records (e.g. invoices or similar supporting documents) shall be kept to trace one step back and one step forward in the supply chain. This includes tracing back to where seeds, agricultural chemicals, and fertilizers were acquired and to which customer/organization the produce was shipped to
B.A.2.2 Is the traceability system tested at least annually?
<ul style="list-style-type: none"> Records shall demonstrate that the traceability system is tested at least annually

Basic Level Requirement Assessment
B.A.3 CORRECTIVE ACTION
A documented corrective action procedure shall be implemented to record and analyze food safety related complaints and non-conformities, to prevent recurrence
B.A.3.1 Are food safety related complaints and non-conformities recorded?
<ul style="list-style-type: none"> Food safety related complaints and non-conformities shall be recorded and maintained
B.A.3.2 Is a documented Corrective Action procedure implemented to evaluate these complaints and investigate non-conformities to prevent recurrence?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> For the purpose of preventing recurrence, there shall be a documented corrective action procedure to evaluate food safety related complaints, and to investigate non-conformities. It shall include a plan to address the issue; a plan to prevent recurrence; and the demonstration of the evidence of effectiveness The time frame necessary for corrective action shall be documented Objective evidence shall demonstrate that the procedure is effective

Basic Level Requirement Assessment
B.A.4 SPECIFICATIONS
Products shall be in compliance with customers' food safety requirements, if provided
B.A.4.1 Is the producer aware of customers' food safety specifications and can the producer demonstrate compliance with these specifications?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> The producer shall be familiar with specifications concerning food safety (e.g. microbiological criteria, permitted chemical residues and limits) established by the buyer or, if exporting product, required by the country of destination. The producer has written copies of customer, country, and internal food safety specifications and is demonstrating compliance with these specifications

Basic Level Requirement Assessment
B.A.5 FOOD SAFETY INCIDENT MANAGEMENT
An effective food safety incident management procedure shall be implemented that covers incident reporting, product withdrawal, and recall procedure for the product
B.A.5.1 Is there a mechanism to address incident reporting, product withdrawal, and recall of products?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> A food safety incident management mechanism shall be in place. Relevant staff shall be aware of their obligations in case of an incident.

B. Food Safety of GAP

Basic Level Requirement Assessment
B.B.1 PERSONAL HYGIENE
Policies and procedures shall be implemented to ensure the effective implementation of employee and visitors hygiene practices
B.B.1.1 Is there a hygiene procedure that covers all activities taking place on the farm (farming, harvesting, handling and on-farm transportation, including produce packed and handled directly in the field, orchard or greenhouse)? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> The procedure shall have been reviewed in the last 12 months (or less if there have been changes in process)
<ul style="list-style-type: none"> The procedure shall have been compiled and reviewed by a competent person
<ul style="list-style-type: none"> The procedure shall reflect the actual production and crop handling processes on the farm
<ul style="list-style-type: none"> There shall be evidence that the procedure is actually implemented routinely
B.B.1.2 Has the farm documented health and hygiene policy and instructions in a form that is understood e.g. pictures and local language?
<ul style="list-style-type: none"> The farm shall have a documented health and hygiene policy and instructions. They shall be in a form that is easily understandable for workers (e.g. pictures and local language)
<ul style="list-style-type: none"> Hygiene instructions shall cover the processes such as farming, harvesting, pre-farm gate transportation and packing
<ul style="list-style-type: none"> The hygiene instructions shall specify the preventive measures required to avoid microbiological, chemical and physical contamination
B.B.1.3 Are all subcontractors and visitors aware of the relevant procedures on personal hygiene?
<ul style="list-style-type: none"> Personal hygiene information for subcontractors and visitors shall be available on the farm
<ul style="list-style-type: none"> Subcontractors and visitors shall be made aware of the relevant instructions on personal safety and hygiene
B.B.1.4 Are all persons working trained on the hygiene procedure? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Training records shall be available covering the Hygiene procedure requirements for all workers who are on farm
<ul style="list-style-type: none"> Training materials/contents shall be available covering the Hygiene procedure requirements, and which are in the pre-dominant language/s and/or with pictorial instructions if appropriate
B.B.1.5 Do workers have access to clean toilets and hand washing facilities in the vicinity of their work (including packing and harvesting)? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> All workers shall have access to clean toilets in the vicinity of their work
<ul style="list-style-type: none"> All workers shall have access to clean hand washing equipment in the vicinity of their work
B.B.1.6 Are first aid boxes readily available?
<ul style="list-style-type: none"> First aid kits shall be present at all permanent sites and in the vicinity of fieldwork

Basic Level Requirement Assessment
B.B.1 PERSONAL HYGIENE - continued
B.B.1.7 Are hygiene instructions and procedures for the handling of produce to avoid contamination, effectively implemented? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Hygiene procedures shall be implemented to prevent contamination according to B1.2 All chemical materials including cleaning agents and lubricants shall be stored and used to prevent contamination of produce Packing materials shall be clean and stored under clean hygienic conditions and be protected from contamination Personnel suffering from infectious disease, open wounds,...shall be encouraged to report this to management so that appropriate actions are taken to protect product safety including avoiding contact with product There shall be visual evidence that workers comply with the Hygiene procedure requirements when harvesting If there is no harvest activity on farm at the time of the assessment, workers shall be aware of the Hygiene Procedure and have knowledge of its requirements All workers shall be wearing outer garments that are appropriate for the tasks, and are not a source of contamination for the produce

Basic Level Requirement Assessment
B.B.2 SITE HISTORY AND SITE MANAGEMENT
A system shall be established to maintain the record of agricultural activities undertaken at each production unit and records shall be available to demonstrate that sites (on farm and adjacent sites) have been evaluated with regards to potential food safety hazards before planting
B.B.2.1 Are records available to demonstrate that sites have been evaluated with regard to potential food safety hazards before planting? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> There shall be historical records of plantings and fertilizer/chemical applications from the previous 12 months These records shall be reviewed to identify potential food safety hazards before planting
B.B.2.2 Is a system established to maintain the record of agricultural activities undertaken at each production unit? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> There shall be a description of the planned agronomic activities for each production unit/crop Records shall be kept for each production unit/crop There shall be a person responsible, accountable and trained to maintain the records in an accurate and timely manner The record keeper shall make journal entries as soon as practicable after completing agricultural activities. These records shall include the date and type of agricultural activities, machines or equipment used, persons responsible
B.B.2.3 Where food hazards have been identified, are there records to demonstrate that they have been effectively managed? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Workers shall be trained on what the food safety hazards are and how to manage them There shall be responsibilities assigned to maintain records on the food safety hazards and their management

Basic Level Requirement Assessment
B.B.3 ANIMAL CONTROL
The areas shall be properly managed and controls shall be implemented to minimize the risk of animal infestation (including rodents, insects, birds and other animals). There shall be no excessive animal activity that gives a potential food safety risk in the crop production area as well in the storing, sorting, handling and packing areas
B.B.3.1 Are areas used for storing, sorting, handling or packing of harvested produce protected from animal activity to minimize the risk? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • Areas used for storing, sorting, handling or packing shall be identified • These areas shall be protected from the ingress of animals where practical
B.B.3.2 Is there evidence that there is no excessive animal activity that gives a potential food safety risk in the crop production area? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be no visual evidence that there is excessive and avoidable animal activity • The producer shall demonstrate activities that minimize the impact of animal activity
B.B.3.3 Is there evidence that there is no repeated animal activity that gives a potential food safety risk in storing, sorting, handling and packing areas? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be no visual evidence that there is repeated and avoidable animal activity • The producer shall demonstrate activities that minimize the impact of animal activity
B.B.3.4 Are appropriate physical measures implemented to minimize the impact from animal activity in the field?
<ul style="list-style-type: none"> • Physical measures shall be implemented to minimize animal activity • Workers shall be informed about the measures in place to minimize animal activity • The producer shall be able to demonstrate the measures in place to minimize the impact of animal activity in the field
B.B.3.5 Are the farm and premises clear of litter and waste to avoid establishing a breeding ground for animals and diseases?
<ul style="list-style-type: none"> • There shall be visual evidence that the farm and premises are clear of litter and waste • The workers shall be aware of the hazards and know where to bring litter and waste • The producer shall be able to demonstrate the place(s) where litter and waste are collected

Basic Level Requirement Assessment
B.B.4 CLEANING AND DISINFECTION
The farm shall ensure appropriate procedures for cleaning and disinfection throughout all stages of production
B.B.4.1 Are documented cleaning and disinfection procedures implemented to ensure the cleanliness of the premises, including storage and produce handling areas, as well as equipment, utensils and vehicles? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be documented cleaning and disinfection procedures to ensure the cleanliness of the premises, including storage and produce handling areas, as well as equipment, utensils and vehicles • There is visual evidence that the procedures are implemented • The containers and tools used for harvesting shall be cleaned, maintained, protected from contamination, and not used for other means • The vehicles used for transport of harvested produce shall be cleaned and maintained
B.B.4.2 Are cleaning materials appropriate for equipment for their use (e.g. food grade if necessary) and stored separately to prevent contamination of fresh produce?
<ul style="list-style-type: none"> • Rules to store cleaning materials for equipment shall be in place • These rules shall cover the separate storage of cleaning materials to prevent the contamination of fresh produce

Basic Level Requirement Assessment
B.B.5 WATER USAGE
Water quality shall be suitable for its intended use
B.B.5.1 Is there evidence that untreated sewage water is not used for irrigation/fertigation or mixing of plant protection products? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be no visual evidence that untreated sewage water is used for irrigation/fertigation
B.B.5.2 Is all equipment used appropriate for irrigation, and does not pose any risk to food safety?
<ul style="list-style-type: none"> • The equipment used for irrigation shall not pose any contamination risk • The storage and use of the equipment used for irrigation shall not pose any contamination risk
B.B.5.3 Do records demonstrate that water used for final produce washing is potable? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • If water is not sourced from the municipal water supply, it shall be tested and the analysis documented showing that water meets local (or WHO if none available) potability requirements in terms of microbiological contamination
B.B.5.4 Do records demonstrate that water used for mixing plant protection products does not present a food safety risk? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • Water shall be sourced from a supply that does not present a food safety risk
B.B.5.5 Do records demonstrate that ice or water used in produce handling at or after point of harvest is potable? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • If water is not sourced from the municipal water supply, it shall be tested and the analysis documented showing that water meets potability requirements in terms of microbiological contamination • If it is municipal water source, the producer shall be able to demonstrate the average water quality of the municipality

Basic Level Requirement Assessment
B.B.6 PROPAGATION MATERIAL
Records shall demonstrate that propagation material does not present a food safety risk
B.B.6.1 Are records kept of plant protection product applications made during the plant propagation period either on in-house nursery propagation material, or on propagation material purchased from a third party?
<ul style="list-style-type: none"> Records shall be available of the use of ppp on propagation materials In the case of propagation materials sourced from a third party, records from the supplier shall be available

Basic Level Requirement Assessment
B.B.7 FERTILIZER USE
Records shall demonstrate that application of organic and inorganic fertilizers does not present a food safety risk and avoid contamination of fresh produce
B.B.7.1 Have all applications of fertilizers, both organic and inorganic, been recorded including field, orchard or greenhouse reference? Do these records include date of application, fertilizer types or trade name, quantity, operator details and method of application?
<ul style="list-style-type: none"> All applications of organic and inorganic fertilizers shall be recorded together with the name/reference of the cultivated field, orchard, or greenhouse Application date (day/month/year), trade name, composition (N, P, and K), application rate (weight or volume/ha), workers' name/s shall be recorded Recommendations for application of fertilizers (organic or inorganic) shall be given by competent, qualified persons
B.B.7.2 Are fertilizers stored separately from plant protection products?
<ul style="list-style-type: none"> Organic and inorganic fertilizers shall be stored separately from plant protection products in a manner that prevents cross contamination
B.B.7.3 Are inorganic and organic fertilizers stored in an appropriate manner and separately from harvested products, which reduces the risk of contamination of fresh produce and food contact equipment?
<i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> Inorganic and organic fertilizers shall be stored away from food contact equipment, and separated from harvested produce, in a manner that prevents cross-contamination.
B.B.7.4 Is there objective evidence that untreated human sewage is not in use?
<i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> Untreated human sewage shall not be used
B.B.7.5 Does the use of organic fertilizers not pose a food safety risk?
<i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> Organic fertilizers shall be incorporated into the soil prior to planting or bud burst for tree crops and not applied during the growing season. When not treated, the interval between application and harvesting shall be according to local regulations or, if not available, shall be 90 days for tree crops and 120 days for field crops. If appropriate treatment can be evidenced, no restrictions apply

Basic Level Requirement Assessment
B.B.8 PLANT PROTECTION
Plant protection products shall be used according to applicable regulations and without compromising food safety of the final produce
B.B.8.1 Do producers only use plant protection products that are registered and/or permitted in the country of use for the target crop, where such official registration schemes exist and are operational? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Where there is an existing and operational official registration scheme and/or approval process in the country of use, a list of permitted products for the target crop shall be available The person or persons responsible for planning and supervising crop protection applications shall be aware of, and have access to, the list of permitted products Records shall indicate that the plant protection products used are registered and/or permitted in the country of use
B.B.8.2 Do producers use only plant protection products that are registered and/or permitted in the country of destination, or for which there is a Maximum Residue Limit (MRL) for the country of destination (if destination country is known)? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Where there is there an existing and operational official registration scheme and/or an approval process in the country of destination, a list shall be available of permitted products and MRLs on the target crop The person or persons responsible for planning and supervising plant protection product applications shall be aware of, and have access to, a list of products that can be applied to the target crop in line with permitted products and MRLs in the country of destination Records shall indicate that plant protection products used are registered and/or permitted in the country of destination, or for which there is an MRL
B.B.8.3 Is the plant protection product applied appropriate for the target according to the label instructions or recommendations for use? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> The person or persons responsible for planning and supervising crop protection applications shall be aware of, and have access to, recommendations for Good Agricultural Practice (including recommended dose rate and pre-harvest interval) for the target crop in the country of use. Records shall indicate that the plant protection product is applied according to the label instructions (or recommendations for use in the country where the product is applied, if different)
B.B.8.4 Do records of plant protection product applications include crop type and/or variety, location, application date, dose rate and quantity applied, product trade name, active ingredient, applicators details and method of application? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Records of plant protection product applications shall be available and include: crop type and/or variety, location, application date, dose rate (a.i./ha), application rate (l/ha), product trade name, active ingredient and method of application

Basic Level Requirement Assessment
B.B.8 PLANT PROTECTION - continued
B.B.8.5 Do records of plant protection product applications include the pre-harvest interval and demonstrate that the recommended intervals are observed? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Records shall include the pre-harvest interval These records shall demonstrate that the recommended pre-harvest intervals are adhered to
B.B.8.6 Are plant protection products stored in a secure location and in their original packaging?
<ul style="list-style-type: none"> There shall be objective/visible evidence that plant protection products are stored in a secure location and in their original and fit for purpose packaging

Basic Level Requirement Assessment
B.B.9 HARVESTING
During harvesting, procedures shall be implemented to ensure compliance with food safety requirements. This shall cover the facility, equipment, containers, and packing material
B.B.9.1 Are the containers, equipment and the utensils used for harvesting cleaned, disinfected/sanitized, maintained and protected from contamination? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> There shall be visual evidence that the harvesting materials and relevant equipment are fit for use and clean Records shall be kept on the routine cleaning and disinfection/sanitization of the materials and equipment used during harvest The disinfectant used for sanitizing shall be adequate for the purpose and safe for food usage The items shall be adequately protected from contaminants when in use and when stored overnight
B.B.9.2 Are produce containers used exclusively for produce? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> There shall be visual evidence that produce containers on farm are not being used for other purposes Produce containers shall be clean with no signs of alternative usage
B.B.9.3 Is harvested produce protected from contamination?
<ul style="list-style-type: none"> There shall be no visual evidence of contamination from harvesting to dispatch from the farm If containers with harvested produce are placed on top of each other, there shall be no risk of soil contamination The harvested produce shall be covered wherever possible
B.B.9.4 When produce is field packed, are collection/storage/distribution points maintained in clean and hygienic conditions?
<ul style="list-style-type: none"> Areas of collection/storage/distribution points shall be identifiable on farm during harvesting There shall be visual evidence that these areas are kept clean Where there is temporary storage on farm, rodent and other animal control measures shall be present

Basic Level Requirement Assessment
B.B.9 HARVESTING - continued
B.B.9.5 When produce is field packed, is packing material protected against contamination? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Packing material shall be kept covered at all times
<ul style="list-style-type: none"> Packing material shall be removed from the field, orchard, greenhouse at night when not in use
<ul style="list-style-type: none"> Where packaging material is stored on farm, rodent and other animal control measures shall be in place

Basic Level Requirement Assessment
B.B.10 PRODUCE HANDLING
Effective food safety procedures shall be implemented to reduce the risk of product contamination that cover packing operations at both the field and pack-house level and cooling operations
B.B.10.1 Are there documented hygiene practices (e.g. signs, pictures) that cover post-harvest handling operations?
<ul style="list-style-type: none"> There shall be up to date hygiene practices covering physical, chemical and microbiological contamination
<ul style="list-style-type: none"> The personal hygiene practices shall be developed by a competent person
<ul style="list-style-type: none"> The personal hygiene requirements shall be regularly monitored for compliance by a competent person
B.B.10.2 Are workers trained on these hygiene practices?
<ul style="list-style-type: none"> There shall be evidence that workers have been trained in the topics covered by the hygiene practices (dates of training, list of participants - for comparison by the auditor with list of personnel employed in field and pack-house operations)
<ul style="list-style-type: none"> The training shall be adapted to the circumstances, using written material (in languages understood locally) or images
B.B.10.3 Do observations indicate that these hygiene practices are implemented? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> There shall be visual evidence that workers are implementing the hygiene practices
B.B.10.4 Are signs clearly displayed instructing workers to wash their hands before returning to work?
<ul style="list-style-type: none"> Signs shall be displayed in appropriate locations that are clearly visible to workers
<ul style="list-style-type: none"> The signs shall be in an appropriate form using images or languages that are understood locally
<ul style="list-style-type: none"> The signs shall indicate that workers should have clean hands, and that hands should be washed by all workers: 1) Upon entering food handling or processing areas 2) After each visit to the toilet 3) After using a handkerchief 4) After handling wash down hoses or contaminated materials 5) After smoking, eating or drinking
B.B.10.5 Are smoking, eating, chewing and drinking confined to designated areas segregated from products?
<ul style="list-style-type: none"> There shall be clearly designated areas for smoking, eating and drinking, that are segregated from produce handling areas
<ul style="list-style-type: none"> There shall be no visual evidence of smoking, eating, chewing or drinking in the produce handling areas

Basic Level Requirement Assessment
B.B.10 PRODUCE HANDLING - continued
<p>B.B.10.6 Do producers only use biocides, waxes and plant protection products that are registered and/or permitted in the country of use for the target crop where such official registration schemes exist and are operational?</p> <p><i>(Required element - Major deduction if missing)</i></p> <ul style="list-style-type: none"> In the country of use, if an official scheme exists for the registration of these substances, the biocides, waxes and plant protection products shall be registered or permitted for use on the harvested crop to which they are applied Documentation shall be available to demonstrate that only products registered in the country of use have been applied (e.g. application records for post-harvest products)
<p>B.B.10.7 Do producers only use biocides, waxes and plant protection products that are registered and/or permitted in the country of destination (if country of destination is known)?</p> <p><i>(Required element - Major deduction if missing)</i></p> <ul style="list-style-type: none"> A list shall be available of the biocides, waxes and plant protection products that are registered/permitted for post-harvest use in the final destination country (where the produce/harvested crop will be marketed, if known) The person or persons responsible for planning and supervising post-harvest applications shall be aware of, and have access to, a list of products that can be applied to the target crop in line with permitted products and MRLs in the country of use and in the destination country Documentation shall be available to demonstrate that only products registered/permitted in the destination country have been applied (e.g. application records for post-harvest products)
<p>B.B.10.8 Are the biocides, waxes and plant protection products applied appropriate for the target according to the label instructions/recommendations for use?</p> <p><i>(Required element - Major deduction if missing)</i></p> <ul style="list-style-type: none"> Records of post-harvest treatments of biocides, waxes and plant protection products shall indicate the intended target crop and/or pests The applications shall be appropriate for these targets, as indicated on the product label/recommendations for use
<p>B.B.10.9 Are all label instructions/recommendations for use for post-harvest treatments observed?</p> <p><i>(Required element - Major deduction if missing)</i></p> <ul style="list-style-type: none"> Label instructions/recommendations for use shall be available in a language that is understood locally, and by the person responsible for planning and supervising the application Documentation shall be available to demonstrate that label instructions/recommendations for use have been observed (e.g. application records for post-harvest products)
<p>B.B.10.10 Do records of post-harvest biocides, waxes and plant protection product applications include the identity of the harvested crop (i.e. Lot or batch number), location, application dates, the type of treatment, the product trade name and the quantity applied/dose rate?</p> <p><i>(Required element - Major deduction if missing)</i></p> <ul style="list-style-type: none"> These records shall be available, up to date, and covering the items listed These records shall be made as soon as is practicable and by the person who is technically responsible for the application

C. Food Safety Hazards

Basic Level Requirement Assessment
B.C.1 CONTROL OF FOOD SAFETY HAZARDS
Measures shall be implemented to mitigate food safety hazards
B.C.1.1 Has the producer identified and listed the specific food safety hazards associated with the produce being produced/supplied? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> • There shall be a list available of the specific food safety hazards identified by the producer • These hazards shall be specific to the product being supplied • This list shall be complete
B.C.1.2 Is the producer implementing appropriate control measures to mitigate these identified hazards? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> • The producer shall have identified control measures to mitigate the identified hazards • These control measures shall be implemented • There shall be evidence that the implementation is effective

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22/24 rue du Gouverneur Général Eboué
92130 Issy-les-Moulineaux
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GFSI Global Markets Programme for Primary Production

Basic (B) and Intermediate (I) Level Assessor Guidelines

A. Food Safety Related Elements

Basic Level Requirement Assessment
B.A.1 RECORD KEEPING
All relevant records of farming practices in relation to food safety shall be maintained
B.A.1.1 Are all required records up-to-date and kept for a minimum of 1 year or longer depending on national legislation?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> Relevant records of farming practices in relation to food safety shall be kept for a minimum of 1 year depending on national legislation.(Exception: records from a minimum of one production period is acceptable for the first assessment) Records shall be up-to-date and accessible Records kept in electronic form shall be backed-up

Basic Level Requirement Assessment
B.A.2 TRACEABILITY
A traceability system shall be implemented to identify the produce at any stage of production/harvesting and distribution within the scope of activities
B.A.2.1 Are there records available to demonstrate the identification of the produce one step back and one step forward?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> A traceability system shall be implemented Records (e.g. invoices or similar supporting documents) shall be kept to trace one step back and one step forward in the supply chain. This includes tracing back to where seeds, agricultural chemicals, and fertilizers were acquired and to which customer/organization the produce was shipped to
B.A.2.2 Is the traceability system tested at least annually?
<ul style="list-style-type: none"> Records shall demonstrate that the traceability system is tested at least annually

Basic Level Requirement Assessment
B.A.3 CORRECTIVE ACTION
A documented corrective action procedure shall be implemented to record and analyze food safety related complaints and non-conformities, to prevent recurrence
B.A.3.1 Are food safety related complaints and non-conformities recorded?
<ul style="list-style-type: none"> Food safety related complaints and non-conformities shall be recorded and maintained
B.A.3.2 Is a documented Corrective Action procedure implemented to evaluate these complaints and investigate non-conformities to prevent recurrence?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> For the purpose of preventing recurrence, there shall be a documented corrective action procedure to evaluate food safety related complaints, and to investigate non-conformities. It shall include a plan to address the issue; a plan to prevent recurrence; and the demonstration of the evidence of effectiveness The time frame necessary for corrective action shall be documented Objective evidence shall demonstrate that the procedure is effective

Basic Level Requirement Assessment
B.A.4 SPECIFICATIONS
Products shall be in compliance with customers' food safety requirements, if provided
B.A.4.1 Is the producer aware of customers' food safety specifications and can the producer demonstrate compliance with these specifications?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> The producer shall be familiar with specifications concerning food safety (e.g. microbiological criteria, permitted chemical residues and limits) established by the buyer or, if exporting product, required by the country of destination. The producer has written copies of customer, country, and internal food safety specifications and is demonstrating compliance with these specifications

Basic Level Requirement Assessment
B.A.5 FOOD SAFETY INCIDENT MANAGEMENT
An effective food safety incident management procedure shall be implemented that covers incident reporting, product withdrawal, and recall procedure for the product
B.A.5.1 Is there a mechanism to address incident reporting, product withdrawal, and recall of products?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> A food safety incident management mechanism shall be in place. Relevant staff shall be aware of their obligations in case of an incident.

Intermediate Level Requirement Assessment
I.A.5 FOOD SAFETY INCIDENT MANAGEMENT
An effective incident management procedure shall be implemented that covers incident reporting, product withdrawal and recall procedure for the product
I.A.5.1 Are all food safety incidents recorded and assessed to establish their severity and consumer risk and followed-up accordingly? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Incidents which could lead to unsafe or non-conforming product are recorded and assessed in a timely manner to establish their severity and consumer risk. Corrective actions are taken and documented.
I.A.5.2 Is the incident management procedure reviewed, tested and verified at least once a year?
<ul style="list-style-type: none"> An annual review is conducted of the overall incident management procedure, including a review of records and corrective actions related to any food safety incidents that occurred. If there has been no food safety incident in the previous year, a mock incident management exercise has been conducted by the firm to test the existing system. Any identified deficiencies in the incident management system have been corrected.

Intermediate Level Requirement Assessment
I.A.6 PURCHASING
There shall be a purchasing procedure in place to control all externally sourced materials and services which have an impact on food safety
I.A.6.1 Is there a procedure in place for the approval of suppliers by the organization?
<ul style="list-style-type: none"> An in-house documented approval supplier process covering the food safety related aspects is in place for purchases of all agricultural inputs, chemicals, packaging and food safety related services.
I.A.6.2 Is purchasing covering materials, services and outsourced processes conducted only from approved suppliers?
<ul style="list-style-type: none"> The organization identifies, documents, and monitors outsourced processes related to food safety.

Intermediate Level Requirement Assessment
I.A.7 SELF-ASSESSMENT
At least an annual self-assessment/internal inspection shall be performed during the production period to ensure continuous compliance with relevant safety and legislative requirements
I.A.7.1 Does the producer undertake at a minimum one annual documented self-assessment during the production period?
<ul style="list-style-type: none"> A documented internal self-assessment against the basic and intermediate level requirements has been completed by the producer within the preceding year.
I.A.7.2 Are corrective actions taken and recorded as a result of non-conformances detected during the self-assessment? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Corrective Actions have been completed and documented for any non-conformances noted during the most recent self-assessment referenced under Section I. A 7.1.

B. Food Safety of GAP

Basic Level Requirement Assessment
B.B.1 PERSONAL HYGIENE
Policies and procedures shall be implemented to ensure the effective implementation of employee and visitors hygiene practices
B.B.1.1 Is there a hygiene procedure that covers all activities taking place on the farm (farming, harvesting, handling and on-farm transportation, including produce packed and handled directly in the field, orchard or greenhouse)? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> The procedure shall have been reviewed in the last 12 months (or less if there have been changes in process)
<ul style="list-style-type: none"> The procedure shall have been compiled and reviewed by a competent person
<ul style="list-style-type: none"> The procedure shall reflect the actual production and crop handling processes on the farm
<ul style="list-style-type: none"> There shall be evidence that the procedure is actually implemented routinely
B.B.1.2 Has the farm documented health and hygiene policy and instructions in a form that is understood e.g. pictures and local language?
<ul style="list-style-type: none"> The farm shall have a documented health and hygiene policy and instructions. They shall be in a form that is easily understandable for workers (e.g. pictures and local language)
<ul style="list-style-type: none"> Hygiene instructions shall cover the processes such as farming, harvesting, pre-farm gate transportation and packing
<ul style="list-style-type: none"> The hygiene instructions shall specify the preventive measures required to avoid microbiological, chemical and physical contamination
B.B.1.3 Are all subcontractors and visitors aware of the relevant procedures on personal hygiene?
<ul style="list-style-type: none"> Personal hygiene information for subcontractors and visitors shall be available on the farm
<ul style="list-style-type: none"> Subcontractors and visitors shall be made aware of the relevant instructions on personal safety and hygiene
B.B.1.4 Are all persons working trained on the hygiene procedure? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> Training records shall be available covering the Hygiene procedure requirements for all workers who are on farm
<ul style="list-style-type: none"> Training materials/contents shall be available covering the Hygiene procedure requirements, and which are in the pre-dominant language/s and/or with pictorial instructions if appropriate
B.B.1.5 Do workers have access to clean toilets and hand washing facilities in the vicinity of their work (including packing and harvesting)? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> All workers shall have access to clean toilets in the vicinity of their work
<ul style="list-style-type: none"> All workers shall have access to clean hand washing equipment in the vicinity of their work
B.B.1.6 Are first aid boxes readily available?
<ul style="list-style-type: none"> First aid kits shall be present at all permanent sites and in the vicinity of fieldwork

Basic Level Requirement Assessment
B.B.1 PERSONAL HYGIENE - continued
B.B.1.7 Are hygiene instructions and procedures for the handling of produce to avoid contamination, effectively implemented? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> Hygiene procedures shall be implemented to prevent contamination according to B1.2 All chemical materials including cleaning agents and lubricants shall be stored and used to prevent contamination of produce Packing materials shall be clean and stored under clean hygienic conditions and be protected from contamination Personnel suffering from infectious disease, open wounds,...shall be encouraged to report this to management so that appropriate actions are taken to protect product safety including avoiding contact with product There shall be visual evidence that workers comply with the Hygiene procedure requirements when harvesting If there is no harvest activity on farm at the time of the assessment, workers shall be aware of the Hygiene Procedure and have knowledge of its requirements All workers shall be wearing outer garments that are appropriate for the tasks, and are not a source of contamination for the produce

Basic Level Requirement Assessment
B.B.2 SITE HISTORY AND SITE MANAGEMENT
A system shall be established to maintain the record of agricultural activities undertaken at each production unit and records shall be available to demonstrate that sites (on farm and adjacent sites) have been evaluated with regards to potential food safety hazards before planting
B.B.2.1 Are records available to demonstrate that sites have been evaluated with regard to potential food safety hazards before planting? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> There shall be historical records of plantings and fertilizer/chemical applications from the previous 12 months These records shall be reviewed to identify potential food safety hazards before planting
B.B.2.2 Is a system established to maintain the record of agricultural activities undertaken at each production unit? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> There shall be a description of the planned agronomic activities for each production unit/crop Records shall be kept for each production unit/crop There shall be a person responsible, accountable and trained to maintain the records in an accurate and timely manner The record keeper shall make journal entries as soon as practicable after completing agricultural activities. These records shall include the date and type of agricultural activities, machines or equipment used, persons responsible
B.B.2.3 Where food hazards have been identified, are there records to demonstrate that they have been effectively managed? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> Workers shall be trained on what the food safety hazards are and how to manage them There shall be responsibilities assigned to maintain records on the food safety hazards and their management

Basic Level Requirement Assessment
B.B.3 ANIMAL CONTROL
The areas shall be properly managed and controls shall be implemented to minimize the risk of animal infestation (including rodents, insects, birds and other animals). There shall be no excessive animal activity that gives a potential food safety risk in the crop production area as well in the storing, sorting, handling and packing areas
B.B.3.1 Are areas used for storing, sorting, handling or packing produce protected from animal activity to minimize the risk? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • Areas used for storing, sorting, handling or packing shall be identified • These areas shall be protected from the ingress of animals where practical
B.B.3.2 Is there evidence that there is no repeated animal activity that gives a potential food safety risk in the crop production area? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be no visual evidence that there is repeated and avoidable animal activity • The producer shall demonstrate activities that minimize the impact of animal activity
B.B.3.3 Is there evidence that there is no excessive animal activity that gives a potential food safety risk in storing, sorting, handling and packing areas? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be no visual evidence that there is excessive and avoidable animal activity • The producer shall demonstrate activities that minimize the impact of animal activity
B.B.3.4 Are appropriate physical measures implemented to minimize the impact from animal activity in the field?
<ul style="list-style-type: none"> • Physical measures shall be implemented to minimize animal activity • Workers shall be informed about the measures in place to minimize animal activity • The producer shall be able to demonstrate the measures in place to minimize the impact of animal activity in the field
B.B.3.5 Are the farm and premises clear of litter and waste to avoid establishing a breeding ground for animals and diseases?
<ul style="list-style-type: none"> • There shall be visual evidence that the farm and premises are clear of litter and waste • The workers shall be aware of the hazards and know where to bring litter and waste • The producer shall be able to demonstrate the place(s) where litter and waste are collected

Intermediate Level Requirement Assessment

I.B. ANIMAL CONTROL

The buildings shall be properly managed and controls shall be implemented to minimize the risk of animal infestation (including rodents, insects, birds and other animals). There shall be no excessive animal activity that gives a potential food safety risk in the crop production area as well in the storing, sorting, handling and packing areas

I.B.1 Are maps and detailed records kept of animal control inspections, and any necessary actions taken?

- Records of inspections and maps of animal control devices (where applicable) shall be available. Records shall include date of inspection, name of inspector, animals found and a trend analysis (conducted at least annually) where appropriate and actions taken, justifying the choice of pesticide or physical activity recommended.

Basic Level Requirement Assessment

B.B.4 CLEANING AND DISINFECTION

The farm shall ensure appropriate procedures for cleaning and disinfection throughout all stages of production

B.B.4.1 Are documented cleaning and disinfection procedures implemented to ensure the cleanliness of the premises, including storage and produce handling areas, as well as equipment, utensils and vehicles?

(Required element - Major deduction if missing)

- There shall be documented cleaning and disinfection procedures to ensure the cleanliness of the premises, including storage and produce handling areas, as well as equipment, utensils and vehicles
- There is visual evidence that the procedures are implemented
- The containers and tools used for harvesting shall be cleaned, maintained, protected from contamination, and not used for other means
- The vehicles used for transport of harvested produce shall be cleaned and maintained

B.B.4.2 Are cleaning materials appropriate for equipment for their use (e.g. food grade if necessary) and stored separately to prevent contamination of fresh produce?

- Rules to store cleaning materials for equipment shall be in place
- These rules shall cover the separate storage of cleaning materials to prevent the contamination of fresh produce

Basic Level Requirement Assessment
B.B.5 WATER USAGE
Water quality shall be suitable for its intended use
B.B.5.1 Is there evidence that untreated sewage water is not used for irrigation/fertigation or mixing of plant protection products? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> There shall be no visual evidence that untreated sewage water is used for irrigation/fertigation
B.B.5.2 Is all equipment used appropriate for irrigation, and does not pose any risk to food safety?
<ul style="list-style-type: none"> The equipment used for irrigation shall not pose any contamination risk The storage and use of the equipment used for irrigation shall not pose any contamination risk
B.B.5.3 Do records demonstrate that water used for final produce washing is potable? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> If water is not sourced from the municipal water supply, it shall be tested and the analysis documented showing that water meets local (or WHO if none available) potability requirements in terms of microbiological contamination
B.B.5.4 Do records demonstrate that water used for mixing plant protection products does not present a food safety risk? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Water shall be sourced from a supply that does not present a food safety risk
B.B.5.5 Do records demonstrate that ice or water used in produce handling at or after point of harvest is potable? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> If water is not sourced from the municipal water supply, it shall be tested and the analysis documented showing that water meets potability requirements in terms of microbiological contamination If it is municipal water source, the producer shall be able to demonstrate the average water quality of the municipality

Intermediate Level Requirement Assessment
I.B.5 WATER USAGE including produce handling
Water quality shall be suitable for its intended use
I.B.5.1 Are procedures in place to prevent the contamination of the utilized water? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • Where applicable, physical barriers such as bunds, levees, well covers, and buffer zones shall be utilized to prevent contamination of the water source. • Where appropriate, primary water sources should be fenced.
I.B.5.2 Has an annual risk assessment been completed for water usage? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • Risk assessment shall include water sources (primary and alternate source(s) - i.e. underground, lake or river), crops, irrigation methods and all potential sources of contamination.
I.B.5.3 Is water analyzed at a frequency in line with the results of the risk assessment?
<ul style="list-style-type: none"> • Analysis shall be conducted at least once per year or more frequently based on the conclusions of the risk assessment. • Analysis results shall be available for review.
I.B.5.4 Is the laboratory carrying out the water analysis a suitable one?
<ul style="list-style-type: none"> • Laboratory shall be accredited to ISO 17025 or any other applicable government approval for the methods used for the water testing

Basic Level Requirement Assessment
B.B.6 PROPAGATION MATERIAL
Records shall demonstrate that propagation material does not present a food safety risk
B.B.6.1 Are records kept of plant protection product applications made during the plant propagation period either on in-house nursery propagation material, or on propagation material purchased from a third party?
<ul style="list-style-type: none"> • Records shall be available of the use of ppp on propagation materials • In the case of propagation materials sourced from a third party, records from the supplier shall be available

Intermediate Level Assessment

Basic Level Requirement Assessment
B.B.7 FERTILIZER USE
Records shall demonstrate that application of organic and inorganic fertilizers does not present a food safety risk and avoid contamination of fresh produce
B.B.7.1 Have all applications of fertilizers, both organic and inorganic, been recorded including field, orchard or greenhouse reference? Do these records include date of application, fertilizer types or trade name, quantity, operator details and method of application?
<ul style="list-style-type: none"> All applications of organic and inorganic fertilizers shall be recorded together with the name/reference of the cultivated field, orchard, or greenhouse Application date (day/month/year), trade name, composition (N, P, and K), application rate (weight or volume/ha), workers' name/s shall be recorded Recommendations for application of fertilizers (organic or inorganic) shall be given by competent, qualified persons
B.B.7.2 Are fertilizers stored separately from plant protection products?
<ul style="list-style-type: none"> Organic and inorganic fertilizers shall be stored separately from plant protection products in a manner that prevents cross contamination
B.B.7.3 Are inorganic and organic fertilizers stored in an appropriate manner and separately from harvested products, which reduces the risk of contamination of fresh produce and food contact equipment?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> Inorganic and organic fertilizers shall be stored away from food contact equipment, and separated from harvested produce, in a manner that prevents cross-contamination.
B.B.7.4 Is there objective evidence that untreated human sewage is not in use?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> Untreated human sewage shall not be used
B.B.7.5 Does the use of organic fertilizers not pose a food safety risk?
(Required element - Major deduction if missing)
<ul style="list-style-type: none"> Organic fertilizers shall be incorporated into the soil prior to planting or bud burst for tree crops and not applied during the growing season. When not treated, the interval between application and harvesting shall be according to local regulations or, if not available, shall be 90 days for tree crops and 120 days for field crops. If appropriate treatment can be evidenced, no restrictions apply

Intermediate Level Requirement Assessment
I.B.7 FERTILIZER USE
Records shall demonstrate that application of organic and inorganic fertilizers does not present a food safety risk and avoid contamination of fresh produce
I.B.7.1 Has a risk assessment been carried out for organic fertilizer which considers its source and characteristics, before application? <i>(Required element - Major deduction if missing)</i>
<ul style="list-style-type: none"> The risk assessment shall be conducted for all sources of organic fertilizer. Certificates of analysis shall be obtained from the manufacturer for commercially supplied organic fertilizers. Locally produced organic manures shall be assessed for adequate composting based on industry recognized procedures before use.
I.B.7.2 Is fertilizer application machinery kept in good condition and verified annually to ensure accurate fertilizer application?
<ul style="list-style-type: none"> The fertilizer application machinery shall be inspected for cleanliness, lubrication and shall not include heavily corroded or worn parts that could affect accuracy. Verifications (to be conducted at least annually) shall be documented.
I.B.7.3 Is application equipment regularly checked and calibrated?
<ul style="list-style-type: none"> The equipment shall be checked for application rate accuracy at least once a growing season. Checks and calibrations shall be documented.
I.B.7.4 Do records (e.g. microbiological, type of process) demonstrate that application of compost/manure/fertilizers does not present a food safety risk?
<ul style="list-style-type: none"> Records of composting indicate that use of compost/manure/fertilizers does not create a risk of microbiological contamination (e.g. letter of guarantee, test results, time between application and harvesting).

Intermediate Level Assessment

Basic Level Requirement Assessment
B.B.8 PLANT PROTECTION
Plant protection products shall be used according to applicable regulations and without compromising food safety of the final produce
B.B.8.1 Do producers only use plant protection products that are registered and/or permitted in the country of use for the target crop, where such official registration schemes exist and are operational? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Where there is an existing and operational official registration scheme and/or approval process in the country of use, a list of permitted products for the target crop shall be available The person or persons responsible for planning and supervising crop protection applications shall be aware of, and have access to, the list of permitted products Records shall indicate that the plant protection products used are registered and/or permitted in the country of use
B.B.8.2 Do producers use only plant protection products that are registered and/or permitted in the country of destination, or for which there is a Maximum Residue Limit (MRL) for the country of destination (if destination country is known)? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Where there is there an existing and operational official registration scheme and/or an approval process in the country of destination, a list shall be available of permitted products and MRLs on the target crop The person or persons responsible for planning and supervising plant protection product applications shall be aware of, and have access to, a list of products that can be applied to the target crop in line with permitted products and MRLs in the country of destination Records shall indicate that plant protection products used are registered and/or permitted in the country of destination, or for which there is an MRL
B.B.8.3 Is the plant protection product applied appropriate for the target according to the label instructions or recommendations for use? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> The person or persons responsible for planning and supervising crop protection applications shall be aware of, and have access to, recommendations for Good Agricultural Practice (including recommended dose rate and pre-harvest interval) for the target crop in the country of use. Records shall indicate that the plant protection product is applied according to the label instructions (or recommendations for use in the country where the product is applied, if different)
B.B.8.4 Do records of plant protection product applications include crop type and/or variety, location, application date, dose rate and quantity applied, product trade name, active ingredient, applicator details and method of application? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Records of plant protection product applications shall be available and include: crop type and/or variety, location, application date, dose rate (a.i./ha), application rate (l/ha), product trade name, active ingredient and method of application
B.B.8.5 Do records of plant protection product applications include the pre-harvest interval and demonstrate that the recommended intervals are observed? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Records shall include the pre-harvest interval These records shall demonstrate that the recommended pre-harvest intervals are adhered to
B.B.8.6 Are plant protection products stored in a secure location and in their original packaging?
<ul style="list-style-type: none"> There shall be objective/visible evidence that plant protection products are stored in a secure location and in their original and fit for purpose packaging

Intermediate Level Requirement Assessment
I.B.8 PLANT PROTECTION PRODUCTS
Plant protection products shall be used according to applicable regulations and without compromising food safety of the final produce
I.B.8.1 Is there a documented crop protection plan available?
<ul style="list-style-type: none"> A crop protection plan indicating the applications used for a target pest or disease that initiate applications shall be available.
I.B.8.2 Is a current list kept of plant protection products that are used and approved for use on crops being grown? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> A list is available for the commercial brand names of plant protection products (including their active ingredient composition or beneficial organisms) that are authorized on crops being grown within the scope of the audit for the last 12 months.
I.B.8.3 Have all the plant protection product applications been recorded including target organism and justification for application?
<ul style="list-style-type: none"> The name of the pest(s), disease(s) and/or weed(s) treated and justification for application is documented in all plant protection product application records.
I.B.8.4 Have all the plant protection product applications been recorded including the technical authorization for application?
<ul style="list-style-type: none"> The technically responsible person making the decision of the use and the doses of the plant protection product(s) being applied has been identified in the records.
I.B.8.5 Have all the plant protection product applications been recorded including the application machinery used?
<ul style="list-style-type: none"> The application machinery type (e.g. knapsack, dusting, fogger, aerial, etc.), for all the plant protection products applied are detailed in all plant protection product application records. If there are various units, these are individually identified.
I.B.8.6 Is plant protection product application machinery kept in good condition and verified annually to ensure accurate application?
<ul style="list-style-type: none"> The plant protection product application machinery has been verified for correct operation within the last 12 months and this is certified or documented either by participation in an official scheme (where it exists) or by having been carried out by appropriately trained and/or licensed (where required) personnel.
I.B.8.7 Is the responsible person able to calculate and prepare the required application mix? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> The responsible person must be able to calculate and prepare the required application mix according to the label instructions and to prevent over or under application. A review of the mix records should be conducted to verify.
I.B.8.8 Are surplus application mix or tank washings disposed of according to national or local law or in their absence in a manner that avoids the contamination of the crop? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> Applying surplus spray and tank washings to the crop is a first priority under the condition that the overall label dose rate is not exceeded. Surplus mix or tank washings are disposed of in a manner that does not compromise food safety. Records of disposal must be kept.

Intermediate Level Requirement Assessment

I.B.8 PLANT PROTECTION PRODUCTS - continued

I.B.8.9 Is current evidence of annual (or more frequent) residue testing or of participation in a third party plant protection product residue monitoring system that covers the plant protection products applied to the crop/product available?

- Current documented evidence or records are available either of annual plant protection product residue analysis results or of participation in a third party plant protection product residue monitoring system which is traceable to the farm.

I.B.8.10 Are plant protection products that are approved for use on the crops grown in the crop rotation stored separately within the plant protection product store from those plant protection products used for other purposes?

- Only the plant protection products currently in the approved plant protection products list are kept in the storage area.
- Plant protection products used for purposes other than application on crops within the rotation for the last 12 months are clearly identified and stored separately within the plant protection products storage area.

Basic Level Requirement Assessment
B.B.9 HARVESTING
During harvesting, procedures shall be implemented to ensure compliance with food safety requirements. This shall cover the facility, equipment, containers, and packing material
B.B.9.1 Are the containers, equipment and the utensils used for harvesting cleaned, disinfected/sanitized, maintained and protected from contamination? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be visual evidence that the harvesting materials and relevant equipment are fit for use and clean
<ul style="list-style-type: none"> • Records shall be kept on the routine cleaning and disinfection/sanitization of the materials and equipment used during harvest
<ul style="list-style-type: none"> • The disinfectant used for sanitizing shall be adequate for the purpose and safe for food usage
<ul style="list-style-type: none"> • The items shall be adequately protected from contaminants when in use and when stored overnight
B.B.9.2 Are produce containers used exclusively for produce? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be visual evidence that produce containers on farm are not being used for other purposes
<ul style="list-style-type: none"> • Produce containers shall be clean with no signs of alternative usage
B.B.9.3 Is harvested produce protected from contamination?
<ul style="list-style-type: none"> • There shall be no visual evidence of contamination from harvesting to dispatch from the farm
<ul style="list-style-type: none"> • If containers with harvested produce are placed on top of each other, there shall be no risk of soil contamination
<ul style="list-style-type: none"> • The harvested produce shall be covered wherever possible
B.B.9.4 When produce is field packed, are collection/storage/distribution points maintained in clean and hygienic conditions?
<ul style="list-style-type: none"> • Areas of collection/storage/distribution points shall be identifiable on farm during harvesting
<ul style="list-style-type: none"> • There shall be visual evidence that these areas are kept clean
<ul style="list-style-type: none"> • Where there is temporary storage on farm, rodent and other animal control measures shall be present
B.B.9.5 When produce is field packed, is packing material protected against contamination? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • Packing material shall be kept covered at all times
<ul style="list-style-type: none"> • Packing material shall be removed from the field, orchard, greenhouse at night when not in use
<ul style="list-style-type: none"> • Where packaging material is stored on farm, rodent and other animal control measures shall be in place

Basic Level Requirement Assessment
B.B.10 PRODUCE HANDLING
Effective food safety procedures shall be implemented to reduce the risk of product contamination that cover packing operations at both the field and pack-house level and cooling operations
B.B.10.1 Are there documented hygiene practices (e.g. signs, pictures) that cover post-harvest handling operations?
<ul style="list-style-type: none"> • There shall be up to date hygiene practices covering physical, chemical and microbiological contamination • The personal hygiene practices shall be developed by a competent person • The personal hygiene requirements shall be regularly monitored for compliance by a competent person
B.B.10.2 Are workers trained on these hygiene practices?
<ul style="list-style-type: none"> • There shall be evidence that workers have been trained in the topics covered by the hygiene practices (dates of training, list of participants - for comparison by the auditor with list of personnel employed in field and pack-house operations) • The training shall be adapted to the circumstances, using written material (in languages understood locally) or images
B.B.10.3 Do observations indicate that these hygiene practices are implemented? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be visual evidence that workers are implementing the hygiene practices
B.B.10.4 Are signs clearly displayed instructing workers to wash their hands before returning to work?
<ul style="list-style-type: none"> • Signs shall be displayed in appropriate locations that are clearly visible to workers • The signs shall be in an appropriate form using images or languages that are understood locally • The signs shall indicate that workers should have clean hands, and that hands should be washed by all workers: 1) Upon entering food handling or processing areas 2) After each visit to the toilet 3) After using a handkerchief 4) After handling wash down hoses or contaminated materials 5) After smoking, eating or drinking
B.B.10.5 Are smoking, eating, chewing and drinking confined to designated areas segregated from products?
<ul style="list-style-type: none"> • There shall be clearly designated areas for smoking, eating and drinking, that are segregated from produce handling areas • There shall be no visual evidence of smoking, eating, chewing or drinking in the produce handling areas
B.B.10.6 Do producers only use biocides, waxes and plant protection products that are registered and/or permitted in the country of use for the target crop where such official registration schemes exist and are operational? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • In the country of use, if an official scheme exists for the registration of these substances, the biocides, waxes and plant protection products shall be registered or permitted for use on the harvested crop to which they are applied • Documentation shall be available to demonstrate that only products registered in the country of use have been applied (e.g. application records for post-harvest products)

Basic Level Requirement Assessment
B.B.10 PRODUCE HANDLING -continued
<p>B.B.10.7 Do producers only use biocides, waxes and plant protection products that are registered and/or permitted in the country of destination (if country of destination is known)? (Required element - Major deduction if missing)</p>
<ul style="list-style-type: none"> • A list shall be available of the biocides, waxes and plant protection products that are registered/permitted for post-harvest use in the final destination country (where the produce/harvested crop will be marketed, if known)
<ul style="list-style-type: none"> • The person or persons responsible for planning and supervising post-harvest applications shall be aware of, and have access to, a list of products that can be applied to the target crop in line with permitted products and MRLs in the country of use and in the destination country
<ul style="list-style-type: none"> • Documentation shall be available to demonstrate that only products registered/permitted in the destination country have been applied (e.g. application records for post-harvest products)
<p>B.B.10.8 Are the biocides, waxes and plant protection products applied appropriate for the target according to the label instructions/recommendations for use? (Required element - Major deduction if missing)</p>
<ul style="list-style-type: none"> • Records of post-harvest treatments of biocides, waxes and plant protection products shall indicate the intended target crop and/or pests
<ul style="list-style-type: none"> • The applications shall be appropriate for these targets, as indicated on the product label/recommendations for use
<p>B.B.10.9 Are all label instructions/recommendations for use for post-harvest treatments observed? (Required element - Major deduction if missing)</p>
<ul style="list-style-type: none"> • Label instructions/recommendations for use shall be available in a language that is understood locally, and by the person responsible for planning and supervising the application
<ul style="list-style-type: none"> • Documentation shall be available to demonstrate that label instructions/recommendations for use have been observed (e.g. application records for post-harvest products)
<p>B.B.10.10 Do records of post-harvest biocides, waxes and plant protection product applications include the identity of the harvested crop (i.e. Lot or batch number), location, application dates, the type of treatment, the product trade name and the quantity applied/dose rate? (Required element - Major deduction if missing)</p>
<ul style="list-style-type: none"> • These records shall be available, up to date, and covering the items listed
<ul style="list-style-type: none"> • These records shall be made as soon as is practicable and by the person who is technically responsible for the application

Intermediate Level Requirement Assessment	
I.B.10 PRODUCE HANDLING	
Effective food safety procedures shall be implemented to reduce the risk of product contamination that cover packing operations at both the field and pack-house level and cooling operations	
I.B.10.1 Are documented worker hygiene procedures being implemented? (Required element - Major deduction if missing)	
<ul style="list-style-type: none"> Documented worker hygiene procedures shall be developed and implemented. There is evidence that the employees are complying with the procedures. 	
I.B.10.2 Are all workers wearing outer garments that are clean and fit for their purpose, and are able to protect products from contamination?	
<ul style="list-style-type: none"> All workers wear outer garments (e.g. smocks, aprons, sleeves, gloves) that are clean and fit for their purpose. 	
I.B.10.3 Are signs for the main hygiene instructions clearly displayed in the packing facilities with for workers and visitors?	
<ul style="list-style-type: none"> The main hygiene instructions must be visibly displayed in the packing facility. They must be pictorial in nature or displayed in language(s) understood by the personnel. 	
I.B.10.4 Are there suitable changing facilities for the workers?	
<ul style="list-style-type: none"> Changing facilities shall be kept clean, sanitary and suitably located. 	
I.B.10.5 Are cleaning agents, lubricants etc. that may come into contact with produce, approved for application in the food industry? Are dose rates followed correctly? (Required element - Major deduction if missing)	
<ul style="list-style-type: none"> Appropriate documentation is available for cleaning agents, lubricants, waxes, preservatives, etc. verifying their approval for use in the food industry. Usage information on chemicals is documented. 	
I.B.10.6 Are all forklifts and other driven transport trolleys clean and well maintained and of suitable type to avoid contamination through emissions?	
<ul style="list-style-type: none"> Forklifts and other driven transports used in interior facility areas shall be electric or propane powered. Forklifts shall be maintained to avoid issues with product contamination with special attention made to fume emissions. 	
I.B.10.7 Is rejected produce in the packing environment clearly identified and stored in designated areas, which are routinely cleaned and/or disinfected?	
<ul style="list-style-type: none"> Rejected produce is stored in clearly designated and segregated areas designed to avoid contamination of products. These areas are routinely cleaned and/or disinfected according to the cleaning schedule. 	
I.B.10.8 Are packing materials clean and stored in clean and hygienic conditions? (Required element - Major deduction if missing)	
<ul style="list-style-type: none"> Packing materials (including re-useable containers) are clean and stored in a hygienic area. An adequate inspection perimeter is maintained in the area. 	
I.B.10.9 Is there a process for verifying equipment used for measuring and temperature control?	
<ul style="list-style-type: none"> Equipment used for measuring and temperature control, must be routinely verified to see if equipment is calibrated according to a risk analysis. Records of verification and calibration shall be maintained (pH meters, scales, thermometers, etc.). 	

Intermediate Level Requirement Assessment
I.B.10 PRODUCE HANDLING - continued
<p>I.B.10.10 Are breakage safe lamps or lamps with a protective cap used above product and packaging areas?</p> <ul style="list-style-type: none"> Light bulbs and fixtures (including light bulbs in insect traps and office or wall windows or skylights) used in all product, packaging and storage areas are of a safety type or are protected/shielded to prevent contamination in case of breakage.
<p>I.B.10.11 Are there written glass and clear hard plastic handling procedures in place?</p> <ul style="list-style-type: none"> Written procedures exist for handling glass or clear hard plastic breakages in all product, packaging and storage areas. An inventory list of all glass and plastic in the facility is maintained.
<p>I.B.10.12 If utilized, are product wash systems monitored at frequencies determined by the risk analysis? (Required element - Major deduction if missing)</p> <ul style="list-style-type: none"> Where water is re-circulated for final produce washing, it is filtered and disinfected, and pH, concentration and exposure levels to disinfectant are routinely monitored at frequencies determined by the risk analysis, with documented records maintained.
<p>I.B.10.13 Are corrective actions taken and documented if wash systems fall outside of the established limits? (Required element - Major deduction if missing)</p> <ul style="list-style-type: none"> Corrective action records shall be maintained for wash systems. Actions taken shall be in accordance with those established in the risk assessment.
<p>I.B.10.14 Are temperature and humidity (where applicable) controls maintained and documented where produce are packed and/or stored on farm?</p> <ul style="list-style-type: none"> Documented temperature and humidity controls (where applicable and also for controlled atmosphere storage) shall be maintained in accordance with the hygiene risk assessment results.

Intermediate Level Requirement Assessment
I.B.11 WASTE AND POLLUTION MANAGEMENT
Waste should be controlled to minimize food safety risk
<p>I.B.11.1 Have all possible waste products and sources of pollution created by farming operations that pose a risk to food safety been identified?</p> <ul style="list-style-type: none"> All possible waste products (such as paper, cardboard, plastic, oil, etc.) and sources of pollution (e.g. fertilizer excess, exhaust smoke, oil, fuel, effluent, chemicals, etc.) produced by the farm processes shall be identified and listed.
<p>I.B.11.2 Has a waste management plan been implemented?</p> <ul style="list-style-type: none"> There shall be visible actions and measures on the farm that confirm that the objectives of a comprehensive waste and pollution action plan are being carried out. These actions shall cover wastage reduction and pollution, if needed. Air, soil and water contamination must be considered.

C. Food Safety Hazards

Basic Level Requirement Assessment
B.C.1 CONTROL OF FOOD SAFETY HAZARDS
Measures shall be implemented to mitigate food safety hazards
B.C.1.1 Has the producer identified and listed the specific food safety hazards associated with the produce being produced/supplied? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • There shall be a list available of the specific food safety hazards identified by the producer • These hazards shall be specific to the product being supplied • This list shall be complete
B.C.1.2 Is the producer implementing appropriate control measures to mitigate these identified hazards? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • The producer shall have identified control measures to mitigate the identified hazards • These control measures shall be implemented • There shall be evidence that the implementation is effective

Intermediate Level Requirement Assessment
I.C.1 CONTROL OF FOOD SAFETY HAZARDS
Measures shall be implemented to mitigate food safety hazards
I.C.1.1 Have all significant hazards identified in the risk assessment been assigned control measures? (Required element - Major deduction if missing)
<ul style="list-style-type: none"> • All significant hazards identified in the risk assessment have been assigned control measures. • These measures shall eliminate the identified significant hazard or reduce it to an acceptable level. • Pre-requisite programs shall be included in the risk assessment when analyzing the significance of the identified hazards.
I.C.1.2 Are all hazard analyses reviewed at least annually, or when changes occur that could have an impact on product?
<ul style="list-style-type: none"> • The hazard analysis shall be reviewed at least annually or when changes occur in the operation that impact the safety of the product. • The review shall be conducted by a multidisciplinary group within the company. • Review results shall be documented. • Control measures shall be adjusted if necessary.

Intermediate Level Requirement Assessment
I.C.2 FOOD DEFENCE
The company shall assess its threats to the produce as a result of intentional contamination and put in place the appropriate preventive control measures
I.C.2.1 Have the threats to the produce as a result of intentional contamination been assessed?
<ul style="list-style-type: none"> The risk assessment shall cover food defence and include the methods, responsibility and criteria for preventing food adulteration caused by a deliberate act of sabotage or terrorist like incident.
I.C.2.2 Have those points in the process which are vulnerable to intentional contamination been identified and subjected to additional access control?
<ul style="list-style-type: none"> Sensitive areas of the facility shall be identified as part of the food defence risk assessment. Access control measures shall be implemented in these areas.
I.C.2.3 Are measures in place, if prohibited access took place and food may have been sabotaged?
<ul style="list-style-type: none"> A documented procedure has been established addressing actions to be taken if food defence measures are in question or sabotage is suspected.

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