Checklist of Items needed for most 3rd Party Audits:

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| --- | --- | --- | --- | --- | --- |
| **Topic / Area** | **Record** | **Policy** | **Doc** | **SOP** | **What should it include/cover?** |
| General |  |  | x |  | * Name of person who oversees Food Safety on farm * General FS statement (the importance) |
| Water Test | x |  |  |  | * Test results for irrigation source & chemical application source (if different) |
| Water Sampling |  |  |  | x | * How sample(s) are collected (See Sample) |
| Traceability |  | X | x |  | * How you keep track & What your lot numbers mean * See sample Fact Sheet & Harvest Log |
| Recall | x | X |  | x | * See sample policy & procedure Only if you are going to get audited |
| Blood & Injury | x | X |  |  | * See sample log & Policy * Include how food & food contact surfaces that are contaminated are cleaned / destroyed |
| Visitor | x | X |  |  | * Highlights visitor roles & responsibility * Sign in & acknowledge policies |
| Employee Training | x | X |  |  | * See Sample Include (eating & smoking in designated areas; seeking first aid for cuts & injury; proper hand washing; when to wash hands; proper glove use (if used); |
| Drinking Water |  | X |  |  | * Where the employee drinking water is coming from and that they have access to water at all times |
| Toilet & Hand Wash Cleaning | x |  |  | x | * See Sample * If done by an outside company get their policy and ensure they mark the cleaning log * See Sample Pre-harvest log |
| Tools & Equipment | x |  |  | x | * Cleaning SOP for tools, equipment, including Transportation * Cleaning Log (See Sample) * For everything being cleaned including crops, equipment & tools (for those that come in contact with crops) have a SOP on how it is done. If several equipment & tools are all washed the same way you could use one as long as the title identifies all the tools this is used for. * For crops make sure you identify how they are washed, how often water is changed or monitored etc… |
| Chemical Application | x |  |  |  | * Chemical Applicators are licensed for regulated materials * Application Records (Ensure days to harvest records are met) |
| Animal Contamination | x | x |  |  | * Monitoring of signs of animal contamination (Sample Pre-harvest Log) |
| Manure | x |  |  |  | * Application Records by field / crop to ensure days to harvest intervals are met * For compost (if purchasing ensure a Certificate of Analysis is on file. If composting yourself should have records) |
| Pre-Harvest Risk Assessment |  |  | x |  | * See sample Checklist |
| Leaks & Spills |  | x |  | x | * SOP for How to respond & what to do in case of major leaks/spills of chemicals, oils, tipped * Policy for tipped or leaky portable toilets |
| Broken Glass & Plastic |  |  |  | x | * SOP for breakage & possible contamination during harvest (could be that no glass bottles are allowed into crop growing area) |
| Transporting |  | x |  |  | * Only for crops being stored or processed there has to be a policy for covering crop for transport. (if you don’t cover when transporting, you will lose points but don’t add this if you are not doing it. |
| Packing |  |  | x |  | * Indicate box type new or cleaned containers are used for field pack * Not required but a good practice to have a sheet of what are your pack sizes for products |