The AIB International
Consolidated Standards for Inspection

Agricultural Crops

North America
Latin America
Europe/Middle East/Africa
Asia/Pacific

www.aibonline.org

Call AIB International World Headquarters
+1-785-537-4750
for international contact information
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Preface
Description of the Document
The AIB International Consolidated Standards for Inspection for Agricultural Crops is a collection of information gathered to help a reader understand:
• What an inspection is
• The difference between an inspection and an audit
• How to read and use the AIB International Consolidated Standards
• How an AIB International inspection is scored
• How to prepare for and participate in an AIB International inspection
• Additional sources for understanding, implementing, and expanding Prerequisite and Food Safety Programs

Design of the Document
The design of the document employs the following strategies to support ease of use:
• Consistent terminology used throughout the document
• Unambiguous language that can be globally understood
• Current-use language and not “regulation speak”
• Related content grouped in one location
• Standards constructed with the same hierarchy:
  ◇ Category
  ◦ Standard
    » Requirement
• As much as possible, one item measured per Standard
• Meaningful phrases highlighted to support quick scanning

Inspection and Audit
Definitions of Inspection and Audit
An inspection is a thorough physical review of a food facility to assess what is actually happening in a facility at a moment in time. This snapshot gives a realistic assessment of conditions that can be both positive and negative for food processing. An inspection focuses on physical review.

An audit is a systematic evaluation of food facility documentation to determine if Programs and related activities achieve planned expectations. An auditor looks at data over time to see if positive or negative trends are developing. An audit focuses on documentation review.

Benefits of Inspection and Audit
Choosing an inspection or an audit depends on the goal. Many organizations choose both because inspections and audits support each other.

Choose an inspection to:
• Reveal actual practices or issues that may not be apparent from paperwork
• Focus on root causes, not just on symptoms
• Educate personnel through interaction with an inspector
• Identify, reduce, eliminate, and prevent food hazards in a facility
• Prevent expensive and damaging recalls
• Comply with government regulation and industry expectations for safe food
• Improve and maintain a healthy, sanitary environment for food handling
• Produce safe food products

Choose an audit to:
• Comply with benchmarked standards
• Realize efficiencies through better management of documentation
• Achieve certification
• Look at trends over time
Introduction to the Standards

The AIB International Consolidated Standards for Inspection for Agricultural Crops are statements that represent key requirements that a facility must meet in order to keep the food products in a facility wholesome and safe. The Standards also reflect what an inspector would expect to see in a facility that maintains a food-safe processing environment.

The Categories

The Standards include five categories:

1. **Operational Methods and Personnel Practices**

   *The receipt, storage, monitoring, handling, and processing of raw materials to manufacture and distribute safe final product.*

   Standards in this category are related to **food handling and processing**. Facilities need to be confident that personnel, processes, and conditions do not introduce a food safety concern as raw materials are received, transferred, stored, transported, manipulated, or processed to deliver a final product. The Operational Methods and Personnel Practices Standards show how a facility can prevent people and processes from contaminating a product.

2. **Maintenance for Food Safety**

   *The design, upkeep, and management of equipment, buildings, and grounds to provide a sanitary, efficient, and reliable manufacturing environment.*

   Standards in this category are related to **equipment, grounds, and structures**. The design, construction, and maintenance of equipment and buildings are critical to providing and maintaining a food-safe environment. The Maintenance for Food Safety Standards provide best practices for optimizing the design and care of the facility and equipment so that they are easy to manage and do not create sanitation or food safety issues.

3. **Cleaning Practices**

   *The cleaning and sanitizing of equipment, utensils, and buildings to provide a wholesome and safe processing environment.*

   Standards in this category are related to **cleaning and sanitizing**. The methods of cleaning and sanitizing, the types of chemicals used, the frequency of cleaning activities, and the control of microbes must all be done expertly to protect products from food safety issues. The Cleaning Practices Standards give cleaning guidelines to prevent contamination.

4. **Integrated Pest Management (IPM) and Management of Agrochemicals**

   *The assessment, monitoring, and management of pest activity to identify, prevent, and eliminate conditions that could promote or sustain a pest population.*

   Standards in this category are related to **pest management**. While it is important to remove pests from a facility, it is more important to prevent pests from ever having the opportunity to thrive in a food environment. The Integrated Pest Management Standards give strategies for managing multiple approaches to ensure that pests do not adulterate food products.

5. **Adequacy of Prerequisite and Food Safety Programs**

   *The coordination of management support, cross-functional teams, documentation, education, training, and monitoring systems to ensure all departments of the facility work together effectively to deliver a wholesome and safe final product.*

   Standards in this category are related to **management and teamwork**. It is important to have Programs in place, but if a Program is not formalized through designing, planning, management, documentation, and review, then Prerequisite Programs will depend on who is undertaking a given activity or task that day. The Adequacy Standards make sure that Prerequisite Programs are carefully designed and implemented to ensure consistency across the entire facility.

   **Note:** While other categories focus mainly on inspection, this category largely involves evaluation of Program documentation. However, the observations made and documents reviewed in the first four categories will directly affect how the inspector will assess the facility in the Adequacy category. Findings on the floor are a direct reflection of how well Programs have been implemented.
How to Read the Standards

Indicates Standards not applicable to Agricultural Crops

Note: The Consolidated Standards for Inspection for Agricultural Crops is a targeted version of the more general AIB International Consolidated Standards for Inspection of Prerequisite and Food Safety Programs. The numbering convention from the Prerequisite and Food Safety Programs Standard is preserved in the Agricultural Crops Standard in order to keep numbering consistent. However, any Standards or requirements from the Prerequisite and Food Safety Programs Standards that are not applicable to agricultural crops are not included in this document. A symbol, Ø, signifies that missing numbers in the series of Standards or requirements are intentional.
Scoring
The scoring of the facility occurs in five steps:

1. The Inspection
2. Determining Risk and Assigning Category Scores
3. Evaluating the Adequacy of the Food Safety Program
4. Total Score
5. Recognition

The Inspection
Like a chain, the strength of a Food Safety Program depends on its weakest link.

To assess the food safety risks in a facility, an AIB Inspector conducts a thorough and fair physical inspection and concludes with a review of written programs. The Inspector notes observations based on the five categories of The AIB International Consolidated Standards for Inspection:

1. Operational Methods and Personnel Practices
2. Maintenance for Food Safety
3. Cleaning Practices
4. Integrated Pest Management
5. Adequacy of Prerequisite and Food Safety Programs

Determining Risk and Assigning Category Scores
The AIB Inspector will then assign a level of risk and a Category score to the five categories shown above. Use Table 1 as a guide.

<table>
<thead>
<tr>
<th>Risk Assessment</th>
<th>Description</th>
<th>Category Score Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>No Issues Observed</td>
<td>No identified risk</td>
<td>200</td>
</tr>
<tr>
<td>Minor Issues Noted</td>
<td>No potential for contamination</td>
<td>180-195</td>
</tr>
<tr>
<td>Improvement Needed</td>
<td>A potential hazard, partial program omission, or food safety finding that is inconsistent with the standards. If this hazard, omission, or finding is not corrected, it could lead to a program failure</td>
<td>160-175</td>
</tr>
<tr>
<td>Serious</td>
<td>A significant food safety risk or risk of program failure</td>
<td>140-155</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td>An imminent food safety hazard, program failure, or departure from the Good Manufacturing Practices</td>
<td>≤135</td>
</tr>
</tbody>
</table>
The Inspector uses a three-step process to assess risk. The inspector:

1. Determines the most significant observation(s) in a category and assigns a score range.

2. Determines the severity of the most significant observation(s) and decides whether the initial score should be at the top or bottom of the score range assigned.

3. Lowers the initial score in 5 point increments for each additional observation if the assigned score is at the top of the score range.

Here are some scoring guidelines:

- The initial score for a category is always either at the top or the bottom of the range.
- A category score can be adjusted from the top of the range, but will never go below the bottom of the range.
- All critical or minor findings associated with a single Standard of a category would be grouped together as a single observation. For example, any findings (single or multiple) noted under the following Standard and related requirements would only be counted as one observation:
  - 1.6 Pallets, Produce Bins, and Totes
    - 1.6.1.1
    - 1.6.1.2
    - 1.6.2.1
    - 1.6.2.2
- Findings assigned to several Standards within a category would be considered distinct and separate observations. For example, any findings (single or multiple) noted for each of the following Standards would be counted as 2 observations:
  - 1.1 Rejection of Shipments/Receipt of Dry Goods
  - 1.3 Storage Practices
- A single observation in a category may be severe enough to require the category to be scored at the bottom of the score range. Severity can be due to a single significant observation, or it can be due to multiple findings establishing a pattern within a single observation.
- Observations of Minor Requirements are always assessed in the Minor Issues Noted score range.
- If the initial score is at the top of the assigned score range, each additional observation lowers the scores in 5 point increments. Possible scores are listed in Table 2.
### Table 2—Lowering an Initial Category Score for Multiple Observations

<table>
<thead>
<tr>
<th># of Observations</th>
<th>Category Scores for All Risk Assessments</th>
<th>Minor Issues Noted</th>
<th>Improvement Needed</th>
<th>Serious</th>
<th>Unsatisfactory</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>195</td>
<td>175</td>
<td>155</td>
<td>135</td>
<td></td>
</tr>
<tr>
<td>2</td>
<td>190</td>
<td>170</td>
<td>150</td>
<td>130</td>
<td></td>
</tr>
<tr>
<td>3</td>
<td>185</td>
<td>165</td>
<td>145</td>
<td>125</td>
<td></td>
</tr>
<tr>
<td>4</td>
<td>180</td>
<td>160</td>
<td>140</td>
<td>120</td>
<td></td>
</tr>
<tr>
<td>5+</td>
<td>180</td>
<td>160</td>
<td>140</td>
<td>115*</td>
<td></td>
</tr>
</tbody>
</table>

* Will be lowered an additional 5 points for additional observations.

### Evaluating the Adequacy of the Food Safety Program

Evaluation of the written programs is not limited to determining if a written program and its records are in place and current. What the AIB Inspector sees in the facility determines whether or not the written Food Safety Programs actually work. A facility cannot have perfect programs if food safety observations are noted during the inspection.

The Inspector reviews the observations in the facility against the written programs to determine where the gaps in the program exist and what should be done to alleviate these conditions.

The score for the Adequacy Category is determined using the same method that is used for calculating the other four category scores. The Adequacy Score, however, is also guided by four additional rules.

#### Rules to Determine the Adequacy Score

**Rule 1**—The Adequacy Score cannot be the highest score. How can the programs that manage outcomes in the other categories be scored higher than the categories themselves?

**Rule 2**—The Adequacy Score can be no more than one Risk Assessment Category higher than the category with the worst observation. In other words, if the worst Risk Assessment is Serious, how could the Adequacy section be said to have only minor issues with its operation? Again, this relates to how well the program functions in a facility. See Table 3.

### Table 3—Maximum Adequacy Score Range Based on Rule 2

<table>
<thead>
<tr>
<th>Worst Risk Assessment</th>
<th>Related Score Range for Worst Risk Assessment</th>
<th>Maximum Adequacy Score Range</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minor Issues Noted</td>
<td>180-195</td>
<td>195*</td>
</tr>
<tr>
<td>Improvement Needed</td>
<td>160-175</td>
<td>180-195</td>
</tr>
<tr>
<td>Serious</td>
<td>140-155</td>
<td>160-175</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td>≤135</td>
<td>140-155**</td>
</tr>
</tbody>
</table>

* Rule 4 applies

**Rule 3**—If the worst score is at the bottom of the score range, the Adequacy Score can be no higher than the bottom category score, one level above. If observations require the score to be at the bottom of the category score range, this indicates that the related program is not effective.
Table 4—Maximum Adequacy Score Based on Rule 3

<table>
<thead>
<tr>
<th>Worst Risk Assessment</th>
<th>Score of Worst Risk Assessment at Lowest Number in the Score Range</th>
<th>Maximum Adequacy Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>Minor Issues Noted</td>
<td>180</td>
<td>195*</td>
</tr>
<tr>
<td>Improvement Needed</td>
<td>160</td>
<td>180</td>
</tr>
<tr>
<td>Serious</td>
<td>140</td>
<td>160</td>
</tr>
<tr>
<td>Unsatisfactory</td>
<td>≤ 135</td>
<td>140</td>
</tr>
</tbody>
</table>

* Cannot be the highest category score

Note: This rule does not apply if scoring a category where the worst risk assessment is “Minor Issues Noted”.

Rule 4—A 200 may only be assigned for Adequacy if the other four category scores are all assigned a 200; e.g., the only way it can be said that the programs are working perfectly is if there are no observations to indicate otherwise.

4 Total Score

The Total Score is the sum of the points assigned to each category: Operational Methods and Personnel Practices, Maintenance for Food Safety, Cleaning Practices, and Integrated Pest Management, but is not complete until aligned with the Adequacy of Prerequisite and Food Safety Programs because written programs drive the results from the other four categories.

5 Recognition

Recognition is based on the Total Score assigned to the facility. A recognition document will be awarded to the facility when:

• The inspection is based solely on the AIB International Consolidated Standards for Inspection (not customer-defined interpretations or guidelines)
• There is:
  ◊ No category score less than or equal to 135
  ◊ There are no unsatisfactory findings (even if the Total Score is at or above 700)

The AIB International Recognition Document:

• Recognizes that on the day of the inspection, the facility achieved a certain score according to the AIB International Consolidated Standards for Inspection
• Is not a certificate of compliance (like an ISO certificate)
• Does not have a specific expiration date
• Is labeled as announced, unannounced, or announced to corporate
• Defines which areas of the facility were included in the inspection
Sample Scoring with Explanations

A The Inspector noted six observations at the lowest risk of severity, but the category score does not go lower than the lowest possible score for the Minor Issues Noted Category (180).

B Three observations are documented. There were actually five findings, but three of the findings were related to the same requirement in the Standard and were therefore grouped together as a single observation.

C The severity of the single observation was significant so the score at the bottom of the score range (160) is assigned.

D The Serious observations that posed the most potential for contamination were at the lowest severity of risk, so the category score begins with the first observation at 155. There were two additional observations, so the score was lowered by five points for each to 145.

E The Adequacy Score is determined using the most constraining rules that apply:
   - The observation with the most significant risk is in the Improvement Needed category so the score should fall in the 160-175 range.
   - The most significant observation is not severe, so the initial score is 175.
   - There are three separate observations, so five points are deducted for each additional observation beyond the first (175 to 170 to 165).
   - Rule 1: The highest score in the other four categories is 180, but that is outside the 160-175 range so Rule 1 does not apply.
   - Rule 2: The lowest score in the other four categories is 145, so the Adequacy Score can be no higher than the 160-175 range.
   - Rule 3: The lowest category score (145) is not at the bottom of the range, so Rule 3 does not apply.
   - Rule 4: The other four categories are not assigned a 200, so Rule 4 does not apply.
**Automatic Assessment of Unsatisfactory**

The following list includes examples of a few commonly found conditions that require an assessment of “unsatisfactory.” This list *only represents examples* of unsatisfactory conditions, and is not complete. Similar conditions not specifically stated will be assessed by the inspector.

1. Operational Methods and Personnel Practices
   a. Open sores or boils on personnel who have direct contact with product, packaging materials, or product zones
   b. FSUs or other toilet facilities not readily available for employees
   c. Leaking FSUs where produce, field, water, or packaging material contamination is likely
   d. Contamination of produce due to blood that was not disposed of according to the defined policy
   e. Produce shipped in outbound transport vehicles with conditions that pose a risk of product contamination

2. Maintenance for Food Safety
   a. Maintenance activity or equipment condition resulting in oil, metal, or other foreign material contaminating produce or packaging material
   b. Non-potable water or ice used at or after packing

3. Cleaning Practices
   a. The presence of extensive amounts of mold growth on or in a product zone
   b. Widespread infestation above exposed raw materials or packaging materials or above exposed produce or packaging materials
   c. The use of FSU cleaning utensils or restrooms on crop/product contact surfaces

4. Integrated Pest Management (IPM) and Management of Agrochemicals
   a. Insects
      i. Excessive insect activity in equipment or storage areas indicative of ineffective control
      ii. Any cockroach activity on or in a main product zone
   b. Rodents
      i. Visual presence of live rodent(s) in produce or packaging storage areas
      ii. Evidence of rodent excreta or gnaw marks on produce or packaging materials containing produce
      iii. Decomposed rodent in produce or packaging storage area
      iv. Rodent bait stations containing rodenticides used for routine monitoring inside packaging sheds or other buildings used for storage of packaging materials, produce, seeds, etc.
   c. Birds
      i. Birds residing in elevator storage facilities or packaging areas
   d. Pesticides used inconsistently with label directions
   e. Agrochemicals or other hazardous materials stored in crop/storage areas with evidence of spillage that could contaminate produce, packaging, or other crops
   f. Use of biosolids that is inconsistent with regulatory requirements
   g. Mislabeling or reuse of agrochemical containers for other purposes

5. Adequacy of Prerequisite and Food Safety Programs
   a. Non-compliance with written Programs
      i. Failure to comply with HACCP Critical Limits or monitoring requirements
   b. Poorly-defined or written Prerequisite Programs
      i. Inadequate or ineffective implementation of a Prerequisite Program resulting in actual or likely product contamination
1. Operational Methods and Personnel Practices

The receipt, storage, monitoring, handling, and processing of raw materials to manufacture and distribute safe final product.

1.1 Rejection of Shipments
A facility can safeguard its food products by identifying and barring entry to potentially contaminated materials.

Critical Requirements

1.1.1.12 An SOP (Standard Operating Procedure) on measures to be taken in the case of product contamination by chemicals, petroleum, pesticides, or other contaminants is written and available.

1.3 Storage Practices
After receiving, materials are stored in a way to meet Program requirements for safe storage of materials.

Critical Requirements

1.3.1.1 Food products are stored and removed from storage in a manner that prevents contamination.

1.3.1.4 Materials are stored away from walls and ceilings.

Minor Requirements

1.3.2.3 Storage slots and traffic lanes are provided for items stored at floor level.

1.3.2.4 If an 18 in. or 45 cm clearance from walls is impossible due to aisle widths and forklift turning space, a rack system can be installed against the wall. In this case, a bottom rail is installed 18 in. or 45 cm off the floor so that no pallets are stored on the floor.

1.4 Storage Conditions
Materials are stored in a clean storage area to protect them from contamination sources.

Critical Requirements

1.4.1.1 Storage areas are clean, well ventilated, and dry. Materials and packaging materials are protected from condensate, sewage, dust, dirt, chemicals, or other contaminants.

1.4.1.3 All toxic chemicals, including cleaning and maintenance compounds, and non-product materials, including equipment and utensils, are stored in a separate area.

1.5 Material Inventory
Material inventories are maintained at reasonable volumes to avoid excessive age and insect infestation.

Critical Requirements

1.5.1.1 Ingredients, packaging supplies, and other materials are rotated on a First-In, First-Out (FIFO) basis or other verifiable method (such as First Expired, First Out [FEFO]) to ensure stock rotation.

1.6 Pallets, Produce Bins, and Totes
Clean and well-maintained pallets, produce bins, and totes minimize opportunities for contamination.

Critical Requirements

1.6.1.1 Pallets, produce bins, and totes are clean and in good repair.
**Minor Requirements**

1.6.2.1 Pallets and other **wooden surfaces** are properly dried after being washed.

1.6.2.3 Where possible, plastic produce bins are used for produce. The bins are **washed and sanitized** on a routine frequency.

**Critical Requirements**

1.12 **Raw Material Transfer**

The transfer of raw materials should be carefully managed to avoid introduction of contaminants.

1.12.1.2 Packaging materials, such as bags and corrugated cartons, are **kept off the floor** at all times.

1.12.1.8 **Walking, stepping, or lying** on produce or packaging materials is not allowed.

1.12.1.9 Containers used for produce are **only used** for designated purposes.

1.15 **Foreign Material Control Devices**

Rock traps, air cleaners, magnets, and visual inspection at appropriate locations prevent the inclusion of metal, wood, glass, and other foreign materials.

1.15.1.10 Foreign material control devices are **inspected and maintained** as part of a Preventive Maintenance (PM) Program or other program to ensure effective operation.

1.15.1.14 Foreign material control devices are monitored and findings are documented **according to the written policy**.

1.19 **Workspace Arrangement**

A neat, efficient workspace promotes cleanliness and maintainability, both essential for food safety.

1.19.1.1 **Routine housekeeping activities** are ongoing throughout operating hours in production and support areas to maintain a sanitary environment.

1.19.1.2 **Walking, stepping, or lying** on food contact surfaces is not allowed.

1.20 **Single-Service Containers**

Residue can contaminate any new materials or products added to an old container.

1.20.1.3 Pails and drums formerly containing nontoxic chemicals are cleaned and the **labels removed** prior to downgrading for another use.
1.23 **Cross Contamination Prevention**

*Incompatible or hazardous materials require separate handling to prevent contamination.*

**Critical Requirements**

- **1.23.1.23** Bins, totes, packaging materials, and harvest utensils are *handled and maintained* to prevent product contamination.
- **1.23.1.24** Equipment and harvest vehicles are *inspected prior to use* to identify gross filth and contamination issues. Corrective Actions are documented for any issues identified from these inspections.

1.26 **Finished Product Transportation**

*Finished product is coded for traceability, and shipping requirements are in place to prevent product contamination.*

**Critical Requirements**

- **1.26.1.1** Legible *code marks* are provided on all bulk and case packed products and include at minimum the harvest date and farm identification.
- **1.26.1.4** Finished products are *handled and transported* in a way that prevents actual or potential contamination.
- **1.26.1.10** Prior to loading, all shipping vehicles are *inspected* for cleanliness and structural defects that could jeopardize the product.
- **1.26.1.11** Shipping vehicle inspections are *documented.*
- **1.26.1.15** Any vehicle used to transport *animals or animal products* is rejected unless appropriately cleaned.

1.27 **Hand Washing Facilities**

*Personnel are provided the equipment to effectively remove contamination from their hands.*

**Critical Requirements**

- **1.27.1.1** Suitable and properly maintained hand washing facilities (basin, container, or outlet) are *located* in restrooms or next to Field Sanitation Units (FSUs).
- **1.27.1.2** Single-use *towels or air dryers* are provided at hand washing stations.
- **1.27.1.5** “Wash hands” signs are posted in languages understood by employees.

**Minor Requirements**

- **1.27.2.1** Dispensers for disposable paper *towels* are covered.

1.29 **Personal Hygiene**

*Personnel conform to hygiene practices to avoid becoming a source of contamination.*

**Critical Requirements**

- **1.29.1.2** Personnel wash *hands* after using toilet facilities.
- **1.29.1.3** Personnel are encouraged to practice *good personal hygiene* at all times.
- **1.29.1.4** Readily understandable signs are posted to instruct employees to wash their *hands* before beginning or returning to work.
1.30 **Work Clothes and Personnel Areas**

Clothing may contaminate food products if the clothing is dirty or made of unsuitable material.

**Critical Requirements**

1.30.1.1 Personnel wear **clean outer garments** at the start of the work day.
1.30.1.2 Personnel wear **suitable footwear**.

1.30.1.4 If worn, **gloves** are maintained in a clean condition. Gloves are not worn in FSUs or toilet facilities.

1.32 **Personal Items Control**

Personal items present product contamination risks if not controlled.

**Critical Requirements**

1.32.1.3 Personnel eat, drink, chew gum, and use tobacco products **only in designated areas** outside of active harvest areas and produce storage buildings.

1.33 **Health Conditions**

Facility policies are in place and enforced to prevent disease, illness, or infection from contaminating product.

**Critical Requirements**

1.33.1.1 No person with boils, sores, infected wounds, or any other **infections or communicable disease** is permitted to contact food as defined by regulations.

1.33.1.3 All **personnel health cards** are current and properly posted if required by local regulations.

1.33.1.4 The facility follows procedures requiring personnel, including temporary workers, **to notify supervisory personnel of any relevant infectious disease** or conditions to which they may have been exposed.

1.33.1.5 A written policy specifies the procedures for handling/disposition of food or product contact surfaces that have been in **contact with blood** or other bodily fluids.

1.33.1.6 Employees are instructed to **seek prompt treatment** for cuts with clean first aid supplies.

1.33.1.7 Employees with bandaged hands or **finger cuts are required to wear gloves**.

1.33.1.8 Supervisors have received documented training on recognizing the **signs and symptoms of infectious disease**.

1.34 **Non-Facility Personnel**

Visitors and contractors are required to comply with facility policies to protect product from contamination.

**Critical Requirements**

1.34.1.1 Non-facility personnel conform to the **Good Agricultural Practices (GAP) Program**. Non-facility personnel include, but are not limited to:

- Visitors
- Temporary personnel
- Regulatory authorities
- Outside contractors
- Tour groups
- Family and friends of personnel

1.57 **Manure Storage and Handling**

Proper storage and treatment of manure prevents contamination of field and crop areas.

**Critical Requirements**

1.57.1.1 Manure **storage and treatment areas** are located as far as practical from field and produce storage areas.

1.57.1.2 Manure treatment areas and treated manure are **physically contained** to prevent contamination from leaching, run-off, and wind drift.

1.57.1.3 Manure is treated or composted to ensure **elimination of pathogens**. Documentation is maintained.
2. Maintenance for Food Safety

The design, upkeep, and management of equipment, buildings, and grounds to provide a sanitary, efficient, and reliable manufacturing environment.

2.1 Facility Location
Selection and management of the facility location will allow personnel to identify and control potentially negative impacts of surrounding operations.

Critical Requirements
2.1.1.1 The facility identifies and takes measures to prevent product contamination from local activities that could have adverse impacts.

Minor Requirements
2.1.2.1 Facility boundaries are clearly defined and controlled.
2.1.2.2 Effective measures are in place to prevent product contamination from neighboring properties. These measures are periodically reviewed.

2.2 Outside Grounds
The facility grounds are maintained in a way that prevents food adulteration.

Critical Requirements
2.2.1.1 Equipment stored outside is placed to prevent pest harborage, to make the inspection process easier, and to protect equipment from deterioration and contamination.
2.2.1.2 Litter and waste are removed from the property.
2.2.1.3 Weeds and tall grass are removed from the immediate vicinity of the agricultural operation.
2.2.1.6 Outside wet and dry waste or scrap compactors, modules, and containers are installed in a way that prevents product contamination. Containers are maintained to minimize and contain leakage, and are removable so that the area can be cleaned.
2.2.1.7 Waste containers and compactors are closed or covered, and located in a manner to minimize pest attraction and harborage.
2.2.1.9 Fences or other barrier controls are maintained to prevent livestock access to the agricultural operation.

2.5 Floors
The floors of the facility are designed and maintained to provide structural integrity, facilitate cleaning, prevent contamination, and eliminate pest harborage or entry.

Critical Requirements
2.5.1.1 Floors are made of materials that are easily cleaned and kept in good repair.
2.5.1.3 Holes, cracks, and crevices in floor surfaces are repaired to prevent debris from lodging and to avoid pest or microbial harborage.

2.7 Walls
The walls of the facility are designed and maintained to provide structural integrity, facilitate cleaning, prevent contamination, and eliminate pest harborage or entry.

Critical Requirements
2.7.1.1 Walls are made of materials that are easily cleaned and kept in good repair.
2.7.1.2 Holes, cracks, and crevices in wall surfaces are repaired to prevent debris from lodging and to avoid pest or microbial harborage.
2.8 **Ceilings and Overhead Structures**

Structural elements such as ceilings, beams, supports, fixtures, ducts, pipes, or equipment do not threaten food product with leaking, loose, chipping, flaking, or peeling material.

### Critical Requirements

2.8.1.1 Ceilings are made of materials that are easily cleaned and kept in good repair.

2.8.1.3 Ceilings and overheads are designed, constructed, finished, and maintained to:
- Prevent dirt accumulation
- Reduce condensation and mold growth
- Facilitate cleaning

2.8.1.4 Roof leaks are promptly identified, controlled, and repaired.

2.8.1.5 Fixtures, ducts, pipes, and overhead structures are installed and maintained so that drips and condensation do not contaminate foods, raw materials, or food contact surfaces.

2.8.1.6 Drips and condensation are controlled to prevent establishment of an environment suitable for microbial growth.

2.8.1.7 There is no flaking paint or rust on equipment or overhead structures. Only normal mild oxidation on nonfood contact surfaces is acceptable.

2.8.1.8 Other materials (such as loose insulation) do not threaten food products or food contact surfaces.

2.9 **Glass, Brittle Plastics, and Ceramics Control**

The Glass, Brittle Plastics, and Ceramics Program manages not only lighting to ensure that it is adequate for the safe production of food products, but the Program also takes into consideration breakable materials that are used for other purposes within the facility.

### Critical Requirements

2.9.1.1 Adequate lighting is provided in all areas.

2.9.1.2 Light bulbs, fixtures, windows, mirrors, skylights, and other glass suspended over product zones, product areas, ingredients, or packaging supplies are of the safety type, or are otherwise protected to prevent breakage.

2.9.1.3 Light fittings and glass are replaced in a way that minimizes the potential for product contamination.

2.11 **Pest Prevention**

The materials, structure, and maintenance of the building and equipment support the Integrated Pest Management Program.

### Critical Requirements

2.11.1.1 The building has barriers in place to protect against birds, rodents, insects, and other pests.

2.11.1.4 In the case of open air facilities, effective measures are in place to identify and eliminate pest issues.

2.15 **Equipment and Utensil Construction**

Equipment and utensils designed for easy maintenance ensure compliance with Prerequisite and Food Safety Programs. Surfaces that deteriorate, or cannot be cleaned or maintained, may present product contamination hazards.

### Critical Requirements

2.15.1.1 All equipment and utensils are designed and made of materials that are easily cleaned and maintained.

2.15.1.9 All equipment used for planting, cultivating, harvesting, and storage are maintained on a Preventive Maintenance Program to identify and eliminate leaks, metal-to-metal wear, or excessive grease or lubricant applications. Equipment includes, but is not limited to trucks, trailers, forklifts, and conveyors.

### Minor Requirements

2.15.2.1 When wooden bins are used, they are clean and free of splinters, damage, and protruding nails that could contaminate product. Wood bins are replaced with plastic bins as time and capital expenditure allow.
2.16 **Temporary Repair Materials**

Temporary repairs are sometimes needed or unavoidable. Procedures to ensure that they do not become a contamination hazard are defined.

**Critical Requirements**

2.16.1.1 Tape, wire, string, cardboard, plastic, and other temporary materials are not used for permanent repairs. If used for emergency repairs, they are dated and replaced with a permanent repair as soon as possible.

2.16.1.2 Any temporary repairs on food contact surfaces are constructed of food-grade material.

2.16.1.3 The facility maintains a record of work orders or repair requests.

2.16.1.4 The facility follows temporary repair procedures.

**Minor Requirements**

2.16.2.1 Temporary repair issues are resolved as soon as possible and practical.

2.19 **Transporting Equipment**

Equipment such as forklifts may introduce cross contamination issues if they are not maintained.

**Critical Requirements**

2.19.1.1 Transporting equipment, including pallet jacks, carts, trolleys, and forklifts, are maintained to prevent contamination of products being transported.

2.20 **Parts Storage**

Improperly maintained or dirty repair parts may pose a risk of product contamination from improper storage or cleaning.

**Critical Requirements**

2.20.1.1 All food contact parts are stored in a clean environment off the floor.

**Minor Requirements**

2.20.2.1 Only clean repair parts and equipment are stored in parts storage areas.

2.25 **Field Sanitation Units (FSUs)**

When used, Field Sanitation Units (FSUs) are installed to meet state, local, or country regulations.

**Critical Requirements**

2.25.1.1 FSUs meet all state, local, or country requirements for installation and use.

2.25.1.2 A written plan is established to contain and remove waste in the event of a spill or leakage.

2.25.1.3 Sewage disposal trucks have limited and direct access to the FSU for service.

2.25.1.4 FSUs are located within ¼ mile (approximately ½ kilometer) of the harvest area for use by harvest employees.

2.25.1.5 FSUs are not located next to an irrigation water source, field, or any location where heavy rain run-off may result in contamination.
3. Cleaning Practices

The cleaning and sanitizing of equipment, utensils, and buildings to provide a wholesome and safe processing environment.

3.1 Cleaning
Cleaning is more than making the facility look good. Cleaning methods and scheduling take food safety into account.

**Critical Requirements**

3.1.1.1 Cleaning is done in a way that prevents contamination of materials, products, and equipment.

3.2 Food Contact Cleaning Compounds and Sanitizers
Cleaning compounds and sanitizers are considered chemicals under the Chemical Control Program.

**Critical Requirements**

3.2.1.1 All cleaning compounds and sanitizers used to clean produce contact surfaces have food contact approval documentation.
3.2.1.2 Sanitizer concentrations are tested to make sure they are consistent with the product label.
3.2.1.3 All cleaning chemicals are properly labeled.
3.2.1.4 All cleaning chemicals are secured and segregated from produce and packaging storage areas when chemicals are not in use.
3.2.1.5 The facility follows verification procedures and maintains records of chemical concentration testing, retesting, and Corrective Actions, as needed.

3.3 Equipment and Tools
Cleaning equipment and tools may have a negative impact on produce safety if not managed properly.

**Critical Requirements**

3.3.1.1 Cleaning equipment and tools are available for use.
3.3.1.2 Cleaning equipment is maintained and stored in a way that does not contaminate produce or produce contact equipment.
3.3.1.3 Separate and distinct utensils are used to clean crop contact surfaces and non-crop contact surfaces.
3.3.1.4 Utensils used to clean FSUs are never used for any other cleaning purpose.
3.3.1.5 All cleaning utensils are cleaned and properly stored after use. Proper storage includes segregation to ensure that cross contamination does not occur.
3.3.1.6 A color-code or other type of classification is in place to identify and separate cleaning utensils based on their intended usage.

**Minor Requirements**

3.3.2.3 Forklifts, pallet jacks, and similar equipment are cleaned and the cleaning is tracked on the Master Cleaning Schedule or Preventive Maintenance Schedule.

3.4 Daily (Housekeeping) Cleaning
Daily cleaning focuses on keeping the facility consistently neat and clean.

**Critical Requirements**

3.4.1.1 Daily cleaning tasks are completed in a way that prevents contamination.
3.4.1.5 A daily cleaning schedule for FSUs is maintained.
3.5 **Product Zone Cleaning**

Produce contact surface cleaning eliminates product residue, and the potential growth of microorganisms.

**Critical Requirements**

- **3.5.1.5** When required, *equipment and structural overheads* (including lights, pipes, and beams) are scheduled for periodic cleaning on the Master Cleaning Schedule.
- **3.5.1.6** Food contact surfaces and equipment that require sanitizing are cleaned and sanitized.
- **3.5.1.7** Equipment and utensils that do not require sanitizing are cleaned on a *predetermined schedule*.
- **3.5.1.17** Trucks, totes, bins, trays, and material handling equipment used to harvest and store crops are routinely cleaned to maintain a good cosmetic appearance.

3.6 **Non-Product Zone and Support Area Cleaning**

Cleaning of non-product zones and support areas eliminates product residues that may allow insect development, mold, or other contaminants that could affect the produce.

**Critical Requirements**

- **3.6.1.3** *Support areas* that may impact equipment, production, or storage of produce (e.g., equipment storage, maintenance shops, tray bin cleaning areas, etc.) are cleaned to prevent product contamination or insect development.
- **3.6.1.4** Non-production areas *used for the storage* of equipment, raw materials, finished products, or product contact utensils are cleaned and maintained to prevent contamination of product, raw materials, or equipment.
- **3.6.1.10** Regular cleaning of the *FSU holding tanks* is conducted and documented on the Master Cleaning Schedule.
4. Integrated Pest Management (IPM) and Management of Agrochemicals

The assessment, monitoring, and management of pest activity to identify, prevent, and eliminate conditions that could promote or sustain a pest population.

4.1 Integrated Pest Management (IPM) Program

A written IPM Program ensures the facility has effective controls and processes in place to minimize pest activity.

Critical Requirements

4.1.1.1 The facility has a written Integrated Pest Management Program.
4.1.1.2 The IPM Program incorporates the requirements of the grower’s other written Prerequisite and Food Safety Programs.
4.1.1.3 The IPM Program is written and implemented by trained in-house personnel, or by registered, trained, or licensed contractors.

Minor Requirements

4.1.2.1 If the IPM Program development and implementation is outsourced to contractors, the Program includes responsibilities for both in-house personnel and contractors.

4.3 Other Guidelines

Facilities that use alternative guidelines (such as organic, green, or sustainable) are also held accountable for having IPM Programs.

Critical Requirements

4.3.1.1 IPM Programs established under alternative guidelines (such as organic, green, or sustainable) demonstrate effective pest management through the lack of evidence of pest management issues, and by meeting the criteria in the IPM section of this Standard.

4.4 Signed Contracts

A signed contract between the facility and external IPM providers holds both the provider and the facility accountable for effective pest management activities.

Critical Requirements

4.4.1.1 The facility has a signed contract that includes:
- Grower name
- Grower contact person
- Frequency of services
- Description of contracted services and how they will be completed
- Term of the contract
- Equipment and material storage specifications, where applicable
- List of approved chemicals, prior to use
- Emergency call procedures (when, why, whom to call)
- Service records to be maintained
- Requirement to notify grower of any changes in service or materials used

4.5 Credentials and Competencies

The facility protects its food products by verifying that IPM service providers, whether in-house or contractors, are qualified.

Critical Requirements

4.5.1.1 The grower keeps a copy of the certification or registration document for each person who performs agrochemical operations (pesticide, herbicide, fertilizer), as required by regulation.
4.5.1.2 If regulation does not require certification or registration, agrochemical service providers are trained in the proper and safe use of pest management materials, herbicides, or fertilizers, by attending a recognized seminar or some other documented training. Evidence of training is on file or available electronically.
4.5.1.3 Applicators provide verification of GMP training.
4.5.1.4 IPM service providers are supervised by a licensed applicator, if required or allowed by regulation.

4.5.1.5 The facility maintains a current copy of the pest management company license issued by the appropriate government body, if required.

4.5.1.6 The facility maintains a current copy of the certificate of insurance that specifies the liability coverage, where available.

Minor Requirements
4.5.2.1 IPM service providers maintain evidence of competency by exam from a recognized organization.

4.6 Pesticide Documentation
The facility maintains current pesticide label and Chemical Safety Data Sheet information to ensure proper usage of pesticide chemicals.

Critical Requirements
4.6.1.1 Chemical Safety Data Sheets or equivalent are on file for all pesticides used in the facility by in-house personnel or contractors. Documentation is available for review on request as hard copy or electronic files.

4.6.1.2 Pesticide Specimen Labels are on file for all pesticides used in the facility. Documentation is available for review on request as hard copy or electronic files.

Minor Requirements
4.6.2.1 The language of the country is taken into consideration when providing Chemical Safety Data Sheets and labels.

4.7 Pesticide Application Documentation
The facility maintains records to identify, verify, and document compliance to regulatory and IPM requirements.

Critical Requirements
4.7.1.1 Documented pesticide application activities include:
- Product name of materials applied
- The EPA, PMRA, or product registration number as required by law
- Target pest
- Rate of application or percent of concentration
- Specific location of application
- Method of application
- Amount of pesticide used at the application site
- Date and time of application
- Signature of applicator
- Re-entry interval
- Water rate
- Wind velocity and direction
- Air temperature

Minor Requirements
4.7.2.1 The facility keeps a record of additional information that may be required by regulation, including lot number of product used and the applicator’s certification or registration number.

4.8 Pesticide and Agrochemical Control
Pesticides are managed as part of the Chemical Control Program.

Critical Requirements
4.8.1.1 Pesticides are stored in a limited access, locked area. Storage areas are adequate in size and construction, and are properly ventilated.

4.8.1.2 Pesticides are stored according to label directions.

4.8.1.3 Pesticide containers and application equipment are labeled to identify contents. Application equipment is not used across multiple pesticides.

4.8.1.4 Agrochemical containers and application equipment are disposed of according to label directions and regulatory requirements.

4.8.1.5 Warning signs are posted at the entrance of each pesticide storage area.

4.8.1.6 The grower maintains a complete inventory of pesticides.
4.8.1.7 Spill control materials and procedures are available.
4.8.1.8 Insecticides and herbicides require separate equipment for application.
4.8.1.9 Equipment used for application of agrochemicals is calibrated and maintained. Calibration records are maintained and demonstrate that calibration frequencies were met as defined.
4.8.1.10 Agrochemicals are stored in non-crop storage areas in a locked enclosure that is adequate in size and ventilated. A sign identifying the contents is posted.
4.8.1.11 Documentation demonstrating that the maximum number of agrochemical applications has not been exceeded is maintained. Documentation includes the required application intervals as well as the intervals between applications and harvest as stated in the label directions.

4.9 Trend Analysis
Documentation of pest sightings and activity are reviewed and used to identify and eliminate areas where pest activity is observed, and to document Corrective Actions taken.

Critical Requirements
4.9.1.1 Accurate and complete service records describe current levels of pest activity and recommendations for additional Corrective Actions.
4.9.1.2 When used, the pest-sighting log provides information about the response taken by pest management personnel.
4.9.1.3 All records pertaining to pest management activities are available as hard copy or electronic files for review on request.
4.9.1.4 The pest-sighting log has a designated location and is routinely reviewed.
4.9.1.5 The pest-sighting log includes:
• Date
• Time
• Type of pests observed
• Actions taken
• Names of reporting personnel

4.9.1.7 Corrective Actions are documented for identified issues.

4.10 Monitoring Device Documentation
Monitoring device documentation is maintained to ensure that devices are properly placed and inspected, and to allow trend analysis of activity.

Critical Requirements
4.10.1.2 A current and accurate site map that lists the locations of all pest-monitoring devices used in rodent and insect control is on file.
4.10.1.3 Temporary placement of any pest monitoring devices for short-term monitoring is mapped separately. Findings are documented according to the frequency defined by the IPM Program.
4.10.1.4 The facility records all services performed on all pest-monitoring devices.
4.10.1.5 Services for monitoring devices are documented with recording mechanisms, such as punch cards, bar codes, or ledgers, and may be maintained in hard copy or electronic format.
4.10.1.6 Service records in monitoring devices match documentation on file in the facility.

4.11 Exterior Rodent Monitoring Devices
Management of exterior rodent monitoring devices deters rodents from entering the facility.

Critical Requirements
4.11.1.2 All exterior monitoring devices are inspected at least monthly. These devices are checked more often when activity levels increase.
4.11.1.3 Exterior bait stations that contain rodenticides are locked with single-use plastic ties, padlocks, or devices provided by the manufacturer, such as key systems.
4.11.1.4 Exterior bait stations are tamper resistant and are positioned, anchored in place, locked, and labeled.
4.11.1.5 Only baits that are approved by the regulatory body with authority for IPM (e.g., EPA in the United States) or that are labeled for use in a food facility are used in exterior bait stations.
4.11.1.6 Baits are secured inside bait stations, in good condition, and replaced as needed based on the label directions.
Minor Requirements
4.11.2.1 Monitoring devices are placed at intervals of 50-100 ft. or 15-30 m. Areas of high rodent activity should have a higher concentration of devices.

4.12 Interior Rodent Monitoring Devices
Interior rodent monitoring devices identify and capture rodents that gain access to the facility.

Critical Requirements
4.12.1.1 Toxic and non-toxic commercial baits (blocks, liquids, etc.) are not used for interior monitoring.
4.12.1.2 Interior monitoring devices are placed in sensitive areas specific to the rodent species, and other areas of pest activity, including:
   - Areas with the potential for rodent access due to traffic patterns or activities that take place
   - Overhead areas when roof rat activity is evident or likely
   - Both sides of doors that open to the exterior of the facility
4.12.1.3 Interior monitoring devices are placed along perimeter walls. Spacing and number of traps are based on activity levels.
4.12.1.4 Interior monitoring devices are positioned, cleaned, and inspected weekly.
4.12.1.5 Unless prohibited by regulation, interior monitoring devices include:
   - Mechanical traps
   - Extended trigger traps
   - Glue boards
4.12.1.6 Facilities in countries that prohibit the use of mechanical traps may consider the use of alternative devices on a case-by-case basis. These devices may include:
   - Gassing (e.g., CO₂) traps
   - Live catch traps
   - See-saw tubes
   - Electrocution traps
   - Extended trigger traps that send alert e-mails or text messages

Minor Requirements
4.12.2.1 Monitoring devices are placed at intervals of 20-40 ft. or 6-12 m along exterior walls, and are strategically placed in sensitive areas toward the interior of the facility.

4.14 Pheromone Monitoring Devices
When used, pheromone monitoring devices assist in the identification insect pests in and mating disruption.

Critical Requirements
4.14.1.1 Pheromone monitoring devices are installed according to label requirements.
4.14.1.2 Pheromone monitoring devices are inspected on a defined frequency.
4.14.1.3 The facility documents the types and quantities of insects found during device inspections and uses the information to identify and eliminate the source of activity.

4.15 Bird Control
Bird control is addressed as part of the IPM Program to prevent contamination of food products.

Critical Requirements
4.15.1.1 Birds are controlled by exclusion with:
   - Nets
   - Traps
   - Appropriate structural modifications
   - Other approved legal methods
4.15.1.2 Avicides are only used if legal.
4.15.1.3 Avicides are used according to label directions and local regulations.
4.16 **Wildlife Control**  
*In addition to rodents, insects, and birds, other animals can become pests if left unmanaged.*

**Critical Requirements**
4.16.1.1 **Wildlife** establishing habitat on the facility grounds or in the facility are removed in accordance with regulations and local ordinances. Wildlife can include dogs, cats, or other domestic animals.

**Minor Requirements**
4.16.2.1 **Wildlife control measures** are considered, where appropriate. Optional devices include:  
- Wire  
- Netting  
- Distracting devices  
- Repellents  
- Materials that prevent entry

4.17 **Pest Habitat**  
*Attractive habitat in or around a facility increases the chances of pest problems.*

**Critical Requirements**
4.17.1.1 The facility addresses and eliminates any rodent burrows, rodent runs, and conditions that provide harborage or may attract rodents or other pests to the facility or outside grounds.  
4.17.1.2 Implementation of an effective pest management program is demonstrated through the lack of identified pest activity. Specifically, pest activity whose identification and control is managed as part of the IPM Program.

4.18 **Biosolids**  
*Use of biosolids is managed to prevent contamination of crops with undesirable microorganisms.*

**Critical Requirements**
4.18.1.1 When biosolids are used for production of food crops, documentation must be current and demonstrate compliance to 40 CFR, Part 503 regarding the allowed use of biosolids and reduction of pathogens

**Minor Requirements**
4.18.2.1 Municipal biosolids are not used for food crops.
5. Adequacy of Prerequisite and Food Safety Programs

The coordination of management support, cross-functional teams, documentation, education, training, and monitoring systems to ensure all departments of the facility work together effectively to deliver a wholesome and safe final product.

5.2 Accountability
Management authorizes and supports a qualified, supervisory-level person to ensure facility compliance to Programs, law, and regulation.

Critical Requirements
5.2.1.1 Supervisory personnel monitor the effectiveness of the implementation of the Prerequisite and Food Safety Programs.
5.2.1.2 The facility has a current and accurate organizational chart that shows who is responsible for ensuring compliance to regulatory laws and guidelines.
5.2.1.4 Growers define written procedures to meet legislative requirements as defined by country or export requirements (e.g., Reportable Food Registry, Food Safety Modernization Act, etc.). The grower is aware of the program and its role in implementing the requirements.

5.3 Support
Management supplies human and financial resources to support the Prerequisite and Food Safety Programs.

Critical Requirements
5.3.1.1 All departments directly involved in implementing Prerequisite and Food Safety Programs have budget and labor support to maintain the proper and timely acquisition of appropriate tools, materials, equipment, monitoring devices, chemicals, or other support.

5.4 Written Procedures
All Prerequisites in the facility have written Programs that include procedures. Procedures are critical to food safety because they specify owners, actions, and timelines.

Critical Requirements
5.4.1.7 Standard Operating Procedures (SOPs) are documented for all Food Safety Programs relating to field preparation, harvesting, employee practices, and storage and transportation of produce.

Minor Requirements
5.4.2.1 The written procedures are readily available to facility personnel.

5.5 Training and Education
Regularly scheduled and tracked training and education ensure that the facility appropriately implements Prerequisite and Food Safety Programs. Training and education is for all personnel, from entry level workers to management.

Critical Requirements
5.5.1.1 There are written procedures for developing and delivering Good Agricultural Practices training and education to all personnel.
5.5.1.2 Training and education records for all personnel are maintained.
5.5.1.3 The training includes established means for verification of competency of the information presented (e.g., testing, supervisor verification, verbal responses, etc.).
5.5.1.4 Prior to beginning work, new employees, temporary personnel, and contractors are trained and educated on Prerequisite and Food Safety Programs. These personnel are then supervised for compliance.
5.5.1.5 Refresher training and education are done at a minimum of annually, or at the beginning of each season, or more often as needed.
5.6 **Self-Inspections**  
Responsible personnel regularly assess how well the facility implements and monitors Prerequisite and Food Safety Programs.

**Critical Requirements**

5.6.1.2 The documented **self-inspection program** consists of an in-depth monthly audit and pre/post seasonal inspections, as applicable to the facility.

5.6.1.3 The Food Safety Committee **documents the results** of the self-inspection. The documentation includes:
- Identified observations
- Corrective Actions
- Specific assignments
- Actual accomplishments

5.6.1.4 Results of the self-inspection are brought to the **attention of the personnel responsible** for the activity inspected.

5.6.1.5 Responsible key personnel **set time lines** for Corrective Action implementation.

5.6.1.6 The results of Corrective Actions are **verified** to ensure satisfactory completion.

5.6.1.9 The self-inspection program includes a **review of the documentation** related to food safety.

**Minor Requirements**

5.6.2.1 The inspection is completed by members from **multiple functions** of the facility, if possible.

5.6.2.2 **Follow-up inspections** ensure that observations are corrected.

5.8 **Customer Complaint Program**  
A written Program for evaluating customer complaints allows the facility to respond to customer concerns. Complaints involving food safety issues, such as adulteration, require an immediate response.

**Critical Requirements**

5.8.1.1 The facility has a **written** Customer Complaint Program.

5.8.1.3 **Actions** appropriate to the seriousness and frequency of the complaint are carried out promptly and effectively.

5.8.1.4 Complaint information is used to **implement ongoing improvements** to avoid issue recurrence, and to ensure product safety.

5.9 **Chemical Control Program**  
A written Program for managing all chemicals provides a centralized approach to identifying and controlling purchase and use of nonfood chemicals.

**Critical Requirements**

5.9.1.1 The facility has a **written** Chemical Control Program that addresses all chemicals used in the facility (e.g., chemicals for Integrated Pest Management, Maintenance, Sanitation, and Hygiene).

5.9.1.2 **Procedures address, as applicable:**
- Controlled and segregated storage
- Handling
- Labels/Labeling
- Concentration verification
- Training and education
- Actual usage
- Inventory control
- Chemical disposal
- Container disposal
- Spill containment and control
- Chemical Safety Data Sheet archiving
- Contractor chemicals
5.13 Cleaning Program

A Cleaning Program with schedules and procedures for accomplishing tasks is critical for maintaining a wholesome and food safe growing and harvesting environment.

Critical Requirements
5.13.1.1 The facility has a written Cleaning Program.

5.13.1.3 The Master Cleaning Schedule addresses all field production areas, field equipment, Field Sanitation Units (FSUs), and storage areas that impact produce. The MCS is current and accurate, and includes the following:
- Frequency of activities
- Personnel responsible
- Post-cleaning evaluation techniques, which include visual inspections

5.14 Preventive Maintenance Program

The Preventive Maintenance Program addresses building, utensil, and equipment maintenance to ensure a safe food produce environment.

Critical Requirements
5.14.1.1 The facility has a written Preventive Maintenance Program and work order system that prioritizes structural, equipment, or utensil maintenance problems that could cause crop adulteration.

5.14.1.3 Records indicating compliance are maintained.

5.15 Receiving Program

The Receiving Program ensures that incoming materials are reviewed and received to prevent product contamination.

Critical Requirements
5.15.1.1 The facility has a written Receiving Program.

5.15.1.3 The facility has written procedures for inspecting incoming materials and vehicles. This should include, but is not limited to bulk bins, corrugated boxes, seeds, etc.

5.15.1.4 Procedures include steps for evaluation of:
- Material condition
- Presence of pest evidence
- Presence of other objectionable materials
- Trailer or rail car condition

5.15.1.5 Procedures for bulk material deliveries include steps for:
- Presence of pest evidence
- Presence of other objectionable materials
- Visual inspection of transport interiors before and after bulk deliveries
- Inclement weather

5.15.1.7 The results of inspections are documented.

5.16 Regulatory Affairs and Inspections Program

The Regulatory Affairs and Inspections Program prepares the facility to handle regulatory, third-party, and customer inspections.

Minor Requirements
5.16.2.1 The facility has a written Regulatory Affairs and Inspections Program that includes:
- A list of personnel delegated to accompany all inspectors
- A policy regarding recording devices and cameras
- A policy regarding record and sample taking
5.18 **Traceability Program**

*The Traceability Program enables location of suspect materials and food contact packaging materials.*

**Critical Requirements**

5.18.1.1 The facility has a **written** Traceability Program that is regularly reviewed.

5.18.1.4 The Traceability Program identifies the following:

- Source of the produce
- Date of harvest
- Field identification
- Harvest crew
- Chain of custody from harvest to receiver

5.18.1.5 The Traceability Program is **tested** each season and documentation is maintained.

5.23 **Letters of Guarantee or Certifications**

*Letters of Guarantee, Certifications, copies of growers/suppliers’ Certificates of Analysis, and Certificates of Guarantee for raw materials (e.g. ice, seeds, manure, corrugated boxes) and packaging supplies provide statements of assurance, and evidence of compliance to regulatory requirements. This documentation ensures the safety of received materials, and shipped finished product.*

**Critical Requirements**

5.23.1.1 Letters of Guarantee or Certifications provide the following:

- A statement of compliance to regulations
- Records of examinations and certifications that verify compliance

5.25 **HACCP Program**

*The HACCP Program evaluates the biological, chemical, and physical hazards associated with the raw materials and process steps related to a product or product category. The HACCP Program includes a Hazard Analysis which typically assesses risk by determining the severity of a hazard and its likelihood of occurrence. The goal of HACCP is to prevent, eliminate, or reduce hazards to an acceptable level.*

**Critical Requirements**

5.25.1.1 Specific **Prerequisite Programs** are in place and functioning:

- GAPs
- Personnel Practices
- Customer Complaint
- Chemical Control
- Cleaning
- Preventive Maintenance
- Transportation and Storage
- Integrated Pest Management
- Receiving
- Traceability
- Filed or Supplier Certification, as applicable

5.25.1.2 The facility has a **written** HACCP Program that has been signed by senior management.

5.25.1.3 The facility has a **HACCP Team** with members from multiple functions of the facility, if possible. The team has the following characteristics:

- The team members have been trained
- The HACCP Coordinator has documented HACCP training

5.25.1.4 The facility has **Finished Product Profiles** for each crop produced.

5.25.1.5 The facility has a **Process Flow Diagram** for each crop produced.
5.25.1.6 The facility follows the **Seven Principles of HACCP**:

1. The facility has **conducted and documented a Hazard Analysis** for each raw material and process step. In the case of facilities producing or exporting to the USA or other countries with regulations, regulatory (FDA) requirements for HARPC (Hazard Analysis Risk-Based Preventive Controls) will be evaluated taking into consideration the defined hazard categories or country-defined requirements.

2. Based on the Hazard Analysis, the **Critical Control Points (CCPs)** are identified, and the procedures for controlling the hazards are described.

3. The **Critical Limits** for the CCPs are scientifically established and recorded.

4. The facility has established procedures for **Monitoring** the HACCP Program that include identification of frequency of activities and responsible person(s).

5. The facility has established procedures for **Deviation** from the HACCP Program that include identification of short-term and long-term Corrective Actions.

6. The facility has established procedures for **Verification** of the HACCP Program that include identification of frequency of activities and responsible person(s).

7. The facility has legible **documented records** of monitoring, deviation, and verification activities.

5.25.1.7 The facility conducts and documents **training** on the HACCP Program. The training targets:

- Responsibility for management
- Awareness for non-management personnel
- Job-specific procedures for personnel working at a designated Critical Control Point (CCP)

5.25.1.8 The Critical Control Points (CCPs) identified are **controlled and monitored** within the HACCP Master Plan. The facility conducts a **review** of the HACCP Program annually or as changes occur:

- Records are available
- Records are kept one year or two times the shelf life of the product, whichever is longer or as defined by regulatory requirement.

5.25.1.10 Facilities that must comply with **regulatory HACCP** meet the defined requirements.

5.29 **Water Quality**

*Water, water sources, and water management strategies provide clean water that is safe for food contact activities.*

**Critical Requirements**

5.29.1.1 The facility’s water supply **complies with regulatory requirements.**

5.29.1.2 The facility has a safe and/or **potable water** supply from an approved source.

5.29.1.3 **Documentation** of the results of water testing is on file.

5.29.1.5 **Routine checks** verify that back siphonage and backflow prevention units are functioning properly. Results are documented.

5.29.1.9 Regular **water samples** are taken from underground well water supplies and surface water sites according to local health department codes and government requirements.

5.29.1.10 **Water management practices** include protecting surface water, wells and pumps against contamination from sources such as wastewater discharge, polluted runoff from uncontrolled livestock and wildlife access.

5.29.1.11 Only potable water meeting EPA or other regulatory guidelines is used to **wash produce** after harvest.

5.29.1.12 Documentation is on file confirming that the quality of the water used for the **irrigation system** is tested and the system is sanitized prior to the beginning of the growing season.

**Minor Requirements**

5.29.2.1 Written programs are in place for **periodic inspection and testing** of wells and surface water for actual or potential microbial contamination.

5.29.2.2 Any test results noting **excessive levels of pathogens** are further evaluated and Corrective Action is noted.
5.31 Field or Supplier Certification
Field and Supplier Certification programs ensure development and implementation of product safety programs that are applicable to produce and agricultural commodities.

Critical Requirements
5.31.1.1 As applicable, programs include the following:
- Pathogen residue testing
- Irrigation water testing and results
- Pesticide Usage records
- Fertilizer Usage records
- Monitoring of employee practices
- Product Handling
- HACCP Program development
- Flood affected products program
- Animal Access

5.33 Phase I Environmental Audit
An environmental audit assures that previous land use will not negatively impact crops.

Critical Requirements
5.33.1.1 A documented Phase I Environmental Audit and historical records for land use for the previous 5 years are on file and current.
Appendix A—Documents to Have Ready for an Inspection

The following is a list of documentation that an inspector may ask to review during an inspection. Documentation is listed by Standard. Many facilities find it convenient to gather these documents ahead of time and have them printed in a binder, or collected electronically in one central location.

1. **Operational Methods and Personnel Practices**
   1.1 **Rejection of Shipments**
   - SOP for product contamination by chemicals
   1.15 **Foreign Material Control Devices**
   - PM records for foreign material control devices
   - Documented checks for foreign materials control devices
   1.23 **Cross Contamination Prevention**
   - Documentation of Corrective Actions
   1.26 **Finished Product Transportation**
   - Shipping vehicle inspection documentation
   1.33 **Health Conditions**
   - Personnel health cards
   - Procedures for notification of disease
   - Procedures for product contamination with blood/bodily fluids
   1.57 **Manure Storage and Handling**
   - Documentation of manure treatment

2. **Maintenance for Food Safety**
   2.15 **Equipment and Utensil Construction**
   - Preventive Maintenance for equipment used for planting, harvesting, cultivating, and storage
   2.16 **Temporary Repair Materials**
   - Temporary repair procedures
   - Work orders and repair requests
   2.19 **Transporting Equipment**
   - Preventive Maintenance Schedule and/or Master Cleaning Schedule for transportation equipment
   2.25 **Field Sanitation Units (FSUs)**
   - Plan for spill containment

3. **Cleaning Practices**
   3.2 **Food Contact Cleaning Compounds and Sanitizers**
   - Food contact approval documentation for cleaning compounds and sanitizers
   - Records of testing of cleaning chemical concentrations
   - Verification procedures for testing chemical concentrations
   3.3 **Equipment and Tools**
   - Documentation of color-code or other classifications
   3.4 **Daily (Housekeeping) Cleaning**
   - Documentation of daily cleaning task assignments and schedules
   - Daily cleaning schedule for FSUs
   3.5 **Product Zone Cleaning**
   - Documentation of periodic cleaning task assignments and schedules

4. **Integrated Pest Management (IPM) and Management of Agrochemicals**
   4.1 **Integrated Pest Management (IPM) Program**
   - IPM Program
   - Written responsibilities for trained in-house or outside contractors
   4.4 **Signed Contracts**
   - A signed contract that addresses the requirements listed in 4.4.1.1 of the AIB International Consolidated Standards
4.5 Credentials and Competencies
- A copy of the certification or registration document for each person who performs pest management activities
- A copy of the pest management company license
- A current copy of the certificate of insurance
- Records to prove that applicators have had training in:
  - The GMPs
  - IPM in food facilities
  - Evidence of competency by exam from a recognized organization

4.6 Pesticide Documentation
- Records of pesticide Chemical Safety Data Sheets and labels

4.7 Pesticide Application Documentation
- Pesticide application records that address the requirements listed in 4.7.1.1 of the AIB International Consolidated Standards
- Records of the lot number of the pesticide used, or applicator’s certificate or registration number, as applicable

4.8 Pesticide and Agrochemical Control
- Records of pesticide approval by designated facility personnel
- Inventory of pesticides
- Agrochemical usage documentation
- Spill control procedures
- Calibration records
- Documentation demonstrating maximum agrochemical applications

4.9 Trend Analysis
- Records pertaining to pest management activities
- Service records describing current levels of pest activity
- If used, pest-sighting logs
- If used, written reports of quarterly reviews of pest-sighting logs
- Documented Corrective Actions

4.10 Monitoring Device Documentation
- Facility survey for use in determining placement of monitoring devices
- Site map that lists the locations of all pest-monitoring devices used in rodent and insect control
- Separate site map that lists temporary placements of pest-monitoring devices
- Records of services performed on all pest-monitoring devices

4.14 Pheromone Monitoring Devices
- Documentation of the types of insects captured in the pheromone monitoring devices

5. Adequacy of the Food Safety and Prerequisite Programs

5.2 Accountability
- The current organizational chart
- A procedure to keep the Prerequisite and Food Safety Programs current and accurate

5.4 Written Procedures
- SOPs for the Food Safety Program for produce

5.5 Training and Education
- Written procedures for developing and delivering Prerequisite and Food Safety training
- Training records for all personnel
- Training criteria for competency requirements to confirm understanding of the information presented

5.6 Self-Inspections
- Results of the self-inspections and Corrective Actions
- Review of food safety documentation

5.8 Customer Complaint Program
- Customer Complaint Program

5.9 Chemical Control Program
- Chemical Control Program
- Procedures that address the requirements listed in 5.9.1.2 of the AIB International Consolidated Standards

5.13 Cleaning Program
- Cleaning Program
- The Master Cleaning Schedule
- The Housekeeping Schedule
- The cleaning procedures for equipment, structures, and grounds

5.14 Preventive Maintenance Program
- Preventative Maintenance Program
- Work order system
- Records of compliance
5.15 Receiving Program
• Receiving Program
• Documented inspection results

5.16 Regulatory Affairs and Inspections Program
• Regulatory Affairs and Inspections Program

5.18 Traceability Program
• Traceability Program
• Identification of source, date of harvest, field ID, harvest crew and chain of custody
• Records of seasonal testing

5.23 Letters of Guarantee or Certification
• Letters of Guarantee or Certification

5.25 HACCP Program
• Written Programs for HACCP-required Prerequisites
• A signed HACCP Program
• Finished Product Profiles
• Process Flow Diagram
• Hazard Analysis
• Records of CCP monitoring
• HACCP Master Plan
• Training records
• Records of the annual review of the HACCP Program

5.31 Field or Supplier Certification
• Written Programs to include applicable elements of 5.31

5.33 Phase I Environmental Audit
• Documentation of audit
Appendix B—Conflict Resolution Process

If there is a concern about an inspection experience or scoring:

1. Contact an AIB International support staff member:
   - North America + 1-785-537-4750 or 1-800-633-5137
   - Latin America + 52-442-135-0912
   - Japan + 81-03-5659-5081
   - Europe + 44 1372 360-553

2. The AIB International staff member will begin a Customer Complaint Tracking Form.

3. The inspection report, if applicable, will be put on hold.

4. The Form will be e-mailed, along with a copy of the inspection report in question (if applicable), to the responsible Regional Director or Manager.

5. The Regional Director or Manager will contact the customer for further details:
   - These details will be used to investigate the issue.
   - The inspector or staff member involved in the complaint will be contacted for his or her information.

6. If the complaint concerns an inspection report, it may be sent out for a blind review:
   - The Category Scores, the Total Score, and the name of the Inspector will be removed from the initial inspection report.
   - Five independent parties will review the report impartially, and with no outside influences.
   - A consensus of opinion will be gathered by the Director or Manager.

7. The Director or Manager will contact the facility to discuss the final results of the review:
   - If the scoring is changed, the Director or Manager will:
     ◊ Advise AIB International administration of the change.
     ◊ Issue an apology letter to the customer.
     ◊ Follow up with the appropriate inspector to prevent recurrence of the scoring discrepancies.
     ◊ Reissue the inspection report.
   - If the scoring remains unchanged, the Director or Manager will:
     ◊ Follow up with the customer and explain why the scoring is justified in accordance with the AIB International Consolidated Standards.
Appendix C—Glossary


40 CFR Part 503—The section of the Code of Federal Register (CFR) that outlines the requirements for treatment and allowed use of biosolids.

Acceptance with Restrictions—Nonconforming product is accepted within a limited scope of use.

Adulteration—To make imperfect by adding extraneous, improper, or inferior ingredients.

Agrochemicals—The generic term for various chemical products used in agriculture, including pesticides, herbicides, fungicides, fertilizers, etc.

Audit—A systematic evaluation of food facility documentation to determine if programs and related activities achieve planned expectations.

Auditor—A person who conducts an audit.

Avicide—A pesticide that targets birds.

Body Jewelry—Adornments to the face or body that are seemingly suspended on the skin with no visible piercings or other attachment point. These are typically suspended on the body or face through the implantation of a magnet below the skin to hold the jewelry in place.

Catch Pan—A shallow or open container placed under a gearbox to collect any leakage to prevent product contamination.

Category—The AIB International Consolidated Standards for Inspection are divided into five categories: Operational Methods and Personnel Practices, Maintenance for Food Safety, Cleaning Practices, Integrated Pest Management, and Adequacy of Prerequisite and Food Safety Programs.

Category Score—The numerical score for each of the following categories: Operational Methods and Personnel Practices, Maintenance for Food Safety, Cleaning Practices, Integrated Pest Management, and Adequacy of Prerequisite and Food Safety Programs.

Category Score Range—The numerical range within which a category will be scored. The five category score ranges align with the five risk assessment categories: No Issues Observed (200), Minor Issues Noted (180-195), Improvement Needed (160-175), Serious (140-155), or Unsatisfactory (≤135).

Cleaning Types—
- Deep—Cleaning that typically requires skilled personnel, and involves the disassembly of equipment or entry into equipment housings for safe removal of food residues to eliminate the potential for cross contamination and prevent mold, microbiological, or insect development.
- Housekeeping—Cleaning of exterior surface areas to keep a facility neat and clean.
- Maintenance—Cleaning that requires specialized assistance from skilled maintenance personnel to remove food residues, maintenance chemicals, foreign material, or contamination resulting from maintenance activities.
- Personnel Areas—Cleaning of bathrooms, locker rooms, break areas, or other similar areas.

Chemical Safety Data Sheet (CSDS)—A document designed to provide workers and emergency personnel with the proper procedures for working with or handling a chemical substance. The CSDS provides information such as physical and chemical data, toxicity, health effects, emergency and first aid procedures, storage, disposal, protective equipment requirements, routes of exposure, control measures, precautions for safe handling and use, and spill/leak procedures.

Competency—A range of skill, knowledge, or ability.

Contamination—The act or process of making something harmful or unsuitable. The presence of extraneous, especially infectious, material that renders a substance or preparation impure or harmful.

Corrective Action—A change implemented to address an identified weakness.

Critical Control Points (CCPs)—A point, step, or procedure at which controls can be applied, and a food safety hazard can be prevented, eliminated, or reduced to an acceptable level.

Deflector Plate—An angled piece of metal or plastic with a lip on either side that is placed under a bearing or gearbox to divert lubrication or other leakage away from the product or food contact surface to prevent contamination.

Environmental Protection Agency (EPA)—This is the US government agency that is tasked with developing and enforcing regulations that implement environmental laws enacted by Congress. This includes, but is not limited to, regulations such as: pesticide laws and registration, The Clean Water Act, and drinking water requirements.
Findings—Notes made by an inspector that are indexed to a Standard or related requirement. There may be multiple findings in an observation.

Floor/Wall Junction—The point at which the floor and wall meet.

Food Grade—A material or product that will not transfer nonfood chemicals into the food and contains no chemicals that would be hazardous to human health.

Food Safety Modernization Act (FSMA)—The act signed into law on January 4, 2011 that aims to ensure the safety of the United States food supply is safe by shifting the focus from responding to contamination to preventing it.

Foreign Supplier Verification Program—The import requirement of FSMA that deals with verification of the safety of food offered for import into the United States. Importers that fail to comply with this program are prohibited from importing food into the United States.

Good Manufacturing Practice (GMP)—A food manufacturing practice that, when followed, protects food from contamination. Examples are defined in the U.S. 21 CFR 110. Sometimes a “c” is placed in front of the abbreviation, GMP, to indicate that the practice is current.

Hazard Analysis Critical Control Point Program (HACCP)—The 7 step process used to identify, eliminate, or reduce to an acceptable level any physical, chemical, or microbial hazards identified in the ingredients, process, or product being manufactured. HACCP is based on risk assessment, and identifies the points within the process where controls may be put in place and monitored to control the identified hazards.

Imminent—Likely to occur at any moment.

Infestation—The presence of live or dead life cycle stages of insects in a host product, the evidence of insect presence, or the establishment of an active breeding population.

Initial Category Score—This is the first score assigned based on severity. The total number of single and separate observations may bring the initial category score down.

Inspection—A thorough physical review of a food facility to assess what is actually happening in a facility at a moment in time.

Inspector—A person who conducts the inspection.

Integrated Pest Management (IPM)—An effective and environmentally-sensitive approach to pest management that relies on a combination of common sense practices. The information in combination with available pest control methods is used to manage pest damage by the most economical means and with the least possible hazard to the people, property, and the environment.

Multiple Observations—Findings (single or multiple) noted under more than one Standard and related requirements. For example: All findings noted in 1.1 Rejection of Shipments/Receipt of Dry Goods and 1.3 Storage Practices will be counted as two observations. An observation will be counted for each Standard involved.

Nontoxic—Not toxic; a nontoxic substance is not considered a food, but would not cause injury or death if consumed.

Pathogen—An agent that causes disease—especially a living microorganism such as a bacterium or a fungus.

Pest Harborage—Any condition or structural defect that provides a place for pests to live and reproduce.

Pesticide—A chemical used to kill harmful animals or plants. Pesticides are used especially in agriculture and around areas where humans live. Some are harmful to humans, either from direct contact or as residue on food, or are harmful to the environment because of their high toxicity, such as DDT (which is now banned in many countries). Pesticides include fungicides, herbicides, insecticides, and rodenticides.

Pest Management Regulatory Agency (PMRA) (Canada).

Phase I Environmental Assessment—A report prepared for a real estate holding which identifies potential or existing environmental contamination liabilities.

Policy—Statements that reflect decisions made by management. Policies are frequently strategic statements from facility leadership that demonstrate the direction of the organization, and prove senior management support.

Potable—Fit to drink. In food safety, this usually refers to water.

Practices—Physical evidence that a Program is being followed in a facility. For example, if an inspector sees that a facility keeps chemicals segregated and secure, this is proof that a facility is implementing a Chemical Control Program through practice.

Prerequisite Programs—Food facility Programs that lay the foundation for food safety and HACCP and create the environment required for producing clean and safe food.

Preventive Maintenance Program—A schedule of planned maintenance activities.

Prior Load Verification—Documentation indicating that the same material was shipped in a bulk vessel to demonstrate that no cross contamination of non-like materials shipped in the same vessel occurred. This is typically done when a wash or dry cleaning step is not conducted between loads.
Procedures—Step-by-step instructions on how to execute on a task in a Program. For example, in a facility’s Chemical Control Program, there may be a procedure on how to clean up a chemical spill.

Product Area—The area close enough to the Product Zone that if an issue were found there, would impact the safety of the Product Zone.

Product Zone—All food contact surfaces, and all unprotected areas directly above food contact surfaces. The Product Zone includes areas directly above exposed raw materials, work-in-process, or finished product.

Program—A collection of documentation related to the management of an element in a facility that impacts food safety. For example, a Chemical Control Program documents everything related to the control of chemicals in a food facility. This might include procedures, policies, personnel responsible, lists of approved chemicals, storage requirements, documentation requirements, or other documents. All Prerequisites in a facility have a documented Program.

Rejection—To refuse to accept nonconforming product.

Reportable Food Registry (RFR)—An electronic portal maintained by the US FDA for industry to report when there is a reasonable probability that an article of food will cause serious adverse health consequences. This applies to all FDA-regulated categories of food and feed, except dietary supplements and infant formula. Registered food facilities that manufacture, process, pack, or hold food for human or animal consumption in the United States are subject to this act.

Risk Assessment—The categorization of observations in a facility into one of five categories: No Issues Observed, Minor Issues Noted, Improvement Needed, Serious, or Unsatisfactory.

Sensitive—Readily affected or vulnerable. In this document, sensitive is used to describe foods that are affected by temperature, and areas of a facility that are vulnerable to pests.

Severity—The level of risk within a risk assessment category (e.g., how severe is an observation within the risk category of Improvement Needed?).

Single Observation—Findings (single or multiple) noted under a single Standard and related requirements. Example: All findings noted in Standard 1.6 Pallets or in any of its requirements (1.6.1.1, 1.6.1.2, 1.6.2.1, 1.6.2.2) will be evaluated as one observation.

Supplier Guarantees/Letter of Guarantee (LOG)—A letter provided to the customer from the supplier stating that their product meets all regulatory requirements, and that they intend to continue to meet these guidelines for all products that they will produce and sell to the customer.

Total Score—The total of all category scores.

Toxic—Capable of causing injury or death, especially by chemical means; poisonous.

Traceability—The identification of any suspect ingredient or finished product and its initial shipment location. While related to recall, traceability is a separate program.

USDA Good Agricultural Practices (GAP) and Good Handling Practices (GHP)—A collection of specific methods that, when applied to agriculture, result in harmony with the values of the proponents of those practices.

Validation—To establish whether a Program or procedure is correct or not.

Verification—To establish whether a Program or procedure is being followed or not.