



RI DEM Produce Safety PSR and RI GAP Compliance Criteria

Table of Contents

| | |
|--|----|
| Program Overview | ii |
| Introduction | ii |
| Basis of Criteria | ii |
| Purpose | ii |
| Program Scope | ii |
| Annotation Key | ii |
| RI Produce Safety Record Checklist | iv |
| RI Produce Safety Checklist..... | v |

Program Overview

Introduction

The Rhode Island Department of Environmental Management (RIDEM) Produce Safety Program and University of Rhode Island (URI) Cooperative Extension has modified its pre-existing third-party audit program for fresh fruits and vegetables, RI Good Agricultural Practices (GAP), to include practices and requirements identified in 21 CFR, part 112-the Produce Safety Rule (PSR). The modified program requirements provide a clear compliance framework for standards identified in the federal rule for those farms requiring a third-party audit for market access who also require or desire the conduct of an inspection for fresh produce under the authority granted in RI General Law 2-1-9 and 2-1-10.

Basis of Criteria

The updated Rhode Island Good Agricultural Practices (RIGAPS) produce safety program requirements have been established through the integration of GAPs with standards for the growing, harvesting, packing, and holding of produce for human consumption, as identified in 21 CFR, Part 112.

Through this integration, the program area has modified its service delivery of third-party audit services to support PSR compliance necessitating only one (1) visit for market access certification /regulatory compliance. By design, farms that have completed a satisfactory RIGAPS audit are compliant with the standards identified in the PSR as supported and enforced pursuant to RI General Law 2-1-9 and 2-1-10.

Purpose

The purpose of this document is to establish and communicate the criteria for PSR compliance under RIGAPS produce program requirements. Compliance Criteria is identified using a checklist tool that establishes individual program requirement equivalency with subparts and sections of the PSR. Each checklist item is articulated and further elaborated to provide an in-depth understanding of how the checklist serves this purpose and how the auditee can comply with each requirement.

Program Scope

The RIGAPS program is based on two (2) main components: *Produce Safety* and *Environmental Standards*. Environmental Requirements for the program are established for the management and control of natural resources, nutrients, chemical use and storage, energy-consumption and conservation practice as identified in Federal, State and local regulations and requirements. The compliance criteria outlined below only focuses on the Produce Safety Checklist.

Annotation Key

Certain items throughout the checklist are noted with symbols and/or letters. These symbols help to identify certain activities that are necessary as well as supporting documentation for some activities. The following are as such:

§: This signifies a checklist item that is a requirement as part of the Produce Safety Rule. These items are requirements listed as part of the PSR; the reference numbers cite where the specific requirement can be found. All eligible farms must satisfy this requirement as part of their regulatory requirement.

!: This signifies a practice or activity that is critical to preventing the contamination of produce. If requirements are not met, there is high risk for produce to become contaminated.

Any documentation listed in blue denotes that it is a supporting document or policy needed to meet certain produce safety requirements. *Documents listed in italics are farm-dependent and may not apply to all farm operations.*

Any documentation listed in green denotes that it is a record required to maintain compliance and pass a Produce Safety Inspection. *Documents listed in italics are farm-dependent and may not apply to all farm operations.*

RI Produce Safety Record Checklist

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RI Produce Safety Record Checklist



| Records | Supporting Document/ Policies |
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| Employee Health, Hygiene and Training | |
| <i>Personnel Qualifications and Training</i> | |
| <input type="checkbox"/> Worker Training Record § <input type="checkbox"/> PSA Training Certification § | <input type="checkbox"/> Worker Training Policy |
| <i>Health and Hygiene</i> | |
| <input type="checkbox"/> Employee Illness Log | <input type="checkbox"/> Employee Hygiene Posting <input type="checkbox"/> Visitor/ Contractor Posting <input type="checkbox"/> Hand Wash Signage <input type="checkbox"/> Blood/ Bodily Fluid Policy <input type="checkbox"/> Facility Identification <input type="checkbox"/> <i>Glove Policy</i> <input type="checkbox"/> <i>Hair Covering Policy</i> |
| Agricultural Water | |
| <input type="checkbox"/> Water System Inspection § <input type="checkbox"/> Water Test Results § <input type="checkbox"/> <i>Municipal Water Cert. §</i> <input type="checkbox"/> <i>Letter of Guarantee from Ice Co. or Test Results §</i> <input type="checkbox"/> <i>Water Treatment Monitoring Record §</i> | <input type="checkbox"/> Water Change Out Policy <input type="checkbox"/> Mix/ Monitoring Sanitation Policy <input type="checkbox"/> Farm Map – Distribution System |
| Soil Amendments | |
| <input type="checkbox"/> <i>Compost Treatment Record §</i> <input type="checkbox"/> <i>Untreated Compost Application Record</i> <input type="checkbox"/> <i>Cleaning and Sanitizing Record §</i> <ul style="list-style-type: none"> • <i>Compost Equipment & Tools</i> | <input type="checkbox"/> <i>Letter of Guarantee from Third Party§</i> <input type="checkbox"/> <i>Compost Handling Policy</i> <input type="checkbox"/> <i>Compost Equipment & Tool Policy</i> |
| Animals | |
| <input type="checkbox"/> Animal Incursion Log | <input type="checkbox"/> Animal Incursion Policy <input type="checkbox"/> Pet Restriction Signage <input type="checkbox"/> <i>Farm Animal &/or Pet Zoo Policy</i> <input type="checkbox"/> <i>Petting Zoo Signage</i> |
| Harvest & Post-Harvest | |
| <i>Growing, Harvesting, Packing and Holding Activities</i> | |
| <input type="checkbox"/> Cleaning and Sanitizing Record § <ul style="list-style-type: none"> • Food Contact Surfaces | <input type="checkbox"/> Sanitation Policy – Food Contact Surfaces <input type="checkbox"/> Harvest Practice Policy |
| <i>Equipment, Tools and Buildings</i> | |
| <input type="checkbox"/> Cleaning and Sanitizing Record § <ul style="list-style-type: none"> • Harvest Containers • Equipment & Tools • Transport <input type="checkbox"/> Restroom Monitoring & Cleaning Log <input type="checkbox"/> <i>Pest Control Monitoring Record and Map</i> <input type="checkbox"/> Cooler Temperature Log | <input type="checkbox"/> Water Tank Sanitation Policy <input type="checkbox"/> <i>Pest Control Policy</i> <input type="checkbox"/> <i>Pest Control Service Contract</i> |
| Food Safety Plan | |
| <input type="checkbox"/> Mock Recall Summary <input type="checkbox"/> Corrective Action Log | <input type="checkbox"/> General Farm Information <input type="checkbox"/> Recall - Traceability Policy <input type="checkbox"/> Farm Map <input type="checkbox"/> Risk Assessment |

§= Produce Safety Rule Requirement (Items in italics are farm dependent)

RI Produce Safety Checklist

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Rhode Island Produce Safety Checklist

For meeting the requirements of RI GAP and the Produce Safety Rule

RI DEM Division of Agriculture
Produce Safety Program
URI Cooperative Extension
Food Safety Education Program



Farm Name:

Date:

| | Personnel Qualifications and Training | | Comments |
|-----------|--|---|--|
| Section 1 | Qualifications and training for personnel who handle (contact) covered produce or food contact surfaces | | |
| § 1.1 | Is there a documented training policy in place including schedules, multi-lingual support and training curriculums? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.22: Personnel must receive training on principles of food hygiene and food safety, the importance of health and personal hygiene for all personnel and visitors, identifying and isolating produce that may be contaminated, cleaning and sanitizing of equipment and relevant buildings/surfaces, inspecting harvest containers and equipment to ensure they are not a source of contamination, and incidences of blood or bodily fluid first aid and cleanup. Additional training topics may be necessary depending on the scope of the operation. Training should be adequate and appropriate to the employee's job function. |
| § 1.2 | Have farm personnel received food safety training upon hire and annually thereafter or as needed? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.21: Trainings should be conducted pre or early season for all employees and at least annually for full-season or returning employees. If new employees are brought on after the initial training or mid-season, they must also be trained. Employees may also receive follow up trainings as necessary. |
| § 1.3 | Do you have documentation of employee training, including the date of training, topics covered, and the person(s) trained? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.30: Documentation for training shall include date, topics covered in training, training officer, and name and signature of trainees. |

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| Section 2 | Assignment or identification of supervisors | | |
| § 2.1 | Is there a designated person who is responsible for the operation and ensures personnel are properly trained and qualified? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.23: The assignment of a Farm Food Safety Manager must be included in the food safety plan and explicitly made known to all relevant farm staff. |
| § 2.2 | Has a supervisor successfully completed the PSA approved PSR/GAP Grower Training course, or an approved equivalent? Is a copy of the training certificate on file? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.22(c): Farm Food Safety Manager must have attended and completed the Produce Safety Alliance Grower Training course. A copy of the certificate must be presented as verification of receipt of formal training. |

| | Health and Hygiene | | Comments |
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| Section 4 | Measures to prevent ill or infected persons from contaminating covered produce with microorganisms of public health significance | | |
| § 4.1 | Are personnel with exposed cuts, sores, or lesions restricted from handling product? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.31: Employees are to be excluded from activities that may result in contamination of covered produce or food contact surfaces when the person is shown to have, or appears to have, an applicable health condition. Personnel must notify their supervisor(s) if they have an applicable health condition. |
| § 4.2 | Are workers and field personnel who show signs of illness restricted from direct contact with produce, produce flow zones and food contact surfaces? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.31: Employees are to be excluded from activities that may result in contamination of covered produce or food contact surfaces when the person is shown to have, or appears to have, an applicable health condition. Personnel must notify their supervisor(s) if they have an applicable health condition. |
| § 4.3 | Are personnel instructed to report illness/injury to a supervisor? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.31(b)(2): Personnel must notify their supervisor(s) if they have an applicable health condition. |
| 4.4 | Is there a written blood and bodily fluids policy and SOP regarding the handling and cleanup of contaminated areas? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Written policy will serve as a guide for what to do in the event of a situation where blood or bodily fluids may result in the contamination of covered produce, food contact surfaces, or other potential sources for contamination. Refer to Chapter 3, Section 1, Part e. of the <i>Standards for the Growing, Harvesting, Packing, and Holding of Produce for Human Consumption: Guidance for Industry (fda.gov)</i> . |
| 4.5 | Are first aid kits properly stocked, updated, and accessible to all personnel? ! | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | First aid kits should be available at all permanent sites and for transport when required. Kits should be updated and restocked as necessary and appropriate for relevant activities on the farm. |

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| 4.6 | Are records kept regarding employees that were restricted (due to illness or injury) from direct contact with produce, product flow zones, and food contact surfaces? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Records should indicate when a serious injury or illness (resulting in an employee's inability to directly handle produce or food contact surfaces) has occurred as a form of trace-back in the event of an outbreak. |
| Section 5 | Hygienic practices of personnel | | |
| § 5.1 | Are clothing, footwear, and protective clothing effectively maintained, adequate for its use, and worn in a way that minimizes the risk of product contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.32(a)(b)(1): Clothing should be clean to start the day when applicable, changed throughout the day when becoming a potential source of contamination, and overall, worn in a way that maintains personal cleanliness and hygiene. |
| § 5.2 | When appropriate, are designated storage areas provided for employee belongings, protective clothing and tools and are they located away from product flow zones? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(b)(2): Employee belongings, protective clothing, and tools should be located in a way that reduces the exposure to potential contamination. Additionally, these designated areas should be located away from produce or product flow zones to prevent potential cross-contamination. |
| § 5.3 | Are single-use or disposable gloves worn in the facility? If so, is there a written or implied policy on gloves and when they should be replaced? (e.g. torn or contaminated) | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.32(b)(4): If gloves are used in handling covered produce or food contact surfaces, maintaining gloves in an intact and sanitary condition and replacing such gloves when no longer able to do so is necessary. |
| § 5.4 | Are gloves, aprons, or other equipment removed prior to using the restrooms or while on break? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.32(a)(b)(1): Equipment or protective clothing must be removed prior to using restroom facilities to minimize the risk of contamination, especially if said equipment/clothing is used directly or directly adjacent to produce or food contact surfaces. |
| § 5.5 | Are workers trained to remove or cover hand jewelry, if it cannot be adequately cleaned and sanitized before contacting covered produce? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.32(b)(5): Personnel must use hygienic practices while on duty to the extent necessary to protect against such contamination. If jewelry is worn, removing or covering hand jewelry that cannot be adequately cleaned and sanitized during periods in which covered produce is manipulated by hand is necessary. |
| 5.6 | Are hats or hair coverings in use at the farm/facility? If so, is there a policy in place? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.32(a): Personnel must use hygienic practices while on duty to the extent necessary to protect against such contamination. Hair and hair coverings must be worn in a way that complies with this ideal. If a formal policy regarding hair or hair coverings is in place, ensure that it is being followed. |
| § 5.7 | Is smoking, chewing, eating, drinking (other than water), urinating, defecating or spitting explicitly forbidden in growing/packing/harvest/storage areas? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.32(b)(6), §112.129(a): Ensure that smoking, chewing, and eating are done in designated employee break areas and away from product flow. Urinating and defecating are only permissible in proper restroom facilities. |
| § 5.8 | Do farm personnel wash their hands at any time when their hands may be a source of contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.32(b)(3): Examples include: before starting work, before putting on gloves, after using the toilet, upon return to the work station after any break or other absence from the work station, as |

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| | | | soon as practical after touching animals or animal waste, or at any other time when the hands may have become exposed in a manner that is reasonably likely to lead to contamination of produce or food contact surfaces. |
| 5.9 | Is signage requiring hand washing posted? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Signage mandating handwashing and handwashing instructions must be visibly present at all handwashing stations (and in additional languages if necessary). |
| Section 6 | Measures to prevent visitors from contaminating covered produce and food contact surfaces with microorganisms of public health significance | | |
| § 6.1 | Are contracted/business partners and visitors held to the same food safety standards as trained farm personnel? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.33(a): External partners and visitors must be made aware of policies and procedures to protect covered produce and food contact surfaces from contamination and take all steps reasonably necessary to ensure that visitors comply with such policies and procedures. |
| 6.2 | Does the farm have documented hygiene requirements/instructions that are visibly displayed for all workers and visitors to the farm? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Instructions or signage should serve as a present reminder to employees and as a resource for visitors or other individuals that may not as intimately aware of the operation's formal SOPs regarding food safety. |
| § 6.3 | Are toilet facilities easily accessible to visitors and of an adequate number (ex: PYO, farm tours)? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.129(a), §112.33(b): Personnel must be provided with adequate, readily accessible toilet facilities, including toilet facilities readily accessible to growing areas during harvest activities. Accessibility must conform to OSHA requirements. |
| 6.4 | Is there a permanent, visible sign identifying toilet and handwashing facilities for visitors? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Instructions or signage should serve as a present reminder to employees and as a resource for visitors or other individuals that may not be as intimately aware of the operation's formal SOPs regarding food safety. |
| 6.5 | Are break areas and visitor access areas located away from product flow zones and food storage areas? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Break areas should be specifically designated and sited away from produce acreage or product flow zones to reduce the potential for cross contamination. |
| § 6.6 | Are clean containers available for customer purchase and use? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.116(a): If packing containers must be constructed of materials that is considered single use and not easily cleaned and sanitized (i.e. carboard, wax boxes, plastic bags) it must be new and not reused. Containers must be adequate and approved for a food contact surface. If containers are reused, they must be appropriately cleaned and sanitized prior to each use. |
| 6.7 | Is produce picked by customers used for sale to the public? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Produce picked by customers/ visitors have a greater risk of contamination. Resale of produce picked by customers is not permissible for resale to the public. |

| | Agricultural Water | | Comments |
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| Section 7 | Quality of agricultural water | | |
| § 7.1 | Is all agricultural water safe and of adequate sanitary quality for its intended use? If no, see 11.1. | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.41: All agricultural water must be safe and of adequate sanitary quality for its intended use. Sanitary quality is dependent on use, the standards of which are described in Subpart E. |
| Section 8 | Agricultural water sources, water distribution system, and pooling of water | | |
| § 8.1 | Are initial (pre-season) risk assessments performed and documented, taking into consideration the water source history, the characteristics/stage of the crop, the method of application, and the upstream contamination risks? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.42(a): At the beginning of each growing season, and at least once annually, the agricultural water systems must be inspected to identify conditions that are reasonably likely to introduce hazards or contaminants into or onto covered produce or food contact surfaces. Factors that should be taken into consideration: type of water source, ability to control water source, degree of protection of each agricultural water source, use of adjacent and nearby land, and the likelihood of a contaminant being introduced prior to the water entering the operation's distribution system. |
| § 8.2 | Are water sources inspected and maintained to prevent contamination (i.e. repairs to well cap, control of cross connections, free of debris)? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | § 112.42(c) Water sources, such as wells, must be adequately maintained; including regular inspections and correcting any deficiencies (e.g. repairs to well cap, well casing, sanitary seals, piping tanks and treatment equipment, and control of cross connections); and keeping the source free of debris, trash, domesticated animals, and other possible sources of contamination to the extent practicable. |
| 8.3 | Are water sources, irrigation systems, pumps, mains and withdrawal points, including distribution (drip, overhead) clearly indicated on farm map? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | A water system description shall be available for review to ensure that all water sources, irrigation systems, pumps, mains and withdrawal point, including distribution systems are regularly maintained, inspected and sited to minimize the potential for produce contamination. |
| Section 9 | Treating agricultural water | | |
| § 9.1 | If sanitizers are used in rinse/wash water, are they approved for food contact use and is the use monitored appropriately and are records maintained? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | The use of sanitizing agents is not required, but if such agents are used in post-harvest/washing activities, ensure that the sanitizer is approved for this specific purpose and that usage reflects the instructions on the product label. |
| Section 10 | Microbial quality criteria applicable to agricultural water used for certain intended uses | | |

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| § 10.1 | Is the water and ice used in post-harvest activities free of detectable generic <i>E. coli</i> per 100mL? If no, see 11.2. | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.44(a): Any water used for post-harvest activities that comes into direct contact with produce, food contact surfaces, or is used for hand washing must meet this standard. Water tests and/or documentation must be present for validation. If post-harvest water does meet this criteria, any alternative and/or treatments should comply with PSR parts §112.43 and §112.45. |
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| 10.2 | Is water used to display produce clean and changed often? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.130(c), §112.133(b)(c)(d): Waste/wash/cooling water should be discharged in a way that minimizes the risk of contamination. |
| Section 11 | Corrective measures if agricultural water does not meet requirements of Section 7 or Section 10. | | |
| § 11.1 | If agricultural water is not safe and of adequate sanitary quality for its intended use, have corrective measures been taken to prevent contaminating produce? Have these measures been documented? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.50(b)(1): In the event that a repair or upgrade is required as a corrective action to an issue that may potentially cause contamination, the corrective action must be logged and recorded. |
| § 11.2 | If the water and/or ice used in post-harvest activities contains <i>E. coli</i> , have corrective measures been taken to prevent water from contaminating produce and has the source been re-tested to ensure zero <i>E. coli</i> per 100mL of water? Have these measures been documented? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.50(b)(1): In the event that a repair or upgrade is required as a corrective action to an issue that may potentially cause contamination, the corrective action must be logged and recorded. |
| Section 12 | Testing agricultural water | | |
| 12.1 | If using groundwater, is each source tested at least twice a year, once before peak harvest time? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.41, §112.44(b): Water tests should not exceed 126 CFU or less per 100ml (generic <i>E. coli</i>) for pre-harvest/agricultural water. Whether or not the water comes into direct with the edible portion of the crop will factor into testing frequency. If agricultural water does meet this criteria, any alternative and/or treatments should comply with PSR parts §112.43 and §112.45. |
| 12.2 | If using surface water, is each source tested at least three times per season: 1) prior to harvest; 2) at peak of harvest time; 3) at least once in July or August? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.41, §112.44(b): Water tests should not exceed 126 CFU or less per 100ml (generic <i>E. coli</i>) for pre-harvest/agricultural water. Whether or not the water comes into direct with the edible portion of the crop will factor into testing frequency. If agricultural water does meet this criteria, any alternative and/or treatments should comply with PSR parts §112.43 and §112.45. |
| § 12.3 | Are all groundwater and/or surface water test results kept on file and available for review? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.50(b)(2): The location where the water sample(s) have been taken should be identified on the farm map. Water source test results should be centrally located and easily accessible for review. |
| § 12.4 | If using municipal water, is there a report/certification from town/city to verify water quality on file? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.46(a), §112.50(b)(7): For municipal water, the proper report/certification from the corresponding municipality is required for water quality verification. A copy of this report/certification should be kept with any additional surface or ground water source tests. While not required, it is considered a best practice to independently test municipal water for validation of the report's findings. If agricultural water |

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| | | | does meet this criteria, any alternative and/or treatments should comply with PSR parts §112.43 and §112.45. |
| § 12.5 | Is the water-testing laboratory utilized for the above testing a state-certified laboratory that performs the FDA approved methodology for generic <i>E. coli</i> testing? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.151: The lab(s) should be listed on the RIDEM Produce Safety Program list of approved water testing facilities. |
| Section 13 | Water that is used during harvest, packing, and holding activities | | |
| § 13.1 | If a dunking method or re-circulated water is utilized, is there a water change-out schedule SOP and are these change-outs documented? ! | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.48(a): For dunk tanks or other re-circulated water, water-change schedules must be established to maintain its safety and adequate sanitary quality and minimize the potential for contamination (for example, hazards that may be introduced into the water from soil adhering to the covered produce). Corresponding logs should record instances of these change outs. |
| § 13.2 | Depending on the wash system used, are water pH, temperature, and turbidity monitored on the wash system? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.48(b)(c): Water must be visually monitored for buildup of organic material and indications of necessitating a change. Depending on commodity, temperature should be monitored to prevent infiltration of microorganisms. Corresponding logs should provide records of when this monitoring occurs. |

| | Biological Soil Amendments of Animal Origin (BSAAO) and Human Waste | | Comments |
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| Section 15 | Handling, conveyance, and storage of biological soil amendments of animal origin | | |
| § 15.1 | Have relevant farm personnel been trained in BSAAO handling? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.21(a)(b), §112.52: Training must be provided to personnel handling Biological Soil Amendments of Animal Origin (BSAAO). This training includes the potential routes of cross contamination, utensil handling and sanitation, protective equipment limitations and requirements (such as designated boots for compost activities), handwashing, and other methods put in place to minimize the potential for contamination. |
| § 15.2 | If the same equipment is used to handle soil amendments of animal origin and covered produce, are SOPs and records in place regarding cleaning and sanitizing? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.52, §112.123(d)(2)(e), §112.140(b)(2): Detailed cleaning and sanitizing steps shall be in place in regard to any tools or equipment used to treat, transport, apply etc. BSAAO, and any relevant personnel should be properly trained on these activities. There must be corresponding records that indicate when, who, and how equipment/tools were cleaned/sanitized. |

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| § 15.3 | Are soil amendments stored in a proper location away from produce harvesting, packing and storage locations? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.52: Soil amendments (treated and untreated) must be handled and stored in a manner and location such that they do not become a potential source of contamination to covered produce, food contact surfaces, areas used for a covered activity, water sources, water distribution systems, and other soil amendments. Possible runoff from rain or another source, dust, or vehicle/foot traffic should be taken into consideration. |
| Section 16 | Use of human waste | | |
| § 16.1 | Is human waste being used, and does it meet the EPA regulations for biosolids of 40 CFR parts 503, Subpart D? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.53: For human waste soil amendments, you are required to obtain documentation once per year that certifies that the waste was properly treated according to the EPA regulations for biosolids of 40 CFR part 503, Subpart D. |
| Section 17 | Determining status of biological soil amendments of animal origin; acceptable treatment processes; applicable microbial standards for such treatment processes; and, application requirements and minimum application intervals for biological soil amendments of animal origin | | |
| § 17.1 | If using untreated soil amendments (e.g. manure), are they applied in a manner that minimizes contact with covered produce? Is application avoided within 2 weeks of planting or within 120 days (for product with direct soil contact) or 90 days (no direct soil contact) of harvest as per organic standards? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.51, §112.56(a): An untreated soil amendment is any amendment that has not been processed to completion to adequately reduce microorganisms of public health significance including raw manure, vegetative waste, etc. Application intervals for such amendments are to conform to the 90/120 windows of application. Application records should show adherence to the necessary intervals and include dates of application, type of soil amendment, and location of application; the pre-harvest interval should correspond with application date and harvest records for those fields. |
| 17.2 | Are records kept indicating both the type and date of application of untreated soil amendments? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Application records for untreated soil amendments help verify compliance with the 90/120 application intervals further elaborated on in item 17.1). Application records for properly processed and treated soils amendments provide a method of trace-back in the event that the soil amendment was contaminated after treatment or the letter of compliance from a third-party supplier was delinquent, resulting in an outbreak. |
| § 17.3 | Has the compost process on farm been scientifically validated (aerated static composting, turned composting, other)? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.54(b)(1)(2): Scientifically validated composting methods that would be permissible for a 0 day application interval include 1) <i>static composting that maintains aerobic (i.e., oxygenated) conditions at a minimum of 131 °F (55 °C) for 3 consecutive days and is followed by adequate curing</i> ; 2) <i>turned composting that maintains aerobic conditions at a minimum of 131 °F (55 °C) for 15 days (which do not have to be consecutive), with a minimum of five turnings, and is followed by adequate curing</i> . Additional methods of properly treating and processing soil amendments and microbial standards for said processes can be referenced in PSR parts §112.54(a)(b) and §112.55 respectively. |

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| § 17.4 | Are there records in place for monitoring composting and are times of turning, core temperatures and other indicators logged on a routine basis? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.60(b)(2): For a treated biological soil amendment of animal origin produced on farm, documentation that process controls (for example, time, temperature, and turnings) are necessary to validate the processes and microbial standards approved for 17.3 . |
| § 17.5 | If soil amendments containing animal product purchased from a third party are used, is there a letter of guarantee that assures the contents and/or processes are not a source of possible microbial contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.60(b): For treated biological soil amendments of animal origin (BSAAO) that are supplied from a third party, documentation is required at least once per year that certifies that the BSAAO was properly treated, handled, transported, and stored. |

| Domesticated and Wild Animals | | | Comments |
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| Section 19 | Measures related to grazing animals, working animals, or animal intrusion | | |
| § 19.1 | Is animal activity monitored on a constant basis and are incursions that present a food safety risk recorded with appropriate corrective actions? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.83: An SOP should be developed for assessing relevant areas for evidence of potential contamination. Specific personnel should be assigned to conduct the monitoring, and they should be properly trained for this task. |
| § 19.2 | Is there an SOP for the isolation of produce areas and operations in the event of a wildlife incursion? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | In the event of a significant wildlife incursion, any measures must be appropriate to minimize the potential of contamination and comply with any local, state, or federal regulations as they relate to animals and animal control. Per §112.84 of the PSR, the “taking” of threatened or endangered species is not authorized. |
| § 19.3 | Are all farm animals/livestock restricted from and sited in a way to minimize the risk of microbial contamination of production/harvest areas, equipment, storage, and product flow zones? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.83(b), §112.134: If farm animals or livestock are present on the farm, ensure that their location(s) take into consideration adjacent produce acreage and product flow zones. Examples of protective measures include implementing features to control runoff of animal waste (i.e. ditches, mounds, diversion berms, vegetative buffer strips, or animal waste containment structures). |
| § 19.4 | Are animal waste management SOPs developed regarding working farm animals if utilized on the farm (hand washing, separate equipment, etc.)? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.83(b): If working farm animals are used on the farm, there must be formal SOPs in place that ensure the adequate cleanliness of personal hygiene, worker clothing/footwear, tools, and equipment including change-out of equipment, clothing or footwear between produce/animal activities and cleaning of equipment. Additionally, if working animals are used in the production fields, ensure that their use and presence in the fields complies with item 17.1 . |

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| 19.5 | Are petting zoos properly sited, and is signage posted instructing workers and visitors to wash their hands after touching animals and not to eat in the petting zoo area? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.33(b), §112.83(b): If the farm has a petting zoo, ensure that the location takes into consideration adjacent produce production acreage and product flow zones. There should be special consideration in educating and informing visitors on relevant and proper health and hygiene techniques in relation to the rest of the operation and signage to support these requirements. A handwashing station should be appropriately close to any petting zoos or animals. |
| 19.6 | Is there signage in place to communicate the restriction of pets entering growing, harvesting, and pack areas for visitors and neighbors of the operations? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Signage is necessary to inform others of the operation's policy on pets in product flow zones. Where relevant, signage should dictate areas where domestic animals are not permissible. Where animals are permitted, signage should stipulate rules and guidelines for ensuring such animals do not pose a risk of contamination. |

| Growing, Harvesting, Packing, and Holding Activities | | | Comments |
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| Section 20 | Measures related to growing, harvesting, packing, or holding both covered and excluded produce | | |
| § 20.1 | Is non-covered produce kept separate from covered produce? If yes, see 20.2. | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.111(a): Keep covered produce separate from non-covered produce, except when covered and excluded produce are placed in the same container for distribution (such as a CSA basket). |
| § 20.2 | Is there an SOP to clean and sanitize shared (covered and non-covered crops) food contact surfaces between uses, and are there corresponding records? ! | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.111(b), §112.140(b)(2): Adequately clean and sanitize, as necessary, any food contact surfaces that contact non-covered produce before using such surfaces for covered activities on covered produce. |
| Section 21 | Measures to be taken immediately prior to and during harvest activities | | |
| § 21.1 | Is there a policy that indicates visibly contaminated, adulterated, damaged, or decayed produce is not harvested or is culled? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.112; §112.114: Immediately prior to and during harvest activities, all reasonable measures necessary must be taken to identify and not harvest produce that is likely to be contaminated with a known or reasonably foreseeable hazard. |
| Section 22 | Handling harvested covered produce | | |
| § 22.1 | If direct to box harvesting is conducted, are boxes new and are they kept away from direct soil contact during harvest? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.113, §112.116(a)(1)(2): If field packing is conducted, the packing material must not come in direct contact with the ground. Exposure to the ground poses a risk of cross-contamination, which can be spread if boxes are stacked or stored in the same location as washed/packed produce. |

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| § 22.2 | Is harvested produce transported and stored in a manner to minimize physical damage, chemical contamination and to allow for appropriate cleaning and inspection? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(a)(b)(1)(2)(c), §112.125: Equipment or tools that come in contact with produce must be designated for this purpose, in good working and sanitary condition, and stored in a way that minimizes the risk of contamination. Vehicles used to transport produce must also be adequately clean and maintained for this purpose. Additionally, Adequate space shall be maintained between rows of stored materials to allow cleaning and inspection. |
| Section 23 | Disposition of dropped covered produce | | |
| § 23.1 | Is there a policy in place to ensure that dropped produce, or produce that unintentionally comes into contact with the soil prior to harvest, is not distributed or sold? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.112; §112.114: Immediately prior to and during harvest activities, all reasonable measures necessary must be taken to identify and not harvest produce that is likely to be contaminated with a known or reasonably foreseeable hazard. “Dropped produce” must also not be distributed. |
| Section 24 | Measures related to packaging covered produce | | |
| § 24.1 | Is produce susceptible to <i>Clostridium botulinum</i> packaged in a manner that prevents this hazard? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.115: Covered produce must be packaged in a manner that prevents the formation of <i>Clostridium botulinum</i> toxin if such toxin is a known or reasonably foreseeable hazard (such as for mushrooms). |
| Section 25 | Measures related to food-packing (including food-packaging) material | | |
| § 25.1 | Are the food packing/packaging materials new and approved for food contact use? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.116(a): If food packing or packaging is constructed from a material that is considered single use and not cleanable or easily sanitized (i.e. cardboard, wax boxes, plastic bags), it must be new and not reused. Packing and packaging material must also be adequate and approved for a food contact surface. |
| § 25.2 | If liners are used, are they new and utilized in a way that minimizes possible introduction of contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.116(a)(1)(b): If food-packing material is reused, adequate steps must be taken to ensure that the food contact surfaces are clean, such as using a clean liner. |
| 25.3 | Is produce stored at least six inches off the floor? (e.g. pallets) | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Produce must be stored in a manor to minimize potential contamination. |

| Equipment, Tools, Buildings, and Sanitation | Comments |
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| Section 26 | Equipment and tools | | |
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| § 26.1 | Are there SOPs in place regarding storage, inspection, and proper use of harvesting containers including wooden bins? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(a)(b)(c)(d)(1): Harvest containers must be stored and maintained to protect covered produce from being contaminated with known and reasonably foreseeable hazards and to prevent the attraction and harborage of pests. Harvest containers should be specifically used for this purpose in an effort to avoid any potential for cross contamination (i.e. using the same bins for harvest, culls, and carrying harvest tools without cleaning and sanitizing between uses). |
| § 26.2 | Are there SOPs and records indicating when and how harvest containers are cleaned and sanitized? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(d)(1), §112.140: Harvest bins and containers must be cleaned and appropriately sanitized as frequently as reasonably necessary to protect against contamination. Factors that would affect frequency of such activities include commodity type, storage location of containers, animal incursion, etc. There must be corresponding records that indicate when, who, and how bins were cleaned/sanitized. |
| § 26.3 | Is packaging maintained and stored in a way that minimizes the risk of contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(b)(2): Food packing and packaging material storage must be sited in a way reduces the possibility of exposure (i.e. away from soil amendments, domesticated animals, or pest incursions). If packing or packaging material appears to be adulterated or in bad condition, it should be discarded. |
| § 26.4 | Are there SOPs and records that indicate when equipment & tools (e.g. harvest knives, vehicles, pack lines, conveyor belts, storage coolers, water tanks) are inspected, cleaned and sanitized? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(d)(1)(2)(e), §112.140: Pack-room equipment must be inspected, maintained, and cleaned/sanitized as frequently as reasonably necessary to protect against contamination. There must be corresponding records that indicate when, who, and how equipment was cleaned/sanitized. Examples of pack-room equipment that directly or indirectly contacts produce include: brush washers, dunk tanks, hydro-coolers, pallet jacks, forklifts, etc. |
| § 26.5 | Are equipment and other food contact surfaces used in pack/retail operations in good repair and not a potential source of contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(a)(b)(1)(2)(c), §112.125: Equipment or tools that come in contact with produce must be designated for this purpose, in good working and sanitary condition, and stored in a way that minimizes the risk of contamination. |
| § 26.6 | If water tanks are used, are there SOPs and records regarding the frequency and method of cleaning? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(a)(d)(1): Water tanks must be adequate for use, maintained, and cleaned/sanitized as frequently as reasonably necessary to protect stored water from contamination. There must be corresponding records that indicate when, who, and how tanks were cleaned and sanitized. |
| 26.7 | Are refrigeration storage units maintained at the correct temperature and temperature logs are kept? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | When produce is cooled, it is cooled to temperatures appropriate to the commodity according to current established |

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| | | | regulatory or industry standards. Where temperature control is required for food safety, cooling facilities shall be fitted with temperature monitoring equipment or suitable temperature monitoring device. Cooling equipment shall be maintained so as not to be a source of product contamination. |
| Section 27 | Instruments and controls used to measure, regulate, or record | | |
| § 27.1 | Instruments or controls that are used to measure, regulate, or record temperatures, pH, sanitizer efficacy, or other conditions in order to control or prevent the growth of microorganisms are: accurate/precise, adequately maintained, and adequate in number? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.124: If such instruments are used, proper maintenance is necessary to ensure their effectiveness and accuracy of said tools. Depending on the scale of the operation, ensuring availability of the proper amount of is critical to determine effective measurements in a timely manner. |
| Section 28 | Equipment used in the transport or covered produce | | |
| § 28.1 | Are vehicles used to transport produce adequately clean and maintained for their intended use? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.123(a)(b)(1)(2)(c), §112.125: Equipment or tools that come in contact with produce must be designated for this purpose, in good working and sanitary condition, and stored in a way that minimizes the risk of contamination. Vehicles used to transport produce must also be adequately clean and maintained for this purpose. |
| Section 29 | Buildings | | |
| § 29.1 | Is building size, construction, and design (for indoor growing, packing, cold storage, dry storage, etc.) adequate from the prevention of produce contamination (including drains, pipes, floors, walls, fixtures, and ceilings)? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.126: The building should have enough room for covered activities to be conducted without allowing for cross-contamination between produce or food contact surfaces and building materials, non-food contact surfaces, or clothing. The placement of equipment and other materials in the building should allow for maintenance and sanitation. The design should consider the separation of operations to reduce potential cross contamination. Buildings are to be constructed in a way that facilitates maintenance of sanitary conditions. Windows, doors, and roofs of fully enclosed buildings should be constructed in a way that prevents leaks, entry of dirt, dust, debris, and pests. Consideration of the potential for contamination of produce and food contact surfaces from floors, walls, ceilings, fixtures, ducts, pipes, drips, or condensate. Measures should be taken to facilitate proper drainage to ensure that pooled water is not left standing for long periods. |

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| § 29.2 | Are workshop/maintenance areas located in multi-use buildings clearly identified and secured when possible and not a source of contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.126(a)(1): The potential for contamination must be reduced by effective building design including the separation of operations in which contamination is likely to occur. Maintenance areas should be located in a manner that protects produce from cross-contamination. |
| 29.3 | Are lights located in product flow zones protected or have shatterproof bulbs (including insect lights)? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Shatterproof or covered lights should be in the packing area, dry storage, coolers, and loading docks. Equipment that has potential sources of glass contamination in the event of breakage should be taken into consideration. |
| Section 30 | Domesticated animals in and around a fully-enclosed building | | |
| § 30.1 | Are pets restricted from growing, harvesting, pack and storage areas? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.127, §112.134: Pets must be restricted from fully enclosed buildings where there is product flow (i.e. washing, packing, and storage of produce, packing material, or harvest bins). Pets must also be restricted from the immediate production acreage. Guard or guide dogs can be exceptions in some instances, but excreta/litter must still be controlled |
| 30.2 | Is there signage in place to communicate the restriction of pets entering growing, harvesting, and pack areas for visitors and neighbors of the operation? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Signage is necessary to inform others of the operation's policy on pets in product flow zones. Where relevant, signage should dictate areas where domestic animals are not permissible. Where animals are permitted, signage should stipulate rules and guidelines for ensuring such animals do not pose a risk of contamination. |
| Section 31 | Pest control in buildings | | |
| § 31.1 | Is there a pest control program in place? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.128: The pest control program can be formal or informal depending on the operation and evidence of pest incursions. Specification or necessity are on a case-by-case basis. |
| § 31.2 | Are control measures and practices adequately implemented to control targeted pest populations? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.128: The operation is taking adequate and appropriate measures to control and reduce pest populations including proper trapping, sealing buildings, removing potential sites for pest harborage, etc. |
| 31.3 | Is the pest control program monitored in house? If so, is there a person identified as the responsible party for the management of the pest control program at your facility? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | If pest control is managed in-house, the program should be operated by management or specifically trained personnel. If pest control is managed in-house, the responsible party should be specified in the food safety plan and made known to the rest of the staff. |
| 31.4 | Is the pest control program monitored by a third party? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | If pest control is managed by a third party, the program must take measures to protect covered produce, food contact surfaces, and food packaging materials from contamination by pests in buildings. |

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| 31.5 | Are there SOPs or a Service Level Agreement (SLA) indicating how the pest control program is maintained, including frequency of monitoring and map of device locations? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Potential points of entry and potential routes of pest movement must be considered. Pest attractants or harborage areas should be minimized in and around buildings. The frequency of monitoring for pests should be based on several factors, including potential for pest activity, observations of pests, and |
| Section 32 Toilet facilities | | | |
| § 32.1 | Are toilet facilities designed appropriately and are they located for minimal risk of contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.129(b)(1)(2)(c): Toilet facilities must be designed and located to prevent contamination of covered produce, food contact surfaces, and product flow zones. They must also be directly accessible for servicing. |
| § 32.2 | Are toilet facilities easily accessible to employees and visitors and of an adequate number? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.129(a), §112.33(b): Personnel must be provided with adequate, readily accessible toilet facilities, including toilet facilities readily accessible to growing areas during harvest activities. Accessibility must conform to OSHA requirements. |
| § 32.3 | Are all restrooms/toilet facilities regularly maintained and in clean and sanitary condition? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.129(b)(1)(2)(3): Toilet facilities must be maintained to prevent contamination of covered produce, food contact surfaces, and product flow zones. They must also be serviced and cleaned at a frequency sufficient to ensure suitability of use and regularly supplied with toilet paper. |
| § 32.4 | Are restroom facilities being properly utilized? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.129(b): Restroom facilities are used properly and in a way that will not result in the contamination of covered produce, food contact surfaces, surface water sources, etc. (i.e. Toilet paper deposited only in toilet, trash disposed of in proper receptacles) |
| 32.5 | Are there records in place that indicate when facilities and restrooms are cleaned and stocked? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | At a minimum, cleaning logs should include date, time, name of individual that serviced restroom facility, and what was done. If a contracted entity services restroom facilities, these records must still be made available. |
| Section 33 Hand-washing facilities | | | |
| § 33.1 | Are all handwashing facilities equipped with potable water, soap and single use towels? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.130(a)(b)(d), §112.44(a)(4): Personnel must be provided with adequate, readily accessible hand-washing facilities outfitted with soap, potable water, and single use towels (or electric hand dryers). Antiseptic hand rubs may not be used as a substitute for soap and water. |
| § 33.2 | Are proper waste receptacles provided and being properly utilized for appropriate disposal of waste (i.e. waste water and used single-service towels)? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.130(c): Hand-washing facilities are used properly and in a way that will not result in the contamination of covered produce, food contact surfaces, surface water sources, etc. |
| 33.3 | Is signage requiring hand washing posted? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Signage mandating handwashing and handwashing instructions must be visibly present at all handwashing stations (and in additional languages if necessary). |

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| Section 34 | Control and disposal of sewage | | |
| § 34.1 | Are sewage systems located and maintained in a manner that prevents contamination of produce or food contact surfaces? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.131: Disposal of sewage must be into an adequate system and maintained in a manner that prevents the potential for cross-contamination; leaks and spills must be handled in a similar manner. After any significant event that could negatively impact a sewage/septic system, appropriate steps must be taken to ensure that the system continues to operate in a way that does not contribute to contamination. |
| § 34.2 | Is waste/wash/cooling water disposed of in a manner that will not cause cross contamination and that follows RI Discharge of Wash Water BMPs? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.130(c), §112.133(b)(c)(d): Waste/wash/cooling water should be discharged in a way that minimizes the risk of contamination. Discharge water should not pool outside and should be sited in a way that would not run off into active production acreage. |
| Section 35 | Control and disposal of trash, litter, and waste | | |
| § 35.1 | Are facilities and product flow zones kept in a tidy and orderly condition? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.132: The conveyance, storage, and disposal of trash, litter, and waste must be performed in a way that minimizes the potential for being an attractant or harborage of pests. It must be done in a way that protects against contamination of produce, food contact surfaces, areas used for a covered activity, or water sources. |
| § 35.2 | Is organic waste (cull piles, scraps from packing, etc.) handled and sited in a manner that reduces pest incursions and cross contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.132: The storage, transport, and disposal of culls/scraps must be performed in a way that minimizes the potential for being an attractant or harborage of pests. It must also be done in a way that protects against contamination of produce, food contact surfaces, areas used for covered activities, or water sources. |
| Section 36 | Plumbing | | |
| § 36.1 | Is plumbing of adequate size, design and adequately installed and maintained to avoid being a source of contamination? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.133: Plumbing systems must be of adequate size, design and adequately installed and maintained to distribute water under pressure as needed, properly convey sewage and liquid disposable waste, and not allow back-flow or cross contamination. |
| Section 37 | Control of animal excreta and litter from domesticated animals | | |
| § 37.1 | Is manure from petting zoos properly sited? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.52(a)(c), §112.134: See Section on BSAAO |

| Records | | | |
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| Section 45 | General record-keeping | | |
| § 45.1 | Do all records include, as applicable, the name and location of the farm, date and time of activity performed and initial or signature of the person who performed the activity? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.161: All records must comply with standards outlined in subpart O. |
| § 45.2 | Are all Worker Training Records, Water System Inspections, Water Test Results and/or Compost Treatment Records reviewed, dated and signed by a supervisor or responsible party? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.161(a)(4): All records must comply with standards outlined in subpart O. |
| § 45.3 | Is documentation readily available for inspection? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.166: All records must comply with standards outlined in subpart O. |
| § 45.4 | Are documents retained for a minimum period of two years? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | §112.164: All records must comply with standards outlined in subpart O. |

| | Food Safety Plan | Requirement | Comments |
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| G-1.1 | Has a written food safety plan been developed for the farm? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | The written food safety plan will serve as a guide for the operation to identify the farm's activities and develop formal, food safety SOPs relevant to ensuring compliance with the RI Produce Safety audit program and Produce Safety Rule. |
| G-1.2 | Is the food safety plan reviewed annually at a minimum? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | A dated coversheet indicating the most recent review of the food safety plan as well as listing of the reviewer would serve as verification of annual review. |
| G-1.3 | Does the farm have a farm map including, at a minimum, location, fields in cultivation, and water sources? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Farm map must include the relevant attributes listed in the corresponding checklist item. The map itself can take the form of Google Map printouts, hand drawn maps, NRCS maps, GIS, etc. |
| G-1.4 | Are corrective actions or food safety incidents, If any, documented in accordance with food safety plan procedures? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Any corrective actions implemented to address deviations from the operations food safety plan should be documented. |
| G-1.5 | Has the food safety plan, SOPs and other relevant documentation been reviewed prior to the audit/inspection? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | An internal review of the items listed on the Record Checklist prior to inspection helps to ensure an operation is prepared and organized with all required records and supporting documents. |
| G-1.6 | Has an internal review, using the current RI Produce Safety Checklist, been completed prior to the audit/inspection? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | An operation walk-through, technical assistance visit, or other pre-inspection review should be done to ensure all components of the RI Produce Safety Checklist are being addressed. |
| G-1.7 | If performing any routine sampling requiring laboratory analysis, is an approved, state certified laboratory being used and any documents maintained? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | All laboratory testing should go through a state-certified laboratory and results should be maintained for review. |
| | Farm Security | Requirement | Comments |
| G-2.1 | Are measures in place to mitigate any malicious acts to product, property or personnel? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Security measures are specific to the operation, but can include fencing, signage, video monitoring, and sign-in sheets among other activities as necessary. |
| | Traceability/Recall | Requirement | Comments |

| | | | |
|-------|---|---|--|
| G-3.1 | Is there a traceability and corresponding recall program in place? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | A written program should be in place that outlines the operation's formal SOPs for conducting trace-back and trace-forward exercises in the event of an outbreak or knowledge of otherwise adulterated product. Program should include emergency contact information and basic guidance and instructions on what to do in the event of a potential recall. |
| G-3.2 | Has a mock recall exercise been performed and documented within the last 12 months? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Operation must present a copy of a dated mock recall summary. Summary should include the partner participant and details on the effectiveness of the exercise, length of exercise, etc. |
| G-3.3 | Is there a permanent, visible sign identifying the farm to the public? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Farm name must be prominently and conspicuously be displayed in a manner Identifying the farm to the public. |
| G-3.4 | Are records maintained for all produce sold from the farm and farm stand and is all produce labeled appropriately at point of sale? | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> n/a | Farms must include prominently and conspicuously on food label or at point of sale, the name and complete business address of the farm where the produce was grown. This information can be on a label, poster, sign, placard, or documents delivered contemporaneously with the produce in the normal course of business, or, in the case of internet sales, in an electronic notice. |

| | | |
|--|--|--------------|
| Farm Name: | RI Produce ID: | Date: |
| Pre-Inspection/Audit Information | Comments | |
| FEI Number (if applicable) | | |
| Biosecurity Practices | | |
| Name/Title of PSR trained official | | |
| Participating in full food safety audit | <input type="checkbox"/> yes <input type="checkbox"/> no | |

Annotation Key

Certain items throughout the checklist are noted with symbols and/or letters. These symbols help to identify certain activities that are necessary as well as supporting documentation for some activities. The following are as such:

§: This signifies a checklist item that is a requirement as part of the Produce Safety Rule. All eligible farms must satisfy this requirement as part of a regulatory inspection.

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