

# Food Safety Programs and Auditing Protocol for the Tomato Supply Chain Greenhouse - USDA Checklist



## AUDITEE INFORMATION

Company Name: \_\_\_\_\_

**Audited Location Address** \_\_\_\_\_ **GPS (Optional):** \_\_\_\_\_

Street: \_\_\_\_\_ **City, State, Zip:** \_\_\_\_\_

Multiple sites covered by this audit? (If Yes, provide details in Additional Comments)  Yes  No

**Mailing/Business Address**  Same as above **Federal Account Number:** \_\_\_\_\_

Street: \_\_\_\_\_ **City, State, Zip:** \_\_\_\_\_

Company Contact: \_\_\_\_\_ **Contact Title:** \_\_\_\_\_

Phone Number: \_\_\_\_\_ **Fax Number:** \_\_\_\_\_

E-Mail Address: \_\_\_\_\_

Is this company currently subject to the Produce Safety Rule (21 CFR Part 112)?  Yes  No

## AUDIT INFORMATION

**Date and Time of Audit** Beginning Date: \_\_\_\_\_ Time: \_\_\_\_\_

Ending Date: \_\_\_\_\_ Time: \_\_\_\_\_

Description of Operation: \_\_\_\_\_

Harvest Company Name (if applicable): \_\_\_\_\_

Other Contractors: \_\_\_\_\_

Commodities Covered by Audit: \_\_\_\_\_

Commodities Produced During Audit: \_\_\_\_\_

Total Acres Covered by Audit: \_\_\_\_\_

## AUDITOR INFORMATION

United States Department of Agriculture \_\_\_\_\_ **Field Office:** \_\_\_\_\_

Agricultural Marketing Service \_\_\_\_\_

Specialty Crops Program \_\_\_\_\_ **Auditor Name(s):** \_\_\_\_\_

Specialty Crops Inspection Division \_\_\_\_\_ **Auditor Signature(s):** \_\_\_\_\_

**OTHER INFORMATION**

Person(s) Interviewed:	
Audit Requested by:	
Distribute Audit Report to*(if known):	

\*Supplying names of retail and food service buyers is not mandatory, however it is useful to know in the event the buyer requires USDA-AMS to send a copy of the audit report directly. No audit results are sent to a 3rd party without the written consent of the auditee.

**ADDITIONAL COMMENTS****INTERNAL USE ONLY**

Reviewing Official Name:	
Signature:	
Date:	
Audit Results Meets USDA Acceptance Criteria	<input type="checkbox"/> Yes <input type="checkbox"/> No

## AUDITOR COMPLETION INSTRUCTIONS

All questions on the Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain, Greenhouse - USDA Checklist shall be assessed according to the verification instructions outlined in the Commodity Specific Food Safety Guidelines for the Fresh Tomato Supply Chain 2nd Edition - July 2008 and the Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain, 2011 - Greenhouse standard. Auditors shall have a copy of these verification instructions with them when performing audits to verify questions are assessed appropriately. All questions shall be assessed using one of the following:

**Compliant (C)** - The operation meets the requirements of the Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain, 2011 - Greenhouse standard.

**Corrective Action Needed (CAN)** - The operation does not meet the requirement(s) of the verification instructions, however the non-conformance is not considered to be an immediate food safety risk.

**Immediate Action Required (IAR)** - The operation does not meet the requirement(s) of the verification instructions and the non-conformance is considered an imminent food safety risk. An imminent food safety risk is present when produce is grown, processed, packed or held under conditions that promote or cause the produce to become contaminated. Observation of employee practices (personal or hygienic) that jeopardize or may jeopardize the safety of the produce are considered an "IAR". The presence or evidence of rodents, an excessive amount of insects or pests are also considered an "IAR".

**Not Applicable (N/A)** - The question is not applicable to the operation.

**Auditor Comments:** The auditor shall document the findings associated with any question answered "CAN" or "IAR" in the auditor comment section of the checklist. Auditors may also document observations associated with any question on the checklist whether or not the question is a non-conformity if the explanation clarifies why a question was answered compliant. The auditor shall write a comment for each question answered "N/A" addressing why the question was answered "N/A".

**Tallying the Audit:** Once the auditor finishes the audit, the score sheet shall be filled out by recording the number of C, CAN, IAR, and NA's for each section of the audit. The question number of any question answered as CAN or IAR for each section shall be noted in the last column of the score sheet.

**Corrective Action Reports:** The auditor shall fill out a Corrective Action Report for each question that has been answered "CAR" or "IAR".

## Auditee Information

Auditees should download the complete Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain Standard which provides more complete & detailed information regarding the specific questions covered by this audit checklist. The complete Standard is available on the USDA website at [www.ams.usda.gov/gapghp](http://www.ams.usda.gov/gapghp).

The acceptance criteria to meet USDA-AMS requirements are outlined on the USDA Acceptance Criteria page, however be aware that depending on who the client(s) requiring the audit are, their specific acceptance criteria may vary from the USDA-AMS criteria.

It is intended that the scopes of the audit selected are completed in their entirety and the audit not restricted to one specific section. However, at the auditees request, the audit may be split to accommodate scheduling; however, if this is done, the audit is not complete and no certificate or web posting will be issued until the audit is finalized.

To schedule an audit, please go to the USDA-AMS website at [www.ams.usda.gov/gapghp](http://www.ams.usda.gov/gapghp) and click on the "Request an Audit" link. This will list out the local contacts across the country who can be contacted to schedule an audit. For auditees without internet access, please contact your local Federal or Federal-State Specialty Crops Inspection office, or the Audit Services Branch at 202-720-5021.

**USDA Acceptance Criteria for the  
Food Safety Programs and Auditing Protocol for the Tomato Supply Chain-  
Greenhouse Audit**

1. No questions are assessed as an "IAR", Immediate Action Required.
2. Falsification of records is considered an "IAR".
3. Questions 1.1 and 13.5 must be assessed as compliant
4. In each major section (1 through 13) of the audit, at least 80% of the questions not answered as "N/A" must be answered as compliant.
5. If a major section has less than 5 questions, one "CAN" can be assessed and the section will still meet the minimum acceptance criteria.

**If an operation meets the acceptance criteria** as outlined above, the operation will receive a certificate stating its conformance to the *Commodity Specific Food Safety Guidelines for the Fresh Tomato Supply Chain 2nd Edition - July 2008* and the *Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain, 2011 - Greenhouse* standard as well as being posted to the USDA website. Corrective action reports will still be supplied to the auditee for all nonconformances.

**If an operation fails to meet the acceptance criteria** as outlined above, a corrective action report form will be issued for each non conformity noted on the audit. The operation has the opportunity to take measures in order to address the issue and schedule a new audit in order to show compliance to the acceptance criteria.

**Food Safety Programs and Auditing Protocol for the Tomato Supply Chain  
Greenhouse - USDA Checklist**

Audit Summary		Name of Auditee:			Date of audit:		
		Total # in Section	# of C	#of CAN	# of IAR	# of NA	Question # of any CAN or IAR
Section	Questions						
1	Management Responsibility	6					
2	Farm History and Assessment	5					
3	Greenhouse	3					
4	Soil and Amendments	3					
5	PreHarvest Agricultural Water	7					
6	Pest Control and Pesticide Usage	10					
7	Tomato or Equipment Sanitizing Agents Used During Harvest	3					
8	Equipment, Containers and Packaging Materials	6					
9	Cleaning and Washing Procedures	13					
10	Transportation	2					
11	Employee Hygiene Policies and Employee Training	24					
12	Education and Training	4					
13	Record Keeping and Traceability	7					

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Greenhouse - USDA Checklist

Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
<b>1.0</b>	<b>Management Responsibility</b>					
1.1	Operation has designated an individual responsible for food safety.					
1.2	Responsible individual has evidence of training in food safety relevant to tomatoes.					
1.3	Operation has current copies of the <i>Commodity Specific Food Safety Guidelines for the Fresh Tomato Supply Chain</i> , <i>Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain</i> and additional food safety documents as required by state and/or federal regulation.					
1.4	Operation has procedures for conducting self-audits and conducts self-audits to verify compliance with established internal policies and procedures.					
1.5	Operation has a written procedure and timelines for implementing and documenting corrective actions.					

Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain  
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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
1.6	Operation has a “zero tolerance” policy for controllable practices and conditions that result in immediate food safety risks.					

<b>2.0</b>	<b>Farm History and Assessment</b>					
2.1	An environmental assessment has been conducted, including potential hazards on the property, past property use and adjacent land.					
2.2	The environmental assessment shall consider domestic animal operations.					
2.3	Grounds are reasonably free of litter, debris and standing water.					
2.4	System for removing waste materials from product handling area works efficiently.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
2.5	Outside garbage receptacles/dumpsters are covered or are located away from greenhouse entrances, and areas around such sites are reasonably clean.					

<b>3.0</b>	<b>Greenhouse</b>					
3.1	The greenhouse shall be enclosed.					
3.2	A foot dip station or other measure should be used to prevent the introduction of harmful microorganisms or agents and a written record of the sanitizer and maintenance kept.					
3.3	Glass and brittle plastic items are excluded to the extent practical from and/or protected in packing or processing areas. Lights have shatterproof bulbs or covers in all areas where tomatoes or packaging are handled or held.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments

<b>4.0</b>	<b>Soil and Soil Amendments</b>					
4.1	Soil or other growth medium shall be stored in a manner that minimizes opportunities for contamination.					
4.2	Fertilizer manufacturer's instructions for usage and storage shall be followed.					
4.3	If fertilizers containing manures or composts are used, only properly treated (composted or heat treated) manures are allowed for use in greenhouses. Biosolids are not permitted.					

<b>5.0</b>	<b>Preharvest Agricultural Water</b>					
5.1	The sources of water used in the greenhouse are documented.					
5.2	The type of irrigation used (flood, drip, sprinkler overhead, others) is documented.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
5.3	A sanitary survey was completed for each water source.					
5.4	Water tests are conducted.					
5.5	If water is treated to bring it into compliance, records are maintained of treatments and testing.					
5.6	<b>Non-Foliar</b> The water test meets EPA recreational water standards for E. coli; i.e., 40 CFR Part 131.41(c).					
5.7	<b>Foliar</b> The water test meets EPA microbial standards for drinking water; i.e., 40 CFR Part 141.63.					

<b>6.0</b>	<b>Produce Containers and Packaging Materials</b>					
	<b>A. Pest Control in Facility</b>					
6.1	Operation has a written pest control program, performed by a trained pest control operator. Pest control operators are licensed where required by prevailing regulation or law.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
6.2	There is a clear area surrounding the facility to deter pest infestation.					
6.3	There is no evidence of significant pest populations (birds, rodents, insects) reasonably likely to contaminate tomatoes.					
6.4	There are no bait stations containing toxic baits inside the facility.					
6.5	Traps do not contain toxic bait and are placed at the interval and location recommended by the pest control operator. Traps must be labeled with a number or other identifier and their locations are documented on a map.					
6.6	Bug zappers and insect attractant devices, if used, are not placed in a location where product or food handling equipment or food packaging materials may become adulterated.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
6.7	Operation has a written policy prohibiting domestic animals in the greenhouse.					
<b>B. Pesticide Usage</b>						
6.8	Pesticide chemicals and their use must comply with all requirements of national (e.g., EPA) registration and any federal, state or local regulations.					
6.9	Equipment used to apply pesticides shall be maintained and calibrated at a frequency sufficient to assure accuracy of delivery.					
6.10	Water used to mix pesticides meets EPA microbial standards for drinking water; i.e., 40 CFR Part 141.63.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
7	<b>Tomato or Equipment Sanitizing Agents Used During Harvest</b>					
7.1	All compounds used to clean or sanitize food contact containers, tools, utensils, equipment or other food contact surfaces are approved for that use by the US EPA, FDA or other prevailing agency. Actual use conforms to label directions.					
7.2	Chemicals used on product that are not registered pesticides may be permitted for food contact use if allowed under regulations of the FDA or prevailing agency.					
7.3	All chemicals, cleaning compounds and solvents are stored in a secure and locked location.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
<b>8.0</b>	<b>Equipment, Containers and Packaging Materials</b>					
8.1	Harvest and other food contact implements, buckets and totes are clean and sanitized as necessary according to SOP.					
8.2	Reusable containers and food contact equipment and utensils shall be constructed of impervious materials that can be easily cleaned and sanitized.					
8.3	All containers shall be marked for their intended use (finished produce containers, trash containers, etc.).					
8.4	Operation has a written procedure for inspecting incoming packaging material.					
8.5	Finished product containers are prohibited from direct contact with the floor, and pallets, slip sheets, and supports used to keep product containers off the floor are clean and in good condition.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
8.6	Bins, trays, and pallets shall be stored in a secure, clean location.					

<b>9.0 Cleaning and Washing Procedures</b>						
<b>A. Cleaning Materials Including Cloths</b>						
9.1	Operation shall have a policy that cloths, towels, or other cleaning materials shall not be used to wipe tomatoes.					
<b>B. Product Wash Water Management</b>						
9.2	Only sanitizers or sanitizer systems registered or approved by EPA or the prevailing regulatory agency for their specific intended use may be used in the dump tank wash water, on the spray line or other food contact purposes.					
9.3	Wash water sanitizer is used in accordance with operational procedure, manufacturer instructions, and records are kept.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
9.4	In systems where tomatoes are submerged or dwell in water, water temperature is monitored and controlled. Water temperature should be at least 10°F above highest measured pulp temperature of tomatoes when entering the water. If operation can demonstrate retention times are never more than two minutes and water submersion does not exceed 1 ft, water temperature shall be controlled to be not be less than highest measured pulp temperature.					
9.5	Operations utilizing spray systems in place of whole tomato immersion shall design the line so that the entire tomato surface is rinsed.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
9.6	Re-circulated and reused water is changed at least daily, and records of changes are kept.					
9.7	If water quality is based upon a chlorine-based sanitizer and Oxidation Reduction Potential (ORP), the process shall be targeted to be at least 800 mV. ORP levels shall not be less than 650 mV, measured at the exit of the product from the water system, unless validation data are available to demonstrate a lower ORP is effective under operating conditions.					
9.8	If an ORP system is used, an independent measurement is used to verify compliance.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
9.9	If water quality is based upon an aqueous chlorine dioxide sanitizer, chlorine dioxide levels shall not be less than 1 ppm, measured at the exit of the product from the water system, unless validation data are available to demonstrate a lower level is effective under operating conditions.					
9.10	If water quality is based upon a peroxyacetic, peracetic or peracid system, levels shall not be less than 30 ppm, measured at the exit of the product from the water system, unless validation data are available to demonstrate a lower level is effective under operating conditions.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
9.11	If a sanitizer system other than aqueous chlorine dioxide, peracid, or hypochlorous and ORP is used, the system shall be operated and controlled to levels of equivalent efficacy of pathogen cross contamination control in tomato wash systems.					
9.12	All instruments used to measure temperature, pH, sanitizer levels and or other important devices used to monitor requirements in this section shall be calibrated at a frequency sufficient to assure continuous accuracy.					
9.13	Instruments, test methods or test strips used to monitor requirements shall be appropriate to their use and sufficiently sensitive to their intended purpose.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
<b>10.0</b>	<b>Transportation</b>					
10.1	Shipping unit is clean, functional and free of objectionable odors before loading. A responsible individual signs the completed checklist.					
10.2	Vehicles and containers used to transport produce shall not be used to transport trash, animal carcasses or raw animal products that may be a source of microbial contamination unless cleaned and sanitized by a procedure sufficient to ensure that microbial contamination of produce does not occur.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
<b>11</b>	<b>Employee Hygiene Policies and Employee Training</b>					
	<b>A. Employee Hygiene Policies and Employee Training</b>					
11.1	Clean and sanitary toilet facilities are provided for all employees and toilets are made from cleanable materials and are cleaned and sanitized daily or sufficiently often to be maintained in a clean and sanitary manner.					
11.2	The number of toilet facilities meets state and federal requirements.					
11.3	Toilets are located within a five minute walk of work areas.					
11.4	Restrooms should not open directly into greenhouse production areas.					
11.5	All toilet facilities contain toilet paper.					
11.6	There is a program for the sanitary disposal of used toilet paper.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
11.7	Hand washing facilities, with soap, water and disposable hand-drying towels, or air blowers, and refuse containers are provided.					
11.8	If permanent handwashing facilities are not used, gray water is captured and disposed of away from tomato handling areas.					
11.9	If portable hand wash water tanks are used, they are cleaned and sanitized and the water is changed periodically.					
11.10	The source of water used to fill hand washing tanks meets the microbial standard for potable water and is documented.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
11.11	Toilet and hand washing facilities are inspected by a designated individual at a sufficient frequency during use to assure cleanliness, condition and adequate supplies.					
<b>B. First Aid Policies</b>						
11.12	There is a written policy describing procedures which specify handling/disposition of produce or treatment of food contact surfaces that have come into contact with blood or other bodily fluids.					
11.13	There is a written policy instructing workers to seek prompt treatment for cuts, abrasions and other injuries and first aid supplies are provided.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
<b>C. Habits and Conditions</b>						
11.14	There is a written Hygiene Practices policy including, but not limited to, policies and procedures on hand washing, toilet use, and requiring handwashing at beginning of shift and prior to returning to production line, for all employees and visitors.					
11.15	Policies shall require hand washing with soap and potable water at the appropriate time, such as before starting work, after use of toilet facilities, after breaks and when hands may have become contaminated. Policy shall apply to employees, outside contractors, inspectors, and visitors. Compliance is emphasized by management.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
11.16	There are signs, either in the appropriate language or pictorially, reminding workers to wash their hands after using the toilet.					
11.17	If gloves are used, there must be a written SOP regarding their use.					
11.18	Operation shall have a written policy regarding employees' outer garments.					
11.19	SOPs establishing the operation's illness policy provide that workers who show signs of illness (vomiting, jaundice, diarrhea) or open or exposed sores or lesions on their hands are not permitted to perform job duties where they will come in direct contact with raw product or food contact surfaces.					
11.20	There is a written policy regarding the use of hair restraints.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
11.21	There is a written policy regarding jewelry, nail polish and false nails in the workplace.					
11.22	Food and tobacco products are only in designated areas as specified in company SOP.					
11.23	Drinking water shall be provided in fountains or single use containers. Drinking water containers shall be handled in a manner that prevents them from becoming sources of contamination.					
11.24	There is a written policy prohibiting the storage and use of personal items outside of designated areas.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
<b>12.0</b>	<b>Education and Training</b>					
12.1	Employees shall receive mandatory safe product handling and personal hygiene education at time of hire with reinforcements as detailed in company SOP.					
12.2	Individuals shall be trained on all food safety requirements specific to their assigned duties.					
12.3	Workers are trained and follow the policy that product dropped on the floor is discarded.					
12.4	Supervisors are trained to look for, recognize and react to symptoms of potentially infectious illness.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
<b>13.0</b>	<b>Record Keeping and Traceability</b>					
	<b>A. Greenhouse Packing</b>					
13.1	Documentation of greenhouse packed tomatoes shall include sufficient information about the growing and harvest of each lot (i.e. greenhouse location and history, grower, personnel/crew involved in the harvesting and packing) as well as the customer receiving the product to allow for the appropriate tracing of product.					
13.2	Containers shall be accurately labeled with commodity name, greenhouse firm name and information sufficient to allow for source and lot identification.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
13.3	Documentation maintained for each lot shipped shall include sufficient information about the customer receiving the product to allow for the appropriate tracing of product.					
<b>B. Packinghouse Packed Greenhouse Tomatoes</b>						
13.4	The greenhouse shall maintain supply chain information available to the packinghouse to facilitate accurate traceability; i.e., quantity, greenhouse identification and date of harvest/pack.					
<b>C. Other</b>						
13.5	There are written product tracing and recall procedures.					
13.6	Operation routinely tests the product tracing procedures.					
13.7	A successful mock recall test has been performed in the last 12 months.					

## Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain Greenhouse Standard

USDA, AMS, Fruit and Vegetable Program Good Agricultural Practice & Good Handling Practices <b>CORRECTIVE ACTION REPORT</b>	Report #: _____ of _____
Company Name/Farm:	Date:
Lead Auditor:	
Crop(s):	
Description of Non Conformity:	
Notified company staff at time of finding non-conformity: (Yes or No)	
Checklist question number and/or section of auditee food safety plan associated with non-conformity:	
Corrective Action Proposed and Time Frame for Implementation: <i>(Attach separate sheet if necessary)</i>	
Company Representative Signature:	
<i>Signature affirms statements concerning Non-Conformity, Corrective Action, and Implementation are correct.</i>	
Auditor signature for acceptance of proposed corrective action and timetable for implementation:	

Top portion for AUDITOR USE ONLY; bottom portion for Company and Auditor use.