

Food Safety Programs and Auditing Protocol for the Tomato Supply Chain Open Field Production, Harvest and Field Packing - 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, Open Field Production, Harvest and Field Packing - 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 - Open Field Production, Harvest and Field Packing 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 - Open Field Production, Harvest and Field Packing 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.

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 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- Open
Field Production, Harvest and Field Packing Audit**

1. No questions are assessed as an "IAR", Immediate Action Required.
2. Falsification of records is considered an "IAR".
3. Questions 1.1, 10.2 and 10.3 must be assessed as compliant.
4. In each major section (1 through 10) of the audit, at least 80% of the questions not answered as "NA" must be answered as compliant.
5. If a major section has less than 5 questions, one "CAN" can be assessed and 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- Open Field Production, Harvest and Field Packing* 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
Open Field Production, Harvest and Field Packing - USDA Checklist**

Audit Summary		Name of Auditee:					
		Date of audit:					
Section	Questions	Total # in Section	# of C	#of CAN	# of IAR	# of NA	Question # of any CAN or IAR
1	Management Responsibility	6					
2	Farm History and Assessment	6					
3	Soil Amendment Usage	1					
4	Preharvest Agricultural Water	7					
5	Pesticide Usage	3					
6	Harvest, Transport, and Product Containers	11					
7	Field Packing of Tomatoes	4					
8	Employee and Harvest Crews	23					
9	Education and Training	4					
10	Traceback and Recall Programs	3					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
1	Management Responsibility					
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, 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.					

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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.					

2	Farm History and Assessment					
2.1	An initial, pre-production environmental assessment has been conducted of all production land.					
2.2	The environmental assessment shall consider domestic animal operations.					
2.3	A second environmental assessment in the form of a review based upon current conditions is conducted not more that five (5) days from the first scheduled harvest date.					
2.4	If the field is subject to flooding, operation has an established decision tree or corrective action plan in the event of flooding in the production area. Procedures prohibit harvest of product that has come into contact with flood waters.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
2.5	Operation has a policy that prohibits harvesting of tomatoes with evidence of being contaminated with animal/bird feces.					
2.6	Operation has an SOP addressing animal intrusion.					

3	Soil Amendment Usage					
3.1	If fertilizers containing manures or composts are used, only properly treated (composted or heat treated) manures are allowed for use in fields. Biosolids are not permitted.					

4	Preharvest Agricultural Water					
4.1	The sources of irrigation water (pond, stream, well, municipal, other) are documented.					
4.2	The type of irrigation used (flood, drip, sprinkler overhead, others) is documented.					
4.3	A sanitary survey was completed for each water source.					
4.4	Water tests are conducted.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
4.5	If water is treated to bring it into compliance, records are maintained of treatments and testing					
4.6	Non-Foliar The water test meets EPA recreational water standards for E. coli; i.e., 40 CFR Part 131.41 (c).					
4.7	Foliar The water test meets EPA microbial standards for drinking water; i.e., 40 CFR Part 141.63.					

5	Pesticide Usage					
5.1	Pesticide chemicals and their use must comply with all requirements of national (e.g., EPA) registration and any federal, state or local regulations.					
5.2	Equipment used to apply pesticides shall be maintained and calibrated at a frequency sufficient to assure accuracy of delivery.					
5.3	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
6	Harvest, Transport, and Product Containers					
	A. Produce Containers					
6.1	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.					
6.2	Harvest and other food contact implements, buckets and totes, are cleaned and sanitized as necessary according to SOP.					
6.3	Reusable product bins, trays and containers are made of impervious materials that can be cleaned and sanitized.					
6.4	Operation has a policy that requires bins trays and boxes made of corrugated cardboard are for single use only.					
6.5	SOP specifies that workers do not remove harvest buckets from the field.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
6.6	Bins, totes and containers intended for harvesting of product are staged and stored in designated locations.					
6.7	Bins, totes and containers intended for harvesting of product shall be used only for that purpose.					
B. Food Contact Tools, Utensils and Equipment						
6.8	Product contact tools, utensils and equipment are made of impervious, cleanable, sanitizable material.					
6.9	Product contact tools (harvesting aids) are clean and sanitary and there is a schedule for cleaning and sanitizing.					
6.10	Harvest tools, utensils and knives are stored in a way that minimizes contamination.					
C. Vehicles and Equipment in the Field						
6.11	Vehicles used in tomato production, harvest and transport are not a source of contamination.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
7	Field Packing of Tomatoes					
7.1	Operation has written policy that damaged, soft and decayed tomatoes are not harvested to the degree possible.					
7.2	Operation shall have a policy that cloths, towels, or other cleaning materials shall not be used to wipe tomatoes.					
7.3	If tomatoes are washed in the field, operation shall have written procedures regarding the quality of wash water and use of wash water sanitizing chemicals.					
7.4	Packing containers shall be labeled as to their source, and to identify that the product has been field packed.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
8	Employee and Harvest Crews					
	A. Toilet and Handwashing Facilities					
8.1	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.					
8.2	The number of toilet facilities meets state and federal requirements.					
8.3	Toilet facilities are located within 1/4 mile (400 m) or a five minute walk of work areas.					
8.4	Toilet facilities are located, serviced and maintained in a manner to not be a source of contamination of produce.					
8.5	A response plan is in place in the event of a major spill or leak of field sanitation units.					
8.6	All toilet facilities contain toilet paper.					
8.7	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
8.8	Hand washing facilities, with soap, water and disposable hand-drying towels, or air blowers, and refuse containers are provided.					
8.9	Gray water is captured and disposed of away from the harvest/packing area so that there is no evidence of runoff into production areas.					
8.10	If hand wash water tanks are used, they are cleaned and sanitized and the water is changed periodically.					
8.11	The source of water used to fill hand washing tanks meets the microbial standard for potable water and is documented.					
8.12	Toilet and hand washing facilities are inspected by a designated individual at a sufficient frequency during use to assure cleanliness, condition and adequate supplies.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
B. First Aid Policies						
8.13	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.					
8.14	There is a written policy instructing workers to seek prompt treatment for cuts, abrasions and other injuries and first aid supplies are provided.					
C. Habits and Conditions						
8.15	There is a written Hygiene Practices policy including, but not limited to, policies and procedures on hand washing, prohibiting urinating or defecating in the field, and prohibiting handling produce after using the washroom without washing their hands, for all employees and visitors.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
8.16	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.					
8.17	There are signs, in the appropriate language or pictorially, reminding workers to wash their hands after using the toilet.					
8.18	If gloves are used, there must be a written SOP regarding their use.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
8.19	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.					
8.20	There is a written policy regarding jewelry, nail polish and false nails in the workplace.					
8.21	Food and tobacco products are only in designated areas as specified in company SOP.					
8.22	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.					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
8.23	There is a written policy prohibiting the storage and use of personal items outside of designated areas.					

9	Education and Training					
9.1	Employees shall receive mandatory safe product handling and personal hygiene education at time of hire with reinforcements as detailed in company SOP.					
9.2	Individuals shall be trained on all food safety requirements specific to their assigned duties.					
9.3	Workers are trained and follow the policy that product that has dropped on the ground is discarded.					
9.4	Supervisors are trained to look for, recognize and react to symptoms of potentially infectious illness.					

10	Traceback and Recall Programs					
10.1	Operation maintains adequate record of the sale or disposition of product (One step forward)					

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Name of Auditee:						
Date of Audit:						
Q #	Requirement	C	CAN	IAR	NA	Auditor Comments
10.2	Operation maintains adequate record of the source of all products used in the farm. (One step back)					
10.3	Operation has a recall procedure in place.					

DUPLICATION OF CORRECTIVE ACTION TAB INSTRUCTIONS

Any question on the checklist with a checkmark in the Corrective Action Needed (CAN) box or the Immediate Action Required (IAR) box must have a Corrective Action Report. A separate form is required for each question answered CAN or IAR. If there is more than one form needed, follow the instructions below to duplicate the Corrective Action Report Tab:

1. Right-click the "Corrective Action Report" Tab at the bottom of Excel.
2. Click "Move or Copy...".
3. Under the box titled "Before Sheet," select "(move to end)"
4. Place a check in the box beside "Create a Copy"
5. Click "Ok"

**Food Safety Programs and Auditing Protocol
for the Fresh Tomato Supply Chain
Open Field Production, Harvest and Field Packing Standard**

USDA, AMS, Fruit and Vegetable Program Good Agricultural Practice & Good Handling Practices CORRECTIVE ACTION REPORT	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.