



# Harmonized GAP Plus+ Audit Checklist

*A global market-access solution for the specialty crops industry*

## 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: \_\_\_\_\_

Company uses USDA GAP&GHP Logo on packaging or marketing materials?  Yes  No

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

## AUDIT INFORMATION

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

**of Audit** 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: \_\_\_\_\_ Total Square Feet 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):** \_\_\_\_\_

**AUDIT SCOPE: (Please check all scopes audited)**

General Questions (All audits must begin with and pass this portion)

- Field Operations and Harvesting.....
- Post-Harvest Operations.....
- Logo Use .....
- Tomato Audit Protocol Open-field Production and Harvesting.....
- Tomato Audit Protocol Packinghouse .....
- Tomato Audit Protocol Greenhouse.....
- Tomato Audit Protocol Packing and Distribution .....

**OTHER INFORMATION**

Person(s) Interviewed:	
Audit Requested by:	
Distribute Audit Report to*(if known):	
Azzule	<input type="checkbox"/>

\*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**

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**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 USDA Harmonized GAP and GAP Plus+ Standards - USDA Checklist shall be assessed according to the Verification Instructions outlined in the Harmonized GAP and GAP Plus+ Food Safety Standard. Auditors shall have a copy of the Standard 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 Harmonized GAP and GAP Plus+ Food Safety Standard.

**Corrective Action Needed (CAN)** - The operation does not meet the requirement(s) of the Harmonized GAP and GAP Plus+ Food Safety Standard, 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 Harmonized GAP and GAP Plus+ Food Safety Standard 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 and 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 N/A'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 "CAN" or "IAR".

## Auditee Information

Auditees should download the complete USDA Harmonized GAP and GAP Plus+ Standards 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 auditee's 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 review the "How to Request a GAP & GHP 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  
USDA Harmonized GAP and GAP Plus+ Standards**

1	No questions are assessed as an "IAR", Immediate Action Required.
2	Falsification of records is considered an "IAR".
3	Any question marked with a ● in the MAN column must be assessed as "compliant".
4	Operation must have performed all risk assessments, designated with an "A" in the DOC column, in the USDA Harmonized GAP and GAP Plus+ Standards.
5	If the auditee has been audited against the USDA GAP Plus+ Standard or the Harmonized GAP and GAP Plus+ Food Safety Standard previously, the auditee must have addressed all associated CANs or IARs, following their established corrective action procedure.
6	In each major section (G, F, and P) of the audit, at least 80% of the questions not answered as "N/A" must be answered as compliant.

**If an operation meets the acceptance criteria** as outlined above, the operation will receive a certificate stating its conformance to the USDA Harmonized GAP and GAP Plus+ Standards 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 does not meet the acceptance criteria** as outlined above, a corrective action report form will be issued for each nonconformance noted on the audit. The operation has the opportunity to take measures to address the issue and schedule a new audit in order to show compliance to the acceptance criteria.

Audit Summary		Name of Auditee:					Question # of any CAN or IAR
		Date of audit:					
Section	Questions	Total # in Section	# of C	# of CAN	# of IAR	# of NA	
<b>G</b>	<b>General Questions</b>	<b>72</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
G-1	Management Responsibility	5	0	0	0	0	
G-2	Food Safety Plan or Risk Assessment	5	0	0	0	0	
G-3	Documentation & Recordkeeping	4	0	0	0	0	
G-4	Worker Education & Training	3	0	0	0	0	
G-5	Sampling & Testing	3	0	0	0	0	
G-6	Traceability	5	0	0	0	0	
G-7	Recall Program	3	0	0	0	0	
G-8	Corrective Actions and Food Safety Incidents	4	0	0	0	0	
G-9	Self-Audits	1	0	0	0	0	
G-10	Worker Health/Hygiene and Toilet/Handwashing Facilities	22	0	0	0	0	
G-11	Agricultural and Cleaning Chemicals	9	0	0	0	0	
G-12	Waste Management	2	0	0	0	0	
G-13	Food Defense	4	0	0	0	0	
G-14	Food Fraud	2	0	0	0	0	
<b>F</b>	<b>Field Operations and Harvesting</b>	<b>54</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
F-1	Field History & Assessment	5	0	0	0	0	
F-2	Agricultural Chemicals/Plant Protection Products	3	0	0	0	0	
F-3	Water System Description	1	0	0	0	0	
F-4	Water System Risk Assessment	6	0	0	0	0	

Audit Summary		Name of Auditee:					Question # of any CAN or IAR
		Date of audit:					
Section	Questions	Total # in Section	# of C	# of CAN	# of IAR	# of NA	
F-5	Water Management Plan	3	0	0	0	0	
F-6	Animal Control	3	0	0	0	0	
F-7	Soil Amendments	9	0	0	0	0	
F-8	Vehicles, Equipment, Tools and Utensils	1	0	0	0	0	
F-9	Preharvest Assessment	6	0	0	0	0	
F-10	Water/Ice Used in the Harvesting and Postharvest Operations	4	0	0	0	0	
F-11	Containers, Bins and Packaging Materials	8	0	0	0	0	
F-12	Field Packaging and Handling	3	0	0	0	0	
F-13	Post-harvest Handling and Storage (Field Prior to Storage or Packinghouse)	2	0	0	0	0	
<b>P</b>	<b>Post-Harvest Operations</b>	<b>65</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
P-1	Produce Sourcing	1	0	0	0	0	
P-2	Agricultural Chemicals	7	0	0	0	0	
P-3	Facility	3	0	0	0	0	
P-4	Pest and Animal Control	7	0	0	0	0	
P-5	Equipment, Tools and Utensils	13	0	0	0	0	
P-6	Maintenance and Sanitation	9	0	0	0	0	
P-7	Post-Harvest Water/Ice	9	0	0	0	0	
P-8	Containers, Bins and Packaging	10	0	0	0	0	
P-9	Storage	6	0	0	0	0	

Audit Summary		Name of Auditee:					Question # of any CAN or IAR
		Date of audit:					
Section	Questions	Total # in Section	# of C	# of CAN	# of IAR	# of NA	
<b>L</b>	<b>Logo Use</b>	<b>10</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
L-1	Food Safety Plan or Quality Manual	2	0	0	0	0	
L-2	Traceability and Recall Programs	1	0	0	0	0	
L-3	Approved Suppliers	3	0	0	0	0	
L-4	GAP & GHP Logo Approved Use	4	0	0	0	0	
<b>T</b>	<b>Tomato Audit Protocol</b>	<b>17</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
TOF	Open-Field Production & Harvesting	17	0	0	0	0	
<b>T</b>	<b>Tomato Audit Protocol</b>	<b>24</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
TPH	Packinghouse	24	0	0	0	0	
<b>T</b>	<b>Tomato Audit Protocol</b>	<b>25</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
TGH	Greenhouse	25	0	0	0	0	
<b>T</b>	<b>Tomato Audit Protocol</b>	<b>27</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	
TPD	Repacking and Distribution	27	0	0	0	0	

C, Compliant with requirement; CAN, Corrective action needed to address nonconformance; IAR, Immediate action required because of imminent food safety risk; N/A, not applicable or not needed.



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>General Questions</b>								
<b>G-1</b>	<b>Management Responsibility</b>							
G-1.1	A food safety policy shall be in place.	WP	•					
G-1.1.a	The food safety policy shall include measurable objectives for meeting the safety needs of products.	WP						
G-1.2	Management has designated individual(s) on-site and remote, including a list of alternatives authorized to act in absence of designated individuals, with roles, responsibilities, and resources for food safety functions.	WP	•					
G-1.2.a	The food safety plan outlines an organizational structure for at least those staff whose activities affect food safety.	WP						
G-1.3	There is a corrective action policy for food safety violations resulting from employees and workers.							

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>G-2</b>	<b>Food Safety Plan or Risk Assessment</b>							
G-2.1	There shall be a written Food Safety Plan. The plan shall cover the Operation. The Operation and products covered shall be defined.	WP	•					
G-2.2	The food safety plan shall be reviewed at least annually and when changes that affect the operation occur.	R						
G-2.3	Operation has an approved supplier program for all incoming materials, including packaging, soil amendments, and alternative growing media, soil-less media, and substrates.	R	•					
G-2.4	Operation has an approved services program for all services which may impact the safety of the product.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-2.4.a	Approved supplier program contains written procedures for the evaluation, approval, and continued monitoring of suppliers and service providers.	WP, R						
<b>G-3</b>	<b>Documentation and Recordkeeping</b>							
G-3.1	Documentation shall be kept that demonstrates the food safety plan is being followed.	R	•					
G-3.2	Documentation shall be readily available for inspection.		•					
G-3.3	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulation.	R	•					
G-3.3.a	Food safety plan documentation and records shall be securely stored and effectively controlled.							
<b>G-4</b>	<b>Worker Education and Training</b>							
G-4.1	All employees and workers shall receive food safety training, appropriate to their job responsibilities.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-4.2	Employees and workers with supervisory food safety responsibilities shall receive training sufficient to their responsibilities.		•					
G-4.3	Contracted workers are held to the relevant food safety standards as they would be as employees or workers.	R	•					
<b>G-5</b>	<b>Sampling and Testing</b>							
G-5.1	Where laboratory analysis is required in the food safety plan, testing shall be performed by a GLP laboratory or laboratory participating in a proficiency testing program using scientifically valid methods.	R						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-5.2	Where microbiological analysis is required in the food safety plan, samples shall be collected in accordance with an established sampling procedure and prevailing regulations and records kept.	WP, R						
G-5.3	All microbiological testing as directed by the food safety plan shall include procedures and actions to be taken based on the results.	WP	•					
<b>G-6</b>	<b>Traceability</b>							
G-6.1	A documented traceability program shall be established.	WP, R	•					
G-6.1.a	Packaging must include product identification.							
G-6.1.b	If product is intended for export, product meets labeling regulations of the country(ies) the product is being exported to.							

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-6.1.c	If a post-harvest operation supplies product to a farm stand or Community Supported Agriculture (CSA), records tracing the product from the post-harvest operation to the farm stand or CSA are required.	R						
G-6.2	A trace back and trace forward exercise shall be performed at least annually.	R						
<b>G-7</b>	<b>Recall Program</b>							
G-7.1	A documented recall program, including written procedures, shall be established.	WP, R	•					
G-7.2	The recall program shall have a designated recall team.	R						
G-7.3	A mock recall exercise shall be performed at least annually at the operation being audited.	R						
<b>G-8</b>	<b>Corrective Actions and Food Safety Incidents</b>							
G-8.1	The operation shall have documented corrective action procedures.	WP, R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-8.1.a	Corrective action procedures shall include a procedure to evaluate complaints.	WP						
G-8.1.b	Food safety incidents are recorded and assessed to determine severity and risk, and are addressed according to a documented food safety incident management procedure.	R						
G-8.2	Non-conforming product on hold for food safety is clearly identified and segregated from other products and packaging materials.	WP R	•					
<b>G-9</b>	<b>Self-Audits</b>							
G-9.1	The Operation shall have documented self-audit procedures.	R						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>G-10</b>	<b>Worker Health/Hygiene and Toilet/Handwashing Facilities</b>							
G-10.1	Operation shall have a policy for toilet, handwashing, hygiene, and health.	WP	•					
G-10.2	Employees, workers, and visitors shall be made aware of and follow all personal hygiene practices as designated by the operation.		•					
G-10.3	Toilet facilities and restrooms shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination and are directly accessible for servicing.		•					
G-10.4	Toilet facilities shall be of adequate number, easily accessible to employees, workers, and visitors and in compliance with applicable regulations.		•					



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-10.5	The practice of disposing of used toilet tissue on the floor, in trash receptacles, or in boxes is prohibited except in situations where waste systems are not capable of handling toilet paper.		•					
G-10.6	Toilet and wash stations shall be maintained in a clean and sanitary condition.	R	•					
G-10.7	A response plan is in place for spills or leaks of field sanitation units.	WP						
G-10.8	Employees and workers shall wash their hands at any time when their hands may be a source of contamination.		•					
G-10.9	Signage requiring handwashing is posted.							
G-10.10	Clothing, including footwear, shall be effectively maintained, laundered, and worn so as to protect product from risk of contamination.		•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-10.11	If gloves are used, the operation shall have a glove use policy.		•					
G-10.12	If protective outer garments are worn in product handling areas, they shall be handled in a manner to protect against contamination.							
G-10.13	The wearing of jewelry, body piercings and other loose objects shall be in compliance to company policy and applicable regulation.							
G-10.14	The use of hair coverings shall be in compliance to company policy and applicable regulation.							
G-10.15	Employee's and worker's personal belongings shall be stored in designated areas.							

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-10.16	Smoking, chewing, eating, drinking (other than water), chewing gum, spitting, urinating, defecating, and using tobacco, shall be prohibited except in clearly designated areas.		•					
G-10.17	Operation shall have a policy that break areas are located so as not to be a source of product contamination.							
G-10.18	Drinking water shall be available to all field employees and workers.	R						
G-10.19	Workers and visitors who show signs of illness shall be excluded from direct contact with produce or food-contact surfaces and from entering produce handling areas.	WP	•					
G-10.20	Employees and workers with exposed cuts, sores or lesions shall not be engaged in handling product.		•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-10.21	Operation shall have and implement a blood and bodily fluids policy.	WP	•					
G-10.22	First aid kits shall be accessible to all employees and workers.							
<b>G-11</b>	<b>Agricultural and Cleaning Chemicals</b>							
G-11.1	Use of pesticides and other agricultural chemicals shall comply with label directions and prevailing regulation.	R	•					
G-11.2	Pre- and postharvest agricultural chemical use, shall consider the maximum residue limit (MRL) requirements in the country of origin or intended country of destination.	R						
G-11.3	Agricultural chemicals shall be applied by trained, licensed, or certified applicators as required by prevailing regulation.	R						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-11.4	Water used with agricultural chemicals shall not be a potential source of product or field contamination.	R						
G-11.5	Use of water treatment agricultural chemicals shall comply with label directions and prevailing regulation.	R	•					
G-11.6	Agricultural chemical disposal shall not be a source of product or field contamination.	R						
G-11.6.a	Agricultural chemicals approved for use on the crops being grown are stored separately from agricultural chemicals used for other purposes.	R						
G-11.7	All cleaning agents shall be appropriate for use on food contact surfaces.							

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-11.8	Compressed air or other gases that contact food or food contact surfaces must be maintained in a manner that does not serve as a potential source of product contamination.	R						
<b>G-12</b>	<b>Waste Management</b>							
G-12.1	Operation has implemented a waste management plan.							
G-12.2	Trash shall not come in contact with produce.		•					
<b>G-13</b>	<b>Food Defense</b>							
G-13.1	Operation shall assess the potential for unauthorized access to growing and/or packing areas and its impact on food safety.	A	•					
G-13.2	Operation shall develop an emergency response plan.	WP, R						
G-13.2.a	Initially and at least annually thereafter, the operation shall evaluate and document the risks associated with security (food defense), including unintentional security risks.	A	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-13.2.b	There shall be a written food defense plan to mitigate risks identified in the food defense risk assessment.	WP, R						
<b>G-14</b>	<b>Food Fraud</b>							
G-14.1.a	The operation shall initially and at least annually thereafter, evaluate and document the risks associated with food fraud.	A	•					
G-14.1.b	There shall be a written food fraud plan to mitigate risks identified in the food fraud risk assessment.	WP, R						
Code Key: A=Assessment of Risk; WP = Written Policy/Procedure/Plan; R = Record								
<b>Additional Auditor Comments:</b>								

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>Field Operations and Harvesting</b>								
<b>F-1</b>	<b>Field History and Assessment</b>							
F-1.1	The food safety plan shall, initially and at least annually thereafter, evaluate and document the risks associated with land use history and adjacent land use including equipment and structures.	A	•					
F-1.1.a	Operation has performed and documented a risk assessment of each production area prior to the harvest of that location. The risk assessment must include potential cross contamination between production sites.	A	•					
F-1.1.b	Operation has identified control measures for all significant hazards identified during risk assessment.	WP	•					



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-1.2	For indoor growing and field storage buildings, building shall be constructed and maintained in a manner that prevents contamination of produce.		•					
F-1.3	Sewage or septic systems are maintained so as not to be a source of contamination.		•					
<b>F-2</b>	<b>Water System Description</b>							
F-2.1	A water system description shall be available for review.	WP	•					
F-2.2	The water source shall be in compliance with prevailing regulations.							
F-2.3	Water systems shall not be cross-connected with human or animal waste systems.		•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>F-3</b>	<b>Water System Risk Assessment</b>							
F-3.1	An initial risk assessment shall be performed and documented that takes into consideration the historical testing results of the water source, the characteristics of the crop, the stage of the crop, and the method of application.	A	•					
<b>F-4</b>	<b>Water Management Plan</b>							
F-4.1	There shall be a water management plan to mitigate risks associated with the water system on an ongoing basis.	WP	•					
F-4.2	Water testing shall be part of the water management plan, as directed by the water risk assessment and current industry standards or prevailing regulations for the commodities being grown.	WP	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-4.3	The testing program shall be implemented consistent with the water management plan.	R	•					
F-4.4	If water is treated to meet microbiological criteria, the treatment is approved and effective for its intended use, and is appropriately monitored.	R	•					
F-4.5	If microbial die-off is used to achieve the operation's microbial criteria, operation has documentation supporting its use.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-4.6	If operation uses an alternative approach to regulatory microbiological testing compared to current industry standards or regulations, operation has scientific data or information to support the alternative as providing the same level of public health protection.	R	•					
<b>F-5</b>	<b>Animal Control</b>							
F-5.1	The operation has a written risk assessment on animal activity in and around the production area.	A	•					
F-5.2	The operation routinely monitors for animal activity in and around the growing area during the growing season.	R						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-5.3	Based on the risk assessment, there shall be measures to prevent or minimize the potential for contamination from animals, including domesticated animals used in farming operations.	WP, R	•					
<b>F-6</b>	<b>Soil Amendments and Alternative Growing Media/Substrate</b>							
F-6.1	The food safety plan shall address risk, preparation, use, and storage of animal-based soil amendments or biosolids.	A, R	•					
F-6.2	If a soil amendment containing raw or incompletely treated manure is used, it shall be used in a manner so as not to serve as a source of contamination of produce as required by current industry standard or prevailing regulation.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-6.3	If an alternative growing media, soil-less media, or substrate not of animal-origin is used (e.g., perlite, peat, coconut fiber, rock wool, clay pebbles), it is appropriate for its intended use and stored and handled in a manner to minimize the risk of contamination.	WP, R						
<b>F-7</b>	<b>Vehicles, Equipment, Tools and Utensils</b>							
F-7.1	Equipment, vehicles, tools utensils and other items or materials used in farming operations that may contact produce are identified.	R						
F-7.2	Equipment, vehicles, tools and utensils used in farming operations which come into contact with product are in good repair, fit for purpose, and are not a source of contamination of produce.	WP, R						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-7.2.a	All equipment and instruments which have an effect on food safety shall be identified, adequately maintained and calibrated at a frequency sufficient to assure continuous accuracy.	R	•					
F-7.2.b	Calibration of equipment is traceable to a recognized standard.	WP						
F-7.2.c	The cleaning and sanitation program shall include measures for monitoring to verify effectiveness.	WP, R						
F-7.3	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of chemical hazards.	WP						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-7.4	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of physical hazards.	R						
F-7.5	Cleaning and sanitizing procedures do not pose a risk of product contamination.							
F-7.6	Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination.	WP	•					
<b>Harvesting</b>								
<b>F-8</b>	<b>Preharvest Risk Assessment</b>							
F-8.1	A preharvest risk assessment shall be performed.	A	•					
<b>F-9</b>	<b>Water/Ice Used in the Harvesting and Post-Harvest Operations</b>							
F-9.1	Operation has procedures for water used in contact with product or food contact surfaces.	WP, R	•					



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-9.2	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food-contact surfaces.	R	•					
F-9.3	If an antimicrobial process or chemical treatment is used for harvest or post-harvest water, it shall be used in accordance with manufacturer instructions and the operation's written SOP.	WP, R	•					
F-9.4	If water contacting product or food contact surfaces is re-used, it shall be treated using a registered or approved antimicrobial process or chemical treatment.		•					
F-9.5	Water use SOPs address condition and maintenance of water-delivery system.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-9.6	If applicable to the specific commodity, water use SOPs address control of wash water temperature.	R						
<b>F-10</b>	<b>Containers, Bins and Packaging Materials</b>							
F-10.1	Operation has written policy regarding storage of harvesting containers.	WP						
F-10.2	Operation has written policy regarding inspection of food contact containers prior to use.	WP						
F-10.3	Operation has written policy regarding acceptable harvesting containers.	WP						
F-10.4	Operation has written policy prohibiting use of harvest containers for non-harvest purposes.	WP	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>F-11</b>	<b>Field Packaging and Handling</b>							
F-11.1	Operation shall have a written policy that visibly contaminated, damaged or decayed produce is not harvested, or is culled.	WP	•					
F-11.2	Product that contacts the ground shall not be harvested unless the product normally grows in contact with the ground.	WP	•					
F-11.3	Harvest procedures shall include measures to inspect for and remove physical hazards.							
F-11.4	Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce, unless risk mitigation procedures are in place.							

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-11.5	Packaging materials shall be appropriate for their intended use.		•					
F-11.6	Packaging shall be stored in a manner that minimizes contamination.							
F-11.7	Operation has written policy regarding whether packaging materials are permitted in direct contact with the soil.	WP						
F-11.8.a	The operation has implemented a product release procedure.	WP, R						
<b>F-12</b>	<b>Post-Harvest Handling and Storage (Field Prior to Storage or Packinghouse)</b>							
F-12.1	Harvested produce is handled in a manner such that it is not likely to become contaminated.		•					
F-12.1.a	When product is field packed, collection, storage, and distribution points are maintained in a clean and hygienic condition.							

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
F-12.2	Materials that come in contact with the produce shall be clean and in good repair.	WP, R	•					
<b>F-13</b>	<b>Equipment Sanitation and Maintenance</b>							
F-13.1	The operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	WP, R	•					
F-13.2	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.							
Code Key: A=Assessment of Risk; WP = Written Policy/Procedure/Plan; R = Record								
<b>Additional Auditor Comments:</b>								

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
	<b>Post-Harvest Operations</b>							
<b>P-1</b>	<b>Produce Sourcing</b>							
P-1.1	The Operation has a policy and takes affirmative steps to ensure that all fresh produce that are packed or stored in the Operation are grown following requirements in <i>Field Operations and Harvesting</i> harmonized standard.	R						
<b>P-2</b>	<b>Facility</b>							
P-2.1	Operation has initially and at least annually thereafter, performed a documented risk assessment of the packinghouse, and has addressed all identified risks.	A	•					
P-2.1.a	If microbiological hazards requiring a control are identified in the risk assessment of the packinghouse a microbial environmental monitoring program shall be established.	WP, R						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-2.2	Building shall be located, designed, constructed, and maintained in a manner that prevents contamination of produce during handling, storage, and cooling.							
P-2.3	Adequate lighting shall be provided in all areas.							
P-2.4	Only essential glass and brittle plastic shall be present in the building.	R						
P-2.5	Catwalks above product zones are protected to prevent produce or packaging contamination.							
P-2.6	If applicable, operation has a written Allergen Control Program.	A, WP	•					
<b>P-3</b>	<b>Pest and Animal Control</b>							
P-3.1	Operation has procedures to manage pests to the extent appropriate to the operation.	WP, R	•					
P-3.2	Operation restricts animals from food handling areas.		•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-3.3	If used, pest control devices, including rodent traps and electrical flying insect devices, are located to not contaminate produce or food handling surfaces.							
<b>P-4</b>	<b>Equipment, Tools and Utensils</b>							
P-4.1	All food contact equipment, tools and utensils are designed and made of materials that are easily cleaned and maintained.	WP	•					
P-4.2	Equipment is installed in a way that provides access for cleaning.							
P-4.3	Equipment lubrication is managed so as not to contaminate food products.							



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-4.4	All instruments or tools (e.g., test strips, titration kits) used to measure temperature, pH, antimicrobial levels and/or other important devices used to monitor requirements in this section shall be adequately maintained and calibrated at a frequency sufficient to assure continuous accuracy.	R	•					
P-4.4.a	Calibration of equipment is traceable to a recognized standard.	WP						
P-4.5	Foreign material control devices are inspected and maintained.	R						
P-4.5.a	Metal detection equipment, if utilized, shall be checked at a scheduled frequency as outlined in the operation's food safety/HACCP plan using iron, non-iron and stainless-steel testing wands.	R						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>P-5</b>	<b>Maintenance and Sanitation</b>							
P-5.1	A preventive maintenance schedule with related SOPs shall be established.	WP, R	•					
P-5.1.a	Routine housekeeping practices must be implemented.							
P-5.2	A master cleaning schedule with related SOPs shall be established.	WP, R	•					
P-5.3	Any temporary repairs on food contact surfaces are constructed of food-grade material. Operation has a procedure to ensure that permanent repairs are implemented in a timely manner.							
P-5.4	Cleaning equipment and tools are clean, in working order and stored properly away from product handling areas.							
P-5.5	Food contact surfaces shall be cleaned, sanitized, and maintained according to the food safety plan.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-5.5.a	The cleaning and sanitation program shall include measures for monitoring to verify effectiveness.	WP, R						
P-5.6	Transporting equipment shall be maintained to prevent contamination of products being transported.	R						
P-5.7	Waste materials and their removal are managed to avoid contamination.		•					
P-5.8	Outside garbage receptacles/ dumpsters are closed and located away from building entrances and the area around such sites is reasonably clean.							
P-5.9	The plant grounds are reasonably free of litter, waste culls, vegetation, debris and standing water.							
P-5.10	Sewage or septic systems are maintained so as not to be a source of contamination.		•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-5.11	The sewage disposal system is adequate for the process and maintained to prevent direct or indirect product contamination.		•					
<b>P-6</b>	<b>Post-Harvest Water/Ice</b>							
P-6.1	A postharvest water system description shall be prepared.	R	•					
P-6.2	Documented scheduled assessment of water system including delivery equipment shall be performed.	R	•					
P-6.3	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food-contact surfaces.	R	•					
P-6.4	The operation's food safety plan includes the produce washing process, if used.	A, WP	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-6.5	Re-used water that contacts product or food contact surfaces shall be treated using a registered or approved antimicrobial process or chemical treatment.		•					
P-6.6	If a postharvest water antimicrobial treatment is used, it shall be used in accordance with established operational procedure and manufacturer instructions.	R	•					
P-6.7	If applicable to the specific commodity, water use SOPs address control of immersion water temperature.	R						
P-6.8	Water change schedules shall be developed for all uses of water where water is re-used.							
P-6.9	Debris, damaged and/or visibly contaminated produce shall be removed from wash areas/dump tanks to the extent possible.							

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>P-7</b>	<b>Containers, Bins and Packaging</b>							
P-7.1	Specifications for all packaging materials and labels that impact finished product safety shall be provided and comply with prevailing regulations.	R						
P-7.2	Operation has a written procedure for inspecting incoming packaging materials	WP, R						
P-7.3	Operation has written policy regarding storage and post-storage handling of product-contact containers.	WP						
P-7.4	Materials that come in contact with the produce shall be clean and in good repair.	WP, R						
P-7.5	Operation has written policy regarding whether product-contact containers are permitted in direct contact with the ground or floor.	WP						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-7.6	Operation has written policy regarding inspection of food contact containers and bins prior to use.	WP						
P-7.7	Operation has written policy regarding acceptable product-contact containers.	WP	•					
P-7.8	Operation has written policy prohibiting use of product-contact containers for non-product purposes unless clearly marked or labeled for that purpose.	WP						
P-7.9	Pallets shall be kept clean and in good condition as appropriate for their intended use.							
<b>P-8</b>	<b>Storage</b>							
P-8.1	Product storage areas and conditions shall be appropriate to the commodities stored.							
P-8.2	Iced produce is handled so as not to serve as a source of contamination.							

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-8.3	Non-product storage areas shall be maintained so as not to be a source of product or materials contamination.							
P-8.4	Food packaging and packing materials shall be stored in a manner that minimizes contamination.							
P-8.4.a	The operation has a procedure to ensure that purchased materials, work in progress and finished products are used in the correct order, and within the allocated shelf life when applicable.	WP						
P-8.5	Adequate space shall be maintained between rows of stored materials to allow cleaning and inspection.	WP						
P-8.6	All chemicals shall be stored in a secure separate area. All chemicals shall be properly labeled.							



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-8.7	When produce is cooled, it is cooled to temperatures appropriate to the commodity according to current established regulatory or industry standards.	R						
P-8.8	Where temperature control is required by the food safety plan, cooling facilities shall be fitted with temperature monitoring equipment or suitable temperature monitoring device.	R						
P-8.9	Cooling equipment shall be maintained so as not to be a source of product contamination.	WP, R	•					
<b>P-9</b>	<b>Transportation (Packinghouse to Customer)</b>							
P-9.1	There is a written policy for transporters and conveyances to maintain a specified temperature(s) during transit.	WP						
P-9.2	Prior to loading, the vehicle shall be pre-cooled.	WP, R						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
P-9.3	The refrigerated transport vehicles shall have properly maintained and fully functional refrigeration equipment.	WP						
P-9.4	Where required, temperatures of product are taken and recorded prior to or upon loading.	WP, R						
P-9.5	The operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	WP, R	•					
P-9.6	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.							
Code Key: A=Assessment of Risk; WP = Written Policy/Procedure/Plan; R = Record								
<b>Additional Auditor Comments:</b>								

Name of Auditee:	
Date of Audit:	

Note: An official identification logo has been developed in conjunction with the USDA GAP & GHP program which may be used to indicate participation in the program. Participants may use the logo, provided they meet the requirements of the USDA logo use instructions found at [www.ams.usda.gov/gapghp](http://www.ams.usda.gov/gapghp) and meet the requirements of this audit. Failure to meet the audit will result in steps taken in accordance with the USDA logo use instructions.

The USDA Logo Use Addendum acceptance criteria is as follows:

- 1 No questions are assessed as an "IAR", Immediate Action Required.
- 2 Falsification of records is considered an "IAR".
- 3 All questions not answered as "NA" are answered as compliant.

Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>Additional questions required for operations approved to use the USDA GAP &amp; GHP Logo</b>								
<b>L-1 Food Safety Plan or Quality Manual</b>								
L-1.1	The operation's food safety plan or quality manual contains procedures on how the USDA GAP & GHP logo will be used.	WP	•					
L-1.2	There is a designated person to be responsible for the control of inventory bearing the logo.	WP	•					
<b>L-2 Traceability and Recall Program</b>								
L-2.1	The operation uses the USDA GAP & GHP logo only on packages, containers, or consumer units which are traceable.	WP	•					

Name of Auditee:							
Date of Audit:							
<b>L-3</b>	<b>Approved Suppliers</b>						
L-3.1	The Operation has supplied a list of approved suppliers to the local Federal or State auditor's office.	<b>R</b>	•				
L-3.2	All suppliers currently in use by the operation are listed on the supplied list of approved suppliers.	<b>WP, R</b>	•				
L-3.3	All suppliers have successfully completed and met the requirements of a USDA approved GAP & GHP audit (USDA GAP&GHP audit, commodity specific audit, or Produce GAPs Harmonized Audit, or Harmonized GAP Plus+ Audit) .	<b>R</b>	•				
<b>L-4</b>	<b>GAP &amp; GHP Logo Approved Use</b>						
L-4.1	The logo is only used on products, processes, and packaging as approved on the SC-652.	<b>R</b>	•				
L-4.2	All packaging or labels, which bear the GAP & GHP logo, are accountable items.	<b>WP, R</b>	•				

Name of Auditee:								
Date of Audit:								
L-4.3	The operation's inventory list of these packaging or labels is maintained and current.	R	•					
L-4.4	The logo is only used on packaging and labels that are clean and bright in appearance, without marks, stains, or other evidence of previous use.	R	•					
Code Key: WP = Written Policy/Procedure; R = Record								
<b>Additional Auditor Comments:</b>								

Name of Auditee:									
Date of Audit:									
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments	
<b>Additional questions required for operations requesting to use the USDA Tomato Audit Protocol Open-field Production and Harvesting</b>									
<b>TOF - 1 Management Responsibility</b>									
TOF-1.1	Operation has current copies of the Commodity Specific Food Safety Guidelines for the Fresh Tomato Supply Chain, Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain, the relevant Harmonized Food Safety Standard, and additional food safety documents as required by state and/or federal regulation.	R	•						
<b>TOF - 2 Self-Audits</b>									
TOF-2.1	Operation has procedures for conducting self-audits and conducts self-audits to verify compliance with established internal policies and procedures.	WP, R	•						

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TOF - 3</b>	<b>Field History and Pre-harvest Assessments</b>							
TOF-3.1	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.	WP	•					
TOF-3.2	Operation shall conduct the required Combined Harmonized Standard F-9.1 pre-harvest risk assessment no more than five (5) days from the first scheduled harvest date.	A	•					
<b>TOF - 4</b>	<b>Workers Health/Hygiene and Toilet/Handwashing Facilities</b>							
TOF-4.1	A response plan is in place in the event of a major spill or leak of field sanitation units.	WP, R	•					
TOF-4.2	If hand wash water tanks are used, they are cleaned and sanitized and the water is changed periodically.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TOF-4.3	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.	WP, R	•					
TOF-4.4	If gloves are used, there must be a written SOP regarding their use.	WP, R	•					
<b>TOF - 5 Pesticides</b>								
TOF-5.1	Pesticide Usage Water used to mix pesticides meets FDA E. coli standards for water in 21 CFR § 112.44(a); i.e., no detectable generic E. coli in 100 mL of agricultural water.	R	•					



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TOF - 6 Water Used in Growing Activities</b>								
TOF-6.1	<b>Non-Foliar</b> The water test meets FDA E. coli standards for foliar application water as described in 21 CFR § 112.44(b).	R	•					
TOF-6.2	<b>Foliar</b> The water test meets FDA standards for water in 21 CFR § 112.44(a); i.e., no detectable generic E. coli in 100 milliliters (mL) of agricultural water.	R	•					
<b>TOF - 7 Soil Amendments</b>								
TOF-7.1	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.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TOF - 8</b>	<b>Sanitizing Agents Used During Harvest</b>							
TOF-8.1	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.	R	•					
<b>TOF - 9</b>	<b>Product Containers</b>							
TOF-9.1	Reusable product bins, trays and containers are made of impervious materials that can be cleaned and sanitized.	WP	•					
TOF-9.2	Operation has a policy that requires bins, trays, and boxes made of corrugated cardboard are for single use only.	WP	•					
TOF-9.3	SOP specifies that workers do not remove harvest buckets from the field.	WP	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TOF-10</b>	<b>Field Packing of Tomatoes</b>							
TOF-10.1	Packing containers shall be labeled as to their source, and to identify that the product has been field packed.	R	•					
Code Key: WP = Written Policy/Procedure; R = Record								
<b>Additional Auditor Comments:</b>								

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>Additional questions required for operations requesting to use the USDA Tomato Audit Protocol Packinghouse</b>								
<b>TPH - 1</b>	<b>Management Responsibility</b>							
TPH-1.1	Operation has current copies of the Commodity Specific Food Safety Guidelines for the Fresh Tomato Supply Chain, Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain, the relevant Harmonized Food Safety Standard, and additional food safety documents as required by state and/or federal regulation.	R	•					
TPH-1.2	Operation has been registered or permitted as a food handling establishment as required by state or federal regulation.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TPH - 2</b>	<b>Raw Material Sourcing</b>							
TPH-2.1	The operation has a policy and takes affirmative steps to ensure that all fresh tomatoes that are packed or stored in the facility are grown following requirements in Tomato Metrics Audit - Open Field Production, Harvest and Field Packing.	WP	•					
TPH-2.2	Operation has procedures to ensure that the tomato staging area and staging practices do not pose a risk of tomato contamination.	WP	•					
<b>TPH - 3</b>	<b>Traceability</b>							
TPH-3.1	Lot identification shall be labeled on all cases and clearly legible.	WP	•					
<b>TPH - 4</b>	<b>Self-Audit</b>							
TPH-4.1	Operation has procedures for conducting self-audits and conducts self-audits to verify compliance with established internal policies and procedures	WP, R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TPH - 5</b>	<b>Product Containers and Packaging Materials</b>							
TPH-5.1	Tomato-contact bulk bins, gondolas, totes and trays shall not be constructed of wood.	WP	•					
TPH-5.2	The operation has written procedures for cleaning and sanitizing of produce food contact containers, requiring that bulk bins, gondolas, totes and trays are cleaned and sanitized periodically and is documented.	WP, R	•					
TPH-5.3	Operation has a policy that requires bins, trays, and boxes made of corrugated cardboard are for single use only.	R	•					
<b>TPH - 6</b>	<b>Packinghouse Condition and Equipment</b>							
<b>A.</b>	<b>General Building</b>							
TPH-6.1	Facility is constructed/ arranged to allow separation of incoming, in-process and finished products.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TPH-6.2	Operation has procedures that minimize the accumulation of standing water.	WP	•					
<b>B.</b>	<b>Facility and Equipment</b>							
TPH-6.3	All food contact surfaces are made of material and designed to be easily cleaned and sanitized, and are maintained in good condition.		•					
TPH-6.4	Wood is not used as a food contact surface.		•					
TPH-6.5	SDS are on file for all chemicals used in the facility, and readily accessible.	R	•					
<b>TPH - 7</b>	<b>Worker Health/Hygiene and Toilet/Handwashing Facilities</b>							
TPH-7.1	If portable hand wash water tanks are used, they are cleaned and sanitized and the water is changed periodically.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TPH - 8</b>	<b>Product Wash Water Management</b>							
TPH-8.1	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 average pulp temperature of tomatoes when entering the water.	R	•					
TPH-8.2	Operations utilizing spray systems in place of whole tomato immersion shall design the line so that the entire tomato surface is rinsed.		•					
TPH-8.3	If a spray bar system is used, operation has a water use SOP that addresses treatment of that water.	WP	•					



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TPH-8.4	If water quality is based upon a chlorine-based sanitizer, the process shall be targeted to be at least 100 ppm free available chlorine (FAC), measured at the exit of the product from the water system, unless validation data are available to demonstrate a lower FAC is effective under operating conditions.	R	•					
TPH-8.5	If water quality is based upon a peroxyacetic, peracetic or peracid system, levels shall be maintained in accordance with manufacturer's label directions.	R	•					
<b>TPH - 9</b>	<b>Quarantine or On-hold Materials</b>							
TPH-9.1	Materials placed on hold, quarantined or rejected are clearly identified and segregated from other products and packaging materials.	R	•					

Name of Auditee:								
Date of Audit:								
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<b>TPH - 10</b>	<b>Tomato Rerunning Processes</b>							
TPH-10.1	Tomato lots shall not be commingled in a rerunning process. Boxes shall not be reused if prohibited by prevailing regulation or law.	R	•					
<b>TPH - 11</b>	<b>Food Defense Awareness</b>							
TPH-11.1	The facility is registered with FDA as required by the Public Health Security and Bioterrorism Preparedness and Response Act of 2002.	R	•					
TPH-11.2	There are procedures in place that readily identify employees, and those with specific access privileges, e.g., to chemical storage, to the water system.	R	•					
Code Key: WP = Written Policy/Procedure; R = Record								
<b>Additional Auditor Comments:</b>								

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>Additional questions required for operations requesting to use the USDA Tomato Audit Protocol Greenhouse</b>								
<b>TGH 1</b>	<b>Management Responsibility</b>							
TGH-1.1	Operation has current copies of the Commodity Specific Food Safety Guidelines for the Fresh Tomato Supply Chain, Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain, the relevant Harmonized Food Safety Standard, and additional food safety documents as required by state and/or federal regulation.	<b>R</b>	•					
<b>TGH 2</b>	<b>Recordkeeping and Traceability</b>							
<b>A.</b>	<b>Greenhouse Packing</b>							
TGH-2.1	Containers shall be accurately labeled with commodity name, greenhouse firm name and information sufficient to allow for source and lot identification.	<b>WP</b>	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>B.</b>	<b>Packinghouse Packed Greenhouse Tomatoes</b>							
TGH-2.2	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.	WP	•					
<b>TGH 3</b>	<b>Self-Audit</b>							
TGH-3.1	Operation has procedures for conducting self-audits and conducts self-audits to verify compliance with established internal policies and procedures.	WP	•					
<b>TGH 4</b>	<b>Greenhouse</b>							
TGH-4.1	The greenhouse shall be enclosed.	WP, R	•					
TGH-4.2	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.	WP, R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TGH 5</b>	<b>Worker Health/Hygiene and Toilet/Handwashing Facilities</b>							
TGH-5.1	Restrooms should not open directly into greenhouse production areas.		•					
TGH-5.2	If portable hand wash water tanks are used, they are cleaned and sanitized and the water is changed periodically.	R	•					
TGH-5.3	Operation shall have a written policy regarding employees' outer garments.	WP	•					
<b>TGH 6</b>	<b>Pesticides</b>							
TGH-6.1	Water used to mix pesticides meets FDA E. coli standards for water in 21 CFR § 112.44(a); i.e., no detectable generic E. coli in 100 mL of agricultural water.	R	•					
<b>TGH 7</b>	<b>Water used in Growing Activities</b>							
TGH-7.1	<b>Non-Foliar</b> The water test meets FDA E.coli standards for foliar application of water as described in 21 CFR § 112.44(b).	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TGH-7.2	<b>Foliar</b> The water test meets FDA standards for water in 21 CFR § 112.44(a); i.e., no detectable generic E. coli in 100 milliliters (mL) of agricultural water.	R	•					
<b>TGH 8</b>	<b>Soil and Soil Amendments</b>							
TGH-8.1	Soil or other growth medium shall be stored in a manner that minimizes opportunities for contamination.		•					
TGH-8.2	Fertilizer manufacturer's instructions for usage and storage shall be followed.	R	•					
TGH-8.3	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.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TGH 9</b>	<b>Sanitizing Agents Used During Harvest</b>							
TGH-9.1	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.	R	•					
TGH-9.2	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.	R	•					
<b>TGH 10</b>	<b>Product Wash Water Management</b>							
TGH-10.1	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 average pulp temperature of tomatoes when entering the water.	R	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TGH-10.2	Operations utilizing spray systems in place of whole tomato immersion shall design the line so that the entire tomato surface is rinsed.		•					
TGH-10.3	If a spray bar system is used, operation has a water use SOP that addresses treatment of that water.	WP	•					
TGH-10.4	If water quality is based upon a chlorine-based sanitizer, the process shall be targeted to be at least 100 ppm free available chlorine (FAC), measured at the exit of the product from the water system, unless validation data are available to demonstrate a lower FAC is effective under operating conditions.	R	•					



Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TGH-10.5	If water quality is based upon a peroxyacetic, peracetic or peracid system, levels shall be maintained in accordance with manufacturer's label directions.	R	•					
<b>TGH 11</b>	<b>Product Containers and Packaging Materials</b>							
TGH-11.1	Operation has a written procedure for inspecting incoming packaging material.	R	•					
TGH-11.2	Reusable containers and food contact equipment and utensils shall be constructed of impervious materials that can be easily cleaned and sanitized.	R	•					
TGH-11.3	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.	WP	•					
Code Key: WP = Written Policy/Procedure; R = Record								

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Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>Additional Auditor Comments:</b>								

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
	<b>Additional questions required for operations requesting to use the USDA Tomato Audit Protocol Repacking and Distribution</b>							
<b>TPD 1</b>	<b>Management Responsibility</b>							
TPD-1.1	Operation has current copies of the Commodity Specific Food Safety Guidelines for the Fresh Tomato Supply Chain, Food Safety Programs and Auditing Protocol for the Fresh Tomato Supply Chain, the relevant Harmonized Food Safety Standard, and additional food safety documents as required by state and/or federal regulation.	<b>R</b>	•					
TPD-1.2	Operation has been registered or permitted as a food handling establishment as required by state or federal regulation.	<b>WP</b>	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
<b>TPD 2</b>	<b>Raw Material Sourcing</b>							
TPD-2.1	The operation has a policy and takes affirmative steps to ensure that all fresh tomatoes that are packed or stored in the facility are grown following requirements in <i>Tomato Metrics Audit - Open Field Production, Harvest and Field Packing.</i>	WP	•					
TPD-2.2	Operation has procedures to ensure that the tomato staging area and staging practices do not pose a risk of tomato contamination.	WP	•					
<b>TPD 3</b>	<b>Traceability</b>							
TPD-3.1	All levels of the tomato supply chain shall maintain adequate traceability to a minimum of immediate next recipient and immediate previous supplier.	WP	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TPD-3.2	Establish procedures to maintain lot identity of tomatoes, including setbacks and primary containers, throughout the repacking process.	WP	•					
TPD-3.3	Establish procedures for reconciliation of incoming tomato lots to usage.	WP	•					
<b>TPD 4</b>	<b>Self-Audit</b>							
TPD-4.1	Operation has procedures for conducting self-audits, and conducts self-audits to verify compliance with established internal policies and procedures.	WP, R	•					
<b>TPD 5</b>	<b>Product Containers and Packaging Materials</b>							
<b>A.</b>	<b>Bins, Gondolas, Totes</b>							
TPD-5.1	Tomato-contact bulk bins, gondolas, totes and trays shall not be constructed of wood.	WP	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TPD-5.2	The operation has written procedures for cleaning and sanitizing of produce food contact containers, requiring that bulk bins, gondolas, totes and trays are cleaned and sanitized periodically and is documented.	WP, R	•					
<b>B.</b>	<b>Primary Packing Boxes</b>							
TPD-5.3	The repacker must label the container as being repacked. The box contains information on the commodity, repacker identification and provides lot identification.	R	•					
TPD-5.4	Operation has a process to ensure that inaccurate information on previously used boxes is obliterated, or otherwise made clear that original information no longer applies, to prevent misidentification.	WP	•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TPD-5.5	Used boxes may be used as secondary shipping containers, provided that the original identification information on the box has been obliterated or otherwise made clear that it is no longer accurate.		•					
<b>TPD 6</b>	<b>Packinghouse Condition and Equipment</b>							
<b>A.</b>	<b>General Building</b>							
TPD-6.1	Facility is constructed/arranged to allow separation of incoming, in-process and finished products.	<b>R</b>	•					
TPD-6.2	Operation has procedures that minimize the accumulation of standing water.	<b>WP</b>	•					
<b>B.</b>	<b>Facility and Equipment</b>							
TPD-6.3	All food contact surfaces are made of material and designed to be easily cleaned and sanitized, and are maintained in good condition.		•					
TPD-6.4	Wood is not used as a food contact surface.		•					

Name of Auditee:								
Date of Audit:								
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
TPD-6.5	SDS are on file for all chemicals used in the facility, and readily accessible.	R	•					
<b>TPD 7</b>	<b>Worker Health/Hygiene and Toilet/Handwashing Facilities</b>							
TPD-7.1	If portable hand wash water tanks are used, they are cleaned and sanitized and the water is changed periodically.	R	•					
<b>TPD 8</b>	<b>Product Wash Water Management</b>							
TPD-8.1	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 average pulp temperature of tomatoes when entering the water.	R	•					
TPD-8.2	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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TPD-8.3	If a spray bar system is used, operation has a water use SOP that addresses treatment of that water.	WP	•					
TPD-8.4	If water quality is based upon a chlorine-based sanitizer, the process shall be targeted to be at least 100 ppm free available chlorine (FAC), measured at the exit of the product from the water system, unless validation data are available to demonstrate a lower FAC is effective under operating conditions.	R	•					
TPD-8.5	If water quality is based upon a peroxyacetic, peracetic or peracid system, levels shall be maintained in accordance with manufacturer's label directions.	R	•					

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<b>TPD 9</b>	<b>Quarantine or On-hold Materials</b>							
TPD-9.1	Materials placed on hold, quarantined or rejected are clearly identified and segregated from other products and packaging materials.	R	•					
<b>TPD 10</b>	<b>Food Defense Awareness</b>							
TPD-10.1	The facility is registered with FDA as required by the Public Health Security and Bioterrorism Preparedness and Response Act of 2002.	R	•					
TPD-10.2	There are procedures in place that readily identify employees, and those with specific access privileges, e.g., to chemical storage, to the water system.	WP	•					
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<b>Additional Auditor Comments:</b>								

## **DUPLICATION OF CORRECTIVE ACTION TAB INSTRUCTIONS**

Any item on a checklist with a checkmark beside the Corrective Action Needed (CAN) box or the Immediate Action Required (IAR) box must be documented using a Corrective Action Report. A separate form is required for each item with either of these entities. 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 worksheet.
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"

# USDA Harmonized GAP and GAP Plus+ Standards USDA Checklist

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

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