



## Produce GAPs Harmonized Food Safety Standard Field Operations & Harvesting - USDA Checklist

### AUDITEE INFORMATION

Company Name: Triple C Farms

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

Street: 13225 Warrensburg Rd City, State, Zip: Midway, TN 37809

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

**Mailing/Business Address**  Same as above

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

Company Contact: Brian Mart Contact Title: Food Safety Manager

Phone Number: 423 839 5440 Fax Number: 423 373 1219

E-Mail Address: [martbrian4@gmail.com](mailto:martbrian4@gmail.com)

Company requests Global Markets Addendum?  Yes  No

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

### AUDIT INFORMATION

**Date and Time of Audit** Beginning Date: 9/14/2017 Time: 9:15 AM cst

Ending Date: 9/14/2017 Time: 11:15 AM cst

Description of Operation: Growers and packers of tomatoes.

Harvest Company Name (if applicable): N/A

Other Contractors: A-1 Porta Potties, Bulls Gap, TN

Commodities Covered by Audit: Tomatoes

Commodities Produced During Audit: Tomatoes

Total Acres Covered by Audit: 300 Acres

### AUDITOR INFORMATION

United States Department of Agriculture \_\_\_\_\_  
Agricultural Marketing Service \_\_\_\_\_  
Fruit and Vegetable Programs \_\_\_\_\_  
Specialty Crops Inspection Division \_\_\_\_\_

Field Office: Nashville, TN

Auditor Name(s): Valeria J DeSantis

Auditor Signature(s): On File 9/14/17

**OTHER INFORMATION**

Person(s) Interviewed:	Brian Mart Tim Chandley
Audit Requested by:	Brian Mart
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**


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**INTERNAL USE ONLY**

Reviewing Official Name:	J.Sirchia
Signature:	
Date:	100417
Audit Results Meets USDA Acceptance Criteria	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
Audit Results Meets Global Markets Addendum Acceptance Criteria ( <i>Check box if meets criteria</i> )	<input type="checkbox"/> Basic <input checked="" type="checkbox"/> Intermediate <input type="checkbox"/> N/A

## AUDITOR COMPLETION INSTRUCTIONS

All questions on the Produce GAPs Harmonized Food Safety Standard, Field Operations and Harvesting - USDA Checklist shall be assessed according to the Verification Instructions outlined in the Produce GAPs Harmonized 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 Standard.

**Corrective Action Needed (CAN)** - The operation does not meet the requirement(s) of the Harmonized GAP 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 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 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 "CAN" or "IAR". Auditor shall refer to the *GAP&GHP Audit Verification Program - Policy and Instructions* for further guidance on Corrective Action Reports.

**Global Markets Addendum:** The auditor shall only assess the Global Markets addendum at the specific request of the auditee. This portion of the audit is not an official part of the Produce GAPs Harmonized Food Safety Standard.

## AUDITEE INFORMATION

Auditees should download the complete Produce GAPs Harmonized Food Safety 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 Audit Summary 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 entire Field Operations and Harvesting checklist be completed, 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.

Packinghouse operations are covered by a separate standard and audit checklist. Please visit the USDA website at [www.ams.usda.gov/gapghp](http://www.ams.usda.gov/gapghp) to download a copy of the Produce GAPs Harmonized Post-harvest Operations standard and checklist.

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 Fruit and Vegetable Inspection office, or the Specialty Crops Inspection Division at 202-720-5021.

**USDA Acceptance Criteria for the  
Produce GAPs Harmonized Food Safety Standard  
Field Operations and Harvesting**

1	No questions are assessed as an "IAR", Immediate Action Required.
2	Falsification of records is considered an "IAR".
3	Questions 1.1.1; 1.1.2; 1.2.1; 1.6.1; 1.7.1; 2.3.1; 2.4.3.3; 2.4.3.4; and 2.4.3.5 must be assessed as "compliant".
4	If the auditee has been audited against the Produce GAPs Harmonized Food Safety Standard previously, the auditee must have addressed all associated CANs or IARs, following their established corrective action procedure.
5	Operation must have performed a risk assessment as addressed in Questions 2.1.1, 2.4.2.1, 2.5.1, 2.6.1, and 3.1.1 in the Harmonized Standard as well as Question 5.1.11 in the Global Markets section, if this section is covered by scope of audit.
6	In each major section (1 through 5) of the audit, at least 80% of the questions not answered as "N/A" must be answered as compliant.
7	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 Harmonized 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 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 in order to address the issue and schedule a new audit in order to show compliance to the acceptance criteria.

**Acceptance Criteria for the  
Global Markets Program for Primary Production Basic or Intermediate Level  
Assessment**

In addition to the USDA acceptance criteria, growers utilizing this audit to meet Global Markets Program for Primary Production Basic or Intermediate Level Assessment requirements must meet the following additional criteria, which are listed as major elements within the Global Markets Capacity Building Program for Primary Production.

<b>Audit Element(s)</b>	<b>Criteria</b>
1.3	Documentation and Recordkeeping (includes all 3 sub-questions).
1.4	Worker Training.
2.1.1	Field History and Assessment (pre-planting).
2.2.1	Hygienic Procedure for All Activities Which Take Place on the Farm.
2.2.2	Hygienic Practices are Effectively Implemented.
2.2.4 & 2.2.5	Access to Clean Toilets and Hand Washing Facilities.
2.3.1	Agricultural Chemicals are Registered.
2.3.2	If Exporting - Agriculture Chemicals Registered or Permitted for use in the Destination Country
2.3.4	Water Used for Plant Protection Products does not Present a Food Safety Risk.
2.3.5	Agricultural Chemical Disposal.
2.4.3.1	No Untreated Sewage Water Used for Irrigation.
2.4.3.1, 2.5.1, 2.6.1, 2.7.2	Where Food Safety Hazards have been Identified - Records to Demonstrate that They are Effectively Managed (water, animals, soil amendments, equipment).
2.5	Animal Control (includes all 3 sub-questions).
2.6	Soil Amendments (includes 2 sub-questions).
2.7.2	Documented Cleaning and Sanitation Procedures.
3.2.2	Water Used on Harvested Crops is Potable.
3.3	Containers, Bins & Packing Material (includes all 4 sub-questions).
3.5.3	Storage of Harvested Product.
6.1.1 & 6.1.2	Awareness and Compliance to Customer Specific Food Safety Specifications.
6.1.7	Food Safety Incidents Recorded and Assessed.
6.3.1	No Untreated Human Sewage is Used.
6.5.2	Operation Keeps List of Agricultural Chemicals Used on the Crops being Grown.
6.5.6	Operations Demonstrate Knowledge of Calculating and Preparing Application Mix.

Audit Summary		Name of Auditee:			Triple C Farms		
		Date of audit:			9/14/2017		
Section	Questions	Total # in Section	# of C	# of CAN	# of IAR	# of NA	Question # of any CAN or IAR
<b>1.0</b>	<b>General Questions</b>	<b>20</b>	<b>20</b>	<b>0</b>	<b>0</b>	<b>0</b>	
1.1	Management Responsibility	3	3	0	0	0	
1.2	Food Safety Plan	2	2	0	0	0	
1.3	Documentation & Recordkeeping	3	3	0	0	0	
1.4	Worker Education & Training	3	3	0	0	0	
1.5	Sampling & Testing	4	4	0	0	0	
1.6	Traceability	2	2	0	0	0	
1.7	Recall Program	1	1	0	0	0	
1.8	Corrective Actions	1	1	0	0	0	
1.9	Self Audits	1	1	0	0	0	
<b>2.0</b>	<b>Field Production</b>	<b>50</b>	<b>47</b>	<b>0</b>	<b>0</b>	<b>3</b>	
2.1	Field History & Assessment	3	2	0	0	1	
2.2	Worker Health/Hygiene and Toilet/ Handwashing Facilities	21	19	0	0	2	
2.3	Agricultural Chemicals/Plant Protection Products	5	5	0	0	0	
2.4	Water Used in Growing Activities	10	10	0	0	0	
2.5	Animal Control	3	3	0	0	0	
2.6	Soil Amendments	2	2	0	0	0	
2.7	Vehicles, Equipment, Tools and Utensils	6	6	0	0	0	
<b>3.0</b>	<b>Harvesting</b>	<b>20</b>	<b>19</b>	<b>0</b>	<b>0</b>	<b>1</b>	
3.1	Preharvest Assessment	1	1	0	0	0	
3.2	Water/Ice Used in the Harvesting and Postharvest Operations	5	4	0	0	1	

<b>Audit Summary</b>		<b>Name of Auditee:</b>					Triple C Farms	
		<b>Date of audit:</b>					9/14/2017	
<b>Section</b>	<b>Questions</b>	<b>Total # in Section</b>	<b># of C</b>	<b># of CAN</b>	<b># of IAR</b>	<b># of NA</b>	<b>Question # of any CAN or IAR</b>	
3.3	Containers, Bins and Packaging Materials	4	4	0	0	0		
3.4	Field Packaging and Handling	7	7	0	0	0		
3.5	Postharvest Handling and Storage	3	3	0	0	0		
<b>4.0</b>	<b>Transportation (Field to Storage or Packinghouse)</b>	<b>2</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>		
4.1	Equipment Sanitation & Maintenance	2	2	0	0	0		
<b>5.0</b>	<b>Waste Management</b>	<b>2</b>	<b>2</b>	<b>0</b>	<b>0</b>	<b>0</b>		
<b>6.0</b>	<b>Global Markets Primary Production Addendum</b>	<b>33</b>	<b>33</b>	<b>0</b>	<b>0</b>	<b>0</b>		
6.1	Food Safety Plan and Documentation	11	11	0	0	0		
6.2	Propagation Material	3	3	0	0	0		
6.3	Fertilizers & Biosolids	4	4	0	0	0		
6.4	Harvesting	1	1	0	0	0		
6.5	Agricultural Chemicals	9	9	0	0	0		
6.6	Waste Management	2	2	0	0	0		
6.7	Food Defense	3	3	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.								
NOTE:	Section 6 is not a component of the Produce GAPs Harmonized Food Safety Standard and is offered only as a service to those auditees who need to conform to the Global Markets Primary Production Assessment							



Triple C Farms

Name of Auditee:			Triple C Farms				
Date of Audit:			9/14/2017				
Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
<b>1</b>	<b>General Questions</b>						
<b>1.1</b>	<b>Management Responsibility</b>						
1.1.1.	A food safety policy shall be in place.	WP	✓				The farm has a food safety plan with written polices in place.
1.1.2.	Management has designated individual(s) with roles, responsibilities, and resources for food safety functions.	WP	✓				Brian Mart is in charge of food safety, he has attended numerous classes, about food safety, at the University of NC, KY, and TN.
1.1.3.	There is a disciplinary policy for food safety violations.		✓				
<b>1.2</b>	<b>Food Safety Plan</b>						
1.2.1.	There shall be a written food safety plan that covers the Operation.	WP	✓				The food safety plan covers all aspects of the operation.
1.2.2.	The food safety plan shall be reviewed at least annually.	R	✓				The last review was July 18, 2017, there is a record of the review.
<b>1.3</b>	<b>Documentation and Recordkeeping</b>						
1.3.1	Documentation shall be kept that demonstrates the food safety plan is being followed.	R	✓				Records that supported the food safety plan were readily available.

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Date of Audit:			9/14/2017				
Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
1.3.2.	Documentation shall be readily available for inspection.		✓				All records and documents are filed neatly and available for review.
1.3.3.	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulations.		✓				The farm has a written retention policy for their records.
<b>1.4</b>	<b>Worker Education and Training</b>						
1.4.1.	All personnel shall receive food safety training.	R	✓				Personnel received ood safety training on 7/18/17.
1.4.2.	Personnel with food safety responsibilities shall receive training sufficient to their responsibilities.		✓				
1.4.3.	Contracted personnel are held to the relevant food safety standards as they would be as employees.	R	✓				
<b>1.5</b>	<b>Sampling and Testing</b>						
1.5.1.	Where laboratory analysis is required in the Food Safety Plan, testing shall be performed by a GLP laboratory using validated methods.	R	✓				Water testing is performed by Waters Agricultural Labs, Camiila, GA, a GLP Lab. The test results were: ecoli 9.7 mpn/100 ml

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Date of Audit:			9/14/2017				
Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
1.5.2.	Where microbiological analysis is required in the food safety plan, samples shall be collected in accordance with an established sampling procedure.	WP	✓				The farm used the SOP's provided by Water's Agricultural Labs. These written procedures are incorporated in their food safety plan.
1.5.3.	Tests, their results and actions taken must be documented.	R	✓				
1.5.4.	All required testing shall include test procedures and actions to be taken based on the results.	WP	✓				Procedures are written down and were given to the farm by Water Agricultural Laboratories.
<b>1.6</b>	<b>Traceability</b>						
1.6.1.	A documented traceability program shall be established.	WP, R	✓				There is a written traceability program, with procedures to follow and records to keep.
1.6.2.	A trace back and trace forward exercise shall be performed at least annually.		✓				The last trace back exercise was performed on 7/18/17, and was successful.
<b>1.7</b>	<b>Recall Program</b>						
1.7.1.	A documented recall program, including written procedures, shall be established.	WP, R	✓				There is a documented recall program that has written procedures.

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Date of Audit:			9/14/2017				
Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
<b>1.8</b>	<b>Corrective Actions</b>						
1.8.1.	The Operation shall have documented corrective action procedures.	WP, R	✓				
<b>1.9</b>	<b>Self Audits</b>						
1.9.1.	The Operation shall have documented self-audit procedures.	R	✓				The farm did a self-audit on 7/18/17, using the food safety manual and the Harmonized GAP audit check list. The self-audit was successful.
<b>2</b>	<b>Field Production</b>						
<b>2.1</b>	<b>Field History and Assessment</b>						
2.1.1.	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.	R	✓				Evaluation and documentation of the risks associated with land use history and adjacent land use, including structures and equipment was performed on 7/18/17.
2.1.2	For indoor growing and field storage buildings, building shall be constructed and maintained in a manner that prevents contamination of produce.					✓	There is no indoor growing.

Triple C Farms

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
2.1.3	Sewage or septic systems are maintained so as not to be a source of contamination.		✓				
<b>2.2</b>	<b>Worker Health/Hygiene and Toilet/Handwashing Facilities</b>						
2.2.1	Operation shall have a policy for toilet, hygiene, and health.	WP	✓				There is a written policy with procedures that address toilet, hygiene, and health.
2.2.2	Employees and visitors shall be made aware of and follow all personal hygiene practices as designated by the Operation.		✓				
2.2.3	Toilet facilities shall be designed, constructed, and located in a manner that minimizes the potential risk for product contamination and are directly accessible for servicing.		✓				
2.2.4	Toilet facilities shall be of adequate number, easily accessible to employees and visitors and in compliance with applicable regulation.		✓				

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Date of Audit:			9/14/2017				
Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
2.2.5	Toilet and wash stations shall be maintained in a clean and sanitary condition.		✓				
2.2.6	Personnel shall wash their hands at any time when their hands may be a source of contamination.		✓				There is a written policy with procedures that address toilet, hygiene, and health, and requires hand washing at any time when their hands may cause contamination.
2.2.7	Signage requiring hand washing is posted.		✓				
2.2.8	Clothing, including footwear, shall be effectively maintained and worn so as to protect product from risk of contamination.		✓				
2.2.9	If gloves are used, the Operation shall have a glove use policy.		✓				The policy states that gloves are not required but may be worn should the worker wish to.
2.2.10	Protective clothing, when required, shall be maintained, stored, laundered and worn so as to protect product from risk of contamination.					✓	Protective clothing is not required by the farm.

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
2.2.11	When appropriate, racks and/or storage containers or designated storage area for protective clothing and tools used by employees shall be provided.		✓				
2.2.12	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) shall be in compliance to company policy and applicable regulation.		✓				
2.2.13	The use of hair coverings shall be in compliance with company policy and applicable regulations.					✓	The farm does not have a hair or beard net policy.
2.2.14	Employees' personal belongings shall be stored in designated areas.		✓				
2.2.15	Smoking, chewing, eating, drinking (other than water), urinating, defecating or spitting is not permitted in any growing areas.		✓				

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
2.2.16	Operation shall have a written policy that break areas are located so as not to be a source of product contamination.	WP	✓				.The operation has a written policy that break areas are so located so as not to be a source of contamination, they are also posted
2.2.17	Drinking water shall be available to all field employees.	R	✓				
2.2.18	Workers and field personnel who show signs of illness shall be restricted from direct contact with produce or food-contact surfaces.	WP	✓				The farm has a written policy concerning where break areas are, those areas are clearly marked as break areas.
2.2.19	Personnel with exposed cuts, sores, or lesions shall not be engaged in handling product.		✓				
2.2.20	Operation shall have a blood and bodily fluids policy.	WP	✓				There is a written policy that covers blood and bodily fluids, who to report it to and a procedure to follow.
2.2.21	First aid kits shall be accessible to all personnel.		✓				
<b>2.3</b>	<b>Agricultural Chemicals/Plant Protection Products</b>						



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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
2.3.1	Use of agricultural chemicals shall comply with label directions and prevailing regulation.	R	✓				
2.3.2	If product is intended for export, agricultural chemical use, including post-harvest chemicals, shall consider requirements in the intended country of destination.		✓				The farm does not export product.
2.3.3	Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulation.	R	✓				Agricultural chemicals are applied by Tim Chandley, who has a chemical applicator's license number 37809, from the TN Dept. of Agriculture, expiration 10/21/17.
2.3.4	Water used with agricultural chemicals shall not be a source of product or field contamination.		✓				
2.3.5	Agricultural chemical disposal shall not be a source of product or field contamination.		✓				

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
<b>2.4</b>	<b>Water Used in Growing Activities</b>						
<b>2.4.1</b>	<b>Water System Description</b>						
2.4.1.1	A water system description shall be available for review.	WP	✓				There is a water description that was made available for review.
2.4.1.2	The water source shall be in compliance with prevailing regulations.		✓				
2.4.1.3	Water systems shall not be cross-connected with human or animal waste systems.		✓				
<b>2.4.2</b>	<b>Water System Risk Assessment</b>						
2.4.2.1	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.	R	✓				There is a water risk assessment that was performed that took into consideration the water source, testing of that source, the crops and the stage of growth of the crop.
<b>2.4.3</b>	<b>Water Management Plan</b>						

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
2.4.3.1	There shall be a water management plan to mitigate risks associated with the water system on an ongoing basis.	WP	✓				There is a water risk assessment that was performed that took into consideration the water source, testing of that source, the crops and the stage of growth of the crop.
2.4.3.2	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	✓				There is a written procedure for water testing policy that takes into consideration the risks, regulations, and effects on the crop being grown.
2.4.3.3	The testing program shall be implemented consistent with the water management plan.	R	✓				
2.4.3.4	If water is treated to meet microbiological criteria, the treatment is approved and effective for its intended use, and is appropriately monitored.	R	✓				
2.4.3.5	If post-harvest handling is used to achieve microbial criteria, Operation has documentation supporting its use.	R	✓				

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2.4.3.6	If Operation uses an alternative approach to regulatory microbiological testing, Operation has scientific data or information to support the alternative.	R	✓				The farm does not use an alternative approach to regulatory microbiological testing.
<b>2.5</b>	<b>Animal Control</b>						
2.5.1	The Operation has a written risk assessment on animal activity in and around the production area.	WP	✓				
2.5.2	The Operation routinely monitors for animal activity in and around the growing area during the growing season.	R	✓				
2.5.3	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.	R	✓				
<b>2.6</b>	<b>Soil Amendments</b>						

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
2.6.1	The food safety plan shall address soil amendment risk, preparation, use, and storage.	R	✓				
2.6.2	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.	R	✓				There is a record on file that states no soil amendment containing raw or incompletely treated manure is being used.
<b>2.7</b>	<b>Vehicles, Equipment, Tools and Utensils</b>						
2.7.1	Equipment, vehicles, tools utensils and other items or materials used in farming operations that may contact produce are identified.	R	✓				
2.7.2	Equipment, vehicles, tools and utensils used in farming operations which come into contact with product are in good repair, and are not a source of contamination of produce.	R	✓				

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
2.7.3	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of chemical hazards.		✓				.Vehicles, equipment, and utensils are being controlled so as not to be a source of product contamination.
2.7.4	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of physical hazards.		✓				.Vehicles, equipment, and utensils are being controlled so as not to be a physical hazard,.
2.7.5	Cleaning and sanitizing procedures do not pose a risk of product contamination.		✓				
2.7.6	Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination.	<b>WP</b>	✓				

<b>3</b>	<b>Harvesting</b>						
<b>3.1</b>	<b>Preharvest Assessment</b>						
3.1.1.	A preharvest risk assessment shall be performed.	<b>WP. R</b>	✓				Pre-harvest risk assessments are performed and records are kept.
<b>3.2</b>	<b>Water/Ice Used in the Harvesting and Postharvest Operations</b>						

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
3.2.1.	Operation has procedures for water used in contact with product or food contact surfaces.	R	✓				
3.2.2.	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	✓				
3.2.3.	Water use SOPs address treatment of re-circulated water, if used.	R	✓				Triple C farm does not use re-circulated water in the harvesting of their product.. Harvested product is not field packed but instead transported to the packing shed.
3.2.4.	Water use SOPs address condition and maintenance of water-delivery system.		✓				
3.2.5.	If applicable to the specific commodity, water use SOPs address control of wash water temperature.					✓	Wash water is not used during the harvest.
<b>3.3</b>	<b>Containers, Bins and Packaging Materials</b>						
3.3.1.	Operation has written policy regarding storage of harvesting containers.	WP	✓				There ia a written policy that addresses the storage of harvesting containers.

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
3.3.2.	Operation has written policy regarding inspection of food contact containers prior to use.	WP	✓				The food contact containers are being inspected according to the written policy in the operation's SOP.
3.3.3.	Operation has written policy regarding acceptable harvesting containers.	WP	✓				
3.3.4.	Operation has written policy prohibiting use of harvest containers for non-harvest purposes.	WP	✓				There is .a written policy prohibiting the use of harvest containers for nonharvest purposes.
<b>3.4</b>	<b>Field Packing and Handling</b>						
3.4.1.	Operation shall have a written policy that visibly contaminated, damaged or decayed produce is not harvested, or is culled.	WP	✓				The Farm has a written policy that states that no damaged or decayed produce will be harvested.
3.4.2.	Product that contacts the ground shall not be harvested unless the product normally grows in contact with the ground.	WP	✓				
3.4.3.	Harvest procedures shall include measures to inspect for and remove physical hazards.		✓				



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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
3.4.4.	Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce.		✓				The farm does not use cloths, towels, or other cleaning materials that pose a risk of cross-contamination to be used to wipe produce.
3.4.5.	Packaging materials shall be appropriate for their intended use.		✓				
3.4.6.	Packaging shall be stored in a manner that prevents contamination.		✓				
3.4.7.	Operation has written policy regarding whether packing materials are permitted in direct contact with the soil.	WP	✓				
<b>3.5</b>	<b>Post Harvest Handling and Storage</b>						
3.5.1.	Harvested produce is handled in a manner such that it is not likely to become contaminated.		✓				
3.5.2.	Materials that come in contact with the produce shall be clean and in good repair.		✓				

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
3.5.3.	Harvested produce shall be stored separately from chemicals which may pose a food safety hazard.		✓				The harvested produce is stored separately from chemicals which may pose a food safety risk.

<b>4</b>	<b>Transportation (Field to Storage or Packinghouse)</b>						
<b>4.1</b>	<b>Equipment Sanitation and Maintenance</b>						
4.1.1.	The Operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	<b>WP, R</b>	✓				There is a written policy, written procedures and records that are kept daily that address the cleanliness and functionality of the shipping units.
4.1.2.	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.		✓				

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments
<b>5</b>	<b>Waste Management</b>						
5.1	Operation has implemented a waste management plan.		✓				
5.2	Trash shall not come in contact with produce.		✓				

Code Key: WP = Written Policy/Procedure; R = Record

<b>Additional Auditor Comments:</b>

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Note: The questions in this section are not official questions associated with the Produce GAPs Harmonized Food Safety Standard. These additional questions are used to show conformance to the Global Markets Program for Primary Production Basic or Intermediate Level Assessment. Farming or packinghouse operations should check with their buyers to verify whether or not conformance with these questions is necessary in order to be an approved supplier. **This addendum will only be assessed at the specific request of the auditee.** Several of the questions in this section are similar to questions in the Harmonized Audit, however due to slight differences in the requirements of the two standards, the Global Markets questions shown below were developed to verify conformance to the Global Markets Assessment.

The Global Markets Capacity Building Program for Primary Production has two levels, Basic and Intermediate. For the Basic level audit, only those questions identified as basic need to be answered (Intermediate level questions should be marked N/A). For the Intermediate level audit both the basic AND intermediate questions must be answered. A copy of the complete Global Markets Primary Production Assessment can be obtained on the Global Food Safety Initiative website at [www.mygfsi.com](http://www.mygfsi.com).

Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments	Basic or Intermediate Level
<b>6</b>	<b>Additional Questions required to meet Global Markets Primary Production Assessment</b>							
<b>6.1</b>	<b>Food Safety Plan &amp; Documentation</b>							
6.1.1	If applicable, the food safety plan addresses customers' food safety specifications.	R	✓				There is a written policy, written procedures and records that are kept.	<b>Basic</b>
6.1.2	The operation can demonstrate compliance to customers' food safety specifications (if applicable).	R	✓				The operation annually gets the audit.	<b>Basic</b>

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6.1.3	A reference system for each field, orchard, greenhouse, plot and other production area has been established.	R	✓				The farm has maps available for review, that show each field, plot, and other production areas that have been established.	Basic
6.1.4	Documentation shall include records of all agronomic activities undertaken at each production unit.	R	✓					Basic
6.1.5	Corrective action procedures shall include a procedure to evaluate complaints.	WP	✓				There is a written procedure that addresses corrective actions and their evaluation.	Basic
6.1.6	The operation shall record any food safety related non-conformances and complaints.	R	✓					Basic
6.1.7	Food safety incidents are recorded and assessed to determine its severity and risk and addressed accordingly.	R	✓					Intermediate
6.1.8	The incident management procedure is reviewed, tested and verified at least once a year.	R	✓					Intermediate

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6.1.9	Operation has an approved supplier program for all inputs including contractors.	WP, R	✓					Intermediate
6.1.10	Operation has performed and documented a risk assessment of the production area.	R	✓					Basic
6.1.11	Operation has identified control measures to all significant hazards identified during risk assessment.	R	✓					Intermediate
<b>6.2</b>	<b>Propagation Material</b>							
6.2.1	Operation keeps records of agricultural chemical applications used on nursery stock, transplants and other propagation material produced on site.		✓					Basic
6.2.2	If nursery stock, transplants or other propagation material is purchased from an outside source, records of ag chemical use are obtained.	R	✓					Basic

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6.2.3	The Operation has certificates/records showing the seed or other propagation material is free of injurious pests, diseases, viruses, etc.	R	✓					Basic
<b>6.3</b>	<b>Fertilizers and Biosolids</b>							
6.3.1	Operation does not use untreated human sewage.	WP	✓				There is a written policy that the farm does not use untreated human sewage.	Basic
6.3.2	All applications of fertilizers, both organic and inorganic shall be recorded.	R	✓				All use of fertilizer are recorded.	Basic
6.3.3	Application equipment used to apply fertilizers are checked and calibrated on a scheduled basis.	R	✓				All use of fertilizer are recorded.	Intermediate
6.3.4	Fertilizers are stored separately from agricultural chemicals.		✓					Basic
<b>6.4</b>	<b>Harvesting</b>							
6.4.1	When product is field packed, collection, storage, and distribution points are maintained in a clean and hygienic contamination.		✓				The farm does not field pack it's product.	Basic

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<b>6.5</b>	<b>Agricultural Chemicals</b>						
6.5.1	The operation shall have a documented crop protection policy.	<b>WP</b>	✓				<b>Basic</b>
6.5.2	The operation has a current list of agricultural chemicals that are used and approved for the crops being grown.	<b>R</b>	✓				<b>Intermediate</b>
6.5.3	Agricultural chemical records include the target organism(s) and justification for application.	<b>R</b>	✓			Application book was reviewed which contained the target organisms and justification for application.	<b>Intermediate</b>
6.5.4	Agricultural chemical records include the application equipment used to apply the chemicals.	<b>R</b>	✓			Chemical records were reviewed and the records included the equipment used.	<b>Intermediate</b>
6.5.5	Equipment used to apply agricultural chemicals shall be kept in good condition and verified annually to ensure accurate application.	<b>R</b>	✓				<b>Intermediate</b>
6.5.6	Operator demonstrates knowledge of preparing and calculating agricultural chemical mixes.		✓				<b>Intermediate</b>



Name of Auditee:			Triple C Farms					
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6.5.7	The operation provides evidence of annual residue testing or participation in a third party plant protection product residue monitoring system.	R	✓					Intermediate
6.5.8	Agricultural chemicals approved for use on the crops being grown are stored separately from agricultural chemicals used for other purposes.		✓					Intermediate
6.5.9	Records of post-harvest biocides, waxes and plant protection products include the identity of the harvested crop, location, application dates, treatment, product name and dose rate.	R	✓				There are no post-harvest biocides, waxes, or plant protection product being used.	Basic
<b>6.6</b>	<b>Waste Management</b>							
6.6.1	Operation has implemented a waste management plan.	R	✓					Intermediate
6.6.2	Operation has identified all sources of waste products and pollution created by the farm operation which pose a risk of food safety.	R	✓					Intermediate

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<b>6.7</b>	<b>Food Defense</b>							
6.7.1	Have the threats to the produce as a result of intentional contamination been assessed?	<b>R</b>	✓				There have been no threats to the produce at this time, but there is a plan in place.	<b>Intermediate</b>
6.7.2	Have those points in the process which are vulnerable to intentional contamination been identified and subjected to additional access control?	<b>WP, R</b>	✓					<b>Intermediate</b>
6.7.3	Are measures in place, if prohibited access took place and food may have been sabotaged?	<b>WP</b>	✓					<b>Intermediate</b>

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<b>Additional Auditor Comments:</b>