



Produce GAPs Harmonized Food Safety Standard USDA Checklist

AUDITEE INFORMATION

Company Name: Triple C Chandley Farms

Audited Location Address GPS (Optional): N/A

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 Director

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

E-Mail Address: martbrian4@gmail.com

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

AUDIT INFORMATION

Date and Time of Audit

Beginning	Date:	<u>8/22/2018</u>	Time:	<u>8:00 am cst</u>
Ending	Date:	<u>8/22/2018</u>	Time:	<u>11:00 am cst</u>

Description of Operation: Growers and packers of tomatoes

Harvest Company Name (if applicable): N/A

Other Contractors: Don Holdt Pest Control Midway, TN, A-1 Porta Potties, Bulls Gap TN

Commodities Covered by Audit: Tomatoes

Commodities Produced During Audit: Tomatoes

Total Acres Covered by Audit: 350 acres 70,000 Sq Ft pacckinghouse

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.....

Audit Summary		Name of Auditee:					Triple C Chandley Farms	
		Date of audit:					8/22/2018	
Section	Questions	Total # in Section	# of C	#of CAN	# of IAR	# of NA	Question # of any CAN or IAR	
	Global Markets Addendum-Field Operations & Harvest	33	32	0	0	1		
M-1	Food Safety Plan and Documentation	11	11	0	0	0		
M-2	Propagation Material	3	3	0	0	0		
M-3	Fertilizers & Biosolids	4	4	0	0	0		
M-4	Harvesting	1	0	0	0	1		
M-5	Agricultural Chemicals	9	9	0	0	0		
M-6	Waste Management	2	2	0	0	0		
M-7	Food Defense	3	3	0	0	0		
	Global Markets Addendum- Post Harvest	14	13	0	0	1		
M-8	Food Safety Plan & Documentation	11	10	0	0	1		
M-9	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 M 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							

**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.

Audit Element(s)	Criteria
G-3	Documentation and Recordkeeping (includes all 3 sub-questions).
G-4	Worker Education and Training
G-10.1	Hygienic Procedure for All Activities Which Take Place on the Farm.
G-10.2	Hygienic Practices are Effectively Implemented.
G-10.4 & G-10.6	Access to Clean Toilets and Hand Washing Facilities.
F-1.1	Field History and Assessment (pre-planting).
F-2.1	Agricultural Chemicals are Registered.
F-2.2	If Exporting - Agriculture Chemicals Registered or Permitted for use in the Destination Country
F-2.4	Water Used for Plant Protection Products does not Present a Food Safety Risk.
F-2.5	Agricultural Chemical Disposal.
F-5.1	No Untreated Sewage Water Used for Irrigation.
F-5.1, F-6.1, F-7.2, F-8.2	Where Food Safety Hazards have been Identified - Records to Demonstrate that They are Effectively Managed (water, animals, soil amendments, equipment).
F-6	Animal Control (includes all 3 sub-questions).
F-7	Soil Amendments (includes 2 sub-questions).
F-8.5	Documented Cleaning and Sanitation Procedures.
F-10.2	Water Used on Harvested Crops is Potable.
F-11	Containers, Bins & Packing Material (includes all 4 sub-questions).
F-13.3	Storage of Harvested Product.
M-1.1 & M-1.2	Awareness and Compliance to Customer Specific Food Safety Specifications.
M-1.7	Food Safety Incidents Recorded and Assessed.
M-3.1	No Untreated Human Sewage is Used.
M-5.2	Operation Keeps List of Agricultural Chemicals Used on the Crops being Grown.
M-5.6	Operations Demonstrate Knowledge of Calculating and Preparing Application Mix.

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Date of Audit:	8/22/2018

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.

Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments	Basic or Intermediate Level
Additional Questions required to meet Global Markets Primary Production Assessment								
M-1	Food Safety Plan & Documentation							
M-1.1	If applicable, the food safety plan addresses customers' food safety specifications.	R	✓				The customer wants a Harmonized Audit with Global Addendum.	Basic
M-1.2	The operation can demonstrate compliance to customers' food safety specifications (if applicable).	R	✓					Basic

Name of Auditee:			Triple C Chandley Farms					
Date of Audit:			8/22/2018					
M-1.3	A reference system for each field, orchard, greenhouse, plot and other production area has been established.	R	✓				The operation has maps available for review, that show each field, plot, and other production areas that have been established.	Basic
M-1.4	Documentation shall include records of all agronomic activities undertaken at each production unit.	R	✓				There is documentation that includes records of all agronomic activities undertaken at each production unit.	Basic
M-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
M-1.6	The operation shall record any food safety related non-conformances and complaints.	R	✓					Basic
M-1.7	Food safety incidents are recorded and assessed to determine its severity and risk and addressed accordingly.	R	✓					Intermediate
M-1.8	The incident management procedure is reviewed, tested and verified at least once a year.	R	✓				The incident management procedure is reviewed annually.	Intermediate

Name of Auditee:			Triple C Chandley Farms					
Date of Audit:			8/22/2018					
M-1.9	Operation has an approved supplier program for all inputs including contractors.	WP, R	✓					Intermediate
M-1.10	Operation has performed and documented a risk assessment of the production area.	R	✓					Basic
M-1.11	Operation has identified control measures to all significant hazards identified during risk assessment.	R	✓					Intermediate
M-2	Propagation Material							
M-2.1	Operation keeps records of agricultural chemical applications used on nursery stock, transplants and other propagation material produced on site.		✓					Basic
M-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

Name of Auditee:		Triple C Chandley Farms						
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M-2.3	The Operation has certificates/records showing the seed or other propagation material is free of injurious pests, diseases, viruses, etc.	R	✓					Basic
M-3	Fertilizers and Biosolids							
M-3.1	Operation does not use untreated human sewage.	WP	✓					Basic
M-3.2	All applications of fertilizers, both organic and inorganic shall be recorded.	R	✓				Records were reviewed.	Basic
M-3.3	Application equipment used to apply fertilizers are checked and calibrated on a scheduled basis.	R	✓					Intermediate
M-3.4	Fertilizers are stored separately from agricultural chemicals.		✓					Basic
M-4	Harvesting							
M-4.1	When product is field packed, collection, storage, and distribution points are maintained in a clean and hygienic contamination.					✓	The operation does not field pack it's product.	Basic

Name of Auditee:		Triple C Chandley Farms					
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6.5	Agricultural Chemicals						
M-5.1	The operation shall have a documented crop protection policy.	WP	✓				Basic
M-5.2	The operation has a current list of agricultural chemicals that are used and approved for the crops being grown.	R	✓				Intermediate
M-5.3	Agricultural chemical records include the target organism(s) and justification for application.	R	✓			Application book was reviewed which contained the target organisms and justification for application.	Intermediate
M-5.4	Agricultural chemical records include the application equipment used to apply the chemicals.	R	✓				Intermediate
M-5.5	Equipment used to apply agricultural chemicals shall be kept in good condition and verified annually to ensure accurate application.	R	✓				Intermediate
M-5.6	Operator demonstrates knowledge of preparing and calculating agricultural chemical mixes.		✓				Intermediate

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M-5.7	The operation provides evidence of annual residue testing or participation in a third party plant protection product residue monitoring system.	R	✓				Intermediate
M-5.8	Agricultural chemicals approved for use on the crops being grown are stored separately from agricultural chemicals used for other purposes.		✓				Intermediate
M-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	✓				Basic
M-6	Waste Management						
M-6.1	Operation has implemented a waste management plan.	R	✓				Intermediate

Name of Auditee:		Triple C Chandley Farms					
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M-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
6.7	Food Defense						
M-7.1	Have the threats to the produce as a result of intentional contamination been assessed?	R	✓				Intermediate
M-7.2	Have those points in the process which are vulnerable to intentional contamination been identified and subjected to additional access control?	WP, R	✓				Intermediate
M-7.3	Are measures in place, if prohibited access took place and food may have been sabotaged?	WP	✓				Intermediate

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

Additional Auditor Comments:

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Audit Element (s)	Criteria
G-2.3	Raw Material Sourcing
G-3.1	Documentation & Recordkeeping
G-4.1	Worker Training
G-9.1	Self Audits
G-10.3, G-10.4	Toilet Facilities
G-10.2 & G-10.18	Employee Hygienic Practices
P-2.2	Ag Chemicals, Biocides, Plant Protection Products
P-4	Pest & Animal Control (includes all 3 sub-questions)
P-5.3	Lubrication
P-6.1 & P-6.5	Master Sanitation Schedule
P-7.2	Water System Assessment
P-7.3	Water Use
P-9.1, P-9.3 & P-9.4	Storage Areas
P-5.4, P-7.7, & P-7.8	Water Treatment Procedures
M-8.1	Customer Specifications
M-8.2	Risk Assessment of Packinghouse
M-8.3	Critical Control Points, HACCP Plan
M-8.6, M-8.7 & M-8.8	Record of Food Safety Non-conformances, Complaints, and Corrective Actions

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Q #	Requirement	DOC	C	CAN	IAR	NA	Auditor Comments	Basic or Intermediate Level
Additional Questions required to meet Global Markets Primary Production Assessment								
M-8	Food Safety Plan & Documentation.							
M-8.1	If applicable, the food safety plan addresses customers' food safety specifications.	R	✓				The customer wants the farm to have a Harmonized audit with the Global addendum	Basic
M-8.2	Operation has performed and documented a risk assessment of the packinghouse.	R	✓				Operation has performed and documented a risk assessment of the packinghouse, this is done annually.	Basic

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M-8.3	If the risk assessment shows the need for a critical control point(s) in the packinghouse, a documented HACCP plan or additional procedures addressing monitoring of control points and disposition of non-conforming products must be in place. The HACCP plan or additional policies must be documented and implemented.	R	✓				Intermediate
M-8.4	A documented hold and release program has been implemented for all non-conforming product and packaging.		✓				Basic
M-8.5	Corrective action procedures shall include a procedure to evaluate complaints.	WP	✓			The corrective action procedures includes a procedure to evaluate complaints.	Basic
M-8.6	The operation shall record any food safety related non-conformances and complaints.	R	✓			The operation records any food safety related non-conformances and complaints.	Basic

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M-8.7	Corrective action procedures shall include a procedure to evaluate complaints.	WP	✓				All complaints are evaluated by Brian Mart.	Basic
M-8.8	Food safety incidents are recorded and assessed to determine its severity and risk and addressed accordingly.	R	✓					Intermediate
M-8.9	The incident management procedure is reviewed, tested and verified at least once a year.	R	✓					Intermediate
M-8.10	The operation has an approved supplier program for all agricultural inputs, chemicals, packaging and food safety related services.	R	✓				The operation has an approved supplier program for all agricultural inputs, chemicals, packaging and food safety related services.	Intermediate
M-8.11	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 test wands.	R				✓	Metal detection equipment is not used.	Intermediate

Name of Auditee:		Triple C Chandley Farms						
Date of Audit:		8/22/2018						
M-9	Food Defense							
M-9.1	Threats to the produce as a result of intentional contamination been assessed and documented.	R	✓				There is a record and a procedure, but there have not been any recorded threats.	Intermediate
M-9.2	Those points in the process which are vulnerable to intentional contamination been identified and subjected to additional access control.	WP,R	✓					Intermediate
M-9.3	If access to prohibited areas took place, are measures in place to evaluate food for evidence of sabotage/intentional contamination?	WP	✓					Intermediate

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

Additional Auditor Comments:

AUDITOR INFORMATION

United States Department of Agriculture
 Agricultural Marketing Service
 Specialty Crops Program
 Specialty Crops Inspection Division

Field Office: Nashville, TN

Auditor Name(s): Valeria DeSantis

Auditor Signature(s): On File

OTHER INFORMATION

Person(s)
 Interviewed:

Brian Mart

Audit Requested
 by:

Brian Mart Tim Chandley Herman Chandley Jr Rossanna Rojas Ophelia Rodriguiz
 Lisa 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

Auditee requested Global Addendum Intermediate level for Field and Packinghouse.

INTERNAL USE ONLY

Reviewing Official Name:

Dorene M. Choffel

Signature:

Date:

9/11/2018

Audit Results Meets USDA
 Acceptance Criteria

Yes

No

AUDITOR COMPLETION INSTRUCTIONS

All questions on the Produce GAPs Harmonized Food Safety Standard - 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 Produce GAPs Harmonized Food Safety Standard.

Corrective Action Needed (CAN) - The operation does not meet the requirement(s) of the Produce GAPs Harmonized 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 Produce GAPs Harmonized 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 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.

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.

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

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

**USDA Acceptance Criteria for the
Produce GAPs Harmonized Food Safety Standard Audit**

1	No questions are assessed as an "IAR", Immediate Action Required.
2	Falsification of records is considered an "IAR".
3	"compliant".
4	Operation must have performed all risk assessments, designated with an "A" in the DOC column, in the Produce GAPs Harmonized Food Safety Standard.
5	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.
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 Produce GAPs Harmonized Food Safety 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.

Audit Summary		Name of Auditee:			Triple C Chandley Farms		
		Date of audit:			8/22/2018		
Section	Questions	Total # in Section	# of C	# of CAN	# of IAR	# of NA	Question # of any CAN or IAR
G	General Questions	44	43	0	0	1	100.00%
G-1	Management Responsibility	3	3	0	0	0	
G-2	Food Safety Plan	3	3	0	0	0	
G-3	Documentation & Recordkeeping	3	3	0	0	0	
G-4	Worker Education & Training	3	3	0	0	0	
G-5	Sampling & Testing	4	4	0	0	0	
G-6	Traceability	2	2	0	0	0	
G-7	Recall Program	1	1	0	0	0	
G-8	Corrective Actions	1	1	0	0	0	
G-9	Self Audits	1	1	0	0	0	
G-10	Worker Health/Hygiene and Toilet/Handwashing Facilities	21	20	0	0	1	
G-11	Waste Management	2	2	0	0	0	
F	Field Operations and Harvesting	51	45	0	0	6	100.00%
F-1	Field History & Assessment	3	3	0	0	0	
F-2	Agricultural Chemicals/Plant Protection Products	5	4	0	0	1	
F-3	Water System Description	3	3	0	0	0	
F-4	Water System Risk Assessment	1	1	0	0	0	
F-5	Water Management Plan	6	4	0	0	2	
F-6	Animal Control	3	3	0	0	0	
F-7	Soil Amendments	2	1	0	0	1	
F-8	Vehicles, Equipment, Tools and Utensils	6	6	0	0	0	

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Section	Questions	Total # in Section	# of C	# of CAN	# of IAR	# of NA	Question # of any CAN or IAR
F-9	Preharvest Assessment	1	1	0	0	0	
F-10	Water/Ice Used in the Harvesting and Postharvest Operations	5	4	0	0	1	
F-11	Containers, Bins and Packaging Materials	4	4	0	0	0	
F-12	Field Packaging and Handling	7	6	0	0	1	
F-13	Postharvest Handling and Storage (Field Prior to Storage or Packinghouse)	3	3	0	0	0	
F-14	Equipment Sanitation & Maintenance	2	2	0	0	0	
P	Post-Harvest Operations	62	55	0	0	7	100.00%
P-1	Produce Sourcing	1	1	0	0	0	
P-2	Agricultural Chemicals	3	2	0	0	1	
P-3	Facility	6	5	0	0	1	
P-4	Pest and Animal Control	3	3	0	0	0	
P-5	Equipment, Tools and Utensils	5	4	0	0	1	
P-6	Maintenance and Sanitation	11	11	0	0	0	
P-7	Post-Harvest Water/Ice	11	9	0	0	2	
P-8	Containers, Bins and Packaging	7	7	0	0	0	
P-9	Storage	9	8	0	0	1	
P-10	Transportation (Packinghouse to Customer)	6	5	0	0	1	

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Section	Questions	Total # in Section	# of C	# of CAN	# of IAR	# of NA	Question # of any CAN or IAR
L	Logo Use	10	0	0	0	0	
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	

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.

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Date of Audit:				8/22/2018				
Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
General Questions								
G-1	Management Responsibility							
G-1.1	A food safety policy shall be in place.	WP	•	✓				
G-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.
G-1.3	There is a disciplinary policy for food safety violations.			✓				
G-2	Food Safety Plan or Risk Assessment							
G-2.1.	There shall be a written food safety plan that covers the Operation. 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.	R		✓				On May 25,2018 the food safety plan was reviewed.
G-2.3*	Operation has an Approved Supplier program for all incoming materials, including packaging.	R	•	✓				

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Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-3	Documentation and Recordkeeping							
G-3.1	Documentation shall be kept that demonstrates the food safety plan is being followed.	R	•	✓				Documentation is kept that demonstrates the food safety plan is being followed.
G-3.2.	Documentation shall be readily available for inspection.		•	✓				Documentation was made readily available for inspection.
G-3.3.	Documentation shall be retained for a minimum period of two years, or as required by prevailing regulations.	R	•	✓				Documentation is be retained for a minimum period of two years.
G-4	Worker Education and Training							
G-4.1.	All personnel shall receive food safety training.	R	•	✓				Training for the picking crew was held on June 28, 2018 and for packing crew on 7/5/18.
G-4.2.	Personnel with food safety responsibilities shall receive training sufficient to their responsibilities.	R	•	✓				
G-4.3.	Contracted personnel are held to the relevant food safety standards as they would be as employees.	R	•	✓				

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Req. #	Requirement	DOC	MAN	C	CAN	IAR	NA	Auditor Comments
G-5	Sampling and Testing							
G-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 Waters Ag Lab, a GLP Lab.
G-5.2	Where microbiological analysis is required in the Food Safety Plan, samples shall be collected in accordance with an established sampling procedure.	WP		✓				
G-5.3	Tests, their results and actions taken must be documented.	R		✓				Glens Hills Utility District Greenville, TN, supplies the packing house, the yearly review was on file. Water Agricultural laboratories did testing for irrigation-drip under plastic. Most probable # 17.98cfu/100ml tested on 7/12/18.
G-5.4	All required testing shall include test procedures and actions to be taken based on the results.	WP	•	✓				

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G-6	Traceability							
G-6.1	A documented traceability program shall be established.	WP, R	•	✓				There is a documented traceability program established.
G-6.2	A trace back and trace forward exercise shall be performed at least annually.	R		✓				Exercise was performed May 5, 2018.
G-7	Recall Program							
G-7.1.	A documented recall program, including written procedures, shall be established.	WP, R	•	✓				
G-8	Corrective Actions and Food Safety Incidents							
G-8.1	The Operation shall have documented corrective action procedures.	WP, R	•	✓				The Operation has documented corrective action procedures.
G-9	Self Audits							
G-9.1.	The Operation shall have documented self-audit procedures.	R		✓				

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G-10	Worker Health/Hygiene and Toilet/Handwashing Facilities							
G-10.1	Operation shall have a policy for toilet, hygiene, and health.	WP	•	✓				
G-10.2	Employees 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 and visitors and in compliance with applicable regulations.		•	✓				
G-10.5	The practice of disposing of used toilet tissue on the floor, in trash receptacles or in boxes is prohibited.		•	✓				

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G-10.6	Toilet and wash stations shall be maintained in a clean and sanitary condition.	R	•	✓				
G-10.7	Personnel shall wash their hands at any time when their hands may be a source of contamination.		•	✓				
G-10.8	Signage requiring handwashing is posted.			✓				
G-10.9	Clothing, including footwear, shall be effectively maintained and worn so as to protect product from risk of contamination.		•	✓				
G-10.10	If gloves are used, the Operation shall have a glove use policy.		•	✓				The policy states that gloves must be worn in the packing house, they are optional in the field.

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G-10.11	If protective clothing is required by the Operation in product handling areas, it shall be handled in a manner to protect against contamination. When appropriate, racks and/or storage area for protective clothing and tools is used by employees shall be provided.						✓	Protective clothing is not required.
G-10.12	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) shall be in compliance to the company policy and applicable regulation.			✓				
G-10.13	The use of hair coverings shall be in compliance to company policy and applicable regulation.			✓				In the Packinghouse hair coverings are required.
G-10.14	Employees' personal belongings shall be stored in designated areas.			✓				

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G-10.15	Smoking, eating, chewing gum or tobacco, drinking (other than water) urinating, defecating or spitting shall be prohibited except in clearly designated areas.		•	✓				
G-10.16	Operation shall have a written policy that break areas are located so as not to be a source of product contamination.	WP		✓				
G-10.17	Drinking water shall be available to all employees.	R		✓				
G-10.18	Workers and visitors who show signs of illness shall be restricted from direct contact with produce or food contact surfaces.	WP	•	✓				
G-10.19	Personnel with exposed cuts, sores or lesions shall not be engaged in handling product.		•	✓				
G-10.20	Operation shall have a blood and bodily fluids policy.	WP	•	✓				
G-10.21	First aid kits shall be accessible to all personnel.			✓				First Aid kits are in the production office and crew leaders trucks.

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G-11	Waste Management							
G-11.1	Operation has implemented a waste management plan.		•	✓				
G-11.2	Trash shall not come in contact with produce.		•	✓				

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Additional Auditor Comments:								

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Field Operations and Harvesting								
F-1	Field History and Assessment							
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-1.2	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.		•	✓				The packing house uses a septic system, there was no sign or smell of it failing to work properly.
F-2	Agricultural Chemicals/Plant Protection Products							
F-2.1	Use of agricultural chemicals shall comply with label directions and prevailing regulation.	R	•	✓				

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F-2.2	If product is intended for export, agricultural chemical use, including post-harvest chemicals, shall consider requirements in the intended country of destination.						✓	
F-2.3	Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulation.	R		✓				Tim Chandley is the applicator liscensed applicator # 132225 6/30/20, ID 78519
F-2.4	Water used with agricultural chemicals shall not be a source of product or field contamination.	R		✓				
F-2.5	Agricultural chemical disposal shall not be a source of product or field contamination.	R		✓				
F-3	Water System Description							
F-3.1	A water system description shall be available for review.	WP	•	✓				The water system description was made available for review.
F-3.2	The water source shall be in compliance with prevailing regulations.			✓				

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F-3.3	Water systems shall not be cross-connected with human or animal waste systems.		•	✓				
F-4	Water System Risk Assessment							
F-4.1	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	•	✓				
F-5	Water Management Plan							
F-5.1	There shall be a water management plan to mitigate risks associated with the water system on an ongoing basis.	WP	•	✓				
F-5.2	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	•	✓				

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F-5.3	The testing program shall be implemented consistent with the water management plan.	R	•	✓				
F-5.4	If water is treated to meet microbiological criteria, the treatment is approved and effective for its intended use, and is appropriately monitored.	R	•				✓	Field water is not treated, it is run through a filter but no additives are used.
F-5.5	If post-harvest handling is used to achieve microbial criteria, Operation has documentation supporting its use.	R	•	✓				Sanidate 12.0 in dump tank, Sanidate 5.0 in spray bar. Tested every two hours
F-5.6	If Operation uses an alternative approach to regulatory microbiological testing, Operation has scientific data or information to support the alternative.	R	•				✓	The operation dose not use an alternative approach to regulatory microbiological testing,
F-6	Animal Control							
F-6.1	The Operation has a written risk assessment on animal activity in and around the production area.	A	•	✓				

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F-6.2	The Operation routinely monitors for animal activity in and around the growing area during the growing season.	R	•	✓				
F-6.3	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	•	✓				
F-7	Soil Amendments							
F-7.1	The food safety plan shall address soil amendment risk, preparation, use, and storage.	A, R	•	✓				The food safety plan addresses soil amendment risk, preparation, use, and storage.
F-7.2	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	•				✓	No manure of any sort is used.

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F-8	Vehicles, Equipment, Tools and Utensils							
F-8.1	Equipment, vehicles, tools utensils and other items or materials used in farming operations that may contact produce are identified.	R		✓				
F-8.2	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.	WP, R	•	✓				
F-8.3	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of chemical hazards.	WP		✓				
F-8.4	Vehicles, equipment, tools and utensils shall be controlled so as not to be a source of physical hazards.			✓				
F-8.5	Cleaning and sanitizing procedures do not pose a risk of product contamination.			✓				

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F-8.6	Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination.	WP	•	✓				
Harvesting								
F-9	Preharvest Assessment							
F-9.1	A preharvest risk assessment shall be performed.	A	•	✓				
F-10	Water/Ice Used in the Harvesting and Postharvest Operations							
F-10.1	Operation has procedures for water used in contact with product or food contact surfaces.	WP, R	•	✓				
F-10.2	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	•	✓				All water treatments are monitored electronically and also tested manually. All records are kept.
F-10.3	Water use SOPs address treatment of re-circulated water, if used.	R	•				✓	Re-circulated water is not used.
F-10.4	Water use SOPs address condition and maintenance of water-delivery system.	R	•	✓				

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F-10.5	If applicable to the specific commodity, water use SOPs address control of wash water temperature.	R		✓				SOP's address water immersion temperatures and the pulp temperatures, all information is recorded.
F-11	Containers, Bins and Packaging Materials							
F-11.1	Operation has written policy regarding storage of harvesting containers.	WP		✓				
F-11.2	Operation has written policy regarding inspection of food contact containers prior to use.	WP		✓				
F-11.3	Operation has written policy regarding acceptable harvesting containers.	WP	•	✓				
F-11.4.	Operation has written policy prohibiting use of harvest containers for non-harvest purposes.	WP	•	✓				
F-12	Field Packing and Handling							
F-12.1	Operation shall have a written policy that visibly contaminated, damaged or decayed produce is not harvested, or is culled.	WP	•	✓				

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F-12.2	Product that contacts the ground shall not be harvested unless the product normally grows in contact with the ground.	WP	•	✓				
F-12.3	Harvest procedures shall include measures to inspect for and remove physical hazards.			✓				
F-12.4	Cloths, towels, or other cleaning materials that pose a risk of cross-contamination shall not be used to wipe produce.			✓				Cloths, towels, or other cleaning materials that pose a risk of cross-contamination are not be used to wipe produce.
F-12.5	Packaging materials shall be appropriate for their intended use.		•	✓				
F-12.6	Packaging shall be stored in a manner that prevents contamination.			✓				
F-12.7	Operation has written policy regarding whether packing materials are permitted in direct contact with the soil.	WP					✓	Packing material is not brought out in the field.

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F-13	Postharvest Handling and Storage (Field Prior to Storage or Packinghouse)							
F-13.1	Harvested produce is handled in a manner such that it is not likely to become contaminated.		•	✓				
F-13.2	Materials that come in contact with the produce shall be clean and in good repair.		•	✓				
F-13.3	Harvested produce shall be stored separately from chemicals which may pose a food safety hazard.		•	✓				
	Transportation (Field to Storage or Packinghouse)							
F-14	Equipment Sanitation and Maintenance							
F-14.1	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-14.2	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.			✓				

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	Post-Harvest Operations							
P-1	Produce Sourcing							
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		✓				
P-2	Agricultural Chemicals							
P-2.1	Use of agricultural chemicals shall comply with label directions and prevailing regulation.	R	•	✓				
P-2.2	If product is intended for export, pre- and post-harvest agricultural chemical use shall consider requirements in the intended country of destination.						✓	Product is not intended for export.
P-2.3	Agricultural chemicals shall be applied by trained, licensed or certified application personnel, as required by prevailing regulation.	R		✓				Tim Chandley is the applicator liscensed applicator # 132225 6/30/20, ID 78519

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P-3	Facility							
P-3.1	Building shall be constructed and maintained in a manner that prevents contamination of produce during staging and cooling.		•	✓				
P-3.2	Adequate lighting shall be provided in all areas.			✓				
P-3.3	Only essential glass and brittle plastic shall be present in the building.	R		✓				
P-3.4	Catwalks above product zones are protected to prevent produce or packaging contamination.			✓				
P-3.5	Operation has procedures to prevent pest harborage in any equipment stored near the building.			✓				
P-3.6	If applicable, Operation has a written Allergen Control Program.	A, WP	•				✓	The operation does not handle any known allergens.
P-4	Pest and Animal Control							
P-4.1	Operation has procedures to manage pests to the extent appropriate to the Operation.	WP	•	✓				

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P-4.2	Operation restricts animals from food handling areas.		•	✓				
P-4.3	If used, pest control devices, including rodent traps and electrical flying insect devices are located so as to not contaminate produce or food handling surfaces.			✓				
P-5	Equipment, Tools and Utensils							
P-5.1	All food contact equipment, tools and utensils are designed and made of materials that are easily cleaned and maintained.		•	✓				
P-5.2	Equipment is installed in a way that provides access for cleaning.			✓				
P-5.3	Equipment lubrication is managed so as not to contaminate food products.			✓				

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P-5.4	All instruments 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-5.5	Foreign material control devices are inspected and maintained.	R					✓	Foreign material control devices are not used.
P-6	Maintenance and Sanitation							
P-6.1	A Preventive Maintenance and/or Master Cleaning Schedule, with related SOPs, shall be established.	WP, R	•	✓				A Preventive Maintenance and/or Master Cleaning Schedule, with related SOPs, is established.
P-6.2	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.			✓				Temporary repairs on food contact surfaces are constructed of food-grade material, and the operation has a procedure to ensure that permanent repairs are implemented in a timely manner.

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P-6.3	All cleaning agents shall be approved for their intended use on food contact surfaces.			✓				
P-6.4	Cleaning equipment and tools are clean, in working order and stored properly away from product handling areas.			✓				
P-6.5	Food contact surfaces shall be cleaned, sanitized and maintained according to the Food Safety Plan.	R	•	✓				Food contact surfaces are cleaned, sanitized and maintained according to the Food Safety Plan.
P-6.6	Transporting equipment shall be maintained to prevent contamination of products being transported.	R	•	✓				
P-6.7	Waste materials and their removal are managed to avoid contamination.		•	✓				
P-6.8	Outside garbage receptacles/dumpsters are closed and located away from building entrances and the area around such sites is reasonably clean.			✓				Outside garbage receptacles/dumpsters are closed and located away from building entrances and the area around such sites is reasonably clean.

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P-6.9	The plant grounds are reasonably free of litter, waste culls, vegetation, debris and standing water.			✓				
P-6.10	Sewage or septic systems are maintained so as not to be a source of contamination.		•	✓				
P-6.11	The sewage disposal system is adequate for the process and maintained to prevent direct or indirect product contamination.		•	✓				
P-7	Post-Harvest Water/Ice							
P-7.1	A water system description shall be prepared.	R	•	✓				
P-7.2	Documented scheduled assessment of water system including delivery equipment shall be performed.	R	•	✓				
P-7.3	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-7.4	Operation's Food Safety Plan includes produce washing process, if used.	A, WP	•	✓				

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P-7.5	If used, water antimicrobial treatments shall be monitored sufficiently to assure continuous control.	R	•	✓				Water is is monitored both electronically and by hand (test strips).
P-7.6	Re-circulated water that contacts product or food contact surfaces shall be treated using an approved antimicrobial process or chemical treatment.		•				✓	Re-circulated water is not used.
P-7.7	Operation has documentation demonstrating regulatory approval of the wash water antimicrobials in use.	R		✓				
P-7.8	If wash water antimicrobial is used, it shall be used in accordance with established operational procedure and manufacturer instructions.	R		✓				
P-7.9	If applicable to the specific commodity, water use SOPs address control of immersion water temperature.	R		✓				
P-7.10	Water-change schedules shall be developed for all uses of water where water is re-used.						✓	Water is not re-used.

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P-7.11	Debris, damaged and/or visibly contaminated produce shall be removed from wash areas/dump tanks to the extent possible.			✓				
P-8	Containers, Bins and Packaging							
P-8.1	Specifications for all packaging materials that impact on finished product safety shall be provided and comply with prevailing regulations.	R		✓				
P-8.2	Operation has written policy regarding storage and post-storage handling of product-contact containers.	WP		✓				The operation stores packaging in a truck body that keeps the cartons clean and away from pests.
P-8.3	Operation has written policy regarding whether product-contact containers are permitted in direct contact with the ground.	WP		✓				
P-8.4	Operation has written policy regarding inspection of food contact containers and bins prior to use.	WP		✓				

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P-8.5	Operation has written policy regarding acceptable product-contact containers.	WP	•	✓				
P-8.6	Operation has written policy prohibiting use of product-contact containers for non-product purposes unless clearly marked or labeled for that purpose.	WP		✓				
P-8.7	Pallets shall be kept clean and in good condition as appropriate for their intended use.			✓				
P-9	Storage							
P-9.1	Product storage areas and conditions shall be appropriate to the commodities stored.			✓				
P-9.2	Iced produce is handled so as not to serve as a source of contamination.						✓	Iced produce is not handled at operation.
P-9.3	Non-product storage areas shall be maintained so as not to be a source of product or materials contamination.			✓				

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P-9.4	Materials and packaging materials shall be protected from contaminants.			✓				
P-9.5	Adequate space shall be maintained between rows of stored materials to allow cleaning and inspection.	WP		✓				
P-9-6	All chemicals shall be stored in a secure separate area. All chemicals shall be properly labeled.			✓				Chemicals are stored in a locked trailer.
P-9.7	When produce is cooled, it is cooled to temperatures appropriate to the commodity according to current established regulatory or industry standards.	R		✓				
P-9.8	Where temperature control is required for food safety, cooling facilities shall be fitted with temperature monitoring equipment or suitable temperature monitoring device.	R		✓				

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P-9.9	Cooling equipment shall be maintained so as not to be a source of product contamination.		•	✓				
P-10	Transportation (Packinghouse to Customer)							
P-10.1	There is a written policy for transporters and conveyances to maintain a specified temperature(s) during transit.	WP		✓				
P-10.2	Prior to loading, the vehicle shall be pre-cooled.	WP, R		✓				
P-10.3	The refrigerated transport vehicles shall have properly maintained and fully functional refrigeration equipment.	WP		✓				The operation does not own the trucks, so they do not maintain them, but they have a written policy that before loading the trucks are checked and have fully functional refrigeration equipment.
P-10.4	Where required, temperatures of product are taken and recorded prior to or upon loading.	WP					✓	It is not required that temperatures of product are taken and recorded prior to or upon loading.
P-10.5	The Operation shall have a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailer).	WP, R	•	✓				

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P-10.6	Loading/unloading procedures and equipment shall minimize damage to and prevent contamination of produce.			✓				

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