

**Preparing for the Farm-Ranch Audit**

<b>RANCH DOCUMENTS</b>	
<b>Ranch History</b> - Does the land selected for growing have a clean history free of any significant food safety risks? Is the land history documented?	<ol style="list-style-type: none"> <li>1. Prepare a land history affidavit</li> <li>2. If necessary, have available tests records or other documents showing the land is safe for use</li> </ol>
<b>Policies, Inspections and Logs</b> - Are there appropriate policies, inspection reports and inspection logs that document that the growing operation is following necessary practices? Is there an annual risk assessment on file?	<ol style="list-style-type: none"> <li>1. Conduct an annual risk assessment</li> <li>2. Have available inspection logs</li> </ol>
<b>Approved Supplier Program</b> - Are all farm inputs including soil amendments, plant source materials, and chemicals purchased from an approved supplier? Do suppliers provide documentation showing that they adhere to applicable GAPs/GMPs?	<ol style="list-style-type: none"> <li>1. Collect supplier questionnaires or other documents from all compost, fertilizer, seed, chemical, etc. suppliers</li> <li>2. Compile a list of approved suppliers</li> </ol>
<b>WATER SOURCES</b>	
<b>Water Sources</b> - Is all water used for agricultural purposes including irrigation, chemical mixing and application, frost protection or other purposes from a microbial acceptable, reliable source?	<ol style="list-style-type: none"> <li>1. Test all water sources for quantitative generic E. coli using an accredited lab</li> <li>2. If applicable, calculate the geometric mean of the water samples for each source</li> <li>3. Have available the Certificates of Analysis for all water sources</li> </ol>
<b>SECTION SCORE</b>	
<b>EMPLOYEE DOCUMENTS</b>	
<b>Company Policies (Toilet and Hand Washing Facilities)</b> - Are there written policies addressing toilets and hand washing facilities? Do these policies address all necessary items?	<ol style="list-style-type: none"> <li>1. Have available policies addressing toilets and hand washing facilities</li> <li>2. Have available other documents showing toilets and hand washing facilities are provided to employees, such as service receipts</li> </ol>

<p><b>Company Policies (Illness and Injury)</b> - Are there written policies addressing illness and injury? Do these policies address all necessary items? Is there a documented policy that all products exposed to blood or bodily fluids are destroyed and all equipment exposed to blood or bodily fluids is thoroughly cleaned and sanitized before being re-used? Is there a documented policy that all employees with sores, cuts, boils, lesions, etc, on their hands shall have the areas covered with first aid materials and use appropriate gloves, such nitrile gloves, while working with product?</p>	<ol style="list-style-type: none"> <li>1. Have available policies addressing illness and injury, and blood contamination</li> </ol>
<p><b>Company Policies ( Restricted Behavior)</b> - Are there written policies restricting the use of tobacco and food products, that restrict the use of jewelry and other loose items, and that restrict children and domestic animals from production areas such as growing, packing, food handling, and storage areas? Do the policies include consequences associated with such actions?</p>	<ol style="list-style-type: none"> <li>1. Have available policies addressing restricted behavior</li> <li>2. Be sure that the policies list the consequences associated with the restricted behaviors</li> </ol>
<p><b>Employee Training</b> - Are all employees trained in basic food safety and personal hygiene? Are employees able to demonstrate their knowledge? Is employee training documented, such as with sign-in sheets that reference the topics discussed?</p>	<ol style="list-style-type: none"> <li>1. Have available a full roster of current employees</li> <li>2. Have available food safety and hygiene training records for all employees</li> <li>3. Be able to demonstrate that all employees have received the appropriate training</li> </ol>
<p><b>Supervisor Training</b> - Do supervisors receive additional training in how to recognize the symptoms of illness and shall be trained regarding how to manage ill employees? Is supervisor training documented, such as with sign-in sheets that reference the topics discussed?</p>	<ol style="list-style-type: none"> <li>1. Have available a full roster of current supervisors</li> <li>2. Have available management training records for all supervisors</li> <li>3. Be able to demonstrate that all supervisors have received the appropriate training</li> </ol>
<p><b>SECTION SCORE</b></p>	
<p><b>CHEMICALS</b></p>	
<p><b>Fertilizer Usage - (Includes all soil amendments)</b> Are all synthetic and non-synthetic fertilizers and soil amendments provided with evidence that the material is safe and appropriate for use on the crop?</p>	<ol style="list-style-type: none"> <li>1. Have available records of all fertilizer applications</li> <li>2. Have available documents showing that all fertilizers used are appropriate and provided by an approved supplier</li> </ol>

<p><b>Pesticide Application</b> - Are all pest control chemicals safely and accurately applied by properly trained personnel? Are all application records current and complete? Are there records showing the proper calibration of the application equipment?</p>	<ol style="list-style-type: none"> <li>1. Have available records of all pest control chemical applications</li> <li>2. Have available records of calibration of application equipment</li> <li>3. Have available documents showing the licensing or training of the individuals making the recommendations and applications</li> </ol>
<p><b>Pesticide Regulation</b> - Are all pest control chemicals provided by reputable suppliers who provide evidence that the material is safe for use on the crop? Are all applications made in compliance with the applicable regulations regarding the application of pest control chemicals?</p>	<ol style="list-style-type: none"> <li>1. Have available documents showing that the pest control chemicals are appropriate for use on the crop (Labels, approved chemical lists, etc)</li> <li>2. Have available documents that all pest control chemicals are provided by approved suppliers</li> </ol>
<p><b>SECTION SCORE</b></p>	
<p><b>RANCH OBSERVATIONS</b></p>	
<p><b>Adjacent Land</b> - Is the farming operation distanced, isolated, and/or protected from potential hazards from adjacent lands?</p>	<ol style="list-style-type: none"> <li>1. Be sure that any from adjacent land have been adequately addressed</li> <li>2. Be sure that adequate buffer distances are in place</li> </ol>
<p><b>General Field Disposition</b> - Are the fields free of garbage, trash, and other high risk contaminants such as items that may cause foreign material contamination? Is garbage and trash located in appropriate receptacles? Is all equipment in the field in good condition, operational, and not used or stored in a manner that may lead to a contamination issue? Are all fences and other barriers in good condition? Are all chemicals stored properly? Are field roads in good condition?</p>	<ol style="list-style-type: none"> <li>1. Be sure that the fields are free of garbage and trash</li> <li>2. Be sure that any equipment stored in or near the field is in good condition</li> <li>3. Be sure that any fencing is intact and is adequate</li> <li>4. Be sure that chemicals are stored properly</li> <li>5. Be sure that the field roads are in good condition or show documents that the roads are re-graded as necessary</li> </ol>
<p><b>Water Distribution System</b> - Is the water distribution system in good conditions so as not to cause a food safety hazard? Are appropriate measures in place to protect the water distribution system from contamination?</p>	<ol style="list-style-type: none"> <li>1. Be sure that the water distribution system is in good condition</li> <li>2. Be sure that the well, reservoirs, ditches, etc are protected from contamination</li> </ol>

<p><b>Animal Activity</b> - Is the field free of high risk animals, evidence of high risk animals, and large quantities of low risk animals? If necessary, are there mitigation plans in place to prevent the harvest of contaminated products?</p>	<ol style="list-style-type: none"> <li>1. If necessary, have prevention measures in place to discourage animals from entering the field</li> <li>2. If necessary, have mitigation plans in place to prevent the harvest of contaminated products</li> </ol>
<p><b>SECTION SCORE</b></p>	
<p><b>EMPLOYEE HABITS AND CONDITIONS</b></p>	
<p><b>Toilet and Hand Washing Facilities</b> - Are adequate, clean and maintained, and monitored toilet and hand washing facilities available for employee use? Are there signs present, in the appropriate languages, stating that hand washing is mandatory after toilet use?</p>	<ol style="list-style-type: none"> <li>1. Be sure that all toilets and hand wash facilities on the ranch are clean and stocked. Any facilities on the ranch may be checked whether controlled by the grower or a third party such as a labor contractor. Be sure that third parties are also following the ranch policies regarding facilities</li> <li>2. Be sure that the facilities are being serviced regularly and that the service tags are updated</li> <li>3. Be sure that there are signs posted to remind workers to wash their hands after using the toilet</li> </ol>
<p><b>Employee Behavior</b> - Are employees observed to be following GAPs and food safety protocols, including not eating or drinking, or using tobacco products while working in production locations? Do the employees appear healthy and well? Are any cuts or lesions appropriately covered with bandages and protective coverings such as gloves? Are employees observed washing their hands at the appropriate times?</p>	<ol style="list-style-type: none"> <li>1. Be sure that employees working on the ranch are in good health and are observing GAPs. Any workers on the ranch may be observed whether hired by the grower or by a third party such as a labor contractor</li> </ol>
<p><b>SECTION SCORE</b></p>	
<p><b>HARVEST OPERATIONS</b></p>	<p><b>If harvest crews working on the ranch are hired directly by the grower, these questions will apply</b></p>
<p><b>SSOPs</b> - Are there documented SSOPs in appropriate languages, which are legible and relevant to the equipment being used? Do the SSOPs outline how all food contact and non-food contact sources are cleaned?</p>	<ol style="list-style-type: none"> <li>1. Have available SSOPs or other cleaning instructions for all tools, equipment, or surfaces being used</li> </ol>

<p><b>Harvest Cleaning Logs</b> - Are all logs and/or checklists complete and up to date? Are logs legible and in appropriate languages?</p>	<ol style="list-style-type: none"> <li>1. Have available logs or records showing that cleaning is being done regularly</li> <li>2. Be sure that the logs are being completed correctly</li> </ol>
<p><b>Harvest Tools</b> - Are all harvest tools that contact the edible portion of the product clean, made of cleanable materials, and stored properly when not in use?</p>	<ol style="list-style-type: none"> <li>1. Be sure that all tools that contact the edible portion of the product are being used and maintained correctly</li> </ol>
<p><b>Containers and Packaging</b> - Are all containers and packaging free of contamination and stored and maintained in clean and operational condition? Is packaging stored so that it is protected from birds and other animals? Is packaging material used and stored appropriately?</p>	<ol style="list-style-type: none"> <li>1. Be sure that containers and packaging are being stored and used appropriately</li> </ol>
<p><b>Food Contact Surfaces and Equipment</b> - Are all food contact surfaces cleaned regularly, made of cleanable materials, and constructed for ease of cleaning? Are food contact areas protected from contamination? Are food contact surfaces clean?</p>	<ol style="list-style-type: none"> <li>1. Be sure that food contact surfaces are clean and protected from contamination</li> </ol>
<p><b>Transportation</b> - Are all vehicles used to transport product clean and functional? Are vehicles that transport animals or other items that might cause a contamination issue excluded from use? Are pre-load checklists used to verify that trucks are appropriate for use?</p>	<ol style="list-style-type: none"> <li>1. Have available records showing that trucks used to transport product are inspected prior to being used</li> <li>2. Be sure that transport vehicles are not causing contamination issues</li> </ol>
<p><b>Post Harvest Water</b> - Is post harvest water free of generic E. coli? Is post harvest water sanitized, and is the sanitizer concentration monitored and shown to be maintained within an effective range and within allowable limits? Is re-circulated water changed at least daily and are change logs kept?</p>	<ol style="list-style-type: none"> <li>1. Have available records showing that post harvest water is free of generic E. coli</li> <li>2. Have available records showing that post harvest water is sanitized and that the sanitizer levels are monitored</li> <li>3. Have available records showing that re-circulated water is changed at least daily</li> </ol>
<p><b>Traceability</b> - Are all product containers, not including individual sleeves or clamshells, marked with the date of harvest, location of harvest, country of origin, if applicable, commodity, and harvest crew identifying information? Is this information periodically verified for accuracy?</p>	<ol style="list-style-type: none"> <li>1. Be sure that each wholesale container is being marked with trace-back information</li> <li>2. If a code is used, have available documents explaining the code</li> <li>3. Be sure that the correct trace-back information is being used</li> </ol>

<p><b>GENERAL OBSERVATIONS</b></p>	<p><b>The auditor will also make general observations about the status of the ranch. If serious or critical issues are present, this may impact the audit result, potentially causing the audit to fail.</b></p>
<p>Were there any Minor issues or observations made that were not addressed in any of the questions in the sections above?</p>	<p>Minor issues are those that may lead to potential contamination of edible products, but are not likely to directly lead to widespread contamination or food borne illness.</p>
<p>Were there any Serious issues or observations made that were not addressed in any of the questions in the sections above?</p>	<p>Serious issues are those that present a high risk of contamination of food, possibly resulting in a food borne illness outbreak under unfavorable circumstances. These issues must be addressed promptly to minimize contamination risks and have a satisfactory food safety program in place.</p>
<p>Were there any Critical issues or observations made that were not addressed in any of the questions in the sections above?</p>	<p>Critical issues are those that directly and evidently lead to widespread contamination of food, likely resulting in a food borne illness outbreak. Such risks must be addressed immediately.</p>