

## Best Practices Voluntary Checklist for Organizations that Aggregate Produce

<b>Aggregator Information</b>		
Aggregator Name:	Contact Name:	
Facility Address:		
Phone:	Email:	
Date checklist was completed:		
Expected Products for Sale from this location:		
Name of person overseeing food safety:		
Has the person overseeing food safety received training?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have a food safety plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you participate in a USDA GAP or other 3rd party food safety audit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you grow or harvest any produce at this location?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have food safety requirements for your suppliers?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If yes, what are those requirements?		

Worker Health and Hygiene (workers and volunteers)	Yes	No	N/A
<b>All employees, volunteers, and interns receive the following health and hygiene training:</b>			
Health and hygiene training upon hire.			
Training on health and hygiene practices annually after hire.			
Training in a language and format that they can understand.			
Training to either stay home when they exhibit any sign(s) of infection (fever, diarrhea, etc.) or report illness to a supervisor when they are not feeling well.			
Training to stop working when injury occurs and report their injuries to a supervisor.			
Training to wear clean clothing and footwear to work every day.			
Training to not handle livestock before coming to work with produce.			
Training to remove or cover any jewelry that cannot be cleaned and sanitized before handling produce.			
Training to take breaks, eat meals and smoke in a designated area outside of all areas used for packing produce.			
Training on proper use of toilets (disposal of waste paper into toilet).			
<b>Employees are trained to wash their hands:</b>			
Before starting work			
Before putting on gloves (only if using gloves)			
After using the toilet/restroom			
After all breaks, eating, and/or smoking			
After touching or handling animals (livestock and pets) or handling animal waste			
Any other times when hands might have become contaminated			
<b>Employees who wear gloves are trained to:</b>			
Remove gloves before using the restroom			
Wash hands before putting on gloves			
Maintain gloves in a sanitary manner			
Replace gloves when damaged or unable to be cleaned			
Leave gloves at facility and not take them home			

All employees have a combination of education, training and experience necessary to perform their assigned jobs.			
Re-training occurs when employees are not following policies.			
Handwashing facilities are readily available, accessible for all employees and are near toilet facilities.			
Handwashing facilities have soap, water, paper towels, and trash can for paper towels/trash.			
The water used for handwashing contains no generic <i>E. coli</i> .			
Hand washing water is disposed of in a manner that does not contaminate covered produce.			
Toilet facilities are readily available, accessible for all employees and are near handwashing facilities.			
The toilet and handwashing facilities are monitored between servicing for toilet paper, paper towels, soap and trash removal and replaced as needed.			
Visitors:			
Visitors are made aware of all food safety policies.			
Visitors have access to toilet and handwashing facilities.			
A log is kept of all visitors who come into contact with produce.			
A first aid kit is available, stocked and monitored.			
<b>RECORDS:</b> A record is kept of all food safety training that includes dates, topics, and participants.			

Product Handling and Packing	Yes	No	N/A
What source of water is used for handling or packing purposes at the facility? <input type="checkbox"/> Well <input type="checkbox"/> Municipal <input type="checkbox"/> Other			
The water source is tested for generic <i>E. coli</i> at least once per year and the results are kept on file.			
Produce is checked for signs of contamination prior to being processed through the facility.			
Dirt, mud, or other debris is removed from produce before packing.			
There are policies or procedures for identification and corrective actions for contaminated produce that is found during packing.			
Damaged produce is not reworked, to minimize the potential for contamination.			
Produce that comes in cooled is quickly transferred to a cooler.			
Ice used for cooling produce is manufactured from water that contains no generic <i>E. coli</i> and is stored under sanitary conditions.			
All packaging materials used for produce are made of food grade materials.			
Packing and handling equipment & tools, food grade totes, bins and packing containers are:			
Repaired/maintained			
Cleaned and sanitized before each use			
Stored/protected in a manner that they do not become contaminated			
Food-grade packaging materials are stored in areas protected from pets, livestock, wild animals, and other contaminants.			

Facility	Yes	No	N/A
What source of water is used for cleaning purposes in the facility? <input type="checkbox"/> Well <input type="checkbox"/> Municipal <input type="checkbox"/> Other			
The water source is tested for generic <i>E. coli</i> at least once per year and the results are kept on file.			
Packing areas and storage facilities are protected from wild and domestic animals.			
Toilets and hand washing stations use water that contains no generic <i>E. coli</i> and are cleaned and serviced routinely.			
There are policies or procedures on how to manage human waste spills, including septic spills.			
Pest Management			

A pest control program is in place for all produce packing, holding and storage areas.			
Perimeter outside of the packing area is maintained and does not provide harborage for pests (no tall vegetation, trash, old equipment, etc.).			
Facility is designed to facilitate cleaning and sanitizing, including in and around equipment.			
Equipment used for handling produce does not travel through areas where it could become contaminated (e.g. standing water, cull produce, etc.).			
<b>Cleaning and Sanitizing</b>			
There are standard operating procedures for cleaning and sanitizing.			
Cleaning and sanitizing procedures for food contact surfaces include washing/scrubbing, rinsing with water that contains no generic <i>E. coli</i> , sanitizing and air drying.			
Cleaning and sanitizing of food contact surfaces are done routinely.			
Tools or equipment used for other types of non-produce commodities are cleaned and sanitized prior to use with produce.			
Sanitizers are used according to EPA label requirements, and records are maintained that demonstrate monitoring and appropriate use.			
<b>RECORDS:</b> All cleaning and sanitizing activities are documented.			
<b>Coolers</b>			
Temperatures of storage coolers are monitored and documented.			
Produce is protected from condensation from ceiling or cooling units.			
Coolers are on a schedule for cleaning and sanitizing. This includes ceilings, walls, strip curtains (if applicable), and floors if produce containers touch the floor.			
<b>Culls and Trash</b>			
Located in an area away from stored produce			
Removed at a frequency to prevent build-up			
Managed to discourage pests			
Outside garbage receptacles and dumpsters are kept covered or closed.			
<b>Storage</b>			
Produce packing and storage areas are separate from other products/commodities (meat, dairy, dry goods, etc.).			
Raw, in-process and finished produce items are stored in dedicated and separate cold storage rooms.			
All storage areas have pest management controls and are free of trash and culls.			
Floor surfaces are in good condition, slope to a floor or trench drain, have no standing water or cracks, and are kept clean.			
Water on floors is managed to prevent pooling or, if pooling occurs, it is removed frequently.			
Floor drains are free from debris and standing water.			
Employee personal items are not stored in produce receiving, storage or processing areas.			

Transportation	Yes	No	N/A
Vehicles used for transporting produce are inspected before use, maintained in good repair and are not a source of potential contamination.			
Vehicles are cleaned and sanitized on a schedule or any time they may have been contaminated (hauled animals or manure, meat, dairy, etc.).			
Open transport vehicles are covered with clean, dry tarp before movement to another location.			
Produce for transport is properly loaded and stored to minimize contamination.			
Produce is cooled or kept cool during transit.			

Traceability	Yes	No	N/A
Produce is delivered and labeled with farm name, farm address, product name, date of harvest, field location, and any applicable lot codes.			
Records of delivered produce are maintained and include farm name, farm address, product name, date of harvest, field location, and any applicable lot codes.			
Facility has the ability to trace from origin/source to destination.			

## Best Practices Voluntary Checklist for Farmers Supplying Aggregators

Farm Information		
Farm Name:	Farm Contact Name:	
Farm Address:		
Phone:	Email:	
How many years have you farmed at this location?	Do you raise or house livestock at this location?	
Expected products for sale from this farm?		
Name of person overseeing food safety:		
Has the person overseeing food safety received training?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you have a food safety plan?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you participate in a USDA GAP or other 3rd party food safety audit?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Do you anticipate using products from another farm?	<input type="checkbox"/> Yes	<input type="checkbox"/> No
List any products you might sell that originate on another farm and provide the farm name: <div style="margin-left: 20px;">Farm Name:</div> <div style="margin-left: 20px;">Products:</div>		

Worker Health & Hygiene (for all workers and volunteers)	Yes	No	N/A
Personnel are trained to properly wash their hands after using the restroom, before and after eating, and after breaks.			
Personnel wear appropriate clean clothing and shoes that protects produce from risk of contamination.			
Personnel are trained on farm's food safety practices.			
Signage is posted to reinforce hygiene and sanitation practices to all personnel.			
Smoking and eating are limited to designated areas away from produce.			
Personnel with illnesses or open wounds are prohibited from handling produce (i.e., given another task or sent home).			
Current farm emergency contact information, including phone numbers, is available on site at all times.			
First aid kit is on premises during all work hours.			

Irrigation Water	Yes	No	N/A
Water source(s) for Irrigation: <input type="checkbox"/> Well <input type="checkbox"/> Municipal <input type="checkbox"/> Surface			
Irrigation method(s) used: <input type="checkbox"/> Overhead <input type="checkbox"/> Flood/Furrow <input type="checkbox"/> Drip <input type="checkbox"/> Other			
The water source is tested for generic <i>E. coli</i> at least once per year and the results are kept on file.			
Soil Amendments and Applications	Yes	No	N/A
Check all used: <input type="checkbox"/> Composted Manure <input type="checkbox"/> Raw Manure <input type="checkbox"/> Composted Vegetable Matter <input type="checkbox"/> Other (i.e., vermicompost, biochar, fish emulsion) <input type="checkbox"/> Ag Tea <input type="checkbox"/> Biosolids			
If used, raw manure is incorporated into the soil ( <i>choose one</i> ): <input type="checkbox"/> 120 days before harvest for crops that touch the ground <input type="checkbox"/> 90 days before harvest for crops that do not touch the ground			
Manure application schedule is documented with a copy available on file.			
Contamination risk: Manure is stored down slope from fields and water source(s).			
Compost source and manufacturer are documented (including time, temperature and turnings) with copy available on file.			

Chemical Fertilizer(s)			
Water Source for Fertilizer Application: <input type="checkbox"/> Well <input type="checkbox"/> Municipal <input type="checkbox"/> Surface <input type="checkbox"/> N/A			
Fertilizer application schedule is documented with copy available on file.			
Pesticides/fungicides/herbicides used?			
Water Source for Pesticide/Herbicide Application: <input type="checkbox"/> Well <input type="checkbox"/> Municipal <input type="checkbox"/> Surface <input type="checkbox"/> N/A			
Pesticides/fungicides/herbicides documented with copy available on file.			

<b>Pets/Animals/Wildlife/Livestock</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
Measures are taken to limit livestock, domestic and wild animals from entering production areas.			
Production and handling areas monitored for pests, domestic & wild animals (including birds, rodents).			

<b>Harvest/Handling/Packing</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
Water source(s) for food contact surfaces, handwashing, harvest tools, product handling and packing uses:			
Is from one of the sources: <input type="checkbox"/> Municipal <input type="checkbox"/> Well water <input type="checkbox"/> Treated surface water			
The water source is tested for generic <i>E. coli</i> at least once per year and the results are kept on file.			
If generic <i>E. coli</i> is detected, the water source is treated to ensure there is no detectable generic <i>E. coli</i> in a 100mL sample.			
Processing water that is reused is monitored for contamination and is changed at a frequency that prevents contamination.			
Ice is produced from a water source that contains no generic <i>E. coli</i> and is stored under sanitary conditions.			
Produce is kept cool during harvest and quickly transferred to a cooler after harvest.			
Harvest equipment & tools, food grade totes, bins and packing containers are:			
Repaired/maintained			
Cleaned and sanitized before each use			
Stored/protected in a manner so they do not become contaminated			
Handwashing station with water (that contains no generic <i>E. coli</i> ), is clean and stocked with hand soap, single use towels, and with a trash can.			
Handwashing facilities are readily available, accessible for all employees and are near toilet facilities.			
Handwashing facilities have soap, water, paper towels, and trash can for paper towels/trash.			
The water used for handwashing contains no generic <i>E. coli</i> .			
Hand washing water is disposed of in a manner that does not contaminate covered produce.			
Toilet facilities are readily available, accessible for all employees and are near handwashing facilities.			
Cleaning and Sanitizing			
There are standard operating procedures for cleaning and sanitizing.			
Cleaning and sanitizing procedures for food contact surfaces include washing/scrubbing, rinsing with water that contains no generic <i>E. coli</i> , sanitizing and air drying.			
Cleaning and sanitizing of food contact surfaces are done routinely.			
Tools or equipment used for other types of non-produce commodities are cleaned and sanitized prior to use with produce.			

Sanitizers are used according to EPA label requirements, and records are maintained that demonstrate monitoring and appropriate use.			
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<b>Transportation and Traceability</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
Transportation vehicles are in good repair.			
Vehicles are cleaned and sanitized on a schedule.			
Open transport vehicles are covered with clean, dry tarp before leaving farm.			
Products for transport are properly loaded and stored to minimize risk of contamination.			
Product for transport is cooled or kept cool during transit.			
Produce that is delivered is labeled with farm name, farm address, product name, date of harvest, field location, and any applicable lot codes.			

# What is Traceability ?

For the Facility:

**What is traceability?** Traceability is the ability to track your product as it moves from your farm or facility to any transporter, distributor, repacker and/or buyer.

**Why should I set up a traceability system for my products?** Traceability is important to food safety and can benefit the rest of your business. It also allows you to follow quality issues or complaints, keep track of the amount you sold, and minimize impacts from a potential foodborne illness.

**How can I set up a traceability system?** One way you can implement traceability for your operation is using a tracking system that identifies the origin and destination of all harvested produce, e.g. lot codes.

**What is a “lot”?** It is a distinct and limited portion of product that can be grouped and identified.

**How do I determine a “lot”?** The size of the lot will depend upon what works best for your system. Some options for determining the lot are date, supplier, commodity, package size, etc.

**How do I keep track of a “lot”?** You can create a *lot code* or *batch number*. A lot code is a unique series of numbers or letters, or a combination, that identifies specific details about the lot which you can use to track the product. The lot code should include information that allows you to determine where the product came from and when you received the product. It is best to keep this code simple but meaningful for your operation.

**Why do I need to set up lots?** Keeping track of what comes into and goes out of your facility is beneficial in the event you are part of a product recall or another food safety issue (or need to prove your product was not the source of such an event). Traceability and lot tracking involve keeping paperwork, but this recordkeeping provides benefits for food safety and quality to both your facility and the farmers who supply you.

**For more information on traceability and lot codes visit:** <https://gaps.cornell.edu/educational-materials/decision-trees/traceability/>

From the Supplier:

This is an example of what you can have your supplier complete when they are providing produce to you.

Example of information to collect from supplier for traceability:

**The following may be used as a receipt from the grower:**

Date: \_\_\_\_\_ Received by: \_\_\_\_\_

Refrigerator truck temperature (if applicable) \_\_\_\_\_

Donated: \_\_\_\_\_ Purchased: \_\_\_\_\_ Purchase price: \_\_\_\_\_

Description and volume of product purchased: \_\_\_\_\_

\_\_\_\_\_

Date harvested: \_\_\_\_\_

Harvest location: \_\_\_\_\_ Lot # if available \_\_\_\_\_

Name of grower: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

## Verification of Third-Party Audit

Please complete this form to verify participation in a third-party audit. Also provide a copy of your completed food safety audit or a copy of your food safety plan along with this form.

Date of Form Completion: \_\_\_\_\_

Farm Name: \_\_\_\_\_

Farm Contact Name: \_\_\_\_\_

Farm Address: \_\_\_\_\_

Phone: \_\_\_\_\_

Email: \_\_\_\_\_

How many years have you farmed at this location? \_\_\_\_\_

Do you raise or house livestock at this location? \_\_\_\_\_

Expected products for sale from this farm? \_\_\_\_\_

Name of person overseeing food safety: \_\_\_\_\_

Has the person overseeing food safety received training?  Yes  No

Do you have a food safety plan?  Yes  No

What third-party food safety audit program do you participate in? \_\_\_\_\_

When was your most recent audit completed? \_\_\_\_\_

Do you anticipate using products from another farm?  Yes  No

List any products you might sell that originate on another farm and provide the farm name:

Farm Name:

Products:

Do you use a lot code or have another type of traceability program for your product?  Yes  No

If yes, please describe: \_\_\_\_\_