

**USDA Good Agricultural Practices Good Handling Practices
Audit Verification Checklist**



This program is intended to assess a participant's efforts to minimize the risk of contamination of fresh fruits, vegetables, nuts and miscellaneous commodities by microbial pathogens based on the U.S. Food and Drug Administration's *"Guide to Minimize Microbial Food Safety Hazards for Fresh Fruits and Vegetables,"* and generally recognized good agricultural practices.

Firm Name: _____

Contact Person: _____

Audit Site(s): _____

Main Address: _____

City: _____ **State:** _____ **Zip:** _____

Telephone No: _____ **Fax:** _____

E-mail: _____

Auditor (s): (list all auditors with the lead listed first) _____

USDA or Fed-State Office performing audit:

Arrival Date: _____ **Time:** _____

Departure Date: _____ **Time:** _____

Travel Time _____ **Code** _____

Person(s) Interviewed (use back of sheet if necessary to list all persons interviewed) _____

Did the auditee participate in GAP & GHP training?

Yes No

Is there a map that accurately represents the farm operations?

Yes No N/A

Legal Description/GPS/Lat.-Long. of Location: _____

Are all crop production areas located on this audit site?

Yes No N/A

Total acres farmed (Owned, leased/rented, contracted, consigned): _____

Does the company have more than one packing facility?

Yes No N/A

Is there a floor plan of the packing house facility(s) indicating flow of product, storage areas, cull areas, employee break rooms, restrooms, offices?

Yes No N/A

Is any product commingled prior to packing?

Yes No

Audit Scope: (Please check all scopes audited)

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

Part 1 – Farm Review.....

Part 2 - Field Harvest and Field Packing Activities.....

Part 3 - House Packing Facility.....

Part 4 – Storage and Transportation.....

Part 5 – (Not Used)

Part 6 – Wholesale Distribution Center/Terminal Warehouse.....

Part 7 – Preventive Food Defense Procedures.....

Products: _____

Auditors' Signature(s): _____

Conditions Under Which an Automatic "Unsatisfactory" Will be Assessed

- An immediate food safety risk is present when produce is grown, processed, packed or held under conditions that promote or cause the produce to become contaminated.
- The presence or evidence of rodents, an excessive amount of insects or other pests in the produce during packing, processing or storage.
- Observation of employee practices (personal or hygienic) that have jeopardized or may jeopardize the safety of the produce.
- Falsification of records.
- Answering of Questions P1 or P2 as “NO”.

Auditor Completion Instructions

- For clarification and guidance in answering these questions, please refer to the Good Agricultural Practices & Good Handling Practices Audit Verification Program Policy and Instruction Guide.
- Place the point value for each question in the proper column (Yes, No, or N/A).
- Gray boxes in the “N/A” column indicate that question cannot be answered “N/A”.
- Any “N/A” or “No” designation must be explained in the comments section.
- The "Doc: column-
 - A "D" indicates that a document(s) is required to show conformance to the question. A document may be a combination of standard operating procedures outlining company policy as well as a record indicating that a particular action was taken.
 - A "R" indicates that a record is required to be kept showing an action was taken.
 - A "P" indicates that a policy/standard operating procedure (SOP) must be documented in the food safety plan in order to show conformance to the question.

General Questions

Implementation of a Food Safety Program

Questions		Points	Yes	NO	N/A	Doc
P-1	A documented food safety program that incorporates GAP and/or GHP has been implemented.					D
P-2	The operation has designated someone to implement and oversee an established food safety program. Name _____					D

Traceability

Questions		Points	Yes	NO	N/A	Doc
G-1	A documented traceability program has been established.	15				D
G-2	The operation has performed a "mock recall" that was proven to be effective.	10				R

Worker Health & Hygiene

Questions		Points	Yes	NO	N/A	Doc
G-3	Potable water is available to all workers.	10				R
G-4	All employees and all visitors to the location are required to follow proper sanitation and hygiene practices.	10				P
G-5	Training on proper sanitation and hygiene practices is provided to all staff.	15				D
G-6	Employees and visitors are following good hygiene/sanitation practices.	15				
G-7	Employees who handle or package produce are washing their hands before beginning or returning to work.	15				
G-8	Readily understandable signs are posted to instruct employees to wash their hands before beginning or returning to work.	10				
G-9	All toilet/restroom/field sanitation facilities are clean. They are properly supplied with single use towels, toilet paper, hand soap or anti-bacterial soap, and potable water for hand washing.	15				
G-10	All toilet/restroom/field sanitation facilities are serviced and cleaned on a scheduled basis.	10				R

Questions		Points	Yes	NO	N/A	Doc
G-11	Smoking and eating are confined to designated areas separate from where product is handled.	10				P
G-12	Workers with diarrheal disease or symptoms of other infectious diseases are prohibited from handling fresh produce.	15				P
G-13	There is a policy describing procedures which specify handling/disposition of produce or food contact surfaces that have come into contact with blood or other bodily fluids.	15				P
G-14	Workers are instructed to seek prompt treatment with clean first aid supplies for cuts, abrasions and other injuries.	5				P
G-15	Company personnel or contracted personnel that apply regulated pre-harvest and/or post harvest materials are licensed. Company personnel or contracted personnel applying non-regulated materials have been trained on its proper use.	10				R

COMMENTS:						

Total Points earned for General Questions =

Total Possible = 180 *The total number of points possible for this section.*

Subtract "N/A" = _____ *Enter the additive number of N/A points (+points) here.*

Adjusted Total = _____ *Subtract the N/A points from the Total possible points*

X .8 (80%) *Multiply the Adjusted Total by .8 and show it as the*
 Passing Score

Passing Score = _____

Pass **Fail** **(please mark one)**

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Part 1 - Farm Review

Water Usage

(1-1) What is the source of irrigation water? (Pond, Stream, Well, Municipal, Other)
Please specify:

(1-2) How are crops irrigated? (Flood, Drip, Sprinkler, Other) Please specify:

Questions		Points	Yes	NO	N/A	Doc
1-3	A water quality assessment has been performed to determine the quality of water used for irrigation purpose on the crop(s) being applied.	15				D
1-4	A water quality assessment has been performed to determine the quality of water use for chemical application or fertigation method.	15				D
1-5	If necessary, steps are taken to protect irrigation water from potential direct and non-point source contamination.	15				

Sewage Treatment

Questions		Points	Yes	NO	N/A	Doc
1-6	The farm sewage treatment system/septic system is functioning properly and there is no evidence of leaking or runoff.	15				
1-7	There is no municipal/commercial sewage treatment facility or waste material landfill adjacent to the farm.	10				

Animals/Wildlife/Livestock

Questions		Points	Yes	NO	N/A	Doc
1-8	Crop production areas are not located near or adjacent to dairy, livestock, or fowl production facilities unless adequate barriers exist.	15				
1-9	Manure lagoons located near or adjacent to crop production areas are maintained to prevent leaking/overflowing, or measures have been taken to stop runoff from contaminating the crop production areas.	10				

Questions		Points	Yes	NO	N/A	Doc
1-10	Manure stored near or adjacent to crop production areas is contained to prevent contamination of crops.	10				
1-11	Measures are taken to restrict access of livestock to the source or delivery system of crop irrigation water.	10				
1-12	Crop production areas are monitored for the presence or signs of wild or domestic animals the entering the land.	5				R
1-13	Measures are taken to reduce the opportunity for wild and/or domestic animals from entering crop production areas.	5				R

Manure and Municipal Biosolids

Please choose one of the following options as it relates to the farm operations:

_____ Option A. Raw manure or a combination of raw and composed manure is used as a soil amendment.

_____ Option B. Only composted manure/treated municipal biosolids are used as soil amendments.

_____ Option C. No manure or municipal biosolids of any kind are used as soil amendments.

Only answer the following manure questions (questions 1-14 to 1-22) that are assigned to the Option chosen above. DO NOT answer the questions from the other two options. The points from the manure and municipal biosolids are worth 35 of a total 190 points, and answering questions from the other two options will cause the points to calculate incorrectly.

Option A: Raw Manure		Points	Yes	NO	N/A	Doc
1-14	When raw manure is applied, it is incorporated at least 2 weeks prior to planting or a minimum of 120 days prior to harvest.	10				R
1-15	Raw manure is not used on commodities that are harvested within 120 days of planting.	10				R
1-16	If both raw and treated manure are used, the treated manure is properly treated, composted or exposed to reduce the expected levels of pathogens.	10				R
1-17	Manure is properly stored prior to use.	5				

Option B: Composted Manure		Points	Yes	NO	N/A	Doc
1-18	Only composted manure and/or treated biosolids are used as a soil amendment.	10				R
1-19	Composted manure and/or treated biosolids are properly treated, composted, or exposed to environmental conditions that would lower the expected level of pathogens.	10				D
1-20	Composted manure and/or treated biosolids are properly stored and are protected to minimize recontamination.	10				
1-21	Analysis reports are available for composted manure/treated biosolids.	5				R
Option C: No Manure/Biosolids Used		Points	Yes	NO	N/A	Doc
1-22	No animal manure or municipal biosolids are used.	35				P

Soils

Questions		Points	Yes	NO	N/A	Doc
1-23	A previous land use risk assessment has been performed.	5				R
1-24	When previous land use history indicates a possibility of contamination, preventative measures have been taken to mitigate the known risks and soils have been tested for contaminants and the land use is commensurate with test results.	10				R
1-25	Crop production areas that have been subjected to flooding are tested for potential microbial hazards.	5				R

Traceability

Questions		Points	Yes	NO	N/A	Doc
1-26	Each production area is identified or coded to enable traceability in the event of a recall.	10				R

COMMENTS:

Total Points earned for Farm Review = _____

Total Possible = 190 *The total number of points possible for this section.*

Subtract "N/A" = _____ *Enter the additive number of N/A points (+points) here.*

Adjusted Total = _____ *Subtract the N/A points from the Total possible points*

X .8 (80%) *Multiply the Adjusted Total by .8 and show it as the Passing Score*

Passing Score = _____

Pass

Fail

(please mark one)

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Part 2 - Field Harvest and Field Packing Activities

Field Sanitation and Hygiene

Questions		Points	Yes	NO	N/A	Doc
2-1	A documented pre-harvest assessment is made on the crop production areas. Risks and possible sources of crop contamination are noted and assessed.	15				D
2-2	The number, condition, and placement of field sanitation units comply with applicable state and/or federal regulations.	10				
2-3	When question 2-2 is answered "N/A" (sanitation units are not required), a toilet facility is readily available for all workers	10				
2-4	Field sanitation units are located in a location that minimizes the potential risk for product contamination and are directly accessible for servicing.	10				
2-5	A response plan is in place for the event of a major spill or leak of field sanitation units or toilet facilities.	10				P

Field Harvesting and Transportation

Questions		Points	Yes	NO	N/A	Doc
2-6	All harvesting containers and bulk hauling vehicles that come in direct contact with product are cleaned and/or sanitized on a scheduled basis and kept as clean as practicable.	10				D
2-7	All hand harvesting equipment and implements (knives, pruners machetes, etc.) are kept as clean as practical and are disinfected on a scheduled basis.	10				D
2-8	Damaged containers are properly repaired or disposed of.	5				
2-9	Harvesting equipment and/or machinery which comes into contact with product is in good repair.	10				
2-10	Light bulbs and glass on harvesting equipment are protected so as not to contaminate produce or fields in the case of breakage.	10				

Questions		Points	Yes	NO	N/A	Doc
2-11	There is a standard operating procedure or instructions on what measures should be taken in the case of glass/plastic breakage and possible contamination during harvesting operations.	5				P
2-12	There is a standard operating procedure or instructions on what measures should be taken in the case of product contamination by chemicals, petroleum, pesticides or other contaminating factors.	5				P
2-13	For mechanically harvested product, measures are taken during harvest to inspect for and remove foreign objects such as glass, metal, rocks, or other dangerous/toxic items.	5				
2-14	Harvesting containers, totes, etc. are not used for carrying or storing non- produce items during the harvest season, and farm workers are instructed in this policy.	5				P
2-15	Water applied to harvested product is microbially safe.	15				R
2-16	Efforts have been made to remove excessive dirt and mud from product and/or containers during harvest.	5				
2-17	Transportation equipment used to move product from field to storage areas or storage areas to processing plant which comes into contact with product is clean and in good repair.	10				
2-18	There is a policy in place and has been implemented that harvested product being moved from field to storage areas or processing plants are covered during transportation.	5				P
2-19	In ranch or field pack operations, only new or sanitized containers are used for packing the product.	10				D
2-20	Packing materials used in ranch or field pack operations are properly stored and protected from contamination.	10				
2-21	Product moving out of the field is uniquely identified to enable traceability in the event of a recall.	10				D

COMMENTS:

Total Points earned for Field Harvesting & Field Packaging = _____

Total Possible = 185 *The total number of points possible for this section.*

Subtract "N/A" = _____ *Enter the additive number of N/A points (+points) here.*

Adjusted Total = _____ *Subtract the N/A points from the Total possible points*

X .8 (80%) *Multiply the Adjusted Total by .8 and show it as the Passing Score*

Passing Score = _____

Pass **Fail** **(please mark one)**

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