

**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) \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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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

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**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: \_\_\_\_\_

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**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
  - A "R" indicates that a record is required to be kept showing an action was
  - 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

## 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:

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

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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 purposes on the crop(s) being applied.	15				D
1-4	A water quality assessment has been performed to determine the quality of water used for chemical application of fertigation method.	15				D
1-5	If necessary, steps are taken to protect irrigation water from potential direct and non-point source contamination.	15				
<b>Sewage Treatment</b>						
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				
<b>Animals/Wildlife/Livestock</b>						
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 natural or physical barriers exist.	15				
1-9	Manure lagoons located near or adjacent to crop production areas are maintained to prevent leaking or 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				



<b>Option B: Composted Manure</b>		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
<b>Option C: No Manure/Biosolids Used</b>		Points	Yes	NO	N/A	Doc
1-22	No animal manure or municipal biosolids are used.	35				P

### Soils

<b>Questions</b>		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

<b>Questions</b>		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

<b>COMMENTS:</b>						


**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.*

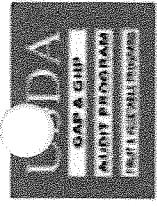
**Adjusted Total = \_\_\_\_\_**      *Subtract the N/A points from the Total possible points*

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

**Passing Score = \_\_\_\_\_**

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

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.



Facility Name (Print) as it should appear on Certificate:

Street Address (Print):		City (Print):		State (Print):		Zip (Print):	
e-mail Address (Print):		fax number:		Date Audit Requested:		Date of Previous Audit :	
Date Audit Began:		Date Audit Completed:		USDA Commodity Procurement Audit?		Check One Yes <input type="checkbox"/> No <input type="checkbox"/>	
Time Audit Began:		Time Audit Completed:					

**EVALUATION ELEMENTS**

Scopes Requested	Element	Possible Points	Less N/A Points	Adjusted Points	Passing Score*	Facility Score	Pass Fail	Date Passed	General Questions	Reviewing Official	Un-announced
X	General Questions	180									
	Part 1 – Farm Review	190									
	Part 2 – Field Harvesting & Field Packing Activities	185									
	Part 3 – House Packing Facility	290									
	Part 4 – Storage and Transportation	255									
	Part 6 – Wholesale Distribution Center/ Warehouses	410									
	Part 7 – Preventative Food Defense Procedures	180									

\*\*A Passing Score is 80% of the Possible Points or the Adjusted Points, if adjustment are necessary, with no "automatic unsatisfactory" conditions is required for certification.

Commodities Reviewed (Print):	Commodity:										
Acres:											

Send completed GAP&GHP Certificate to: (choose one) \_\_\_\_\_ Inspection office: (list office) \_\_\_\_\_ Directly to auditee above: \_\_\_\_\_

Lead Auditor Name (Print): \_\_\_\_\_ Duty Station: \_\_\_\_\_ Signature & Date: \_\_\_\_\_

Facility Representative signature: \_\_\_\_\_ Date: \_\_\_\_\_ All Scopes Completed: \_\_\_\_\_

By signing this form, the facility representative agrees to have company information posted to the USDA website. A company will only be listed on the USDA website if all scopes audited receive a passing score.

For USDA HQ use:

Reviewing Official Name (Print) \_\_\_\_\_ Signature: \_\_\_\_\_

Date Received: \_\_\_\_\_ Date Certificate Mailed: \_\_\_\_\_ Date Posted to USDA Website: \_\_\_\_\_

Revised June 6, 2011

USDA, AMS, FVP, FPP

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To verify a company's continued good standing in the USDA GAP&GHP Program please visit <http://www.ams.usda.gov/gapghp>