

**USDA Good Agricultural Practices & Good Handling Practices
Audit Verification Checklist
2008 Growing Season
Commodity Procurement Branch
Sliced Apple Purchase**



The following audit checklist is to be used only for the 2008 USDA AMS Commodity Procurement Branch Sliced Apple purchase. When scheduling an audit, please be sure to notify the lead auditor that this checklist is to be utilized. Failure to notify the auditor will result in him/her utilizing the generic USDA GAP&GHP 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."

Firm Name: _____

Contact Person: _____

Audit Site(s): _____

Main Address: _____

State: _____ **Zip:** _____ **Telephone No:** _____

Fax: _____ **E-mail:** _____

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

USDA or Fed-State Office performing audit: _____

Date & Time Arrived: _____ **Date & Time Departed:** _____

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

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

Are all crop production areas located on this audit site?

Yes No

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

Does the company have more than one packing facility?

Yes No

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

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

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 AP1 or AP2 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”.**
- **“D” in the Doc column means that documentation will be requested/reviewed by the auditor.**
- **Any “N/A” or “No” designation must be explained in the comments section.**

General Questions-

All growers/packers/shippers must complete this section.

Implementation of a Food Safety Program

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

Worker Health & Hygiene

Questions		Points	YES	NO	N/A	Doc
AG-1	A documented traceability program has been established.	15				
AG-2	The operation has performed a “mock” recall that has proven to be effective.	10				
AG-3	Potable water is available to all workers.	10				D
AG-4	Training on proper sanitation and hygiene practices is provided to all staff.	15				D
AG-5	Readily understandable signs are posted to instruct employees to wash their hands before beginning or returning to work.	10				
AG-6	Employees are required to wash their hands before beginning or returning to work.	10				D
AG-7	All employees and all visitors to the location are required to follow proper sanitation and hygiene practices.	10				D
AG-8	Employees and visitors are following good hygiene/sanitation practices.	15				
AG-9	All toilet/restroom/field sanitation facilities are clean. They are properly supplied with single use towels, toilet paper, and hand soap or anti-bacterial soap and potable water for hand washing.	15				
AG-10	All toilet/restroom/field sanitation facilities are serviced and cleaned on a scheduled basis.	10				D
AG-11	Smoking and eating are confined to designated areas separate from where product is handled.	10				

	Questions	Points	YES	NO	N/A	Doc
AG-12	Workers with diarrheal disease or symptoms of other infectious disease are prohibited from handling fresh produce.	15				D
AG-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 body fluids.	15				D
AG-14	Workers are instructed to seek prompt treatment with clean first aid supplies for cuts, abrasions and other injuries.	5				D
AG-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				D
AG-16	An up to date set of pesticide records for all locations covered by the audit is available.	5				D
AG-17	Training on food defense/food security has been given to all workers including identifying the company representative who they should contact with food security issues.	10				
AG-18	Packing sheds and storage facilities including pesticide storage areas are kept secure (locked) when not in use.	10				
AG-19	Scheduled checks are made of the operation for signs of tampering or intentional contamination.	10				D
AG-20	All visitors must check in with farm/facility representative before entering the premises.	10				

COMMENTS:

Total points for GENERAL QUESTIONS _____

Total possible = 220 Less Justified "N/A" _____

Adjusted Total _____ Passing Score _____
X .8 (80%) USDA

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Part 1 – Farm Review

Only growers need to complete this section

Water Usage

(A1-1) What is the source of irrigation water? (Pond, Stream, Well, Municipal, Other) please specify

(A1-2) How are crops irrigated? (Flood, Drip, Sprinkler, Other) please specify

Questions		Points	YES	NO	N/A	Doc
A1-3	Water quality is known to be adequate for the crop irrigation method and crop being irrigated.	10				D
A1-4	Water quality is known to be adequate for chemical application or fertigation method.	10				D
A1-5	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
A1-6	The farm sewage treatment system/septic system is functioning properly and there is no evidence of leaking or runoff.	15				
A1-7	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
A1-8	Crop production areas are not located near or adjacent to dairy, livestock, or fowl production facilities.	15				
A1-9	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				
A1-10	Manure stored near or adjacent to crop production areas is contained to prevent contamination of crops.	10				

	Questions	Points	YES	NO	N/A	Doc
A1-11	Measures are taken to restrict access of livestock to the source or delivery system of crop irrigation water.	5				
A1-12	Measures are taken to reduce the opportunity for wild and/or domestic animals to enter crop production areas.	5				
A1-13	Crop production areas are monitored for the presence or signs of wild or domestic animals entering the land.	5				D

A1-14	Raw manure or municipal biosolids are not used on orchard grounds after the trees have been planted.	10				D
A1-15	Only composted manure and/or treated biosolids are used as a soil amendment and are applied in the only in the fall after harvest.	10				
A1-16	Previous land use history indicates that there is a minimum risk of produce contamination.	5				

Soils

	Questions	Points	YES	NO	N/A	Doc
A1-17	Previous land use history indicates that there is a minimum risk of produce contamination.	5				
A1-18	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				D

COMMENTS:

Total points for PART 1 _____

Total possible = **155** **Less Justified "N/A"** _____

Adjusted Total _____ **Passing Score** _____
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Part 2 - Field Harvest and Field Packing Activities

Only growers need to complete this section

Field Sanitation and Hygiene

Questions		Points	YES	NO	N/A	Doc
A2-1	The number, condition, and placement of field sanitation units comply with applicable state and/or federal regulations.	10				
A2-2	If field sanitation units are not used and are not required by applicable state or federal regulations, a toilet facility is readily available for all workers.	15				
A2-3	Field sanitation units are located in a location that minimizes the potential risk for product contamination and are directly accessible for servicing.	10				
A2-4	In the event of a major spill or leak of field sanitation units or toilet facility, a response plan is in place, and field sanitation units or toilet facilities are directly accessible for the response team.	10				D

Field Harvesting and Transportation

Questions		Points	YES	NO	N/A	Doc
A2-5	All harvesting containers that come in direct contact with product are cleaned and/or sanitized prior to use and kept as clean as practicable.	5				D
A2-6	All hand harvesting implements (knives, pruners, machetes, etc.) are kept as clean as practical and are disinfected on a scheduled basis.	5				D
A2-7	Damaged containers are properly repaired or disposed of.	5				
A2-8	Harvesting equipment and/or machinery which comes into contact with product is in good repair.	10				
A2-9	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
A2-10	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				D
A2-11	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				D
A2-12	Measures are taken during harvest to inspect for and remove foreign objects such as glass, metal, rocks, or other dangerous/toxic items.	5				
A2-13	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				D
A2-14	Water applied to harvested product is potable.	10				D
A2-15	Efforts have been made to remove excessive dirt and mud from product and/or containers during harvest.	5				
A2-16	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				D
A2-17	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.	5				D

COMMENTS:

COMMENTS CONTINUED:

Total points earned Part 2 _____

Total possible = **130** **Less Justified "N/A"** _____

Adjusted Total _____ **Passing Score** _____
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Part 3 - HOUSE PACKING FACILITY

Only farms that also sort apples destined for the sliced apple facility need to complete this section. If the farm field picks and sends only field run apples without running them through their packing house or grading lines to the sliced apple facility, this section does not apply.

Receiving

Questions		Points	YES	NO	N/A	Doc
A3-1	Product being moved to staging area prior to packing or processing shall be protected from possible contamination.	5				
A3-2	Prior to packing, product is properly stored and/or handled in order to reduce possible contamination.	5				

Washing/Packing Line

Questions		Points	YES	NO	N/A	Doc
A3-3	Source water used in the packing operation is potable.	10				D
A3-4	If applicable, the temperature of processing water used in dump tanks, flumes, etc., is monitored and is kept at temperatures appropriate for the commodity.	10				D
A3-5	Processing water is sufficiently treated to reduce microbial contamination.	10				D
A3-6	Water-contact surfaces, such as dump tanks, flumes, wash tanks and hydro coolers, are cleaned and/or sanitized on a scheduled basis.	10				D
A3-7	Water treatment (strength levels and pH) and exposure time is monitored and is appropriate for product.	10				D
A3-8	Food contact surfaces are clean and in good condition.	10				
A3-9	Product flow zones are protected from sources of contamination.	10				
A3-10	The water used for cooling/ice is potable.	10				D

Packing House Worker Sanitation

Questions		Points	YES	NO	N/A	Doc
A3-11	Employee facilities (locker rooms, lunch and break areas, etc.) are clean and located away from packing area.	10				
A3-12	Employees and visitors follow a written policy regarding the use of hair nets/beard nets in the production area.	5				D
A3-13	Employees and visitors follow a written policy regarding the wearing of jewelry in the production area.	5				D

Packinghouse General Housekeeping

Questions		Points	YES	NO	N/A	Doc
A3-14	Only food grade approved and labeled lubricants are used in the packing equipment/machinery.	10				D
A3-15	Chemicals not approved for use on product are stored and segregated away from packing area.	10				
A3-16	The plant grounds are reasonably free of litter and debris.	5				
A3-17	The plant grounds are reasonably free of standing water.	5				
A3-18	Outside garbage receptacles/dumpsters are closed or are located away from packing facility entrances and the area around such sites is reasonably clean.	5				
A3-19	Packing facilities are enclosed.	5				
A3-20	The packing facility interior is clean and maintained in an orderly manner.	5				
A3-21	Floor drains appear to be free of obstructions.	5				
A3-22	Pipes, ducts, fans and ceilings which are over food handling operations are clean.	5				
A3-23	Glass materials above product flow zones are contained in case of breakage.	10				
A3-24	Possible wastewater spillage is prevented from contaminating any food handling area by barriers, drains or a sufficient distance.	10				
A3-25	Measures are taken to exclude animals or pests from packing and storage facilities.	10				

Part 4 – STORAGE AND TRANSPORTATION

Only farms that store apples prior to sending them to the sliced apple facility need to be audited to this Part.

Product, Containers & Pallets

Questions		Points	YES	NO	N/A	Doc
A4-1	Packing containers are properly stored and sufficiently sealed to be protected from contamination (birds, rodents and other pests, etc.).	10				
A4-2	Pallets, pallet boxes, totes, bags, bins, cellars, storage rooms, etc., are clean and in good condition and do not contribute foreign material to the product.	5				
A4-3	Product stored outdoors in totes, trucks, bins, other containers or in bulk on the ground is covered and protected from contamination.	10				
A4-4	Storage facilities/areas are inspected for foreign material prior to loading with product. Records are maintained.	5				D
A4-5	Storage rooms, buildings, and/or facilities are maintained and sufficiently sealed or isolated to be protected from external contamination.	10				
A4-6	Non-food grade substances such as paints, lubricants, pesticides, etc., are not stored in close proximity to the product.	10				
A4-7	Mechanical equipment used during the storage process is clean and maintained to prevent contamination of the product.	5				

Pest Control

Questions		Points	YES	NO	N/A	Doc
A4-8	Measures are taken to exclude animals or pests from storage facilities.	10				
A4-9	There is an established pest control program for the facility.	10				D
A4-10	Service reports for the pest control program are available for review.	5				D
A4-11	Interior walls, floors and ceilings are well maintained and are free of major cracks and crevices.	5				

Total Points Part 4 _____

Total possible = **135** **Less Justified "N/A"** _____

Adjusted Total _____ **Passing Score** _____
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**For further information regarding the USDA GAP & GHP Program
Please contact:**

**USDA Fruit and Vegetable Programs, Fresh Products Branch,
Field Operations Section at 800-811-2373**

