Cancel

Good Agricultural and Good Handling Practices[1] AUDIT

Person(s) Interviewed: _____

_____

Firm Name: _____

Audit Site(s): _____

Main Address: _____

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

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

Auditor(s): _____

Date & Time Arrive: _____ **Date & Time Departed:** _____

Travel Time: _____ **Code:** _____

Audit Scope:

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 – Traceback …… ☐

Part 6 – Wholesale Distribution Center/Terminal Warehouses…….. …….. ☐

Part 6-A – Traceback…… ☐

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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** ☐

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

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

Yes ☐ **No** ☐

Does the company have more than one packing facility?

Yes ☐ **No** ☐

Are all crop production areas located on this audit site?

Yes ☐ **No** ☐

Is any product commingled prior to packing?

Yes ☐ **No** ☐

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

Products: _____

[1] 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.

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 jeopardize or may jeopardize the safety of the produce.**

General Questions

Implementation of a Food Safety Program

(*Place the point value in the proper category*)

	Questions	Points	YES	NO	N/A	Doc
1	A documented food safety program that incorporates GAP and/or GHP has been implemented.	15				D
2	The Operation has designated someone to implement and oversee an established food safety program. Name _____	15				D

Worker Health & Hygiene

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

	Questions	Points	YES	NO	N/A	Doc
10	Smoking and eating are confined to designated areas separate from where product is handled.	10				
11	Workers with diarrheal disease or symptoms of other infectious disease are prohibited from handling fresh produce.	15				D
12	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
13	Workers are instructed to seek prompt treatment with clean first aid supplies for cuts, abrasions and other injuries.	5				D
14	Company personnel demonstrate knowledge of proper use of pre-harvest and/or post harvest application materials.	10				

Comments:

Total points for GENERAL QUESTIONS 0

Total possible = 175
Less Justified "N/A" 0
Adjusted Total 175
X .7 (70%)
Passing Score 123

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Part 1 – Farm Review

Water Usage

(15) What is the source of irrigation water (Pond, Stream, Well, Municipal, Other…Specify)?

_____

(16) How are crops directly irrigated (Flood, Drip, Sprinkler, Other….Specify)?

_____

	Questions	Points	YES	NO	N/A	Doc
17	Water quality is known to be adequate for the crop irrigation method and/or chemical application.	15				D
18	If necessary, steps are taken to protect irrigation water from potential contamination.	15				

Sewage Treatment

	Questions	Points	YES	NO	N/A	Doc
19	The farm sewage treatment system is functioning properly and there is no evidence of leaking or runoff.	15				
20	There is no municipal/commercial sewage treatment facility adjacent to the farm.	10				

Animals/Wildlife/Livestock

	Questions	Points	YES	NO	N/A	Doc
21	Crop production areas are not located near or adjacent to dairy or livestock production facilities.	10				
22	Manure lagoons are maintained to prevent leaking or overflowing.	10				
23	Measures are taken to restrict access of livestock to the source or delivery system of crop irrigation water.	5				
24	Measures are taken to reduce the opportunity for wild or domestic animals to enter crop production areas.	5				

Manure and Municipal Biosolids

	Questions	Points	YES	NO	N/A	Doc
25	Raw manure is not used as a soil amendment.	10				
26	When raw manure is applied, it is incorporated at least two weeks prior to planting or a minimum of 120 days prior to harvest.	10				D

	Questions	Points	YES	NO	N/A	Doc
27	Manure or biosolids are properly treated, composted or exposed to environmental conditions that would lower the expected level of pathogens.	10				D
28	Manure or biosolids are properly stored prior to use.	10				
29	Effective measures are taken to minimize recontamination of treated manure or biosolids.	10				
30	If composted manure or treated biosolids are used, analysis reports are available.	5				D

Soils

	Questions	Points	YES	NO	N/A	Doc
31	Previous land use history indicates that there is a minimum risk of produce contamination.	5				
32	When previous land use history indicates a possibility of produce contamination, soils have been tested for contaminants and land use is commensurate with test results.	5				D

Comments:

Total points for PART 1 0

Total possible =	150
Less Justified "N/A"	0
Adjusted Total	150
X .7 (70%)	
Passing Score	105

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Part 2 - Field Harvest and Field Packing Activities

Worker Sanitation and Hygiene

Questions		Points	YES	NO	N/A	Doc
33	The number, condition, and placement of field sanitation units comply with applicable state and/or federal regulations.	10				
34	Field sanitation units are cleaned and serviced on a scheduled basis and at a location that minimizes the potential risk for product contamination.	10				D
35	Field sanitation units are directly accessible for servicing and directly accessible in the event of a spill or major leak.	10				
36	In the event of a major spill or leak of field sanitation units, a response plan is in place.	5				D
37	Field sanitation units are properly supplied with single use towels, toilet paper, and hand soap or anti-bacterial soap and potable water for hand washing.	10				

Field Harvesting and Transportation

Questions		Points	YES	NO	N/A	Doc
38	Tables, baskets, totes and other harvesting containers are cleaned and/or sanitized prior to use.	5				D
39	Damaged or soiled containers are properly repaired or disposed of.	5				
40	Harvesting equipment and/or machinery which comes into contact with product is kept as clean as practicable.	5				D
41	Farm workers are instructed not to use harvesting containers, totes, etc. for carrying or storing non-produce items.	5				
42	Water applied to harvested product is potable.	10				D
43	Efforts have been made to remove excessive dirt and mud from product and/or containers before packing.	5				
44	Transportation equipment used to move product from field to packing operation or storage and which comes into contact with product is clean.	10				D

Comments

Total points earned Part 2 0

Total possible =	90
Less Justified "N/A"	0
Adjusted Total	90
X .7 (70%)	
Passing Score	63

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Part 3 - HOUSE PACKING FACILITY

Receiving

Questions		Points	YES	NO	N/A	Doc
45	Product is covered during transportation and staging prior to unloading.	5				
46	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
47	Source water used in the packing operation is potable.	10				D
48	Processing water is sufficiently treated to reduce microbial contamination.	10				D
49	Water-contact surfaces, such as dump tanks, flumes, wash tanks and hydro coolers, are cleaned and/or sanitized on a scheduled basis.	10				D
50	Water treatment (Strength levels and pH) and exposure time is monitored and is appropriate for product.	10				D
51	Food contact surfaces are clean and in good condition.	10				
52	Product flow zones are protected from sources of contamination.	10				
53	The water used for cooling/ice is potable.	10				D
54	Manufacturing, storage and transportation facilities used in making and delivering ice used for cooling the product have been sanitized.	10				D

Worker Health and Personal Hygiene

Questions		Points	YES	NO	N/A	Doc
55	Employee facilities (locker rooms, lunch and break areas, etc.) are clean and located away from packing area.	10				
56	Employees and visitors follow a written policy regarding the use of hair nets/ beard nets in the production area.	5				D
57	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
58	Only food grade approved and labeled lubricants are used in the packing equipment/machinery.	10				D
59	Chemicals not approved for use on product are stored and segregated away from packing area.	10				
60	The plant grounds are reasonably free of litter and debris.	5				
61	The plant grounds are reasonably free of standing water.	5				
62	Outside garbage receptacles/dumpsters are closed or are located away from packing facility entrances and the area around such sites is reasonably clean.	5				
63	Packing facilities are enclosed.	5				
64	The packing facility interior is clean and maintained in an orderly manner.	5				
65	Floor drains appear to be free of obstructions.	5				
66	Pipes, ducts, fans and ceilings which are over food handling operations are clean.	5				
67	Glass materials above product flow zones are contained in case of breakage.	10				
68	Possible wastewater spillage is prevented from contaminating any food handling area by barriers, drains or a sufficient distance.	5				
69	Measures are taken to exclude animals or pests from packing and storage facilities.	10				
70	There is an established pest/rodent control program for the facility.	10				D
71	Service reports for the pest/rodent control program are available for review.	5				D
72	Interior walls, floors and ceilings are well maintained and are free of major cracks and crevices.	5				

COMMENTS:

Total points earned Part 3 0

Total possible =	210
Less Justified "N/A"	0
Adjusted Total	210
X .7 (70%)	
Passing Score	147

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.

Part 4 – STORAGE AND TRANSPORTATION

Containers & Pallets

	Questions	Points	YES	NO	N/A	Doc
73	Packing containers are properly stored and sufficiently sealed to be protected from contamination (birds, rodents and other pests, etc.)	10				
74	Pallets and other containers are clean, in good condition and do not contribute foreign material into the product.	5				

Pest Control

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

Ice

	Questions	Points	YES	NO	N/A	Doc
79	The water used for cooling/ice is potable.	10				D
80	Manufacturing, storage and transportation facilities used in making and delivering ice used for cooling the product have been sanitized.	10				D

Storage/Temperature Control

	Questions	Points	YES	NO	N/A	Doc
81	The storage facility is clean and maintained in an orderly manner.	5				
82	Refrigeration system is working properly	5				
83	Storage temperature logs are maintained.	5				D
84	Thermometer(s) are checked for accuracy and records are available.	5				D

Transportation/Loading

Questions		Points	YES	NO	N/A	Doc
85	Prior to the loading process, conveyances (Trailers) are required to be clean, in good physical condition, free from disagreeable odors, from obvious dirt and/or debris and capable of maintaining specified temperature.	10	10	10	10	D
86	Produce items are not loaded with potentially contaminating products.	5	5	5	5	D
87	Proper transportation temperatures are required and printed on manifests in order to ensure the quality and safety of product.	10	10	10	10	D
88	Trucks and transportation conveyances are loaded so minimal damage to product is caused.	5	5	5	5	D

COMMENTS:

Total Points Part 4 30

Total possible =	115
Less Justified "N/A"	30
Adjusted Total	85
X .7 (70%)	
Passing Score	60

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Part 5 - Traceback

Traceback

Questions		Points	YES	NO	N/A	Doc
89	A documented traceback program has been established.	10				D
90	Finished product is traceable to the packinghouse.	10				
91	Finished product is traceable to a group of growers.	10				
92	Finished product is traceable to the specific grower.	10				
93	Finished product is traceable to a group of orchards or fields.	10				
94	Finished product is traceable to the specific orchard or field.	10				
95	Finished product is traceable to a group of harvest dates.	10				
96	Finished product is traceable to a specific harvest date.	10				
97	Finished product is identified with a packing date.	10				
98	The operation has practiced a "mock recall" which was proven to be effective.	10				D

COMMENTS:

Total Points Part 5 0

Total possible =	100
Less Justified "N/A"	0
Adjusted Total	100
X .7 (70%)	
Passing Score	70

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.

Part 6 – Wholesale Distribution Center/Terminal Warehouses

Receiving

Questions		Points	Yes	NO	N/A	Doc
99	All companies that supply fresh produce are required to have passed a third party audit verification of GAP and/or GHP.	5				D
100	Conveyances are required to be clean, in good physical condition and free from obvious objectionable odors, dirt and/or debris at time of unloading.	10				D
101	Company does not allow produce items to be loaded with potentially contaminating products.	5				D
102	Refrigerated commodities are monitored for temperatures at time of receiving.	5				D

Storage Facility/Temperature Control

Questions		Points	YES	NO	N/A	Doc
103	The facility is clean and maintained in an orderly manner.	5				
104	Employee facilities (locker rooms, lunch and break areas, etc.) are clean and located away from storage and repacking/reconditioning area.	10				
105	Refrigerated rooms are monitored for temperature and logs are maintained.	5				D
106	Thermometer(s) are checked for accuracy and records are available.	5				D
107	Refrigeration system condensation does not come in contact with produce.	5				
108	Refrigeration equipment (condensers, fans, etc.) is cleaned on a scheduled basis.	10				D
109	Iced product does not drip on pallets of produce stored below.	10				
110	The water used for cooling/ice is potable.	10				D
111	Manufacturing, storage and transportation facilities used in making and delivering ice used for cooling the product have been sanitized.	10				D
112	A policy has been established to recondition or dispose of product which has come in contact with the floor or other potentially contaminating surfaces.	15				D
113	Product flow zones are protected from sources of contamination.	10				
114	Glass materials above product flow zones are contained in case of breakage.	10				

Questions		Points	YES	NO	N/A	Doc
115	The grounds are reasonably free of litter and debris.	5				
116	The grounds are reasonably free of standing water.	5				
117	Outside garbage receptacles/dumpsters are closed or are located away from facility entrances and the area around such sites is reasonably clean.	5				
118	The facility is enclosed.	5				
119	Floor drains appear to be free of obstructions.	5				
120	Pipes, ducts, fans and ceilings in the facility are reasonably clean.	5				
121	Possible wastewater spillage is prevented from contaminating any food storage or handling area by barriers, drains or a sufficient distance.	10				

Pest Control

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

Repacking/Reconditioning

(If the facility does not repack and/or recondition product, #126 through #140 shall be NOT APPLICABLE.)

Questions		Points	YES	NO	N/A	Doc
126	Repacking/Reconditioning processes are confined to an established location in the facility.	5				
127	Food contact surfaces are in good condition; cleaned and/or sanitized prior to use and cleaning logs are maintained.	15				D
128	Produce is washed before being repacked.	5				
129	Source water used in the repacking operation is potable.	10				D
130	Processing water is sufficiently treated to reduce microbial contamination of the product.	10				D
131	Water treatment (strength levels and pH) and exposure time is monitored and is appropriate for product.	10				D

Questions		Points	YES	NO	N/A	Doc
132	Any ice used for cooling produce is manufactured, transported and stored under sanitary conditions.	10				D
133	Water used for chilling and/or to make ice is potable.	10				D
134	Only food grade approved and labeled lubricants are used in the repacking equipment/machinery.	10				D
135	Chemicals not approved for use on product are stored and segregated away from repacking area.	10				
136	Only new containers are used for product repacking.	10				
137	Pallets and other containers are clean and in good condition.	5				
138	Employees and visitors are required to follow a written policy regarding the use of hair nets/ beard nets.	5				D
139	Employees and visitors follow a written policy regarding the wearing of jewelry.	5				D
140	Packing containers are properly stored and protected from contamination (birds, rodents, and other pests, etc.)	10				

Shipping/Transportation

Questions		Points	YES	NO	N/A	Doc
141	Prior to loading, conveyances are required to be clean.	10				D
142	Produce items are not loaded with potentially contaminating products.	10				D
143	Company has a written policy for the transporters to maintain appropriate temperatures during transit.	5				D

COMMENTS:

Total Points Part 6 0

Total possible =	355
Less Justified "N/A"	0
Adjusted Total	355
X .7 (70%)	
Passing Score	249

Part 6-A Traceback

Questions		Points	YES	NO	N/A	Doc
144	A documented traceback program has been established.	10				D
145	Received product is traceable to the supplier.	10				
146	Shipped product is traceable to the Wholesale Distribution Center/Terminal Warehouse facility from where it was shipped.	10				
147	Product shipped is traceable to the repacker's shipping date.	10				
148	Repacked product can be traced to original product identification.	10				
149	The facility has performed a successful practice recall.	10				D

COMMENTS:

Total Points Part 6A 0

Total possible =	60
Less Justified "N/A"	0
Adjusted Total	60
X .7 (70%)	
Passing Score	42

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Part 7 – Preventive Food Security Procedures (SYSCO-Only).

Based on the U.S. Food and Drug Administration's Food Producers, Processors, and Transporters: Food Security Preventive Measures Guidance for Industry.

Secure Employee/Visitor Procedures

	Questions	Points	YES	NO	N/A	Doc
1	The company has an emergency evacuation plan and the plan has been communicated to all employees.	5				D
2	Food security training has been provided to all employees.	5				D
3	Employees are aware of whom in management they should contact about potential security problems/issues.	5				
4	Visitors are required to check in (showing proof of identity) and out, when entering/leaving the facility.	5				D
5	Visitors are prohibited from the packing/storage areas unless accompanied by an employee.	5				D
6	The purpose of visitation to site is verified before admittance to the facility.	5				D
7	Incoming and outgoing employee and visitor vehicles to and from the site are inspected.	5				D
8	Parked vehicles belonging to employees and visitors display a decal or placard issued by the facility.	5				
9	Staff is prohibited from bringing personal items into the handling or storage areas.	5				D
10	Staff access in facility is limited to the area of their job function and unrestricted areas.	5				D
11	Management is aware of which employee should be on the premises, and the area they are assigned to.	5				D
12	A system of positive identification of employees has been established and is enforced.	5				

Secure Facility Procedures

	Questions	Points	YES	NO	N/A	Doc
13	Uniforms, name tags, or identification badges are collected from employees prior to the termination of employment.	5				D
14	The mailroom is located away from the packing/storage facilities.	5				

15	Computer access is restricted to specific personnel.	5				D
16	A system of traceability of computer transactions has been established.	5				
17	A minimum level of background checks has been established for all employees.	5				D
18	Routine security checks of the premises are performed for signs of tampering, criminal or terrorist action.	5				
19	Perimeter of facility is secured by fencing or other deterrent.	5				
20	Checklists are used to verify the security of doors, windows, and other points of entry.	5				D
21	All keys to the establishment are accounted for.	5				
22	The facility has an emergency lighting system.	5				
23	The facility is enclosed.	5				
24	Storage or vehicles/containers/trailers/railcars that are not being used are kept locked.	5				
25	Delivery schedules have been established.	5				
26	The off-loading of incoming materials is supervised.	5				
27	The organization has an established policy for rejecting deliveries.	5				D
28	Unauthorized deliveries are not accepted.	5				D
29	The company does not accept returned (empty) containers for packing of product.	5				D
30	The facility has a program in place to inspect product returned to the facility for tampering.	5				D
31	The company has identified the individual(s), with at least one backup, who are responsible for recalling the product.	5				D
32	The company has performed a successful practice recall of product to the facility.	5				D
33	Product imported from outside the United States is segregated from domestic product.	5				D
34	Allergens handled by the facility are segregated from products to avoid cross contamination.	5				D
35	Floor plans, product flow plans, and/or segregation charts are in a secure location.	5				
36	The organization has registered with the FDA and has been issued a registration number (do not record the number on matrix).	5				D

COMMENTS:

Total Points Part 7 0

Total possible =	180
Less Justified "N/A"	0
Adjusted Total	180
X .8 (80%)	
Score	144

***Note: Sysco may determine that the audit results are acceptable (without meeting the 80% criteria, depending on the documentation provided as to why a question was answered yes or no. Sysco may also reject an audit (which meets the 80% criteria) on a question by question basis.**