

**USDA Good Agricultural Practices & Good Handling Practices
Audit Verification Checklist
Commodity Specific Checklist for Mushroom Production**



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."* Additional commodity specific guidance was provided by the American Mushroom Institute and Penn State University contained in the *"Industry-wide Food Safety Standards for Fresh Mushroom Growing, Harvesting, and Shipping."*

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) _____

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USDA, AMS, FVP, Fresh Products Branch

May 15, 2009

MGAP Version 1 Dated 12/5/08

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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: _____

Are all crop production areas located on this audit site?
Yes No

Total square feet of mushroom production (Owned, leased/rented, contracted, consigned):

Does the auditee pack mushrooms at this location?
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

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.
- **Specific conditions:**
 - Answering “NO” to any of the following questions: (Note: other questions may reveal a finding that could lead to an automatic unsatisfactory audit)

| | |
|--------------|--|
| 1.1a | Does your farm have a documented food safety program in place? |
| 1.1b | Has your farm designated an individual responsible for overall development and implementation of the food safety plan? |
| 4.1a | Are there adequate toilet facilities for the number of employees? |
| 6.2b | Are appropriate measures taken so that seepage and runoff from Phase I substrate preparation areas is collected and/or diverted so that they cannot reach growing areas? |
| 9.1a | Are all cleaners, sanitizers and disinfectants approved for use on mushroom farms, and are they applied according to label instructions? |
| 11.1d | Are all pesticides EPA-approved? |
| 11.1e | Are all pest control devices located so as not to contaminate product, packing materials or other materials? |
| 11.1g | If used, are poison bait stations used exclusively on the outside and never inside of buildings? |
| 14.1a | Has a training program been developed that teaches employees their responsibility, based on their job description, in protecting food from microbial, chemical, and physical hazards and the importance of good personal hygiene practices? |

Auditor Completion Instructions

- **The *Industry-Wide Food Safety Standards for Fresh Mushroom Growing, Harvesting, and Shipping* outline the specific agricultural best practice standards that this audit checklist is based on. Please refer to that document for specific guidelines that the mushroom industry has provided their membership for addressing specific areas.**
- **For clarification and guidance in answering these questions, please contact your Federal Program Manager or the Fresh Products Branch Audit Program Coordinator.**
- **Place the point value for each question in the proper column (Yes, No, or N/A).**
- **Gray boxes in the “N/A” column indicates 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.**
- **A copy of the completed audit checklist and audit scoresheet shall be given to the auditee & client upon completion of the audit.**
- **The completed audit shall be forwarded to the Federal Program Manager, Federal Supervisor or Audit Program Coordinator as applicable within 48 business hours of completion of the audit.**

1. FOOD SAFETY PROGRAMS/MGAPS DEVELOPMENT

Note: Question numbers are tied to the standard number of the “industry-Wide Food Safety Standards for Fresh Mushroom Growing, Harvesting, and Shipping” the question addresses.

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|--|--------|-----|----|-----|-----|
| 1.1a | Does the farm have a documented food safety program in place? (A “no” answer results in an automatic audit unsatisfactory) | 15 | | | | D |
| 1.1b | Has your farm designated an individual for the overall development and implementation of the food safety plan? (A “no” answer results in an automatic audit failure) | 15 | | | | D |
| Comments: | | | | | | |

2. SAFETY OF WATER

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|--|--------|-----|----|-----|-----|
| 2.1a | Is water tested as outlined in M-GAP standard to assure that it is adequate for its intended purpose? | 10 | | | | D |
| 2.1b | Are wells inspected as outlined in M-GAP standard and maintained to prevent them from contamination? | 15 | | | | D |
| 2.1c | Is potable drinking water available for employees? | 10 | | | | |
| 2.2a | Are back-flow prevention devices installed on lines where chemical, fertilizer or pesticide applications are made? | 10 | | | | |
| Comments: | | | | | | |

3. WORKER HYGIENE & PRACTICES TO PREVENT CONTAMINATION OF MUSHROOMS

| | Questions | Points | YES | NO | N/A | Doc |
|------|---|--------|-----|----|-----|-----|
| 3.1a | Are employees and visitors required and follow GAPs and proper hygienic practices? | 15 | | | | |
| 3.1b | Are employees trained to understand the importance of good personal hygiene? | 15 | | | | D |
| 3.2a | Are employees instructed in proper hand washing methods? | 10 | | | | |
| 3.2b | If gloves are used, are workers instructed to wash their hands before putting gloves on and to change the gloves in accordance with company standards? | 10 | | | | |
| 3.3a | Do harvesters and other employees in mushroom harvesting, packing, and breezeway areas wear hairnets, caps, bandanas, or other means to restrain hair? | 10 | | | | |
| 3.4a | Are harvesters and other employees in mushroom production areas who show signs of diarrheal illness, open wounds, or skin infections excluded from production areas? | 15 | | | | |
| 3.5a | Are jewelry and other personal items that can fall into the product prohibited from production areas? | 5 | | | | |
| 3.6a | Is eating food, chewing gum, drinking beverages, or using tobacco prohibited in production and handling areas? | 10 | | | | |
| 3.7a | Is movement of employees and visitors between mushroom growing areas and substrate production or staging areas controlled to prevent contamination? | 10 | | | | |
| 3.8a | Are employees trained to dispose of any mushrooms that have been exposed to blood or other body fluids? | 10 | | | | D |
| 3.8b | Is there a first aid kit available? | 5 | | | | |
| 3.8c | Is there a written company policy addressing procedures which specify handling/disposition of product or food contact surfaces or equipment that come into contact with blood or other bodily fluids? | 15 | | | | D |

Comments:

4. HAND WASHING & TOILET FACILITIES

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|---|--------|-----|----|-----|-----|
| 4.1a | Are there adequate toilet facilities for the number of employees? (A "NO" answer results in an automatic audit failure) | 15 | | | | |
| 4.1b | Are toilet facilities well-ventilated, have self-closing doors, have clean, running warm water and are continuously stocked with toilet paper, hand soap, disposable paper towels, and trash receptacles? | 15 | | | | |
| 4.1c | Does each toilet facility have a sign in an appropriate language that reminds employees to wash their hands before returning to work? | 10 | | | | |
| 4.2a | Are toilets cleaned and sanitized on a scheduled basis and monitored to make sure they function properly? | 15 | | | | D |

Comments:

5. PRODUCT SECURITY

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|--|--------|-----|----|-----|-----|
| 5.1a | Are all employees issued identification that shall be returned upon resignation or dismissal from the company? | 10 | | | | |
| 5.1b | Are the grounds reasonably secure from unauthorized entry through fencing, lighting, or regular monitoring? | 10 | | | | |
| 5.1c | Are only authorized individuals permitted on the premises? | 10 | | | | |
| Comments: | | | | | | |

6. RECEIVING & STORAGE OF RAW MATERIALS, SUBSTRATE & SUPPLIES

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|---|--------|-----|----|-----|-----|
| 6.1a | Do suppliers of raw materials provide documentation of the material purchased and date of purchase? | 15 | | | | D |
| 6.1b | Do suppliers of baskets, lugs, trays, tills, and boxes provide documentation that they are made of materials approved by FDA for food contact surfaces? | 10 | | | | D |
| 6.2a | Are Phase I preparation and storage areas adequately separated from Phase II substrate, casing materials and finished casing so that cross contamination cannot occur? | 15 | | | | |
| 6.2b | Are appropriate measures taken that seepage and runoff from Phase I substrate preparation areas is collected and/or diverted so that they cannot reach growing areas? (A "NO" answer results in an automatic audit failure) ("N/A" only if no Phase 1 substrate preparation areas are onsite) | 15 | | | | |
| 6.2c | Are receiving docks for raw materials and/or substrate located away from areas where harvest containers, packaging materials, spawn, and other sanitary supplies are received or where mushrooms are shipped? | 10 | | | | |
| 6.3a | Are records available to ensure adequate heat treatment during Phase II pasteurization? | 15 | | | | D |

Comments:

7. FARM SANITATION

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|--|--------|-----|----|-----|-----|
| 7.1a | Are grounds maintained so that they do not become a source of contamination? | 5 | | | | |
| 7.2a | Are buildings maintained to prevent entry points for pests and water and are outside entrances kept closed when not in use or have screens, plastic strip curtains, or air curtains installed? | 5 | | | | |
| 7.3a | Are building interiors clean and uncluttered with adequate space for movement of employees and equipment? | 5 | | | | |
| 7.3b | Are waste materials stored in labeled or otherwise identified containers and removed on a scheduled basis? | 10 | | | | |
| 7.4a | Is there a policy that ensures shatterproof materials or protective shielding are used to prevent glass contamination from windows, light fixtures, pest lights, and other items located in mushroom handling areas? | 5 | | | | D |
| 7.4b | Are only non-mercury thermometers used? | 5 | | | | |

| | | | | | | |
|------|---|---|--|--|--|--|
| 7.4c | Are overhead light fixtures reasonably free of dust, insects and debris? | 5 | | | | |
| 7.4d | Do floors drain adequately? | 5 | | | | |
| 7.4e | Do floor drains have removable grates or plugs and flow freely? | 5 | | | | |
| 7.4f | Are pest lights placed so they do not attract pests into the building? | 5 | | | | |
| 7.5a | Are harvest baskets, lugs, and trays kept in good repair and maintained so they are without splinters or shards? | 5 | | | | |
| 7.5b | Are harvest baskets, lugs, and trays cleaned and sanitized before they are used, and stored to prevent contamination? | 5 | | | | |
| 7.5c | Are baskets, lugs, trays, and boxes used only to contain mushrooms and not for any other purpose unless clearly marked. | 5 | | | | |

Comments:

8. FIELD PACKING & PROTECTION OF HARVESTED MUSHROOMS

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|--|--------|-----|----|-----|-----|
| 8.1a | Are baskets, lugs, trays, and boxes used for harvesting placed so they do not directly contact the floor when stored or moved to the harvest area? | 5 | | | | |
| 8.1b | Are filled harvest containers moved from growing rooms to staging areas so that they do not contact the floor? | 5 | | | | |
| 8.2a | Are workers trained that product that comes in contact with the floor or ground is discarded? | 10 | | | | D |
| 8.3a | Are containers of mushrooms in staging areas protected from materials that may fall into the containers? | 10 | | | | |
| 8.4a | Are trucks used for mushroom transport clean, sanitary, free of odors, obvious dirt or other possible contaminants before loading? | 10 | | | | |
| 8.4b | Are measures in place to insure product is secure during transit from farm to packing location? | 10 | | | | |

Comments:

9. CLEANING & SANITIZING

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|---|--------|-----|----|-----|-----|
| 9.1a | Are all cleaners, sanitizers and disinfectants approved for use on food contact surfaces, and are they applied according to label instructions? (A "NO" answer results in an automatic audit failure) | 15 | | | | |
| 9.1b | Is harvesting equipment cleaned and sanitized on a scheduled basis? | 10 | | | | |
| 9.2a | Are effective sanitation procedures established and are workers who use cleaners and sanitizers trained in safe and effective methods? | 10 | | | | D |

Comments:

10. PROPER LABELING, USE AND STORAGE OF POTENTIALLY HAZARDOUS CHEMICALS

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|--|--------|-----|----|-----|-----|
| 10.1a | Are original containers of chemicals clearly labeled with the name of the compound, the manufacturer's name and address, and instructions for use? | 10 | | | | D |
| 10.1b | Are working containers used to store or prepare chemicals or chemical solutions clearly marked with the common name of the chemical and instructions for proper use? | 10 | | | | |
| 10.1c | Are only approved "non-food" containers used to prepare and hold chemicals or chemical solutions? | 10 | | | | |
| 10.1d | Are Material Safety Data Sheets (MSDS) and labels kept for all chemicals and readily available? | 5 | | | | D |
| 10.2a | Are workers who use chemical compounds trained in | 10 | | | | D |

| | | | | | | |
|-----------|--|----|--|--|--|--|
| | their proper use and how to follow labeled directions? | | | | | |
| 10.3a | Are chemical compounds stored in a clean, well-organized, and dry area away from production areas? | 10 | | | | |
| 10.3b | Are chemical storage areas secured so that they are accessible only to authorized individuals? | 10 | | | | |
| Comments: | | | | | | |

11. PEST CONTROL

| | Questions | Points | YES | NO | N/A | Doc |
|-------|---|--------|-----|----|-----|-----|
| 11.1a | Is there a documented pest control program in place that controls insects, rodents, birds, and other pests? | 10 | | | | D |
| 11.1b | Is a current dated and signed map of all pest control devices kept on file? | 10 | | | | D |
| 11.1c | Are pesticides applied only by a licensed pest control operator or someone under their direct supervision? | 10 | | | | |
| 11.1d | Are all pesticides EPA-approved? (A "NO" answer results in an automatic audit failure) | 15 | | | | |
| 11.1e | Are all pest control devices located so as not to contaminate product, packing materials or other materials? (A "NO" answer results in an automatic audit failure) | 15 | | | | |
| 11.1f | There is no evidence of internal or external pest activity. | 10 | | | | |
| 11.1g | If used, are poison bait stations used exclusively on the outside and never inside of buildings? (A "NO" answer results in an automatic audit failure) | 15 | | | | |
| 11.1h | If used, are live traps, glue boards, or mechanical traps placed at a maximum of 30 feet apart along the inside wall of buildings and at both sides of an entrance, excluding breezeways and growing rooms? | 10 | | | | |
| 11.1i | Is there at least one pest control device inside buildings within 10 feet of each side of an outside entrance, | 10 | | | | |

| | | | | | | |
|-----------|---|----|--|--|--|---|
| | excluding breezeways and growing rooms? | | | | | |
| 11.1j | Is there a pest control log with the required elements? | 10 | | | | D |
| Comments: | | | | | | |

12. TRACE-BACK & PRODUCT CONTROL

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|--|--------|-----|----|-----|-----|
| 12.1a | Is each lot of mushrooms leaving the farm tagged with the name of the farm, product, and a lot number traceable to location and date of harvest? | 10 | | | | D |
| 12.2a | Is there a program in place that assigns responsibility to individuals in the company to respond to a need for product trace-back or recalls? Are contact numbers available for all customers, excluding retail sales? | 10 | | | | D |
| 12.3a | Is a mock recall performed annually? | 10 | | | | D |
| Comments: | | | | | | |

13. EQUIPMENT MAINTENANCE & CALIBRATION

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|--|--------|-----|----|-----|-----|
| 13.1a | Are temperature probes, supporting hardware and software used to monitor Phase II conditions maintained and calibrated on a regular basis? | 10 | | | | D |
| 13.1b | Is an equipment maintenance program in place that assures all equipment is in proper working order and does not contribute to product contamination? | 10 | | | | D |
| 13.1c | Are filters in air conditioning, ventilation, and air filtration units cleaned and replaced on an as needed basis? | 10 | | | | |
| 13.1d | Are food grade lubricants used on food surfaces and machinery with direct or indirect food contact? | 10 | | | | |
| 13.1e | Are equipment, tools, loose nuts, bolts, and old parts removed after servicing an area? | 10 | | | | |
| Comments: | | | | | | |

14. EMPLOYEE TRAINING

| Questions | | Points | YES | NO | N/A | Doc |
|-----------|---|--------|-----|----|-----|-----|
| 14.1a | Has a training program been developed that teaches employees their responsibility, based on their job description, in protecting food from microbial, chemical, and physical hazards and the importance of good personal hygiene practices? (A "NO" answer results in an automatic audit failure) | 15 | | | | D |
| Comments: | | | | | | |

Calculation of Score

Total possible = 800

Less Justified "N/A" _____

Adjusted Total _____ (800 minus justified N/A)

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

Facility Score _____(Total points earned on audit)

| | |
|--|------|
| Is Facility Score \geq Passing Score? If yes \rightarrow | PASS |
| Is Facility Score $<$ Passing Score ? If yes \rightarrow | FAIL |

**For further information regarding the USDA GAP & GHP Program
Please contact:**

**USDA Fruit and Vegetable Programs, Fresh Products Branch,
Office of the Chief, Audit Program Coordinator @ 202-720-4560**