



MDA Good Agricultural Practices (GAPs) Audit Report

Review Date _____

Farm Name			
Location Address			
City, State, Zip			
Person Responsible for Overseeing GAPs			
What crops are grown on-farm?			
Does the farm have a written GAP/GHPs plan that addresses the requirements of the program?			Yes No
<p>Documentation: Note that audit points 1, 2, 10, 11 (if applicable), 14, 16, 17, 18, 21, 23,25 (if applicable), 30, 32, 47 (if applicable), 49 (if applicable) and 62 (if applicable) require documentation. This is shown as "Doc" in bold on the audit. The type of documentation required is explained under each corresponding statement. Example logs can be found on the Cornell National GAPs website (www.gaps.cornell.edu). All records are required to have the name and address of the farm. Records for audit points 2, 10, 14, 16, 21, 25, 32, 47, 48, and 49 must include a supervisor's signature before being filed.</p> <p><u>Workers</u></p>			
1. The person responsible for food safety activities has taken an MDA approved Good Agricultural Practices (MDA issued certificate of attendance) course?			Yes No Doc
2. Training on proper sanitation and hygiene practices is given to all staff including family workers. <i>Showing the Cornell Health and Hygiene video, and having workers sign a log after watching is adequate.</i>			Yes No Doc
3. Employees are following good hygiene/sanitation practices, including washing hands after eating and when using the bathroom, and before or when returning to work.			Yes No
4. Signs are posted in bathrooms to remind workers of hand-washing and sanitation practices.			Yes No
5. All toilet/restroom facilities are cleaned on a scheduled basis. They are supplied with paper towels, toilet paper, hand soap, and microbially safe water.			Yes No
6. Smoking and eating are done in designated areas, separate from where food is grown and handled.			Yes No
7. Sick workers (with diarrheal disease or symptoms of other infectious diseases) are kept from handling fresh produce.			Yes No



8. There are procedures in place for dealing with produce or food contact surfaces that have come into contact with bodily fluids. All workers follow these procedures.	Yes	No	
9. Workers are required to seek treatment for cuts, abrasions, and other injuries.	Yes	No	
10. Workers with duties related to food safety are trained to perform those duties.	Yes	No	Doc
11. Pesticide applicators applying restricted materials must have a pesticide applicator's license or work under the supervision of a licensed applicator.	Yes	No	N/A Doc
Doc: Copy of pesticide applicator's license			
12. If field sanitation units (ex: porta-potties) are used, they are placed in a location accessible to workers, and are not placed in crop production areas, and measures are taken to reduce the possibility of contamination. <i>Example: Porta-potties placed at least 30 feet from fields.</i>	Yes	No	N/A
13. Procedures are in place in the event of a spill or leak of field sanitation units or toilet facilities.	Yes	No	N/A
Worker Section Comments:			
<u>Water – Pre Harvest and Post Harvest Application</u>			
<i>Water test results should be attached. Irrigation water has to be tested for generic E. coli and does not have to be tested for total coliforms, turbidity and nitrates. Mitigation steps such as UV filter, allowing time barrier between the application of water and harvesting crop, shocking the well, using chlorine injectors or using a different irrigation method must be documented. Water used post harvest must be tested for total coliforms, turbidity and nitrates.</i>			
Water testing guidelines			
❖ Water testing frequency:			
➤ Surface water source test: 3 times a season (at first use, peak use, harvest).			
➤ Well water tests: once a season (at first use).			
➤ Municipal: at least once a season, records obtained from county.			
❖ Water test results:			
➤ Contact water (includes irrigation methods where water will touch the crop, such as sprinkler/overhead irrigation, frost protection, etc.)			
▪ Average should be less than 126 cfu/100ml water.			
▪ One sample is allowed to be 235 cfu/100ml water.			
➤ Noncontact water (includes irrigation methods where water does not touch the crop, such as drip/furrow irrigation.)			
▪ Average should be less than 126 cfu/100 ml water.			
▪ One sample is allowed to be 576 cfu/100ml water.			
➤ Post Harvest Water			
▪ Water test must indicate potable or safe for drinking.			
▪ Total Coliform Bacteria – Absent or “0”			
▪ Turbidity <10 NTU			
▪ Nitrates <10 mg/L			
14. Water tests for generic <i>E. coli</i> for pre harvest activities; total coliforms, nitrates and turbidity for post-harvest have been completed for each water source. If water sources do not meet the requirements above, sufficient mitigation steps have been taken.	Yes	No	Doc



Water Sources for Field Use/Post Harvest Use

15. Describe each water source (ex. Well 1, Pond 3, etc.) and indicate use (ex. Overhead irrigation, drip irrigation, frost protection, pesticide application, dump tank, rinsing harvested produce, washing, etc.) If mitigation steps are in place, describe. Water tests for post-harvest use should be documented in this section. Additional questions on water use are in the post-harvest section. Attach copy of water tests or document results on audit report.

Source Name	Use	Water Tested	Water Test Results Available	Results Attached or Documented:	Mitigation Steps Required	Mitigation Steps Implemented	Mitigation Steps Description



<p>16. Potable water is available to all workers. (Must be tested for total coliforms, turbidity and nitrates and meet the standard of undetectable CFU <i>E. coli</i>, <10 NTU turbidity and <10 mg/L nitrates in order to be safe for drinking. Use of commercially bottled water is acceptable without testing)</p>	Yes	No	Doc
<p><i>Indicate water source used for workers and results of water tests. There should be one a minimum of one test done at the beginning of each year prior to use.</i></p>			
<p>17. A water quality risk assessment has been performed to determine the quality of water used for irrigation purposes and frost/heat protection on the crops being applied.</p>	Yes	No	N/A Doc
<p><i>The water quality assessment should address type of irrigation used, water source, distribution system and risks associated with each practice.</i></p>			
<p>18. Microbially safe water is used for the application of pesticides and other chemical materials on crops or application dates are sufficiently prior to harvest to minimize contamination risk.</p>	Yes	No	N/A Doc
<p>19. Steps are taken to prevent the contamination of irrigation water (from direct or indirect sources).</p>	Yes	No	
<p><i>Steps may include preventing runoff with fecal matter to water sources in low-lying areas, having the septic system and wells located a reasonable distance from each other, ensuring that the well casing and cap are in good repair and secure, backflow protection.</i></p>			
<p>20. The Food Safety plan addresses risks, disposal of adulterated produce, and evaluation of safety of produce and replanting from contamination by flood waters.</p>	Yes	No	
<p><i>Flooding is the flowing or overflowing of a field with water outside a grower's control. Pooled water after a rainfall or irrigation is not considered flood water. According to the FDA, flood waters cause significant risk of contamination from mycotoxins, heavy metals, pesticides, pcbs, and/or microbiological human pathogens. For these reasons, FDA considers the edible portion of produce that has been in contact with flood waters "adulterated" and it must be thrown out. If the flood waters did not contact the edible portions of the crops, the following factors must be considered to determine safety of the produce: upstream contributors of human pathogens and/or chemical contaminants, type of crop and stage of growth, volume of flood waters, conditions created by flood waters, testing of the produce for contaminants. Prior to replanting, the following should be evaluated: field history and crop selection; time interval between flooding event, crop planting and crop harvest; source of flood waters; drying and reworking of soil; and soil samples to determine presence of contaminants.</i></p>			

Water Sources and Use Section Comments:

Animals

<p>21. Workers are trained in policies and procedures to follow to minimize contamination of produce from animals. (Animal intrusion, flagging areas that shouldn't be harvested, not harvesting produce with fecal matter on them, not harvesting drops, etc.)</p>	Yes	No	Doc
<p>22. Crop production areas are not located near manure lagoons, manure storage, compost piles with components of animal origin or animal production areas. If so, barriers exist to prevent contamination from those areas.</p>	Yes	No	N/A
<p><i>Barriers may include a grass buffer strip, keeping crop fields/packinghouses uphill from animals, keeping animal production areas a distance from crop fields, and not planting high-risk crops near these areas. Describe barriers.</i></p>			



23. Crop production areas and agricultural water sources are monitored for signs and presence of wild and domestic animals. Reasonable measures are taken to prevent animals from entering the fields and water sources.	Yes	No	Doc
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Keep a log of animal (both domestic and wild) activity seen in fields. Negative reporting is required to verify that monitoring is taking place. Reasonable measures of animal prevention include traps, kill permits, propane canons, etc.

24. If animal feces are found in fields, steps are taken to reduce contamination.	Yes	No	
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This may include walking the fields before harvest and flagging fecal contamination. During harvest, workers do not harvest produce with visible fecal contamination and crops are not picked within a specified radius of fecal matter.

Animal Section Comments:

Fertilizer and Soil Amendments

25. Treated biological soil amendments or compost containing animal byproducts or table waste are used.	Yes	No	Doc
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If composting on farm, a log needs to be kept of date, temperature, and how often compost is turned. If there are no records of compost meeting these requirements it is considered raw manure or an untreated biological soil amendment of animal origin (contains animal byproducts other than manure). Example of scientifically valid composting includes: Carbon to Nitrogen ratio of 25:1 – 40:1; Compost reaching temperatures between 131°F -- 170°F for at least 15 days; and turned 5 times during the process.

Doc (certificate of conformance with scientifically valid composting process or heat treatment; records of composting temperatures, turning and initial carbon to nitrogen ratio are available; purchase from MDE licensed compost facility; or other documentation that verifies composting process)

26. Compost containing animal byproducts or table waste is properly stored so that contamination to fields is minimized.	Yes	No	N/A
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27. Synthetic fertilizers/Minerals/Lime are used. <i>(No food safety restrictions)</i>	Yes	No	
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28. Green manure or compost that does not contain animal by products or table waste is used. <i>(No food safety restrictions)</i>	Yes	No	
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29. Manure that has received an approved heat treatment is used. <i>(Agri pellets, etc. that have been heated sufficiently during production to reduce pathogens. No food safety restrictions)</i>	Yes	No	
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30. Raw manure or other untreated soil amendments containing animal byproducts are used. If Yes, answer <i>a</i> through <i>e</i> below:	Yes	No	
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a. Raw manure or other untreated soil amendments containing animal byproducts are incorporated into the soil at least 2 weeks before planting.	Yes	No	
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b. Raw manure or other untreated soil amendments containing animal byproducts are applied at least 120 days before harvest for crops with soil contact (ex. Cucumbers, leafy greens) and 90 days before harvest for crops with no soil contact (ex. Apples, sweet corn)	Yes	No	
c. Documentation for manure and/or untreated soil amendments containing animal byproducts application dates is kept. <i>Attach or complete the following table:</i>	Yes	No	Doc

Application Date:	First Harvest Date

d. List the crops planted in fields where raw manure or untreated biological soil amendments containing animal byproducts were used:			
e. Manure and other animal byproducts are stored properly prior to use, with efforts made to reduce contamination into crop production areas.	Yes	No	
Fertilizer Section Comments:			

<u>Field Harvesting and Transportation</u>			
31. If the farm history has been something other than agricultural for the past 3 years, it is explained in the plan. Previous potential land-use risks have been assessed and mitigated.	Yes	No	N/A
32. All harvesting containers and bulk hauling vehicles that have direct contact with crops are cleaned/sanitized and dried on a scheduled basis or are one time use.	Yes	No	Doc
33. Damaged or dirty (fecal matter, insects, mud) containers are properly repaired/cleaned or disposed of.	Yes	No	
34. All hand harvesting equipment and implements (such as knives, pruners, etc) are kept as clean as practical and are disinfected on a scheduled basis.	Yes	No	N/A
35. Harvesting equipment and/or machinery that comes into contact with the product is in good repair.	Yes	No	N/A



36. Light bulbs and glass on harvesting equipment are protected, so that produce is not contaminated if one breaks. If anything breaks, a procedure is set for cleanup and disposal.	Yes	No	N/A
37. If crop contamination by chemicals, petroleum, or pesticides occurs, there is a cleanup procedure.	Yes	No	
38. If crops are mechanically harvested, the crop is inspected at harvest for glass, metal, rocks, and other foreign items.	Yes	No	N/A
39. Harvesting containers and baskets are not used for carrying/storing non-produce items.	Yes	No	
40. Transportation equipment for moving crops is clean and in good repair.	Yes	No	
41. Containers used in field pack operations are stored under cover and are protected from contamination.	Yes	No	N/A

Field Harvest/Transportation Section Comments:

Post Harvest

42. List Crops Field Packed Only:

43. List Crops Hand Packed from Harvest Containers to consumer and/or bulk containers:

44. List Crops mechanical dry grader/packer/packing line used:

45. List Crops dump tank, Flume, Hydro cooling, etc. used:

46. List Crops washed:

47. Any water and ice used Post Harvest or for storage is potable/safe for drinking. <i>Records may already be included. If the ice was purchased, include a receipt. Water source/tests should be verified in The Water Sources/Use Section.</i>	Yes	No	N/A	Doc
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<p>48. If dump tanks or flumes are used, or water is reused, the water is treated to reduce microbial cross contamination. <i>This may include treating with food contact approved bleach at a rate of 50-200ppm (Organic production requires the discharge water to contain no more than 4ppm chlorine). Any sanitizers used must be labeled for contact with fruits and vegetables and the labeled instructions must be followed. The concentration of the sanitizer must be monitored and recorded as well as any other variables required by the labeled instructions. For example, chlorine-based sanitizers require monitoring the pH and temperature of the water to ensure maximum effectiveness of the sanitizer. The addition of sanitizers post-harvest creates wastewater, and the disposal of the wastewater may be regulated by MDE.</i></p>	Yes	No	N/A	Doc
<p>a. If No, alternative mitigation steps are in place.</p>	Yes	No		
<p>b. Documentation of water treatment and/or mitigation steps is kept.</p>	Yes	No	N/A	
<p>49. Any surfaces that contact water or the crop during packing, storage, and transport (packing lines, dump tanks, flumes, coolers, trucks, etc.), are cleaned and sanitized on a scheduled basis.</p>	Yes	No		Doc
<p>50. Packing lines, trucks, etc. are dried after cleaning and sanitizing prior to contact with produce.</p>	Yes	No		
<p>51. Product flow zones are protected from contamination. Any glass materials over product are contained, and pipes, fans, and the ceiling above product are clean.</p>	Yes	No		
<p>52. Only food-grade materials and chemicals are used on the packing equipment.</p>	Yes	No	N/A	
<p>53. Chemicals not approved are stored away from the packing area.</p>	Yes	No	N/A	
<p>54. The packing house and storage area is reasonably clean, free of litter and standing water.</p>	Yes	No		
<p>55. Worker's break facilities are located away from the product and packing area.</p>	Yes	No		
<p>56. No eating, smoking, etc. are done at the packing line.</p>	Yes	No		
<p>57. Pallets and containers are cleaned on a scheduled basis.</p>	Yes	No		
<p>58. Measures are taken to exclude animals and pests (such as flies, pets, rodents, and birds) from storage and packing facilities. <i>Various measures can be taken to control pests: mouse traps (sticky, snap traps, and reusable claw traps), live traps, sticky fly traps, and bird deterrents. Poison traps may only be used on the outside of the packinghouse, where contamination to produce cannot occur.</i></p>	Yes	No		
<p>59. The pest control program is explained in the food safety plan.</p>	Yes	No		
<p>60. A log is kept for pest sightings and kills. <i>Negative sightings must be recorded to verify monitoring is being conducted.</i></p>	Yes	No		Doc
<p>61. Climate- controlled rooms and areas (such as coolers) are cleaned and maintained on a scheduled basis and produce is stored in a manner to reduce the risk of contamination through condensation drip or other manner</p>	Yes	No	N/A	
<p>62. The temperature of any climate-controlled rooms and areas (such as coolers) are monitored and recorded on a scheduled basis. <i>Refrigeration is not required, however if it is included as part of the food safety plan temperatures must meet the requirements of the food safety plan</i></p>	Yes	No	N/A	Doc



Doc (Log required that includes the date, time and cooler temperature. A record of thermometer calibration is required)

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|---|-----|----|-----|------------|
| 63. Produce is not loaded or stored with potentially contaminating products. | Yes | No | N/A | Doc |
| 64. Trucks and any means of transportation are thoroughly cleaned before hauling produce. | Yes | No | | |

Post-Harvest Section Comments:

Optional Traceback and Recall

Traceback and Recall templates and instructions can be found at <http://umaglaw.org/about/food-safety/>. Traceback and Recall is an optional section. If the applicant selects this option and meets the audit requirements, it will be added to their MDA GAP Certificate.

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|--|-----|----|--|------------|
| 1. Does the farm have a documented traceability program in place that includes one step back and one step forward? | Yes | No | | Doc |
| 2. Has the farm conducted a trace back and trace forward exercise? | Yes | No | | Doc |
| 3. Does the farm have a documented recall program with written procedures? | Yes | No | | Doc |

Traceback and Recall Section Comments:



AUDIT SUMMARY

Immediate Action Required

The following conditions will result in an **automatic failure**. To become certified or continue certification, the grower must correct the immediate action required points and contact MDA to schedule a follow up audit to verify correction.

- ❖ Having no documented and written food safety program that incorporates Good Agricultural Practices.
- ❖ The presence of rodents or excessive presence of other pests during packing, processing, or storage, and/or other gross unsanitary practices.
- ❖ Falsification of records.
- ❖ Having a “No” answer for any of the following audit points:
 - Training on proper health, hygiene, sanitation and worker duties related to food safety is given to all staff and family.
 - Water tests for generic *e. coli* have been completed if water is used preharvest and for total coliforms, turbidity and nitrates if used post-harvest and mitigation steps taken if required.
 - Food Safety Plan addresses disposition of produce when flood waters have been in contact with edible portion of crop...
 - Fruit and vegetable crop production areas are not located near manure lagoons, manure storage structures, composting areas when biological products of animal origin are in the compost, etc. without appropriate barriers/controls in place to minimize contamination of produce.
 - Biological soil amendments of animal origin are properly composted if used on fruit and vegetable crops.
 - If raw/aged manure or improperly composted/treated biological soil amendments of animal origin are used, it is incorporated into the soil and applied with an interval of at least 90 days for crops with no contact with the soil and 120 days for crops with soil contact prior to harvest.

Immediate Actions Required:



Corrective Action Necessary

This section refers to any of the audit points not listed in the above “Immediate Actions Required” section. By themselves, a “No” answer to these audit points **does not result in an audit failure** but corrective action may be required prior to the next audit. The auditor will fill out the suggestions for compliance below. The auditor may also include suggestions in this section that are required by other audits (i.e. a grower is interested in USDA GAP certification; the auditor will list the areas that need to be addressed to comply with the USDA GAP/GHP, Harmonized and/or Harmonized+ audits). Compliance with the additional requirements of other audits is not required to maintain MDA GAP certification.

Suggestions:

Auditor Signature: _____

Date: _____

Grower Signature: _____

Date: _____



Additional Comments