

PENNSSTATE



---

College of Agricultural Sciences  
Cooperative Extension

# Good Agricultural Practices (GAP) Annual Self Audit

Based on USDA Harmonized GAP/GHP Field Operations  
and Harvesting Audit

**PENN STATE EXTENSION**

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
<b>1</b>	<b>General Questions</b>					
<b>1.1</b>	<b>Management Responsibility</b>					
1.1.1.	A food safety policy is in place.	<b>Policy in GAP plan</b>				
1.1.2.	Management has designated individual(s) with roles, responsibilities, and resources for food safety functions.	<b>Policy in GAP plan</b>				
1.1.3.	There is a disciplinary policy for food safety violations.	<b>Policy in GAP plan</b>				
<b>1.2</b>	<b>Food Safety Plan</b>					
1.2.1.	There is a written food safety plan that covers the operation.	<b>Policy in GAP plan</b>				
1.2.2.	The food safety plan is reviewed at least annually.	<b>Record or log</b>				
<b>1.3</b>	<b>Documentation and Recordkeeping</b>					
1.3.1	Documentation is kept that demonstrates the food safety plan is being followed.	<b>Record or log</b>				
1.3.2.	Documentation is readily available for inspection.					

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
1.3.3.	Documentation is retained for a minimum period of two years, or as required by prevailing regulation.					
<b>1.4</b>	<b>Worker Education and Training</b>					
1.4.1.	All personnel receive food safety training.	<b>Record or log</b>				
1.4.2.	Personnel with food safety responsibilities receive training sufficient to their responsibilities.					
1.4.3.	Subcontractors are held to the relevant food safety standards as they would be as employees.	<b>Training log</b>				
<b>1.5</b>	<b>Sampling and Testing</b>					
1.5.1.	Where laboratory analysis is required in the food safety plan, testing is performed by a GLP laboratory using validated methods.	<b>Record or log</b>				
1.5.2.	Where microbiological analysis is required in the food safety plan, samples is in accordance with an established sampling procedure.	<b>Policy in GAP plan</b>				
1.5.3.	Tests, their results and actions taken must be documented.	<b>Record or log</b>				

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

<b>Std.</b>	<b>Requirement</b>	<b>Written document needed?</b>	<b>NA</b>	<b>Yes</b>	<b>Needs work</b>	<b>Action taken to correct problems if needed</b>
1.5.4.	All required testing includes test procedures and actions to be taken based on the results.	<b>Policy in GAP plan</b>				
<b>1.6</b>	<b>Traceability</b>					
1.6.1.	A documented traceability program is established.	<b>Policy and Record</b>				
1.6.2.	A trace back and trace forward exercise is performed at least annually.	<b>Policy and Record</b>				
<b>1.7</b>	<b>Recall Program</b>					
1.7.1.	A documented recall program, including written procedures, is established.	<b>Policy and Record</b>				
<b>1.8</b>	<b>Corrective Actions</b>					
1.8.1.	The operation has documented corrective action procedures.	<b>Policy and Record</b>				
<b>1.9</b>	<b>Self Audits</b>					
1.9.1.	The operation has documented self-audit procedures.	<b>Record or log</b>				

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
<b>2</b>	<b>Field Production</b>					
<b>2.1</b>	<b>Field History and Assessment</b>					
2.1.1.	The food safety plan, initially and at least annually thereafter, evaluates and documents risks associated with land use history and adjacent land use, including equipment and structures.	<b>Record or log</b>				
2.1.2	For indoor growing and field storage facilities, facility is designed, constructed and maintained in a manner that prevents contamination of produce.					
<b>2.2</b>	<b>Worker Health/Hygiene and Toilet/Hand washing Facilities</b>					
2.2.1	Operation has policies addressing worker health and hygiene practices as well as restroom facilities.	<b>Policy in GAP plan</b>				
2.2.2	Employees and visitors follow all personal hygiene practices as designated by the operation.					
2.2.3	Toilet facilities are designed, constructed, and located in a manner that minimizes the potential risk for product contamination and are directly accessible for servicing.					

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
2.2.4	Toilet facilities are of adequate number, easily accessible to employees and in compliance with applicable regulation.					
2.2.5	Toilet and wash stations are maintained in a clean and sanitary condition.					
2.2.6	Personnel wash their hands at any time when their hands may be a source of contamination.					
2.2.7	A sign requiring hand washing is posted					
2.2.8	Clothing, including footwear, is effectively maintained and worn so as to protect product from risk of contamination.					
2.2.9	If gloves are used, the operation has a glove use policy.					
2.2.10	Protective clothing, when required, is maintained, stored, laundered and worn so as to protect product from risk of contamination.					
2.2.11	When appropriate, racks and/or storage containers or designated storage area for protective clothing and tools used by field employees is provided.					

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
2.2.12	The wearing of jewelry, body piercings and other loose objects (e.g. false nails) is in compliance to company policy and applicable regulation.					
2.2.13	The use of hair coverings is in compliance to company policy and applicable regulation.					
2.2.14	Employees' personal belongings are stored in designated areas.					
2.2.15	Smoking, chewing, eating, drinking (other than water), urinating, defecating or spitting is not permitted in any growing areas.					
2.2.16	The operation has a written policy that break areas are located so as to not be a source of product contamination.	<b>Policy in GAP plan</b>				
2.2.17	Drinking water is available to all field employees.	<b>Record or log</b>				
2.2.18	Workers and field personnel who show signs of illness are restricted from direct contact with produce or food-contact surfaces.	<b>Policy in GAP plan</b>				
2.2.19	Personnel with exposed cuts, sores, or lesions are not engaged in handling product.					
2.2.20	Operation has a blood and bodily fluids policy.	<b>Policy in GAP plan</b>				

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
2.2.21	First Aid Kits are accessible to all personnel.					
<b>2.3</b>	<b>Agricultural Chemicals/Plant Protection Products</b>					
2.3.1	Use of agricultural chemicals complies with label directions and prevailing regulation.	<b>Record or log</b>				
2.3.2	If product is intended for export, agricultural chemical use, including post-harvest chemicals, considers requirements in the intended country of destination.					
2.3.3	Agricultural chemicals are applied by trained, licensed or certified application personnel, as required by prevailing regulations.	<b>Record or log</b>				
2.3.4	Water used with agricultural chemicals is not a source of product or field contamination					
2.3.5	Agricultural chemical disposal is not a source of product or field contamination.					



Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
2.4	<b>Agricultural Water</b>					
2.4.1	<b>Water System Description</b>					
2.4.1.1	A water system description is available for review.					
2.4.1.2	The water source is in compliance with prevailing regulations.					
2.4.1.3	Agricultural water systems are not cross-connected with human or animal waste systems.					
2.4.2	<b>Water System Risk Assessment</b>					
2.4.2.1	An initial risk assessment is performed and documented that takes into consideration the historical testing results of the water source, the characteristics of the crop, the stage of the crop, and the method of application.	<b>Record or log</b>				

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
<b>2.4.3</b>	<b>Water Management Plan</b>					
2.4.3.1	There is a water management plan to mitigate risks associated with the water system on an ongoing basis.	<b>Policy in GAP plan</b>				
2.4.3.2	Water testing is part of the water management plan, as directed by the water risk assessment and current industry standards or prevailing regulations for the commodities being grown.					
2.4.3.3	The testing program is implemented consistent with the water management plan.	<b>Record or log</b>				
<b>2.5</b>	<b>Animal Control</b>					
2.5.1	The operation has a written risk assessment on animal activity in and around the production area.	<b>Record or log</b>				
2.5.2	The operation routinely monitors for animal activity in and around the growing area during the growing season.	<b>Record or log</b>				
2.5.3	Based on the risk assessment, there are measures to prevent or minimize the potential for contamination from animals, including domestic animals used in farming operations.	<b>Record or log</b>				

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
2.6	<b>Soil Amendments</b>					
2.7	<b>Vehicles, Equipment, Tools and Utensils</b>					
2.7.1	Equipment, vehicles, tools utensils and other items or materials used in farming operation that may contact produce are identified					
2.7.2	Equipment, vehicles, tools and utensils used in farming operations which come into contact with product are in good repair, and are not a source of contamination of produce.					
2.7.3	Vehicles, equipment, tools and utensils are controlled so as not to be a source of chemical hazards.					
2.7.4	Vehicles, equipment, tools and utensils are controlled so as not to be a source of physical hazards.					
2.7.5	Cleaning and sanitizing procedures do not pose a risk of product contamination.					

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
2.7.6	Water tanks are cleaned at a sufficient frequency so as not to be a source of contamination.					
<b>3</b>	<b>Harvesting</b>					
<b>3.1</b>	<b>Preharvest Assessment</b>					
3.1.1.	A pre-harvest risk assessment is performed.	<b>Policy and Record</b>				
<b>3.2</b>	<b>Water/Ice</b>					
3.2.1.	Operation has procedures for water used in contact with product or food contact surfaces.	<b>Record or log</b>				
3.2.2.	Water use SOPs address the microbial quality of water or ice that directly contacts the harvested crop or is used on food- contact surfaces.	<b>Record or log</b>				
3.2.3.	Water use SOPs address treatment of re-circulated water, if used.	<b>Record or log</b>				
3.2.4.	Water use SOPs address condition and maintenance of water-delivery system.					

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
3.2.5.	If applicable to the specific commodity, water use SOPs address control of wash water temperature.					
<b>3.3</b>	<b>Containers, Bins and Packaging Materials</b>					
3.3.1.	Operation has written policy regarding storage of harvesting containers.	<b>Policy in GAP plan</b>				
3.3.2.	Operation has written policy regarding inspection of food contact containers prior to use.	<b>Policy in GAP plan</b>				
3.3.3.	Operation has written policy regarding acceptable harvesting containers.	<b>Policy in GAP plan</b>				
3.3.4.	Operation has written policy prohibiting use of harvest containers for non-harvest purposes.	<b>Policy in GAP plan</b>				
<b>3.4</b>	<b>Field Packing and Handling</b>					
3.4.1.	Operation has a written policy that damaged or decayed produce is not harvested, or is culled.	<b>Policy in GAP plan</b>				
3.4.2.	Product that contacts the ground is not be harvested unless the product normally grows in contact with the ground.	<b>Policy in GAP plan</b>				
3.4.3.	Harvest procedures include measures to inspect for and remove physical hazards.					

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
3.4.4.	Cloths, towels, or other cleaning materials that pose a risk of cross-contamination are not used to wipe produce.					
3.4.5.	Packaging materials are appropriate for their intended use.					
3.4.6.	Packaging is stored in a manner that prevents contamination.					
3.4.7.	Operation has written policy regarding whether packing materials are permitted in direct contact with the soil.	<b>Policy in GAP plan</b>				
<b>3.5</b>	<b>Post Harvest Handling</b>					
3.5.1.	Harvested produce is handled in a manner such that it is not likely to become contaminated.					
3.5.2.	Materials that come in contact with the produce is clean and in good repair.					
3.5.3.	Harvested produce is stored separately from chemicals which may pose a food safety hazard.					

Completed by: \_\_\_\_\_

Date Completed \_\_\_\_\_

Std.	Requirement	Written document needed?	NA	Yes	Needs work	Action taken to correct problems if needed
4	<b>Transportation (Field to Packinghouse)</b>					
4.1	<b>Equipment Sanitation and Maintenance</b>					
4.1.1.	The operation has a policy, written procedures, and a checklist to verify cleanliness and functionality of shipping units (e.g., trailers).	<b>Written Policy and Record</b>				
4.1.2.	Loading/unloading procedures and equipment minimize damage to and prevent contamination of produce.					
4.1.3.	Trash does not come in contact with produce.					