

**Good Agricultural Practices & Good Handling Practices
Audit Verification Program Scoresheet**



Facility Name (Print) as it should appear on Certificate: Carlo Masi and Sons			
Street Address (Print): 9 Wurz Ave.		City (Print): Utica	
e-mail Address (Print): fred@cmasiproduce.com		fax number: 315-797-8914	
Date Audit Began: 11/5/2015		Date Audit Completed: 11/5/2015	
Time Audit Began: 9:00 AM		Time Audit Completed: 11:00 AM	
State (Print): New York		Zip (Print): 13502	
Date Audit Requested: 10/7/2015		Date of Previous Audit : 11/5/2014	
USDA Commodity Procurement Audit? Check One Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>			

EVALUATION ELEMENTS

Scopes Requested	Element	Possible Points	Less N/A Points	Adjusted Points	Passing Score*	Facility Score	Pass Fail	Date Passed	General Questions	Reviewing Official	Unannounced
X	General Questions	180	10	170	136	170	Pass	11/5/15		TW	
	Part 1 – Farm Review	190									
	Part 2 – Field Harvesting & Field Packing Activities	185									
	Part 3 – House Packing Facility	290									
	Part 4 – Storage and Transportation	255									
✓	Part 6 – Wholesale Distribution Center/ Warehouses	410	100	310	248	290	Pass	11/5/15		TW	
✓	Part 7 – Preventative Food Defense Procedures	180	10	170	136	165	Pass	11/5/15		TW	

*A Passing Score is 80% of the Possible Points, or the Adjusted Points if adjustments are necessary, with no "automatic unsatisfactory" conditions.

Commodities:	Fruits and vegetables		
Send completed GAP&GHP Certificate to: (choose one) _____ Inspection office: (list office) _____ Directly to auditee above: X			

Lead Auditor Name (Print): Tom Tubbs Signature & Date: Signature on file 11/5/15

Duty Station: Syracuse, New York All Scopes Completed: Yes

For USDA HQ use:

Reviewing Official Name (Print): Tommy Williams

Signature & Date: _____

To verify a company's continued good standing in the USDA GAP&GHP Program please visit <http://www.ams.usda.gov/gapghp>

**USDA Good Agricultural Practices Good Handling Practices
Audit Verification 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," and generally recognized good agricultural practices.

Firm Name: Carlo Masi and Sons

Contact Person: Fred Steates

Audit Site Address: 9 Wurz Ave.

City: Utica **State:** New York **Zip:** 13502

Mailing Address: 9 Wurz Ave.

City: Utica **State:** New York **Zip:** 13502

Telephone No: 315-797-7303 **Fax:** 315-797-8914

E-mail: fred@cmasiproduce.com

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

USDA or Fed-State Office performing audit: Syracuse, New York

Arrival Date: 11/5/2015 **Time:** 9:00 AM

Departure Date: 11/5/2015 **Time:** 11:00 AM

Travel Time (hours) 2.50

Person(s) Interviewed:
Fred Steates & Gary LaBarge

Did the auditee participate in GAP & GHP training?

Yes No

Is there a map that accurately represents the farm operations?

Yes No N/A

Legal Description/GPS/Lat.&Long. of Location: 9 Wurz Ave., Utica, NY 13502

Are all crop production areas located on this audit site?

Yes No N/A

Total acres farmed (Owned, leased/rented, contracted, consigned) N/A

Does the company have more than one packing facility?

Yes No N/A

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 N/A

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.....

Part 5 – (Not Used)

Part 6 – Wholesale Distribution Center/Terminal Warehouse.....

Part 7 – Preventive Food Defense Procedures.....

Commodities:

Fruits and vegetables

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 P1 or P2 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".
- Any "N/A" or "No" designation must be explained in the comments section.
- The "Doc" column:
 - A "D" indicates that a document(s) is required to show conformance to the question. A document may be a combination of standard operating procedures outlining company policy as well as a record indicating that a particular action was taken.
 - A "R" indicates that a record is required to be kept showing an action was taken.
 - A "P" indicates that a policy/standard operating procedure (SOP) must be documented in the food safety plan in order to show conformance to the question.

General Questions

Implementation of a Food Safety Program

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

Traceability

Questions		Points	Yes	NO	N/A	Doc
G-1	A documented traceability program has been established.	15	15			D
G-2	The operation has performed a "mock recall" that was proven to be effective.	10	10			R

Worker Health & Hygiene

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

Questions		Points	Yes	NO	N/A	Doc
G-11	Smoking and eating are confined to designated areas separate from where product is handled.	10	10			P
G-12	Workers with diarrheal disease or symptoms of other infectious diseases are prohibited from handling fresh produce.	15	15			P
G-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 bodily fluids.	15	15			P
G-14	Workers are instructed to seek prompt treatment with clean first aid supplies for cuts, abrasions and other injuries.	5	5			P
G-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			10	R

COMMENTS:	
G-2: A successful mock recall was performed by Fred Steates on 6/16/15.	
G-15: There are no pre-harvest or post-harvest materials are being used.	

Total Points earned for General Questions = 170

Total Possible = 180 *The total number of points possible for this section.*

Subtract "N/A" = 10 *Enter the additive number of N/A points (+points) here.*

Adjusted Total = 170 *Subtract the N/A points from the Total possible points*

X .8 (80%) *Multiply the Adjusted Total by .8 and show it as the Passing Score*

Passing Score = 136

Pass **Fail** **(please mark one)**

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," and generally recognized good agricultural practices.

For further information regarding the USDA GAP & GHP Audit Program, please contact:

USDA Fruit and Vegetable Program, Specialty Crops Inspection Division, Audit Services Branch at 202-720-5021, or FVAudits@ams.usda.gov





Part 6-Wholesale Distribution Center/Terminal Warehouses

Receiving

Questions		Points	Yes	NO	N/A	Doc
6-1	All companies that supply fresh produce are required to have passed a third party audit verification of GAP and/or GHP.	15	15			D
6-2	Upon receiving, 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	10			P
6-3	Company does not accept produce items that are loaded with or are not protected from potentially contaminating products.	10	10			P
6-4	Refrigerated commodities are monitored for temperatures at the time of receiving.	5	5			R
6-5	The company has a written policy regarding the disposition of product when temperatures are not within the company's guidelines at the time of receiving.	5	5			P

Storage Facility/Temperature Control

Questions		Points	Yes	NO	N/A	Doc
6-6	The facility is clean and maintained in an orderly manner.	5	5			
6-7	Refrigerated rooms are monitored for temperature and logs are maintained.	5	5			D
6-8	Thermometer(s) are checked for accuracy and records are available for review.	5	5			D
6-9	Refrigeration system condensation does not come into contact with produce.	10	10			
6-10	Refrigeration equipment (condensers, fans, etc.) is cleaned on a scheduled basis.	10	10			D
6-11	Iced product does not drip on pallets of produce stored below.	10	10			
6-12	The water used for cooling/ice is potable.	10			10	R
6-13	Manufacturing, storage, and transportation facilities used in making and delivering ice used for cooling the product are sanitized on a scheduled basis.	10			10	D
6-14	There is a policy describing procedures which specify handling/disposition of finished product which is opened, spilled, or comes into contact with the floor.	15	15			P

Questions		Points	Yes	NO	N/A	Doc
6-15	Product flow zones are protected from sources of contamination.	10	10			
6-16	Glass materials above product flow zones are contained in case of breakage.	10	10			
6-17	The grounds are reasonably free of litter and debris.	5	5			
6-18	The grounds are reasonably free of standing water.	5	5			
6-19	Outside garbage receptacles/dumpsters are closed or are located away from facility entrances and the area around such sites is reasonably clean.	5	5			
6-20	The facility is enclosed.	5	5			
6-21	Floor drains appear to be free of obstructions.	5	5			
6-22	Pipes, ducts, fans, and ceilings in the facility are reasonably clean.	5	5			
6-23	Possible wastewater spillage is prevented from contaminating any food storage or handling area by barriers, drains, or a sufficient distance.	10	10			
6-24	Non-food grade substances such as paints, lubricants, pesticides, etc., are not stored in close proximity to the product.	10	10			

Pest Control

Questions		Points	Yes	NO	N/A	Doc
6-25	Measures are taken to exclude animals or pests from the facility.	10	10			D
6-26	There is an established pest control program for the facility.	10	10			D
6-27	Service reports for the pest control program are available for review.	5	5			R
6-28	Interior walls, floors and ceilings are well-maintained and free of major cracks and crevices.	5	5			

Repacking/Reconditioning

(6-29) Does the facility repack and/or recondition product?

YES NO (please mark one)

If the answer to question 6-29 is YES, answer questions 6-30 through 6-41. If the answer for question 6-29 is NO, then questions 6-30 through 6-41 are answered N/A.

Questions		Points	Yes	NO	N/A	Doc
6-30	Repacking/reconditioning processes are confined to an established location in the facility.	5	5			P
6-31	Food contact surfaces are in good condition; cleaned and/or sanitized prior to use and cleaning logs are maintained.	15	15			D
6-32	Source water used in the repacking operation is potable.	15			15	R
6-33	Processing water is sufficiently treated to reduce microbial contamination.	10			10	D
6-34	Water treatment (strength levels and pH) and exposure time is monitored and is appropriate for product.	10			10	D
6-35	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			10	D
6-36	Any ice used for cooling produce is manufactured, transported and stored under sanitary conditions.	10			10	R
6-37	Water used for chilling and/or to make ice is potable.	15			15	R
6-38	Only food grade approved and labeled lubricants are used in the repacking equipment/machinery.	10			10	D
6-39	Only new or sanitized containers are used for product repacking.	10		10		P
6-40	Pallets and other containers are clean and in good condition.	5	5			
6-41	Packing containers are properly stored and protected from contamination (birds, rodents, and other pests, etc.).	10	10			

Worker Health and Personal Hygiene

Questions		Points	Yes	NO	N/A	Doc
6-42	Employee facilities (locker rooms, lunch and break areas, etc.) are clean and located away from repack and storage area.	10	10			
6-43	When there is a written policy regarding the use of hair nets/beard nets in the facility, it is being followed by all affected employees and visitors.	5	5			P

Questions		Points	Yes	NO	N/A	Doc
6-44	When there is a written policy restricting the wearing of jewelry in the facility, it is being followed by all affected employees and visitors.	5	5			P

Shipping/Transportation

Questions		Points	Yes	NO	N/A	Doc
6-45	Prior to the loading process, conveyances are required to be clean, in good physical condition, free from disagreeable odors and from obvious dirt/debris.	10	10			P
6-46	Produce items are not loaded with potentially contaminating products.	10	10			P
6-47	Company has a written policy for transporters and conveyances to maintain a specified temperature(s) range during transit.	10	10			P

Traceability

Questions		Points	Yes	NO	N/A	Doc
6-48	Records are kept recording the source of incoming product and the destination of outgoing product which is uniquely identified to enable traceability.	10		10		D

COMMENTS:						
6-12 & 6-37: Water is not used for cooling or manufacturing ice.						
6-13 & 6-36: Ice is not used to cool product.						
6-32 through 6-35: Water is not used during repacking.						
6-38: There is no repacking equipment/machinery used.						
6-39: Containers are sometimes reused for product repacking.						
6-48: Although records are kept to record the source of incoming product, outgoing product is not uniquely identified to enable traceability.						

USDA Good Agricultural Practices and Good Handling Practices
 Audit Verification Checklist

**Total Points earned for Wholesale Distribution
 Center/Terminal Warehouse = 290**

Total Possible = 410 *The total number of points possible for this section.*
Subtract "N/A" = 100 *Enter the additive number of N/A points (+points) here.*
Adjusted Total = 310 *Subtract the N/A points from the Total possible points*
X .8 (80%) *Multiply the Adjusted Total by .8 and show it as the Passing Score*

Passing Score = 248

Pass **Fail** **(please mark one)**

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," and generally recognized good agricultural practices.

Part 7 - Preventive Food Defense Procedures

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

Secure Employee/Visitor Procedures

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

Secure Facility Procedures

Questions		Points	Yes	NO	N/A	Doc
7-13	Uniforms, name tags, or identification badges are collected from employees prior to the termination of employment.	5	5			D
7-14	The mailroom is located away from the packing/storage facilities.	5			5	
7-15	Computer access is restricted to specific personnel.	5	5			D
7-16	A system of traceability of computer transactions has been established.	5	5			
7-17	A minimum level of background checks has been established for all employees.	5	5			D
7-18	Routine security checks of the premises are performed for signs of tampering, criminal or terrorist activity.	5	5			D
7-19	Perimeter of facility is secured by fencing or other deterrent.	5	5			
7-20	Checklists are used to verify the security of doors, windows, and other points of entry.	5	5			D
7-21	All keys to the establishment are accounted for.	5	5			D
7-22	The facility has an emergency lighting system.	5	5			
7-23	The facility is enclosed.	5	5			
7-24	Storage or vehicles/containers/trailers/railcars that are not being used are kept locked.	5	5			
7-25	Delivery schedules have been established.	5	5			
7-26	The off-loading of incoming materials is supervised.	5	5			
7-27	The organization has an established policy for rejecting deliveries.	5	5			D
7-28	Unauthorized deliveries are not accepted.	5	5			D
7-29	The company does not accept returned (empty) containers for packing of product unless they are sanitized containers intended for reuse.	5	5			D
7-30	The facility has a program in place to inspect product returned to the facility for tampering.	5	5			D
7-31	The company has identified the individual(s), with at least one backup, who are responsible for recalling the product.	5	5			D
7-32	The company has performed a successful mock recall of product to the facility.	5	5			D

USDA Good Agricultural Practices and Good Handling Practices
Audit Verification Checklist

Questions		Points	Yes	NO	N/A	Doc
7-33	Product imported from outside the United States is segregated from domestic product.	5		5		D
7-34	Allergens handled by the facility are segregated from products to avoid cross contamination.	5	5			D
7-35	Floor plans, product flow plans, and/or segregation charts are in a secure location.	5	5			D
7-36	The organization has registered with the FDA and has been issued a registration number (do not record the number on checklist).	5	5			D

COMMENTS:

7-8: The operation is a small facility. Management can readily identify each employees vehicle by sight.

7-14: There is no mailroom at this facility.

7-33: Imported product is not segregated from domestic product.

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**Total Points earned for Preventative Food Defense
Procedures = 165**

Total Possible = 180 *The total number of points possible for this section.*

Subtract "N/A" = 10 *Enter the additive number of N/A points (+points) here.*

Adjusted Total = 170 *Subtract the N/A points from the Total possible points*

X .8 (80%) *Multiply the Adjusted Total by .8 and show it as the
Passing Score*

Passing Score = 136

Pass **Fail** **(please mark one)**