

**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 Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Mailing Address:** \_\_\_\_\_

**City:** \_\_\_\_\_ **State:** \_\_\_\_\_ **Zip:** \_\_\_\_\_

**Telephone No:** \_\_\_\_\_ **Fax:** \_\_\_\_\_

**E-mail:** \_\_\_\_\_

**Auditor(s)** (list all auditors with the lead listed first):  
\_\_\_\_\_

**USDA or Fed-State Office performing audit:** \_\_\_\_\_

**Arrival Date:** \_\_\_\_\_ **Time:** \_\_\_\_\_

**Departure Date:** \_\_\_\_\_ **Time:** \_\_\_\_\_

**Travel Time (hours)** \_\_\_\_\_

**Person(s) Interviewed:**  
\_\_\_\_\_

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: \_\_\_\_\_

Are all crop production areas located on this audit site?

Yes  No  N/A

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

Does the auditee pack mushrooms at this location?

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 optional scopes included in audit)**

**MGAP Production Checklist (Included for all MGAP Audits)**

- General Questions (Audits that include Part 3 or Part 4 must pass this portion)...
- Part 3 - House Packing Facility.....
- Part 4 – Storage and Transportation.....
- Part 7 – Preventive Food Defense Procedures.....
- USDA Logo Use.....

**Types of Mushrooms Produced:** \_\_\_\_\_

Additional Information:


# AUDITOR COMPLETION INSTRUCTIONS

## Mushroom Production Checklist

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.

This checklist may be used for all species of mushrooms.

This checklist is only to be used on mushroom facilities with indoor production. For operations that produce mushrooms outdoors, please refer to the USDA GAP&GHP or Harmonized Produce Safety Standard.

For clarification and guidance in answering these questions, please contact your Federal Program Manager or the Audit Services 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.

## USDA GAP&GHP Checklist

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.

## 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 for MGAP Production Checklist:

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 unpasteurized substrate storage and 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?

### Specific conditions for the USDA GAP & GHP Checklist:

Answering "NO" to Questions P1 or P2 will be an Automatic "Unsatisfactory".

# MGAP Production Checklist

## 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 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 unsatisfactory).	15				D
Auditor 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 (every 6 months at a minimum)?	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				
Auditor 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
Auditor Comments:						

**4**

**HANDWASHING & 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 unsatisfactory).	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				<b>D</b>
Auditor 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				
Auditor 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?	<b>15</b>				
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?	<b>10</b>				<b>D</b>
6.2a	Are unpasteurized substrate preparation and storage areas adequately separated from pasteurized/sterilized substrate, casing materials and finished casing (as applicable) so that cross contamination cannot occur?	<b>15</b>				
6.2b	Are appropriate measures taken that seepage and runoff from unpasteurized substrate preparation and storage areas is collected and/or diverted so that they cannot reach growing areas? (A "NO" answer results in an automatic unsatisfactory) ("N/A" only if no unpasteurized substrate preparation areas are onsite)	<b>15</b>				
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?	<b>10</b>				
6.3a	Are records available to ensure adequate heat treatment of substrate during pasteurization or sterilization?	<b>15</b>				<b>D</b>
Auditor Comments:						

**7**

**FARM SANITATION**

<b>Questions</b>		<b>Points</b>	<b>YES</b>	<b>NO</b>	<b>N/A</b>	<b>Doc</b>
7.1a	Are grounds maintained so that they do not become a source of contamination?	<b>5</b>				
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?	<b>5</b>				
7.3a	Are building interiors clean and uncluttered with adequate space for movement of employees and equipment?	<b>5</b>				
7.3b	Are waste materials stored in labeled or otherwise identified containers and removed on a scheduled basis?	<b>10</b>				
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?	<b>5</b>				<b>D</b>
7.4b	Are only non-mercury thermometers used?	<b>5</b>				
7.4c	Are overhead light fixtures reasonably free of dust, insects and debris?	<b>5</b>				
7.4d	Do floors drain adequately?	<b>5</b>				
7.4e	Do floor drains have removable grates or plugs and flow freely?	<b>5</b>				
7.4f	Are pest lights placed so they do not attract pests into the building?	<b>5</b>				
7.5a	Are harvest baskets, lugs, barrels for soaking logs, and trays kept in good repair and maintained so they are without splinters or shards?	<b>5</b>				
7.5b	Are harvest baskets, lugs, barrels for soaking logs, and trays cleaned and sanitized before they are used, and stored to prevent contamination?	<b>5</b>				
7.5c	Are baskets, lugs, trays, and boxes used only to contain mushrooms and not for any other purpose unless clearly marked.	<b>5</b>				
Auditor 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				<b>D</b>
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				
Auditor 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 unsatisfactory).	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				<b>D</b>
Auditor Comments:						

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## 10 PROPER LABELING, USE AND STORAGE OF POTENTIALLY

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 their proper use and how to follow labeled directions?	10				D
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				
Auditor 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 unsatisfactory).	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 unsatisfactory).	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 unsatisfactory).	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, excluding breezeways and growing rooms?	10				
11.1j	Is there a pest control log with the required elements?	10				<b>D</b>
Auditor 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				<b>D</b>
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				<b>D</b>

12.3a	Is a mock recall performed annually?	10				D
Auditor Comments:						

**13 EQUIPMENT MAINTENANCE & CALIBRATION**

Questions		Points	YES	NO	N/A	Doc
13.1a	Are temperature probes, supporting hardware and software used to monitor pasteurization and sterilization 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				
Auditor Comments:						

**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 unsatisfactory).	15				D
Auditor Comments:						

Total Points earned for mGAP checklist = \_\_\_\_\_

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

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

**Adjusted Total** = \_\_\_\_\_ *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** = \_\_\_\_\_

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." 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."

**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](mailto:FVAudits@ams.usda.gov)**





**Good Agricultural Practices & Good Handling Practices  
 Mushroom Production Audit Scoresheet**  
<http://www.ams.usda.gov/gapghp>



Facility Name (Print) as it should appear on Certificate:			
Street Address (Print):	City (Print):	State (Print):	Zip (Print):
e-mail Address (Print):	fax number:	Date Audit Requested:	Date of Previous Audit :
Date Audit Began:	Date Audit Completed:	USDA Commodity Procurement Audit?	
Time Audit Began:	Time Audit Completed:	Check One Yes <input type="checkbox"/> No <input type="checkbox"/>	

Instructions for Use: The Commodity Specific Checklist for Mushroom Production is to be used for auditing the production facilities only. If a mushroom operation requests that a packing facility, storage and transportation, Traceback, or food defense audit be performed on the non-production areas, the general USDA audit checklist with the appropriate sections will be utilized in addition to the MGAP specific checklist.

**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	MGAP Audit (for production areas only)	800									
	General Questions (Only for non production areas)	180									
	USDA Audit Part 3 - House Packing Facility (Only for non production areas)	290									
	USDA Audit Part 4 - Storage and Transportation (Only for non production areas)	255									
	USDA Audit Part 7 - Preventative Food Defense	180									

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

Does the audit meet the requirements for USDA logo use?	Check One	Yes <input type="checkbox"/>	No <input type="checkbox"/>	Not Requested <input type="checkbox"/>
Types of Mushrooms Produced:				
Send completed GAP&GHP Certificate to: (choose one)	Inspection office: (list office)		Directly to auditee above:	

Lead Auditor Name (Print): \_\_\_\_\_ Signature & Date: \_\_\_\_\_

Duty Station: \_\_\_\_\_ All Scopes Completed: \_\_\_\_\_

For USDA HQ use:

Reviewing Official Name (Print): \_\_\_\_\_

Signature & Date: \_\_\_\_\_

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

## **DUPLICATION OF CORRECTIVE ACTION TAB INSTRUCTIONS**

Any item on any checklist with a checkmark beside the Corrective Action Needed (CAN) box or the Immediate Action Required (IAR) box must be documented using a Corrective Action Report. A separate form is required for each item with either of these entities. If there is more than one form needed, follow the instructions below to duplicate the Corrective Action Report Tab:

1. Right-click the "Corrective Action Report" Tab at the bottom of Excel.
2. Click "Move or Copy."
3. Under the box titled "Before Sheet," select "(move to end)"
4. Place a check in the box beside "Create a Copy"
5. Click "Ok"

# Produce GAPs Commodity Specific Checklist for Mushroom Production USDA Checklist

USDA, AMS, Fruit and Vegetable Program Produce GAPs Commodity Specific Checklist for Mushroom Production <b>CORRECTIVE ACTION REPORT</b>	Report #: _____ of _____
Company Name/Farm:	Date: 1/0/1900
Lead Auditor:	
Crops(s):	
Description of Non Conformity:	
Notified company staff at time of finding non-conformity (Yes or No):	
Checklist question number and/or section of auditee food safety plan associated with non-conformity:	
Corrective Action Proposed and Time Frame for Implementation: <i>(Attach separate sheet if necessary)</i>	
Company Representative Signature:	
<i>Signature affirms statements concerning Non-Conformity, Corrective Action, and Implementation are correct.</i>	
Auditor signature for acceptance of proposed corrective action and timetable for implementation:	

Top portion for AUDITOR USE ONLY; bottom portion for Company and Auditor use.