



# **2021 USDA GAP Audit Program Data**

## **NECAFS Meeting**

# USDA Audits

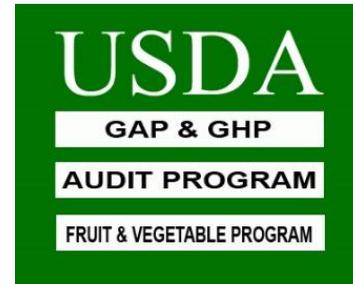
- Established in 2001 at industry request
- Created in response to growing concern that fresh produce is safe to eat
- Developed in conjunction with FDA, AFVISA and state partners, industry groups, and academia
- Based on federal (FDA) guidelines and industry best practices
- Over time have incorporated buyer requirements, industry-specific requirements, and now federal regulation



# USDA Audits

## USDA GAP & GHP Audits

- USDA GAP&GHP
- Produce GAPs Harmonized Food Safety Audit
- USDA Harmonized GAP Plus+



Produce GAPs  
Harmonization Initiative





For market access, I need to show:	The USDA GAP service for you
Global Food Safety Initiative (GFSI) technical equivalence	USDA Harmonized GAP Plus+
FDA FSMA Produce Safety Rule alignment Produce GAP Harmonization Initiative alignment	
Adherence to industry and FDA best practices	

## GAP Audits

- Voluntary
- Fee for service
- Confirms compliance with audit standard
  - Buyer and industry requirements
- Annual (at least)
- USDA-licensed auditor
- Documentation of results
- Posting on USDA website
- Anything that meets definition of specialty crop

## PSR Inspections

- Mandatory
- No cost
- Confirms compliance with Produce Safety Rule
- Every few years\*
- State or FDA inspector
- Significant deficiencies recorded for correction
- Scope defined by size and crop

\*Depends on the state

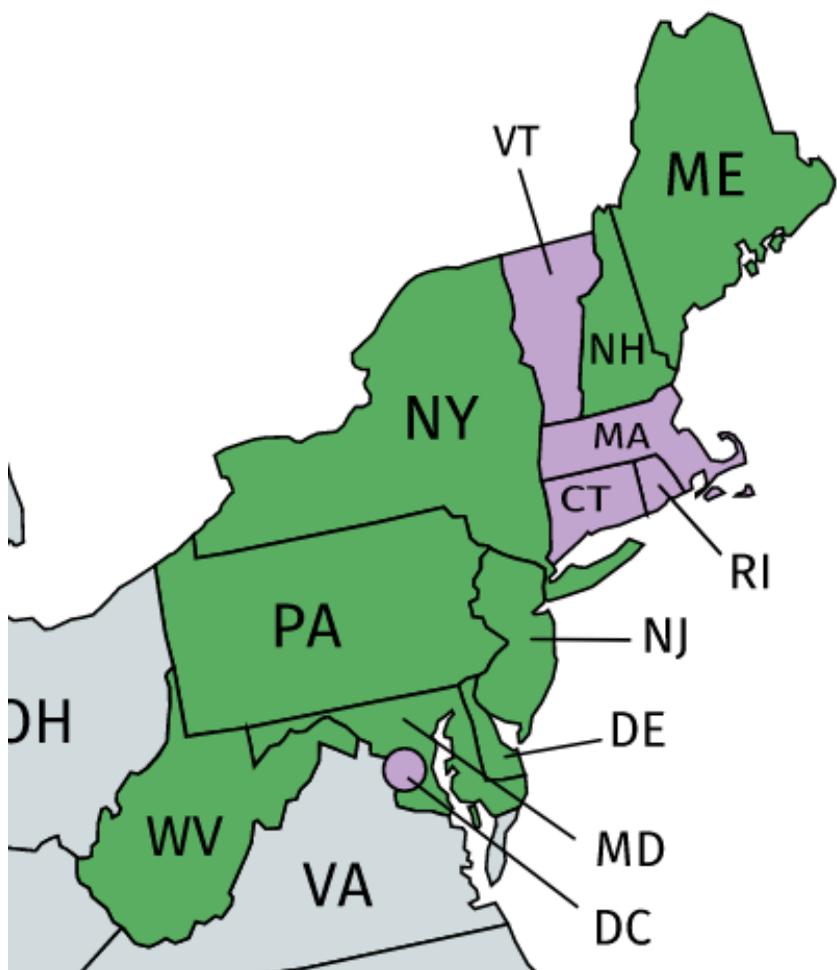
# Harmonized Audit Alignment

- Addresses the minimum requirements of the Produce Safety Rule
- Producer defines the scope of the audit
- Relies on “Prevailing Regulation”
- Auditees self report if they are subject to the rule
- Requires the auditee and auditor to know and apply the requirements of the rule

# Auditors

**Green State – Audits performed by state employees**

**Purple States – Audits performed by federal employees**





# Northeast Regional USDA GAP Data for FY2020



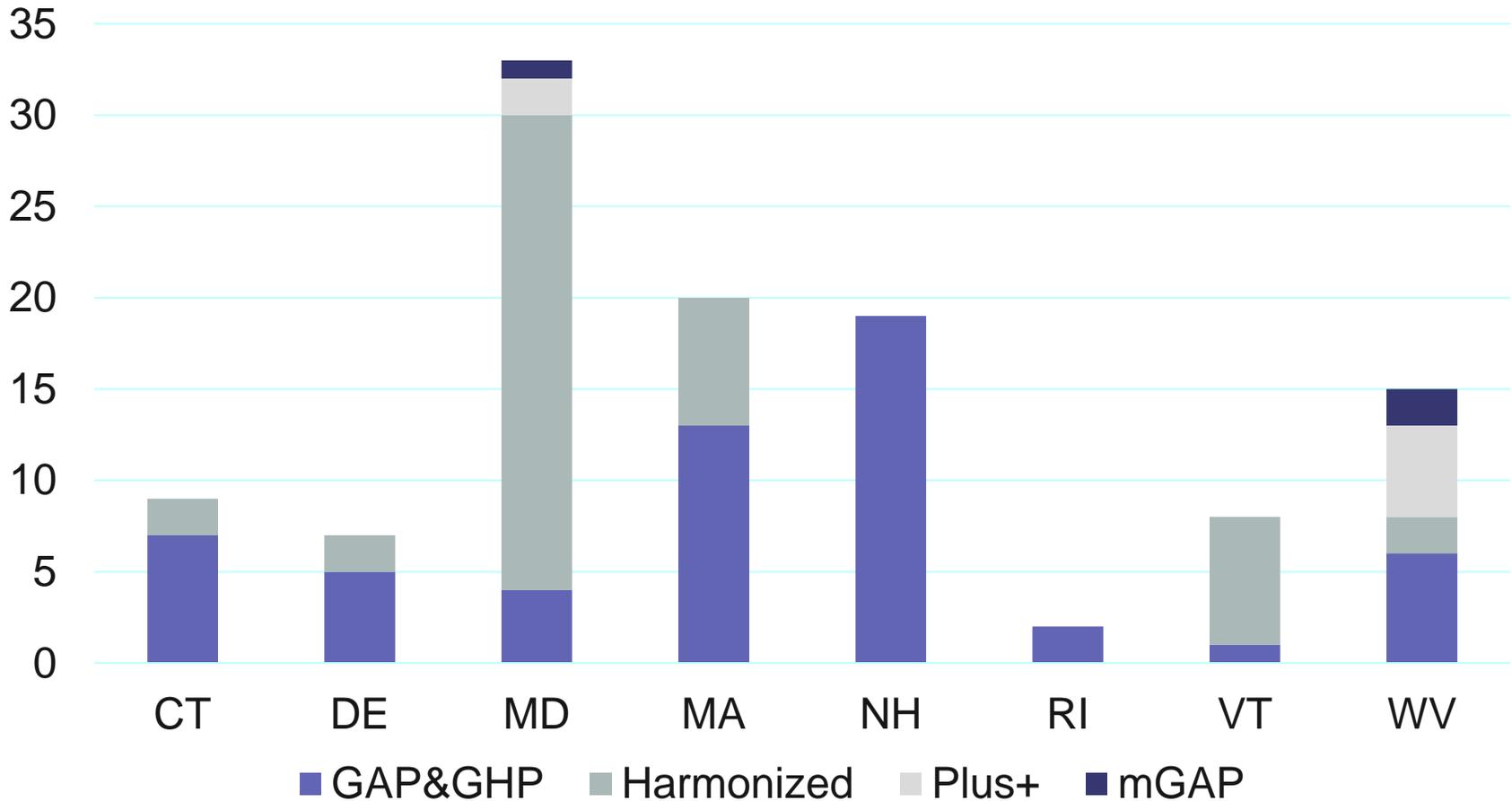
# Northeast USDA GAP Audit Information

## Regional Data

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	362
Harmonized GAP	349
Harmonized GAP Plus+	104
Mushroom GAP	29
Total	844

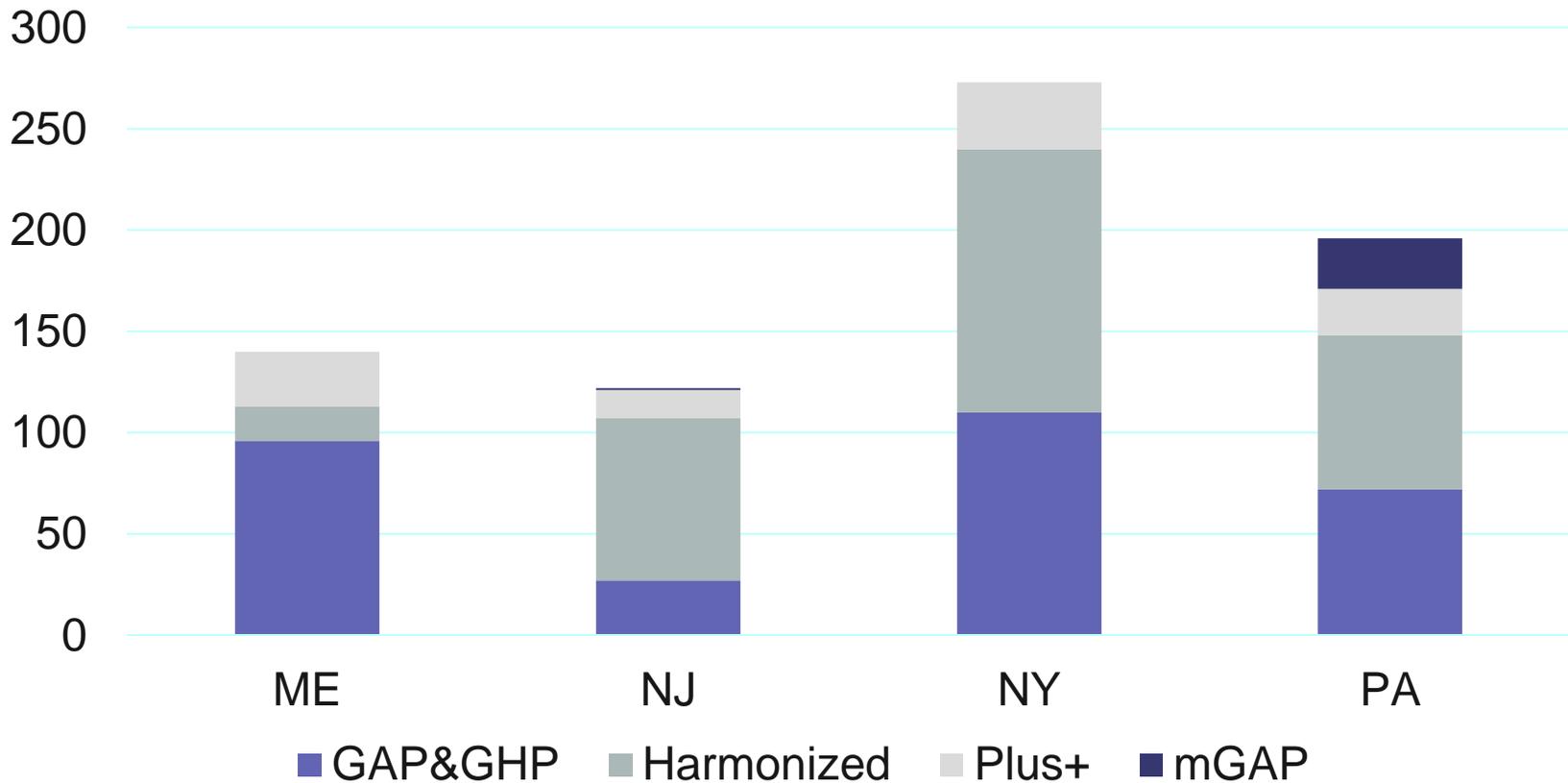
# Northeast USDA GAP Audit Information

Audits Per State



# Northeast USDA GAP Audit Information

Audit Per State





# Northeast USDA GAP Audit Information

## Top 10 Commodities Audited

1. Apples
2. Potatoes\*
3. Squash\*\*
4. Tomatoes
5. Peppers
6. Lettuce/Greens\*\*\*
7. Cucumbers/Pickles
8. Cabbage
9. Corn
10. Berries\*\*\*\*

\* Includes Potatoes and/or Sweet Potatoes

\*\* Includes Summer Squash, Squash, Winter Squash, and/or Zucchini

\*\*\* Includes Leaf Lettuce, Lettuce, Leafy Greens, Microgreens, Mustard Greens, Collard Greens, and/or Romaine

\*\*\*\* Includes Blackberries, Blueberries, Cranberries, Raspberries, and/or Strawberries



## Companies that Meet USDA GAP&GHP Acceptance Criteria

The following table shows companies that have been audited by the USDA Agricultural Marketing Service, Fruit and Vegetable Programs for the audit type, audit scopes, and commodities listed below and have successfully demonstrated an acceptable level of adherence to the audit standard being audited. The audit results are valid for one (1) year from the date shown, and are validated through the use of unannounced audit(s) throughout the growing/packing season.

Company ↕	Address ↕	City, State ↕	Audit Type ↕	Scope(s) of Audit Conducted ↕	Date Audit Conducted ↕	Commodities Covered by Audit ↕
<b>United States</b>						
<b>New York</b>						
Abe Datthyn Farms, LLC - (Rt 88 Only)	<a href="#">4791 Rt.88</a>	<a href="#">Sodus, NY</a>	Produce GAPs Harmonized Audit	Field Operations and Harvesting, Post-Harvest Operations	September 2, 2020	Apples, Cauliflower, Lettuce, Onions, Potatoes
Abers Acres	<a href="#">884 Route 394 and 409 Grubb Hill Rd</a>	<a href="#">Kennedy, NY</a>	Produce GAPs Harmonized Audit	Field Operations and Harvesting	June 18, 2020	Strawberries
Agpro Farms	<a href="#">2784 Shepard Rd.</a>	<a href="#">Clyde, NY</a>	Produce GAPs Harmonized Audit	Field Operations and Harvesting	September 24, 2020	Apples
Ameele Farms LLC	<a href="#">4552 Hall Center Road</a>	<a href="#">Walworth, NY</a>	USDA Good Agricultural Practices & Good Handling Practices Audit	Farm Review, Field Harvesting and Field Packing Activities	August 24, 2020	Apples
American Fruit & Vegetable Company	<a href="#">205 Mushroom Blvd.</a>	<a href="#">Rochester, NY</a>	USDA Good Agricultural	Wholesale Distribution Center/Terminal	May 21, 2020	Various Fruits and Vegetables

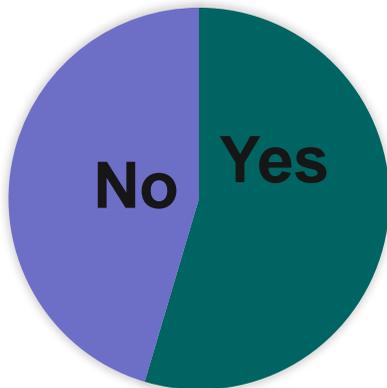
**Downloadable PDF report for each commodity/state showing individual farm/facilities and the audit scopes.**

# USDA GAP&GHP Audit

Didn't Meet Criteria	1.5%
Mean Findings	1.5 /audit
Median Findings	1 /audit

Top Non-Conformities	# of Audits
Traceability	58
Animals	30
Water	29
Suppliers	22
Calibration	21
Cleaning of Equipment/Tools	20
Handling of Harvested Produce	200**

## SUBJECT TO PSR?

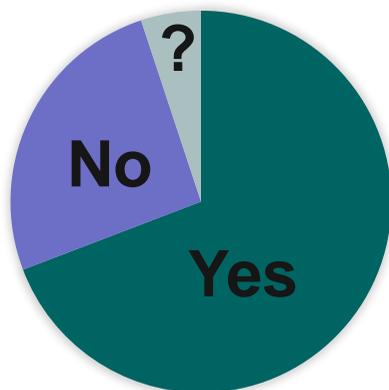


\*\*Due to the requirement to cover harvested produce

# Harmonized GAP Audit

Didn't Meet Criteria	4.2%
Mean Findings	0.5 /audit
Median Findings	0 /audit

## SUBJECT TO PSR?

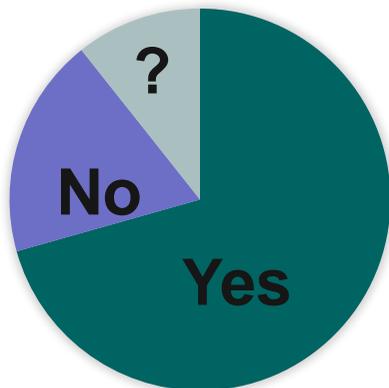


Top Non-Conformities	
Water	24
Cleaning of Equipment/Tools	15
Suppliers	10
Chemical Contamination	8
Traceability	7

# Harmonized GAP Plus+ Audit

Didn't Meet Criteria	9.3%
Mean Findings	1.0 /audit
Median Findings	0 /audit

## SUBJECT TO PSR?



Top Non-Conformities	
Food Defense/Food Fraud	15
Corrective Action/Incident Management	8
Suppliers	8
Worker Health and Hygiene	7
Calibration	6
Water	6

# All Audits

Didn't Meet Criteria	3.4%
Mean Findings	1.0 /audit
Median Findings	1 /audit

Top Non-Conformities	
Traceability	68
Water	59
Suppliers	40
Cleaning of Equipment and Tools	38
Animals	34
Calibration	29
Packing Materials	23
Handling Harvested Produce	210**

## SUBJECT TO PSR?



\*\*Due to the requirement to cover harvested produce



# **Continuing for 2021**

## **Risk Management Agency Funding Available for GAP Audits**

## RMA Funding for GAP Audits

- USDA Risk Management Agency's (RMA) Agricultural Management Assistance Program (7 U.S.C. 1524(b)) authorizes Secretary to provide financial assistance to producers in 16 states for specific activities
- AMS and RMA partnering to allocate \$3.7 million in “bill credits” for USDA **Harmonized GAP/Harmonized GAP Plus+** audits

\* Funds are available for 2021, or longer depending on availability of remaining funds for future years.



# RMA Funding for GAP Audits

## 16 States covered by Program:

**Connecticut**

**Delaware**

**Hawaii**

**Maryland**

**Massachusetts**

**Maine**

**Nevada**

**New Hampshire**

**New Jersey**

**New York**

**Pennsylvania**

**Rhode Island**

**Utah**

**Vermont**

**West Virginia**

**Wyoming**

# RMA Funding for GAP Audits

- Financial assistance limited to producers
- Cannot be used by owners of storage/transportation facilities, cross dock facilities, wholesale distribution centers, commercial packing/repacking operations
  - EXCEPT where producers own the entity, e.g., producer cooperatives and food hubs
  - Financial assistance is available only for the cost of the audit activities

# RMA Funding for GAP Audits

- **Bill Credit covers up to 100% of total audit bill including:**
  1. Audit preparation time
  2. Travel time to and from audit site(s)
  3. Onsite audit activities
  4. Post audit activities to finalize audit report
  5. Follow-up\* and unannounced verification activities
  6. SCI Division review, certification, and issuance activities
  7. Audit Uploads. If requested

\* Financial assistance only available for one follow-up audit



# Thank you!

## *Your Questions Please?*



**Website: [www.ams.usda.gov/gapghp](http://www.ams.usda.gov/gapghp)**

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# RMA Funding for GAP Audits

- How do Producers Qualify?
  - Producers need to use a Harmonized GAP or Harmonized GAP Plus+ audit as part of your marketing plan to diversify marketing options and reduce their financial risk
  - AMS will not require a written marketing plan but will ask whether this audit is part of your marketing plan

# RMA Funding for GAP Audits

- **Requesting an Audit**
  - Request an audit through your local audit office
  - Forms required:
    1. SC-237A Request for Audit Services Form
    2. SC-651 Participation Agreement
    3. SC-430 Vendor Form

## RMA Funding for GAP Audits

- SCI will issue a bill to the auditee which covers both the States and SCI's time in the audit process.
- The bill will show (1) the total cost of the audit and (2) a credit for that same amount
- The following note will appear on the bill:  
“Cost of your 2021 USDA Harmonized GAP Audit covered by a bill credit made possible through a grant from the USDA Risk Management Agency Agricultural Management Assistance Program”



# Northeast USDA GAP Audit Information

## Connecticut

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	7
Harmonized GAP	2
Harmonized GAP Plus+	0
Mushroom GAP	0
Total	9



# Northeast USDA GAP Audit Information

## Delaware

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	5
Harmonized GAP	2
Harmonized GAP Plus+	0
Mushroom GAP	0
Total	7



# Northeast USDA GAP Audit Information

## Maryland

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	4
Harmonized GAP	26
Harmonized GAP Plus+	2
Mushroom GAP	1
Total	33



# Northeast USDA GAP Audit Information

## Maine

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	96
Harmonized GAP	17
Harmonized GAP Plus+	27
Mushroom GAP	0
Total	140



# Northeast USDA GAP Audit Information

## Massachusetts

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	13
Harmonized GAP	7
Harmonized GAP Plus+	0
Mushroom GAP	0
Total	20



# Northeast USDA GAP Audit Information

## New Hampshire

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	19
Harmonized GAP	0
Harmonized GAP Plus+	0
Mushroom GAP	0
Total	19



# Northeast USDA GAP Audit Information

## New Jersey

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	27
Harmonized GAP	80
Harmonized GAP Plus+	14
Mushroom GAP	1
Total	122



# Northeast USDA GAP Audit Information

## New York

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	110
Harmonized GAP	130
Harmonized GAP Plus+	33
Mushroom GAP	0
Total	273



# Northeast USDA GAP Audit Information

## Pennsylvania

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	72
Harmonized GAP	76
Harmonized GAP Plus+	23
Mushroom GAP	25
Total	196



# Northeast USDA GAP Audit Information

## Rhode Island

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	2
Harmonized GAP	0
Harmonized GAP Plus+	0
Mushroom GAP	0
Total	2



# Northeast USDA GAP Audit Information

## Vermont

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	1
Harmonized GAP	7
Harmonized GAP Plus+	0
Mushroom GAP	0
Total	8



# Northeast USDA GAP Audit Information

## West Virginia

Audit Type	Number of Audits Conducted in FY 2020
USDA GAP&GHP	6
Harmonized GAP	2
Harmonized GAP Plus+	5
Mushroom GAP	2
Total	15