



**COLORADO**  
Department of Agriculture



# UNDERSTANDING USDA GAP AUDITS IN COLORADO

May 25, 2021

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Colorado Department of Agriculture

[www.ams.usda.gov/services/auditing/gap-ghp](http://www.ams.usda.gov/services/auditing/gap-ghp)

## TODAY'S WEBINAR

- Polling questions & introductions
- Overview of different USDA GAP audits
- Requesting an audit
- What to expect before, during and after your audit
- Colorado Department of Agriculture's cost-share program
- Wrap-up and questions

## GENERAL USDA GAP AUDIT INFORMATION

- All USDA audits are voluntary (usually customer driven)
- Valid for 1 year after certification, must renew annually
- Only USDA accredited auditors can perform USDA GAP audits
  - Colorado has 6 accredited auditors

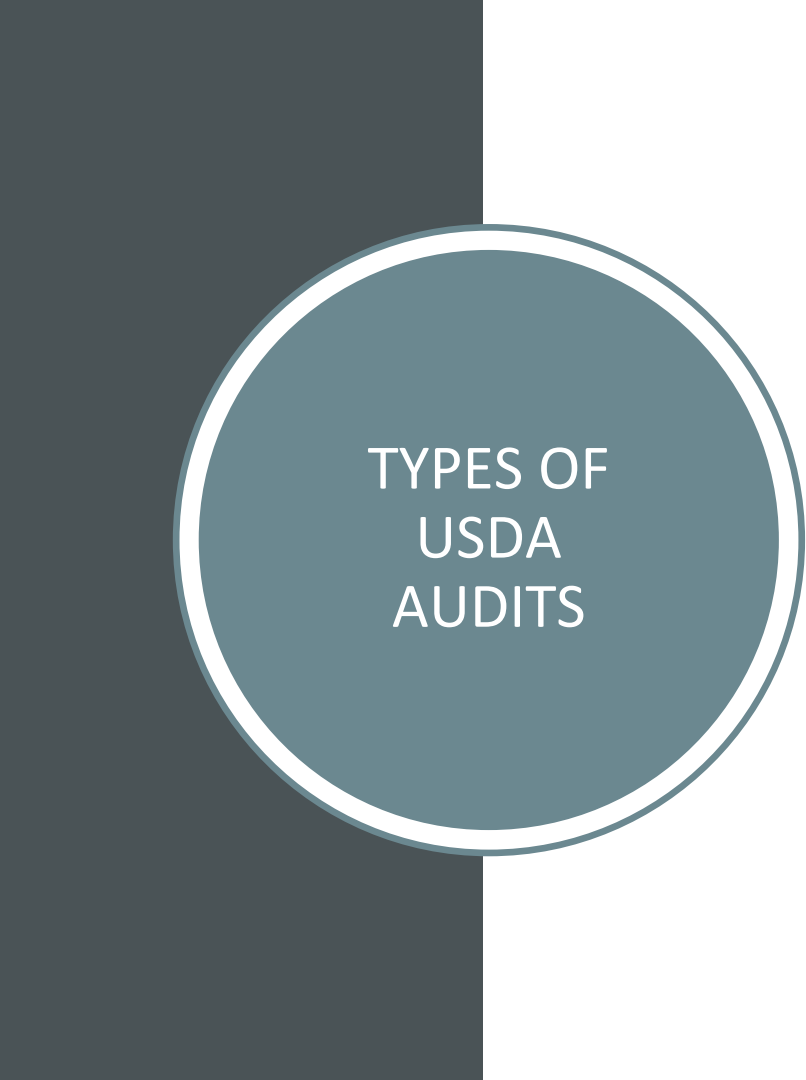




## USDA GAP AUDIT COSTS

Audit fee - \$115.00 per hour including (fees are set by USDA):

- Prep time
- On-site time (desk review & on-site visit)
- Data entry time
- All travel (to and from)
- USDA admin time (billed separately by USDA for time to review audit report, website posting)



## TYPES OF USDA AUDITS

- USDA GAP/GHP – “Basic GAP”
- USDA HARMONIZED GAP
  - Feb. 8th new standards and checklist, effective May 1, 2021
  - Summary of changes listed on website
- USDA HARMONIZED GAP PLUS
  - Feb. 8th new standards and checklist effective May 1, 2021
  - Summary of changes listed on website
- GROUP GAP





## COMMODITY SPECIFIC GAP AUDITS

- Tomato Food Safety Audit Protocol (now incorporated with Harmonized GAP)
- Mushroom GAP
- California LGMA
- Arizona LGMA

## USDA GAP/GHP AUDIT

General questions: all scopes must be passed with 80% passing score

- Farm Review
- Field Harvest & Packing
- House Packing Facility
- Storage and Transportation
- Not Used
- Wholesale Distribution Center/Terminal Market
- Preventive Food Defense Procedures

## USDA HARMONIZED GAP AUDIT

- General Questions
- Field Operations (growing, harvesting activities, etc.)
- Post Harvest Operations (storage and packing activities, etc.)
- Logo Use (voluntary)
- Tomato Audit Protocol



# USDA HARMONIZED GAP PLUS

- General Questions
- Field Operations
- Post Harvest Operations
- Logo Use (Voluntary)
- Tomato Audit Protocol

## USDA HARMONIZED GAP PLUS, CONTINUED

- USDA charges an additional \$250.00 to use this checklist for the GFSI technical equivalency -- previously covered by Harmonized Global Markets Addendum
- Updated to align with Global Food Safety Initiative requirements
- USDA fee to upload audit report to commercial supply database: ICIX, Azzule Systems, or Food LogiQ is current audit rate of \$115.00 per upload
- Both Harmonized audits are in alignment with Produce Safety Rule
  - Basic GAP/GHP is **NOT** in alignment with Produce Safety Rule

# USDA GROUP GAP

- Determine if GroupGap is right for you
- Group will have an individual write and implement Quality Management System
  - Trained by USDA
  - This individual can only perform internal audits for the group
  - Items to consider are cost of internal auditor, who pays for external auditor?
- Choose audit type
- NO minimum or maximum number of group members
- Apply for GroupGap with USDA

## USDA GROUP GAP, CONTINUED

- Square root of Group to be chosen by USDA to be externally audited by Federal/State certified/trained auditor
- Webinar Recording
  - Topic: USDA Group Gap & Food Safety Training for NYS Dept. of Agriculture
  - Date: Apr 14, 2021 01:29 PM Eastern Time (US and Canada)
  - [View the Meeting Recording](#)



## TO REQUEST A GAP AUDIT

- 1) Determine what audit your customers will accept
- 2) Complete form SC-430 vendor form (set up account with USDA). USDA will not allow states to perform audit until SC-430 vendor form is completed. This allows USDA to bill for their services.
  - Email to: [SCReimbursement@ams.usda.gov](mailto:SCReimbursement@ams.usda.gov)
  - Fax to: 866-230-9168
  - Mail to: USDA, AMS, SCI, ASB 1400 Independence Avenue, SW Stop 0247, Room 0707-S Washington, DC 20250-0247
- 3) Complete a self audit before submitting request
- 4) Complete form SC- 237A (Audit Request)

## REQUESTING AN AUDIT, CONTINUED

- 5) Schedule USDA audit by contacting the Colorado Department of Agriculture Fruit & Vegetable Inspection Service

Phone: 719-852-4749

Fax: 719-852-4319

Email: Brian Pauley – Program Manager: [brian.pauley@state.co.us](mailto:brian.pauley@state.co.us)

Steve Lopez – Supervisor: [steve.lopez@state.co.us](mailto:steve.lopez@state.co.us)

- 6) Will schedule Harmonized GAP audits with PSR Inspections



## AUDIT PROCESS

1. CDA representative will schedule the audit time and date with auditee and give a cost estimate for audit
2. Opening Meeting/Desk Review – Agreement, review of records and policies
3. Onsite review/interviewing of employees
4. Closing Meeting - Audit results and recap of findings
5. Audit Entry and sent for review to USDA audit section
6. Once reviewed and signed off by USDA, Company will receive complete audit report and certificate (Valid for one year)

## GAP AUDITS FOR COMMODITIES OTHER THAN FRUITS & VEGETABLES

- Grains - USDA working on completing checklist for audit services (Mycotoxin mitigation)
- Dry beans - Can perform audits as long as drying process done in the field.



A large, dark green watermelon with characteristic lighter green stripes is the central focus, resting on a bed of lush, green, curly-edged leaves. The lighting is bright, creating highlights on the watermelon's surface and the surrounding foliage.

## GAP AUDIT COST SHARE PROGRAM FROM CDA

- Available to new and existing auditees
- Reimbursement forms available through CDA Fruit & Vegetable Inspection Office
- New audits are reimbursed one half off the entire audit cost
- Existing audits are only reimbursed one half of USDA charges (admin fees)
- Apply and submit cost-share audit reimbursement to Brian Pauley (contact info on cost share application)

## CONTACT INFO:

Colorado Department of Agriculture Fruit &  
Vegetable Inspection Service

Phone: 719-852-4749

Fax: 719-852-4319

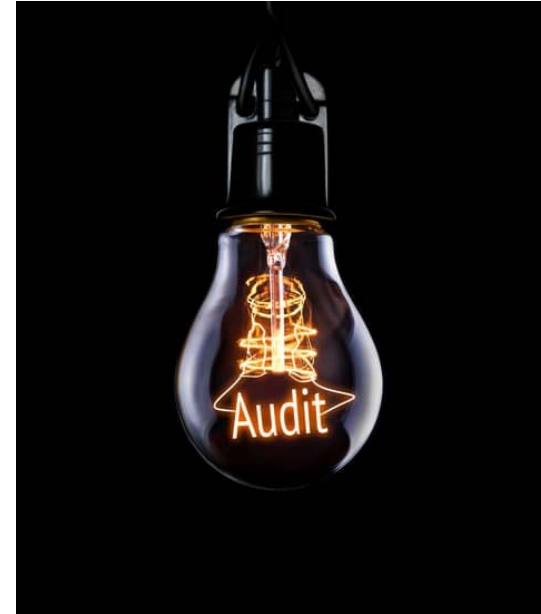
Email:

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[brian.pauley@state.co.us](mailto:brian.pauley@state.co.us)

Steve Lopez – Supervisor

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# QUESTIONS

Please enter your questions in the chat or unmute and ask them live.

The recording will be posted at

[www.coproducesafety.org](http://www.coproducesafety.org)

