

FINAL AUDIT REPORT

CB Registration No.PA-PGFS-10009-2
PrimusGFS ID #275454 - Cert:5
Audited by Primus Auditing Operations

PrimusGFS Version 3.2

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Operation Type:Harvest Crew
Audit Report Summary

Organization:	Aguilares S.P.R. de R.L. Contact(s): José Antonio Hernández García Address: CARRETERA PANAMERICANA KM291 COL. LA FORTALEZA 38495 Location: Cortazar, Guanajuato, Mexico Phone Number: (045) 4151176189				
Harvest Crew Number/Name:	Domitila/Reynaldo Mendoza Harvest Crew Company Name: Aguilares S.P.R. de R.L. Contact(s): José Antonio Hernández García				
Audit Location:	Grower Name: Aguilares S.P.R. de R.L. Operation Name: Domitila/Reynaldo Mendoza Operation Location: Congregacion Los Rodriguez, 37880, San Miguel de Allende, Guanajuato, Mexico				
Shipper:	Agricola La Minita S.P.R de R.L, Comercializadora Gab, S.A. De C.V.				
Operation Type:	Harvest Crew				
Audit Type:	Announced Audit				
Audit Executive Summary:	Scheduled PrimusGFS Harvest crew audit of 18 members. Operation is from march to december. At the time of the audit the crew was harvesting broccoli using knives with plastic handle, plastic gloves, sleeves, aprons and boots. Once the broccoli is cut, it is placed over a conveyor belt that transports it to a RPC bins, The bins are identified by traceability ticket that includes farm, date, harvest crew and farm section information. The Bins are transported to a facility for further processing. No water is used in the operation.				
Date Documentation Review Started:	17 Jun 2022 09:00				
Date Documentation Review Finished:	17 Jun 2022 18:00				
Total Amount of Time on the Documentation Review:	9.00 Hours				
Date Visual Inspection Started:	17 Jun 2022 07:30				
Date Visual Inspection Finished:	17 Jun 2022 08:00				
Total Amount of Time on Visual Inspection:	0.50 Hours				
Addendum(s) included in the audit:	Not Applicable				
Product(s) observed during audit:	Broccoli				
Similar product(s)/process(es) not observed:	None				
Product(s) applied for but not observed:	None				
Auditor:	Alejandro Lopez Diaz (Primus Auditing Operations)				
Preliminary Audit Score:	99%				
Final Audit Score:	99%				
Certificate Valid From:	18 Jul 2022 To 17 Jul 2023				
GPS Coordinates:	<table border="1"> <thead> <tr> <th>Latitude</th> <th>Longitude</th> </tr> </thead> <tbody> <tr> <td>20° 55' 13"</td> <td>100° 41' 23"</td> </tr> </tbody> </table>  Click here to see map	Latitude	Longitude	20° 55' 13"	100° 41' 23"
Latitude	Longitude				
20° 55' 13"	100° 41' 23"				

Information related to the audited operation

Total number of workers for the operation:	18	Harvesting Process:	Hand Harvest
Equipment Used:	Rigs		
Was in field processing occurring?	No	Processing Type:	
Was post-harvest water used?	No	Antimicrobial Used:	
Water use:			

Product information for each product

Product Group/Product Name	Observed Product	Seasonality	Country of destination for product
Broccoli	Observed on the day of audit	From: March To: December	Japan, Canada, Mexico, United States

AUDIT SCORING SUMMARY

Pre-Corrective Action Review

Post-Corrective Action Review

	Score:	Possible Points:	Percent Score:	Score:	Possible Points:	Percent Score:
Food Safety Management System Requirements	249	253	98%	251	253	99%
Module 4 - Harvest Crew	591	591	100%	591	591	100%
TOTAL	840	844	99%	842	844	99%

Non-Conformance Summary By Count

Pre-Corrective Action Non-Conformances

Post-Corrective Action Non-Conformances

	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances
Food Safety Management System Requirements	1	1
Module 4 - Harvest Crew	0	0
TOTAL	1	1

SECTIONS:

Food Safety Management System Requirements	Module 4 - Harvest Crew
Management System	General
Control of Documents and Records	Inspection
Procedures and Corrective Actions	Training
Internal and External Inspections	Harvest Worker Hygiene
Release of Items/Product	Harvest Practices
Supplier Monitoring/Control	Post-harvest Treatments
Traceability and Recall	Transportation and Tracking
Food Defense	On Site Storage

FSMS	Management System	
1.01.01	<p>Question: Is there a documented food safety policy detailing the company's commitment to food safety?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Food Safety policy includes objectives, food safety compromise (including its commitment to following all food safety laws, adhering to industry best practices, and continuous improvement). Policy updated for season 2022 and published in all operations. During the audit, workers were interviewed and demonstrate knowledge of this policy.</p>	
1.01.02	<p>Question: Is there an organizational chart showing all management and workers who are involved in food safety related activities and documentation (job descriptions) detailing their food safety responsibilities?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Organigrama" including main food safety positions and responsibilities. Also, job descriptions for these positions were shown.</p>	
1.01.03	<p>Question: Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Food Safety committee including: operations manager, food safety manager, fertilization coordinator, among other key food safety positions. The reunions are held at least every 3 months. Example: 6th of June 2022 where topics related to the maintenance of machinery were evaluated.</p>	
1.01.04	<p>Question: Is there a training management system in place that shows what types of training are required for various job roles of specific workers, including who has been trained, when they were trained, which trainings they still need to take, and a training schedule?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Matriz de capacitación" including scheduled trainings, topics, positions which will take the training. All training records were shown during the audit and match scheduled trainings.</p>	
1.01.05	<p>Question: Is there documented management verification review of the entire food safety management system at least every 12 months, including an evaluation of resources, and are there records of changes made?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Senior Management Review document, detailing the review of internal and external audits, current customer complaints, a review of the company's Food Safety Management System, Standard Operation Procedures and date. These reviews are held bimonthly</p>	

1.01.06	Question: Where specific industry guidelines or best practices exist for the crop and/or product, does the operation have a current copy of the document?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. LGMA updated document. EPA limits for MRL. FDA regulations and mexican NOM-127-SSA1-1994 for water standards.	

FSMS	Control of Documents and Records
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1.02.01	Question: Is there a written document control procedure (including document control register/record) describing how documents will be maintained, updated and replaced?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. "Control de documentos y registros". It includes policies for document control and management, review, document update, record keeping (for at least 3 years), handling of obsolete documents, and person responsible. Documents are kept in internal electronic document system and records are kept in Food Safety office under lock. Records were available during the audit.	

1.02.02	Question: Is there a documented and implemented procedure that requires all records to be stored for a minimum period of 24 months (or greater if legally required) or for at least the shelf life of the product if it is greater than 24 months?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Control de documentos y registros". It includes policies for document control and management, review, document update, record keeping (for at least 3 years), handling of obsolete documents, and person responsible. Documents are kept in internal electronic document system and records are kept in Food Safety office under lock. Records were available during the audit.	

1.02.03	Question: Are both paper and electronic food safety related documents and records created, edited, stored and handled in a secure manner?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Control de documentos y registros". It includes policies for document control and management, review, document update, record keeping (for at least 3 years), handling of obsolete documents, and person responsible. Documents are kept in internal electronic document system and records are kept in Food Safety office under lock. Records were available during the audit.	

1.02.04	Question: Are records maintained in an organized and retrievable manner?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. "Control de documentos y registros". It includes policies for document control and management, review, document update, record keeping (for at least 3 years), handling of obsolete documents, and person responsible. Documents are kept in internal electronic document system and records are kept in Food Safety office under lock. Records were available during the audit.	

1.02.05	Question: Are all records and test results that can have an impact on the food safety program verified by a qualified person independent of the individual(s) completing the records?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Results of microbiological tests as well as records were signed by Food Safety manager.	

FSMS	Procedures and Corrective Actions
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1.03.01	Question: Is there a written and standardized procedure for creating Standard Operating Procedures (SOPs) and their content?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: CT. "Creación de documentos" describes policies and rules to create SOPs. It must include: responsible for the document, steps to execute the task, frequency, related documents and records, and corrective actions that must be taken.	

1.03.02	<p>Question: Are the written procedures available to relevant users and is a master copy maintained in a central file?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. There were copies of the documents at point of use. There is a master copy kept under key at the Food Safety Office</p>	

1.03.03	<p>Question: Is there a documented corrective action procedure that describes the basic requirements for handling all non-conformances affecting food safety?</p>	<p>Possible Points: 5 Points Scored: 1 Score: Major Deficiency</p>
	<p>Auditor Comments: DM. "Acciones correctivas" does not include a root cause analysis methodology and does not indicate how the corrective actions should be closed (once efficiency of the corrective action is verified). The SOP's scope is for deviations, customer complaints, among others. Form "No conformidad" is used to record corrective actions.</p>	

<p>Auditee Comments: Se modifico documento para realizar acciones correctivas F-200-PAAN-03 No conformidad, agregando método de análisis de los 5 POR QUE para definir claramente la causa raíz de de la no conformidad, además se agrego al formato resultado de acciones correctivas agregando los datos para especificar si se cumplieron o realizaron las acciones correctivas.</p>		<p>View Files</p>
	<p>CA Accepted?</p>	
<p>CB/Auditor Review Comments: The corrective action is partially accepted since no root cause analysis was performed to prevent recurrence of the deficiency.</p>	<p>Yes</p>	<p>Possible Points: 5 Points Scored: 3 New Score: Minor Deficiency</p>

1.03.04	<p>Question: Is there an incident reporting system, also known as a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. NOUCA Form. There was an incident of a worker who was using his cellphone at the fields during harvesting. Corrective actions were taken and documented.</p>	

FSMS	Internal and External Inspections
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1.04.01	<p>Question: Is there a documented procedure for how internal audits are to be performed at the operations, including frequency and covering all processes impacting food safety and the related documents and records?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Auditorías internas". Frequency: twice per year per farm and per harvest crew. The document indicates that the Food Safety personnel is responsible to run the internal audits. Evidence of the most recent checklists was shown.</p>	

1.04.02	<p>Question: Are there written procedures for handling regulatory inspections?</p>	<p>Possible Points: 3 Points Scored: 3 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Inspecciones regulatorias". Includes policies to accompany inspectors at all times as well as how samples and pictures should be taken if needed.</p>	

1.04.03	<p>Question: Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. PrimusGFS audit by PAOMX from the 1st and 2nd of July 2021. Evidence of corrections from deficiencies was show.</p>	

1.04.04	<p>Question: Are there documented calibration and/or accuracy verification procedures for measuring and monitoring devices used in the operations that are related to the safety of the product?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Procedimiento de calibración". Including the methodologies for calibrating spray rig equipment and calibration frequency. Calibration of header for fertilizing dosage and distribution.</p>	

1.04.05	Question: Are calibration and/or accuracy verification records maintained and are they consistent with the requirements outlined in the SOP(s) for instruments and measuring devices requiring calibration?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Records for 2022 season were shown and reviewed for spray rig equipment and header. Records show good performance of the equipment for the season.	

FSMS	Release of Items/Product
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1.05.01	Question: Is there a documented product release procedure available?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Entrega de producto". Its responsibility of each unit to release the product for harvest. F-100-PAAN-43 is used in the field for QA compliance, free of pollutants, RMLS in compliance, no presence of animals, GAP in compliance, personal hygiene, no flooding, liberation from "Sanidad vegetal".	

1.05.02	Question: Are there records of product releases kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Entrega de producto". Its responsibility of each unit to release the product for harvest. F-100-PAAN-43 is used in the field for QA compliance, free of pollutants, RMLS in compliance, no presence of animals, GAP in compliance, personal hygiene, no flooding, liberation from "Sanidad vegetal".	

1.05.03	Question: Is there a documented procedure for handling on hold and rejected items?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Control de producto y equipo no conforme". This SOP states that if current specifications are not met, then they should be refused. QA is responsible to verify the compliance of the rejection to determine if it can be released or disposed.	

1.05.04	Question: Are there records of the handling of on hold and rejected items kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "PR-200-PAAN-04 Producto no conforme" include QA and Food safety specificatio for release, in case these are not met, then the product is rejected.	

1.05.05	Question: Is there a documented procedure for dealing with customer and buyer food safety complaints/feedback along with records and company responses, including corrective actions?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. There was a customer complaint on the 6th of January 2022 of spinach with presence of mechanic and worm damage. Actions were taken to shorten the application period for control of diabrotic.	

FSMS	Supplier Monitoring/Control
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1.06.01	Question: Is there a written procedure detailing how suppliers and service providers are evaluated, approved, and include the ongoing verification activities including monitoring? Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. "Compra de insumos". Includes supplier's specifications and how they are selected, reviewed, approved and monitored. In the case a supplier does not meet specification, then is rejected and taken off the approved supplier list.	

1.06.02	Question: Is there a list of approved suppliers and service providers including justification for use of any emergency (temporary) suppliers or providers?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. "Lista de proveedores autorizados de productos y servicios". Includes agronomic suppliers, services, among others.	

1.06.03	<p>Question: Are there current written food safety related specifications for all incoming products, ingredients, materials (including primary packaging), services provided on-site, and outsourced services?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Compra de insumos". Includes supplier's specifications and how they are selected, reviewed, approved and monitored. In the case a supplier does not meet specification, then is rejected and taken off the approved supplier list.</p>	
1.06.04	<p>Question: Does the organization have documented evidence to ensure that all incoming products, ingredients, materials, services provided on-site and outsourced service suppliers comply with the approval requirements and that all supplier verification activities (including monitoring) are being followed, as defined in the supplier approval procedure?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Guarantee letter from international paper (supplier of waxed cardboard boxes) in compliance with FDA 21 CFR 176.180. Mercury Plastics Inc (plastic bags in contact with lettuce) in compliance with FDA regulations and NOM-251-SSA1-2009. Aguilares SPR de RL supplier of seedling PGFS certified valid until the 5th of may 2022. Specifications are met.</p>	
1.06.05	<p>Question: Where food safety related testing is being performed by laboratory service providers, are these licensed and/or accredited laboratories (e.g., ISO 17025 or equivalent, national and local regulations, etc.)?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Agrolab (A-0618-0606/15 by EMA) and IEH International laboratories (AT-1594 by ANAB) both certified under ISO 17025:2005.</p>	

FSMS	Traceability and Recall
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1.07.01	<p>Question: Is there a document that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Sistema de trazabilidad". Traceability backward and forward. It describes how the product is tracked from field to liberation. There is a field ticket that is generated during harvest. This ticket includes field number, block number, variety and harvest date.</p>	
1.07.02	<p>Question: Does the organization have a documented recall program including procedures, recall team roles and contact details, external contact listings, requirement for recall effectiveness checks, explanation of different recall classes and handling of recalled product?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Procedimiento de recall". It describes how recalls are performed, recall contacts involved, such as customers, recall team, customer contact details and recall classes. Updated for season 2022.</p>	
1.07.03	<p>Question: Is testing of recall procedures (including traceback) performed and documented at least every six months, and the company can demonstrate the ability to trace materials (one step forward, one step back) effectively?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Recall tests are performed at least every 6 months. There was a testing performed in February 2022 for all production of garlic of 2021 from sowing to harvesting. The scenario was a parameter of MRL higher than what is permitted in the USA (simulation). 100% of the 24 freights was identified in less than 2 hours. Learning was documented, as well as documents such as guarantee letters, reception forms, pesticide application logs, production and harvesting logs, among others.</p>	

FSMS	Food Defense
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1.08.01	<p>Question: Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Análisis de vulnerabilidad de fraude alimentario" for history, geographic location, robbery, among others. After the assessment was done, no areas of concern were identified.</p>	
1.08.02	<p>Question: Is there a written food defense vulnerability assessment and food defense plan based on the risks associated with the operation?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Food defense policie tha includes water sources controls, harvesting controls and farm controls to prevent food contamination insuues.</p>	

1.08.03	Question: Are records associated with the food defense plan and its procedures being maintained, including monitoring, corrective action and verification records (where appropriate)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. It is required to sign as visitor when entering each operation.	
1.08.04	Question: Is there a current list of emergency contact phone numbers for management, law enforcement and appropriate regulatory agencies?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. "Lista de contactos de emergencia" includes: police, CB, internal personnel, among others.	
1.08.05	Question: Are visitors and contractors to the company operations required to adhere to food defense procedures?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. It is required to sign as visitor when entering each operation. Signature includes having read company operation policies.	
HC	General	
4.01.01	Question: Is there a designated person responsible for the operation's food safety program?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: CT. PSR Grower Training Course for Omar Amigon Utrera with Grower ID 204595; date 4/7/2022.	
4.01.02	Question: Does the operation have a written food safety hygiene and health policy covering at least worker and visitor hygiene and health, infants and toddlers, animal presence in growing and storage areas, fecal matter, dropped product, blood and bodily fluids?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: CT. Política de la empresa. Includes Health and Hygiene Policies including visitors and workers, infants and toddlers prohibition in the fields, animal presence in growing and storage areas, control of fecal matter, dropped product, blood, and body fluids controls.	
HC	Inspection	
4.02.01	Question: Is there documented evidence of the internal audits performed, detailing findings and corrective actions?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. Internal audit held from the 11th of May 2022 to the 14 of may 2022 for FSMS, GAP and Harvest crew. Evidence of corrective action was shown. At 7 Hermanos there was no organic certification by the time of the audit; corrective action has been taken and closed.	
4.02.02	Question: Are there records of pre-harvest inspections and do they show that the current block (or coded area) is cleared for harvest? If there are no pre-harvest inspections got to 4.02.03.	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Field Inspection (F.100.PAM.47 rev. 00) for the area being harvested was performed by Antonio Hernández for the current season. No issues were noted. These records are done every time before harvesting starts. For example: 06/16/2022.	
4.02.02a	Question: Where pre-harvest inspections have discovered issues, have buffer zones been clearly identified, and at the time of the audit, are those buffer zones being respected?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There were no additional issues requiring buffer zones at the time of the audit.	

4.02.03	Question: Is there a pre-operation inspection log?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. Pre-Harvest Inspection report (F-100-PAN-78 rev. 00) which covers equipment condition and personnel hygiene. The Harvest Manager conducts the inspection. These records are done every time before harvesting starts. For example: 06/16/2022.	

HC	Training
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4.03.01	Question: Is there a food safety hygiene training program covering new and existing workers and are there records of these training events?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. There were records for the monthly training of harvest workers available to review (F-100-PAM-62 Rev. 00), also there were training records of new hires on file. Training calendar (F-100-PAM-65 Rev. 02). It included logs for the sanitation workers. For example: april 2022.	

4.03.02	Question: Is there a documented training program with training logs for the sanitation workers, including best practices and chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. There were records for the monthly training of harvest workers available to review (F-100-PAM-62 Rev. 00), also there were training records of new hires on file. Training calendar (F-100-PAM-65 Rev. 02). It included logs for the sanitation workers. For example: april 2022.	

4.03.03	Question: Are there written and communicated procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced, and return to work requirements? (In countries with health privacy/confidentiality laws, e.g. USA, auditors can check procedure/policy but not the actual records).	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. There is a Health and Hygiene Policy that requires food handlers to report any cuts or grazes and/or if they are suffering from any illnesses that might be a contamination risk to the products being produced. It also indicates the steps to return to wor after having one of these conditions.	

4.03.04	Question: Are there worker food safety non-conformance records and associated corrective actions (including retraining records)?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. NOUCA Form. There was an incident of a worker who was using his cellphone at the fields during harvesting. Corrective actions were taken and documented.	

HC	Harvest Worker Hygiene
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4.04.01	Question: Are toilet facilities adequate in number and location? A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. There were two toilets for every 15 workers, one for men and one for women. The units were located less than a 5-minute walk from the workers' location.	

4.04.01a	Question: Are toilet facilities in a suitable location to prevent contamination to the product, packaging, equipment, and growing areas?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. Toilet facilities are located of level ground away from growing areas and packaging.	

4.04.01b	Question: Are toilet facilities designed and maintained to prevent contamination (e.g., free from leaks and cracks)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Toilets are free from leaks and cracks.	

4.04.01c	Question: Are toilet facilities constructed of materials that are easy to clean?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. Toilets are made of light-blue color and made with plastic and/or ceramic.	
4.04.01d	Question: Are the toilet facility materials constructed of a light color allowing easy evaluation of cleaning performance?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. Toilets are made of light-blue color and made with plastic and/or ceramic.	
4.04.01e	Question: Are toilet facilities supplied with toilet paper and is the toilet paper maintained properly (e.g., toilet paper rolls are not stored on the floor or in the urinals)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Toilet facilities were supplied with toilet paper and the toilet paper was maintained properly.	
4.04.01f	Question: Where used, is there a documented procedure for emptying the waste holding tanks in a hygienic manner and also in a way that prevents product, packaging, equipment, water systems and growing area contamination?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. This service is provided by Servibaños. The Emptying and Spill Containment Procedure details the steps for emptying the waste holding tanks; this procedure is done outside the farm.	
4.04.01g	Question: Are the toilet facilities and hand washing stations clean and are there records showing cleaning, servicing and stocking is occurring regularly?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. Toilet facilities and hand washing stations were clean and there are records showing cleaning, servicing and stocking is occurring on daily basis. Emptying waste holding tanks is done twice a week.	
4.04.02	Question: Is hand washing signage posted appropriately?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Hand washing signage was posted appropriately (at hand washing stations, was easy to read and had pictures showing the procedure).	
4.04.03	Question: Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. There are 3 stations per 2 bathrooms. At least 1 per 20 people.	
4.04.03a	Question: Are the hand wash stations designed and maintained properly (e.g., ability to capture or control rinse water to prevent contamination onto product, packaging, and growing area, free of clogged drains, etc.)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Hand wash stations designed and maintained properly.	
4.04.03b	Question: Are hand wash stations clearly visible (e.g., situated outside the toilet facility) and easily accessible to workers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Hand wash stations clearly visible and easily accessible to workers.	
4.04.03c	Question: Are hand wash stations adequately stocked with unscented soap and paper towels?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Hand wash stations are adequately stocked with unscented soap and paper towels.	

4.04.03d	<p>Question: In the event of running out of toilet materials (e.g., water, soap, toilet tissue, hand paper towels), are there extra supplies readily available so that toilets can be restocked quickly?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. There are extra supplies available at the farm and also at the main storage room.</p>	
4.04.04	<p>Question: Are total coliforms (TC) and generic E.coli tests conducted on the water used for hand washing at the required and/or expected frequency?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Sampled and analyzed on the 9th of February 2022 by IEH. Work order 23162. Sample taken from hand washing stations. Results: E. coli < 1 UFC/100mL, Fecal coliforms < 1.8 MPN/100mL. Samples are taken and analyzed every 3 months. Results in compliance on other dates such as may 2022 (E. coli < 1 UFC/100mL, Fecal coliforms < 1.8 MPN/100mL).</p>	
4.04.04a	<p>Question: Do written procedures (SOPs) exist covering proper sampling protocols, which include where samples should be taken and how samples should be identified?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Uso de agua". This SOP indicates that samples are taken from the water sources by a third-party accredited laboratory. Samples are taken from wells, reservoirs and at point of use. Samples must be identified with date, place where it was taken, sampler, among others.</p>	
4.04.04b	<p>Question: Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. "Uso de agua". This SOP indicates that in case of presence of a pathogen in a water source, the source gets cancelled and a risk assessment is conducted to determine the cause and then the water is analyzed before it is used again.</p>	
4.04.04c	<p>Question: If unsuitable or abnormal results have been detected, have documented corrective measures been performed?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. No unsuitable or abnormal results have been detected. The score is not affected.</p>	
4.04.05	<p>Question: Are workers washing and sanitizing their hands before starting work each day, after using the restroom, after breaks, before putting on gloves and whenever hands may be contaminated?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. The practice was not observed during the audit. The score is not affected</p>	
4.04.06	<p>Question: Are secondary hand sanitation stations (e.g., hand dips, gels or spray stations) adequate in number and location, and are the stations maintained properly?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Hand washing stations have secondary stations with hand sanitizer (alcohol based). The stations are maintained properly.</p>	
4.04.07	<p>Question: Is it evident that corrective actions are taken when workers fail to comply with hand washing guidelines?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. The practice was not observed during the audit. The score is not affected</p>	
4.04.08	<p>Question: Are workers who are working directly or indirectly with food, free from evidence of boils, sores, open wounds and are not exhibiting signs of foodborne illness?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Workers were free from sings of boils, sores, open wounds and are not exhibiting signs of foodborne illness.</p>	

4.04.09	Question: Is jewelry confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Jewelry is confined to a plain wedding band and watches, studs, false eyelashes, etc., are not worn.	
4.04.10	Question: Are worker personal items being stored appropriately (i.e. not in the growing areas(s) or material storage areas)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Worker personal items are being stored appropriately.	
4.04.11	Question: Is smoking, eating, chewing and drinking confined to designated areas, and spitting is prohibited in all areas?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. There was no evidence of eating, drinking or smoking at the growing areas.	
4.04.12	Question: Are workers wearing effective hair nets that contain all hair?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. During the audit, workers were wearing effective hair nets that contain all hair.	
4.04.13	Question: Are all items removed from garment (shirt, blouse, etc.) top pockets, and unsecured items are not worn (e.g., pens, glasses on top of head, Bluetooth devices, etc.)?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. There were no top pockets on workers clothes.	
4.04.14	Question: Are all workers wearing protective outer garments suitable for the operation (e.g. appropriate clean clothes, smocks, aprons, sleeves and non-latex gloves)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Workers were wearing plastic gloves, aprons, sleeves and boots.	
4.04.15	Question: Do workers remove protective outer garments (e.g., smocks, aprons, sleeves and gloves) when on break, before using the toilets and when going home at the end of their shift?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Workers remove protective outer garments.	
4.04.15a	Question: Is there a designated area for workers to leave protective outer garments (e.g., smocks, aprons, sleeves, and gloves) when on break and before using the toilet?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Worker personal items are being stored appropriately.	
4.04.16	Question: Is fresh potable drinking water readily accessible to workers?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. Fresh potable drinking water was readily accessible to workers.	
4.04.16a	Question: Are single use cups provided (unless a drinking fountain is used) and made available near the drinking water?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Individual cups are used by workers.	
4.04.17	Question: Are first aid kits adequately stocked and readily available?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. First aid kits are adequately stocked and readily available at the hand wash stations.	

4.04.18	Question: Are all commodities that come in contact with blood and/or other bodily fluids destroyed? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. No commodities were observed to be in contact with blood or other body fluids during the audit.	
4.04.19	Question: Are there adequate trash cans placed in suitable locations?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Trash cans are located outside the bathroom and hand washing stations. They have a metal lid and were closed by the time of the audit.	
4.04.20	Question: Are any potential foreign material issues (e.g., metal, glass, plastic) controlled?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. There are no potential mater issues at the farm.	
HC Harvest Practices		
4.05.01	Question: Is the harvest area free from animal presence and/or animal activity (wild or domestic)? If Total Compliance, go to 4.05.02.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. The harvest area was free from animal presence.	
4.05.01a	Question: Is the harvest area free from any evidence of animal fecal matter? A ZERO POINT (NON-COMPLIANCE) DOWNSCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT.	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.05.02	Question: Is the harvesting area free from any evidence of human fecal contamination? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. The harvestig area was free from any evidence of human fecal contamination.	
4.05.03	Question: Is the harvest area free from evidence of infants or toddlers?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. The harvest area was free from evidence of infants or toddlers.	
4.05.04	Question: Are all chemicals (pesticides, sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. All chemicals are stored securely, safely and labeled correctly.	
4.05.05	Question: Are "food grade" and "non-food grade" chemicals used appropriately, according to the label and not commingled?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. Food grade and non-food grade chemicals are used appropriately and stored correctly.	
4.05.06	Question: Are there records of microbial testing for water used for postharvest product contact (e.g., washing, re-hydrating) and product contact surfaces (e.g., cleaning grading packing tables and harvest tools) showing that there is no detectable total coliforms and generic E. coli in the water?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. The operation does not have the food in contact with water. Score is not affected.	

4.05.06a	Question: Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. The operation does not have the food in contact with water. Score is not affected.	
4.05.06b	Question: If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. The operation does not have the food in contact with water. Score is not affected.	
4.05.07	Question: Is the product harvested and transported to a facility for additional handling and/or final packing?	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes. The product is harvested and transported to a facility for additional handling and/or final packing.	
4.05.08	Question: Is the product packed in the final packing unit in the growing area? If No, go to 4.05.09.	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No. The product is not packed in the final packing unit in the growing area	
4.05.08a	Question: Is packing material (e.g., cartons, bags, clamshells, sacks, RPCs) intended for carrying product used for that purpose only?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.05.08b	Question: Is packing material inspected prior to use and is product and packing material free from handling contamination and exposure to the ground?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.05.08c	Question: If packing material is left in the growing area unattended, is it stored secured and protected?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.05.09	Question: Is the crop, harvested product, ingredients (including water), food contact packaging and food contact surfaces within accepted tolerances for spoilage and free from adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. There was no evidence of spoilage or adulteration on the day of the audit.	
4.05.10	Question: Are grading and packing surfaces, carts, ladders and other harvest aids used? If No, go to 4.05.11.	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes. Grading and packing surfaces are used for harvesting	
4.05.10a	Question: Does the design and condition of the grading and packing surfaces (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood) facilitate effective cleaning and maintenance?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. The design and condition of this surfaces is smooth, nontoxic and free of wood.	

4.05.10b	Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the grading and packing surfaces that includes the frequency of cleaning and sanitizing, and the procedures used, including chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Limpieza de superficies para cosecha". After cleaning, all surfaces are sanitized using quaternary salts (200 to 400 ppm) before harvesting and after drying. The records are kept on the log "Verificación diaria de BPA en cosecha". For example: 06/16/22.	
4.05.10c	Question: Are cleaning and sanitation logs on file for grading and packing surfaces that show what was done, when, by who and detail strength testing of anti-microbial solution used to sanitize surfaces?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. "Limpieza de superficies para cosecha". After cleaning, all surfaces are sanitized using quaternary salts (200 to 400 ppm) before harvesting and after drying. The records are kept on the log "Verificación diaria de BPA en cosecha". For example: 06/16/22.	
4.05.11	Question: Are re-useable containers (e.g. buckets, totes, lugs, RPCs, bins) used in the harvesting operation? If No, go to 4.05.12.	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes. RPC bins are used to pack harvested foods.	
4.05.11a	Question: Does the design and condition of re-usable containers (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood, no fabric) facilitate effective cleaning and maintenance?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. RPC surfaces are made out of smooth plastic that can be effectively cleaned.	
4.05.11b	Question: Are re-useable containers free from any handling contamination?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. Re-useable containers were free from any handling contamination.	
4.05.11c	Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the reusable containers that includes the frequency of cleaning and sanitizing, and the procedures used including chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Procedimiento de limpieza" and "Monitoring and Control Log" (F-100-PAM-58 Rev. 00) is used to record the cleaning and sanitation as well as the anti-microbial strength. Cleaning is done daily. Testing of the sanitizer is twice daily. Quaternary salts at a concentration between 200 and 400 ppm during the audit.	
4.05.11d	Question: Are cleaning and sanitation logs on file for reusable containers that show what was done, when, by who and detail strength testing of anti-microbial solution used to sanitize surfaces?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. "Procedimiento de limpieza" and "Monitoring and Control Log" (F-100-PAM-58 Rev. 00) is used to record the cleaning and sanitation as well as the anti-microbial strength. Cleaning is done daily. Testing of the sanitizer is twice daily. Quaternary salts at a concentration between 200 and 400 ppm during the audit.	
4.05.12	Question: Are tools (e.g. knives, clippers, scissors, etc.) used in harvesting? If No, go to 4.05.13.	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes. Knives with plastic handler are used in harvesting.	
4.05.12a	Question: Does the design and condition of harvest tools (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood, no fabric) facilitate effective cleaning and maintenance?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. Knife's blades are stainless steel and have a plastic handler.	

4.05.12b	Question: Are harvest tools free from exposure to the ground and/or any handling contamination?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. When not in use, knives are deposited in a sanitation station with 200 ppm of quaternary salts.	
4.05.12c	Question: Is there a tool accountability, storage and control program for knives and similar cutting hand tools used in the harvest area when not in use?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Verificación diaria de BPA en cosecha" where the number of knives that enter the operation are counted every day at the beginning and end of the shift.	
4.05.12d	Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for harvest tools that includes the frequency of cleaning and sanitizing, and the procedures used including chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Sanitización y limpieza de equipo de cosecha" where the written steps for cleaning, sanitizing and solution preparation (200 to 400 ppm of quaternary salts) is written. This procedure was at point of use and it is used on daily basis.	
4.05.12e	Question: Are cleaning and sanitation logs on file for harvest tools that show what was done, when, by who and detail strength testing of anti-microbial solution used to sanitize surfaces?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. "Verificación diaria de BPA en cosecha" where the number of knives that enter the operation are counted every day at the beginning and end of the shift. The concentration of quaternary salts is measured every day. For example: 06/16/2022 with 200 ppm at 6:50 am for tool dips.	
4.05.12f	Question: Are harvesting tool dips being maintained properly in terms of anti-microbial solution strength and are records of the solution checks being maintained? AUDITORS SHOULD REQUIRE A TEST AT THE TIME OF THE AUDIT.	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Verificación diaria de BPA en cosecha" where the number of knives that enter the operation are counted every day at the beginning and end of the shift. The concentration of quaternary salts is measured every day. For example: 06/16/2022 with 200 ppm at 6:50 am for tool dips.	
4.05.13	Question: Is machinery used in the harvesting process? If No, go to 4.05.14.	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes. Packing line composed of tractor, conveyor belt and truck holding bins to deposit harvested products.	
4.05.13a	Question: Are food contact machinery surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. Food contact machinery surfaces were free of flaking paint, corrosion, rust and other unhygienic materials.	
4.05.13b	Question: Are food contact machinery surfaces clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. Food contact machinery surfaces are clean.	
4.05.13c	Question: Are non-food contact machinery surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g., tape, string, cardboard, etc.)?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. Non-food contact machinery surfaces were free of flaking paint, corrosion, rust and other unhygienic materials.	

4.05.13d	Question: Are non-food contact machinery surfaces clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. Non-food contact machinery surfaces were clean.	
4.05.13e	Question: Does the design and condition of the machinery (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood) facilitate effective cleaning, sanitation and maintenance?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. The design and condition of the machinery facilitate effective cleaning, sanitation and maintenance.	
4.05.13f	Question: Is machinery designed and used properly to minimize product contamination (e.g., drip pans utilized, dedicated tractor pathways)?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Machinery is designed and used properly to minimize product contamination	
4.05.13g	Question: Are all glass issues on harvesting machines, in-field trucks, and tractors protected in some manner?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. All glass issues on harvesting machines, in-field trucks, and tractors are protected.	
4.05.13h	Question: Are all platforms above product, packaging, or food contact surfaces (e.g., belts) on the harvest machinery and in-field trucks fitted with protection to prevent product contamination?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. All platforms above product, packaging, or food contact surfaces on the harvest machinery and in-field trucks are fitted with protection to prevent product contamination.	
4.05.13i	Question: Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the harvest machinery that includes the frequency of cleaning and sanitizing, the procedures used including chemical use details?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. "Programa de limpieza documentado" SOP (F-400-MAQ-31 Rev. 01) records for the harvest equipment available to review. Machinery is cleaned every day before harvesting practices and its saltized used quaternary salts at a concentration between 200 and 400 ppm. For example: 06/16/2022.	
4.05.13j	Question: Are cleaning and sanitation logs on file for harvest machinery that show what was done, when, by who and detail strength testing of anti-microbial solution used to sanitize surfaces?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. "Programa de limpieza documentado" SOP (F-400-MAQ-31 Rev. 01) records for the harvest equipment available to review. Machinery is cleaned every day before harvesting practices and its saltized used quaternary salts at a concentration between 200 and 400 ppm. For example: 06/16/2022.	
4.05.13k	Question: Is there written documentation showing that only food grade lubricants are used on the critical parts of the harvesting machinery that have the potential to contaminate product?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. The company has a written policy that states that only food grade lubricants are used in harvesting machinery where contamination risk is probable.	
4.05.14	Question: Is water used directly on product contact (e.g. re-hydration, core in field)? If No, go to 4.05.15.	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No. Water is not used directl on product contact.	
4.05.14a	Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring of anti-microbial parameters in single-pass and/or recirculated/batch water systems and changing of recirculated/batch water systems (e.g., dump tanks) and for pH and monitoring water temperature (if applicable)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	

4.05.14b	Question: Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, peroxyacetic acid) strength testing of wash water prior to start up and throughout the run?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.05.14c	Question: Are there records of monitoring for build-up of organic material (turbidity) and changing of recirculated and batch water systems (e.g., dump tanks, flumes, hydro vacuums, hydro coolers, etc.)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.05.14d	Question: Does the operation use the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (e.g., postharvest product contact water, dip stations, etc.) being used, are they in operational condition and are they being used correctly?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.05.15	Question: Is the harvested product "in-field processed" or "in-field semi-processed" (e.g., core in field, top & tail, florets)? If No, go to 4.06.01.	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No. The harvested product is not processed or seme-processed at the fields.	
4.05.15a	Question: Where harvested product is "in-field processed" or "in-field semi-processed," does the process flow, machine layout, worker control, utensil control, etc. ensure that processed products are not contaminated by unprocessed products?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.05.15b	Question: Are all plastic bin liners closed immediately after harvest to avoid contamination of the harvested product?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	

HC	Post-harvest Treatments
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4.06.01	Question: Is there any post-harvest treatment performed to the product in the growing area? If No, go to 4.07.01	Possible Points: 0 Points Scored: 0 Score: No
	Auditor Comments: No. There are no post-harvest treatments performed to the product in the growing areas.	
4.06.01a	Question: Are there up to date records of all pesticides applied in the growing area to the harvested product? A ZERO POINT (NON-COMPLIANCE) DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THIS AUDIT	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.06.01b	Question: Are all pesticides applied post-harvest authorized/registered by the authority/government of the country of production? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.06.01c	Question: Are all pesticides applied post-harvest used as recommended/directed in the label? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AN AUTOMATIC FAILURE OF THE AUDIT.	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	

4.06.01d	<p>Question: Where products are destined for export, is there information for post-harvest pesticide Maximum Residue Limits (MRLs) compliance considering, country of destination, target crop(s) and active ingredients applied?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.06.01e	<p>Question: Where products are destined for export, is there evidence that Maximum Residue Levels (MRL's), of the intended markets are met?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.06.01f	<p>Question: Is there a documented procedure for the post-harvest pesticide applications, considering mixing and loading, applying, and equipment cleaning?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.06.01g	<p>Question: Is there documentation that shows the individual(s) making decisions for post-harvest pesticide applications is competent?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.06.01h	<p>Question: Is there documentation that shows that individuals who handle post-harvest pesticide materials are trained and are under the supervision of a trained person?</p> <p>Auditor Comments:</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
HC	Transportation and Tracking	
4.07.01	<p>Question: Are the vehicles loading and transporting fresh produce from growing area to facility limited to this function only, maintained in proper condition, and adequate for the purpose?</p> <p>Auditor Comments: TC. Truck and trailers were in proper condition and are adequate for harvestig purposes.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
4.07.02	<p>Question: Is there a system in place to track product from the growing area? If No, go to 4.08.01.</p> <p>Auditor Comments: TC. "ticket" or field tag is generated at harvesting. This document includes: far section, date, variety harvested, quantity, order, destination, responsible, among others.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
4.07.02a	<p>Question: If product is being packed in the growing area, are the cartons, boxes, RPCs or any other packaging material used, identified with the harvesting date and growing location information? This question does not apply for raw material/bulk product destined for further handling in a packinghouse or processing facility.</p> <p>Auditor Comments: N/A. The harvested product is destined for further handling in a packing house or processing facility. The product is sent with "ticket" including traceability information.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.07.02b	<p>Question: If product is being packed in the growing area and individual packing units are used (e.g., clamshells, bags, baskets or others), are these individual units identified with the harvesting date and growing location information? This question does not apply for raw material/bulk product destined for further handling in a packinghouse or processing facility.</p> <p>Auditor Comments: N/A. The harvested product is destined for further handling in a packing house or processing facility. The product is sent with "ticket" including traceability information.</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
HC	On Site Storage	

4.08.01	<p>Question: Is there an on-site storage for items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.)?</p>	<p>Possible Points: 0 Points Scored: 0 Score: No</p>
	<p>Auditor Comments: No. There is no on-site storage dor items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others.</p>	
4.08.01a	<p>Question: Is on-site storage for items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.) clean and secure?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There is no on-site storage dor items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.</p>	
4.08.02	<p>Question: Are packaging, containers, and harvesting equipment stored to prevent cross contamination (this includes RPCs, cartons, clamshells, bins, and other harvesting type of containers that are single use or reusable, etc.)?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There is no on-site storage dor items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.</p>	
4.08.03	<p>Question: Are there cleaning logs for the storage area(s)?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There is no on-site storage dor items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.</p>	
4.08.04	<p>Question: Is there a documented and effective pest control program in place for fixed location storage areas?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There is no on-site storage dor items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.</p>	
4.08.04a	<p>Question: Are pest control devices located away from items and/or equipment used in the harvesting process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs, harvesting equipment, etc.), and poisonous bait stations are not used inside the storage areas?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There is no on-site storage dor items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.</p>	
4.08.04b	<p>Question: Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There is no on-site storage dor items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.</p>	
4.08.04c	<p>Question: Are pest control devices adequate in number and location?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments: N/A. There is no on-site storage dor items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.</p>	

4.08.04d	Question: If storage areas are fully enclosed, are measures taken to prevent pest entry?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no on-site storage for items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.	
4.08.04e	Question: Are all pest control devices identified by a number or other code (e.g., barcode) ?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no on-site storage for items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.	
4.08.04f	Question: Are all pest control devices effective and bait traps secured?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no on-site storage for items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.	
4.08.04g	Question: Is there a schematic drawing/plan of the storage area showing numbered locations of all pest monitoring devices, both inside and outside the storage area?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no on-site storage for items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.	
4.08.04h	Question: Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A. There is no on-site storage for items, equipment or packing materials. There is a general storage outside the farm for fumigants, cartboard, RPC bins, harvesting equipment, among others. Score is not affected.	