FINAL AUDIT REPORT

Operation Type:Harvest Crew
Audit Report Summary

CB Registration No.PA-PGFS-10009-22
PrimusGFS ID #180043 - Cert:3
Audited by Primus Auditing Operations

PrimusGFS Version 3.0

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Organization:	**Agrícola La Minita S.P.R. de R.L.** Contact(s): José Antonio Hernández García Address: Congregación Los Rodriguez, San Miguel de Allende, Guanajuato 37880 Location: San Miguel de Allende, Guanajuato, Mexico Phone Number: (045) 4151176189
Harvest Crew Number/Name:	Isidro Calzada Morales Harvest Crew Company Name: Agricola La Minita S.P.R. de R.L. Contact(s): José Antonio Hernández García
Audit Location:	Grower Name: Agrícola La Minita S.P.R. de R.L. Operation Name: Chetumal Operation Location: San Luis de la Paz, 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 Scope:	The harvesting and field packing of broccoli into RPC bins using hand tools (knives and gloves) and packing belts, however, the product is sent to packinghouse for further process (freezing or cooling). The crew consisted of 15 workers wearing hair restraints and plastic aprons.
Date FSMS Started:	11 Jul 2019 09:00
Date FSMS Finished:	11 Jul 2019 11:00
Total Amount of Time in FSMS	2.00 Hours
Date Operation Started:	11 Jul 2019 11:00
Date Operation Finished:	11 Jul 2019 16:00
Total Amount of Time in Operation	5.00 Hours
Product(s) observed during audit:	Broccoli Organic
Similar product(s)/process(es) not observed:	None
Product(s) applied for but not observed:	Radicchio
Auditor:	Laura Edith Ramírez Luquín (Primus Auditing Operations)
Preliminary Audit Score:	**99%**
Final Audit Score:	**100%**
Certificate Valid From:	02 Aug 2019 To 01 Aug 2020

GPS Coordinates:	Latitude	Longitude	
	21° 9' 13"	100° 37' 26"	Click here to see map

View Certificate | Corrective Action Activity

Information related to the audited operation

Total number of workers:	15	**Harvesting Process:**	Hand Harvesting
Packing:	Product is packed for additional handling/packing	**Equipment Used:**	RPCs, Rigs, Knives
Processing:	N/A	**Processing Type:**	
Postharvest water use:	N/A	**Antimicrobial Used:**	Sodium/Calcium hypochlorite

Product information for each product

Product Group/Product Name	Seasonality
Broccoli, Organic	**From:** February **To:** December
Radicchio	**From:** February **To:** December

AUDIT SCORING SUMMARY	Pre-Corrective Action Review		Post-Corrective Action Review	
Food Safety Management System Requirements	Score: Possible Points: Percent Score:	221 224 **98%**	Score: Possible Points: Percent Score:	224 224 **100%**
Module 4 - Harvest Crew	Score: Possible Points: Percent Score:	585 587 **99%**	Score: Possible Points: Percent Score:	587 587 **100%**
TOTAL	Score: Possible Points: Percent Score:	806 811 **99%**	Score: Possible Points: Percent Score:	811 811 **100%**

Non-Conformance Summary By Count	Pre-Corrective Action Non-Conformances	Post-Corrective Action Non-Conformances
Food Safety Management System Requirements	2	0
Module 4 - Harvest Crew	1	0
TOTAL	**3**	**0**

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	Harvesting Inspections, Policies and Training
Release of Items/Product	Harvest Worker Hygiene
Supplier Monitoring/Control	Harvest Practices
Traceability and Recall	Transportation and Tracking
Food Defense	On Site Storage

FSMS — Management System

1.01.01

Question: Is there a documented food safety policy detailing the company's commitment to food safety?

Possible Points: 5
Points Scored: 5
Score: Total Compliance

Auditor Comments: TC, The policy includes the company's objectives and its commitment to following all food safety laws, adhering to industry best practices, and continuous improvement. The policy was updated for the season and posted at the entrance of every farm.

1.01.02

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?

Possible Points: 10
Points Scored: 10
Score: Total Compliance

Auditor Comments: TC, There is an Organization Chart (F-300-PAM-15 Rev. 05 Organigrama) showing the positions with food safety responsibility. The names of the people currently holding those positions are listed. Alternates for each position are listed. The responsibilities for each position are summarized.

1.01.03

Question: Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?

Possible Points: 5
Points Scored: 5
Score: Total Compliance

Auditor Comments: TC, The Food Safety Committee members names are listed on the Food Safety Committee List (F-200-OCE-11 Rev. 00). The committee meets quarterly. Meeting minutes signed by management were reviewed (topics related to pest control).

1.01.04

Question: Is there a training management system in place that shows what types of trainings 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?

Possible Points: 5
Points Scored: 5
Score: Total Compliance

Auditor Comments: TC, review of the documented training system, including a training matrix, training schedule (monthly), and a training register ere available to review: "Plan de capacitación de cuadrillas y supervisores F-100-PAM-99 Rev. 02".

1.01.05

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?

Possible Points: 10
Points Scored: 10
Score: Total Compliance

Auditor Comments: TC, there is a Senior Management Review document, dated feb/19 that details a review of internal and external audits, an analysis of customer complaints, a review of company FSMS, a review of SOP's, a review of workers performance. It is performed every two months.

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, the following documents relevant to the operation were on file and current: LGMA Food Safety Concerns: CFR and COFEPRIS references, organic regulations and NOM-127-SSa1-1994 for potable water standards.	

FSMS	Control of Documents and Records

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, there is a Document Records Control document (PR-200-OCE-01 Rev. 0) that specifies who is responsible for document control, how documents are updated and amendments approved, how changes are identified and recorded, and how inadvertent use of obsolete documents is prevented. It includes flow charts with this information and the names of the responsible people.	

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, there is a Document Records Control document (PR-200-OCE-01 Rev. 0) that specifies who is responsible for document control, how documents are updated and amendments approved, how changes are identified and recorded, and how inadvertent use of obsolete documents is prevented. It includes flow charts with this information and the names of the responsible people. Files are meant to be saved for at least 3 years.	

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:** 3 **Points Scored:** 3 **Score:** Total Compliance
	Auditor Comments: TC, responsible's computers are stored in a locked office, the electronic versions of the documents are on a password-protected computer. The Master Copies of the documents are kept in the locked office. Hard copies of all records are kept in the locked office.	

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, Records are filed by activity or section. Documents were readily available.	

1.02.05	**Question:** Are all records and test results that can have an impact on the food safety program reviewed and signed off by the person responsible for the food safety program?	**Possible Points:** 3 **Points Scored:** 2 **Score:** Minor Deficiency
	Auditor Comments: MN, except microbiological results, records which have an impact on food safety (Records include Well Inspection, Pre-Operation Inspections, Pre-Harvest Inspections, and Internal Audits are signed by the Food Safety Manager upon receipt).	

Auditee Comments: Se modifica el formato F-100-PAM-32 Programa anual muestreo fuente de agua por tercería agregando opción de revisado justificando que el análisis fue verificado en su contenido.		View Files
	CA Accepted?	
CB/Auditor Review Comments: *Aceptada*	**Yes**	**Possible Points:** 3 **Points Scored:** 3 **New Score:** *Total Compliance*

FSMS	Procedures and Corrective Actions

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: TC, the Creation of SOPs document (IT-200-OCE-01 Rev. 0) describes how to write SOPs. The document specifies that SOP's detail what is to be done (with flow charts), how it is done, frequency, responsibility, what recordings are required, and corrective actions to be taken when deficiencies are noted.	
1.03.02	**Question:** Are the written procedures available to relevant users and is a master copy maintained in a central file?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, the master copy of SOPs is maintained in the office. Farm-related SOPs are located in the harvest crew supervisor.	
1.03.03	**Question:** Is there a documented corrective action procedure that describes the required processes for handling non-conformances affecting food safety?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, the Corrective Action SOP (PR-200-OCE-04 Rev. 01) includes the steps required by corrective action/preventative action: review of the non-conformance; determination of the root cause; establishment of an action plan; implementation of the corrective actions and preventative actions; and follow up validation to ensure the corrective actions have solved the problem (F-200-OCE-03 Rev. 00).	
1.03.04	**Question:** Is there an incident reporting system, also known as a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, there is a NUOCA Log (F-100-PAM-35 Rev. 0) used for recording unusual occurrences. The picking of trash in the ranches was recorded.	

FSMS — Internal and External Inspections

1.04.01	**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?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: TC, There is a Performing Internal Audit document (PR-200-OCE-03 Rev. 0) which identifies the areas to be audited and who is responsible for conducting the audits. Audits are conducted twice a year per farm and per harvest crew. The PGFS checklist is used to record findings and corrective actions.	
1.04.02	**Question:** Are there written procedures for handling regulatory inspections?	**Possible Points:** 3 **Points Scored:** 3 **Score:** Total Compliance
	Auditor Comments: TC, there is a Procedure that includes handling a Regulatory Inspection document (IT-100-PAM-55 Rev. 01). There are rules for escort of inspectors at all times and for the taking of samples and photographs.	
1.04.03	**Question:** Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, it was presented an option 1 report for Global GAP by SCS 04/09/19 for garlic, corrective actions were accepted and closed.	
1.04.04	**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?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: TC, There is a Calibration Procedure (PR-900-PAM-01 Rev. 02) that describes the methods and responsibilities for calibrating the spray rig equipment, scales, etc. The frequency is with each use. The original equipment manufacturer's procedures are used. Records for 2019 were reviewed.	

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 2019 were reviewed, calibration frequencies were in accordance with the Calibration SOP.	

FSMS Release of Items/Product

1.05.01	Question: Is there a written procedure for handling on hold and rejected items?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC, there are Hold Product/Release and Rejected Product/Release (PR-200-OCE-06 Rev. 01) documents that describe the methods and responsibilities with a floe chart for handling items that have been rejected or placed on hold. The procedures include the separation and tagging of suspect items with information regarding the who placed the item on hold along with the date and the reason. The procedures include the methods and responsibilities for removing items from hold including the date and time of release, disposition, and authorized signature.	
1.05.02	Question: Are there records of the handling of on hold and rejected items kept on file?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments: N/A, Per Antonio Hernández, there have been no items rejected or placed on hold this season.	
1.05.03	Question: Is there a documented product release procedure available?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC, there is a Product Release from Field document (IT-100-PAM-73 Rev. 0) that describes the release procedure and documentation. The daily harvest verification list (IT-100-PAM-73 Rev. 0) must be signed by the Field Manager to authorize the release of product from the field.	
1.05.04	Question: Are there records of product releases kept on file?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC, the daily harvest verification list(IT-100-PAM-73 Rev. 0) must be signed by the Field Manager to authorize the release of product from the field. The documents shown were maintained up to date.	
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 is a Customer Product Complaints document (PR-200-OCE-04 Rev. 01) detailing how customer complaints will be handled. There is a Customer Claim/Complaint Form and a Product Complaints Log used to document customer feedback/complaints. There have been no complaints this season.	

FSMS Supplier Monitoring/Control

1.06.01	Question: Is there a list of approved suppliers and service providers?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC, there is an Approved Source List (F-500-OCE-03 Rev. 0) which contains the information for suppliers of seed, packaging, chemicals, and services. It was reviewed the cleaning supply supplier, lab services and chemical supplies supplier were updated.	
1.06.02	Question: Are there current written food safety related specifications for all incoming products, ingredients, materials (including packaging), services provided on-site, and outsourced services?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC, the Supplier Control - Specifications document (F-500-PAM-12 Rev. 01) specifies what is required from suppliers of seed, services, packaging, and crop nutrition/protection materials.	

1.06.03	**Question:** Is there a written procedure detailing how suppliers and service providers are evaluated, including hazard analysis and supplier control of hazards (where applicable), supplier approval, and ongoing verification activities including monitoring? Note that supply chain preventive controls and supply-chain-applied controls are also mentioned in Module 7.	**Possible Points: 5** **Points Scored: 5** **Score:** Total Compliance
	Auditor Comments: TC, there is a Supplier Control - Specifications document (PR-500-PAM-01 Rev. 02) that details the methods and responsibilities for the selection, evaluation, approval, and monitoring of suppliers. The evaluation is performed every purchase.	
1.06.04	**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 activies (including monitoring) are being followed, as defined in the supplier approval procedure?	**Possible Points: 15** **Points Scored: 15** **Score:** Total Compliance
	Auditor Comments: TC, there was a current Letter of Guarantee of the mobile toilets services supplier, including CoA for hand soap, Wastewater discharge permit PTAR II for Sanirent of 2019, current FSS certificate of FSSC 22000 is shown for Bio Pappel del Bajío for cardboard boxes, quality certificates for plastic bags where it is indicated that they are food-grade, etc.	
1.06.05	**Question:** Where food safety related testing is being performed by external laboratory service providers, are these licensed and/or accredited laboratories (e.g., ISO 17025 or equivalent, national and local regulations, etc.)?	**Possible Points: 5** **Points Scored: 5** **Score:** Total Compliance
	Auditor Comments: TC, Agrolab conducts laboratory work on water. The laboratory is accredited to EMA (A-0618-0606/15, AG 0760-078/16 and authorized by COFEPRIS TA-10-17) and IEH International Laboratories S de RL de CV ISO/IEC 17025:2005, AOAC documents current. The laboratories scope includes microbiological testing of water for total coliforms and generic E.coli.	

FSMS	Traceability and Recall

1.07.01	**Question:** Is there is 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?	**Possible Points: 10** **Points Scored: 10** **Score:** Total Compliance
	Auditor Comments: TC, there is a Traceability System document (PR-100-PAM-13 Rev. 01) which describes in writing and with an accompanying diagram how product is tracked. The product from the field has a Field Ticket (orden de flete) that details the field number, the block number, the variety, and the harvest date.	
1.07.02	**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?	**Possible Points: 15** **Points Scored: 15** **Score:** Total Compliance
	Auditor Comments: TC, there is a Trace Recall System document (PR-200-OCE-07 Rev. 00) that describes how to perform a product recall, has recall team details, makes reference to supplier and customer contact details, and describes classes of recalls. The contact list was most recently updated in 2019.	
1.07.03	**Question:** Is testing of recall procedures (including trace back) 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?	**Possible Points: 10** **Points Scored: 10** **Score:** Total Compliance
	Auditor Comments: TC, A mock recall was conducted on 03/08/19. The scenario involved the recall of product due to foreign. The trace of the product took less than 120 minutes with 100% of the product located. Mock recalls are conducted every six months. There have been no recalls in the last twelve months per Antonio Hernández.	

FSMS	Food Defense

1.08.01	**Question:** Is there a written food fraud vulnerability assessment (FFVA) and protection plan for all types of fraud, including all incoming and outgoing products?	**Possible Points: 5** **Points Scored:** 3 **Score:** Minor Deficiency
	Auditor Comments: MN, no control plan is indicated for the prevention of fraud in inputs, Food Defense policy (IT-100-PAM-55) indicates controls to prevent intentional contamination within the fields and harvesting processes.	

Auditee Comments: *Describir medidas preventivas para evitar fraudes alimentarios, así como las contenciones a realizar en caso de que se presente algún fraude alimentario. descritos en el IT-100-PAM-55 Biseguridad y fraude alimentario.*   [View Files]

	CA Accepted?	
CB/Auditor Review Comments: *Aceptada*	**Yes**	*Possible Points:* 5 *Points Scored:* 5 *New Score:* *Total Compliance*

1.08.02	**Question:** Does the company have a documented food defense plan based on the risks associated with the operation?	**Possible Points: 5** **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, a Food Fraud Vulnerability Assessment (IT-100-PAM-55) was conducted that describes the company's food defense control measures. No areas of concern were identified.	

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, records include the Visitors Log, The Pre-harvest inspections, pre-operational inspections.	

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, there is a current Emergency Contact List including the contact information for company personnel, local law enforcement, and the regulatory agencies at the entrance of farms.	

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, The visitors were required to sign the Visitors Log stating that he would abide by the food safety and food defense policies of the company.	

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: TC, Antonio Hernández is the person in charge of the food safety program. The harvest crew supervisor is Isidro Calzada Morales.	

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: Yes. There is a Health and Hygiene Policy covering worker and visitor hygiene and health, infants and toddlers, animal presence in growing and storage areas, fecal matter, dropped product, blood and bodily fluids.	

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, there are records of self-audits conducted with corrective actions noted. The PGFS checklist is used. The most recent audit was conducted from 02/12/19 to 02/14/19 by Antonio Hernández no deficiencies were observed for HC's. Corrective actions reported on F-200-OCE-03 Rev. 00 for a lack of analysis of heavy metals for inorganic fertilizers, for risk assessment for fields not updated, updating maps of ranches and neighboring land with livestock or animals.	
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?	**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 from 02/12/19 to 02/14/19. No issues were noted.	
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: Not Applicable. There were no issues requiring buffer zones at the time of the audit. Scoring is not affected.	
4.02.03	**Question:** Is there a pre-operation inspection log?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: TC, there is a Pre-Harvest Inspection report (F-100-PAN-78 erv. 00) which covers equipment condition and personnel hygiene. The Harvest Manager conducts the inspection.	

HC	Training

4.03.01	**Question:** Is there a food safety hygiene training program covering new and existing workers and are 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.	
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.	
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, the Health and Hygiene Policy (F-100-PAM-83 Rev. 01) requires 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.	
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, Yes. An Employee Correction Notice (F-100-PAM-29 Rev. 01) is used to document worker non-conformance issues and corrective actions.	

HC	Harvesting Inspections, Policies and Training

4.04.01	**Question:** Is there a documented policy, supported by worker training records, stating that when commodities are dropped on the ground they are discarded? (Non-applicable for commodities such as tubers, root crops, etc.)	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, he Health and Hygiene Policy (F-100-PAM-83 Rev. 01) states that when commodities are dropped on the ground they are discarded. There are records of new hire training covering this topic on file.	
4.04.02	**Question:** Is there a documented policy, supported by worker training records, stating what happens when harvesters find evidence of animal intrusion (e.g., fecal material)?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, he Health and Hygiene Policy (F-100-PAM-83 Rev. 01) details actions to be taken by harvesters if there is evidence of animal intrusion. There are records of new hire training covering this topic on file.	
4.04.03	**Question:** Is there a documented policy, supported by worker training records, stating that commodities are discarded after coming into contact with blood or bodily fluids?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, he Health and Hygiene Policy (F-100-PAM-83 Rev. 01) states that commodities are to be discarded after coming into contact with blood or bodily fluids. There are records of new hire training covering this topic on file.	

HC	Harvest Worker Hygiene	
4.05.01	**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 a crew of 9 women and 6 men. One toilet was designated for women and one for men. The units were located less than a 5-minute walk from the workers' location.	
4.05.01a	**Question:** Are toilet facilities in a suitable location to prevent contamination to product, packaging, equipment, and growing areas?	**Possible Points:** 15 **Points Scored:** 15 **Score:** Total Compliance
	Auditor Comments: Yes. The toilet trailers are located on the access road outside of the growing area. There was no packaging or equipment near the toilet trailers.	
4.05.01b	**Question:** Are the catch basins of the toilets designed and maintained to prevent contamination (e.g., free from leaks and cracks)?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes, there is a container designed and maintained to prevent contamination.	
4.05.01c	**Question:** Is there a documented procedure for emptying the catch basin 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: Yes. Emptying is contracted to Servibaños. The Emptying and Spill Containment Procedure details the steps.	
4.05.01d	**Question:** Are toilets constructed of materials that are easy to clean?	**Possible Points:** 3 **Points Scored:** 3 **Score:** Total Compliance
	Auditor Comments: Yes. The toilets are made of plastic.	
4.05.01e	**Question:** Are the toilet materials constructed of a light color allowing easy evaluation of cleaning performance?	**Possible Points:** 3 **Points Scored:** 3 **Score:** Total Compliance
	Auditor Comments: Yes. The toilets are light blue in color.	

4.05.01f	**Question:** Are toilets 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: Yes. The toilets were observed to have clean, dry toilet paper not stored on the floor.	
4.05.01g	**Question:** Are the toilet facilities and hand washing stations clean and are there records showing toilet cleaning, servicing and stocking is occurring regularly?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: Yes. The units appeared clean. There were records for daily cleaning. There were records showing emptying two times per week.	
4.05.02	**Question:** Is there evidence of human fecal contamination in the harvesting area? 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: No, it was not observed evidence of human fecal contamination in the harvesting area.	
4.05.03	**Question:** Is hand washing signage posted appropriately?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. Signs instructing workers when and how to wash hands were observed to be posted on the toilet trailers/hand washing stations.	
4.05.04	**Question:** Are hand washing stations adequate in number and appropriately located for worker access and monitoring usage? 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: Yes. There are two hand washing stations on each trailer for a crew of 9 women and 6 men. The stations are clearly visible.	
4.05.04a	**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: Yes. The handwashing stations drain into a catch basin. There was no evidence of leakage.	
4.05.04b	**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: Yes. The handwash stations are located on the toilet facility trailers. The stations are clearly visible.	
4.05.04c	**Question:** Are hand wash stations adequately stocked with unscented soap and paper towels?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. Unscented liquid soap and paper towels were available at the time of the audit.	
4.05.04d	**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?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. Additional toilet supplies are located in the harvest truck near the toilet units.	
4.05.05	**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?	**Possible Points:** 15 **Points Scored:** 15 **Score:** Total Compliance
	Auditor Comments: TC, Agrolab's test 04/14/19 AG127-19-405 y MBAG-127-19-257 for total coliforms (1.1NMP/100mL Detectado), fecal coliforms and e. coli < 1.1NMP/100mL.	

4.05.05a	**Question:** Do written procedures (SOPs) exist covering proper sampling protocols, which include where samples should be taken and how samples should be identified?	**Possible Points: 10** **Points Scored: 10** **Score:** Total Compliance
	Auditor Comments: TC, a sampling protocol for IEH states how to samples are to be taken and how samples are to be identified is stated on Agrolab AI2-MIC-03 Rev. 03.	
4.05.05b	**Question:** Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	**Possible Points: 10** **Points Scored: 10** **Score:** Total Compliance
	Auditor Comments: TC, Yes. There is a Water Testing document (IT-100-PAM-15 Rev. 03) covering corrective measures for unsuitable or abnormal water testing results.	
4.05.05c	**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, at the present year, no out-of-specification results are declared. On 10/15/18 at Farm San Francisco (complejo Mina) the result of 2UFC/100mL of fecal coliforms and 3UFC/100mL for total coliforms resulted on an open water source to be disinfected.	
4.05.06	**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?	**Possible Points: 0** **Points Scored: 0** **Score:** N/A
	Auditor Comments: N/A. Not observed at the time of the audit. Scoring is no affected.	
4.05.07	**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?	**Possible Points: 5** **Points Scored: 5** **Score:** Total Compliance
	Auditor Comments: Yes. Hand gel stations are located at the handwash stations and on the packing station away from the product. There was an adequate supply of gel at the time of the audit. Unscented sanitizer was being used.	
4.05.08	**Question:** Is it evident that corrective actions are taken when workers fail to comply with hand washing guidelines?	**Possible Points: 0** **Points Scored: 0** **Score:** N/A
	Auditor Comments: N/A. Not observed at the time of the audit. Scoring is no affected.	
4.05.09	**Question:** Is there no sign of any worker with boils, sores, open wounds or exhibiting signs of foodborne illness working directly or indirectly with food?	**Possible Points: 10** **Points Scored: 10** **Score:** Total Compliance
	Auditor Comments: Yes. There was no sign of any worker with boils, sores, open wounds or exhibiting signs of foodborne illness working directly or indirectly with food.	
4.05.10	**Question:** Is jewelry confined to a plain wedding band and watches are not worn?	**Possible Points: 5** **Points Scored: 5** **Score:** Total Compliance
	Auditor Comments: Yes, except for a plain wedding ring and watches and jewelry are not worn.	
4.05.11	**Question:** Worker personal items are not being stored in the growing area(s) or material storage area(s)?	**Possible Points: 5** **Points Scored: 5** **Score:** Total Compliance
	Auditor Comments: Yes. Workers' personal items are stored in their lunch area. There was no evidence of workers' personal items in the area being harvested.	

4.05.12	**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: Yes. There was no evidence of eating, drinking, chewing, or smoking in the areas being harvested.	

4.05.13	**Question:** Are workers wearing effective hair nets that contain all hair?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. All workers were observed properly wearing hairnets.	

4.05.14	**Question:** Are all harvest workers wearing clean clothing suitable for the operation (e.g., clean clothes, smocks, aprons, sleeves and non-latex gloves)?	**Possible Points:** 5 **Points Scored:** 3 **Score:** Minor Deficiency
	Auditor Comments: MN, harvest gloves are made out of latex. All workers were observed wearing clean clothing. Plastic aprons, sleeves, and gloves were observed in use.	

Auditee Comments: *Se sustituyen guantes de látex por guantes de nitrilo.*		View Files
	CA Accepted?	
CB/Auditor Review Comments: *Accepted.*	**Yes**	**Possible Points:** 5 **Points Scored:** 5 **New Score:** *Total Compliance*

4.05.15	**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, plastic aprons do not have top pockets, no unsecured items are worn.	

4.05.16	**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:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments: N/A, Not observed at the time of the audit. Scoring is no affected.	

4.05.16a	**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, right next to the toilets there is a hanger for garments to be hanged.	

4.05.17	**Question:** Is fresh potable drinking water readily accessible to workers?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: TC, Potable water is located on the packing machine in a cooler. Verbal verification of potability by supervisor.	

4.05.17a	**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: Yes. Single-use cups were provided for drinking water.	

4.05.18	**Question:** Are first aid kits adequately stocked and readily available?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. A first aid kit was present in the Harvest Crew toilet area. It contained bandages and supplies within expiry limits.	
4.05.19	**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: Not Applicable. Not observed at the time of the audit. Scoring not affected.	
4.05.20	**Question:** Are there adequate trash cans placed in suitable locations?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, there are trash bins next to hand-washing stations.	
4.05.21	**Question:** Have any potential foreign material issues (e.g., metal, glass, plastic) contamination issues been controlled?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. There were no potential metal, glass or plastic contamination issues observed.	

HC — Harvest Practices

4.06.01	**Question:** Is there evidence of animal presence and/or animal activity (wild or domestic) in the harvesting area?	**Possible Points:** 15 **Points Scored:** 15 **Score:** Total Compliance
	Auditor Comments: TC. There was no evidence of animal activity in the area being harvested.	
4.06.01a	**Question:** Is there any evidence of fecal matter in the harvesting area?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments: N/A, There was no evidence of animal activity in the area being harvested. Scoring is not affected.	
4.06.01b	**Question:** Is the fecal matter found in the audited area, a systematic event (not sporadic)? 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, There was no evidence of animal activity in the area being harvested. Scoring is not affected.	
4.06.02	**Question:** Is there evidence of infants or toddlers in the harvesting area?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: TC. There was no evidence of infants or toddlers in the area being harvested.	
4.06.03	**Question:** Are there written cleaning and sanitation procedures (Sanitation Standard Operating Procedures) for the harvesting equipment?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: TC, SOP for Washing and Disinfection of Harvest Equipment (IT-100-PAM-69 Rev. 03) states activities to perform, materials and responsible. Used daily.	
4.06.03a	**Question:** Are cleaning and sanitation logs on file for harvesting equipment that show what was done, when and by who?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: TC, TC, records for Washing and Disinfection of Harvest Equipment (F-100-PAM-58 Rev. 00) states activities to perform, materials and responsible. Used daily.	

4.06.04	**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: Yes. Hand sanitizers and soap were observed to be stored securely, safely and are they labeled correctly.	
4.06.05	**Question:** Are "food grade" and "non-food grade" chemicals used appropriately, according to label and stored in a controlled manner?	**Possible Points: 0** **Points Scored: 0** **Score:** N/A
	Auditor Comments: N/A, There were no non-food grade chemicals present at the time of the audit. Scoring won't be affected.	
4.06.06	**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 or generic E. coli in the water?	**Possible Points: 0** **Points Scored: 0** **Score:** N/A
	Auditor Comments: N/A, there was no water used for post-harvest product contact at the time of the audit. Scoring is not affected.	
4.06.06a	**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, there was no water used for post-harvest product contact at the time of the audit. Scoring is not affected.	
4.06.06b	**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, there was no water used for post-harvest product contact at the time of the audit. Scoring is not affected.	
4.06.07	**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, it is sent to a packing house afterward.	
4.06.08	**Question:** Is the product packed in the final packing unit in the field ?	**Possible Points: 0** **Points Scored: 0** **Score:** No
	Auditor Comments: No, the product is packed infield in RPC bins and then it is repacked in another bin in the packing facility.	
4.06.08a	**Question:** Is packing material (e.g., cartons, bags, clamshells, sacks, RPCs) intended for carrying product used for that purpose only?	**Possible Points: 5** **Points Scored: 5** **Score:** Total Compliance
	Auditor Comments: Yes. Packing material was observed to be used only for packing product.	
4.06.08b	**Question:** Is packaging material inspected prior to use and free from handling contamination and exposure to ground?	**Possible Points: 10** **Points Scored: 10** **Score:** Total Compliance
	Auditor Comments: TC, packaging material is visually examined before use. The packaging material is kept on pallets on the packing station and transport vehicle. Registered on F-100-PAM-58 Rev. 00	
4.06.08c	**Question:** Is packing material left in the field unattended, stored secured and protected?	**Possible Points: 0** **Points Scored: 0** **Score:** N/A
	Auditor Comments: Not Applicable. Packing material is not left in the field. Scoring is not affected.	

4.06.08d	**Question:** Are finished products coded (containers, cartons and unit packaging) for the day of harvest?	**Possible Points:** 3 **Points Scored:** 3 **Score:** Total Compliance
	Auditor Comments: Yes. Cartons are marked with harvest date (calendar date).	
4.06.09	**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: Yes. There was no evidence of spoilage or adulteration at the time of the audit.	
4.06.10	**Question:** Are grading and packing tables used? If No, go to 4.06.11.	**Possible Points:** 0 **Points Scored:** 0 **Score:** No
	Auditor Comments: No, no grading tables are used.	
4.06.10a	**Question:** Does the design and condition of the grading and packing tables (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood) facilitate effective cleaning and maintenance?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments:	
4.06.10b	**Question:** Is there a documented cleaning program, with records, for the grading and packing tables that includes the frequency of cleaning and sanitizing, the procedures used and the strength test records of anti-microbial solution used to sanitize surfaces?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments:	
4.06.11	**Question:** Are re-useable containers (e.g. buckets, field totes, lugs, bins) used in the harvesting operation? If No, go to 4.06.12.	**Possible Points:** 0 **Points Scored:** 0 **Score:** Yes
	Auditor Comments: Yes, RPC bins are used for packing.	
4.06.11a	**Question:** Does the design and condition of re-useable 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, smooth and non-toxic plastic surfaces that facilitate effective cleaning.	
4.06.11b	**Question:** Is there a documented cleaning program, with records, for the reusable containers that includes the frequency of cleaning and sanitizing, the procedures used and the strength test records of anti-microbial solution used to sanitize surfaces?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. 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 daily. Testing of the sanitizer is twice daily.	
4.06.11c	**Question:** Are re-useable containers free from any handling contamination?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: Yes. The surfaces appeared to be clean.	
4.06.12	**Question:** Are tools (e.g. knives, clippers, scissors, etc.) used in harvesting? If No, go to 4.06.13.	**Possible Points:** 0 **Points Scored:** 0 **Score:** Yes
	Auditor Comments: Yes. Knives were in use at the time of the audit.	
4.06.12a	**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:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. Harvest tools are made of stainless steel blades with plastic handles.	

4.06.12b	**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: Yes. Harvest tools are deposited in the tool dip stations when workers go on break or to the toilet per supervisor. The practice was not observed during the audit.	
4.06.12c	**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: Yes. 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 daily. Testing of the sanitizer is twice daily.	
4.06.12d	**Question:** Is there a documented cleaning program, with records, for the harvest tools that includes the frequency of cleaning and sanitizing, the procedures used and the strength test records of anti-microbial solution used to sanitize surfaces?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: TC, SOP for Washing and Disinfection of Harvest Equipment (IT-100-PAM-69 Rev. 03) states activities to perform, materials and responsible. Used daily.	
4.06.12e	**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: Yes. 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 daily. Testing of the sanitizer is twice daily. The auditor tested the solution within the 0.5-3ppm chlorine range.	
4.06.13	**Question:** Is machinery used in the harvesting process? If No, go to 4.06.14.	**Possible Points:** 0 **Points Scored:** 0 **Score:** Yes
	Auditor Comments: Yes. A packing line was in use at the time of the audit.	
4.06.13a	**Question:** Are food contact equipment 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: Yes. The food-contact equipment surfaces were observed to be free of excessive flaking paint, corrosion, rust and other unhygienic materials.	
4.06.13b	**Question:** Are food contact equipment surfaces clean?	**Possible Points:** 15 **Points Scored:** 15 **Score:** Total Compliance
	Auditor Comments: Yes. The surfaces appeared to be clean.	
4.06.13c	**Question:** Are non-food contact equipment 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: Yes. The non-food contact equipment surfaces were observed to be free of flaking paint, corrosion, rust and other unhygienic materials.	
4.06.13d	**Question:** Are non-food contact equipment surfaces clean?	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: Yes. The surfaces appeared to be clean.	
4.06.13e	**Question:** Does the design and condition of the equipment (e.g., smooth surfaces, smooth weld seams, nontoxic materials, no wood) facilitate effective cleaning, sanitation and maintenance?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. The design and condition of the equipment was satisfactory to facilitate effective cleaning, sanitation and maintenance. The equipment is made of painted steel and plastic belting.	

	Question: Is there a documented cleaning program, with records, for the harvest equipment that includes the frequency of cleaning and sanitizing, the procedures used and the strength test records of anti-microbial solution used to sanitize surfaces?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
4.06.13f	**Auditor Comments:** TC, SOP (F-400-MAQ-31 Rev. 01) documented cleaning program or records for the harvest equipment available to review.	
	Question: Is equipment 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
4.06.13g	**Auditor Comments:** TC, it is documented cleaning program or records for the harvest equipment available to review.	
	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
4.06.13h	**Auditor Comments:** TC,Only food grade lubricants are used on the machinery stated on PR-400-MAQ-01 Rev. 00 Proceso de mantenimiento preventivo.	
	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
4.06.13i	**Auditor Comments:** Yes. All glass on the equipment is shielded.	
	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
4.06.13j	**Auditor Comments:** Yes. There were no platforms above product, packaging, or food contact surfaces on the harvest machinery.	
	Question: Is water used directly on product contact (e.g. re-hydration, core in field)? If No, go to 4.06.15.	**Possible Points:** 0 **Points Scored:** 0 **Score:** No
4.06.14	**Auditor Comments:** No, water is not used directly on product.	
	Question: Are there specific Standard Operating Procedures (SOPs) for the monitoring, testing and changing of recirculated and batch water systems (e.g., dump tanks) and for monitoring water temperature?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
4.06.14a	**Auditor Comments:**	
	Question: Are there records of visual monitoring, testing and changing of recirculated and batch water systems (e.g., dump tanks) and water temperature checks (where relevant)?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
4.06.14b	**Auditor Comments:**	
	Question: Is there a specific Standard Operating Procedure (SOP) that clearly details the anti-microbial parameters in water systems (single pass and recirculated/batch water systems) and are they correct for the type of anti-microbial being used?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
4.06.14c	**Auditor Comments:**	
	Question: Are there records (with corrective actions) that show anti-microbial (e.g., free chlorine, ORP, peroxyacetic acid) strength testing of wash water prior to start up and throughout the run?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
4.06.14d	**Auditor Comments:**	

4.06.14e	**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:	

4.06.15	**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 4.06.16.	**Possible Points:** 0 **Points Scored:** 0 **Score:** No
	Auditor Comments: No, there is no core in field, top & tail, florets process.	

4.06.15a	**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:	

4.06.15b	**Question:** Are all plastic bin liners closed immediately after harvest to avoid contamination of the harvested product?	**Possible Points:** 3 **Points Scored:** 3 **Score:** Total Compliance
	Auditor Comments: Yes. bins are loaded in truck immediately after they are filled to prevent contamination.	

4.06.16	**Question:** Are transport vehicles (e.g., forklifts) clean, are not a source of contamination and are being used in a sanitary manner?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. Harvest vehicles were inspected and found to be in good condition with no broken materials or leaking fluids.	

4.06.17	**Question:** Is there any post-harvest treatment performed to the product in the field? If No, go to 4.07.01.	**Possible Points:** 0 **Points Scored:** 0 **Score:** No
	Auditor Comments: No, there are no post-harvest treatment performed.	

4.06.17a	**Question:** Are there up to date records of all pesticides applied in the field to the harvested product? 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:	

4.06.17b	**Question:** Do records show that pesticides applied postharvest and their use are in compliance with all requirements of label direction, national (e.g., EPA) registration and any federal, state or local regulations and guidelines? 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:	

4.06.17c	**Question:** For those pesticides that are registered and/or authorized by a government agency for use in the postharvest period to the target crops in the country of production or are not registered for use in the postharvest period on target crops in the country of production (if the country does not have or has a partial legislative framework to cover pesticides), can the grower show that they have registration information, label information, MRL tolerances, etc. for the country of destination? 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:	

4.06.17d	**Question:** Where products are destined for export, are there records showing that application rates are sufficient to meet MRL entry requirements of the country of export? Records show any non-compliant product is diverted to a market where it meets requirements. 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:	

HC	**Transportation and Tracking**

4.07.01	**Question:** Are the vehicles transporting fresh produce from field to facility limited to this function only, maintained in proper condition, and adequate for the purpose?	**Possible Points:** 5 **Points Scored:** 5 **Score:** Total Compliance
	Auditor Comments: Yes. The truck and trailer used to transport product were inspected and found to be in good condition.	
4.07.02	**Question:** Is there a system in place to track product from the farm? If No, go to 4.08.01.	**Possible Points:** 15 **Points Scored:** 15 **Score:** Yes
	Auditor Comments: Yes. The Field Tag is used to track product from the field to the packing shed.	
4.07.02a	**Question:** If product is being packed in the field, 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.	**Possible Points:** 10 **Points Scored:** 10 **Score:** Total Compliance
	Auditor Comments: Yes. Cartons are marked with farm, variety, and harvest date.	
4.07.02b	**Question:** If product is being packed in the field 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.	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments: N/A, Individual packing units are not packed in the field. Scoring is not affected.	

HC	On Site Storage	
4.08.01	**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.)?	**Possible Points:** 0 **Points Scored:** 0 **Score:** No
	Auditor Comments: No. There was no on-site storage of machinery, tables, chemicals, or packaging material at the time of the audit.	
4.08.01a	**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?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments: Not Applicable. There was no on-site storage of machinery, tables, chemicals, or packaging material at the time of the audit.	
4.08.02	**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.)?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments: Not Applicable. There was no on-site storage of packaging material or harvesting equipment at the time of the audit.	
4.08.03	**Question:** Are there cleaning logs for the storage area(s)?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments: Not Applicable. There was no on-site storage at the time of the audit.	
4.08.04	**Question:** Is there an effective pest control program in place for fixed location storage areas?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments: Not Applicable. There was no on-site storage at the time of the audit.	
4.08.04a	**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 rodent bait traps are not used inside the storage areas?	**Possible Points:** 0 **Points Scored:** 0 **Score:** N/A
	Auditor Comments: Not Applicable. There was no on-site storage at the time of the audit.	

4.08.04b	**Question:** Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	**Possible Points: 0** **Points Scored: 0** **Score:** N/A
	Auditor Comments: Not Applicable. There was no on-site storage at the time of the audit.	
4.08.04c	**Question:** Are pest control devices adequate in number and location?	**Possible Points: 0** **Points Scored: 0** **Score:** N/A
	Auditor Comments: Not Applicable. There was no on-site storage at the time of the audit.	
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: Not Applicable. There was no on-site storage at the time of the audit.	
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: Not Applicable. There was no on-site storage at the time of the audit.	
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: Not Applicable. There was no on-site storage at the time of the audit.	
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: Not Applicable. There was no on-site storage at the time of the audit.	
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: Not Applicable. There was no on-site storage at the time of the audit.	