

**PRELIMINARY REPORT
COMPLETED**

PrimusGFS Version 3.2

Operation Type: Harvest Crew
Audit Report Summary

CB Registration No. PA-PGFS-10009-21
PrimusGFS ID #305619 - Cert:6
Audited by Primus Auditing Operations

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Organization:	Aguilares S.P.R. de R.L. Contact(s): José Antonio Hernández García Address: CARRETERA PANAMERICANA KM291 COL. LA FORTALEZA Location: Cortazar, Guanajuato 38495, Mexico Phone Number: 411 155 09 50				
Harvest Crew Number/Name:	Martin Vazquez Harvest Crew Company Name: 0 Contact(s): José Antonio Hernández García				
Audit Location:	Grower Name: Aguilares S.P.R. de R.L. Operation Name: 7 Hermanos Operation Location: Carretera San Miguel de Allende-Doctor Mora, 37880, San Miguel de Allende, Guanajuato, Mexico				
Shipper:	Comercializadora Gab, S.A. De C.V., Aguilares, s.p.r. de r.l.				
Operation Type:	Harvest Crew				
Audit Type:	Announced Audit				
Audit Executive Summary:	Harvest audit. The harvest crew of Martin Vazquez is made up of 41 workers who are observed harvesting Romaine lettuce. The harvest is manual. The harvest process consists of the manual cutting of the stem and stripping, through the use of a stainless steel knife which is disinfected with a disinfectant solution with free chlorine from 50 to 100 ppm / quaternary ammonium salts from 200 to 400. Once the lettuce is cut, it is placed in the plastic bag, it is placed in the tray of the band, for packaging in cardboard box and labeled, the boxes are stowed on pallets which are kept in the trailer and later are sent to the facilities for cooling and storage.				
Date Documentation Review Started:	22 Jun 2023 16:00				
Date Documentation Review Finished:	23 Jun 2023 12:00				
Total Amount of Time on the Documentation Review:	8.00 Hours				
Date Visual Inspection Started:	21 Jun 2023 10:00				
Date Visual Inspection Finished:	21 Jun 2023 11:00				
Total Amount of Time on Visual Inspection:	1.00 Hours				
Addendum(s) included in the audit:	Not Applicable				
Product(s) observed during audit:	Romaine Lettuce				
Similar product(s)/process(es) not observed:	None				
Product(s) applied for but not observed:	None				
Auditor:	María de Los Ángeles Vázquez Gómez (Primus Auditing Operations)				
Preliminary Audit Score:	96%				
GPS Coordinates:	<table border="1"> <thead> <tr> <th>Latitude</th> <th>Longitude</th> </tr> </thead> <tbody> <tr> <td>20° 56' 22"</td> <td>100° 41' 26"</td> </tr> </tbody> </table>  Click here to see map	Latitude	Longitude	20° 56' 22"	100° 41' 26"
Latitude	Longitude				
20° 56' 22"	100° 41' 26"				

Information related to the audited operation			
Total number of workers for the operation:	68	Harvesting Process:	Hand Harvest
Equipment Used:	Other: stainless steel knife		
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
Romaine Lettuce	Observed on the day of audit	Year round	Canada, Mexico, United States

AUDIT SCORING SUMMARY	Pre-Corrective Action Review		Post-Corrective Action Review	
Food Safety Management System Requirements	Score:	234	Score:	234
	Possible Points:	248	Possible Points:	248
	Percent Score:	94%	Percent Score:	94%
Module 4 - Harvest Crew	Score:	621	Score:	621
	Possible Points:	641	Possible Points:	641
	Percent Score:	96%	Percent Score:	96%
TOTAL	Score:	855	Score:	855
	Possible Points:	889	Possible Points:	889
	Percent Score:	96%	Percent Score:	96%

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

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. There is the Quality Policy F-200-PAAN-01 dated January 01, 2023, which has the mission of constantly updating with the quality and safety standards required by customers, allowing it to be a preferred company for the consumer this through the commitment to food safety and hygiene, Signed by Production Manager Juan Guillermo Aguilar Jordan, is published at the ranch entrances.</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. There is the Aguilares North Zone Agricultural Production Organization Chart F-300-PAAN-15 Rev. 08 of February 02, 2023, which indicates the production unit manager, assistant business unit manager, quality systems coordinator José Antonio Hernández García, General Nutrition Coordinator, Risk Reduction Coordinator Omar Amigon Utrera, Food Safety Administrative Assistant, Plant Health director Esteban Padilla Macías, Administrative Coordinator and HR. Job description F-300-PAAN-20.</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. There is a safety committee made up of 6 people, including production unit management, meetings are scheduled at least quarterly. The minutes of meetings from September 2022 to April 2023 are presented. In the last one on April 21, 2023, monitoring of the correct use of bathrooms in cultivation lots and review of harvest machinery was observed, a signature of attendees including production management.</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. There is the annual training program F-300-PAAN-13 indicating topic/activity, objective, instructor, directed (all staff), speaker, dates of proposed courses, as well as courses already taken.</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. There is Memorandum F-200-PAAN-February 10, 2023 where the evaluation of the facilities is carried out, evaluation of audit results, customer service, updating of documents, the signature of Juan Guillermo Aguilar Jordan is observed and there is management commitment to the delivery of resources for the implementation of the safety area F-200-PAAN-10 of 05-09-2023, signed by Juan Guillermo Aguilar Jordan</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. There is an electronic consultation of CFR 112.21, Part 112 for fresh products and LGMA Commodity Specific Food Safety Guidelines 10-24-2019.	

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. In the Document Control procedure PR-200-PAAN-01, it indicates that the quality manager carries out the preparation, approval, substitution or deletion of documents, as well as the distribution of documents.	

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. In the record control procedure PR-200-PAAN-02, it indicates the protection for two 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: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. They are kept physically stored in the file cabinet of the safety office with controlled access and electronically the information is kept protected in computers assigned with access codes.	

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. The organization keeps the documents organized in folders within the food safety area office located in the packaging facilities.	

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. During the audit, records are observed and documents that have an impact on the food safety program are signed by the personnel responsible for the food safety program.	

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: TC. The organization shows documentary evidence of the procedure Preparation of documents IT-200-PAAN-01 indicates that the documents must contain a scope, activity diagram, description of activities and formats.	

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. There is a record control table F-200-OCE-02 and a master list of documents F-200-OCE-01, which indicates the distribution of documents by area.	

1.03.03	Question: Is there a documented corrective action procedure that describes the basic requirements for handling all non-conformances affecting food safety?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. There is the corrective action procedure PR-200-PAAN-04 where the NC record is indicated, the analysis to detect the root cause through analysis techniques, action plan, verification and closure. Format F-200-OCE-03 Non-conformity.	
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 the corrective action procedure PR-200-PAAN-04 where the NC record is indicated, the analysis to detect the root cause through analysis techniques, action plan, verification and closure. Format F-200-OCE-03 Non-conformity.	

FSMS	Internal and External Inspections
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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 the Internal Audit procedure PR-200-PAAN-03 where the assignment of the auditors is indicated, frequency every 6 months, Checklists PGFS checklists.	
1.04.02	Question: Are there written procedures for handling regulatory inspections?	Possible Points: 3 Points Scored: 3 Score: Total Compliance
	Auditor Comments: TC. In the Internal Audit procedure PR-200-PAAN-03 indicates the procedure for regulatory inspections where the policy for monitoring the auditor or inspector is established and in the document IT-100-PAAN-55 Biosafety and food fraud in subsection 12 policy of taking photographs and samples.	
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. The PGFS v 3.2 audit reports are presented, carried out on June 16 and 17, 2022 by PAOMX, for example #274439 ranch 7 Hermanos and Martin Vázquez harvest crew #275459, evidence of corrective actions was entered.	
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. In the procedure PR-900-PAM-01 Reception, storage and control of inputs Rev. 3 indicates the calibration of the measuring equipment for standard weight scales, semi-annual frequency, Test tubes comparative method with glass standard test tube and semi-annual frequency, Protocol of Calibration of the company Grupo Rivas for fumigators cost x area method, annual frequency.	
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: 1 Score: Major Deficiency
	Auditor Comments: Mj. There is no inspection record of the test strips used to monitor the disinfectant solutions of the harvesting tools. The Calibration and verification of measuring equipment F-400-MAQ-33 (Biannual) of calibration of scales and test tubes from 2021 to 06-11-2023, the calibration record is presented External calibration format for the Hagie 354 equipment- 5 of 02-04-2023, Hagie 355-6 of 9-2023, Fact 2425 of 02-09-2023, Fact 2443 of 02-09-2023 and Fact 2457 of 02-13-2023, made by Eng. Juan Antonio Vengas Valdivia of Grupo Rivas (Annual).	

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. In the Product Delivery procedure PR-100-PAAN-05, where the inspection of transport before loading is indicated, the cultivation to verify that the client's specifications are met	
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. There are records of crop release at harvest in which the crop, area, table, ranch is recorded, plant and insect health inspection, observations and corrective actions if required, release by the safety managers, the records of April to June 2023.	
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. There is a non-conforming product control procedure PR-200-PAAN-06 indicates the identification and segregation of the product, root cause analysis, corrective action, decision making.	
1.05.04	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: NA. There have been no rejections, however, the Non-conforming Product Registration format F-200-PAAN-32 is available. The score is not affected	
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. In the Corrective Actions procedure PR-200-PAAN-04 where attention to complaints is indicated and complaints are recorded in the registration format Format F-200-OCE-03 Non-conformity, there have been no complaints related to safety.	
FSMS Supplier Monitoring/Control		
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. In the procedure for Purchase of supplies PR-500-PAAN-01, which indicates selection, emergency suppliers, reassessment of suppliers every 3 months and discarding of suppliers. The evaluation of suppliers is available. Continuous evaluation of suppliers F-500-OCE-08, latest evaluations in June 2023.	
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. There is a List of authorized providers and services F-500-OCE-03 of March 31, 2023	
1.06.03	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?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. The specifications are available in the document Summary of control of subcontracted services F-500-PAAN-12 rev. March 1, 2022	

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: 5 Score: Major Deficiency</p>
	<p>Auditor Comments: Mj. There is no third-party food safety certificate for Mercury Platics, supplier of plastic bags and plastic corrugated Zenpack. IFCO letter of guarantee for RPC dated 5-16-2023 and AIB Certificate dated 02-23-2023, Comercializadora GAB SA de CV #2088 vig 11-13-2023 SQF: Food Manufacturing Primary Plant Production, Quality Code, Edition 9, issues NSF, Logistic Interoceanica de carga, SA de CV #GSCFSSC22KMX284 Food Safety System Certification 22000 vig 01-18-2025, issues GlobalSTD, flexible packaging ISO 22000:2018 Alliance Verita Register #Cert-avria-24-01-787 of 19- 01-2024, etc.</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. There are accreditation letters before ema of Análisis Técnicos SA de CV in the food branch #A-0618-060/15 valid as of February 12, 2015 and Agricultural Health #SA-0060-008/11 valid as of on June 17, 2011. IEH International Laboratories S de RL de CV #AT-1971 effective July 30, 2023 microbiological branch and chemical analysis and issues ANTAB (ANSI), Soil Fertility S de RL #SA-1359-044/ 21 valid as of May 12, 2021, agricultural health branch</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. The product traceability procedure PR-100-PAAN-13 is in place, it indicates backward, internal and forward traceability, the latter is kept in the F-100-PAAN-64 Freight Order format where the day of the harvest, lot harvested, quantity harvested and destination.</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. There is a procedure for Withdrawal of food from the market PR-200-PAAN-07 which indicates classes, functions of the team, contact details (team), health authority and OC, current customer telephone numbers. 02-16-2022</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. Two exercises are scheduled per year. There is a product recovery exercise on May 24, 2023 and June 20, 2022, the recovery exercise was carried out on site with broccoli from the Pilarina lot 3 mine complex ranch, 60 boxes of bulk product were shipped, scenario presence of Harvest knife, beginning 2:30 p.m. and ending 3:44 p.m., information was collected such as GAP inspection, unusual events, harvest release, worker relationship and training of harvest personnel, conclusion and lesson learned.</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. There is a control summary for suppliers F-500-PAAN-13 where the evaluation of the inputs of the process and evaluation of food fraud are carried out (Low probability)</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. There is the document Biosecurity and food fraud IT-100-PAAN-55 which indicates the measures implemented in the production unit at vulnerable points.</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. The records associated with the biosafety plan are Personnel access control and visits F-300-PAAN-31, Field supplies warehouses F-100-PAAN-02, Perimeter inspections and common areas F-100-PAAN-47, Inspection well F-100-PAAN-37, Pond Inspection F-100-PAAN-36, etc.	
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. The organization shows documentary evidence of the emergency number published in the offices in irrigation heads and warehouses, the emergency number 911 and Sintox are observed.	
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. When entering the facilities, the auditor is asked to register	
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. The person in charge of the safety program is Omar Amigon who has the training in PSA Grower Training Course Class Number MEX-220407-GR, ID 204595 of 07-04-2022, recognized by AFDO	
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: TC. There are company Policies, which include the Health and Hygiene policies including visitors and workers, prohibition of infants and young children in the fields, presence of animals in cultivation and storage areas, fecal matter control, control of fall of product, blood and body 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: 5 Score: Major Deficiency
	Auditor Comments: Mj. The semi-annual program for internal audits is not complied with. Farm and harvest crew are scheduled every 6 months. The primusGFS v3 audit for ranch and harvest crew are presented. of 05-22-2022, carried out by Jose Antonio Hernandez Garcia, the evidence of corrective actions is presented Non-Conformities F-200-PAAN-03	
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. There is a pre-harvest inspection F-100-PAA-58 with 5 to 7 days before harvest, the ranch, table, crop, date of completion, proposed date of harvest, inspection of the presence of animals, result of analysis of water, person who carried out the evaluation / Verification, observations from January to June 2023	
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: NA. No problems have been detected according to the logs reviewed. The score 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 daily verification of BPA in harvest F-100-PAAN-86, crew, date, trailers, sinks, buckets, personnel, drawers, trucks, salt concentration, machine washing, chlorine concentration, review of laundering of the loading area and inspection of packaging material, entry and exit of gloves, entry and exit of knives, records are presented from January to June 2023.	

HC Training

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 is the general training program F-100-PAAN-65 in which monthly training is established and when new personnel join. GAP training records are presented for the months of May to June 2023, taught by safety supervisors such as Miguel Pérez, Juan Carlos, José Luis Pérez, Ana Isabel Flores Sánchez, Juana Mata, Ma. Guadalupe Martínez Bárcenas, M. Gricelda J.R.	

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: CT. Training records in monitoring disinfectant solutions from June 2023 are presented, taught by safety supervisors such as Miguel Pérez, Juan Carlos, José Luis Pérez, Ana Isabel Flores Sánchez, Juana Mata, Ma. Guadalupe Martínez Bárcenas, M. Gricelda J. R.	

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 IT-100-PAAN-07 Sanitation and Hygiene procedure is indicated in case of cuts and illnesses, notify the captain immediately, return to work procedure.	

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. There is a record of non-compliance of the employee F-100-PAM-29 where the non-compliance, corrective action, sanction and retraining is recorded, there is a record of the 06-21-2023 worker with torn pants, the training in GAP was carried out 's on 06-22-2023 in BPA's	

HC Harvest Worker Hygiene

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. During the audit, a trailer with three cabins is observed, for 41 people, in total 3 toilets were observed, they are placed on the roads, 4.5 from the crop and no more than 400 m and/or 5 minutes walking from the workers	

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. They are observed placed on the roads, 4.5 from the crop and no more than 400 m and/or a 5-minute walk from the workers.	

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. During the audit, the bathrooms are observed in good condition, free of leaks or 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. The toilets are made of resistant plastic material and are easy to clean.	
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. The toilets are light colored, which facilitates the inspection of cleanliness	
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. During the audit, toilet paper is observed placed in the dispensers, which are observed placed inside the toilets	
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. There are external toilet service records IT-100-PAAM-70 indicating the cleaning procedure, daily frequency and what to do in case of spills.	
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. There is a bathroom inspection record F-100-PAAN-25 where cleanliness is recorded, if there are leaks, equipment conditions, records are presented from January to June 2023	
4.04.02	Question: Is hand washing signage posted appropriately?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Visuals with handwashing technique are posted in front of handwashing stations	
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. A hand washing station is observed at the exit of the fixed bathroom, in the toilets with three cabins a station with 4 keys is observed, in total 2 stations with 5 keys were observed, for 41 workers.	
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. The handwashing stations are observed to be in good condition and the gray water from handwashing is captured in a tank located under the station or in the waste tank of the toilets	
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. Handwashing stations are located outside the restrooms	
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. The hand washing stations are stocked with single-use blotting paper, unscented liquid soap, alcohol gel, garbage container, chlorinated water	

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>Auditor Comments: TC. The crew supervisor has spare parts, which are under the protection of the disinfectant solutions monitor</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</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>Auditor Comments: Mj. The frequency of hand washing water analysis is not met at least quarterly. There are reports of water from sinks, for example, from sink M-36 and sink M-48 #2022/11/63702 from November 17, 2022 for CT, CF, E. Coli 0 CFU/100 mL, internal method based on BAM (FDA), by AGROLAB and handwashing M-25 #IGM- 63524 of 10-02-2022 for CF < 1.8 NMP/100 mL, TC and E. Coli < 1 UFC/100 mL, EPA method 1604 and 9221E , issues IEH.</p>	<p>Possible Points: 15 Points Scored: 5 Score: Major Deficiency</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>Auditor Comments: TC. The AGROLAB AI2-MC-03 microbiological sampling protocol and the IEH sample protocol are in place, indicating the method of sample collection and sample identification</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
4.04.04b	<p>Question: Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?</p> <p>Auditor Comments: TC. There is a procedure for the use of water IT-100-PAAN-08, which indicates that in the event of a positive result, the well and pond are disinfected with 13% chlorine and resampling.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
4.04.04c	<p>Question: If unsuitable or abnormal results have been detected, have documented corrective measures been performed?</p> <p>Auditor Comments: NA. The results are within the permissible limits. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</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>Auditor Comments: TC. During the audit, the staff is observed washing their hands after using the bathroom, which are observed doing the hand washing following the hand washing technique correctly.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</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>Auditor Comments: TC. Alcohol gel is provided at each hand washing station.</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</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>Auditor Comments: NA. During the audit, workers are observed washing their hands properly. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</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>Auditor Comments: TC. During the audit, personnel with signs of abscesses, sores, open wounds were not observed and they do not show signs of foodborne illness.</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</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. During the audit, personnel with jewelry are not observed	
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. The personal items of the workers are left on the racks established in the food consumption areas.	
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. Smoking, spitting and chewing gum are not allowed in the ranch areas, food consumption and water consumption only in the assigned 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. Workers wear disposable caps.	
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. Staff not seen with top pockets	
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. The personnel wear sleeve covers, aprons, caps, nitrile gloves, 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 leave their protective equipment in the monitoring area, aprons are placed on coat racks, gloves and sleeve covers in chlorine-based disinfectant solutions of 50 to 100 ppm	
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. Workers leave their protective equipment in the monitoring area, aprons are placed on coat racks, gloves and sleeve covers in chlorine-based disinfectant solutions of 50 to 100 ppm	
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. Jugs of water for human consumption are provided for workers in Rotoplas-type water tanks and 20 L jugs, the water comes from well 1 Rancho 7 hermanos #10375 from 03-06-2023 for which analysis is carried out according to the parameters of the NOM-127-SSA1-1994 standard with physicochemical results within the established and microbiological limits for TC, CF and E. Coli < 1.1 /Not detectable NMP/100 mL, method NOM-210-SSA1-2014 Appendix H, issues AGROLAB	
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. Workers have individual cups	

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. There is a first aid kit stocked with essential healing materials (gloves, gauze, hydrogen peroxide, micropor tape, etc.), additionally there is an infirmary area in the farmhouse. The first-aid kit is under the protection of the person responsible for monitoring disinfectant solutions	
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: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. NA. Packaging materials or products with blood are not observed at the time of the audit, however, during the interview with the workers, it is observed that they know how to act in the event of a contingency. The score is not affected	
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. There are garbage containers placed in the hand washing stations and dining areas	
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. During the audit, no foreign material problems were observed in the audited area.	
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. During the audit, no presence and/or evidence of animal activity is observed.	
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. During the audit, no presence and/or evidence of fecal matter is observed.	
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. During the audit, no presence of babies and small children is observed.	
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. Chemicals are safely stored and properly labeled.	
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 chemical warehouses are stored separately from non-food grade chemicals.	

4.05.06	<p>Question: Are there records of microbial testing for water used for postharvest product contact (e.g., washing, rehydrating) 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?</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC. The water comes from well 1 Rancho 7 hermanos #10375 of 03-06-2023 for which analyzes are carried out according to the parameters of the NOM-127-SSA1-1994 standard with physicochemical results within the established and microbiological limits for CT, CF and E. Coli < 1.1 /Not detectable MPN/100 mL, method NOM-210-SSA1-2014 Appendix H, issued by AGROLAB</p>	
4.05.06a	<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. There is a procedure for the use of water IT-100-PAAN-08, which indicates that in the event of having a positive, the well and pond are disinfected with 13% chlorine and resampling</p>	
4.05.06b	<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: NA. The results are within acceptable limits. The score is not affected.</p>	
4.05.07	<p>Question: Is the product harvested and transported to a facility for additional handling and/or final packing?</p>	<p>Possible Points: 0 Points Scored: 0 Score: No</p>
	<p>Auditor Comments: No. The product is packed in the field.</p>	
4.05.08	<p>Question: Is the product packed in the final packing unit in the growing area? If No, go to 4.05.09.</p>	<p>Possible Points: 0 Points Scored: 0 Score: Yes</p>
	<p>Auditor Comments: Yes. The lettuce observed during the audit is packed in a bag and a cardboard box.</p>	
4.05.08a	<p>Question: Is packing material (e.g., cartons, bags, clamshells, sacks, RPCs) intended for carrying product used for that purpose only?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. The packaging material is only used for the packaging of the product</p>	
4.05.08b	<p>Question: Is packing material inspected prior to use and is product and packing material free from handling contamination and exposure to the ground?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. There is daily verification of BPA in the harvest F-100-PAAN-86, crew, date, trailers, sinks, buckets, personnel, drawers, trucks, salt concentration, machine washing, chlorine concentration, washing review of loading area and inspection of packaging material, entry and exit of gloves, entry and exit of knives, records are presented from January to June 2023.</p>	
4.05.08c	<p>Question: If packing material is left in the growing area unattended, is it stored secured and protected?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Packaging material is not stored or left in the field</p>	
4.05.09	<p>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.</p>	<p>Possible Points: 15 Points Scored: 15 Score: Total Compliance</p>
	<p>Auditor Comments: TC. The ingredients used in the production are free of adulteration.</p>	
4.05.10	<p>Question: Are grading and packing surfaces, carts, ladders and other harvest aids used? If No, go to 4.05.11.</p>	<p>Possible Points: 0 Points Scored: 0 Score: Yes</p>
	<p>Auditor Comments: Yes. Plastic bands are used for harvesting.</p>	

4.05.10a	<p>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?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Belt surfaces are in good condition, free of smooth welds and non-toxic materials that are easy to clean.</p>	
4.05.10b	<p>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?</p>	<p>Possible Points: 5 Points Scored: 5 Score: Total Compliance</p>
	<p>Auditor Comments: TC. There is a procedure for washing harvest machinery IT-400-PAAN-04 where the washing process is indicated</p>	
4.05.10c	<p>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?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. There is daily verification of BPA in the harvest F-100-PAAN-86, crew, date, trailers, sinks, buckets, personnel, drawers, trucks, salt concentration, machine washing, chlorine concentration, washing review of loading area and inspection of packaging material, entry and exit of gloves, entry and exit of knives, records are presented from January to June 2023.</p>	
4.05.11	<p>Question: Are re-useable containers (e.g. buckets, totes, lugs, RPCs, bins) used in the harvesting operation? If No, go to 4.05.12.</p>	<p>Possible Points: 0 Points Scored: 0 Score: No</p>
	<p>Auditor Comments: No. Containers are not used for harvesting</p>	
4.05.11a	<p>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?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
4.05.11b	<p>Question: Are re-useable containers free from any handling contamination?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
4.05.11c	<p>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?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
4.05.11d	<p>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?</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
	<p>Auditor Comments:</p>	
4.05.12	<p>Question: Are tools (e.g. knives, clippers, scissors, etc.) used in harvesting? If No, go to 4.05.13.</p>	<p>Possible Points: 0 Points Scored: 0 Score: Yes</p>
	<p>Auditor Comments: Yes. Knives are used for harvesting.</p>	
4.05.12a	<p>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?</p>	<p>Possible Points: 10 Points Scored: 10 Score: Total Compliance</p>
	<p>Auditor Comments: TC. Stainless steel knives with plastic handles are used.</p>	

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. The knives are kept in trays with a disinfectant solution based on quaternary ammonium salts (200 to 400 ppm) or chlorine (50 to 100 ppm).	
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. There is daily verification of BPA in the harvest F-100-PAAN-86, crew, date, trailers, sinks, buckets, personnel, drawers, trucks, salt concentration, machine washing, chlorine concentration, washing review of loading area and inspection of packaging material, entry and exit of gloves, entry and exit of knives, records are presented from January to June 2023.	
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. The IT-100-PAAN-69 Disinfection and harvest washing procedure is in place, the knife washing procedure is indicated.	
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. There is daily verification of BPA in the harvest F-100-PAAN-86, crew, date, trailers, sinks, buckets, personnel, drawers, trucks, salt concentration, machine washing, chlorine concentration, washing review of loading area and inspection of packaging material, entry and exit of gloves, entry and exit of knives, records are presented from January to June 2023.	
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. There are buckets with disinfectant solutions for knives, which are maintained at a chlorine concentration of 100 to 200 ppm, the measurement was requested and observed at 100 ppm, with Hydriion Chlorine brand reactive strips (10, 25, 50, 100 and 200 ppm), vig. February 01, 2024. Monitoring is carried out every two hours.	
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. Conveyor belts are used	
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. Plastic and stainless steel conveyor belts are used, free of paint flakes, corrosion or rust.	
4.05.13b	Question: Are food contact machinery surfaces clean?	Possible Points: 15 Points Scored: 15 Score: Total Compliance
	Auditor Comments: TC. During the audit they are observed 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. The equipment is made of plastic and stainless steel.	

4.05.13d	Question: Are non-food contact machinery surfaces clean?	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. During the audit, the exterior of the clean equipment is observed	
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 parts of the equipment are smooth, without welds and toxic material, free of wood.	
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. The parts where the lubricant is carried have anti-drip trays to cover possible leaks	
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. The headlights of tractors, bands and trucks are covered with plastic lenses	
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. The platforms that pass over the product are covered with lubricant parts	
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: CT. There is a procedure for washing harvest machinery IT-400-PAAN-04 where the washing process is indicated	
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. There is daily verification of BPA in the harvest F-100-PAAN-86, crew, date, trailers, sinks, buckets, personnel, drawers, trucks, salt concentration, machine washing, chlorine concentration, washing review of loading area and inspection of packaging material, entry and exit of gloves, entry and exit of knives, records are presented from January to June 2023.	
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. Lubricants for food grade equipment are used, the technical sheet of Mobilgrase FM Series Grease F101 and FM 222 is presented	
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. No water is used in contact with the product	
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 product is not processed.	
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		
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. Postharvest treatment is not used.	
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	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?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.06.01e	Question: Where products are destined for export, is there evidence that Maximum Residue Levels (MRL's), of the intended markets are met?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.06.01f	Question: Is there a documented procedure for the post-harvest pesticide applications, considering mixing and loading, applying, and equipment cleaning?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.06.01g	Question: Is there documentation that shows the individual(s) making decisions for post-harvest pesticide applications is competent?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	
4.06.01h	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?	Possible Points: 0 Points Scored: 0 Score: N/A
	Auditor Comments:	

HC	Transportation and Tracking
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4.07.01	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?	Possible Points: 5 Points Scored: 5 Score: Total Compliance
	Auditor Comments: TC. Vehicles and trailers appear to be in good condition and are suitable for harvesting purposes	
4.07.02	Question: Is there a system in place to track product from the growing area? If No, go to 4.08.01.	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. A field label generated at the time of harvest is placed, the document includes: distant stretch, date, variety harvested, quantity, order, destination, person responsible, among others.	
4.07.02a	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.	Possible Points: 10 Points Scored: 10 Score: Total Compliance
	Auditor Comments: TC. The cardboard boxes are labeled with a label indicating the date and batch number.	
4.07.02b	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.	Possible Points: 0 Points Scored: 0 Score: Yes
	Auditor Comments: Yes. The bags are labeled with a label that includes the date and lot number.	

HC	On Site Storage
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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>Auditor Comments: No. There is no warehouse on site</p>	<p>Possible Points: 0 Points Scored: 0 Score: No</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>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</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>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.08.03	<p>Question: Are there cleaning logs for the storage area(s)?</p> <p>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.08.04	<p>Question: Is there a documented and effective pest control program in place for fixed location storage areas?</p> <p>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</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>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</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>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.08.04c	<p>Question: Are pest control devices adequate in number and location?</p> <p>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.08.04d	<p>Question: If storage areas are fully enclosed, are measures taken to prevent pest entry?</p> <p>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.08.04e	<p>Question: Are all pest control devices identified by a number or other code (e.g., barcode) ?</p> <p>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>
4.08.04f	<p>Question: Are all pest control devices effective and bait traps secured?</p> <p>Auditor Comments: NA. There are no warehouses on site. The score is not affected</p>	<p>Possible Points: 0 Points Scored: 0 Score: N/A</p>

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: NA. There are no warehouses on site. The 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: NA. There are no warehouses on site. The score is not affected	