

ANIMAL CARE PROGRAM GUIDANCE: APPLICATION FOR CERTIFYING AGENT ACCREDITATION



This document provides assistance to *certifying agents* who are applying for *accreditation* according to Proposition 12 (2018) [Animal Confinement Regulations](#), Chapter 10 (commencing with section 1320) of Division 2 of Title 3 of the California Code of Regulations (3 CCR). The sections below detail the requirements for *accreditation* and the supplemental information that must be included with the application. The *certifying agent* must submit the application and supplemental information to the California Department of Food and Agriculture (CDFA) for review. (3 CCR section 1326.11.)

The following information and instructions may assist you when completing the application and compiling the required additional information and documents.

Key terms *italicized* in this guidance are described on [Key Terms for Stakeholder](#) guidance document.

General Information

A private entity seeking *accreditation* as a *certifying agent* must apply for *accreditation* with CDFA which requires submitting the [Certifying Agent Accreditation Application](#) (CDFA Form ACP 73-004) and supplemental information to CDFA.

California Code of Regulations allows *certifying agents* to apply for *accreditation* and CDFA may *accredit* a qualified domestic or foreign applicant to *certify* a domestic or foreign production or distribution operation as compliant with [California Health and Safety Code sections 25990-25994](#) (Act) and [Animal Confinement regulations](#). (3 CCR section 1326.9(a).)

Accreditation shall be for a period of five (5) years from the date of approval of *accreditation*. (3 CCR section 1326.9(b).)

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Section 1: Applicant Information

Application Type:

Select “New Application” if this is the first time the *certifying agent* is applying for *accreditation*.

Select “Update Contact Info” if the *certifying agent* is currently *accredited* and requesting an update to information currently on file with CDFA. Note that any change in ownership, change of business name, change in business location, closure of business, or change of name, address, phone number or email of person authorized to act on behalf of the accredited certifier must be reported to CDFA within 30 calendar days of such change. (3 CCR section 1326.17(h).)

Select “Application Renewal” if *certifying agent* is currently *accredited* and requesting to renew *accreditation*. *Accreditation* renewals must be received at least six (6) months prior to the fifth anniversary of issuance of the notice of *accreditation* and each subsequent renewal of *accreditation*. (3 CCR section 1326.17(c).)

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Contact Information: 3 CCR section 1326.12(a)(1)

Business Name: Enter the name of the business as the *certifying agent* wants it to appear on a certificate of *accreditation* and as it will be identified on CDFA's website for providing certification services to producers and/or *distributors*.

Physical Address: This is the physical location where the primary office is located. If the *certifying agent* has more than one office, provide the address of the principal office location.

Mailing Address: Include mailing address if it is different from the physical address. This is the address where official business documents and information can be sent.

Business Contact Information: Include business phone number, business email address, business Facsimile, and business URL to facilitate communication and document transmission between CDFA and you.

Federal Tax ID Number: Must be included to distinguish individual business entities as a unique *accredited* certifier to facilitate accurate internal recordkeeping.

Name of Person(s) Responsible for Accreditation Application and Day-to-Day Operations: 3 CCR section 1326.12(a)(1)

Primary Contact Name/Additional Contact Name: Provide contact information for the person(s) responsible for the day-to-day operations of your business and an additional name with contact information if available.

Type of Entity: 3 CCR section 1326.12(a)(4)

Select "For-Profit" when the *certifying agent's* primary goal is to earn a profit.

Select "Not-For-Profit" when the *certifying agent* does not earn profits for business owners but instead provides a public service or helps people or reinvests surplus into the organization or is used in other ways.

Select "Government Organization" when the *certifying agent* is a local, state, or federal domestic government, tribal government, or foreign governmental subdivision providing certification services seeking *accreditation*. Note: *governmental entities* are *certifying agents* when recognized by CDFA as providing equivalent certification services as described in Animal Confinement regulations. A *governmental entity* is not required to become *accredited* to perform certification services, but they are not prohibited from becoming *accredited*.

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Section 2: Types and Estimated Number of Operations to be Certified

Type of Operation for Which Accreditation is Requested and Estimated Number of Operations to Certify Annually: 3 CCR section 1326.12(a)(3)

Select the type(s) of operations the *certifying agent* would like to be *accredited* to certify, and an estimated number of certifications issued annually if *accreditation* is granted.

Select “Egg-laying hens” when the applicant intends to provide certification services to *egg producers*. Provide an estimated number of certifications issued annually to *egg producer* operations.

Select “Veal Calves” when the applicant intends to provide certification services to *veal producers*. Provide an estimated number of certifications issued annually to *veal producer* operations.

Select “Breeding Pigs” when the applicant intends to provide certification services to *pork producers*. Provide an estimated number of certifications issued annually to *pork producer* operations.

Select “*Distributor* Operations” when the applicant intends to provide certification services to *distributors*. Provide an estimated number of certifications issued annually to *distributor* operations.

First Box: A list of all additional physical locations of subsidiary offices, and business contact information including a primary/secondary contact person and their contact information. (3 CCR section 1326.12(a)(2).)

Second Box: A list of locations where previous certification activities took place and where planned future certification activities will take place. This may include certification activities conducted in other states or foreign countries. (3 CCR section 1326.12(a)(5).)

Section 3: Supplemental Information Required for Application

Completing CDFA Form ACP 73-004, page 2

Applicants for *accreditation* must also submit the following information and documents. An applicant may attach the documents in an email when submitting an application, or mail or drop off the items as a package to the address listed at the bottom of the application.

1. Documentation showing the entity's status and organizational purpose and its date of establishment. (3 CCR section 1326.12(a)(4).)

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- Provide a copy of any form of documentation to demonstrate that the *certifying agent* is an officially recognized business. For example, a copy of articles of incorporation and by-laws or the business recording/license with a local, state, or federal government entity. The documentation must include the date the business was established.
2. The name and position description of personnel in the *certifying agent's* operation performing inspections, members of any *certification* review committees, and inspection contractors. (3 CCR section 1326.13(a)(1)(A).)
 3. A description of the qualifications, including experience, training, and education in auditing, inspection, *covered animal* production and/or *covered product* distribution, or other relevant areas of work. (3 CCR section 1326.13(a)(1)(B).)
 - Provide the person's name, their position description, and their experience, training, and education in auditing, inspection, *covered animal* production or *covered product* distribution, and any other relevant areas of work that may be used to evaluate their qualifications and experience for performing *certifications* for each category of employee as described:
 - Inspector employees that will be examining and evaluating the production or distribution operations of applicants for *certification*.
 - Contracted inspectors hired by *certifying agent* for the purposes of conducting inspections on behalf of the business.
 - Review committees consisting of individuals or groups of individuals who will be reviewing documents/forms collected by or otherwise used by the *certifying agent* to conduct *certification* activities or who evaluate and make determinations of a producer's/*distributor's* compliance or ability to comply with Animal Confinement regulations for granting *certification*.
 4. A description of the procedures, practices, and training, including biosecurity training, to ensure that *certifying agent's* responsibly connected persons, employees, and contractors with inspection, analysis, auditing, and decision-making responsibilities have sufficient expertise to successfully perform the duties assigned and to comply with and implement the requirements of the Act and Animal Confinement regulations. (3 CCR section 1326.13(a)(1)(C).)
 - Describe or include a copy of business procedures, practices, and training, including biosecurity training, used to ensure employees, employee contractors, and responsibly connected persons that conduct inspections, auditing and decision-making responsibilities have sufficient expertise to successfully perform the *certification* duties. For example, this may include business policies for new employee training, refresher training, continuing education, or any on-going training or other educational or trade-specific instruction.
 5. A copy of the procedures used to evaluate *certification applicants*, make *certification* decisions, and issue certificates. (3 CCR section 1326.13(a)(2)(A).)
 - Describe or include a copy of the procedures used to review applications received for *certification*. The procedures must cover all processes beginning with the application form, how the application is evaluated, and any additional materials received when making a *certification* decision. For example:

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Application for Certification (3 CCR section 1326.3)

- Include a copy of the application for *certification*. The application must request the applicant to provide specific information:
 - The name of the person completing the application; the applicant's business name, physical address, mailing address, and phone number; and, when the applicant is a corporation, the name, address, email, and phone number of the person authorized to act on the applicant's behalf;
 - The name(s) of any *certifying agent(s)* to which application has previously been made; the year(s) of application; the outcome of the application(s) submission, including, when available, a copy of any notification of noncompliance, denial or revocation of *certification* issued to the applicant for *certification*; and a description of the actions taken by the applicant to correct the noncompliance noted in the notification of noncompliance, including evidence of such correction;
 - A description of the type and quantity of *covered animals* and/or *covered products* to be produced and/or distributed at the facility for which *certification* is being requested;
 - A description of the *covered animal* confinement system to be used at the facility, such as the number of *enclosures*, size of *enclosures* and maximum number of *covered animals* to be housed in each, and additional information as deemed necessary by the *certifying agent* to determine compliance; and
 - A description of the management practices, physical barriers, and standard operating procedures established to prevent commingling of *covered animals* or *covered products* if the facility is a *split operation*.

Process to Review Application for Certification (3 CCR section 1326.4)

- Upon the acceptance of an application for *certification*, describe or include documents demonstrating how the *certifying agent* internally processes the application.
- For example:
 - Review the application to ensure the applicant has provided all required information.
 - Determine whether the applicant appears to comply or may be able to comply with the requirements for *certification*.
 - Verification that an applicant who previously applied to another *certifying agent* and received a notification of noncompliance or denial of *certification* has submitted documentation to support the correction of any issues of noncompliance identified in the notification of noncompliance or denial of *certification*.
 - Scheduling of an on-site inspection of the production or distribution operation to determine whether the applicant will be granted *certification*. This on-site inspection is scheduled if review of application materials reveals that the production or distribution operation may be compliant with the applicable requirements of the Act and Animal Confinement regulations.
 - The *certification* applicant may withdraw its application at any time. An applicant that voluntarily withdraws its application prior to the issuance of a notice of noncompliance will not be issued a notice of noncompliance. Similarly, an applicant that voluntarily withdraws its application prior to the issuance of a notice of *certification* denial will not be issued a notice of *certification* denial.

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Process for Certification On-Site Inspections (3 CCR section 1326.5)

- Describe or include documents demonstrating how the on-site inspection will be conducted from scheduling the on-site inspection with the applicant through completion of the on-site inspection.
- For example:
 - On-site inspections.
 - In order to grant *certification*, a *certifying agent* must conduct an initial on-site inspection of each production unit, facility, and site that produces or distributes *covered animals* or *covered products* that is included in an operation for which *certification* is requested.
 - An on-site inspection must be conducted at least once every 12 months thereafter for each *certified* operation that produces or distributes *covered animals* or *covered products* for the purpose of determining whether to approve the request for *certification* or whether *certification* of the operation should continue.
 - Scheduling.
 - The initial on-site inspection must be conducted within three (3) months following a determination that the applicant appears to comply or may be able to comply with the requirements of the Act and Animal Confinement regulations.
 - All on-site inspections must be conducted when an authorized representative of the operation who is knowledgeable about the operation is present, can access operation *records*, and at a time when facilities and activities that demonstrate the operation's compliance with or capability to comply with the applicable provisions of the Act and Animal Confinement regulations can be observed.
 - Verification of information. The on-site inspection of an operation must verify:
 - The operation's compliance or capability to comply with the Act and Animal Confinement regulations.
 - The information provided on the application for *certification* or for renewal *certification* accurately reflects the practices used or to be used by the applicant for *certification* or by the *certified operation*.
 - Exit interview. The *certifying agent* must conduct an exit interview with an authorized representative of the operation who is knowledgeable about the inspected operation to confirm the accuracy and completeness of inspection observations and information gathered during the on-site inspection. The *certifying agent* must also address the need for any additional information as well as any issues of concern.
 - A copy of the on-site inspection report shall be sent to the inspected operation by the *certifying agent*.

Procedures for allowing access for On-Site Inspection (3 CCR section 1326.1)

- In order to receive or maintain *certification*, an applicant for *certification* must:
 - Allow on-site inspections by the *certifying agent* with access to the production and/or distribution operation and offices.
 - If a producer, allow access by the *certifying agent* to pastures, fields, structures, and houses where *covered animals* and *covered products* may be kept, produced, processed, handled, stored or transported, including the inspection of all *enclosures* for *covered animals*.

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- If a *distributor*, allow access by the *certifying agent* to examine all covered products that are sold or intended, held, segregated, stored, packaged, labeled, or represented for sale or distribution in California.
- Allow access by the *certifying agent* to containers, labels, labeling, invoices, documents of title, and bills of lading used in the handling, storage, packaging, sale, transportation, or distribution of *covered products* in California.
- Allow access by the *certifying agent* during normal business hours for review and copying of *records* required to be maintained by producer and/or *distributor* operations.
- Immediately notify the *certifying agent* concerning any change in a *certified operation* or any portion of a *certified operation* that may affect its compliance with the Act and Animal Confinement regulations.

Procedures to Review Required Recordkeeping by Certified Operations (3 CCR section 1326.2)

- In order to receive and maintain *certification*, a *certified operation* must maintain *records* concerning the production and distribution of *covered animals* and/or *covered products*. Describe or include documents demonstrating how *certifying agent* will verify applicants for *certification* and *certified operations* comply with the recordkeeping requirements.
- *Records* must:
 - Be maintained by a producer in sufficient detail to document that *covered animals* were confined in compliance with the Act and Animal Confinement regulations.
 - Be maintained by a *distributor* in sufficient detail to document the identification, source, supplier, transfer of ownership, transportation, storage, segregation, handling, packaging, distribution, and sale of *covered products* that were derived from animals confined in compliance with the Act and Animal Confinement regulations.
 - Be maintained for not less than two (2) years beyond their creation.
 - Include *records* of all *covered animal* or *covered product* transactions for the preceding two-year period. The *records* must indicate the date, quantity, identity of the buyer and seller, and the address where physical possession of *covered product* took place for each transaction.
 - Include documentation and *records* for the preceding two-year period pertaining to the production, processing, handling, packaging, storage, transportation, or sale of *covered animals* or *covered products* sold, intended for sale in California or identified or represented as compliant with the confinement requirements of the Act and Animal Confinement regulations.
 - Include documentation of the size of the *certified operation*, the quantity of *covered animals* or *covered products* produced or processed from each facility or *farm* unit in the *certified operation*, the number of *covered animal enclosures* for each facility or *farm* unit, the size of each *enclosure*, the number of *covered animals* housed in each *enclosure*, and the dates of stocking, harvest and production.
 - If the facility is a *split operation*, include documentation sufficient to demonstrate the identification, segregation, distribution, and handling of *covered animals* and/or *covered products* to prevent commingling with any animals or products that do not comply with requirements of the Act.
 - Include documentation of registration issued by CDFA, as applicable to the *certified operation*.

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- The inspection and audit of any *records* and documents required by this section, may be conducted by the *certifying agent*, by on-site inspection at the *certified operation* location, or by utilizing email, phone, teleconference, or any combination thereof, at the discretion of the *certifying agent*.

Process for Granting Certification (3 CCR section 1326.6)

- Describe or include documents demonstrating how *certification* is granted to applicants following the initial on-site inspection.
- For example:
 - After completion of the initial on-site inspection, a *certifying agent* must review the on-site inspection report, and any additional information requested from or supplied by the applicant. If the *certifying agent* determines that the confinement or distribution system and all procedures and activities of the applicant's operation are in compliance with the Act and Animal Confinement regulations, the *certifying agent* shall grant *certification*.
 - When a *certifying agent* issues a certificate of compliance it shall specify all the following:
 - Name and address of the *certified operation*.
 - Effective date of *certification*.
 - Date of most recent on-site inspection.
 - Categories of operation, including whether the operation is a producer, *distributor* or both, a *split operation*, and the species of *covered animals* or types of *covered products* produced or distributed by the *certified operation*.
 - Name, address, and phone number of the *certifying agent*.

Process for Denying Certification (3 CCR section 1326.7)

- Describe or include documents demonstrating the processes by which your business will take when denying an applicant for *certification*.
- For example:
 - When the *certifying agent*, based on a review of the information on the application for certification, review of the application for *certification*, on-site inspection, and recordkeeping, determines that an applicant for *certification* is not in compliance with the Act and Animal Confinement regulations, the *certifying agent* shall provide a written notification of noncompliance to the applicant.
 - When correction of a noncompliance is not possible, a notification of noncompliance and a notice of denial of *certification* may be combined in one notice.
 - A notification of noncompliance shall provide:
 - A description of each noncompliance.
 - The facts upon which the notification of noncompliance is based.
 - The date by which the applicant must rebut or correct each noncompliance and submit supporting documentation of each such correction when correction is possible.
 - Upon receipt of such notification of noncompliance, the applicant may:
 - Correct noncompliances and submit a description of the corrective actions taken with supporting documentation to the *certifying agent*.

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- Correct noncompliances and submit a new application to another *certifying agent*: Provided, that the applicant must include a complete application, the notification of noncompliance received from the first *certifying agent*, and a description of the corrective actions taken with supporting documentation.
- Submit written information to the issuing *certifying agent* to rebut the noncompliance described in the notification of noncompliance.
- After issuance of a notification of noncompliance, the certifying agent must:
 - Evaluate the applicant's corrective actions taken and supporting documentation submitted or the written rebuttal and conduct an on-site inspection if necessary.
 - When the corrective action or rebuttal is sufficient for the applicant to qualify for *certification*, issue the applicant an approval of *certification*.
 - When the corrective action or rebuttal is not sufficient for the applicant to qualify for *certification*, issue the applicant a written notice of denial of *certification*.
- A *certifying agent* must issue a written notice of denial of *certification* to an applicant who fails to respond to the notification of noncompliance within 30 calendar days of the date issued.
- A notice of denial of *certification* must state the reason(s) for denial and the applicant's right to:
 - Reapply for *certification*.
 - Request mediation within 30 calendar days of date of notice of denial.
 - Request a formal hearing of the denial of *certification* within 30 calendar days of date of notice of denial. The request for a formal hearing shall be made by written correspondence to the California Department of Food and Agriculture, Legal Office of Hearings and Appeals, 1220 N Street, Suite 315, Sacramento, California 95814.
- An applicant for *certification* who has received a written notification of noncompliance or a written notice of denial of *certification* may apply for *certification* again at any time with any *certifying agent*. When such applicant submits a new application to a *certifying agent* other than the *certifying agent* who issued the notification of noncompliance or notice of denial of *certification*, the applicant for *certification* must include a copy of the notification of noncompliance or notice of denial of certification and a description of the actions taken, with supporting documentation, to correct the noncompliances noted in the notification of noncompliance.
- A *certifying agent* who receives a new application for *certification*, which includes a notification of noncompliance or a notice of denial of *certification*, must treat the application as a new application and begin a new application process.
- If a *certifying agent* has evidence that an applicant for *certification* has made a false statement or otherwise misrepresented the applicant's operation or its compliance with the *certification* requirements, the *certifying agent* may deny *certification* without first issuing a notification of noncompliance.

Process for Continuation of Certification (3 CCR section 1326.8)

- Describe or include documents demonstrating the processes when a *certified operation* requests a continuation of *certification*.

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- For example:
 - To continue *certification*, a *certified operation* must annually submit the following renewal information, as applicable, to the *certifying agent*:
 - A summary statement, supported by documentation, detailing any deviations from, or changes to, information submitted on the previous year's application, including but not limited to any additions to or deletions from the information required on the application for certification.
 - An update on the correction of any noncompliances previously identified by the certifying agent as requiring correction for continued *certification*.
 - Other information as deemed necessary by the *certifying agent* to determine compliance with the Act and Animal Confinement regulations.
 - Following the receipt of the information required for continuing *certification* section, the *certifying agent* shall arrange and conduct an on-site inspection of the *certified operation* to determine compliance with the Act and Animal Confinement regulations.
 - If the *certifying agent* determines, based on the on-site inspection and a review of the information required for continuing *certification*, that a *certified operation* is not complying with the requirements of the Act and Animal Confinement regulations, the *certifying agent* shall provide a written notification of noncompliance to the operation.
 - If the *certifying agent* determines, based on the on-site inspection and a review of the information required for continuing *certification*, that the *certified operation* is complying with the Act and Animal Confinement regulations, the *certifying agent* shall issue an updated certificate of compliance.
 - Any change in ownership, change of business name, or change in business location, closure of business, or change of name, address, phone number or email of person authorized to act on behalf of the *certified operation* must be reported to the *certifying agent* within 30 calendar days of such change.

6. A copy of the procedures to be used for reviewing and investigating *certified operations* compliance with the Act and Animal Confinement regulations and the reporting of violations of the Act and Animal Confinement regulations to CDFA. (3 CCR section 1326.13(a)(2)(B))

- Describe or include a copy of the procedures used for reviewing and investigating *certified operations'* compliance with the Act and Animal Confinement regulations and the reporting of violations of the Act and Animal Confinement regulations to CDFA.
- For example:

Reporting violations to CDFA (3 CCR section 1326.10(a)(10))

Submit to CDFA a copy of within 14 calendar days of creation, any notice of proposed suspension or revocation and notice of suspension or revocation.

Reporting complaints to CDFA (3 CCR section 1326.19)

A *certifying agent* shall report to CDFA complaints of noncompliance with the Act and Animal Confinement regulations concerning production and distribution operations *certified* as compliant with Animal Confinement regulations by the *certifying agent*.

Noncompliance Procedure for *Certified Operations* (3 CCR section 1326.20)

- Notification. When an inspection, review, or investigation of a *certified operation* by a *certifying agent* reveals any noncompliance with the Act or Animal Confinement regulations, a written notification of noncompliance shall be sent by the *certifying agent* to the *certified operation*. Such

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notification shall provide:

- The date issued.
- A description of each noncompliance.
- The facts upon which the notification of noncompliance is based.
- The date by which the *certified operation* must rebut or correct each noncompliance and submit supporting documentation of each such correction when correction is possible.
- Resolution. When a *certified operation* demonstrates that each noncompliance has been resolved within the prescribed time period, the *certifying agent* shall send the *certified operation* a written notification of noncompliance resolution.
- Proposed suspension or revocation. When rebuttal is unsuccessful or correction of the noncompliance is not completed within the prescribed time period, the *certifying agent* shall send the *certified operation* a written notice of proposed suspension or revocation of *certification* of the entire operation or a portion of the operation, as applicable to the noncompliance. When correction of a noncompliance is not possible, the notification of noncompliance and the notice of proposed suspension or revocation of *certification* may be combined.
- The notice of proposed suspension or revocation of *certification* shall state:
 - The date the proposed suspension or revocation was issued.
 - The reasons for the proposed suspension or revocation.
 - The effective date of proposed suspension or revocation.
 - The number of days from date of the notice of proposed suspension or revocation and effective date of suspension or revocation is 30 calendar days.
 - The impact of a suspension or revocation on future eligibility for *certification* including conditions for reinstatement.
 - The right to request mediation or to request a formal hearing within 30 calendar days of the date the proposed suspension or revocation was issued. The request for a formal hearing shall be made by written correspondence to the California Department of Food and Agriculture, Legal Office of Hearings and Appeals, 1220 N Street, Suite 315, Sacramento, California 95814.
 - The *certifying agent* shall not issue a notice of suspension or revocation while the outcome from mediation or a formal hearing is pending.
- Willful violations. If a *certifying agent* has evidence that a *certified operation* has willfully violated the Act or Animal Confinement regulations, the *certifying agent* shall send the *certified operation* a notice of proposed suspension or revocation of *certification* of the entire operation or a portion of the operation, as applicable to the noncompliance.
- Suspension or revocation.
 - If the *certified operation* fails to correct the noncompliance according to the prescribed time period, to resolve the issue through rebuttal or mediation, or to request a formal hearing with CDFA of the proposed suspension or revocation of *certification* before the suspension or revocation goes into effect, the *certifying agent* shall send the *certified operation* a written notice of suspension or revocation.
 - A *certifying agent* must not send a notice of suspension or revocation to a *certified operation* that has requested mediation or a formal hearing with CDFA, while final resolution of either is pending.
- Eligibility.

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- A *certified operation* whose *certification* has been suspended may at any time, unless otherwise stated in the notice of suspension, submit a request to CDFA for reinstatement of its *certification*. The request must be accompanied by evidence demonstrating correction of each noncompliance and corrective actions taken to comply with and remain in compliance with the Act and Animal Confinement regulations.
 - A *certified operation* or a person responsibly connected with an operation whose *certification* has been revoked will be ineligible to receive *certification* for a period of two (2) years following the date of such revocation.
7. A copy of the procedures to be used for complying with the recordkeeping requirements set forth in 3 CCR section 1326.17(b).
- Describe in detail *certifying agent's* procedures for maintaining *records*.
 - For example:
 - *Records* obtained from applicants for *certification* and *certified operations* must be maintained for not less than three (3) years beyond their receipt.
 - *Records* created by the *certifying agent* regarding applicants for *certification* and *certified operations* must be maintained for not less than three (3) years beyond their creation.
 - *Records* created or received by the *certifying agent* pursuant to the *accreditation* requirements Animal Confinement regulations, must be maintained for not less than three (3) years beyond their creation or receipt.
8. A copy of the procedures to be implemented to prevent the occurrence of conflicts of interest, as described in 3 CCR section 1326.10(a)(8). (3 CCR section 1326.13(a)(3).)
- Provide a copy of protocol for preventing any conflicts of interest between the business and employees, the immediate family, or a responsibly connected party. Include, for example, documents relating to code of conduct, conflict of interest statements, confidentiality agreement, ethics agreements, or policies and procedures of the profession or business regarding independence, integrity, or objectivity or other documentation describing how *certifying agent* prevents conflicts of interest by:
 - Not certifying a production or distribution operation if the *certifying agent* or a responsibly connected party of such *certifying agent* has or has held a commercial interest in the production or distribution operation, including an immediate family interest or the provision of consulting services, within the 12-month period prior to the application for *certification*.
 - Excluding any person, including contractors, with conflicts of interest from work, discussions, and decisions in all stages of the *certification* process and the monitoring of *certified operations* for all entities in which such person has or has held a commercial interest, including an immediate family interest or the provision of consulting services, within the 12-month period prior to the application for *certification*.
 - Not permitting any employee, inspector, contractor, or other personnel to accept payment, gifts, or favors of any kind, other than prescribed fees, from any business inspected.
9. A copy of your business's schedule of fees for *certification* services. (3 CCR section 1326.12(a)(3).)
10. Any other information you believe may assist CDFA in evaluating *certifying agent's* expertise and ability to perform *certification* services. (3 CCR section 1326.13(a)(4).)