



CALIFORNIA DEPARTMENT OF  
FOOD & AGRICULTURE

## CDFA Harmonized Audit Information

### 1. The applicant agrees that with respect to:

- a. **Laws, Regulation, Statutes** - To conform with all applicable Federal, State, and local government laws, regulations, or statutes.
- b. **Audit Request** - To contact and schedule the audit with the appropriate CDFA inspection office (using Form 006).
- c. **Records and Equipment**- To abide by all requirements of the selected scheme or standard. To maintain all records and or documents required by the specific scheme or standard, but not limited to, quality manual, food safety manual, water test results, employee training records, manure use records, laboratory testing results and other records as required by the quality manual, food safety manual or specific audit program requirements. The applicant shall make these records available to CDFA auditors for the initial audit and any surveillance audits as may be required.
- d. **Access to Facilities, Equipment, Locations, Areas, Personnel and Subcontractors** - To grant permission for CDFA authorized personnel to enter any and all farms and/or facilities covered by the specific audit program for the purposes of conducting the audit and to grant access to relevant equipment, area(s), personnel and applicants subcontractors. This includes the initial audit and any surveillance audits as may be required by the program.
- e. **Payment** - To pay by check, draft, or money order drawn to the order of "Cashier, Department of Food & Agriculture" for the services covered herein on or before the due date specified on the billing statement. Charges for audits include, but are not limited to, the audit fee as listed in the fee schedule and travel expenses for the initial audit and any surveillance audits as may be required by the program.
- f. **Certification Claims** – Only make claims regarding certification to the scope of certification granted and indicate products are certified as being in conformity with specified standards.
- g. **Certification Documents** – To provide, if needed to others, reproduced copies of the certification documents in their entirety or as specified in the certification scheme.
- h. **Product Certification, Communication Media** – Does not use its product certification in such a manner as to bring the certification body (CDFA) into disrepute or make any misleading or unauthorized statements. If making reference to its product certification in communication media such as documents, brochure or advertising, to comply with the requirements of CDFA or as specified by the scheme.
- i. **Suspended, Withdrawal or Termination of Certification** - If or when certification is suspended or cancelled, all advertising matter that contains references to certification will be discontinued and return all documentation required by the certification body (CDFA).
- j. **Certificate** – Endeavors to ensure no certificate is used in a misleading manner.
- k. **Significant Changes** – To notify the certification body (CDFA) prior to or without delay of any significant changes affecting but not limited to the following: ownership, structure and or management, intended modifications to the food safety quality system or equipment or any other information indicating that the product may no longer comply with the requirements of the selected scheme or standard.
- l. **Complaints** – To retain a record of all complaints made known to it relating to compliance with certification requirements and to make these records available to CDFA when requested, takes appropriate action with respect to such complaints and any deficiencies found that affect compliance with the requirements for certification and documents the actions taken.

## 2. CDFA agrees that with respect to:

- a. **Perform Audit** – To provide objective third-party verification of the applicant's specific scheme or standard using internationally recognized audit principles.
- b. **Opening & Exit Interviews** - To discuss the audit prior to and report the results and observations with the applicant after each audit and provide a copy of the completed audit report or checklist.
- c. **Reports** - To issue to the applicant reports of all audits and evaluations of the applicant's specific scheme or standard and provide written notification of any deficiencies found, if any.
- d. **Confidentiality** - To consider and treat any trade secrets or confidential information as proprietary and confidential. To consider any records and related information provided to CDFA as information that is voluntarily submitted to CDFA because of their participation in the specific audit program.
- e. **Issuance of Certificate, Posting and Sharing Audit Results** - To issue a certificate to the applicant and to post audit results to the CDFA website, only when the applicant receives at least the minimum passing score for each scope being audited. To provide the specific applicant checklist and results of individual questions to other parties only at the written request of the applicant.
- f. **Changes Affecting Certification** – To ensure that any new or revised requirements that are introduced by the certification scheme are communicated to applicants that may be affected. The actions to implement changes affecting certification shall include, if required, but not limited; to evaluation, review, decision, issuance of revised formal certification documentation to extend or reduce the scope of certification and issuance of certification documentation of revised surveillance activities (if surveillance is part of the certification scheme). Records will be maintained and shall include the rationale for excluding any of the aforementioned activities.
- g. **Re-evaluation** – To re-evaluate the audit, in the event of changes in the standards to which compliance of the product is certified, to ensure that the product complies with the requirements of the selected scheme or standard. CDFA shall determine whether the announced changes require further investigations. If such is the case, the applicant shall not be allowed to release certified products resulting from such changes until the certification body (CDFA) has notified the applicant accordingly.
- h. **Investigation of Complaints** – Complaints brought before CDFA by applicants shall be subject to the procedures of CDFA. A record will be kept of all complaints and remedial actions relative to certification. CDFA will take appropriate subsequent action, documenting the action taken and its effectiveness.

## 3. It is mutually agreed that with respect to:

- a. **Length of Service** - That the audit results for audits and certification are valid for a maximum of one year from the date of the initial audit, (certification validation may be less than one year depending on length of growing or packing season) provided that at least the minimum score is achieved on both the initial audit and any surveillance audits that may be required by the program. This agreement shall remain in effect for the length of time the auditee remains a participant in the specific audit program.
- b. **Maintaining Certification** - That a company's information will only remain on the CDFA website if any and all surveillance audits show satisfactory adherence to the program. If the minimum passing score is not achieved, the company's information will be removed from the website until a follow-up audit is conducted by CDFA verifying that effective corrective actions have been taken and the company attains the minimum score on all appropriate scopes of the audit. Should CDFA personnel be at a facility for other purposes and notice issues that would jeopardize the company's standing on the specific audit program, CDFA has the obligation to bring this to the attention of the company representative and, depending on the severity, withdraw certification.



## Additional Resources

The following links provide access to the most current Harmonized scheme standards.

Pre Harvest Standard - <http://www.unitedfresh.org/assets/Harmonized%20Standard%20-%20pre-farm%20gate%20130501.pdf>

Post-Harvest Standard - <http://www.unitedfresh.org/assets/pdfs/Post-Harvest%20Operations%20Harmonized%20Standard%20120605.pdf>

If you have any questions regarding preparing for a Harmonized audit, requesting an audit or the certification process please contact the CDFA Shipping Point Inspection, Dinuba District Office, at (559) 595-8000 or at [FoodSafety@agsupport.org](mailto:FoodSafety@agsupport.org) .