



United States Department of Agriculture

Agricultural Marketing Service, Specialty Crops Program, Specialty Crops Inspection Division

SPECIALTY CROPS INSPECTION (SCI) DIVISION AUDIT SUBMISSION PROCEDURES

This policy document outlines the SCI Division's audit submission procedures for audits performed by SCI Division auditors.

SCI Division Audit Services Branch (ASB) auditors will use this procedure when submitting completed audits for review, database entry, and certification. This ensures guidelines are uniformly applied.

These procedures/instructions are for both federal auditors and Federal/State auditors and supersede all previously issued instructions for audit submissions, including emails and bulletins.

These procedures/instructions do not apply to audits that are processed in SCION.

Submitting the Audit for Review

- A. Auditor will send all audit reports and associated documentation, as instructed below, to SCAudits@usda.gov.
- B. Within 5 business days of completing the audit, the auditor will submit the audit report for review. If submitted outside of 5 business days, the auditor will provide an explanation in the body of the email.
- C. The auditor will enter in the subject line the submission request (including any special action), audit type, auditee state, and auditee name. For example:
 - Audit for Review - Audit Type (i.e., GMP, Harmonized GAP, etc.) – Auditee State - Auditee Name
 - Automatic Unsatisfactory, IAR or Does Not Meet Audit for Review - Audit Type (i.e., GMP, Harmonized GAP, etc.) – Auditee State - Auditee Name
 - Follow-up or Unannounced Audit for Review Audit Type (i.e., GMP, Harmonized GAP, etc.) – Auditee State - Auditee Name

- Requesting Status of submitted audit report - Audit Type (i.e., GMP, Harmonized GAP, etc.) – Auditee State - Auditee Name
 - Correction to previously submitted report - Audit Type (i.e., GMP, Harmonized GAP, etc.) – Auditee State - Auditee Name
 - Correction to certificate or website - Audit Type (i.e., GMP, Harmonized GAP, etc.) – Auditee State - Auditee Name
 - Expedited Audit for Review - Audit Type (i.e., GMP, Harmonized GAP, etc.) – Auditee State - Auditee Name
- D. The auditor will submit only one audit per email for audit report review submittals.
- E. The auditor will submit the audit report and include all supporting documents in the submission:
- SC-651 Agreement for Participation in Audit Verification Services
 - SC-237A Request for Audit Service Form
 - Excel copy of audit report (for GAP), Word copy of audit coversheet and checklist (non-GAP)
 - Billing Worksheet (federal auditors and Fed/State auditors in states that ASB is performing the billing)
 - Attachments, including additional commodity list, maps/images of locations, additional comments, audit plan, attendance list, and corrective action reports, as appropriate.
- F. When an audit reviewer sends an audit report back to the auditor for corrections or clarifications, the auditor will respond directly to the reviewer with the correction or clarification within 3 business days. Do not send the corrected audit back to the SCAudits inbox.
- G. In the body of the email submission, the auditor will include any additional comment for the reviewer that will help the audit review process efficiently:
- Special mailing instructions for certificate
 - Special background information about the facility
 - Any additional information the auditor wants the reviewer to know

- A request to upload the audit to Azzule

After the Audit Submission

- A. The reviewer will review and approve the audit report, convert it into a PDF document(s), assemble the various pages, and sign it (electronic signature is preferred).
- B. The reviewer will send the Excel/Word document and the signed PDF copy of the final audit report back to the auditor.
- C. The auditor will promptly distribute only the PDF copy of the audit report to the auditee and file the Excel/Word copy with their signature in their files.

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Non-Discrimination Policy: In accordance with Federal civil rights law and U.S. Department of Agriculture (USDA) civil rights regulations and policies, the USDA, its Agencies, offices, and employees, and institutions participating in or administering USDA programs are prohibited from discriminating based on race, color, national origin, religion, sex, disability, age, marital status, family/parental status, income derived from a public assistance program, political beliefs, or reprisal or retaliation for prior civil rights activity, in any program or activity conducted or funded by USDA (not all bases apply to all programs). Remedies and complaint filing deadlines vary by program or incident.

Persons with disabilities who require alternative means of communication for program information (e.g., Braille, large print, audiotape, American Sign Language, etc.) should contact the State or local Agency that administers the program or contact USDA through the Telecommunications Relay Service at 711 (voice and TTY). Additionally, program information may be made available in languages other than English.

To file a program discrimination complaint, complete the USDA Program Discrimination Complaint Form, AD-3027, found online at [How to File a Program Discrimination Complaint](#) and at any USDA office or write a letter addressed to USDA and provide in the letter all of the information requested in the form. To request a copy of the complaint form, call (866) 632-9992. Submit your completed form or letter to USDA by: (1) mail: U.S. Department of Agriculture, Office of the Assistant Secretary for Civil Rights, 1400 Independence Avenue, SW, Mail Stop 9410, Washington, D.C. 20250-9410; (2) fax: (202) 690-7442; or (3) email: program.intake@usda.gov.

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