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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