



# The Equitable Food Initiative Certification Program Requirements

VERSION 2.1, DECEMBER 1<sup>ST</sup>, 2020

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## Responsibility for these Requirements

The EFI Standards Committee has responsibility for this document and will periodically review and update it.

Users should verify that they are using the latest copy by checking on the EFI website at: [www.equitablefood.org](http://www.equitablefood.org).

## Versions Issued

| Version No. | Date                             | Description of Amendment  |
|-------------|----------------------------------|---|
| v1.0        | January 24, 2014                 | First public-facing version   |
| v1.1        | June 30, 2014                    | Changes based on first round of audits  |
| v1.2        | January 1, 2015                  | Changes to post-audit processes and reporting timelines   |
|             |                                  | The branding of the document updated to meet current EFI requirements. The document name was changed to “EFI Certification Program Requirements”.   |
|             |                                  | “About EFI” preamble revised.   |
| v1.3        | November 20 <sup>th</sup> , 2017 | Copy edits made to improve the clarity of the document.<br><br>Requirements have been added to allow the acceptance of a GFSI-benchmarked certificate and relevant Costco Food Safety Addendum in lieu of auditing the full Food Safety section of the EFI Standards, Guidance, and Interpretations.<br><br>Document sampling requirements have been added. |
|             |                                  | Alignment with Global Food Safety Initiative (GFSI) requirements for accreditation, certification body personnel competencies, and other minor revisions.   |
| v2.0        | November 30 <sup>th</sup> , 2018 | Audit scope and interviewing requirements for verification audits have been modified to reflect corresponding changes to the EFI Certification Program Summary.<br><br>Composition of the audit team has been clarified.  |

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| <b>Version No.</b> | <b>Date</b>                     | <b>Description of Amendment</b>   |
|--------------------|---------------------------------|---|
| v2.1               | December 1 <sup>st</sup> , 2020 | Adherence to EFI Quality and Integrity Management System<br>Introduction of pre-audit document review |

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# About the Equitable Food Initiative (EFI)

EFI is a non-profit skill-building and certification organization that brings growers, farmworkers, retailers, and consumers together to create a safer, more equitable food system. This unique approach sets standards for labor practices, food safety and pest management while engaging workers at all levels to address issues and challenges in the produce industry.

## Our Mission Statement

To bring together growers, farmworkers, retailers and consumers to transform agriculture and the lives of farmworkers.

## We Believe:

- That being a farmworker is a valuable and honorable profession.
- The skills and contributions of farmworkers create a healthier work environment and produce safer food.
- The future of agriculture lies within the collaboration among growers, farmworkers, retailers and consumers.
- By transforming agriculture, we will transform lives.

## Introduction

The purpose of the EFI Certification Program Requirements [this document] are:

1. To document requirements so certifying bodies (CBs) can operate in a consistent and controlled manner; and
2. To provide transparency so the EFI certification program has credibility with stakeholders.

EFI's accreditation body (AB) is responsible for setting the scope of CB accreditation. They will do so with reference to this document's requirements.

EFI's Certification Program Requirements are set out in two parts and apply to CBs as below:

| Part  | Conformity                           |
|---|--------------------------------------|
| Part A – General certification requirements | Mandatory for all CBs                |
| Part B – Grower certification requirements  | Mandatory for CBs certifying growers |

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## Part A: General Requirements for all CBs

### 1 Scope

Part A of EFI's Certification Requirements sets out the activities that all CBs shall undertake in carrying out certification and/or inspection to any of the EFI Standards.

### 2 General Requirements

#### 2.1 Accreditation

- 2.1.1 The scope of the accreditation shall be:
  - 2.1.1.1 Geographic, using the countries in which the CB has demonstrated that it has access to auditors who meet the qualification criteria set; and
  - 2.1.1.2 Based on activities as defined in the EFI Certification Program Summary.
- 2.1.2 A CB providing technical auditing services to the EFI Food Safety and Pest Management Standards shall apply for and obtain accreditation by EFI's AB before starting to sell certification services.
- 2.1.3 A CB shall only award certificates once it is accredited and only within scope of its accreditation.
- 2.1.4 A requirement of accreditation is that the CB holds a CB Agreement with EFI.
- 2.1.5 A CB shall recognize certificate holders that have been certified by other accredited CBs as conformant with the EFI Standards.
- 2.1.6 A CB shall make available at any time to EFI the authority under which the organization operates. A CB shall notify EFI of any changes to its ownership, top management personnel, management structure, and/or constitution within five business days.

#### 2.2 Implications of Suspension, Withdrawal, or Cancellation of Accreditation

- 2.2.1 The CB shall not sign new certification contracts or conduct audits if all or part of a CB's scope of accreditation is suspended and if those activities fall under the suspended scope.
- 2.2.2 If suspended, the CB shall follow all requirements specified by the AB, which may include suspending or withdrawing any certificate(s) it has issued with immediate effect.
- 2.2.3 When a CB's accreditation is withdrawn or terminated, it may not sign new certification contracts, conduct any audits, or issue certificates.



## 2.3 *Conformity to ISO 17065 and EFI Requirements*

- 2.3.1 All CBs shall conform to the requirements of ISO 17065 and all other EFI requirements relevant to the scope of accreditation applied for or held.
- 2.3.2 If the EFI requirements differ from those of ISO 17065, the EFI requirements shall be followed.
- 2.3.3 The CB shall clearly document and make known to its employees all requirements of ISO 17065 relating to personnel.

## 2.4 *Conformity to ISO 19011*

- 2.4.1 CB audit personnel should follow guidance on auditing provided in ISO 19011.

## 2.5 *Conformity to GFSI Requirements*

- 2.5.1 CBs providing technical auditing shall conduct a minimum of five audits per year to maintain conformity to GFSI requirements.

## 2.6 *Compliance with Legal Requirements*

- 2.6.1 CBs shall comply with the legal requirements in the countries in which they operate.
- 2.6.2 Key personnel shall demonstrate understanding of applicable legislation and regulations.

## 2.7 *Adherence to EFI's Quality and Integrity Management System*

- 2.7.1 The CB shall maintain compliance with *EFI's Quality and Integrity Management System*.
- 2.7.2 Should the CB perform below the thresholds required by *EFI's Quality and Integrity Management System* and are unable to correct in the timeline set by EFI, the CB may be denied the ability to conduct further EFI audits.

## 2.8 *Contract*

- 2.8.1 The CB's contract for certification with the grower shall include the following requirements:
  - 2.8.1.1 That the grower agrees to conform to:
    - 2.8.1.1.1 The EFI Standards; and
    - 2.8.1.1.2 Requirements set forth in the *EFI Certification Program Summary*.
  - 2.8.1.2 That if a major change occurs in the ownership of the grower's operation from the time of application onwards, the grower shall disclose this to the CB as soon as practicable and agree to any

auditing and/or certification processes EFI deems necessary to verify ongoing compliance with certification program requirements and/or Standards.

- 2.8.1.3 That the grower agrees to allow the CB, the AB, EFI, and regulatory authorities who are so entitled to do so:
  - 2.8.1.3.1 To have access to observe any audit carried out by the CB for purposes of evaluating either the CB's or the AB's performance; and
  - 2.8.1.3.2 To have access to all records and any area of the farm relevant to the scope and purpose of any audit.
- 2.8.1.4 That the grower allows EFI or the AB to undertake audits of their own.
- 2.8.1.5 That the grower agrees to allow the CB to notify EFI and government authorities immediately if, at any time during an audit, the CB discovers a condition that could cause or contribute to a serious risk of harm to the public or workers or which represents an egregious violation of law.
- 2.8.1.6 That EFI will not be liable for any costs or loss of certification arising out of changes to EFI Standards or other EFI documents.
- 2.8.1.7 That the grower must enter into a certification program participation agreement with EFI before it is able to use the EFI Brand, including the EFI label.
- 2.8.2 Prior to entering into a contract, the CB shall confirm in writing with EFI to verify that the applicant:
  - 2.8.2.1 Is not already certified.
    - 2.8.2.1.1 If the applicant is already certified, the CB shall not enter into a contract for certification without following certificate transfer requirements set out in section 3.9.
  - 2.8.2.2 If the applicant has had its certificate suspended or withdrawn within the last six months, a new certificate shall not be issued until at least six months from the date that the certificate was suspended or withdrawn. EFI may, in its discretion, give authority to the CB to issue a new certificate in less than six months. EFI also may instruct the CB to wait to issue a new certificate until after more than six months have passed.

## 2.9 Control of EFI Label and CB Logo and Claims

- 2.9.1 Any party wishing to use the EFI label, the name “Equitable Food Initiative”, and/or the initials “EFI” (the “EFI Brand”) must hold a valid certification program participation agreement with EFI.
- 2.9.2 If the applicant has used the EFI Brand on materials that may be seen by its customers or by consumers prior to being licensed by EFI, the CB shall raise a nonconformity report and shall instruct the applicant to immediately cease use of the EFI Brand.
  - 2.9.2.1 The CB shall send a copy of the nonconformity report to EFI within five business days.
- 2.9.3 If a CB finds that a licensed grower is in nonconformity with the terms of the EFI certification program participation agreement, the CB shall issue a nonconformity report to the applicant.
  - 2.9.3.1 The CB shall send a copy of the nonconformity report to EFI within five business days.

## 2.10 Transfer of Certificate between CBs

- 2.10.1 A decision to transfer a certificate shall be voluntary and made solely by the grower.
- 2.10.2 An EFI-accredited CB may issue an EFI certificate to a grower at any time after the expiration or termination of the grower’s existing certificate with another CB, based on a full evaluation according to the *EFI Certification Program Summary* Section 2.9.
  - 2.10.2.1 Within a period of 12 months from the expiry or termination of the former certificate, the succeeding CB shall consider any nonconformity(s) found through previous audits. The CB that issued the existing certificate shall send these nonconformities to the succeeding CB within 10 business days of the transfer upon request being made.
  - 2.10.2.2 In cases where the succeeding CB is able to receive all relevant documentation from the certificate holder directly, a transfer of documentation according to Section 2.10.2.1 is not required.
- 2.10.3 Requirements for a certificate transfer
  - 2.10.3.1 EFI certificates shall only be transferred once within the period of certificate validity.
    - 2.10.3.1.1 If a certificate holder wishes to change CBs more than once within the period of validity, the succeeding CB shall conduct a full EFI audit.

- 2.10.3.2 All nonconformities shall be closed to the satisfaction of the preceding CB before the certificate may be transferred.
- 2.10.4 EFI certificates shall not be transferred in the following situations:
  - 2.10.4.1 The certificate is suspended
  - 2.10.4.2 Nonconformities have not been closed; or
  - 2.10.4.3 The parties involved in the transfer cannot agree on the transfer date.
- 2.10.5 Certificate transfer procedure
  - 2.10.5.1 Once the holder of an active valid certificate has informed the current CB that they are applying for a certificate transfer with another CB, the transfer of the certificate and issuance of a new certificate shall be conducted as follows:
    - 2.10.5.1.1 The expiration date of the succeeding certificate shall be the same as the expiration date of the preceding certificate.
    - 2.10.5.1.2 The scope of the succeeding certificate shall be the same as the scope of the preceding certificate. If the certificate holder is requesting a change in scope, the succeeding CB shall evaluate this request in line with relevant EFI requirements.
    - 2.10.5.1.3 All corrective action plans that are applicable to the preceding certificate shall remain applicable to the succeeding certificate.
    - 2.10.5.1.4 The results of any AB audit regarding the compliance of the grower to certification requirements shall be applicable to the succeeding CB.
    - 2.10.5.1.5 The succeeding CB shall propose a transfer date to the preceding CB and the certificate holder on which all rights and obligations for maintaining the certificate shall be passed from the preceding to the succeeding CB.
    - 2.10.5.1.6 Both CBs shall keep a record of the agreed date.
    - 2.10.5.1.7 The succeeding CB shall carry out a transfer audit within three months of the agreed transfer date in accordance with the requirements for a verification audit outlined in the EFI Certification Program Summary section 3.8.

- 2.10.5.1.8 The transfer audit shall include a review of all nonconformities which were issued by the preceding CB and corrective action plans.
- 2.10.5.1.9 The preceding and succeeding CBs shall notify EFI of the transfer in writing.

## 2.11 Information for Growers

- 2.11.1 The CB shall ensure growers are issued current versions of all EFI Standards and other requirements relevant to their scope of certification.
  - 2.11.1.1 The CB shall maintain a list or equivalent identifying the document and its version sent to growers.
- 2.11.2 The CB shall send the following to growers:
  - 2.11.2.1 A copy of the CB's contract for certification
  - 2.11.2.2 Information about use of the EFI Brand, including:
    - 2.11.2.2.1 The website address where rules for use of the EFI Brand, EFI information relevant to certification, and FAQs may be found;
    - 2.11.2.2.2 An explanation that a certification program participation agreement will be entered into with EFI prior to use of the EFI Brand.
  - 2.11.2.3 Information about EFI's right to change EFI Standards and certification requirements and that certification is conditional on conforming to new or revised standards or the consequence of changed certification requirements within stated timeframes; and
  - 2.11.2.4 Information about the grower that is made public as a requirement of certification.

## 3 Structural Requirements

No requirements in addition to ISO 17065.

## 4 Resource Requirements

### 4.1 Personnel

- 4.1.1 All auditors involved in audits shall be approved by EFI's Process Requirements

## 5 Audit Planning

- 5.1.1 The CB shall provide a plan for evaluation activities (ISO 17065 7.4) for all personnel involved in an audit prior to them commencing work. The plan shall:

- 5.1.1.1 Be individually tailored for each assessment;
- 5.1.1.2 Include an assessment of the requested scope; and
- 5.1.1.3 Set out processes to be undertaken by audit team members:
  - 5.1.1.3.1 Prior to evaluation;
  - 5.1.1.3.2 During evaluation; and
  - 5.1.1.3.3 After evaluation (including responsibilities for closing of nonconformities, report writing, response to comments on report drafts, and responding to decision-makers).
- 5.1.2 The evaluation activities planned must be sufficiently rigorous to allow the CB to determine that the grower is:
  - 5.1.2.1 In conformity with the EFI Standards at the time of the evaluation; and
  - 5.1.2.2 Likely to remain in conformity with the EFI Standards for at least 12 months following the evaluation

## *5.2 Suspension or Withdrawal of Certification*

- 5.2.1 A CB may suspend or withdraw a certificate for a contractual or administrative reason.
- 5.2.2 A CB shall suspend a certificate as a result of conditions set forth in the EFI Certification Program Summary.
- 5.2.3 If there is anecdotal evidence that indicates product being labeled with the EFI label is not certified, the CB shall:
  - 5.2.3.1 Fully investigate the evidence as soon as is practicable, and no later than 30 days of the CB first learning (by any means) of potential mislabeling; and
  - 5.2.3.2 If evidence is found that non-certified product has been labeled with the EFI label, the CB shall immediately suspend the certificate to prevent the possibility of further mislabeled product entering the supply chain.
- 5.2.4 If a certificate is suspended or withdrawn, the CB shall, within five business days:
  - 5.2.4.1 Inform EFI of this fact in writing;
  - 5.2.4.2 Instruct the grower to take all actions as set forth in the EFI Certification Program Summary; and
  - 5.2.4.3 Verify in writing to EFI that customers have been provided information about the suspension.

- 5.2.5 If a certificate is suspended or withdrawn, the CB shall instruct the grower:
  - 5.2.5.1 Not to make claims of EFI certification or use the EFI label on product harvested after the date of suspension; and
  - 5.2.5.2 That claims of EFI certification or use the EFI Brand may only be made in respect of produce harvested prior to the date of suspension and under the following circumstances:
    - 5.2.5.2.1 If the produce can be traced back to the date of harvest; and
    - 5.2.5.2.2 If the custody/ownership of the produce has been transferred beyond the grower's certified farm.
- 5.2.6 Following suspension, the CB shall conduct an audit to confirm that, in the CB's opinion, the grower has correctly identified the root cause(s) of the nonconformity(s) that were the cause of the suspension and the consequences the nonconformity(s) may have on overall product conformity with the EFI Standards. This audit will be used to determine:
  - 5.2.6.1 If the integrity of the supply chain has been intentionally and/or systematically compromised;
  - 5.2.6.2 The minimum length of the suspension; and
  - 5.2.6.3 The verification activities needed to show that corrective action has been effective and that the lifting of suspension is justified.
- 5.2.7 If a CB determines that a grower has jeopardized the integrity of a certified supply chain a second time, the CB shall:
  - 5.2.7.1 Withdraw the certificate immediately; and
  - 5.2.7.2 Tell the grower they may not re-apply for certification for a minimum of two years, at which time they shall advise the CB to which they are applying of the relevant history.
- 5.2.8 Following a change of certificate status, the CB shall inform EFI within five business days of the change to the suspension or withdrawal of the certificate.

### *5.3 Certification Documentation*

- 5.3.1 The CB shall issue an English language certificate using EFI's certificate template, which, as well as requirements in ISO 17065 7.7, shall contain:
  - 5.3.1.1 The EFI label; and
  - 5.3.1.2 A unique certificate number assigned by EFI.

- 5.3.2 The CB may issue certificates in other languages as well as the English language version. In case of discrepancy in translation, the English language version shall prevail.
- 5.3.3 The CB shall issue certificates with a maximum validity period of three years from the issue date.
- 5.3.4 The certificates shall include:
  - 5.3.4.1 A schedule listing all of the sites covered by the certificate; and
  - 5.3.4.2 A statement confirming that the organization conforms to the requirements of the EFI Standards with the Standards' version number.
  - 5.3.4.3 A statement referencing the EFI website as the authoritative source of information on the validity of the certificate as well as its scope.

## 6 Management System Requirements for CBs

### 6.1 *Conflict of Interest Policy*

- 6.1.1 The CB shall have a documented and implemented policy to prevent conflicts of interest.
- 6.1.2 This policy shall conform to Section 4.2 of ISO 17065, relevant legislation, and regulations and include provisions that:
  - 6.1.2.1 Ensure that the CB, and its officers, personnel, or agents, and the certified auditor do not own or have a financial interest in, manage, or otherwise control an eligible entity to be certified, or any affiliate, parent, or subsidiary of the entity.
    - 6.1.2.1.1 The financial interests of the spouses and children younger than 18 years of age of officers, personnel, and other agents of the CB or certified auditor shall be considered the financial interests of such officers, personnel, certified auditor, and other agents of the CB.
  - 6.1.2.2 Prohibit an officer, employee, certified auditor, or other agent of the CB from accepting any money, gift, or gratuity from the eligible entity to be audited or certified.
    - 6.1.2.2.1 This does not include:



6.1.2.2.1.1 Payment of fees for accreditation services and reimbursement of direct costs associated with an onsite audit or assessment of the CB or certified auditor

6.1.2.2.1.2 Meals, of less than \$30 value, provided on the premises where the audit is conducted.

6.1.2.3 A CB must maintain on its website an up-to-date list of certifications in conformity with the requirements of the EFI Certification Program Summary section 3.16.2.

-----End of Part A-----

## 7 Appendix A: Request for Variance Form - Normative

### Variance Request Instructions

Please copy the two tables into a new Word document and complete the fields in the first table – delete the italicized instructions. Once complete, send to EFI as a Word file. Upon receipt, EFI will consider your request and respond within 10 business days.

If the variance request is approved, it will be published on EFI’s website.

| <b>Equitable Food Initiative Variance Request</b>        |   |
|--|---|
| Date of variation request                                | <i>MM/DD/YYYY</i>   |
| Submitted by CB  | <i>CB name and website</i>  |
| Grower name and unique identifier                        | <i>Grower’s name, address, and their assigned certificate or application number</i>           |
| Individual submitting request                            | <i>The name, telephone number, and email address of the person submitting the request</i>     |
| Number and text of indicator or requirement to be varied | <i>The indicator or requirement and the full text of the indicator or requirement.</i>        |
| What is the variance requested?                          | <i>A description of the variance required</i>   |
| Why is the variance needed?                              | <i>What is the justification for this variance? How will the intent of the clause be met?</i> |
| Other comments   | Any other comments or observations thought to be of value to EFI                              |

| <b>Equitable Food Initiative Response</b> |                   |
|---|-------------------|
| Date                                      | <i>MM/DD/YYYY</i> |
| Authority for response                    |                   |
| Variance approved                         | Yes No            |
| Rationale for decision                    |                   |

-----End of Appendix A-----

## Part B – Grower Certification Requirements

### 8 Scope

Part B of the EFI Certification Program Requirements is for CB use when assessing growers against the Equitable Food Initiative Standards, Guidance, and Interpretations.

### 9 General Requirements

#### 9.1 *Submission of Reports, Data, and Requests to EFI*

- 9.1.1 The CB shall forward a draft of the completed EFI Audit Report Template (the “audit report”) to EFI within 10 business days of the audit’s closing meeting.
- 9.1.2 The CB shall forward the final audit report and documentation covering closing all nonconformities to EFI Standards within five business days of making the certification decision.
- 9.1.3 Except as provided in Sections 2.8.1.5 and 12.10.1 or as required to do so by law, the CB may only release the audit report in full or in part to third parties other than EFI with the grower’s written approval to do so.
  - 9.1.3.1 If required to release the audit report by law, the CB shall inform the grower and EFI that this has happened.
- 9.1.4 CBs shall cooperate with EFI to provide EFI with data that EFI may reasonably request.

#### 9.2 *Use of Confidential Information in Auditing Growers*

- 9.2.1 Where the CB has been provided with information in confidence and this information, by its nature, cannot be provided to the grower as the provider’s identity would be revealed, the CB shall:
  - 9.2.1.1 Not disclose that information to any party except those within the CB who have a need to know;
  - 9.2.1.2 Not use that information during an audit in any way which may allow the grower to identify the individual(s) who provided the information;
  - 9.2.1.3 Not use that information for a finding of nonconformity unless the information can be verified as being correct by other means, except that information provided through farmworker interviews shall be used in accordance with sections 12.9.2 and 12.9.3; and
  - 9.2.1.4 Use the information to identify which aspects of the grower’s operation should be investigated.
- 9.2.2 If the information is related to a potential nonconformity of a critical indicator, the CB may report the information and the source of the information (excluding names or other identifiers) to EFI.

## 10 Structural Requirements

No requirements in addition to ISO 17065 and EFI Certification Program Requirements Part A.

## 11 Resource Requirements

No requirements in addition to ISO 17065 and EFI Certification Program Requirements Part A.

## 12 Process Requirements

### 12.1 Confirmation of Scope

- 12.1.1 The scope of an audit will be provided to the CB by EFI through the Grower Mapping document. This document shall be updated prior to each verification and re-certification undertaken by the CB and shall be sent to EFI within five business days of receipt.
- 12.1.2 The CB will plan to audit all indicators of the EFI Social Standards, Guidance, and Interpretations, the EFI Food Safety Standards, Guidance, and Interpretations, and the EFI Pest Management Standards, Guidance, and Interpretations determined by the scope provided through the Grower Mapping Document.

### 12.2 Grower Application for Certification

- 12.2.1 The CB shall obtain the following information:
  - 12.2.1.1 The names and roles of each member of the Leadership Team;
  - 12.2.1.2 The maximum number of farmworkers on the farm in each month of the year;
  - 12.2.1.3 If Guest Workers are present, the numbers and the months that they are on the farm, country(s) of origin, and name of recruiters per FLR Indicator 1.2;
  - 12.2.1.4 The number of farmworkers who apply, or control the application of, crop protection materials at all stages from pre-planting to post-harvest;
  - 12.2.1.5 The language(s) spoken by the workers;
  - 12.2.1.6 If post-harvest activities are included within the scope of the audit, the:
    - 12.2.1.6.1 Type of post-harvest activities;
    - 12.2.1.6.2 Number of packing or processing lines operating; and
    - 12.2.1.6.3 The number of farmworkers typically working in post-harvest areas at any one time.

- 12.2.2 The CB shall send EFI a copy of the application for certification within 10 business days of receiving it.

### *12.3 Audit Dates*

- 12.3.1 The CB shall inform the grower of pre-audit tasks, deadlines and audit dates in accordance with the requirements as set forth in the EFI Certification Program Summary 2.10.1 and 2.10.2.
- 12.3.2 The CB shall inform EFI of the date of the audit at least 10 business days prior to the audit.

### *12.4 Pre-Audit Document Review:*

- 12.4.1 In order to assist in audit planning and to prioritize interactions with management and workers while on onsite, each CB will make available to their clients a document storage platform which:
  - 12.4.1.1 Conforms with US regulations for the storage of sensitive data in the cloud, and
  - 12.4.1.2 Follows industry best practices for how documents are uploaded, accessed, stored, edited, and deleted, and
  - 12.4.1.3 Logs all activity related to the uploading, accessing, editing, and deleting of each document, and
  - 12.4.1.4 Is only accessible on the grower-side to staff identified by the client point of contact and by CB personnel who are required to review the documents for the exclusive use of implementing these protocols.
- 12.4.2 The CB shall request policy and procedure documents that are unlikely to change ahead of the on-site audit
  - 12.4.2.1 All documents required to be assessed will be uploaded by the client over a span of five business days.
  - 12.4.2.2 The assessment of these documents shall direct on-site audit activities which could include further validation of the documents.
  - 12.4.2.3 Documents containing sensitive human resources information such as pay stubs, shall not be uploaded ahead of the audit.
- 12.4.3 Client documents held on the CB storage platform shall be permanently deleted within 20 business days of the certification decision.

### *12.5 On-Site Audit Duration*

- 12.5.1 The CB shall calculate the overall duration of its audits using the requirements below, and this shall be the minimum duration of the audit.

- 12.5.2 The CB may increase the audit duration and, if the increase is greater than 25% of the time calculated below, CB shall justify this increase in the audit report.
- 12.5.3 The CB shall strive to interview the entire Leadership Team (including members in management roles). Where that is not possible, the CB shall interview no less than 70% of the Leadership Team.
  - 12.5.3.1 The Leadership Team shall be interviewed as a group using a focus group technique, with a minimum length of the focus group of 60 minutes' duration. Individual Leadership Team members may then be interviewed separately to gather further information as needed.
  - 12.5.3.2 During unannounced audits, farmworker and Leadership Team interviews shall be completed within five business days of the first day of the audit.
- 12.5.4 The CB shall coordinate with the grower ahead of time to:
  - 12.5.4.1 Receive a completed Declaration of Audit Readiness and follow the recommendations it contains from the Leadership Team related to a designated time and location for interviews that is conveniently accessible for the Leadership Team and farmworkers and which allows them to speak freely. In the case of an unannounced audit, interviews can be delayed to a mutually agreeable time where necessary.
  - 12.5.4.2 Receive and follow the recommendation from the Leadership Team for the optimal time of day for farmworker interviews to be scheduled.
  - 12.5.4.3 The CB shall segment the farmworker population into three groups:
    - 12.5.4.3.1 Those applying or controlling the application of crop protection materials;
    - 12.5.4.3.2 Workers involved in production and harvest; and
    - 12.5.4.3.3 Workers involved in post-harvest activities such as packing and transport.
- 12.5.5 The CB shall calculate sample sizes for document review for each of the three populations using Table B1.
- 12.5.6 The CB shall calculate sample sizes for farmworker interviews for each of the three populations using Table B1.

**Table B1: Sampling table for farmworker interviews and documentation**

| <b>Number of workers in the population</b> | <b>Number of interviews or documents needed</b> |
|--|---|
| 1 – 10                                     | 5, or 100% if there are fewer than 5 workers    |
| 11 – 20                                    | 6   |
| 21 – 30                                    | 7   |
| 31 – 40                                    | 8   |
| 41 – 50                                    | 9   |
| 51 – 60                                    | 10  |
| 61 – 70                                    | 11  |
| 71 – 80                                    | 12  |
| 81 – 90                                    | 13  |
| 91 – 100                                   | 14  |
| 101 – 150                                  | 15  |
| 151 – 300                                  | 16  |
| 301 – 500                                  | 17  |
| 501+                                       | 18  |

- 12.5.7 When the samples are drawn from each population during the on-site audit, if a farmworker has already been interviewed as part of the sample from an earlier population, a second individual shall be selected for the interview in their place.
- 12.5.8 Interviews with farmworkers should not take place in the presence of management and the CB shall ensure the identity of farmworkers and the content of their responses are not revealed to the farm management.
- 12.5.9 The CB shall allow for a minimum of six person-days to conduct initial or recertification audits. Exceptions to this require the prior written consent of EFI. Verification audits are expected to require four person-days but will vary based on the number of nonconformances found in the current certification cycle. Exceptions more than 1 person-day greater or less than four require the prior written consent of EFI.
- 12.5.10 The CB shall plan time for an opening and closing meetings which include representatives of the Leadership Team and periodic auditors' caucus meetings.
- 12.5.11 Where technical experts are used, the CB shall increase audit times by one third in those sections of the audit where an auditor will be advised by the

technical expert. The CB shall justify the use of the technical expert and increased audit times to the grower.

- 12.5.12 Where translators are used, the CB shall double audit times for those sections of the audit where translators are necessary.

## *12.6 Audit Planning*

- 12.6.1 The CB shall take account of all information provided to it by EFI when planning an audit.
- 12.6.2 The CB shall develop a plan for each audit as set forth in the EFI Certification Program Summary.
- 12.6.3 The CB shall communicate pre-audit document review process and worker survey process.
- 12.6.4 The CB shall appoint two EFI-certified auditors to act as the audit team, ensuring that the grower scope and auditor scope are matched.
  - 12.6.4.1 The audit team shall consist of one EFI-approved social and one EFI-approved technical auditor. The social auditor will audit the Social Standards, Guidance, and Interpretations. The technical auditor will audit the Food Safety Standards, Guidance, and Interpretations and the Pest Management Standards, Guidance, and Interpretations.
  - 12.6.4.2 Prior to site visit, auditors shall review uploaded documents and incorporate findings and the need for additional information and in-person verification of a sample of uploaded documents into the audit plan.
  - 12.6.4.3 If a processing and/or packing facility is within the scope of the audit, those indicators may be audited by either a social or a technical auditor.
  - 12.6.4.4 Auditors used for recertification audits must not have audited the location during the previous audit cycle.

## *12.7 Site Visit – Information Collection*

- 12.7.1 The audit team may require further audit visits where information is not available or assembled by the grower at the first audit visit in order to adequately assess and analyze the audit evidence.

## *12.8 Site Visit – Collection of Samples*

- 12.8.1 The CB shall, if required by EFI, collect samples during the audit in conformity with sampling procedures provided by EFI.



- 12.8.2 If samples are collected, the audit team member collecting the sample shall:
  - 12.8.2.1 Pack the sample into specified shipping containers (which may include the need for ice or similar means of cooling);
  - 12.8.2.2 Complete the sample chain of custody forms provided by EFI; and
  - 12.8.2.3 Arrange for sample shipment to EFI or to EFI's designated laboratory.
- 12.8.3 The CB shall report the test results to the grower and EFI within five business days of receiving them.

### *12.9 Audit Evidence*

- 12.9.1 Audit evidence relevant to the audit objectives, scope, and criteria shall be verified and, where sampling occurs, collected by appropriate sampling methods.
  - 12.9.1.1 Only information that is verifiable may be audit evidence.
  - 12.9.1.2 The CB shall record all audit evidence.
- 12.9.2 If, during farmworker interviews, a response is received from the sampled population that indicates nonconformity, an investigation should be conducted to help determine whether nonconformity exists.
- 12.9.3 If, during farmworker interviews, three or more similar responses are received from the sampled population concerning the same nonconformity, this shall be considered verifiable evidence of nonconformity. No personally identifying information should be included. In all cases, additional verifiable evidence should be sought.
- 12.9.4 If evidence of nonconformity is provided to the CB by EFI, verification of the information shall be undertaken.

### *12.10 FDA Notification Requirements for Audits Conducted in the United States*

- 12.10.1 The CB shall notify EFI and the FDA immediately if, at any time during an audit, an auditor discovers a condition that could cause or contribute to a serious risk to the public health. The CB shall have procedures in place to ensure the integrity of certification is maintained after such notification.

### *12.11 Audit Report and Report Review Process*

- 12.11.1 The CB shall verify that the form and content of the report is in accordance with the template provided by EFI.
- 12.11.2 The CB shall ensure that one qualified staff member conducts an internal review of the report before the report is provided to EFI for comments.

- 12.11.3 The CB shall provide a draft of the audit report to EFI within 10 business days of the closing meeting. EFI may provide comments to the CB during a five-business day period after receiving the draft audit report. The CB will then have five additional business days to respond to EFI's comments and make, at their discretion, any necessary revisions to the report.
- 12.11.4 Upon completion of the audit report review process, the CB shall submit to the grower the final version of audit report no later than 20 business days following the audit's closing meeting.
- 12.11.5 The CB shall operate an effective and fully implemented quality system. The system shall be documented and used by all relevant CB personnel. There shall be a designated employee responsible for the quality system's development, implementation, and maintenance. The designated employee shall have a reporting role to the CB's executives and shall also have the responsibility for reporting on the performance of the quality management system for the purposes of management review and subsequent system improvement.

### *12.12 Certification Decision and Issuance of Certificates*

- 12.12.1 Following the process detailed in section 2.12 of the EFI Certification Program Summary, the CB must verify that approved corrective action plans have been implemented for all nonconformities before a certification decision can be made.
- 12.12.2 In the event of a decision to not grant certification, the CB shall prepare a letter outlining the reasons for not granting certification and provide this to the grower and to EFI.
- 12.12.3 CBs shall uniquely number their certificates using a number provided to them by EFI.
- 12.12.4 CBs shall submit to EFI a copy of each grower certificate issued (or a file with the information it contains) for posting on its website within 10 business days from the date it is issued. The CB may also post the grower's certification status on its website unless otherwise stipulated.
- 12.12.5 CBs shall ensure that when changes to the information contained on a grower certificate are made, that they provide the updated copy of the certificate to EFI for posting on its website within 10 business days of changes occurring.

### *12.13 Ongoing Audit Activities*

- 12.13.1 During the three-year term of the certificate, the CB shall plan and conduct audits in a way that is conformant with sections 2.7-2.9 of the EFI Certification Program Summary.
- 12.13.2 The CB shall undertake an unannounced audit if new information becomes available, including during the period between the initial audit and the issue of

a certificate, or if requested by EFI. The CB shall follow the stipulations outlined in section 2.10.3 of the EFI Certification Program Summary.

### *12.14 Suspension of Certification*

- 12.14.1 In addition to those circumstances covered in section 6.2, a CB shall suspend a grower's certificate if a certificate holder:
  - 12.14.1.1 No longer conforms to the EFI Standards;
  - 12.14.1.2 Has not made satisfactory progress towards addressing nonconformities per the EFI Certification Program Summary;
  - 12.14.1.3 Does not provide information to allow verification that nonconformities are being addressed; or
  - 12.14.1.4 Does not agree to allow the CB to hold a scheduled audit within thirty days of being requested to do so.

### *12.15 Re-certification Process*

- 12.15.1 The CB should commence the re-certification of a certified grower in time to allow for the audit, closure of any nonconformities, audit reporting, report review, certification decision-making, and issuance of a certificate prior to the expiration of the existing certificate.
- 12.15.2 The CB, when conducting a re-certification audit of a certified grower, shall:
  - 12.15.2.1 Apply all of the steps of the EFI Certification Program Requirements in force at the time of the re-certification;
  - 12.15.2.2 Apply the version and interpretations of the EFI Standards for Social, Food Safety, and Pest Management that are current at the time of the re-certification; and
  - 12.15.2.3 Take into account of all audit reports from the previous cycle during audit planning to identify potential issues.

-----End of Part B-----