ROC Inspection Preparation Checklist
*Please see cancelation policy below

Audit Plan

- Your ROC on-site audit will include, but is not limited to, a walk- through of your production site and review of the following items:
    - Private management and worker interviews in the local language at all levels of the supply chain to assess proper implementation of traceability policies, procedures, and documentation, training, and animal welfare compliance (if applicable to the entity)
    - Visual inspection of the treatment of the workers
    - Visual inspection of the workers' and animals' environment (if applicable to the entity)
    - Review of operator documents and policies
    - Review of product labeling practices and procedures
    - Review of segregation and separation practices and procedures
    - Review of traceable supply chain process implementation
    - Issues identified during the document review
- Your audit will be scheduled when the product targeted for certification is in the growing season/ in a critical step of processing or handling and when a sizable number of workers are available on-site for interviews.
- Your auditor will ensure that worker interviews take place in a manner that maintains confidentiality.

Audit Preparation

- ✓ **Review the ROC Compliance Notice sent to your operation:** Submit your response to all ROC Action Items included in this notice by the listed deadline(s).
- ✓ **Review your ROSP:** Ensure this is accurate and current. Review your ROSP to identify any documentation that you will need to make available to demonstrate your compliance with ROC Framework and Criteria. See the Documents and Policies section below.
- ✓ **Certification Standards:** Certification requirements are based on the standards and policies in all ROC governing documents marked with an asterisk on the ROC Resources webpage and the CCOF Certification Services Program Manual. Familiarize yourself with the ROC Framework, as well as the Dairy and Processor Criteria (as applicable), which are found on the ROC Resources webpage.
- ✓ **Living Wage Calculations:** All operations must demonstrate a commitment to pay a living wage and an intent to progress towards paying a living wage as defined in the ROC Framework, Farmer and Worker Fairness section 8.2 (Commitment to Living Wage) and Appendix A-3 (Living Wage Calculation and Definitions). Living wage must be calculated using the tools identified in Appendix A-3.
- ✓ **Soil Health Lab & In-Field Tests:** ROC requires two methods of soil health testing: a lab test and an in-field test. Your lab and in-field test results must be available for review at your audit. Samples are to be collected and tested according to ROC Soil Sampling Guidelines, found on the ROC Resources webpage. In addition, the ROC Resources webpage also includes videos on how to perform soil health tests in the field, an in-field soil testing guidance and support document, and an in-field soil health testing worksheet.

This guide is intended to assist operators prepare for an efficient ROC inspection. This is not a comprehensive list. Records requested for review will vary by circumstance.

Please note: Inspections cancelled within **3 business days are** subject to a $75 penalty plus related expenses incurred. CCOF clients are responsible for **all time and costs** incurred by the inspector after initial contact regarding scheduling. Annual inspections are efficiently planned to minimize travel costs. Cancellation may result in a costlier inspection for your operation at a later time and impact expenses shared by your CCOF-certified neighbors initially scheduled with you.

✓ **Documents and Policies:** Prior to your audit, your ROC auditor will request documents from the following list for review (documents will vary in applicability to each operation, depending on factors such as local laws, size of your operation, presence of processing operations, number of workers, and other circumstances identified by CCOF):

Operator Documents
- Site maps and floor plans for all buildings, including worker housing if provided
- Site map for all farms
- Operation schedule
- Legal documents required onsite (i.e., operating licenses, permits, etc.)
- Applicable certifications
- Government inspection reports (such as those related to sanitation, fire, etc.)
- Previous social audit reports/corrective action plans, if applicable
- Emergency response procedures and evacuation plan(s)
- Accident and injury logs
- Machinery inspection and service logs
- Training records
- Employee handbook
- Time records within the last 12 months
- Payroll records within the last 12 months
- Piece rate records within the last 12 months
- Operation's assessment of living wage in the region
- Production records
- Joint committee meeting minutes
- Collective bargaining agreements
- Lists of all chemicals, pesticides and solvents used onsite
- Labor providers in use

Operator Policies
- Freedom of Association
- Health and Safety
- Child Labor
- Wage and Working hours
- Benefits
- Disciplinary
- Discrimination and Harassment
- Grievance Procedure
- Human Rights
- Labor Contractors

Thank you for your effort!

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