

Welcome to today's LODI RULES Audit Prep Webinar!

Thursday, June 8th, 2017



Did you miss the four webinars on Management Plans? No worries - the webinars were recorded and can be viewed at lodigrowers.com under the Education - Videos, Presentations, & Handouts Tab. That is also where all webinar handouts are available (including today's after we are done!). Thank you for your participation this afternoon and please let us know what worked and didn't work for you so we can improve! stephanie@lodiwine.com

As a reminder, please be sure to **read the introductory material in the Binder (pages 1-6)** which explains a LOT about the Standards and about who to contact with questions. To prepare for your audit, use the Audit Prep Checklist (Tab 10 in the Binder and available at lodirules.com). Heather Muser is your main contact for audit-related questions: muserconsulting@gmail.com. Remember that you can also reach out to other Lodi Rules growers for tips and advice!

Hosts:

Dr. Stephanie Bolton, Sustainable Winegrowing Director, Lodi Rules Program/Lodi Winegrape Commission

Dr. Heather Muser, Independent Third-Party Lodi Rules Auditor

Sarah DeNike, dedicated Lodi Rules Coordinator for Stanton Lange (Grower) with a super wonderfully organized notebook

Basic Info from the Protected Harvest Certification Manual (Binder Tab 8, p.11):

During your first year of certification, you will get an actual on-site visit from an auditor who will spot check the vineyards and selected practices based on the information you provided in your self-assessment. In subsequent years, you will get an actual on-site visit only once during any three year period. The year will be selected by the auditor and you will be informed only after your application and payment are received. In the years you do not receive an on-site visit, you will be asked to provide 3-4 types of paper or electronic documentation via e-mail, fax, or postal mail to the auditor. The auditor will inform you which documents are needed and the specific vineyards they are to represent (unless they are relevant to the whole farm), and the date they are due. Pesticide records will be amongst the items requested; the others are at the discretion of the auditor. To uphold the merits of the Lodi Rules Standards, you will not know in advance of the visit which vineyards or practices have been selected for on-site auditing. The person who is responsible for implementing the program on your farm must be present during this visit (and for success, should be involved in the self-assessment and application processes as well). Failure to be at the agreed-upon location at the agreed-upon time will result in additional fees. Also, if a second visit is required due to a lack of sufficient documentation at the time of the first visit, further fees will be required. See Appendix A for the schedule of additional fees.

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Additionally, each year approximately 10% of participating growers will receive a "surprise" audit visit. No more than 24 hours notice need be given for this visit by the auditor, and these visits are assigned independently of whether the farm received an off- or on-site audit for the year.

To maintain the integrity of the program, during the auditing process the auditor may request additional documentation or on-site verification if the initial spot reveals discrepancies to the auditor or otherwise indicates that the farm may not be in compliance. All auditors must meet a minimum qualification level and disclose that there is no conflict of interest with the applicant. Auditors are required to sign a confidentiality agreement annually to protect confidential information disclosed during the evaluation.

General Tips:

- Be prepared and organized!
- The auditor is looking for documentation and evidence to support the answers that you provide in the self-assessment.
- There are a number of different organizational strategies that growers use: these vary from fully digital to only paper... choose the structure that works best for you
- Have the people involved present at the audit
- Review the Audit Prep Checklist beforehand, but keep in mind that it is a living document and in its first year – so please email us with additions and suggestions! stephanie@lodiwine.com
- Create a notebook, organized by Chapter and Standard, with verification documents sarah@denike.com
- Photos are recommended – these can be organized onto a flash drive by Chapter and Standard too!
- Remember that this is not an inspection where the Auditor is out to “get” you or is trying to find mistakes – this is a respectful visit to verify all of the wonderful sustainable practices you are proud of implementing, which ultimately adds to the merit of the program!

QUESTION & ANSWER SESSION

To ask a question, simply type it in the Webinar’s CHAT box and select “Send question to organizers and panelists” and we will get it answered for you! If your question is specific to Heather (the Auditor) or Sarah (the Grower), please use their name in the question.

Each of the questions below is answered in the webinar video.

1. Heather, will you please walk us through a first-year grower’s on-site audit process? What can they expect?
2. Heather, what are some common errors you’ve seen during the audits?
3. Heather, will you describe the perfect audit in terms of what the grower has ready for you?
4. Sarah, what helps you to prepare for your on-site audit, and how much time does this take?
5. Sarah, can you give recommendations on how to organize petiole samples, water tests, pump tests, etc?
6. Sarah, do you work closely with PCAs to get paperwork? or from growers? or print yourself from online?
7. Jeff Fleak is the other Auditor. What is his email address? jfleck@gmail.com
8. Next Sustainable Vision Workshop dates? Email stephanie@lodiwine.com to add your name to the list - the next one will be sometime between December 2017 - February 2018.

THANK YOU for helping to protect our resources!!



Pictured: Bokisch Vineyards picnic area