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| --- | --- | --- | --- | --- | --- |
| **Operator #:** |  | **Operation Name:** |  | **Date:** |  |
|  |  |  |  |  |  |
| Organic standards require that handling procedures, processes, storage, and equipment present no contamination risk to organic products from commingling with non-organic products or contamination with prohibited substances. Packaging materials, bins, and storage containers must not have contained synthetic fungicides, preservatives, or fumigants. Reusable bags or containers must be clean and pose no risk to the integrity of organic products. Procedures used to maintain organic integrity must be documented. |
| **A. Product Flow** |
| 1. If changes have been made, attach a complete written description or schematic product flow chart that shows the movement of all organic products, from incoming/receiving through production to outgoing/shipping. Indicate where ingredients are added and/or processing aids are used. All equipment and storage areas must be identified. [ ]  Attached [ ]  N/A no changes |
| **B. Organic Control Points** |
| Similar to Hazard Analysis Critical Control Points (HACCP), Organic Control Points (OCP) are points in a production system where the integrity of the organic product may be compromised. Examples are improper cleaning of a piece of equipment prior to running organic product, resulting in commingling with non-organic products left in the equipment, or use of a prohibited pesticide when organic product is present, resulting in contamination by a prohibited substance. OCPs should be noted on the processing flow chart. |
| 1. Do you have an Organic Control Point program in place to address areas of potential commingling and/or contamination? [ ]  YES [ ]  NOIf **NO**, do you have plans to implement an Organic Control Point program? [ ]  YES [ ]  NO |
| 2. Do you process GMO products as well as organic products? [ ]  YES [ ]  NOIf **YES**, how do you ensure the separation of organic and GMO products? |
| 3. If you have employees, are they trained on organic production requirements and is this training documented? [ ]  YES [ ]  NOIf **YES**, please explain how they are trained:Please explain the documentationthat is maintained for the training: |
| **C. Organic Fraud Prevention Plans** |
| 1. Do you have a written organic fraud prevention plan in place? *Please note this is a requirement of NOP.* [ ]  YES [ ]  NOIf **YES**, did you utilize an industry private initiative, method, or tool?[ ]  GFSI Requirements [ ]  FSMA/FDA Traceability Requirements [ ]  OTA Organic Fraud Prevention Solutions [ ]  other (specify):  ***Fraud prevention plans must be available during inspections and provided upon request.*** |
| 2. Do you have an established organic fraud prevention point person and/or team? [ ]  YES [ ]  NO |
| 3. How often is a vulnerability assessment conducted?       |
| 4. Have you conducted at least one organic fraud vulnerability assessment? [ ]  YES [ ]  NO |
| 5. Please indicate the components of your organic fraud prevention plan:[ ]  Map and/or inventory of the organic supply chain [ ]  Identified organic critical control points (hot spots) in your organic supply chain where organic fraud or loss of organic status is most likely to occur. [ ]  Supplier and product verification process to confirm, on an ongoing basis, the approved organic status of any supplier and/or product used [ ]  Description of traceability plan and key data elements to trace products [ ]  Organic mitigation measures to mitigate vulnerabilities [ ]  Supplier monitoring system, including verification activities[ ]  Described method to review fraud incidents and general market incidents [ ]  Description of training program for employees that includes organic fraud prevention[ ]  Practices and tools to assess effectiveness of Plan [ ]  Mechanism to report suspected fraud [ ]  Management review & sign Off  |
| **D. Monitoring** |
| 1. Do you have a Quality Assurance (QA) program/procedures in place? [ ]  YES [ ]  NOIf **YES**, what program do you use?[ ]  ISO [ ]  HACCP [ ]  TQM [ ]  other (specify): **If QA plan is in place, you may submit relevant sections of these programs with this application.** |
| 2. Product testing (check all that apply):[ ]  ingredients tested prior to purchase [ ]  ingredients tested upon receipt[ ]  products tested during production [ ]  finished products tested[ ]  other (specify):       |
| 3. Are ingredient samples retained? [ ]  YES [ ]  NOIf **YES**, how long?  |
| 4. Are finished product samples retained? [ ]  YES [ ]  NOIf **YES**, how long?  |
| 5. Do you have a product recall system in place? [ ]  YES [ ]  NOIf **YES**, please summarize the basic system that is in place:Please explain if mock recall exercises have been successful: |
| **E. Equipment** | [ ]  Not Applicable |
| 1. List all equipment used in processing in the table below. |
| **Equipment** | **Function** |  |
| **Cleaned prior to organic production?** | **Purged prior to organic production?** | **Is the cleaning/purged documented?** |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
|  |  | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO | [ ]  YES [ ]  NO |
| 2. If equipment is cleaned/purged, please describe the procedure(s) followed (indicate quantities of purged product, final disposition of this product, records maintained, etc.). |