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| **Operator #:** |  | **Operation Name:** |  | **Date:** |  |
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| Organic standards require that records disclose all activities and transactions of the operation, be maintained for 5 years, demonstrate compliance with the programs that are being applied for, and be available for review. Organic products must be tracked from incoming ingredients on through to the sale of finished product. Organic ingredients must be verified as certified organic to the program(s) for which certification will be sought. Amounts of organic finished products must balance with certified organic ingredients purchased. All relevant documents must identify products as “organic” and specify the certification program (NOP, JAS, etc.). | | | | | |
| 1. How does your audit trail system allow you to trace the finished product back to all of its ingredients and balance organic ingredients in and organic products out? | | | | | |
| 2. How long do you keep your records? | | | | | |
| 3. Do you maintain a complaint log?  YES  NO | | | | | |
| 4. Which of the following records do you keep for organic processing?  **Incoming Ingredients/Products**  purchase orders  contracts  invoices  receipts  bills of lading  customs forms  scale tickets  quality test results  Certificates of Analysis  Transaction Certificates  copies of Certificates of Organic Operation  verification of non-GMO ingredients and processing aids  verification of ingredients produced not using sewage sludge  verification of ingredients produced/handled without ionizing radiation  documentation of commercial availability of organic ingredients when using non-organic ingredients for products labeled as “organic”  receiving records  receiving summary log (12 mos.)  phytosanitary certificates  NOP Import Certificates  other (specify):  **In-Process**  ingredient inspection forms  blending reports  production reports  equipment clean-out logs  sanitation logs  packaging reports  QA report  production summary records (12 mos.)  other (specify):  **Storage**  ingredient inventory reports  finished product inventory reports  other (specify):  **Outgoing Finished Product**  shipping log  bills of lading  scale tickets  export declaration forms  sales orders  sales invoices  sales summary log  phytosanitary certificates  purchase orders  sales summary log  audit control register  Transaction Certificates  transport unit inspection/cleaning forms  copies of Certificates of Organic Operation  shipping summary log  NOP Import Certificates  other (specify): | | | | | |
| 5. Describe your lot numbering system. | | | | | |
| 6. Are any abbreviations (e.g. ORG) or acronyms used to identify products (either in your system, on labels, or containers) as organic?  YES  NO  If **YES**, please explain: | | | | | |
| 7. How does the audit documentation link to in-process products or stored ingredients in non-retail containers?  N/A In-process product is not stored and/or product and ingredients aren’t stored in non-retail containers.  Lot number  Shipping container ID  Certified operation is identified on documents  Other Unique ID (explain): | | | | | |
| 8. How does documentation provided to buyers link to the non-retail containers of products packaged for shipping?  N/A Product is only shipped in retail packages  Lot number  Shipping container ID  Certified operation is identified on documents  Other Unique ID (explain): | | | | | |
| 9. Organic operators are required to ensure that their day-to-day policies and procedures directly reflect the policies and procedures stated in their Organic System Plan. Please describe how you ensure your operation has implemented the Organic System Plan and is following the policies and procedures laid out in your Plan and provide information on how often you perform monitoring of your day-to-day operations to ensure they adequately reflect the management practices noted in your Plan. | | | | | |
| 10. Do you ensure that all invoices, BOLs and other sales documents indicate a lot number, a reference to the organic status of the product, and for EU/Swiss/UK shipments-only: the name of the certifier?  YES  NO | | | | | |
| 11. Are any by-products, substandard or discarded materials from certified organic products sold as certified organic?  YES  NO  If **YES**, list all these materials from organic products and describe the audit trail documentation maintained. | | | | | |
| 12. Does your operation import any organic ingredients or organic products?  YES  NO  If **YES**, describe records maintained to ensure the products are certified organic, including import documentation (NOP Import Certificate, phytosanitary certificate/APHIS /FDA documentation). | | | | | |