



### Organic Process/Handling Plan Questionnaire

**Please fill out this questionnaire if you are requesting organic process/handling certification or re-certification. Attach Organic Product Profile sheets for all products requested for certification and a current schematic product flow chart, facility map, pest management map, water test, and appropriate MSDS if required. Use additional sheets if necessary.**

**For re-certification, please select the “ No Changes” option where applicable, and move on to the next section. Complete all sections where any changes have been made in the operation, and where the “ No Changes” option is not offered.**

| SECTION 1: General Information  |  |                                     |  |                              |  |
|---|--|-------------------------------------|--|------------------------------|--|
| Applicant/Company Name  |  |                                     |  | Organic Certification Number |  |
| Owner   |  | Manager                             |  | Primary contact person       |  |
| Address   |  |                                     | City   |                              | St/Prov  |
|   |  |                                     |  |                              | Postal code  |
|   |  |                                     |  |                              | Country  |
| Phone   |  | Fax                                 |  | E-mail                       |  |
| Preferred dates and times for inspection visit:<br><input type="checkbox"/> morning <input type="checkbox"/> afternoon <input type="checkbox"/> evening |  |                                     |  |                              |  |
| Year company began  |  | Number of employees                 | Name of person overseeing organic production         |                              | Do you understand current organic standards?<br><input type="checkbox"/> yes <input type="checkbox"/> no |
| Do you have an employee training program for organic product permits/ processing/ handling? <input type="checkbox"/> yes <input type="checkbox"/> no    |  | Government permits/ inspections     |  |                              | Year first certified   |
| List previous organic certification by other agencies   |  |                                     | List current organic certification by other agencies |                              |  |
| Year when complete Organic Process/Handling Plan Questionnaire was submitted:   |  |                                     |  |                              |  |
| List all conditions from last year's certification and state how the conditions have been addressed:  |  |                                     |  |                              |  |
| Have you ever been denied certification?<br><input type="checkbox"/> yes <input type="checkbox"/> no  |  | If yes, describe the circumstances: |  |                              |  |
| Type of processing/handling   |  |                                     |  |                              | <input type="checkbox"/> Primary<br><input type="checkbox"/> Contract vendor                             |
| <b>If you are the primary processor, list your contract vendors:</b>  |  |                                     |  |                              | <input type="checkbox"/> No contract vendors   |
| CONTRACT VENDOR   |  | ADDRESS                             |  | PHONE NO.                    |  |
|   |  |                                     |  | CERTIFIED BY                 |  |
|   |  |                                     |  |                              |  |

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|--|--|--|--|
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|  |  |  |  |

Estimated annual total production: \_\_\_\_\_% organic \_\_\_\_\_% conventional

List or attach a list of all products produced by your company:

List all products requested for organic certification. Attach an Organic Product Profile for each individual product.

**SECTION 2: Material Inputs**

*Organic standards require that all primary ingredients be certified organic unless they are not available. Salt and water are not considered ingredients. Non-organic ingredients and processing aids must be listed as Approved on the Materials List. You also need to show efforts to obtain certified organic ingredients whenever possible. No genetically engineered ingredients or processing aids are allowed.*

**A. INGREDIENTS:**

Fill out Organic Product Profiles for all organic products requested for certification.

Are any non-organic ingredients listed as: restricted materials?  yes  no prohibited materials?  yes  no

Check if any non-organic ingredients have been processed with or exposed to the following:

- irradiation
- genetic engineering
- fumigation
- petroleum distillates
- synthetic solvents

**B. PROCESSING AIDS:**

List all processing aids used in the production of certified organic products: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

How/why are they used? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Are any processing aids listed as: restricted materials?  yes  no prohibited materials?  yes  no

Check if any processing aids have been processed with or exposed to the following:

- irradiation
- genetic engineering
- fumigation
- petroleum distillates
- synthetic solvents

**A. WATER:**

*Organic standards require that water meet potable water standards. For products that use culinary steam, boiler additives may not contaminate the organic products.*

**Check ways water is used in processing:**

None used

- ingredient  processing aid  cooking  cooling  product transport  cleaning organic products  
 cleaning equipment  other \_\_\_\_\_

**Source of water:**  municipal  on-site well  other \_\_\_\_\_

**Is the water potable?**  yes  no *Attach copy of water test, if applicable.*

**List any known water contaminants:** \_\_\_\_\_

**What on-site water treatment processes are used?**  None used \_\_\_\_\_

**Is culinary steam used in the processing of organic products?**  yes  no

If steam has direct contact with organic products, do you use:

No direct contact

- steam filters  condensate traps  testing of condensate  testing of finished products  
 other \_\_\_\_\_

**List products used as boiler additives:** \_\_\_\_\_

*Attach MSDS, label information.*

Do you use water conservation strategies?  yes  no

**SECTION 3: Production System**

*Organic standards require attachment of a complete written description or schematic product flow chart which shows the movement of all organic products, from incoming/receiving through production to outgoing/shipping. All equipment and storage areas must be identified.*

**A. PRODUCT FLOW:**

*Attach a schematic product flow chart which shows where and how the product is received, stored, processed, packaged, and warehoused, identifying all pieces of equipment, storage areas and where ingredients are added or processing aids used.*

**B. EQUIPMENT**

No changes

**List all equipment used in processing:**

| NAME | CAPACITY | IS IT CLEANED PRIOR TO ORGANIC PRODUCTION RUNS? YES (Y) NO (N) | IS CLEANING DOCUMENTED YES (Y) NO (N) | IS THIS EQUIPMENT PURGED PRIOR TO ORGANIC PRODUCTION? YES (Y) * NO (N) |
|------|----------|--|---------------------------------------|--|
|      |          |  |                                       |  |
|      |          |  |                                       |  |
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**\*If equipment is purged, list and describe purge procedures, quantities purged, and documentation:**

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**SECTION 4: Assurance of Organic Integrity**

***Organic standards require that procedures, processes, storage and equipment present no contamination risk to organic products from co-mingling with other non-organic products, sanitation products or pest management products. Procedures used to maintain organic integrity must be documented.***

**ORGANIC CONTROL POINTS:** (OCP'S), similar to Hazard Analysis Critical Control Points (HACCP), are points in the production system where the integrity of the organic product may be compromised. Examples are co-mingling with non-organic products, contamination by sanitizers or pesticides, and improper cleaning of equipment prior to running organic products.

**Do you have an Organic Control Point program in place to address areas of potential contamination?**  yes  no

If yes, list Organic Control Points you have identified in your process or submit a copy of your Organic Control Program.

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If no, do you have plans to implement an Organic Control Point program?  yes  no

**SECTION 5: Audit Control System**

**Organic standards require that audit control records track finished organic products back to all ingredients. Ingredients must be verified as certified organic. Amounts of organic finished products must balance with certified organic ingredients purchased. All relevant documents must identify products as "organic."**

**Number, in the order of use, the types of documents which you use to track organic products at this operation:**

**Incoming:**

- \_\_\_ purchase orders      \_\_\_ contracts      \_\_\_ invoices      \_\_\_ receipts
- \_\_\_ bills of lading      \_\_\_ Customs forms      \_\_\_ scale tickets      \_\_\_ quality test results
- \_\_\_ Certificates of Analysis      \_\_\_ Transaction Certificates      \_\_\_ copies of Organic Certificates
- \_\_\_ receiving records      \_\_\_ receiving summary log (12 mos.)
- \_\_\_ other \_\_\_\_\_

**In process:**

- \_\_\_ ingredient inspection forms      \_\_\_ blending reports      \_\_\_ production reports      \_\_\_ equipment cleanout logs
- \_\_\_ sanitation logs      \_\_\_ packaging reports      \_\_\_ QA reports
- \_\_\_ production summary records (12 mos.)
- \_\_\_ other \_\_\_\_\_

**Storage:**

- \_\_\_ ingredient inventory reports      \_\_\_ finished product inventory reports
- \_\_\_ other \_\_\_\_\_

**Outgoing:**

- \_\_\_ shipping log      \_\_\_ transport unit inspection forms      \_\_\_ bills of lading      \_\_\_ scale tickets
- \_\_\_ purchase orders      \_\_\_ sales orders      \_\_\_ sales invoices      \_\_\_ phytosanitary
- \_\_\_ export declaration forms      \_\_\_ Transaction Certificates      \_\_\_ copies of Organic Certificates      certificates
- \_\_\_ shipping summary log      \_\_\_ sales summary log      \_\_\_ audit control register
- \_\_\_ other \_\_\_\_\_

**Describe your lot numbering system:** \_\_\_\_\_

Can your record keeping system track the finished product back to all ingredients?  yes  no  
 Can your record keeping system balance organic product in and organic product out?  yes  no

**SECTION 6: Quality Assurance**

**Do you have a QA program in place?**  yes  no  No Changes

If yes, what program do you use?  HACCP  TQM  other \_\_\_\_\_

**Are any outside quality assessment services used (e.g., AIB)?**  yes  no

If yes, name of company: \_\_\_\_\_

**Product testing:** (check all applicable categories)

ingredients prior to purchase  ingredients upon receipt  during production  finished product

**Are ingredient samples retained?**  yes  no If yes, how long? \_\_\_\_\_

**Are finished product samples retained?**  yes  no If yes, how long? \_\_\_\_\_

**Do you have a product recall system in place?**  yes  no

**SECTION 7: Sanitation**

*Organic standards require that good sanitation practices are used throughout the facility and that residues from cleaning materials do not contaminate organic products.*

**Check all cleaning methods used:**

sweeping  scraping  vacuuming  compressed air  manual washing

clean in place (CIP)  steam cleaning  sanitizing  other \_\_\_\_\_

**Provide information on your cleaning program and products used:**

| AREA                   | TYPE OF CLEANING | EQUIPMENT USED | PRODUCTS USED | FREQ | DOCUMENTATION |
|------------------------|------------------|----------------|---------------|------|---------------|
| Receiving area         |                  |                |               |      |               |
| Ingredient storage     |                  |                |               |      |               |
| Product transfer       |                  |                |               |      |               |
| Production area        |                  |                |               |      |               |
| Production equipment   |                  |                |               |      |               |
| Packaging area         |                  |                |               |      |               |
| Finished prod. storage |                  |                |               |      |               |
| Loading dock           |                  |                |               |      |               |
| Building exterior      |                  |                |               |      |               |
| Accidental spills      |                  |                |               |      |               |

**Are all surfaces which contact organic products food grade?**  yes  no

**Do you test food contact surfaces or rinsate for cleanser/sanitizer residues?**  yes  no

**Where are cleaning/sanitizing materials stored?** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

*Attach MSDS and/or label information for cleansers and sanitizers, if applicable.*

**SECTION 8: Pest Management**

**A: GENERAL INFORMATION:**

What type of pest management system do you use?  in-house: name of responsible person \_\_\_\_\_

contract pest control service (name, address, phone no.) \_\_\_\_\_

Check all pest problems you generally have:  flying insects  crawling insects  spiders  birds  rats  mice

other \_\_\_\_\_

**B: CHECK ALL PEST MANAGEMENT PRACTICES YOU USE:**

GOOD SANITATION  REMOVAL OF EXTERIOR HABITAT/FOOD SOURCES  CLEANUP OF SPILLED PRODUCT  
 EXCLUSION  SEALED DOORS AND/OR WINDOWS  REPAIR OF HOLES, CRACKS, ETC.  SCREENED WINDOWS, VENTS, ETC.

PHYSICAL BARRIERS  SHEET METAL ON SIDES OF BUILDING EXTERIOR  MOWING  AIR CURTAINS  AIR SHOWERS

POSITIVE AIR PRESSURE IN FACILITY  MONITORING  INGREDIENT INSPECTION FOR PESTS

INSPECTION ZONES AROUND INTERIOR PERIMETER  ULTRASOUND/LIGHT DEVICES  RELEASE OF BENEFICIALS  STICKY TRAPS

ELECTROCUTORS  PHEROMONE TRAPS  MECHANICAL TRAPS  SCARE EYE BALLOONS  FREEZING TREATMENTS

HEAT TREATMENTS  VACUUM TREATMENTS  CARBON DIOXIDE  NITROGEN  VITAMIN BAITES

PYRETHRUM  RYANIA  ROTENONE  BORIC ACID  DISODIUM OCTAL TETRAHYDRATE  DIATOMACEOUS EARTH

PRECIPITATED SILICA  FUMIGATION  FOGGING  CRACK AND CREVICE SPRAY

OTHER

**C. PESTICIDE USE INFORMATION FOR THE LAST 12 MONTHS:**

| PRODUCT | TARGET PEST | LOCATION WHERE USED | METHOD OF APPLICATION | DATE OF LAST APPLICATION |
|---------|-------------|---------------------|-----------------------|--------------------------|
|         |             |                     |                       |                          |
|         |             |                     |                       |                          |
|         |             |                     |                       |                          |
|         |             |                     |                       |                          |

Are any products used which are prohibited by organic standards?  yes  no

Can any pest control products come into contact with any organic ingredients, finished organic products, or packaging materials?  yes  no If yes, describe your protocols to prevent contamination: \_\_\_\_\_

If pesticides are used, where are they stored? \_\_\_\_\_

Is your structural pest management system effective?  yes  no

Attach facility map showing location of traps and monitors. Attach MSDS and/or label information, if applicable.

**SECTION 9: Packaging and Labeling**

*Organic standards require that packaging materials are free of prohibited substances and must not contaminate the organic product. Organic product labels must meet certification agency and government labeling requirements.*

**A. PACKAGING:**

Check types of packaging material used:  bulk  paper  cardboard  wood  glass  metal  foil  plastic  
 waxed paper  aseptic  natural fiber  synthetic fiber  other \_\_\_\_\_

Are all packaging materials food grade?  yes  no

Are all packaging materials free of prohibited materials?  yes  no

Are packaging materials recyclable?  yes  no Returnable?  yes  no

**B. LABELING:**

Describe the information provided on labels of all organic products or attach samples of all organic product labels:

\_\_\_\_\_

\_\_\_\_\_

Do you plan to use the certification agency seal on the label?  yes  no

**SECTION 10: Storage**

*Organic standards require that no co-mingling or contamination of organic products occur during storage. All storage sites must be properly documented and organic products clearly identified in storage. Off-site storage areas may need to be inspected and certified.*

**STORAGE INFORMATION:**

| USE                        | LOCATION | TYPE/<br>CAPACITY | DEDICATED ORGANIC?<br>YES (Y) NO (N) | IDENTIFICATION |
|----------------------------|----------|-------------------|--------------------------------------|----------------|
| Ingredient storage         |          |                   |                                      |                |
| Packaging material storage |          |                   |                                      |                |
| In-process storage         |          |                   |                                      |                |
| Finished product storage   |          |                   |                                      |                |
| Off-site storage*          |          |                   |                                      |                |

\* If there is off-site storage, give name, address, phone number and contact person: \_\_\_\_\_

\_\_\_\_\_

**SECTION 11: Transportation of Organic Products**

*Organic standards require that the integrity of organic products be preserved during transport.*

**A. INCOMING:**

In what forms are incoming products received?  dry bulk  liquid bulk  tote bags  tote boxes  metal drums  
 cardboard drums  paper bags  foil bags  other \_\_\_\_\_

How are incoming products transported? \_\_\_\_\_

Do you arrange incoming product transportation?  yes  no

How do you insure that inbound transport units are clean prior to loading organic products? \_\_\_\_\_  
 \_\_\_\_\_

Is this documented?  yes  no

Are transport units used to carry any prohibited materials?  yes  no

Have transport companies been notified of organic handling requirements?  yes  no

Are organic products shipped at the same time as non-organic in the same transport units?  yes  no

Check steps taken to segregate organic products:  dedicated organic only  use of pallets  pallet tags  
 organic product shrink-wrapped  separate area in transport unit  other \_\_\_\_\_

**B. IN-PROCESS:**

How are in-process products transported? \_\_\_\_\_

How do you insure that in-process transport units are clean prior to loading organic products? \_\_\_\_\_  
 \_\_\_\_\_

Is this documented?  yes  no

**C. OUTGOING FINISHED PRODUCT:**

In what form are finished products shipped?  dry bulk  liquid bulk  tote bags  tote boxes  paper bags  
 foil bags  metal drums  mesh bags  cardboard drums  cardboard cases  plastic crates  
 other \_\_\_\_\_

How are outgoing products transported? \_\_\_\_\_

Do you arrange outgoing product transportation?  yes  no

How do you insure that outgoing transport units are clean prior to loading organic products? \_\_\_\_\_  
 \_\_\_\_\_

Is this documented?  yes  no

Are transport units used to carry any prohibited materials?  yes  no

Have transport companies been notified of organic handling requirements?  yes  no

Are organic products shipped at the same time as non-organic in the same transport units?  yes  no

Check steps taken to segregate organic products:  dedicated organic only  use of pallets  pallet tags  
 organic product shrink-wrapped  separate area in transport unit  other \_\_\_\_\_

**SECTION 13: Waste Management**

**Will any waste products from certified organic ingredients be sold as certified organic?**  yes  no

*If yes, complete Organic Product Profile for each product.*

**Check all aspects of your waste management system that apply:**  on-site dumpster  material recycling

water recycling  water filtering  smokestack filters  composting  daily pickup of waste  sediment ponds

field application of waste  other \_\_\_\_\_

**SECTION 14: Certification Services**

**Rate services provided by this certification agency:**  excellent  satisfactory  needs improvement

**Please comment** \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**SECTION 15: Affirmation**

I affirm that all statements made in this application are true and correct. I agree to follow organic standards. I understand that the facility may be subject to unannounced inspection and/or organic products sampled for residues at any time.

Signature of Owner/Manager \_\_\_\_\_ Date \_\_\_\_\_

I have attached the following additional documents:

product flow chart

facility map

Organic Product Profiles

pest management map of traps and monitors

water test

appropriate MSDS, if applicable

organic product labels