|  |
| --- |
| **GOTS 2.5 Recordkeeping:** All operational procedures and practices shall be supported by effective and traceable documented control systems. Certified operations must maintain records of the production and handling of organic textiles and GOTS Goods that fully disclose all activities and transactions in enough detail to be readily understood and audited. They should be sufficient to demonstrate compliance with GOTS and be maintained for at least five (5) years from the date of the document. |

|  |  |  |  |
| --- | --- | --- | --- |
| **Certified Entity:** |       | **Date:** |       |

► Complete this form regarding all of the types of records you currently maintain, or plan to maintain.

► Remember to have these records available for review upon inspection.

## LOCATION OF RECORDS

1) Location where your records regarding organic production are available for inspection and auditing:

|  |  |
| --- | --- |
| Site Address:       | Country:       |
| City:       | State:       | Zip:       |
| Contact Name:       | Title:       |
| Phone:       | Fax:       |

2) Provide an **AUDIT TRAIL FLOW CHART** showing the links between documents in your record system to the next in the chain. *Describe your audit system from receiving through processing and final sales.* ***Your audit trail must be able to link each document to those preceding and following it in the record system.*** *If coding systems are used, please indicate the documents on which those codes occur.*[ ]  Attached
Description:

3) Are records capable of tracking ingredients from supplier through processing and sales? [ ]  Yes [ ]  No

4) Are Transaction Certificates (TCs) for all fiber purchases received and maintained? [ ]  Yes [ ]  No

 Are TCs requested and obtained from Oregon Tilth for all sales of GOTS Goods? [ ]  Yes [ ]  No

5) How are waste, returns and/or damaged product losses documented?

6) Are records relevant to GOTS Certification maintained for five years? [ ]  Yes [ ]  No

7) At minimum, you must maintain current, valid organic certificates for each organic input used, Transaction Certificates for all shipments of GOTS Goods, both to and from your operation, along with supporting documentation for each
non-organic input used to verify its compliance with GOTS, and you must record:

* The origin, description and quantity of each input received
* All organic production activities
* The buyer, description, and quantity of each product sold

[ ]  Confirm this is maintained

## LOT NUMBERING

* 1. Describe your lot numbering system for finished products.

*EXAMPLE: Lot Number: 20231231AO45-b*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Code*  | *2023* | *1231* | *A* | *O* | *45-b* |
| *Signifies* | *Year (2023)* | *Production Month (12) & Day (31)* | *Shift* | *Organic*  | *Plant location* |

**Lot Number:**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Code  |       |       |       |       |       |       |
| Signifies |       |       |       |       |       |       |

* 1. How is your lot number associated with outgoing shipments?

[ ]  On invoice or Bill of Lading [ ]  On a “pick list” or “ship list” [ ]  Other:

## MONITORING

1) How do you ensure your recordkeeping practices are effective and how often do you review the practices?

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## RECORD EXAMPLES - *Below is a list of records you may be asked to provide:*

* Quality Assurance Plan (i.e., HACCP, GMP)
* Due Diligence implementation framework
* Responsible Business Conduct Policies
* Audit Trail Flow Chart describing documents used to track ingredients and finished products
* Receiving & Shipping Documentation of all inputs and finished goods
* Storage Documentation (e.g., inventory, off-site warehouse(s) info, etc.)
* Processing Documentation (e.g., batch sheets, recording charts, flow chart, facility floor plan, etc.)
* Listing of all co-packers and/or co-pack customers
* Labels currently in use & packaging information
* Current Product Formulation Sheets (PFSs) & Master Products List (MPL) for all products
* Current Master Ingredient List (MIL) including all suppliers of organic/non-organic ingredients
* Current, valid organic Scope Certificates for all organic inputs
* Transaction Certificates for all incoming GOTS purchases, and for all GOTS sales
* Labor contracts/written employment agreements
* Collective Bargaining Agreements (CBAs)
* Employee Handbook (terms and conditions of employment)
* Time records; Payroll records; and Piece Rate records for the past 12 months
* Employment Policies, Training Records, and Facility Policies: Child labor; Benefits and Allowances; Labor/Human Rights; Environment; Training; Discrimination and Harassment; Homeworkers, outworkers, and subcontractors
* Emergency action procedures; Evacuation plan; Accident and injury log
* Machinery inspection/service logs
* Cleaning/sanitation procedures and documentation (e.g., SSOP’s, pre-op checklists, etc.)
* MSDS for all cleaning/sanitation and pest control products used
* Pest Control Reports
* A list of all the chemicals and solvents used on the site
* Minutes of joint committees on OHS (e.g., disciplinary matters)
* Insurance, tax, and other required receipts
* Permits, operating licenses, certificates of operations, etc.
* Government Inspection reports (e.g., sanitation, fire safety, structural safety, environmental compliance, etc.)
* Previous ethical trade audit reports/corrective action logs
* Any appropriate certifications (e.g., OSHAS, 18000, ISO 9000, Chain of Custody etc.)