|  |  |  |  |
| --- | --- | --- | --- |
| **Operation Name:** |  | **Date:** |  |

► Complete this form with all types of records you currently maintain or plan to maintain. Remember to have these records available for review upon inspection.

|  |
| --- |
| **NOP §205.103** Certified operations must maintain records of the production, harvesting, and handling of organic products that fully disclose all activities and transactions in enough detail to be readily understood and audited; records must span the time of purchase or acquisition, through production, to sale or transport and be traceable back to the last certified operation. Records must Include audit trail documentation for agricultural products handled or produced by the certified operation and identify agricultural products on these records as “100% organic”, “organic”, or “made with organic (specified ingredients or food group(s)),” or similar terms, as applicable. They should be sufficient to demonstrate compliance with organic standards and kept for at least five (5) years.  **NOP §205.201** The Organic System Plan must include a description of the monitoring practices and procedures to verify suppliers in the supply chain and organic status of agricultural products received, and to prevent organic fraud, as appropriate to the certified operation’s activities, scope, and complexity. |

## 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: | |
| Email(s): | | |

2) Do you keep your records for a minimum of 5 years?

Yes  No

3) Do you source organic ingredients/products from an uncertified broker/trader/distributor:

Yes  No, skip to question 4.

a) Provide an Uncertified Handler Affidavit (UHA) for each uncertified operation verifying they are exempt.

Attached     N/A, not utilizing uncertified suppliers.

b) Will records be maintained that clearly link the purchase and transport of organic agricultural inputs through the supply chain back to the last certified entity?

Yes  No  N/A Explain:       \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

c) Will you ensure that records through the entire supply chain and on each piece of documentation identify all organic agricultural inputs as “organic”?

Yes  No  N/A Explain:       \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

4) Do you import organic ingredients/products:

Yes  No

a) How does your operation ensure that the appropriate import documentation is collected for all products from the countries selected above?

NOP Import Certificate for each shipment is maintained onsite.

Other:

b) Will import documentation (i.e. phytosanitary certificate, APHIS or FDA documentation) be maintained that identifies if any substances were applied to the agricultural input?

Yes  No  N/A Explain:       \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

c) If organic product is identified as having been treated with a prohibited substance (i.e. fumigation, irradiation) will Oregon Tilth will be notified?

Yes  No  N/A Explain:       \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

## TRACKING ORGANIC PRODUCTS

* 1. Complete the table below or attach a diagram illustrating how your audit trail/trace-back system tracks finished products from ingredient purchasing through production or packing to final outbound shipping or invoice.  Diagram attached

|  |  |  |
| --- | --- | --- |
| **Name of Document** | **Activity Document Describes** | **Linking element to next and previous document in chain** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |

a) Sample documents for the complete audit trail traceback system (including purchase documentation, BOLs, packing slips, inventory logs, batch records) must be included to demonstrate your audit trail system.

Records attached

* 1. Describe the records and system used to track inventory of ingredients and products (in/out balance). Include how often inventory is conducted and recorded. You may attach samples to illustrate (i.e. monthly log of beginning and ending inventory).

|  |
| --- |
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## LOT NUMBERING

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

*EXAMPLE: Lot Number: 0123A045*

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| *Code* | *0* | *123* | *A* | *O* | *45* |
| *Signifies* | *Year: 2000* | *Julian date :production* | *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 monitor the practices?

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| --- |
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|  |