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

► Complete this form with all the types of records you keep or plan to keep. Make sure these records are available during your inspection.

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| **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. |

## LOCATION OF RECORDS

1. Do you keep your organic records at the primary address listed on your O1 Operation Information form?  Yes  No
   1. If you answered no, please indicate where your records are kept.

At a facility listed on the H2 Facility Information form. Facility Name:

At another location. Fill out the table below with where your organic records are kept for onsite inspection.

|  |  |  |
| --- | --- | --- |
| Site Address: | | Country: |
| City: | State: | Zip: |
| Contact Name: | Title: | |
| Phone: | Fax: | |
| Email(s): | | |

1. Do you keep your records for a minimum of 5 years?

Yes  No

1. Does your supply chain include uncertified entities such as brokers, traders, distributors, or warehouses?

Yes  No, skip to section 8.2.

* 1. Provide an Exempt Handler Affidavit (EHA) for each uncertified broker, trader, or distributor to confirm they are exempt.

Exempt Handler Affidavit (EHA) attached

***Note:*** *All warehouses must be listed on the H2 Facility Information form. You also must submit an* *Independent Offsite Storage (IS) form for each uncertified warehouse used by your operation.*

* 1. Will you keep records that clearly link the purchase and transport of organic agricultural ingredients or products back to the last certified operation?

Yes  No  N/A, explain:

|  |
| --- |
|  |

* 1. Will you ensure that all records and documents in the supply chain identify all organic agricultural ingredients or products as “organic”?

Yes  No  N/A, explain:

|  |
| --- |
|  |

## TRACKING ORGANIC PRODUCTS

* 1. Complete the table below or attach a diagram that shows how your audit trail tracks finished products from buying ingredients through production or packing, to final shipping and invoicing. If you import ingredients or products, make sure you include all import records.  Diagram attached

*Note: Be sure to include details about any importing activities in the H3 Product Summary module.*

|  |  |  |
| --- | --- | --- |
| **Name of Document** | **What the Document Shows** | **How it Connects to the Next/Previous Document (linking element)** |
|  |  |  |
|  |  |  |
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Sample documents for your complete audit trail system must be included. These can include purchase documents, bills of lading (BOLs), packing slips, inventory logs, batch records, NOP import certificates, and phytosanitary certificates.

Records attached

* 1. Describe how you track inventory for ingredients and products, including incoming and outgoing amounts (in/out balance). Include how often inventory counts are recorded. You may attach examples, such as a . monthly inventory log showing beginning and ending amounts.

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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* |
| *Represents* | *Year: 2000* | *Julian date :production* | *Shift* | *Organic* | *Plant location* |

Lot Number:

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| Code |  |  |  |  |  |  |
| Represents |  |  |  |  |  |  |

* 1. How is do you link your lot number to outgoing shipments?

On invoice or Bill of Lading  On a “pick list” or “ship list”

Other (explain):

|  |
| --- |
|  |

## MONITORING

How do you ensure your recordkeeping is accurate and effective?

Internal audits Regular checks of records for quality control

Other (explain):

|  |
| --- |
|  |

How often do you review or monitor your recordkeeping practices?

Monthly  Quarterly Annually Other (explain):

|  |
| --- |
|  |