**Organic Process/Handling Application**

Please fill out this questionnaire if you are requesting organic process/handling 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.

Must be in compliance with National Organic Standards 7 CFR Part 205 National Organic Program, Final Rule

**SECTION 1: General Information**

<table>
<thead>
<tr>
<th>Applicant/Company Name</th>
<th>Organic Certification Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Owner</td>
<td>Manager</td>
</tr>
<tr>
<td>Address</td>
<td>City</td>
</tr>
<tr>
<td>Phone</td>
<td>Fax</td>
</tr>
<tr>
<td>Preferred dates and times for inspection visit:</td>
<td>E-mail</td>
</tr>
<tr>
<td>morning</td>
<td>afternoon</td>
</tr>
<tr>
<td>Year company began</td>
<td>Number of employees</td>
</tr>
<tr>
<td>DOE</td>
<td>Organic</td>
</tr>
<tr>
<td>Do you have an employee training program for organic product permits/processing/handling?</td>
<td>Government permits/inspections</td>
</tr>
<tr>
<td>Yes</td>
<td>no</td>
</tr>
<tr>
<td>List previous organic certification by other agencies</td>
<td>List current organic certification by other</td>
</tr>
<tr>
<td>Year when complete Organic Process/Handling Plan Questionnaire was submitted:</td>
<td></td>
</tr>
<tr>
<td>List all conditions from last year’s certification and state how the conditions have been addressed:</td>
<td></td>
</tr>
<tr>
<td>Have you ever been denied certification?</td>
<td></td>
</tr>
<tr>
<td>yes</td>
<td>no</td>
</tr>
<tr>
<td>If yes, describe the circumstances:</td>
<td></td>
</tr>
<tr>
<td>Type of processing/handling</td>
<td>Primary</td>
</tr>
<tr>
<td>if you are the primary processor, list your contract vendors:</td>
<td>No contract vendors</td>
</tr>
<tr>
<td>CONTRACT VENDOR</td>
<td>ADDRESS</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CONTRACT VENDOR</th>
<th>ADDRESS</th>
<th>PHONE NO.</th>
<th>CERTIFIED BY</th>
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</thead>
<tbody>
<tr>
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</tbody>
</table>
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

A. **PROCESSING AIDS:**

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

- ____________________________________________________________
- ____________________________________________________________
- ____________________________________________________________
- ____________________________________________________________

<table>
<thead>
<tr>
<th>How/why are they used?</th>
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<tbody>
<tr>
<td>______________________</td>
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<td>______________________</td>
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</table>

| 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

<table>
<thead>
<tr>
<th>Source of water:</th>
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<tr>
<td>__________________</td>
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</table>

| Is the water potable? | yes | no |

*Attach copy of water test, if applicable.*

List any known water contaminants:

- ____________________________________________________________
- ____________________________________________________________
- ____________________________________________________________
- ____________________________________________________________

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Rev 2/14  
Page 2 of 10
What on-site water treatment processes are used?  □ None used

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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:

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 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:

<table>
<thead>
<tr>
<th>NAME</th>
<th>CAPACITY</th>
<th>IS IT CLEANED PRIOR TO ORGANIC PRODUCTION RUNS? YES (Y) NO (N)</th>
<th>IS CLEANING DOCUMENTED YES (Y) NO (N)</th>
<th>IS THIS EQUIPMENT PURGED PRIOR TO ORGANIC PRODUCTION? YES (Y) * NO (N)</th>
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</table>

*If equipment is purged, list and describe purge procedures, quantities purged, and documentation:
SECTION 4: Assurance of Organic Integrity

Organic standards require that procedures, processes, storage and equipment present no contamination risk to organic products from com 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

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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

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

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

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

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:

<table>
<thead>
<tr>
<th>AREA</th>
<th>TYPE OF CLEANING</th>
<th>EQUIPMENT USED</th>
<th>PRODUCTS USED</th>
<th>FREQ</th>
<th>DOCUMENTATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receiving area</td>
<td></td>
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<tr>
<td>Ingredient storage</td>
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<tr>
<td>Product transfer</td>
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<tr>
<td>Production area</td>
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<td></td>
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<tr>
<td>Production equipment</td>
<td></td>
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<tr>
<td>Packaging area</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Finished prod. storage</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Loading dock</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Building exterior</td>
<td></td>
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<tr>
<td>Accidental spills</td>
<td></td>
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</table>

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. 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 baits
☐ pyrethrum ☐ rotenone ☐ 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:

<table>
<thead>
<tr>
<th>PRODUCT</th>
<th>TARGET PEST</th>
<th>LOCATION WHERE USED</th>
<th>METHOD OF APPLICATION</th>
<th>DATE OF LAST APPLICATION</th>
</tr>
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<tbody>
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</table>

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 NOP 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 comingling 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.*

<table>
<thead>
<tr>
<th>USE</th>
<th>LOCATION</th>
<th>TYPE/CAPACITY</th>
<th>DEDICATED ORGANIC?</th>
<th>IDENTIFICATION</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ingredient storage</td>
<td></td>
<td></td>
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<tr>
<td>Packaging material storage</td>
<td></td>
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<tr>
<td>In-process storage</td>
<td></td>
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</tr>
<tr>
<td>Finished product storage</td>
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<tr>
<td>Off-site storage *</td>
<td></td>
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</tbody>
</table>

* 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
<table>
<thead>
<tr>
<th>Will any waste products from certified organic ingredients be sold as certified organic?</th>
<th>yes</th>
<th>no</th>
</tr>
</thead>
</table>

*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: 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