

FS-5119

Oklahoma Dept. Agriculture, Food, & Forestry  
Food Safety Division  
Poultry, Egg, & Organic Section  
P.O. Box 528804  
Oklahoma City, OK 73152  
PH: (405) 522-5924



<b>OFFICIAL USE ONLY</b>
Receipt #
Amount:
Date:
Rev. Code 470

### 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

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: <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? <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? <input type="checkbox"/> yes <input type="checkbox"/> no	If yes, describe the circumstances:				
Type of processing/handling	<input type="checkbox"/> Primary <input type="checkbox"/> Contract vendor				
If you are the primary processor, list your contract vendors:					<input type="checkbox"/> No contract vendors
CONTRACT VENDOR	ADDRESS		PHONE NO.	CERTIFIED BY	

<b>Estimated annual total production:</b> _____% organic _____% conventional			
<b>List or attach a list of all products produced by your company:</b>			
<b>List all products requested for organic certification. Attach an Organic Product Profile for each individual product.</b>			

**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: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

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: \_\_\_\_\_

\_\_\_\_\_



## SECTION 4: Assurance of Organic Integrity

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

**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

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

Other \_\_\_\_\_

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: \_\_\_\_\_

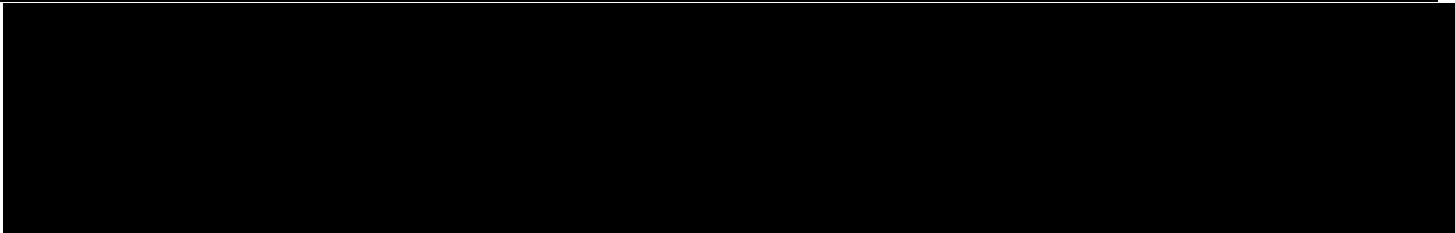
**Product testing:** (check all applicable categories) \_\_\_\_\_

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:**

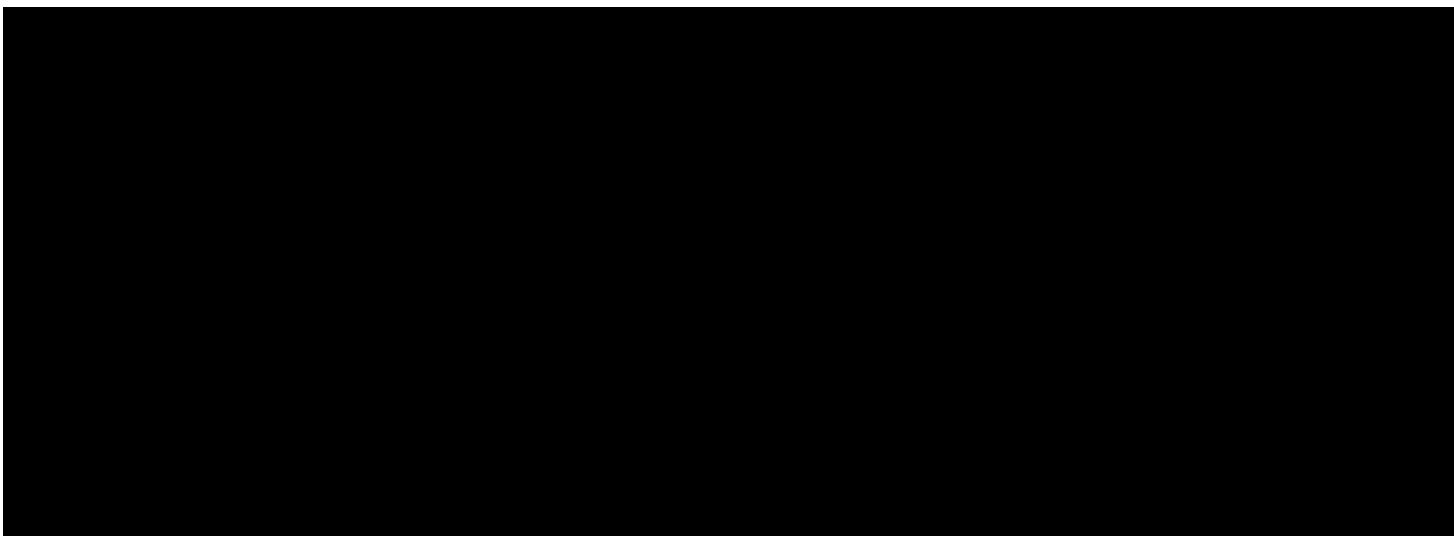
AREA	TYPE OF CLEANING	EQUIPMENT USED	PRODUCTS USED	FREQ	DOCUMENTATION
Receiving area					
Ingredient storage					
Product transfer					
Production area					
Production equipment					
Packaging area					
Finished prod. storage					
Loading dock					
Building exterior					
Accidental spills					

**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. 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    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 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.*

**STORAGE INFORMATION:**

USE	LOCATION	TYPE/ CAPACITY	DEDICATED ORGANIC? 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:

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> product flow chart                        | <input type="checkbox"/> facility map           | <input type="checkbox"/> Organic Product Profiles |
| <input type="checkbox"/> pest management map of traps and monitors | <input type="checkbox"/> water test             |   |
| <input type="checkbox"/> appropriate MSDS, if applicable           | <input type="checkbox"/> organic product labels |   |