

APPLICANT ORGANIC HANDLING PLAN QUESTIONNAIRE (US NOP)



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Instructions

Complete all sections of the form. Indicate "n/a" for sections that are not applicable to your operation. Attach additional paper if required.

Use black ink or type. Initial every page & complete the Stat Dec.

CONFIDENTIAL

The information provided by the applicant is CONFIDENTIAL within NCO (& accreditors as required).

SECTION 1: General Information				NOP Rule 205.201 and 205.401	
Applicant/company name		A.B.N.		NCO Reg # if applicable	
Owner/manager	Primary contact person			For office use only	
Postal Address	State	Post Code		Date received	
Physical Location of Facility	Date		Date reviewed		
Phone	Fax	Inspector			
Email	Fees received				
Legal status: <input type="checkbox"/> Sole proprietorship <input type="checkbox"/> Corporation <input type="checkbox"/> Cooperative <input type="checkbox"/> Trust or non-profit					
<input type="checkbox"/> Legal partnership <input type="checkbox"/> Other (specify)					
Year company began	Number of employees	Name of person overseeing organic production		Government permits/licenses	
Do you have a copy of current NOP standards? <input type="checkbox"/> Yes <input type="checkbox"/> No			Do you understand the current NOP standards? <input type="checkbox"/> Yes <input type="checkbox"/> No		
Do you have a copy of the current NOP National List? <input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No		
What general categories of organic products are manufactured or planned to be manufactured? <i>Provide a complete list of processes and products requested for certification in Section 2: Product Composition and Labeling.</i>					
List all noncompliances from last year's certification and state how the noncompliances have been addressed. <input type="checkbox"/> Not applicable					
List previous years certified organic and name of certifying agent.			List current organic certification by other agents.		
Has certification ever been denied, suspended, or revoked? <input type="checkbox"/> Yes <input type="checkbox"/> No					
If yes, describe the circumstances. <i>Attach a description of the actions taken to correct noncompliances.</i>					
Preferred time for inspection visit: <input type="checkbox"/> Morning <input type="checkbox"/> Afternoon					
Give directions to the processing facility.					

2) Do you keep valid organic certificates for each ORGANIC processing aid? Yes No

3) For each NON-ORGANIC processing aid used for organic products:

- How many sources did you contact in your search for organic forms?
- Are you continuing to search for organic forms? Yes No
- Describe how you determine whether it is available in organic form.

➤ **Attach** documentation for each showing it is not a product of GMO's or produced with irradiation or sewage sludge.

4) For each NON-ORGANIC or NON-ALLOWED processing aid used for NON-ORGANIC product, describe how you prevent accidental use during organic processing.

5) Are sulfites, nitrates, or nitrites, magnesium stearate, potassium iodide, or potassium phosphate added during the production or handling process? Yes No

If yes, list all organic products produced with the above substances.

6) Do any products labeled "organic" show the percentage of organic ingredients on the label? Yes No N/A

If yes, list all products so labeled.

Does the size of the percentage statement exceed one-half the size of the largest type size on the panel on which the statement is displayed? Yes No

Does the percentage statement appear in its entirety in the same type size, style, and colour without highlighting? Yes No

Is the percentage rounded down to the nearest whole number? Yes No

D. Non-Organic Ingredients: For Products Labelled "Organic" Not Applicable

Organic ingredients must be used for the production of products labelled "Organic", but non-organic ingredients are allowed when organic forms are not commercially available. The same ingredient may not be present in both organic and non-organic forms.

1) For non-organic ingredients, how many sources did you contact in your search for organic ingredients?

2) Are you continuing to source organic ingredients? YES NO

3) How do you verify that organic forms of ingredients or processing aids are not commercially available?

E. Products Labeled As "Made With Organic (Specified Ingredients Or Food Groups(s))" (At least 70% certified organic ingredients; up to 3 ingredients or food groups can be listed)

1) List all products to be labeled "Made with organic (ingredients or food group(s))" and check appropriate boxes.

None

NAME OF PRODUCT	HOW MANY INGREDIENTS OR FOOD GROUPS ARE LISTED ON THE LABEL?	LIST EACH INGREDIENT OR FOOD GROUP SHOWN ON THE PRINCIPAL DISPLAY PANEL	ORGANIC INGREDIENTS IDENTIFIED IN INFORMATION PANEL (✓)	CERTIFYING AGENT NAME IDENTIFIED ON LABEL (✓), eg, NCO

- 2) Does the "made with organic ingredients" statement on the principal display panel exceed one-half the size of the largest type size on the panel? Yes No
 Does the "made with organic ingredients" statement on the principal display panel appear in its entirety in the same type size, style, and colour without highlighting? Yes No
- 3) Do any products labeled "made with organic ingredients" show the percentage of organic ingredients in the product? Yes No
 If yes, does the size of the percentage statement exceed one-half the size of the largest type size on the panel on which the statement is displayed? Yes No
 Does the percentage statement appear in its entirety in the same type size, style, and colour without highlighting? Yes No
 Is the percentage rounded down to the nearest whole number? Yes No

F. By-Products

- 1) Will any by-products from certified organic products be sold as certified organic in the USA? Yes No Not applicable

If yes, list all organic products manufactured from by-products.

Include information on organic by-products as applicable on this Organic Handling Plan.

SECTION 3: Assurance of Organic Integrity **NOP Rule 205.201(a), 205.270 and 205.272**

NOP Rule requires that handling practices and procedures present no contamination risk to organic products from commingling with nonorganic products or contact with prohibited substances. Packaging materials, bins, and storage containers must not have contained synthetic fungicides, preservatives, or fumigants. Reusable bags or containers must be clean and pose no risk to the integrity of organic products. Procedures used to maintain organic integrity must be documented.

A. SITE PLAN AND PRODUCT FLOW

- 1) **Attach** a site map (may be hand drawn) which shows all processing and storage buildings and areas.
- 2) **Attach** 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. Indicate where ingredients are added and/or processing aids are used. All equipment and storage areas must be identified.

B. ORGANIC INTEGRITY

Do you have procedures in place to ensure that organic products are not commingled with non-organic products or contaminated with prohibited substances during receivals, storage, processing, packing, dispatch?

Yes No

If yes, list specific control points you have identified in your process and state how you have addressed them to protect organic integrity, or **attach** a copy of your organic procedures. Organic Procedures Attached

C. MONITORING

Do you have a Quality Assurance program in place? Yes No

If yes, what program do you use? ISO HACCP other (specify)

Are any outside quality assessment services used? Yes No

If yes, name of company

Product testing: (Check all that apply)

- ingredients tested prior to purchase ingredients tested upon receipt products tested during production
- finished products tested other (specify)

How do you prevent the use of ingredients produced using excluded methods (genetic engineering), sewage sludge, or ionizing radiation? (Check all that apply)

- GE testing letters from manufacturers other (specify)

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

D. WATER

Check ways water is used in processing: None used

- ingredient processing aid cooking cooling product transport cleaning organic products
- cleaning equipment other (specify)

Source of water: municipal on-site bore other, specify

Does the water meet World Health Standards? Yes No

Attach copy of water test, if applicable.

What on-site water treatment processes are used? None

Is steam used in the processing or packaging of organic products? Yes No

If yes, describe how steam is used.

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 (specify)

List products used as boiler additives.

No boiler additives used

Attach MSDS and/or label information for boiler additives, if applicable.

Describe how you monitor water quality.

How often do you conduct water quality monitoring? weekly monthly annually as needed
 other (specify)

E. EQUIPMENT

List all equipment used in processing.

EQUIPMENT NAME	CAPACITY	CHECK IF EQUIPMENT IS CLEANED PRIOR TO ORGANIC PRODUCTION (✓)	CHECK IF CLEANING IS DOCUMENTED (✓)	CHECK IF THE EQUIPMENT IS PURGED PRIOR TO ORGANIC PRODUCTION (✓)

If equipment is purged, list and describe purge procedures, quantities purged, and documentation.

F. SANITATION

Attach MSDS and/or label information for cleaning and sanitising products, if applicable.

Check all cleaning methods used:

sweeping scraping vacuuming compressed air manual washing clean in place (CIP)
 steam cleaning sanitising other (specify)

Provide information on your cleaning program and products used.

AREA	TYPE OF CLEANING	CLEANING EQUIPMENT USED	PRODUCTS USED	FREQ	CHECK IF CLEANING IS DOCUMENTED (✓)
Receiving area					
Ingredient storage					
Product transfer					
Production area					
Production equipment					
Packaging area					
Finished product storage					
Loading dock					
Building exterior					
Accidental spills					
Other (specify)					

Are all surfaces which contact organic products food grade?

Yes No

Do you test food contact surfaces or rinsate for cleaner/sanitiser residues?

Yes No

Where are cleaning/sanitising materials stored?

G. PACKAGING

Check types of packaging material used: paper cardboard wood glass metal foil
 plastic waxed paper aseptic natural fiber synthetic fiber other (specify)

Where are packaging materials stored?

Are any fungicides, fumigants, or pest control products used in this storage area? Yes No
 If yes, describe use and list specific products.

Have any packaging materials been exposed to synthetic fungicides, preservatives, or fumigants? Yes No
 If yes, describe exposure, including name of products used.

Are packaging materials reused? Yes No
 If yes, describe how reusable packaging materials are cleaned prior to use.

H. STORAGE

Provide information on your storage areas by completing the following table.

USE	LOCATION	TYPE/CAPACITY	IDENTIFICATION NAME OR NUMBER	IS STORAGE UNIT DEDICATED ORGANIC ? (✓)	COMMENTS ON POTENTIAL FOR CONTAMINATION OR COMMINGLING PROBLEMS
Ingredient storage					
Packaging material storage					
In-process storage					
Finished product storage					
Off-site storage*					
Other (specify)					

***If there is off-site storage, give name, address, phone number, contact person and type of products stored at off-site facility.**

I. TRANSPORTATION OF ORGANIC PRODUCTS

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 (specify)

How are incoming products transported?

Do you arrange incoming product transport?

Yes No

If you use transport companies, have they been notified of organic handling requirements?

Yes No

Are transport units used to carry nonorganic products or prohibited substances?

Yes No

If yes, how do you insure that inbound transport units are cleaned prior to loading organic products?

Is the inspection/cleaning process documented?

Yes No

Are organic products shipped at the same time as nonorganic in the same transport units?

Yes No

If yes, check all steps taken to segregate organic products:

- use of separate pallets pallet tags identifying "organic" organic product shrink wrapped
 separate area in transport unit organic product sealed in impermeable containers
 other (specify)

In-Process:

How are in-process products transported?

How do you insure that in-process transport units are cleaned prior to loading organic products?

Is the inspection/cleaning process documented?

Yes No

Outgoing Finished Product:

In what form are finished products shipped?

- dry bulk liquid bulk tote bags paper bags foil bags metal drums cardboard drums
 mesh bags cardboard cases plastic crates other (specify)

How are outgoing products transported?

Do you arrange outgoing product transport?

Yes No

If you use transport companies, have they been notified of organic handling requirements?

Yes No

Are transport units used to carry nonorganic products or prohibited materials?

Yes No

If yes, how do you insure that outgoing transport units are cleaned prior to loading organic products?

Is the inspection/cleaning process documented?

Yes No

Are organic products shipped at the same time as nonorganic in the same transport units?

Yes No

If yes, check steps taken to segregate organic products:

- use of separate pallets pallet tags identifying "organic" organic product shrink wrapped
 separate area in transport unit organic product sealed in impermeable containers other (specify)

NOP Rule requires management practices to prevent pests, such as removal of pest habitat, food sources, and breeding areas, and prevention of access to handling facilities. Environmental factors, such as temperature, light, humidity, atmosphere, and air circulation, may be used to prevent pests. Pests may be controlled using mechanical or physical means, such as traps, light, or sound. Lures and repellents may be used if they do not contain prohibited substances or products produced using excluded methods (genetically engineered). If these measures are not effective, a synthetic substance not on the National List may be used provided NCO approves use of the substance, method of application, and measures taken to prevent contact with ingredients or organic products. Use of pest control products must be documented and included as part of the Organic Handling Plan.

Attach a facility map showing the location of traps and monitors, and submit MSDS and/or label information for substances used for pest control, if applicable.

What type of pest management system do you use?

- in-house: name of responsible person
 contract pest control service: name, address, phone number

Check all pest problems you generally have:

- flying insects crawling insects rats mice spiders birds other (specify)

Check all pest management practices you use:

- good sanitation removal of exterior habitat/food sources clean up 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 incoming 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 boric acid diatomaceous earth precipitated silica fumigation fogging
 crack and crevice spray other (specify)

Are records kept of your pest monitoring activities?

Yes No

Check all aspects of your waste management system that apply:

- on-site bin/mini-skip material recycling daily pick-up of waste composting field application of waste
 other (specify)

Does your waste management system provide habitat and/or food sources for pests?

Yes No

If yes, please describe.

Pesticide use information for the last 12 months:

SUBSTANCE	TARGET PEST	LOCATION WHERE USED	METHOD OF APPLICATION	DATE OF LAST APPLICATION

Are records kept of all pesticide applications? Yes No

Are any substances used which are prohibited according to the National List? Yes No

If yes, did you contact NCO for prior approval before using? Yes No

If prohibited pest control products were used, what measures are you taking or planning to take to prevent their use in the future?

Are there any substances intended for use which are not listed above? Yes No

If yes, list substances intended for use:

What measures will be taken to prevent contact with organic products and their packaging: (tick ALL that apply)

- Organic product will not be present during application
- Organic product will not be returned to treated area until re-entry period permissible by product label has passed, or longer.

How long? _____

- Food contact surfaces exposed to pesticide will be washed and rinsed.
- Other (explain)

Describe how preventative measures taken (above) will be documented. **ATTACH** copies of logs or records that will be used.

- Records Attached

NOP Rule requires that records disclose all activities and transactions of the operation, be maintained for 5 years, and demonstrate compliance with the NOP Rule. Organic products must be tracked from receipt of incoming ingredients to sale of finished products. Organic 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". All records must be accessible to the inspector.

A. GENERAL INFORMATION

- 1) Can your record keeping system track the finished product back to all ingredients? Yes No
- 2) Can your record keeping system balance organic products in and organic products out? Yes No
- 3) Do you have a product recall system in place? Yes No
- 4) How long do you keep records relating to organic production? _____

B. DOCUMENTS USED TO TRACK ORGANIC PRODUCTS

- 1) List documents used to track INCOMING organic products (eg, bills of lading, weigh bridge note, organic certificate, etc)
- 2) List documents used to track organic products IN PROCESS (eg, batch form, blending report, production report, etc)
- 3) List documents used to track organic products IN STORAGE (eg, ingredient inventory, finished product inventory, etc)
- 4) List documents used to track OUTGOING organic products (eg, sales order, bills of lading, shipping logs, invoices, etc)
- 5) ATTACH a series of documents for one sale or delivery that demonstrates the "audit trail" with critical information highlighted or circled. The documents may be actual or mock documents. They should track from sales back through production to purchase and delivery of all ingredients.
- Documents Attached

Note: It will be necessary to be able to verify that products sold, labelled or represented as Organic in the USA are composed of ingredients that have produced and handled by NOP certified producers and processors. If you process both NOP Organic and non-NOP Organic ingredients, you will need to have some way of separating and identifying the NOP Organic products from other organic products.

C. BATCH NUMBERING

1) Describe your batch numbering system for receiving ingredients: Not Applicable

Example: 0123AO45

Code	0	123	A	O	45
Signifies	Year: 2000	Julian Date: Production	Shift	Organic	Facility Location

Batch Number: _____

Code					
Signifies					

2) Describe your Batch Numbering system for production:

Batch Number: _____

Code					
Signifies					

3) Where is the batch number found on containers or packages?

If you use nonorganic ingredients or processing aids because organic are not commercially available

1) Describe the records you keep to document your search for organic forms

I affirm that all statements made in this Organic Handling Plan are true and correct. I agree to comply with the National Organic Program Rules and Regulations. I understand that the facility may be subject to unannounced inspection and/or organic products may be sampled and tested for residues at any time. I agree to provide further information as required by NCO.

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, if applicable | <input type="checkbox"/> MSDS, if applicable |
| <input type="checkbox"/> organic product labels | <input type="checkbox"/> labels for minor ingredients | |
| <input type="checkbox"/> labels for other substances used (boiler additives, cleansers, or pesticides) | | <input type="checkbox"/> other (specify) |

I have made copies of this Organic Handling Plan and other supporting documents for my own records.

Submit completed form, fees, and supporting documents to:

**NASAA Certified Organic
PO Box 768
Stirling, SA 5152
Australia**

