



ORGANIC HANDLING PLAN

Please answer all questions and include all requested attachments, labels and diagrams with your application. Additional forms can be found online at <https://mofgacertification.org/certifying-processing-and-handling/>. NOP citation numbers refer to sections in Appendix 1 of the MCS Practice Manual. Please contact the office if you have any questions.

SECTION 1: APPLICANT AND MARKETING INFORMATION (NOP 205.201 and 205.401)

1.1. Operator name(s) (1) _____
Limit of 2 names on certificate. (2) _____

Person in charge of day-to-day operations should be one of the names above. Name listed first will be the principal contact for this operation in our database. At least one of the individuals listed must be present and lead the annual inspections.

1.2. Company name: _____

Mailing Address: _____

Town: _____ State/Province: _____ Zip/Postal Code: _____

County: _____ Country: _____

1.3. Phone number: _____

Phone number for publication if different from above: _____

Cell phone number (not for publication): _____

Fax Number _____

1.4. Email _____ Email #2 _____

Email for publication if different from above: _____

1.5. Web URL _____

1.6. Facility Location(s) (if different from mailing address)

Facility 1 Name: _____

Address _____ Town _____ State _____ Zip _____

Type of Processing: _____

Facility 2 Name: _____

Address _____ Town _____ State _____ Zip _____

Type of Processing: _____

Facility 3 Name: _____

Address _____ Town _____ State _____ Zip _____

Type of Processing: _____

1.7. Legal Status: Sole Proprietorship Trust/Non-Profit Corporation LLC Cooperative

Legal Partnership Other: _____

1.8. Owner's name and contact information (if not one of the operators seeking certification).

Name: _____ Phone: _____

Address: _____ Town: _____

State: _____ Zip: _____

1.9. Have you ever applied for organic certification before? Yes No

If yes, list first year certified: _____ Certifying Agent: _____

Did you surrender this certification? Yes No What was the reason: _____

1.10. Has this operation ever been certified under another organic producer? Yes No N/A

If Yes, Name of Producer: _____

1.11. List all current organic certifications by other agencies (include agency names):

1.12. Have you ever been denied certification or had your certification **suspended** or **revoked**?

Yes No.

If YES, what year(s)? _____ what agency? _____

You must enclose a copy of any notice of non-compliance or denial/revocation of certification and a description of the actions taken by you to correct any non-compliances.

SECTION 2. Assurance of Organic Integrity I: MARKET INFORMATION, Supply Chain Traceability, and Fraud Prevention Plan

2.1. Below is a list of some common types of markets where organic producers sell products. Please select the markets where you sell your products (or are planning to sell your products) and specify (name) these markets. This information will be published and used by MOFGA’s marketing specialist. If you do not want this information to be published, please use the “do not publish” column.

| <u>Market Type</u> | <u>Check all that apply</u> | <u>Please Specify (name)</u> | <u>Do not publish</u> |
|----------------------------------|-----------------------------|------------------------------|--------------------------|
| CSA | <input type="checkbox"/> | | <input type="checkbox"/> |
| Senior Shares | <input type="checkbox"/> | | <input type="checkbox"/> |
| Farm Shares | <input type="checkbox"/> | | <input type="checkbox"/> |
| Fairs & Festivals | <input type="checkbox"/> | | <input type="checkbox"/> |
| Farmers Cooperatives | <input type="checkbox"/> | | <input type="checkbox"/> |
| Farmers Markets | <input type="checkbox"/> | | <input type="checkbox"/> |
| Institutions (e.g., schools) | <input type="checkbox"/> | | <input type="checkbox"/> |
| Mail Order/Phone/Web | <input type="checkbox"/> | | <input type="checkbox"/> |
| Natural Food Stores | <input type="checkbox"/> | | <input type="checkbox"/> |
| On-Farm (farm stand, farm store) | <input type="checkbox"/> | | <input type="checkbox"/> |
| Other farmers | <input type="checkbox"/> | | <input type="checkbox"/> |
| Processors | <input type="checkbox"/> | | <input type="checkbox"/> |
| Restaurants | <input type="checkbox"/> | | <input type="checkbox"/> |
| Specialty shops | <input type="checkbox"/> | | <input type="checkbox"/> |
| Supermarkets | <input type="checkbox"/> | | <input type="checkbox"/> |

| | | | |
|----------------------------------|--------------------------|--|--------------------------|
| Trade or Barter | <input type="checkbox"/> | | <input type="checkbox"/> |
| Wholesalers (e.g., Horizon Milk) | <input type="checkbox"/> | | <input type="checkbox"/> |
| Distributors | <input type="checkbox"/> | | <input type="checkbox"/> |
| Other: _____ | <input type="checkbox"/> | | <input type="checkbox"/> |

2.2. Organic Supply Chain Traceability & Organic Fraud Prevention NOP 205.201(a)(3)

An organic production or handling 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.

2.2.1 Do you purchase any organic agricultural products for use in the production of your own organic products or for resale? Yes No

If YES, please submit an Excel spreadsheet of all your suppliers of organic products to your specialist. It is the client’s responsibility, subject to 205.103(b)(2), to update and resubmit this list whenever suppliers change.

Note: MCS will determine whether handlers/transporters are exempt from certification, using tools like the Self-Assessment Flowchart and the Exempt Handler Affidavit.

2.3. Fraud Prevention Plan

Producers must verify the organic integrity of incoming products by having a fraud prevention plan. There are many ways for a producer to meet these requirements. Please select the options below that you implement or plan to implement, or describe your plan in the “Other” section.

- Keep current organic certificates & invoices indicating organic status of purchased products or ingredients.
- Retain shipping & handling information, bills of lading, import certificates, etc.
- Verify suppliers through the Organic Integrity Database.
- Verify suppliers through the organic certifier of the supplier.
- Report suspected organic fraud to certifying agents and/or the NOP.
- Keep a map/inventory of and identify critical control points in your supply chain.
- Inspect incoming product packaging for evidence of tampering/contamination.
- Conduct traceability exercises within your supply chain, through documentation and verification.
- Other (please describe below):

2.4. Exports and Imports:

1. Do you sell/export product to or supply ingredients for export to:

- Do not export Canada EU Japan Korea Switzerland Taiwan UK – Great Britain

If you supply a business who will use your product as an ingredient in their end product that is exported to any of the above countries, then you need to check the box above for the corresponding country of export and submit an International Export Supplement. Additionally, if you export product to any of these countries you must complete an ‘International Export Supplement’. See the Import/Export Transactions section of the MCS Practice Manual or contact your MCS Staff Specialist.

Please note that different documentation is required depending on whether the USDA organic product is exported to the UK-Great Britain (England, Scotland, Wales) or to the UK-Northern Ireland. MCS must issue

a Great Britain Certificate of Inspection (COI) before the products leave the U.S. Exports from the U.S. to Northern Ireland will continue to require an EU COI issued by MCS through TRACES.

2. Do you import product or purchase imported product from:

Do not import Canada EU Japan Korea Switzerland Taiwan Mexico UK – Great Britain

If you import or receive product imported from any of the countries above you must maintain:

1. Organic Certificates of the supplier.
2. An electronic NOP Import Certificate for all imported organic products. Import certificates are issued by the exporter's certifier and may be issued for single or multiple shipments or a specific time frame.

Refer to the Import/Export Transactions Section of the MCS Practice Manual or contact MCS if you have questions.

SECTION 3: Labeling and Product Composition (NOP 205.105, 205.270, 205.300-305, 205.307-311)

- 3.1. For each product to be labeled as **100% Organic** (all ingredients including processing aids are 100% organic), please enclose either a multi-ingredient or single ingredient product profile and attach draft labels if available.
- 3.2. For each product to be labeled as **Organic** (at least 95% organic ingredients, all other ingredients on National Lists NOP 205.605 or NOP 205.606) please enclose either a multi-ingredient or single ingredient product profile and attach draft labels if available.
- 3.3. For each product to be labeled as **Made with Organic ... (Specified ingredients or food groups)...** (at least 70% organic ingredients, all other non-agricultural ingredients on National Lists NOP 205.605), please enclose either a multi-ingredient or single ingredient product profile and attach draft labels if available.
- 3.4. For products with less than 70% organic ingredients, organic ingredients can only be listed as organic in the ingredient statement on the label. No other organic claims are allowed.
- 3.5. Please also submit any labels used on non-retail containers that are used to ship or store certified organic products. Labels can be submitted directly to your specialist via email.

General Label Disclaimer: *MOFGA Certification Services only reviews labels for compliance with organic labeling standards defined in USDA-NOP 7 CFR part 205. The use of certain ingredients or certain marketing claims, such as health or origin, may be subject to other Federal or State regulations. It is the responsibility of the certified operation to apply all applicable laws and regulations in the formulation and labeling of products.*

Both multi-ingredient and single ingredient product profile forms are available from MCS or on our website.

SECTION 4: Overview of Production (NOP 205.200)

4.1 If you process conventional (non-organic) products what is the percentage breakdown of organic vs conventional (non-organic) production?

_____ % Organic Production _____ % Non-Organic Production

4.2. List or attach a list of the general categories of non-organic products:

4.3 Is your operation a Primary Operation or Co-packer? Check both if your operation sells under its own label **and** co-packs for other labels.

4.4 If you contract with a vendor to co-pack your labeled products, please complete the following:

| Contract Vendor Name: | Address | Phone Number | Vendor Certifier |
|------------------------------|----------------|---------------------|-------------------------|
| | | | |
| | | | |
| | | | |
| | | | |

4.5 Please attach the following:

Facility Map - Indicate all equipment, storage and processing areas. You may use this diagram to show locations of Pest Control traps/lights/lures.

Process Flowchart - One flowchart for each of your processes.

Sanitation Standard Operating Procedure (SSOP) - Indicate all cleaning steps for food contact surfaces, tools and equipment. Indicate cleaners and sanitizers used at each step. Also indicate when rinse steps occur. Please be sure to list all cleaners and sanitizers on your **Materials List**

Pest Control Stations and Products - Map of all pest control stations if not included on Facility Map. Please be sure to list all pest control products on the **Materials List**.

The following current up-to-date documents are either attached or on file:

- Facility Map
- Process Flowchart
- Sanitation Standard Operation Procedures
- Pest Control Stations and Products
- Other: _____

4.6 List all State and/or Federal Licenses your facility maintains and their expiration dates.

| | |
|----------|------------------|
| License: | Expiration Date: |
| | |
| | |
| | |

SECTION 5: Assurance of Organic Integrity II (NOP 205.201(a), 205.270, 205.272)

5.1 What is the date of your last water test?

5.2 What is the source of water used in processing?

5.3 Explain how water is used in processing.

- As an ingredient
- As a processing aid
- Cooking
- Cooling
- Other: _____
- Product transport
- Cleaning organic products
- Cleaning equipment
- Water and/or steam not used in processing

5.4 Explain any on-site water treatment.

5.5 Describe how you monitor water quality and how often.

5.6 Describe how steam is used in processing or packaging of organic products.

5.7 If steam is in direct contact with organic product or food contact surfaces, explain how you ensure the organic integrity of the product.

5.8 List any boiler additives used.

5.9 How do you monitor Quality Assurance (Food Safety Plan, HACCP, TQM, etc.)?

- 5.10 If you have an organic integrity program in place, list specific control points you have identified. How do you address these points in order to protect organic integrity? OR, attach a copy of your organic integrity program.
- 5.11 How often do you conduct a self-audit of organic integrity?
- 5.12 Name and address of any outside quality assessment company.
- 5.13 List all product testing performed by you or a contractor.
- 5.14 If ingredient samples are retained, how long are samples retained?
- 5.15 If finished product samples are retained, how long are samples retained?
- 5.16 Explain how you prevent the use of ingredients produced using Excluded Methods (genetically engineered), Sewage Sludge, and Ionizing Radiation in your certified products. (You must address this question if you are using non-organic agricultural ingredients or using products on the national list that may be produced using GE (i.e. enzymes, cultures) or contain non-organic agricultural ingredients (i.e. baking powder that contains cornstarch). A "Product Verification Form" is available that can be sent to the producer of the ingredient.
- 5.17 Which pieces of equipment are used for both organic and non-organic production? Describe protocol used to prevent commingling of organic and non-organic product and how this is documented.
- 5.18 Do you test food contact surfaces or rinse water for cleaner/sanitizer residues? Is this testing part of your SSOP? Are results of residue tests recorded?

Please be sure to attach a copy of your Standard Sanitation Operating Procedure (SSOP). Please add all products used to your materials list.

- 5.19 Where do you store your cleaning and sanitizing products and cleaning equipment?
- 5.20 List all packaging and storage container materials used during production (i.e. paper, glass, plastic, etc.)
- 5.21 Where are packaging materials stored?
- 5.22 List any other products stored in the same area.
- 5.23 If any fungicides, fumigants or pest control products are used in a storage area, list the specific products used and steps taken to prevent contamination of packaging. Include full product names, EPA numbers and manufacturer information.
- 5.24 If any packaging or containers are reused describe how materials or containers are cleaned prior to reuse. Note if materials/containers are dedicated organic or not and how you distinguish between reused organic and reused conventional materials/containers.
- 5.25 If there are any off-site storage areas give name of facility, type of product stored, address, name of contact person and contact information.
- 5.26 Explain how **incoming** ingredients are transported and received.
- 5.27 Do you use uncertified vendors? Yes No
- a) If yes, how do you verify that incoming material corresponds with organic certificates on file?
- b) If yes, do you document the last certified entity? Yes No N/A

- 5.28 Explain all measures taken to ensure the organic integrity of **incoming** ingredients.
- 5.29 If **incoming** ingredient transport units transporting raw unpackaged ingredients (i.e. grain hauling) are used to carry both organic and conventional product how do you insure units are cleaned/purged prior to loading of organic products? Is cleaning/purging of units documented?
- 5.30 If **incoming** transport units ship both organic and non-organic product at the same time describe measures taken to protect commingling/contamination of organic product.
- 5.31 If **in-process** products are transported, explain the process. Note if transport units are dedicated organic or how organic and conventional transport units are distinguished. Explain the cleaning process of the transport units and whether or not cleaning is documented.
- 5.32 Explain how **outgoing** products are shipped.
- 5.33 Explain all measures taken to ensure the organic integrity of **outgoing** products.
- 5.34 If **outgoing** transport units are used to carry both organic and conventional product how do you ensure units are cleaned/purged prior to loading of organic products? How is cleaning/purging of units documented?
- 5.35 If **outgoing** transport units ship both organic and non-organic product at the same time describe measures taken to protect commingling/contamination of organic product.

5.36 What monitoring practices do you use to verify that your organic handling plan is effectively implemented? How frequently do you use these practices? (For example: internal audits, tests for contamination/residues on food contact surfaces, ingredient contamination analysis, inventory tracking).

Section 6: Pest Management (NOP 205.271)

6.1 List all pest problems you have encountered in the past.

6.2 List all pest management practices you currently have in place.

6.3 Explain your waste control system and all management steps taken to prevent waste from attracting and harboring pests.

6.4 Add all pest control products to the **Materials List**. Please include brand names and EPA #s if available.

6.5 If pest control substances are used list all measures taken to prevent contact with organic products, ingredients or packaging materials.

6.6 If you contract with a pest control service give name, address and phone number.

6.7 Has the pest control service been notified that you handle organic product? Attach letter of acknowledgement.

6.8 **Attach** a facility diagram showing type and location of all pest monitoring stations.

6.9 What is the frequency of visitation of pest monitoring stations and how are the visits documented.

Section 7: Record Keeping (NOP 205.103)

7.1 List all documents used to track incoming ingredients.

7.2 List all documents used to track in process ingredients/products including all production and inventory storage records.

7.3 List all documents used to track finished product from production through finished product storage to final shipping.

7.4 Describe your lot numbering system (give an example).

7.5 How long do you keep records (NOP 205.103 requires all organic records be kept a minimum of 5 years).

7.6 Do you maintain current organic certification documents for all organic ingredients used in products?

7.7 List records you maintain to audit each organic ingredient lot from reception to use in final product.

7.8 List records you maintain to balance each incoming ingredient lot with amount of organic product sold.

Please remember to complete/update a product profile for each product you produce.