



## - IMPORTANT -

### Organic Certification Application Instructions for New Applicants

Please complete all sections of this application to create your initial Organic System Plan (OSP).

- ☐ Include information for all processing and handling planned for 2024.
- ☐ Do your best to complete all questions and tables within the application.  
**\*\*blank areas will cause delay\*\***
- ☐ This year's forms will be used as a "baseline" for future years.
- ☐ Most items that do not change will not be re-submitted each year.
- ☐ Brokers, Traders, Exporters, Importers, and Storage Warehouses – If you do not process products and only physically handle already packaged organic products for sale, storage, and/or transport, please fill out the Organic System Plan for Non-processing Handlers.

**\*\*Please note: A fee may be charged for incomplete OSPs\*\***

**If you'd like assistance completing your OSP, please contact an OEFFA Sustainable Agriculture Educator at (614) 421-2022 or e-mail [agricultureeducators@oeffa.org](mailto:agricultureeducators@oeffa.org).**

Please fill out your application in black or blue ink. The OSP is a plan that can be updated at your inspection or by contacting us at any time. Please make a copy for your records before submitting.

Contact us if you have any questions or comments about these forms, the standards, or the certification process. **We are here to help!**

#### **Submit all application materials and payment to:**

OEFFA Certification  
41 Croswell Road  
Columbus, OH 43214

Phone: (614) 262-2022 Fax: (614) 421-2011 E-mail: [organic@oeffa.org](mailto:organic@oeffa.org)



## OEFFA Organic System Plan for Handlers NEW APPLICANT

Complete this form if you are requesting organic handling (processing) certification. If a question does not apply to your operation, please mark or write "N/A." Attach additional sheets as necessary. Applicants must complete all pages. You must sign this form.

General Information		NOP \$205.401
Operation/Business Name (to appear on your organic certificate)		Date
Owner/Operator	Manager	Primary Contact Person
What is the best way to contact you in writing? (check one): <input type="checkbox"/> Mail <input type="checkbox"/> Email		Operation # (office use only):
Name(s) of others who can discuss and update this OSP		Name of person overseeing organic production
Legal status of your business (Each certified operation must be a single legal entity.) <input type="checkbox"/> Individual/Sole Proprietorship <input type="checkbox"/> Cooperative <input type="checkbox"/> Other (specify) _____ <input type="checkbox"/> Corporation/LLC <input type="checkbox"/> Trust or non-profit <input type="checkbox"/> Public Entity <input type="checkbox"/> Association <input type="checkbox"/> Legal Partnership (federal form 1065)		
Do you have a current copy of the NOP standards? <input type="checkbox"/> Yes <input type="checkbox"/> No		I am requesting verification for export to other countries: <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, complete the International Markets section
List the type(s) of products and services requested for certification:		
What percentage of total annual production and handling is organic?		If currently certified with another certifier, list 2023 gross sales from handled organic products and services (US\$):
<u>Check all that apply for your operation, and/or anyone responsibly connected to your operation:</u> <input type="checkbox"/> Currently certified by other certifier(s) Please list: <input type="checkbox"/> Previously certified by OEFFA or other certifier(s) Please list: <input type="checkbox"/> New Applicant (see below)		Have you ever been denied certification, or had your certification suspended (including partial suspensions) or revoked? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, describe the circumstances and see the note below:
<b>If you are new to OEFFA and have been certified by another agency, or if your certification has ever been denied, suspended, or revoked, please <u>attach a copy of your last letter from the certifier and other relevant documents</u> and describe how you have addressed any outstanding issues.</b>		
Is all processing and handling (including labeling) for all products requested for certification in this OSP performed at the primary facility address? <input type="checkbox"/> Yes <input type="checkbox"/> No If no, explain:		

**Material Input List****NOP §205.270; §205.301****A. Cleaners & Sanitizers**

List all cleaning and sanitizer products that come into direct contact with organic contact surfaces and/or organic products. Please think about each facility area (receiving, ingredient and finished product storage, production, utensils/dishes, packaging, and work surfaces) when completing this table. Products approved by the Organic Materials Review Institute (OMRI) and the Washington State Department of Agriculture Organic Program (WSDA) are also approved for their specified use by OEFFA-certified handlers.

NAME OF PRODUCT	MANUFACTURER	AREA OF FACILITY	TYPE OF EQUIPMENT CLEANED	FREQUENCY	RINSE AFTER? (yes or no)	IS CLEANING DOCUMENTED? (yes or no)
Example: Chlorine	ABC Cleaning	Production Area	Bottling Line	Daily	Yes	Yes

**B. PESTICIDES** List any pesticides used during the last 12 months or planned for use in the next 12 months

NAME & MANUFACTURER OF PESTICIDE PRODUCT	TARGET PEST	LOCATION WHERE USED	METHOD OF APPLICATION	DATE OF LAST APPLICATION

**C. OTHER INPUTS**

List all other inputs used in your operation in the table below. Include water treatments, boiler additives, atmosphere modifiers, flotation agents, ion exchange (describe process including resins, membranes, and recharging materials), and any other input that is not included on a Product List or Product Profile Sheet (an ingredient or processing aid) or on the cleaner and pesticide lists, above.

INPUT/PRODUCT NAME	MANUFACTURER AND/OR BRAND NAME	REASON FOR USE	IF RESTRICTED, DESCRIBE COMPLIANCE WITH NOP RULE ANNOTATION

**Attach a label and MSDS for all inputs on this page.**

## Product Lists, Product Profiles, & Labels

- 1) Provide a complete, current list of products you are requesting for organic certification on the Product List (page 4).
- 2) Provide product profile sheets (page 5), labels, and supporting documentation as per the instructions below:

### New Products Requested for Certification:

- ☐ For each multiple ingredient product, complete a Product Profile Sheet (page 5).
- ☐ Attach a color label proof or preprinted packaging which displays any proposed organic claims. All labels must be approved before use.
- ☐ For all organic ingredients and processing aids, attach organic certificates with source ingredients highlighted.
- ☐ For all nonorganic ingredients, attach signed forms showing that all ingredients are non-GMO, non-irradiated, and produced without sewage sludge (ex: Non-Organic Ingredient Form).
- ☐ Attach other required documentation if relevant (ex: Organic Ingredient Search Record for Handlers, Natural Flavor Statement, supplier label for sub-ingredient verification, etc.)

- 3) Provide a complete list of all non-organic products produced and/or handled by your operation in a format of your own choosing. Indicate any products that are not certified but have the word “organic” in the ingredient list.
- 4) Please fill out the Supplier and Ingredient List (page 6) for all organic and non-organic ingredients sourced and provide organic certificates or appropriate non-organic documentation, such as a Non-organic Ingredient Statement.
- 5) If you are a Broker, Trader, and/or Importer – Products that your entity takes ownership of or physically possess must be listed on the appropriate product list, although brands are not required. If suppliers are many or unknown at the time of application, a standard operating procedure may be submitted on how your entity will verify supplier organic compliance. Labels are also required to be on file when your entity owns a product, applies the label, or if OEFFA is on the “Certified Organic By” statement.

## CUSTOM HANDLING

If you are applying for certification of custom handling services (i.e. individual batches are made to customer specifications from a list of approved ingredients), do the following:

- Include the product name (e.g. *custom livestock feed mixes*) on the Product List.
- Complete the Supplier and Ingredient List
- For multi-ingredient custom products, list all agricultural inputs used on an Organic Product Profile Sheet.
- List all nonagricultural inputs used in custom products on the Material Inputs List (pg. 2). Alternatively, you may attach a complete list in a format of your own choosing if it contains all of the information requested on page 2.
- Attach a color label template to be used on finished custom organic products, if applicable.



**Operation Name**

- Date \_\_\_\_\_

Page 4



- Fill out this form for each **NEW or CHANGED** product that has more than one ingredient.
- List all ingredients in this product, except for water and salt, which are added at the end.
- Use volume if all ingredients are liquid. If ingredients are dry or a mix of dry and liquid, please use weight.
- Calculate organic content based on measurements of ingredients at formulation.
- **For Ingredients with sub-ingredients, please attach a spec sheet or source label listing the sub-ingredients.**

Operation Name		Date	
Brand Name(s)		Product Name <i>(as requested to appear on certificate)</i>	

\_\_\_\_ Net Weight (solid ingredients only)      \_\_\_\_ Fluid Volume (liquid ingredients only)      \_\_\_\_ Combined Weight (both solid & liquid)  
For more information on calculating the percentage of ingredients, including formulas, see § 205.302.

[illegible]

<b>LABELING CATEGORIES</b>		Subtotal of <i>non</i> -salt and <i>non</i> -water contents <b>[D]</b>	Organic Contribution <b>[G]</b> (Total Column C)	
100% Organic		Quantity of Salt (Include salt source below.) <b>[E]</b>		
95 - 99.99% = Organic		Quantity of Water <b>[F]</b>	<b>Total Organic %:</b> (G÷D) Round down to nearest whole number.	
70 - 94.99% = Made With Organic		Total Ingredient Quantity: <b>(D+E+F)</b>		
< 70% = Ingredients listed as organic in information panel only	<b>Salt Supplier/Manufacturer &amp; Product Name:</b>			

*\*For % organic content of ingredient, assume the lowest percentage for the labeling category found on the ingredient's organic certificate, unless exact documentation of higher content has been provided by your supplier's certifier. [Exceptions: Assume 100% organic content for raw agricultural commodities. Assume 100% organic content for calculation purposes for single ingredient processed products certified at the "organic" level that are not significantly different than the raw state, as described in NOP guidance 5037.] If the ingredient is not organic, use 0%. Liquid ingredients being reconstituted from concentrates should be calculated based on the single-strength concentrations.*



Operation Name \_\_\_\_\_

Date \_\_\_\_\_

- List each NEW ingredient (both organic and nonorganic) and its supplier on a separate line.
- List any NEW suppliers and each ingredient sourced from them on a separate line.
- Remove suppliers and/or ingredients that are no longer in use.
- Organic ingredients should be listed exactly as they appear on the supplier certificate. Add additional detail, if needed, to connect the supplier to the product.
- Organic Certificates should be current within 3 years in your OSP and 18 months from the purchase date for on-site inspections.
- Non-organic ingredients not previously approved may require a Non-organic Ingredient Declaration (NOID) and label.

OEFFA Organic System Plan for Handlers - January 2024

## International Markets

**Complete this section if you plan to export organic products to other countries and/or if you would like international equivalencies listed on your organic certificate. You may attach additional sheets describing your procedures if necessary. For more information, review the "International Trade & Marketing" policy in the OEFFA Certification Policy & Procedures manual.**

**List all organic products you wish to export in the table below:**

Product Name	Destination (check all that apply)							Type (check all that apply)		
	Canada	Switzerland	EU	Taiwan	Japan	Korea	Other (list)	Single ingredient	Multi-ingredient	All ingredients produced by me

### A. CANADA

**Do you have documentation that all crops used in products for export to Canada were produced without the use of Sodium (Chilean) nitrate?** ☐ Yes ☐ No ☐ N/A (no crop-derived agricultural products or ingredients)

**Do you have documentation that all crops used in products for export to Canada were produced without the use of hydroponic or aeroponic methods?** ☐ Yes ☐ No ☐ N/A (no crop-derived agricultural products or ingredients)

**Do you have documentation that all products/ingredients derived from non-ruminant organic livestock (poultry, hogs, rabbits, etc.) used in products for export to Canada were raised according to the livestock stocking rates in the Canadian Standard (CAN/CGSB 32.310-2006)?** ☐ Yes ☐ No ☐ N/A (no non-ruminant livestock derived products or ingredients)

### B. EUROPE and/or KOREA

**Do you have documentation that all organic apples and pears used in products for export to Europe and/or Korea were produced without the use of antibiotics (streptomycin or tetracycline)?** ☐ Yes ☐ No ☐ N/A (no products with apples and/or pears)

*There are additional restrictions on wine exports to Europe. Contact OEFFA for details.*

### C. TAIWAN

**Do you have documentation that all products/ingredients derived from organic livestock used in products for export to Taiwan were produced without the use of systemic pain killers, analgesics, and prohibited substances?** ☐ Yes ☐ No ☐ N/A (no products or ingredients derived from livestock)

### D. SWITZERLAND

**Is organic wine for export to Switzerland produced and labeled to Switzerland's regulations?** ☐ Yes ☐ No ☐ N/A (no wine products)

**Do you plan to label products to be exported?** ☐ Yes ☐ No

**If YES:** Do these labels meet the labeling requirements of the destination country? ☐ Yes ☐ No

Has OEFFA reviewed these labels and approved them specifically for export? ☐ Yes ☐ No (attach labels for review)

This product will be exported as: ☐ wholesale ☐ retail

**Who is exporting the product?** ☐ self ☐ buyer other: \_\_\_\_\_

**Do required documents accompany exported organic products (i.e. attestations, import/export/transaction certificates, certificates of inspection, etc.)?** ☐ Yes ☐ No

Describe export documentation or attach SOP(s):



**Operation Information****NOP §205.401**

Physical Facility Address			Mailing Address (if different from facility address)		
City	State	Zip Code	City	State	Zip Code
County			County		
Phone	Fax		E-mail		
What is the best way to contact you to schedule an inspection?: <input type="checkbox"/> Phone/Voicemail <input type="checkbox"/> Mail <input type="checkbox"/> E-mail <b>Please provide directions to your facility for the inspector:</b>					
Year company began			# of employees		
<b>Employee Training:</b> <b>Do you have an employee training program for organic product handling?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No <b>When are employees trained in organic handling processes?</b> <input type="checkbox"/> At hire <input type="checkbox"/> Annually <input type="checkbox"/> When they take on new responsibilities <input type="checkbox"/> other (describe) _____ <b>How do you train employees?</b> <input type="checkbox"/> Presentations <input type="checkbox"/> Readings <input type="checkbox"/> Hands-on practice <input type="checkbox"/> other (describe) _____ <b>How do you monitor the effectiveness of your training program?</b> <input type="checkbox"/> Test/quizzes <input type="checkbox"/> Quality Checks <input type="checkbox"/> Shadowing <input type="checkbox"/> other (describe) _____ <b>Is this training documented?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No					
<b>Indicate all types of organic handling performed by your operation (as you would like them to appear on your organic certificate):</b> <input type="checkbox"/> Packaging <input type="checkbox"/> Repackaging (product pre-packaged by others) <input type="checkbox"/> Co-packing <input type="checkbox"/> Labeling <input type="checkbox"/> Storing <input type="checkbox"/> Cheesemaking <input type="checkbox"/> Slaughtering/Butchering <input type="checkbox"/> Coffee Roasting <input type="checkbox"/> Personal Care Product Production <input type="checkbox"/> Maple Syrup Processing <input type="checkbox"/> Food Product Production <input type="checkbox"/> Beverage Production <input type="checkbox"/> Custom Services <input type="checkbox"/> Seed Handling (includes cleaning, coating, mixing, etc.) <input type="checkbox"/> Livestock Feed Handling (includes grinding, mixing, bagging, etc.) <input type="checkbox"/> Brokering/Trading <input type="checkbox"/> Other (describe) _____ <input type="checkbox"/> Other (describe) _____					
<b>List other permits and/or inspections for this facility:</b> (include facility, establishment, or license number, if applicable)					
<b>CONTRACT VENDORS</b> Complete this section if you contract with any vendors who process or handle product for you prior to your sale of the product. <b>Do you contract out any handling step(s)? (this includes labeling):</b> <input type="checkbox"/> yes <input type="checkbox"/> no If YES, complete the table below and attach contract vendors' organic certificates:					
CONTRACT VENDOR	PROCESSING OR HANDLING STEP(S) PERFORMED FOR YOU	CONTACT INFORMATION	ORGANIC CERTIFICATION AGENCY		
EXAMPLE: Someone, Inc.	Co-packing and labeling products	Address and Phone #	OEFFA		

**Material Inputs Details****NOP §205.270; §205.301**

**Review the definitions for product composition under §205.301 to determine whether your product is “100% organic,” “organic,” or “made with organic ingredients.” Salt and water are not considered in percentage calculations. No genetically engineered ingredients or processing aids are allowed.**

**A. INGREDIENTS & PROCESSING AIDS:****DEFINITIONS:**

**INGREDIENT:** Any substance used in the preparation of an agricultural product that is still present in the final commercial product as consumed.

**PROCESSING AID:** (1) Substance that is added to a food during the processing of such food but is removed in some manner from the food before it is packaged in its finished form;  
(2) a substance that is added to a food during processing, is converted into constituents normally present in the food, and does not significantly increase the amount of the constituents naturally found in the food; and  
(3) a substance that is added to a food for its technical or functional effect in the processing but is present in the finished food at insignificant levels and does not have any technical or functional effect in that food.

**How do you verify the organic status of organic ingredients and processing aids? If more room is needed, attach procedure.**

**Are any nonorganic ingredients or processing aids used?** ☐ yes ☐ no

**If YES: How do you verify the organic compliance of nonorganic ingredients and/or processing aids?**

☐ organic ingredient search ☐ Natural Flavor Statement ☐ collect supplier labels/spec sheets

**Describe how you attempt to find organic ingredients before sourcing/using nonorganic versions (the search must include at least three relevant suppliers and attempts must be documented):** \_\_\_\_\_

Are any nonorganic ingredients or processing aids restricted or prohibited materials? ☐ yes ☐ no

**Check if any nonorganic ingredients have been processed with or exposed to the following:**

☐ irradiation ☐ genetic engineering ☐ sewage sludge ☐ synthetic solvents

**Do any ingredients used in your products have sub-ingredients?** ☐ yes ☐ no

**If YES: Attach a label and/or spec sheet listing the sub-ingredients.**

**List all processing aids used in the production of certified organic products (attach labels & MSDS):** ☐ NONE

**How/why are they used?**

**B. WATER:**☐ NONE

**How is water used in processing? (check all that apply):**

☐ ingredient ☐ processing aid ☐ cooking ☐ cooling ☐ product transport ☐ cleaning organic products  
☐ cleaning equipment ☐ other (list) \_\_\_\_\_

**Source of water:** ☐ municipal ☐ on-site well ☐ other (specify)

**Is the water potable (safe for drinking)?** ☐ yes ☐ no

**List any known water contaminants:** \_\_\_\_\_

**Describe on-site water treatment processes:** ☐ None used

**Is culinary steam used in the processing of organic products?** ☐ yes ☐ no

If steam has direct contact with organic products, do you use:

☐ steam filters ☐ condensate traps ☐ testing of condensate ☐ testing of finished products ☐ other (list) \_\_\_\_\_

Are these methods effective in preventing contamination to organic products? ☐ yes ☐ no

**Attach copy of water test if available. Attach procedures to prevent boiler additives from contacting organics if relevant.**

*Facility maps, product flow charts, production logs, etc. may be used as documentation to show your production system is compliant with NOP rules.*

**A. PRODUCT FLOW CHART (Required – attach additional pages as necessary):**

*Provide a product flow chart for each process conducted at your operation. Draw and/or explain how product moves through each step of your process. Show where and how inputs are received, stored, processed into final products, packaged, and warehoused. Identify all pieces of equipment, storage areas, and where ingredients are added or processing aids are used.*

☐ Diagram Attached

**B. FACILITY MAP (Required – attach additional pages as necessary):**

*Provide a map of your facility showing all production and non-production areas and label all areas related to your organic operation. Include pest control locations on this map or on a separate document/diagram.*

☐ Map Attached

**Equipment****NOP §205.201**

List all equipment used in processing:

NAME	CAPACITY	USED WITH ORGANIC PRODUCT ONLY? YES (Y) OR NO (N)	CLEANED PRIOR TO ORGANIC PRODUCTION RUNS? YES (Y) OR NO (N)	PURGED* BEFORE ORGANIC PRODUCTION RUNS? YES (Y) OR NO (N)	IS THIS CLEANING AND/OR PURGING* DOCUMENTED? YES (Y), NO (N), OR N/A

**\*If, as part of your cleanout procedure(s), equipment is purged with organic product that is not marketed as organic, list and describe purge procedures, quantities purged, end use or disposal of purged product, and documentation:**

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**Assurance of Organic Integrity****NOP §205.271; §205.272**

***NOP rules require management practices to prevent contamination of organic products and commingling (mixing) with nonorganic products. Procedures used to maintain organic integrity must be documented.***

**ORGANIC CONTROL POINTS (OCP):** Similar to Hazard Analysis Critical Control Points (HACCP), OCP are places or times in the production system where the integrity of the organic product may be lost. Examples are mixing with nonorganic ingredients or products, contamination by sanitizers or pesticides, improper clean-out of equipment prior to running organic products, and use of noncompliant ingredients or processing aids.

**Do you have an Organic Control Point program in place to address areas of potential contamination and commingling?**

☐ yes ☐ no

If yes, list Organic Control Points you have identified in your process or attach a copy of your Organic Control Point program.

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If no,

...describe how you prevent contamination of organic products and commingling (mixing) with nonorganic products: \_\_\_\_\_

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...do you have plans to implement an Organic Control Point program? ☐ yes ☐ no

**Quality Assurance****NOP §205.201(a)(5)**

**Do you have a Quality Assurance (QA) program in place?** ☐ yes ☐ no

If yes, what program do you use? ☐ HACCP ☐ TQM ☐ other (describe) \_\_\_\_\_

**Are any outside quality assessment services used?** ☐ yes ☐ no

If yes, name of company: \_\_\_\_\_

**Product testing:** (check all applicable categories and describe the nature of testing)

☐ ingredients prior to purchase ☐ ingredients upon receipt ☐ during production ☐ finished product

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**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

**Is your quality assurance program effective?** ☐ yes ☐ no

**How often do you monitor the effectiveness of your quality assurance program?**

☐ monthly ☐ annually ☐ other: \_\_\_\_\_

**Pest Management****NOP §205.271**

What type of pest management system do you use? ☐ in-house (name of responsible person) \_\_\_\_\_  
☐ contract Pest Control Operator (name, address, phone #) \_\_\_\_\_  
\_\_\_\_\_

Check all pest problems you generally have: ☐ flying insects ☐ crawling insects ☐ spiders ☐ birds ☐ rats ☐ mice  
☐ other (list) \_\_\_\_\_

**Check all pest management practices you use:****1) PEST PREVENTION:**

- ☐ good sanitation ☐ removal of exterior habitat/food sources ☐ cleanup of spilled product ☐ mowing  
☐ exclusion ☐ sealed doors and/or windows ☐ repair holes, cracks, etc. ☐ screened windows, vents, etc.  
☐ physical barriers ☐ sheet metal on sides of building exterior ☐ air curtains ☐ air showers ☐ monitoring  
☐ positive air pressure in facility ☐ ingredient inspection for pests ☐ locate light fixtures away vents/windows/doors  
☐ inspection zones around interior perimeter ☐ ultrasound/light devices ☐ release of beneficials  
☐ other (list) \_\_\_\_\_

**2) PHYSICAL & MECHANICAL PEST CONTROL (IF PREVENTION FAILS):**

- ☐ sticky traps ☐ electrocutors ☐ mechanical traps ☐ scare eye balloons ☐ freezing treatments ☐ heat treatments  
☐ vacuum treatments ☐ pheromone traps ☐ raptor perches  
other (list) \_\_\_\_\_

**3) PEST ELIMINATION (IF PREVENTION & CONTROL FAIL):**

- ☐ carbon dioxide ☐ vitamin baits ☐ pyrethrum ☐ boric acid ☐ diatomaceous earth  
☐ other (list - must be approved by OEFFA before use): \_\_\_\_\_

*Include all pest management products on the Material Inputs List.*

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

Are pest control records maintained on-site? ☐ yes ☐ no

*Attach facility map showing location of traps and monitors – this may also be included on your facility map.*

**Sanitation****NOP §205.105; §205.605*****NOP rules require 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 (describe) \_\_\_\_\_

**Are all surfaces that contact organic products food grade?** ☐ yes ☐ no**Do you test food contact surfaces for cleaner/sanitizer residues?** ☐ yes ☐ no**Where are cleaning/sanitizing materials stored?** \_\_\_\_\_**Do you use chlorine materials as disinfectants/sanitizers?** ☐ yes ☐ noIf yes, does the cleaner directly contact organic products? ☐ yes ☐ no**Do you use quaternary ammonium materials as disinfectants/sanitizers?** ☐ yes ☐ no

If yes, describe how you ensure no residues contact organic products:

\_\_\_\_\_  
\_\_\_\_\_**What is the last substance/solution to contact surfaces before organic product contact?**\_\_\_\_\_  
\_\_\_\_\_**Are sanitation practices effective?** ☐ yes ☐ no**How often do you monitor the effectiveness of your sanitation practices?** ☐ weekly ☐ monthly ☐ annually ☐ other: \_\_\_\_\_***Attach Sanitation Standard Operating Procedures(s) (SSOPs), if available.*****Storage****NOP § 205.201(a)(5); §205.272*****NOP rules require that commingling or contamination of organic products do not occur during storage. Organic products should be clearly identified in storage.***

Use	Location	Type & Capacity	Dedicated Organic? Yes (Y) No (N)	Labeling/Signage
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:****Describe off-site storage (type of facility, products stored there, etc.):****Is the off-site storage facility managed by your operation?** ☐ yes ☐ no***If no, attach an off-site storage affidavit or other documentation that demonstrates off-site storage compliance.***

*Integrity of organic products must be maintained during transport.*

**A. INCOMING:**

In what forms are incoming ingredients and products received? ☐ dry bulk ☐ liquid bulk ☐ tote bags ☐ tote boxes

☐ metal drums ☐ cardboard drums ☐ paper bags ☐ foil bags ☐ other (describe) \_\_\_\_\_

How are incoming products transported? \_\_\_\_\_

Do you arrange incoming product transportation? ☐ yes ☐ no

How do you ensure 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 (describe) \_\_\_\_\_

Is a receiving log in place? ☐ yes ☐ no

For bulk products, do you manage the unloading? ☐ yes ☐ no ☐ N/A

**B. IN-PROCESS:**

How are in-process ingredients and products moved around your facilities? \_\_\_\_\_

How do you ensure that in-process transport units are clean prior to loading organic products? \_\_\_\_\_

Is this documented? ☐ yes ☐ no

Are production logs in place? ☐ 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 (describe) \_\_\_\_\_

How are outgoing products transported? \_\_\_\_\_

Do you arrange outgoing product transportation? ☐ yes ☐ no

How do you ensure 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 (describe) \_\_\_\_\_

Are shipping logs in place? ☐ yes ☐ no

For bulk products, do you manage the loading? ☐ yes ☐ no ☐ N/A



**Waste Management****NOP §205.200**

Will any waste products from certified organic ingredients or products be sold as organic? ☐ yes ☐ no

*If yes, be sure to include them on your product list(s) and attach labels and/or product profiles, as applicable.*

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 ☐ constructed wetlands ☐ other (describe) \_\_\_\_\_

**Packaging, Labeling, and Marketing****NOP §205.272(b); §205.300-.309**

**NOP rules require packaging materials that will not contaminate organic products with prohibited substances. Organic product labels must meet NOP and other applicable government 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 (describe) \_\_\_\_\_

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

Are any inputs used at the time of packaging? ☐ yes ☐ no *If yes, list these inputs on page 2 in section C*

**B. LABELING:**

Have all labels been approved by the appropriate regulatory authorities? (e.g. State Dept of Agriculture, etc.) ☐ yes ☐ no

**RETAIL LABELS**

☐ N/A – Wholesale only

In your ingredient statement, is each organic ingredient identified as organic? ☐ yes ☐ no

Do your product label(s) contain the phrase “Certified Organic by OEFFA” or a similar phrase directly below your business information? ☐ yes ☐ no

**WHOLESALE LABELS and NON-RETAIL CONTAINERS\***

☐ N/A – Retail only

*\*Non-retail containers are not just wholesale boxes, they also include totes, bulk bags, trailers, tanks, railcars, shipping containers, vessels, cargo holds, barges, grain elevators, silos, grain bins and other methods of bulk transport or storage*

Do non-retail containers and/or wholesale labels display a lot number, shipping ID, or other unique information that links to handling records? ☐ yes ☐ no

Do non-retail containers and/or wholesale labels display organic status of product? ☐ yes ☐ no

Does audit trail documentation associated with non-retail containers list the last certified entity? ☐ yes ☐ no

*The use of the OEFFA and/or USDA logo(s) is voluntary and both are available from OEFFA in electronic & print form. The use of either seal must be according to NOP regulations and must be pre-approved by OEFFA.*

**Attach full color samples of all current or proposed organic product labels and/or plan for labeling non-retail containers.**

**C. OTHER MARKETING MATERIALS:**

List all other marketing materials and methods used (e.g. Instagram, Facebook, websites, brochures, signs, retail displays):

\_\_\_\_\_  
\_\_\_\_\_

**Attach examples, as applicable.**

**Recordkeeping****NOP §205.103; §205.201(a)(4)**

***NOP standards require that records disclose all activities and transactions of the operation and demonstrate compliance with the NOP regulations. Records must be kept for at least 5 years after their creation. All records must be accessible to the inspector, OEFFA, and the NOP. Audit control records should track finished organic products back to all ingredients and sources. Ingredients represented as certified organic must have supporting documentation.***

**Indicate the types of documents which you use to track organic products at this operation:**

***Incoming:***

- |  |   |   |   |
|--|---|---|---|
| <input type="checkbox"/> purchase orders           | <input type="checkbox"/> contracts                                  | <input type="checkbox"/> receiving records              | <input type="checkbox"/> receipts             |
| <input type="checkbox"/> bills of lading           | <input type="checkbox"/> customs forms                              | <input type="checkbox"/> scale tickets                  | <input type="checkbox"/> quality test results |
| <input type="checkbox"/> certificates of analysis  | <input type="checkbox"/> transaction certificates                   | <input type="checkbox"/> copies of organic certificates | <input type="checkbox"/> invoices             |
| <input type="checkbox"/> receiving summary log     | <input type="checkbox"/> nonorganic ingredient compliance affidavit |   |   |
| <input type="checkbox"/> other ( <i>describe</i> ) |   |   |   |

***In process:***

- |  |  |   |  |
|--|--|---|--|
| <input type="checkbox"/> ingredient inspection forms | <input type="checkbox"/> blending reports          | <input type="checkbox"/> production reports | <input type="checkbox"/> equipment cleanout logs |
| <input type="checkbox"/> sanitation logs             | <input type="checkbox"/> packaging reports         | <input type="checkbox"/> QA reports         |  |
| <input type="checkbox"/> production summary records  | <input type="checkbox"/> other ( <i>describe</i> ) |   |  |

***Storage:***

- ☐ ingredient inventory reports   ☐ finished product inventory reports   ☐ other (*describe*)

***Outgoing:***

- |   |  |  |   |
|---|--|--|---|
| <input type="checkbox"/> shipping log             | <input type="checkbox"/> transport unit inspection forms | <input type="checkbox"/> bills of lading           | <input type="checkbox"/> scale tickets          |
| <input type="checkbox"/> purchase orders          | <input type="checkbox"/> sales orders                    | <input type="checkbox"/> sales invoices            | <input type="checkbox"/> audit control register |
| <input type="checkbox"/> export declaration forms | <input type="checkbox"/> transaction certificates        | <input type="checkbox"/> organic certificates      |   |
| <input type="checkbox"/> shipping summary log     | <input type="checkbox"/> sales summary log               | <input type="checkbox"/> other ( <i>describe</i> ) |   |

**Describe your lot numbering or other unique identifying number system(s)** (for retail and wholesale, as applicable):

**You may use a document flow chart to assist in answering the following questions:**   ☐ attached

**Describe how your recordkeeping system tracks all ingredients through to finished products:**

*Your inspector will conduct a traceability audit.*

**Describe how you track and document the amounts of organic ingredients and products moving through your operation (i.e. ingredient and finished product inventories, batch logs, etc.):**

**Describe how your recordkeeping system can demonstrate balance between organic ingredients in and organic finished product out?**

*Your inspector will conduct a mass balance audit.*

**Is your recordkeeping system effective?**

☐ yes   ☐ no

**Do you keep, or plan to keep, all records for at least 5 years?**

☐ yes   ☐ no

*The NOP requires all operations to implement a fraud prevention plan appropriate to the certified operation's activities, scope, and complexity. Your fraud protection plan must describe your operation's monitoring practices and procedures for preventing fraud and describe your verification process for suppliers, including how organic status documentation is maintained back to the last certified entity in the supply chain. Attach supplemental description of any procedures not captured in this section, and supply chain flow chart, as applicable.*

### **Operation Overview**

**Please check all that apply to your operation:**

- ☐ only handles organic product    ☐ split production (handles conventional product, but different type(s) than organic)
- ☐ parallel production (handles the same type(s) of organic and conventional products)    ☐ exports organic product
- ☐ purchases ingredients or processing aids from uncertified vendors    ☐ imports organic product or processing aids

### **Assessing your Operation for Fraud Vulnerability and Opportunity**

**How do you evaluate vulnerability and opportunities for fraud in your supply chain**

- ☐ conduct supply chain audits    ☐ assess suppliers (relationship, approval program, type of documentation provided)
- ☐ product assessment (geographic origin, demand/supply, available compliance documentation)
- ☐ self-assessment (previous issues, additional certifications, internal guidelines)
- ☐ other: \_\_\_\_\_

**Describe measures used to correct vulnerabilities and minimize risks:**

- ☐ additional scrutiny for high-risk commodities    ☐ SOP for supplier approval    ☐ employee training
- ☐ requiring organic compliance documentation at point of purchase    ☐ SOP for importing    ☐ no suppliers
- ☐ other: \_\_\_\_\_

**What is your process for reporting suspected organic fraud to OEFFA and the NOP?**

**Please review the *Assurance of Organic Integrity* section of your OSP. Does this address points in your supply chain where organic fraud or loss of organic status are most likely to occur?**

- ☐ yes    ☐ no (If no, please explain: \_\_\_\_\_)

### **Supplier Verification**

**Do you verify organic compliance at the point of purchase for all ingredients used in certified organic products?**

- ☐ yes    ☐ no (If no, please explain: \_\_\_\_\_)

**Who is responsible for supplier verification at your operation?** \_\_\_\_\_

**Please check all applicable supplier types you use:**

- ☐ customs or logistics broker    ☐ broker (all others)    ☐ distributor    ☐ manufacturer    ☐ farm    ☐ importer
- ☐ other (describe: \_\_\_\_\_)

**For imported products, please check all documents that you retain:** ☐ N/A

☐ NOP import certificates    ☐ phytosanitary certificates    ☐ transaction certificates    ☐ emergency action notices ☐  
 custom and border protection documents ☐ bill of lading ☐ import permit

☐ other (describe: \_\_\_\_\_)

**What is your plan if something was treated at the border or in transit?**

**How do you ensure that you accept only the amount of imported product authorized on import certificates?**

**For products sourced through uncertified entities, please check all documents you retain:** ☐ N/A

☐ import documentation (see above)    ☐ invoices    ☐ product labels    ☐ organic certificates

☐ transportation documents    ☐ packing list    ☐ exempt operation statement

☐ other (describe: \_\_\_\_\_)

**Do these documents trace back to the last certified entity in the supply chain?** ☐ yes ☐ no

**If imported products are sourced through an uncertified entity, do you have an agreement with them to pass along any documentation of treatment that occurs at the border or in transit?** ☐ yes ☐ no ☐ N/A

**Please list any additional steps you take to verify suppliers:**

**Is your fraud prevention plan effective?** ☐ yes ☐ no

**Describe monitoring practices and verification tools used to assess the effectiveness of your Fraud Prevention Plan:**

☐ internal audits    ☐ supplier audits    ☐ record monitoring    ☐ product testing

☐ other: \_\_\_\_\_

**Affirmation****NOP §205.400; §205.403(a)(1-2); §205.662(g)(1-2)**

I affirm that all statements made in this application are true and correct to the best of my knowledge. I agree to comply with the Act and applicable organic production and handling regulations of this part (Section 7, Part 205 – National Organic Program). I also agree to abide by OEFFA Certification Policies & Procedures. I will submit my updated Organic System Plan Update annually with applicable fees and supply all additional information requested within the required timeframe. I will notify OEFFA Certification in writing if any of the information pertaining to my organic operation changes. I understand that my operation may be subject to unannounced inspection and/or sampling for residues at any time, as deemed appropriate by OEFFA Certification and as required by the National Organic Program, to determine continued compliance with the Act. I understand that OEFFA Certification may share information concerning the certification of my operation with the USDA National Organic Program and/or other USDA Accredited Certifying Agents, as necessary. I will maintain all records applicable to my organic operation for at least 5 years beyond their creation and allow OEFFA Certification and the USDA National Organic Program access to these records during normal business hours. I have reviewed the information pertaining to Violations of the Act at §205.662(g)(1)-(2). I will defend, indemnify and hold harmless OEFFA Certification, its Trustees, and personnel, from any and all claims, injuries, damages, losses or suits including attorney fees, arising out of or in connection with the performance of certification services, except for injuries and damages caused by the sole negligence of OEFFA Certification. I understand that acceptance of an Organic System Plan in no way implies granting of certification by OEFFA Certification.

Signature of Operator \_\_\_\_\_

Date \_\_\_\_\_

Printed Name \_\_\_\_\_

**Mailing Information****I have attached the following documents (as applicable):***\*If sending hard copies of additional documents, please send single sided\**

- ☐ Pest management map of traps and monitors (may be combined with facility map)
- ☐ Product labels for each new or changed product requested for certification (in full color)
- ☐ Organic product profiles for each new or changed multi-ingredient product
- ☐ List of all non-organic products produced by this operation
- ☐ Water test
- ☐ Standard Operating Procedure(s) (SOPs) pertaining to organic products
- ☐ Organic Control Point (OCP) program
- ☐ Boiler treatment product labels and MSDS
- ☐ Sanitation product labels and MSDS
- ☐ Pest control product labels and MSDS
- ☐ Processing aid labels and MSDS

**Submit completed forms, fees, and supporting documents to:**  
**OEFFA Certification**  
**41 Croswell Road**  
**Columbus, OH 43214-3062**

**Fax: (614) 421-2011 E-mail: [organic@oeffa.org](mailto:organic@oeffa.org)**

**Keep a copy of everything you send to OEFFA for your records.**

**Please Note:** *An incomplete application will delay the certification process and may result in an additional fee. Please double check that you have completed this form.*

If you have any questions about how to complete this form, please contact us:

Phone: (614) 262-2022 Fax: (614) 421-2011 E-mail: [organic@oeffa.org](mailto:organic@oeffa.org) OR write to the address above