



Organic Handler & Processor System Plan

This form should be filled out by operations that participate in handling unpackaged organic products and /or participate in processing activities. Processing activities include brokering, distributing, and making multi-ingredient products. Also considered to be a processing practice: slaughtering, smoking, fermenting, grinding, crushing, canning, freezing, dehydrating, and co-packing organic products.

Important Note: The organic system plan (OSP) is how you plan to handle and process products organically. You may change and update your organic system plan throughout the year.

Examples of changes to an OSP include, but are not limited to additional products, new labels, new suppliers, new locations, new sanitizers and ingredients, and changes in legal status.

All changes must be approved by Yolo Certified Organic Agriculture prior to implementation.

OSP plan updates can be submitted to: michelle.lawson@yolocounty.org or agriculture@yolocounty.org

Section 1: General Information				NOP Rule 205.406(a)(2) and 205.401(b)	
Name		Business Name		Type of Products	
Address		City		For office Use Only	
State		Postal/Zip Code		Date received	
		Country		Date reviewed	
				Reviewer	
Phone		Fax		E-mail	
Legal Status: <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Trust or non-profit <input type="checkbox"/> Corporation <input type="checkbox"/> Cooperative <input type="checkbox"/> Legal Partnership (federal form 1065) <input type="checkbox"/> Other _____				Organic certification number	Organic Registration number
Year first certified	List previous organic certification by other agencies:	List current organic certification by other agencies:	Have you ever been denied certification? <input type="checkbox"/> Yes <input type="checkbox"/> No		
If Yes, describe circumstances:					

<p>Do you understand current NOP organic standards? <input type="checkbox"/> Yes <input type="checkbox"/> No</p>	<p>Do you have access to the National Organic Program (NOP)? <input type="checkbox"/> Yes <input type="checkbox"/> No Link to the NOP standards: http://www.ams.usda.gov/rules-regulations/organic If unable to access organic standards electronically, contact your certifier</p>
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Were there any non-compliances or areas of needed improvement from the last annual inspection?

Yes **No** **Not Applicable**

How were these issues resolved?

Yolo Certified Organic Agriculture (YCOA) will review websites and other social platforms. Organic claims on websites and other social platforms must not be misleading and must comply with NOP regulations. Products sold on websites must be listed in organic system plan, and all labeling must be approved by YCOA prior to entering the marketplace.

Does your company have a website address? Yes No

If yes, please list website address:

Does your company participate in third-party on-line marketing platforms, such as Amazon?

Yes No

If yes, please list platforms:

If yes, please list products sold:

Section 3: Organic Export

Contact your certifier if your company plans to export. United States has developed equivalency arrangements with some of the countries listed below. Learn more about each partnership www.ams.usda.gov/NOPIInternationalAgreements

Do you plan to export products to foreign markets? Yes No

If yes, which countries

EU

European Union recognizes one labeling claim: "Organic". Ingredients from organic apples and pears must be produced without antibiotics. Bulk products must be accompanied by a lot number, import certificate required. Labeling must be approved by certifier

Japan

Japan recognizes one claim: "Organic". Wholesale containers must contain identity of product, certifier, and lot number. Labeling must be approved by certifier. Japanese organic logo is required, and a JAS certified importer must apply the seal, unless the organic operation has a JAS-labeling contract with a JAS certified importer.

Taiwan

All processed products must have attestation statement: "Organic products were processed using zero prohibited substances"

Republic of Korea

All processed products must contain at least 95% organic ingredients. Apple and Pear products cannot be produced using antibiotics. Labeling must be approved by certifier. NAQS import certificate required.

Switzerland

Switzerland recognizes one claim: "Organic". Wholesale containers must contain identity of product, certifier, the term "organic", and lot numbers or other traceability information. Labeling must be approved by certifier.

Canada

All agricultural ingredients in processed products must have been produced without the use of sodium nitrate. Labeling must be approved by certifier. Canada does not permit a "100% Organic" claim; the U.S. "Made with" claim for products containing 70-95% organic ingredients is treated as a percentage claim.

Mexico

Operations will need be certified to the Mexico organic standard- this applies if you are handling and processing in Mexico, or exporting processed products into Mexico

Other _____

Section 4: Organic Imports

The U.S. has established trade partnerships with the following international countries.

Do you plan to import organic products into the United States? Yes No

If yes, which countries do you plan to import products from. please check box below

European Union

Please attach NOP Import Certificate and organic certificate completed by an EU-authorized certification body to the organic systems plan

Republic of Korea

Please attach NOP Import Certificate and an organic certificate completed by a Ministry of Agriculture, Food and Rural Affairs (MAFRA)-accredited certification body.

The NOP Import Certificate must state, "Certified in compliance with the terms of the US-Korea Organic Equivalency Arrangement."

Japan

Please attach NOP Import Certificate and organic certificate completed by a JAS-authorized certifier

Taiwan

Switzerland

Please attach an NOP Import Certificate and an organic certificate completed by a Swiss-authorized certification body

Canada

Please attach documentation, such as an affidavit or organic certificate that states, "Certified in compliance with the terms of the US-Canada Organic Equivalency Arrangement."

Other _____

Products from countries not listed specifically must be certified to USDA standards.

Please describe your business practices and procedures, including frequency with which they will be performed. If applicable, attach business plan.

Is your operation

- Organic only
 Split operation, both organic and conventional products handled/processed

If your operation is a split operation, do you handle/ process identical products? Yes No

If yes, identify products:

Please check all that apply to your operation:

- Processor of multi-ingredient products Processor of single ingredient products
 Handler of multi-ingredient products Handler of single ingredient products

Describe production line process. Attach flow chart for each production type. Not applicable

If processing is not applicable, describe the handling process.

Provide a map for each processing, handling, and storage area. Attached

For multi-ingredient products, are product profiles attached for all products to be sold with an organic claim?

- Yes No
 Not applicable

Indicate how you plan to market organic products

- Wholesale Retail Other (please specify)
 Not applicable. Handler Only

Does your company co-pack organic products for other companies? Yes No

If yes, please list

PRODUCT	BRAND	CONTRACT COMPANY
Lentil Soup (example)	John's Organic Kitchen (example)	MSA Distributors (example)

Private labels: Does your business co-pack into another company's private label brand? Yes No

If yes, please list all private label products:

Is YCOA's name or seal used in association with the private label owner? Yes No

If yes, please provide private label owner contact information:

Private label owner	Contact information (address, email, telephone)

Please attach for all products processed and / or copacked:

- label
 Product Profile
 Ingredient & Supplier list
 Organic certificate for ingredients & supplier

If you are processing a product for another company, you must submit the product information prior to distribution.

For handlers that do not process, repack, or label organic products:

What type of handling does your company provide?

- Broker
 Wholesaler
 Distributor
 Trader
 Other (specify)

Are your suppliers certified organic? Yes No Mixed

If yes, attach organic certificate to the OSP. All organic certificates must be dated within the last 12 months.

Please list all suppliers below. Use attachments as needed.

Manufacturer/ Supplier	Product supplied	Packaging Associated with product
ABC Farms (example)	Wheat Grain (example)	Unpackaged (example)
	<input type="checkbox"/> Organic <input type="checkbox"/> 100%Organic	
	<input type="checkbox"/> Organic <input type="checkbox"/> 100%Organic	
	<input type="checkbox"/> Organic <input type="checkbox"/> 100%Organic	
	<input type="checkbox"/> Organic <input type="checkbox"/> 100%Organic	
	<input type="checkbox"/> Organic <input type="checkbox"/> 100%Organic	
	<input type="checkbox"/> Organic <input type="checkbox"/> 100%Organic	

The NOP standard requires organic operations to maintain records that can trace back to the receipt of ingredients.

Packaging materials must not contain synthetic fungicides or preservatives or fumigants. Reused bags or containers must be cleaned before use. All cleaning procedures must be documented.

List transportation methods, used in your handling/ processing operation:

Are organic products identified on production records? Yes No

Is an internal lot code assigned at the time of receipt of organic crops, products, or ingredients?
 Yes No

If yes, describe internal lot code for each ingredient

Describe your lot numbering system.

How does the internal lot codes correspond with lot numbering system?

How is your lot number connected to outgoing shipments?

Please indicate which production records are maintained by your company:

- | | | |
|--|---|--|
| <input type="checkbox"/> Batch Recipes | <input type="checkbox"/> Shift production log | <input type="checkbox"/> Ingredient inventory report |
| <input type="checkbox"/> Product specification sheet | <input type="checkbox"/> Weigh tags | <input type="checkbox"/> Ingredient usage report |
| <input type="checkbox"/> Bill of lading | <input type="checkbox"/> Sales invoice | <input type="checkbox"/> Clean truck affidavit |
| <input type="checkbox"/> Shrinkage log | <input type="checkbox"/> Waste log | <input type="checkbox"/> Purchase orders |
| <input type="checkbox"/> other (specify) | | |

If a split operation, how do you identify organic products, and prevent unintentional comingling with conventional products?

- Use of pallets
 "Organic " markings
 Separate storage area
 Shrink wrap packaging
 Other (specify)_____

If a split operation, are employees who handle organic materials trained in the differences between conventional and organic products? Yes No Not applicable

If yes, is this training documented? Yes No

Do you have a plan in place to address areas of potential comingling and contamination? Yes No
 If yes, describe or attach plan

What type of packaging is used for your product? Bags Cans Boxes
 Other (specify) _____

Are incoming organic products or ingredients stored before processing or packaging? Yes No

If Yes, complete the table below with the details regarding storage of incoming products and ingredients.

Incoming Organic Product or Ingredient	Location and Name of Storage Area	Type and Capacity of Storage

Indicate how often you take inventory of incoming products and/or raw ingredients?

- Monthly
 Quarterly
 Annually
 other (specify)

How do you label storage containers? "Organic" Certifiers logo Lot number
 Other (specify)

Please attach copies:

Not Applicable

Wholesale Labeling

Retail Labeling

Other (specify)

Have any revisions been made to existing labels?

Yes No

Have all labels been submitted to certifier for review?

Yes No

Do other distributors and brokers handle your product? Yes No

Do you maintain ownership of the product that is handled by other distributors or brokers? Yes No

If yes, list other handlers and attach their certificate to the OSP:

Handler	Certifier

In order for the final product to be marketed as certified organic, all handlers in the chain must also be certified organic

Section 8: Comingling and Contamination Prevention: Cleaners and Sanitizers

NOP 205.272

Cleaners and sanitizers are an important component of food safety. The NOP rule requires that handling practices and procedures present no contamination risk to organic products from contact with prohibited substances, this includes sanitizers and cleaners.

Note that many cleansers and sanitizers require intervening steps to ensure that products do not come into contact prohibited material. Clearly describe what intervening steps you take to ensure no residues from cleansers or sanitizers remain on equipment. These steps may include, but are not limited to, use of non-residual materials, potable water rinses, evaporation, residue testing.

Note that any material on the National list may be used in direct contact with organic products without an intervening step.

For chlorine based products, manufacturer’s instructions are to be followed, particularly with regard to sanitizer concentration.

All equipment and food contact cleaning must be documented and records available at inspection.

Equipment/Surface	Cleanser/Sanitizer Used	Intervening Step	Name of document cleaning is recorded on
Batch mixer (example)	Quaternary ammonium (example)	Residual test strips (example)	Production log (example)
Belts (example)	Ozone (example)	None required (example)	Clean out log (example)

List all equipment, including transportation methods, used in your handling/ processing operation:

Check all methods taken to prevent sanitizers and other nonorganic residues from remaining on contact surfaces and processing equipment?

- Sweeping Sanitizing Soap and water Compressed Air Purging
 Vacuum Testing Other _____

All intervening methods must be documented.

Section 9: Comingling and Contamination Prevention: Processing Aids and Direct food contact

NOP 205.201(a) (2); 205.272; 205.605

Provide information regarding the input materials you plan to use. Any materials used prior to notification and agreement with Yolo Certified Organic Agriculture (YCOA) will result in compliance action.

Direct Food Contact – A post-harvest material is a substance that is used on a raw organic crop prior to packaging or processing of the crop. These direct food contact materials include sanitizers and floatation agents. In order to use a direct contact material with an organic crop, the material must be an approved natural product or must be listed in the National Organic Program (205.601, 205.605, 205.606).

• **Processing Aids – A processing aid is:**

- 1) added during processing, but removed from product before it is packaged in its finished form;
- 2) a substance that is added during processing, converted into constituents normally present in, and does not significantly increase the amount of the constituents naturally found in the food; or
- 3) a substance that is added for its technical or functional effect in the processing, but is present in the finished food at insignificant levels.

In order to use a processing aid in or on a product labeled “100% Organic,” the processing aid must be certified organic. In order to use a processing aid in or on a product labeled as “Organic,” the material must be listed in the National Organic Program on the National List §205.605, .606.

List all processing aids that come into contact with organic products. None used

All processing aids records will be reviewed during annual inspection

Brand name (SIC 101 Defoamer)	Generic Name (defoamer)	Manufacturer (Specialty Industrial Chemical, Inc)	Purpose (processing fruit)	Is this material OMRI/ WSDA approved, or on the National List? If approved, submit documentation

Is Citric acid used as a processing aid? Yes No
If yes, Citric acid must be produced by microbial fermentation of carbohydrate substances, and has not been synthesized using prohibited methods (Non-GMO, irradiation and the use of sewage sludge)
Please attach documentation to OSP.

Is water used in processing? Yes No

If yes, describe how water is used:

Is water used as an ingredient? Yes No

Source of water: Municipal On-site well Other _____

Does water meet the requirements of the Safe Drinking Water Act? Yes No

Is water tested? Yes No **If yes, attach results**

How often is water tested? Weekly Monthly Annually Other _____

Are any on-site water treatment processes used? Yes No

If yes, are treatments used documented in Section 8 of the OSP? Yes No

Is chlorine, calcium, hypochlorite, chlorine dioxide, or sodium hypochlorite used in wash water or flume water at your facility? Yes No

If Yes, how often do you monitor or test discharge or effluent water to ensure the residual chlorine level is at or below 4ppm (the maximum chlorine residual limit under the Safe Water Drinking Act)?

Daily Weekly Monthly Quarterly Annually

Other (specify):

Please describe how you document the results of your monitoring or testing:

Is steam used in the packaging of food products? Yes No

Is steam used in the processing of food products? Yes No

Are boiler water additives used during food handling or processing? Yes No

If yes, please list all additives

Name of Boiler Water Additive	Manufacturer Information

Please attach label and SDS for each material used during organic processing and handling.

What type of boiler system does your operation utilize? Closed system Open system

Describe the system

Are additives used in the boiler on the National List? Yes No

If no,

Does steam come into direct contact with organic products? Yes No

If yes, describe how you prevent prohibited volatile boiler additives from contaminating organic products:

If Yes, check all that apply to your operation:

- Steam filters Condensate traps Testing of condensate Clean out and purge
 other (specify)

Operators must have documentation available on-site to show that volatile materials do not carry over into the steam.

Documentation will be verified during annual inspection.

Nonorganic ingredients are allowed when they are not available commercially; however, the nonorganic ingredient must be listed on the national list of allowed substances (NOP 205.605; 205.606).

Products that contain nonorganic ingredients that are not on the National List cannot be marketed as organic

For nonorganic ingredients on the National List, please document and describe your search that verifies the commercial unavailability of the product. Not Applicable

Describe and attach all records that document your search.

For nonorganic ingredients, is the ingredient listed in NOP National List? Yes No

Is salt used as an ingredient? Yes No

If yes, you must provide documentation that salt added to products does not contain prohibited flow or anti-caking agents.

Indicate how often you will obtain updated verification that the salt in your product complies.

Not applicable, no salt used

Monthly

With each shipment of salt

Quarterly

Annually

Is Citric acid used as an ingredient? Yes No

If yes, Citric acid must be produced by microbial fermentation of carbohydrate substances, and has not been synthesized using prohibited methods (Non-GMO, irradiation and the use of sewage sludge)

Indicate how often you will obtain updated verification that the citric acid in your product complies.

Not applicable, no citric acid used

Monthly

With each shipment of citric acid

Quarterly

Annually

Attach verification to OSP.

Producers and handlers of an organic facility must use management practices to prevent pests. If preventative practices are not effective, materials on the national list may be used. If materials on the national list are not effective, a synthetic product may be used provided that the handler and certifier agree on the material used and the measures to be taken to prevent contamination of organic products.

What types of pests are problems in your facility?

Who is responsible for pest control measures?

What preventative pest control measures do you use?

- Good Sanitation
 Screens
 Removal of breeding areas
 Controlled environment (humidity, temperatures)
 Perimeter inspections
 Repair of holes, cracks
 Other _____

What pest control measures do you take?

- Mechanical traps
 Sticky traps
 Zappers
 Light traps
 Freezing
 Pheromone traps (lures may not come in contact with organic products)
 Other _____

Pest Control Materials

Materials	Brand Name	Manufacturer	Location

Were preventative practices effective? Yes No

Were materials used on the National List effective? Yes No

Were materials not listed on the National List used? Yes No

If yes, justify the use of non-listed materials:

Section 13: Labeling and Product Composition – “100% Organic”**NOP 205.301(a); 205.303(a) (b)**

Products sold or labeled as “100% organic” must contain by weight or fluid volume, 100% organically produced ingredients (excluding water and salt). There are specific labeling requirements for products that are labeled 100% organic. Products must have the term “organic” to identify ingredients in multi-ingredient products. The USDA seal and/or the logo of the certifying agent may be displayed on the product label, as well as the statement “Certified organic by*****” beneath the distributor. **A product profile must be submitted for each product. All labels must be approved by certifier prior to their use. Attach all product profiles and labels to OSP.**

 Not Applicable

List all products to be identified and labeled as “100% organic”:

If applicable, have processing aids been documented in the OSP? Yes NoHas a product profile been completed for each product? Yes No

If No, please obtain a product profile from your certifier.

Has your label been submitted to your certifier for approval? Yes No**Section 14: Labeling and Product Composition - “Organic”****NOP 205.301(b); 205.303 (a) (b)**

Products sold or labeled as “organic” must contain by weight or fluid volume, **not less than 95%** organically produced ingredients (excluding water and salt). The remaining 5% of the product must be ingredients listed on the National List or be ingredients that are not commercially available as “organic”. There are specific labeling requirements for products that are labeled “organic”. Products must have the percentage of organic ingredients in the product on the display panel, as well as the term “organic” to identify ingredients in multi-ingredient products. The USDA seal and/or the logo of the certifying agent may be displayed on the product label, as well as the statement “Certified organic by*****” beneath the distributor. **A product profile must be submitted for each product. All labels must be approved by certifier prior to their use. Attach all product profiles and labels to OSP.**

 Not Applicable

List all products to be identified and labeled as “organic”:

If applicable, have processing aids been documented in the OSP? Yes NoHas a product profile been completed for each product? Yes No

If No, please obtain a product profile from your certifier.

Has your label been submitted to your certifier for approval? Yes No

Section 15: Labeling and Product Composition - "Made with Organic"

NOP 205.301 (c) ;205.304

Products sold or labeled as "made with organic" must contain by weight or fluid volume, **not less than 70%** organically produced ingredients (excluding water and salt). The remaining 30% of the product must be made with ingredients produced by acceptable methods. There are specific labeling requirements for products that are labeled "made with organic". Products must have the statement "made with organic" on the display panel, the percentage of organic ingredients in the product, and the term "organic" to identify ingredients in the ingredient statement. The logo of the certifying agent must be displayed on the product label, as well as the statement "Certified organic by*****" beneath the distributor.

**A product profile must be submitted for each product. All labels must be approved by certifier prior to their use.
Attach all product profiles and labels to OSP.
The USDA seal may not be used on the label.**

Not Applicable

List all products to be identified and labeled as "Made with organic":

If applicable, have processing aids been documented in the Section 4 of the OSP? Yes No

Has a product profile been completed for each product? Yes No

If No, please obtain a product profile from your certifier.

Has your label been submitted to your certifier for approval? Yes No

Section 16: Labeling and Product Composition - "Less than 70%"

NOP 205.301 (d); 205.305

Products sold or labeled with **less than 70%** organically produced ingredients by weight or fluid volume (excluding water and salt) also have particular labeling requirements. All organic ingredients must be produced organically. Products must have the percentage of organic ingredients in the product, and the term "organic" to identify ingredients in the ingredient statement. **The USDA seal and certifier's logo and statement may not be used on the label.**

Not Applicable

List all multi-ingredient products:

If applicable, have processing aids been documented in the OSP? Yes No

Has a product profile been completed for each product? Yes No

If No, please obtain a product profile from your certifier.

Has your label been submitted to your certifier for approval? Yes No

**Section 17: Labeling and Product Composition – Livestock Feed
("100% organic" & "organic")**

NOP 205.301 (e) (2); 205.306

Products sold or labeled as "100% organic" must contain by weight or fluid volume, 100% organically produced ingredients (excluding water and salt). Products sold as "organic" must be produced in accordance with NOP 205.237. **The use of hormones, plastic pellets, urea, manure or slaughter by-products in feed formulas is prohibited.** Livestock feed labeling requirements include: "Organic or 100% Organic" statement, the USDA seal, the certifier's logo, "organic" identifier on ingredient statement, and "Certified organic by*****" statement beneath distribution information.

Not Applicable

List all products to be identified and labeled as "100% organic":

If applicable, have processing aids been documented in the OSP? Yes No

Has a product profile been completed for each product? Yes No

If No, please obtain a product profile from your certifier.

Has your label been submitted to your certifier for approval? Yes No

Section 18: Record Keeping System**NOP Rule 205.103**

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. All records must be accessible to the inspector. A certified operation must maintain records that fully disclose activities and transactions in sufficient detail as to readily be understood and audited.

- input records for pest control products (keep all labels)
- input records for sanitizers and cleaners (keep all labels)
- input records for ingredients and processing aids (keep all labels)
- residue analyses of inputs (i.e., chlorine, sanitizers)
- monitoring records (soil tests, tissue tests, water tests, quality tests, observational)
- equipment cleaning records
- storage records that show storage location, storage identification, field numbers, amounts stored, and cleaning activities
- clean transport records
- sales records (purchase order, contract, invoice, cash receipts, cash receipt journal, sales journal, etc.)
- Department of Public Health organic registration
- organic certificates (producers and handlers)
- audit control summary
- complaint log
- other (please specify) _____

Maintain all records for 5 years

Section 19: Affirmation**NOP 205.400**

- I affirm that all information in this organic systems plan (OSP) is true and accurate to the best of my knowledge
- I have reviewed the National Organic Standards (NOP) and will ask the certifying agent to clarify any standards that are not understood
- I agree to implement the OSP, and will notify the certifier of any change in my certified operation that may affect its compliance with the NOP
- I agree to maintain all records applicable to my organic operation for not less than 5 years beyond their creation and the certifier shall have access to all records maintained
- I agree to submit applicable fees charged according to the fee schedule by the certifying agent
- I have made copies of this questionnaire and other supporting documents for my own records.

Signature of Operator _____

Date _____