

STATE OF COLORADO
DEPARTMENT OF AGRICULTURE
 700 Kipling Street, Suite 4000
 Lakewood, Colorado 80215-8000
 303-239-4139

Division of Plant Industry
Organic Certification Program

Organic Process/Handling Plan Questionnaire

QUESTIONNAIRE MUST BE FULLY COMPLETED AND TYPED OR IN INK

SECTION 1: General Information							
Applicant/Company Name							
Owner			Manager		Primary contact person		
Address				City	State	Zip code	County
Mailing Address				City	State	Zip code	
Phone				Fax	E-mail		
Preferred dates and times for inspection visit: <input type="checkbox"/> morning <input type="checkbox"/> afternoon							
Year company began		Number of employees	Name of person overseeing organic production			Do you understand current organic standards? <input type="checkbox"/> yes <input type="checkbox"/> no	
Do you have an employee-training program for organic product processing/handling? <input type="checkbox"/> yes <input type="checkbox"/> no			Government permits/inspections			Year first certified	
List previous organic certification by other agencies				List current organic certification by other agencies			
Year when complete Organic Process/Handling Plan Questionnaire was submitted:							
List all conditions from last year's certification and state how the conditions have been addressed: <input type="checkbox"/> No Conditions							
Have you ever been denied certification? <input type="checkbox"/> yes <input type="checkbox"/> no Do you have any outstanding noncompliances? <input type="checkbox"/> yes <input type="checkbox"/> no		If yes, describe the circumstances:					
Type of processing/handling							
List your contract vendors: <input type="checkbox"/> No contract vendors							
CONTRACT VENDOR		ADDRESS			PHONE NO.	CERTIFIED BY	

Estimated annual total production: _____% organic _____% conventional

List or attach a list of all products produced by your company:

List all products requested for organic certification. Attach an Organic Product Profile for each individual product.

SECTION 2: Material Inputs

Organic standards require that all primary ingredients be certified organic unless they are not available. Salt and water are not considered ingredients. Non-organic ingredients and processing aids must be listed as Approved on the Materials List. You also need to show efforts to obtain certified organic ingredients whenever possible. No genetically engineered ingredients or processing aids are allowed.

A. INGREDIENTS:

Fill out Organic Product Profiles for all organic products requested for certification.

Are any non-organic ingredients listed as: restricted materials? yes no

Check if any non-organic ingredients have been processed with or exposed to the following:

irradiation genetic engineering fumigation petroleum distillates synthetic solvents

B. PROCESSING AIDS:

None used

List all processing aids used in the production of certified organic products: _____

How/why are they used? _____

Are any processing aids listed as: restricted materials? yes no prohibited materials? yes no

Check if any processing aids have been processed with or exposed to the following:

irradiation genetic engineering fumigation petroleum distillates synthetic solvents

C. WATER:

Organic standards require that water meet potable water standards. For products that use culinary steam, boiler additives may not contaminate the organic products.

Check ways water is used in processing:

None used

ingredient processing aid cooking cooling product transport cleaning organic products

cleaning equipment other _____

Source of water: municipal on-site well other _____

Is the water potable? yes no Attach copy of water test, if applicable.

List any known water contaminants: _____

SECTION 4: Assurance of Organic Integrity

Organic standards require that procedures, processes, storage and equipment present no contamination risk to organic products from co-mingling with other non-organic products, sanitation products or pest management products. Procedures used to maintain organic integrity must be documented. Attach documentation with application.

SECTION 5: Audit Control System

Organic standards require that audit control records track finished organic products back to all ingredients. Ingredients must be verified as certified organic. Amounts of organic finished products must balance with certified organic ingredients purchased. All relevant documents must identify products as "organic."

Number, in the order of use, the types of documents which you use to track organic products at this operation:

Incoming:

- purchase orders contracts invoices receipts
- bills of lading Customs forms scale tickets quality test results
- Certificates of Analysis Transaction Certificates copies of Organic Certificates
- receiving records receiving summary log (12 mos.)
- other _____

In process:

- ingredient inspection forms blending reports production reports equipment cleanout logs
- sanitation logs packaging reports QA reports
- production summary records (12 mos.)
- other _____

Storage:

- ingredient inventory reports finished product inventory reports
- other _____

Outgoing:

- shipping log transport unit inspection forms bills of lading scale tickets
- purchase orders sales orders sales invoices phytosanitary
- export declaration forms Transaction Certificates copies of Organic Certificates certificates
- shipping summary log sales summary log audit control register
- other _____

Describe your lot numbering system: _____

Does your record keeping system track the finished product back to all ingredients? yes no
Does your record keeping system balance organic product in and organic product out? yes no

SECTION 6: Quality Assurance

Do you have a QA program in place? yes no

If yes, what program do you use? _____

Are any outside quality assessment services used? yes no

If yes, name of company: _____

Product testing: (check all applicable categories)

ingredients prior to purchase ingredients upon receipt during production finished product

Are ingredient samples retained? yes no If yes, how long? _____

Are finished product samples retained? yes no If yes, how long? _____

Do you have a product recall system in place? yes no

SECTION 7: Sanitation

Organic standards require that good sanitation practices are used throughout the facility and that residues from cleaning materials do not contaminate organic products.

Check all cleaning methods used:

sweeping scraping vacuuming compressed air manual washing clean in place (CIP)

steam cleaning sanitizing other _____

Provide information on your cleaning program and products used:

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

Are all surfaces which contact organic products food grade? yes no

Do you test food contact surfaces or rinsate for cleanser/sanitizer residues? yes no

Do you use a final clear water rinse? yes no

Where are cleaning/sanitizing materials stored? _____

Attach MSDS and/or label information for cleansers and sanitizers, if applicable.

SECTION 8: Pest Management

A: GENERAL INFORMATION:

What type of pest management system do you use? in-house: name of responsible person _____
 contract pest control service (name, address, phone no.) _____

Check all pest problems you generally have: flying insects crawling insects spiders birds rats mice
 other _____

B: CHECK ALL PEST MANAGEMENT PRACTICES YOU USE:

- good sanitation removal of exterior habitat/food sources cleanup of spilled product
- exclusion sealed doors and/or windows repair of holes, cracks, etc. screened windows, vents, etc.
- physical barriers sheet metal on sides of building exterior mowing air curtains air showers
- positive air pressure in facility monitoring ingredient inspection for pests
- inspection zones around interior perimeter ultrasound/light devices release of beneficials sticky traps
- electrocutors pheromone traps mechanical traps scare eye balloons freezing treatments
- heat treatments vacuum treatments carbon dioxide nitrogen vitamin baits
- pyrethrum ryania rotenone boric acid disodium octal tetrahydrate diatomaceous earth
- precipitated silica fumigation fogging crack and crevice spray
- other _____

C. PESTICIDE USE INFORMATION FOR THE LAST 12 MONTHS: (Attach copies of product labels)

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

Are any products used which are prohibited by organic standards? yes no

Can any pest control products come into contact with any organic ingredients, finished organic products, or packaging materials? yes no If yes, describe your protocols to prevent contamination: _____

If pesticides are used, where are they stored? _____

Is your structural pest management system effective? yes no

Attach facility map showing location of traps and monitors. Attach MSDS and/or label information, if applicable.

SECTION 9: Packaging and Labeling

Organic standards require that packaging materials are free of prohibited substances and must not contaminate the organic product. Organic product labels must meet certification agency and 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 _____

Are all packaging materials food grade? yes no

Are all packaging materials free of prohibited materials? yes no

B. LABELING:

Describe the information provided on labels of all organic products: Attach samples of all organic product labels:

Do you plan to use the certification agency seal on the label? yes no

Do you identify the Colorado Department of Agriculture as your certifier? yes no

SECTION 10: Storage

Organic standards require that no co-mingling or contamination of organic products occur during storage. All storage sites must be properly documented and organic products clearly identified in storage. Off-site storage areas may need to be inspected and certified.

STORAGE INFORMATION:

USE	LOCATION	TYPE/ CAPACITY	DEDICATED ORGANIC?		IDENTIFICATION
			YES (Y)	NO (N)	
Ingredient storage					
Packaging material storage					
In-process storage					
Finished product storage					
Off-site storage*					

* If there is off-site storage, give name, address, phone number and contact person: _____

SECTION 11: Transportation of Organic Products

Organic standards require that the integrity of organic products be preserved during transport.

A. INCOMING:

In what forms are incoming products received? dry bulk liquid bulk tote bags tote boxes metal drums
 cardboard drums paper bags foil bags other _____

How are incoming products transported? _____

Do you arrange incoming product transportation? yes no

How do you 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 _____

B. IN-PROCESS:

How are in-process products transported? _____

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

Is this documented? yes no

C. OUTGOING FINISHED PRODUCT:

In what form are finished products shipped? dry bulk liquid bulk tote bags tote boxes paper bags

foil bags metal drums mesh bags cardboard drums cardboard cases plastic crates

other _____

How are outgoing products transported? _____

Do you arrange outgoing product transportation? yes no

How do you 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 _____

SECTION 13: Waste Management

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

If yes, complete Organic Product Profile for each product.

Check all aspects of your waste management system that apply: on-site dumpster material recycling

water recycling water filtering smokestack filters composting daily pickup of waste sediment ponds

field application of waste other _____

SECTION 14: Affirmation

I affirm that all statements made in this application are true and correct. I understand that the facility may be subject to unannounced inspection and/or organic products sampled for residues at any time. I agree to follow all the applicable organic standards set forth in the National Organic Program regulations, 7 CFR Part 205.

Signature of Owner/Manager _____ Date _____

The business is operating as a:

- Sole Proprietorship
- Partnership
- Corporation Date Incorporated: _____
- Other Describe: _____

List the person(s) authorized to receive and accept service of summons and legal notices of all kinds for the applicant in the state of Colorado.

Name: _____ Title: _____

Complete Address: _____

I have attached the following additional documents:

- product flow chart**
- facility map**
- Organic Product Profiles**
- pest management map of traps and monitors**
- water test**
- appropriate MSDS, if applicable**
- organic product labels**