Natural Food Certifiers

Applicant/Company Name: | **Date:**

Organic System Plan – Recordkeeping and Monitoring

The NOP final rule require that operations maintain records that disclose all of the activities of the operation and all transactions undertaken. The records must be maintained in a form that makes them easy to understand and audit. The records must be maintained for a minimum of 5 years. The records must demonstrate compliance with the NOP final rule and be made accessible to NFC, the USDA and NFC inspectors. Organic products must be capable of being traced back to the date processed and the ingredient provider.

1. Records Maintained

Please list all records maintained by the operation:

☐ Certificates and Ingredient affidavits	☐ Ingredient invoices and BOL	☐ Receiving Records	
☐ Ingredient COA	☐ Ingredient and Input PO	☐ Ingredient Inventory record	☐ QA Reports
☐ In Process Product Inventory	☐ Batch Sheets	☐ Product Run Records	☐ Cleaning Logs
☐ Discards and Rework Summary	☐ Packing Reports	☐ Finished product inventory	☐ Shipping records
☐ Sales invoices/receipts			
☐ Equipment cleaning log	☐ Transport cleaning log	☐ Storage cleaning log	
☐ Pest observation records	☐ Notice of organic requirements to transporters	☐ Pest control application records	
☐ Complaint log	☐ Employee training material		
☐ Incoming ingredient lot number	☐ Finished product lot numbers	☐ Real time inventory	
☐ Supplier traceability records	☐ Approved ingredient supplier list	☐ Approved sanitizer and cleaner list	
☐ Approved pest control product list	☐ Approved SKU list	☐ Contracts	
☐ NOP final rule	☐ Approved handling plan		

How long do you keep records for?

Please describe how your internal records (see definition below) identify ingredients/products as organic:

Please describe how you identify the organic category status of organic products on all external records (see definition below):

2. Ingredient Traceability

Can the recordkeeping system trace back finished product back to the supplier's ingredients?	☐ Yes	☐ No
Can the recordkeeping system verify organic status throughout the process?	☐ Yes	☐ No
Do you distinguish your record keeping between certified organic & non-certified products?	☐ Yes	☐ No
Can the recordkeeping system balance organic ingredients in and organic products out?	☐ Yes	☐ No

Please describe below or attach diagram your audit trail/trace back process in place to trace organic final product to suppliers' raw material: ☐ Diagram attached

Please attach sample of you audit trail to demonstrate compliance ☐ Attached

Please describe below or attach description of conduct in/out balance of incoming raw materials and outgoing final product: ☐ Diagram attached

Please describe your lot numbering system for finished products or attach description					Diagram attached
How is the lot number documented (check all that apply):					
Product labels	Outgoing BOL	Shipping log	Invoice to customer	Other:	

3. Miscellaneous		
Do you have a formal Quality assurance program in place	No	Yes
Is the QA plan verified through internal or external audits?	No	Yes
Do you conduct any sampling or analysis of ingredients, mid process or finished product?	No	Yes. Please describe
Do you have a product recall plan in place?	No	Yes

- **Internal records** are defined as records that are used with in the operations process and procedures to trace organic product within the operation, example of this would include production records, inventory records etc.
- **External documents** are defined as records that are used to help trace ingredients/products to the last certified operation, example of this would include invoices, BOL's, receiving logs, transaction certificates etc