



KENTUCKY DEPARTMENT OF AGRICULTURE

Office of Agricultural Marketing and Product Promotion • Organic Program
111 Corporate Drive, Frankfort, KY 40601 • (502) 573-0282 • kyagr.com
Jonathan Shell, Commissioner of Agriculture



Processing and Handling Organic System Plan

Please fill out this questionnaire if you are requesting organic process/handling certification or recertification. Attach Organic Product Profile sheets for all products requested for certification and a current schematic product flow chart, Organic Control Points, facility map, pest management map, water test(s), and appropriate MSDS if required. Use additional sheets if necessary. **Renewal Deadline - January 15th.**

WARNING: This form will be returned to you if it is not completed in its entirety. This will significantly delay the certification process, in regards to your file.

SECTION 1: GENERAL INFORMATION & COMPANY OVERVIEW		NOP §205.201, .401
Application/Company Name:		KDA Organic Certification Number (if applicable)
Owner:	Manager:	Primary Contact Person:
Number of employees:	Name of person overseeing organic production:	Estimated annual total production (\$) for organic products/handling:
Type of processing/handling (i.e. bakery, winery, roaster):		
Do you (check one or both): Own the products processed here Provide processing services		
Products handled at this facility are: Organic only Organic and non-organic		
Indicate which processing categories apply to this facility and your company. Check all that apply.		
Processor of multi-ingredients processors Processor of single-ingredient products Handler		
Other:		
Is your complete product list for all products you are requesting for certification attached? Yes No		
Please list other certification, permits, or inspections such as GMP's, FDA, Fair Trade, Rain Forest Appliance, etc.		
List previous organic certification(s), if any:		N/A
Has certification ever been denied, suspended, or revoked? If yes, please explain below:		Yes No NA
Have you ever received a Notice of Noncompliance before? If yes, please explain below:		Yes No N/A
Do you have access to a current copy of the USDA-NOP Standards?		Yes No
Do you process/handle your product(s) seasonally or year round? *If seasonal, please explain below:		Seasonally Year-Round



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SECTION 1 (continued)			
Describe employee training. Attach any relevant training materials.			N/A
Have you ever had a negative scoring report from any other regulatory agency including, but not limited to FDA, OSHA, or state health department? <i>If yes, attach a copy of the report and written response mitigating any findings.</i>	Yes	No	N/A
Are there any products produced as both certified organic and non-organic? <i>If yes, please list:</i>	Yes	No	
Does your company own the organic products processed at this facility? <i>If yes, at what point do you take ownership of the ingredients?</i>	Yes	No	
Do you currently, or plan to, contract with another company to pack into their branded(private) labels? <i>If yes, include those products on the Single/Multi-Ingredient Product List and Product Profiles. Attach copies of labels for all custom and/or private labeled organic products.</i> <i>If yes, attach private label agreement for any products that are sold by that company.</i>	Yes	No	
Please list the company/companies information that you have a private label agreement with:			
Are all of these businesses certified organic?			Yes No
SECTION 2: Assurance of Organic Integrity & Product Flow		NOP § 205.201, ,272 ,.401	
<i>NOP 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.</i>			
PRODUCT FLOW: Attach a schematic product flow chart which shows where and how the product is received, stored, processed, packaged, and warehoused. Please identify all pieces of equipment, storage areas, and where ingredients are added or processing aids used. Identify all storage areas associated with organic products, including incoming inventory, partially packed products, packaging material, and finished product. Identify nonorganic products storage as well.			
Organic Control Points (OCPs)			
<u>An application without a written organic control point plan will be considered incomplete.</u> ORGANIC CONTROL POINTS (OCPs): similar to Hazard Analysis Critical Control Points (HACCP), are points in the production system where the integrity of the organic product may be compromised. Examples are co-mingling with non-organic products, contamination by sanitizers or pesticides, and improper cleaning of equipment prior to running organic products			



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Quality Assurance, Record Keeping and Organic Control Points	NOP Rule 205.103, .270, .272	
NOP 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.”		
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.		
1. Do you have a Quality Assurance program in place?	Yes	No
2. Are there any third party quality assessment services used (e.g., AIB)? *If yes, please list the name of the company:	Yes	No
3. Do you use an Organic Quality Control Manual?	Yes	No
4. Do you have an Organic Control Point program in place to address areas of potential commingling and/or contamination? *If yes, please attach. * If no, do you plan to create an OCP program?	Yes	No
5. Do you have standard operating procedures for organic processing/ handling? *If yes, please attach.	Yes	No
6. Can your recordkeeping system track the finished product back to all incoming ingredients of raw ingredients? Please indicate the types of records you maintain: Incoming: In-Process: Outgoing:	Yes	No
7. Do you do any testing prior to or during processing of your product? Please explain below:	Yes	No
8. Are ingredient samples retained? *If yes, how long are they kept?	Yes	No
9. Are finished product samples retained? If yes, how long?	Yes	No
10. Do you have a product recall system in place?	Yes	No
11. Does your company conduct internal audits? *If so, please attach a document describing the recall system.	Yes	No
12. Please describe your lot numbering system:	N/A	
13. Do you maintain organic records for at least 5 years?	Yes	No



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SECTION 3: Water		NOP §205.272		N/A	
Organic standards require that water meet potable water standards. For products that use culinary steam, boiler additives may not contaminate the organic products.					
1. Check ways water is used in processing:				N/A	
Ingredient	Processing aid	Cooking	Cooling	Product transport	Product transport
Cleaning organic products		Cleaning equipment	Other		
2. Source of water:		Municipal	On-site well	Other	
3. Is water potable?				Yes	No
<i>*Attach copy of water test, if applicable.</i>					
4. List any know water contaminants:					
4a. What on-site water treatment processes are used? Please describe.					
5. Does the water meet the Safe Drinking Water Act?				Yes	No
6. Is chlorine, calcium, hypochlorite, chlorine dioxide, or sodium hypochlorite used in wash water at your facility?				Yes	No
<i>*If Yes, please complete questions below:</i>					
6a. How often do you monitor or test discharge or effluent water to ensure the residual chlorine is at or below 4 PPM (the max. chlorine residual limit under the Safe Drinking Water Act)?					
Annually	Quarterly	Monthly	Weekly	Daily	Other
7. Describe how you monitor water quality at your facility:					
8. Is culinary steam used in the processing of organic products?				Yes	No
* If steam has direct contact with organic products, do you use any of the following?					N/A
No direct contact	Steam filters	Condensate traps	Testing of condensate		
Testing of finished products	Others (please explain)				
9. Are boiler water additives used during food handling or processing?				Yes	No
List products used as boiler additives: Attach MSDS, label information					
10. Are any on-site water treatment processes used?				Yes	No
<i>* If yes, please describe those processes as well as any cleaning and maintenance of the treatment facilities:</i>					
11. Do you use any water conservation strategies?				Yes	No
<i>* If yes, please describe:</i>					



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SECTION 5: Cleaning and Sanitation

NOP §205.103,.270, .272

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

1. Check all cleaning methods used:

Compressed air	Manual washing	Sweeping	Scraping	Vacuuming
Purging of equipment	Clean in place (CIP)	Steam cleaning	Sanitizing	
Other				

2. List all sanitizers that are currently in use on the Master Inputs List. Attach all MSDS sheets and labels to this OSP.

3. Describe the sequence of products and methods used in the cleaning/sanitizing program of these surfaces (i.e. cutting boards, super soap, scrub brush, clean water rinse, Sanitizal PPA)

4. Are all surfaces which contact organic products food grade?	Yes	No
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5. Do you test food contact surfaces or rinse for cleanser/sanitizer residues? If yes, describe:	Yes	No
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6. Where are cleaning/sanitizing materials stored?

7. For all direct contact surfaces, what is the final cleaning/sanitizing step?

8. Provide information on your custom cleaning program and products used:

Area	Type of Cleaning	Equip. Used	Products Used	Freq.	Documentation
Receiving Area					
Ingredient Storage					
Product Transfer					
Production Area					
Finished Product Storage					
Loading Dock					
Building Exterior					
Accidental Spills					



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SECTION 6: Packaging and Labeling		NOP §205.270,.272,.303,.311		N/A	
NOP 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					N/A
1. Are all packaging materials: New Used					
2. Check types of packaging material used:					
Bulk Paper Cardboard Wood Glass Metal Foil Plastic Waxed paper					
Aseptic Natural fiber Synthetic fiber Other					
3. Are all packaging materials food grade? Yes No N/A					
4. Are all packaging materials free of prohibited materials? Yes No N/A					
5. Are packaging materials recyclable? Yes No N/A					
6. Are packaging materials returnable? Yes No N/A					
7. Where are packaging materials stored?					
8. Are any fungicides, fumigants, or pest control products used in the storage area(s)? Yes No N/A					
*If yes, please list any of these pest control products on the Master Inputs List.					
9. Have any packaging materials been exposed to synthetic fungicides, preservatives, or fumigants? Yes No N/A					
* If yes, please describe the expose and list the products used on the Master Inputs List					
10. Are packaging materials reused? Yes No N/A					
*If yes, please describe how reusable packaging materials are cleaned prior to use.					
11. Are reusable packaging materials used for both organic and nonorganic products? Yes No N/A					
* If yes, list the specific nonorganic products that are packaged					
B. LABELING					N/A
1. Have all product labels been submitted and approved for use by KDA? Yes No					
2. If product is labeled organic does it identify each organic ingredient in the ingredient statement? Yes No N/A					
3. Does the label contain the USDA Seal in correct form and design? Yes No					
4. Does the label identify the name of the ACA that certified the handler of the finished product preceded by the statement, "Certified organic by _____," located below the information identifying the handler or distributor of the product? Yes No N/A					
5. Please attach all retail labels to this Organic System Plan.					
SECTION 7: Storage		NOP §205.270, .272		N/A	
NOP 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 must be inspected and certified.					
Storage Information:					
Use	Location	Type/Capacity	Dedicated Organic?	Identification	
Ingredients storage					
Packaging material storage					



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In-process storage				
Finished product storage				
Off-site storage*				

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

SECTION 8: Harvest & Transportation of Organic Products				NOP §205.103, .270, .272	N/A
1. Does your company provide harvest containers to farms for organic products?				Yes	No
If "No," go to question #2. If "Yes," complete questions 1a – 1d.					
1a. What types of containers are provided?				Wood	Plastic
				Metal	Trailers
				Trucks	
Other (Specify):					
1b. Check all that apply regarding the harvest containers:					
Only new or those that have not been in contact with any prohibited substances are used for organic crops.					
Containers were used for non-organic products in the past, have been cleaned, and are now dedicated to organic Crops only.					
Containers are used for both non-organic and organic crops and are cleaned prior to each organic use.					
Containers are used for both non-organic and organic crops and are lined prior to each organic use.					
1c. Describe how you ensure proper use of harvest container procedures (clean out, lining in place, etc.) and list the records maintained to verify procedures were implemented.					
1d. Describe how farmers and your staff distinguish organic harvest containers form any non-organic containers that you may also provide.					
2. Does your company arrange for, or is your company responsible for, the harvest of organic crops?				Yes	No
If "No," go to question #3. If "Yes," answer questions 2a – 2b.					
2a. How do you ensure there are no non-organic crop residues in harvest equipment?					
Equipment used for organic crops only					
Equipment is cleaned prior to organic crop harvest or use					
2b. What type of cleaning documentation is maintained?					
Clean truck/equipment affidavits					
Clean our records					
Other (specify):					
3. Does your company arrange for, or is your company responsible for, the transportation of organic crops?				Yes	No
If "No," go to Section 9: Receiving/Outgoing Products. If "Yes," answer questions 3a – 3b.					
3a. How do you ensure there are no non-organic crop residues in transport equipment?					
Equipment used for organic crops only					
Equipment is cleaned prior to organic crop harvest or use					
3b. What type of cleaning documentation is maintained?					
Clean out records					
Other (specify):					



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SECTION 8 Cont: Receiving/ Outgoing Products		NOP §205.103, .270, .272	
A. INCOMING:			
1. In what forms are incoming products received? Dry Bulk Liquid bulk Super sacks Macro bins Metal drums Cardboard drums Paper bags Foil bags Other:			
2. Describe how incoming products are transported:			
3. Do you arrange incoming product transportation? Yes No			
4. How do you insure that inbound transport units are clean prior to loading organic products?			
4a. Is this documented? Yes No			
5. Are transport units used to carry any prohibited materials? Yes No			
6. Have transport companies been notified of organic handling requirements? Yes No			
7. Are organic products shipped at the same time as non-organic in the same transport units? Yes No			
8. Check steps take to segregate organic products: Dedicated organic only Use of pallets Pallet tags Organic product shrink-wrapped Separate area in transport unit Other:			
9. Please attach the organic certificates for all of your organic ingredient sources to this Organic system Plan.			
B. IN-PROCESS			
1. Describe how in-process products are transported:			
2. How do you insure that in-process transport units are clean prior to loading organic products?			
2a. Is this documented? Yes No			
C. OUTGOING			
1. In what form are finished products shipped? Dry bulk Liquid bulk Super sacks Foil bags Metal bags Cardboard drums Cardboard cases Macro bins Paper bags Plastic crates Other:			
2. How are outgoing products transported?			
3. Do you arrange outgoing product transportation? Yes No			
4. How do you insure that outgoing transport units are clean prior to loading organic products?			
4a. Is this documented? Yes No			
5. Are transport units used to carry any prohibited materials? Yes No			
6. Have transport companies been notified of organic handling requirements? Yes No			
7. Are organic products shipped at the same time as non-organic in the same transport units? Yes No			
8. 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:			



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SECTION 9: Production

NOP §205.103, .270, .272

NOP standards require attachment of a complete written description, or schematic product flow chart which shows the movement of all organic products, from incoming/receiving through production to outgoing/shipping. All equipment and storage areas must be identified.

1. Please indicate what production records are maintained by your company:

Equipment clean-out logs Ingredient usage reports Shrinkage logs Product specification sheet
Production log Ingredient inventory reports Ingredient inspection forms Shift production log
Finished product inventory reports Batch recipes QC reports Packaging Waste log
Other (specify):

2. How are products identified as “organic” on production documents?

3. Are your packing or processing lines and/or equipment dedicated for use with organic products only? Yes No
**If No, describe how you ensure separation of organic and non-organic processing. Include details about procedures and instruction given to staff.*

4. How are partial pallets/boxes/drums of organic products handled and how does your company ensure they are protected from commingling with non-organic products during packing or processing? Include details on storage of partial containers?

5. Are processed and packed organic products stored before shipping? Yes No

Equipment: List all equipment used in processing:

Equipment	Cleaners/Sanitizers	Does cleaning occur prior to organic production? Yes (Y) or No (N)	Is cleaning documented?	USED: How do you ensure no residues remain?

6. If equipment is purged, list and describe purge procedures, quantities purged, and documentation: Yes No
**If yes, where does the purged product go (sold as non-organic, waste, etc.)?*



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SECTION 10: Pest Management

NOP §205.271

Certified facilities must implement pest management that focuses on good sanitation and preventative practices before use of an approved pest control material. Environmental factors, mechanical, or physical controls that use non-synthetic substances may also be used. If preventative measures are not effective, a synthetic substance not on the National List may be used, provided the KDA approves use of the substance, method of application, and measures taken to prevent contact with ingredients or organic products.

Use of pest control products must be documented and included as part of the organic system plan.

A. GENERAL INFORMATION

1. What type of pest management system do you use?

In-house: Name of responsible person:

Contract pest control service (name, address, phone number):

2. Check all pest problems you generally have: Flying insects Crawling insects Spiders Birds
Rats Mice None Other:

B. PEST MANAGEMENT PRACTICES

Check all pest management practices you use: Good sanitation Removal of exterior habitat/food source
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 curtain Air showers
Positive air pressure in facility Monitoring Ingredient inspection for pests
Inspection zones around interior perimeter Ultrasound/light devices Release of beneficial 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 None
Other:

C. PESTICIDE USE INFORMATION FOR THE LAST 12 MONTHS

Product	Target Pest	Location Where Used	Method of Application	Where is the Use Documented?

1. Are any products used which are prohibited by organic standards? Yes No

2. If you noted use of any pest control materials that are not on the National List, explain why this material must be used and include details about why preventative and allowed methods are not proving effective. None used

3. 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:*

4. If pesticides are used, where are they stored?

5. 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.



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SECTION 11: Material Inputs NOP		§205.272, .601, .605, .606	
<i>NOP 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 National List. You also need to show efforts to obtain certified organic ingredients whenever possible. No genetically engineered ingredients or processing aids are allowed. You must have current verification that all nonorganic processing aids or ingredients have not been produced with genetically modified organisms (GMOs), sewage sludge, and have not been irradiated.</i>			
1. Indicate how often you will obtain updated certification paperwork from each of your suppliers: With each shipment of organic ingredients and products Monthly Quarterly Annually			
2. Indicate how often you will obtain updated verification that ALL nonorganic processing aids or ingredients were not produced with GMOs, sewage sludge, or irradiation: Monthly Quarterly Annually Not applicable, all organic ingredients and processing aids With each shipment of nonorganic ingredients or processing aids			
A. INGREDIENTS: Fill out Organic Product Profiles for each of the organic products requested for certification. If the organic product is a multi-ingredient product please make sure that the name of the ingredient on the label, product profile, and certificate match.			
1. Are any non-organic ingredients listed as restricted materials?		Yes	No N/A
1a. Are any non-organic ingredients listed as prohibited materials?		Yes	No
2. Check if any of the non-organic ingredients have been processed with or exposed to the following: Irradiation Genetic engineering Fumigation Petroleum distillates Synthetic solvents			
2a. <i>If any non-organic ingredients are used, attach documentation for commercial availability to this Organic System Plan.</i>			
B. PROCESSING AIDS:			
1. List all processing aids used in the production of certified organic products on the Master Inputs List			
2. How/why are they used?			
3. Are any processing aids listed as restricted materials?		Yes	No
3a. Are any processing aids listed as prohibited materials?		Yes	No
4. Check if any processing aids have been processed with or exposed to the following: Irradiation Genetic engineering Fumigation Petroleum distillates Synthetic solvents			



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SECTION 12: Waste Management		N/A
1. Will any waste products from certified organic ingredients be sold as certified organic? <i>*If yes, complete an Organic Product Profile for each product</i>	Yes	No
2. Check all aspects of your waste management system that apply: On-site dumpster Material recycling Water recycling Water filtering Composting Smokestack filters Daily waste pickup Sediment ponds Field application of waste Other:		
SECTION 13: Affirmation		
IMPORTANT – Include this completed Processing/ Handling Organic System Plan (OSP) with your Organic Certification Application, Crop/Farm Organic System Plan (if applicable), and attach the necessary documents from the list below.		
I have attached the following documents: Organic Certification Application Flow chart Facility map Organic Control Points document Organic Product Profiles Organic Product Labels Pest management map of traps and monitors Water test, if applicable Appropriate MSDS, if applicable <u>Applicable Fees (according to the Fee Schedule attached to the Application)</u>		
I affirm that all statements made in this application are true and correct. I agree to follow organic standards. I understand that the operation may be subject to unannounced inspection and/or sampling for residues at any time as deemed appropriate to ensure compliance with the NOP Rule. I understand that acceptance of this questionnaire in no way implies granting of certification by the certifying agent. I agree to follow the organic standards as required in 7 CFR 205 and KAR 40:010. I understand that I may withdraw this application in writing at any time. I understand that I may be held liable for the costs of any services provided by the certifying agent up to the time of withdrawal. I understand that my application fee is nonrefundable. I understand that voluntary withdrawal prior to the issuance of a notice of noncompliance or certification denial that I will not be issued a notice of noncompliance or certification denial		
This OSP was prepared by:		Date:
Deadline for Renewals, January 15 Submit completed form, Application, Fees, and supporting documents to: Kentucky Department of Agriculture Certified Organic Program 111 Corporate Drive Frankfort, KY 40601		

