



KENTUCKY DEPARTMENT OF AGRICULTURE

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



2021 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, and appropriate MSDS if required. Use additional sheets if necessary. **Renewal Deadline – October 1, 2021**

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.		
FOR OFFICE USE ONLY		
Please indicate if you have updated the Crop OPS.		
List the section updated and the reason below.	Date	Initials
Inspector – Did you update the Crop OSP at inspection? Yes No N/A If yes, please have the operator initial & date below.		
Operators Initials: Date:		



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SECTION 1 (continued)		N/A	
Describe employee training. Attach any relevant training materials.			
	Y	N	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>			
Are there any products produced as both certified organic and non-organic? <i>If yes, please list:</i>			
Does your company own the organic products processed at this facility? <i>If yes, at what point do you take ownership of the ingredients or products?</i>			
Do you currently, or plan to, contract with another company to pack into their branded (Private) labels? <i>If yes, include details about the products in the Product Summary Form. Attach copies of labels for all custom or private labeled organic products</i> <i>If no, attach private label agreement for any products that are sold by a certified organic producer.</i>			
SECTION 2: Assurance of Organic Integrity & Product Flow		NOP § 205.201, .401	
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.			
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			
	Y	N	
Do you have an Organic Control Point program in place to address areas of potential contamination?			
Has the OCP document been attached?			



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Section 3: Quality Assurance and Record Keeping		NOP Rule 205.103, .270, .272	
<p>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.”</p> <p>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.</p>			
1.	Please list all documentation in sequence retained by you from incoming ingredients/products to final product shipping.		
2.	Describe your lot numbering system:		
		Y	N
3.	Can your record keeping system track the finished product back to all incoming ingredients or raw ingredients?		
3a.	How?		
4.	Do you have standard operating procedures for organic processing? If yes, please attach.		
5.	Do you have an employee-training program in place for organic operating procedures? If yes, describe:		
6.	Do you have a Quality Assurance program in place?		
7.	Are any outside quality assessment services used? If yes, list name of company:		
7a.	If yes, what program do you use? HACCP TQM ISO Other		
8.	Product testing (Check all applicable categories): Ingredients prior to purchase Ingredients upon receipt During production Finished product What testing is conducted (Sanitizer residue, biological, GMO, etc.)?		
		Y	N
9.	Are ingredient samples retained? If yes, how long?		
10.	Are finished product samples retained? If yes, how long?		
11.	Do you have a product recall system in place?		
12.	Does your company conduct internal audits? If so, please attach a document describing the recall system.		
13.	Do you maintain organic records for at least 5 years?		



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SECTION 4: Water		NOP §205.103, .272, .601, .605	
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: <div> <div>Ingredient</div> <div>Processing aid</div> <div>Cooking</div> <div>Cooling</div> <div>Product transport</div> <div>Product transport</div> </div> <div> <div>Cleaning organic products</div> <div>Cleaning equipment</div> <div>Other</div> </div>		
2.	Source of water: Municipal On-site well Other		
		Y	N
3.	Is water potable? Attach copy of water test, if applicable.		
4.	List any know water contaminants:		
5.	What on-site water treatment processes are used? Please describe.		
6.	Is chlorine, calcium, hypochlorite, chlorine dioxide, or sodium hypochlorite used in wash water at your facility? If “Yes,” please complete questions below: How often do you monitor or test discharge or effluent water to ensure the residual chlorine level is at or below 4 ppm (the maximum chlorine residual limit under the Safe Water Drinking Act)? <div> <div>Annually</div> <div>Quarterly</div> <div>Monthly</div> <div>Weekly</div> <div>Daily</div> </div> <div>Other (specify):</div>		
7.	Describe how you monitor water quality at your facility:		
8.	Is culinary steam used in the processing of organic products?		
9.	If steam has direct contact with organic products, do you use: <div> <div>N/A</div> <div>No direct contact</div> <div>Steam filters</div> <div>Condensate traps</div> <div>Testing of condensate</div> </div> <div> <div>Testing of finished products</div> <div>Others (please explain)</div> </div>		
10.	Are boiler water additives used during food handling or processing? List products used as boiler additives: <i>Attach MSDS, label information</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.	What sanitizer(s) is used for contact surfaces and equipment coming in direct contact with organic products? <i>Any sanitizers used must be added to the produce inputs list.</i>				
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)				
				Y	N
4.	Are all surfaces which contact organic products food grade?				
5.	Do you test food contact surfaces or rinse for cleanser/sanitizer residues? If yes, describe:				
6.	Where are cleaning/sanitizing materials stored? <i>Attach MSDS and/or label information for cleansers and sanitizers, if applicable.</i>				
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

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

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						
									Y	N	N/A
3.	Are all packaging materials food grade?										
4.	Are all packaging materials free of prohibited materials?										
5.	Are packaging materials recyclable?										
6.	Are packaging materials returnable?										

B. LABELING

1.	Have all product labels been submitted and approved for use by KDA?			
2.	If product is labeled organic does it identify each organic ingredient in the ingredient statement?			
3.	Does the label contain the USDA Seal in correct form and design?			
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?			

SECTION 7: Storage

NOP §205.270, .272

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

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

Certificate #:



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SECTION 8: Harvest & Transportation of Organic Products		NOP §205.103, .270, .272	
1.	Does your company provide harvest containers to farms for organic products? <i>If "No," go to question #2. If "Yes," complete questions 1a – 1d.</i>	Yes	No
1a.	What types of containers are provided? Other (Specify):	Wood	Plastic Metal Trailers Trucks
1b.	Check all that apply regarding the harvest containers: <input type="checkbox"/> Only new or those that have not been in contact with any prohibited substances are used for organic crops. <input type="checkbox"/> Containers were used for non-organic products in the past, have been cleaned, and are now dedicated to organic Crops only. <input type="checkbox"/> Containers are used for both non-organic and organic crops and are cleaned prior to each organic use. <input type="checkbox"/> 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 from 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 <i>If "No," go to question #3. If "Yes," answer questions 2a – 2b.</i>		
2a.	How do you ensure there are no non-organic crop residues in harvest equipment? <input type="checkbox"/> Equipment used for organic crops only <input type="checkbox"/> Equipment is cleaned prior to organic crop harvest or use		
2b.	What type of cleaning documentation is maintained? <input type="checkbox"/> Cleantruck/equipment affidavits <input type="checkbox"/> Clean out records <input type="checkbox"/> Other (specify):		
3.	Does your company arrange for, or is your company responsible for, the transportation of organic crops? Yes No <i>If "No," go to Section 9: Receiving/Outgoing Products. If "Yes," answer questions 3a – 3b.</i>		
3a.	How do you ensure there are no non-organic crop residues in transport equipment? <input type="checkbox"/> Equipment used for organic crops only <input type="checkbox"/> Equipment is cleaned prior to organic crop harvest or use		
3b.	What type of cleaning documentation is maintained? <input type="checkbox"/> Clean out records <input type="checkbox"/> Other (specify):		



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SECTION 9: 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:		
		Y	N
3.	Do you arrange incoming product transportation?		
4.	How do you insure that inbound transport units are clean prior to loading organic products?		
4a.	Is this documented?		
5.	Are transport units used to carry any prohibited materials?		
6.	Have transport companies been notified of organic handling requirements?		
7.	Are organic products shipped at the same time as non-organic in the same transport units?		
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:		
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?		
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?		
4.	How do you insure that outgoing transport units are clean prior to loading organic products?		
4a.	Is this documented?		
5.	Are transport units used to carry any prohibited materials?		
6.	Have transport companies been notified of organic handling requirements?		
7.	Are organic products shipped at the same time as non-organic in the same transport units?		
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 10: 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.

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):

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

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.

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?

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?

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 11: 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

What type of pest management system do you use?

In-house: name of responsible person:

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

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?

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



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SECTION 12: Material Inputs NOP		§205.272, .601, .605, .606	
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.			
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		
3.			
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.			
		Y	N
1.	Are any non-organic ingredients listed as restricted materials?		
1a.	Are any non-organic ingredients listed as prohibited materials?		
2.	Check if any non-organic ingredients have been processed with or exposed to the following: Irradiation Genetic engineering Fumigation Petroleum distillates Synthetic solvents		
3.	If any non-organic ingredients are used have you attached documentation for commercial availability?		
B. PROCESSING AIDS:			
1.	List all processing aids used in the production of certified organic products:		
2.	How/why are they used?		
3.	Are any processing aids listed as restricted materials?		
3a.	Are any processing aids listed as prohibited materials?		
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 13: Waste Management

		Y	N
1.	Will any waste products from certified organic ingredients be sold as certified organic? <i>If yes, complete Organic Product Profile for each product</i>		
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 12: 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
Applicable Fees (according to the Fee Schedule attached to the Application)

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, October 1
Submit completed form, Application, Fees, and supporting documents to:
Kentucky Department of Agriculture
Certified Organic Program
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Frankfort, KY 40601