|  |  |
| --- | --- |
| **SECTION 1: General Information and Identification** | **Non-compliance Noted** [ ]  (See Section 9 for details) |
| CertificationType: | [ ]  New[ ]  RecertificationFirst year certified: |  | Program : | [ ]  NOP |
| Operator: |  | Inspector: |  |
| Operation Name: |  | Inspector Telephone: |  |
| Address: |  | Date Inspected: |  |
|  |  | Time Arrived: |  |
|  |  | Time Departed: |  |
| Telephone: |  | Person Interviewed: |  |
| Fax: |  | Operation E-mail: |  |
| Status of operation: | [ ]  Organic only | [ ]  Parallel production |
| Estimated annual total production:  | \_\_\_\_\_\_ % organic | \_\_\_\_\_\_ % non-organic |
| **A. Background Information** | VERIFIEDYes No N/A | Comments/Descriptions |
| 1. Was an authorized representative knowledgeable about the operation present during the inspection?Who was present? |  |  |  |  |
| 2. Is the organic operation located at one site? If not, please list all other locations. |  |  |  |  |
| 3. Has the operation ever applied to another organic certification agency? If yes, please note which agency and the result of the application. |  |  |  |  |
| 4. Is the operation being inspected by another agency for this season? If so, which agency? |  |  |  |  |
| 5. For re-certification, are the corrective actions described and provided by the applicant with the questionnaire accurate? If not, or if there are any changes, please describe. Please attach any documents developed in response to requirements. |
| 6. Please provide additional information and/or explanations as requested from the pre-inspection review. Please attach any documents developed in response to the information requested from the pre-inspection review. |
| **B. Type of Operation** |
| 7. [ ]  Processor | [ ]  Handler |
| 8. Please list all organic products being processed: |
| 9. If parallel processing occurs, please list all non-organic products being processed: |
| **SECTION 2: Product Composition**  |
| **Products Labeled as “Organic”**(Please attach copies of **all** labels.) | VERIFIEDYes No N/A | Comments/Descriptions [ ]  Not applicable  |
| 10. Were labels included in the OSP for all products that will be sold as organic? If not, please attach the additional labels. |  |  |  |  |
| 11. Is documentation maintained that verifies the certified organic status of all ingredients listed as “organic” on the labels provided? |  |  |  |  |
| 12. Is the seal, logo, or name of the certification body used on the label? |  |  |  |  |
| 13. Do labels identify name, address, and producer number of the final handler of the product? |  |  |  |  |
| 14. Do organic products bear a traceable lot number or date code? |  |  |  |  |
| 15. Are products sold labeled as:(check all that apply) |
|  [ ]  “100% organic” | [ ]  “organic” | [ ]  “Made with organic (specific ingredients or food group)” | [ ]  “Less than 70% organically produced ingredients” |
| 16. Please provide any additional observations and recommendations for labels: |
|  | VERIFIED Yes No N/A | Comments/Descriptions |
| 17. Are non-organic agricultural ingredients used in the organic processing or as ingredients in the final product formulation? If yes, please list the ingredients. |  |  |  |  |
| 18. For products labeled “organic”, did you see documentation that non-organic agricultural ingredients were not commercially available in organic form? |  |  |  |  |
| 19. Are nonagricultural substances used in the organic processing or as ingredients in the final product formulation? If yes, please listthe substances. |  |  |  |  |
| 20. Are Non-GMO Affidavits available for all ingredients and processing aids? If not, which do not have this documentation? |  |  |  |  |
| 21. Did you see evidence that volatile synthetic solvents or other synthetic processing aids are used? If yes, please list the substances. |  |  |  |  |
| 22. If yes, are they used in non-organic ingredients of products labeled “Made with organic (specific ingredients or food group)”? |  |  |  |  |
| 23. Did you see documentation that verifies all ingredients and processing aids are not irradiated? If no, please explain. |  |  |  |  |
| 24. Did you see documentation that verifies non-organic agricultural ingredients have not been grown, handled, or processed using sewage sludge? |  |  |  |  |
| 25. Are wastes from certified organic products sold as certified organic? If yes, please list the wastes that are sold. |  |  |  |  |
| 26. Please provide any additional observations and recommendations regarding product composition. |
| **Water**  | VERIFIED Yes No N/A | Comments/Descriptions [ ]  Not applicable  |
| 27. Is water used anywhere in the facility (as an ingredient, for sanitation, etc.)? |  |  |  |  |
| 28. If water is used, please describe in detail how and where it is used in the facility.  |
| 29. Are any water treatment or filtration systems used? If so, please describe. |  |  |  |  |
| 30. Are current water tests on file? If yes, please attach a copy. |  |  |  |  |
| 31. Does culinary steam come in direct contact with organic products? |  |  |  |  |
| 32. Is jacketed steam used? |  |  |  |  |
| 33. Are boiler additives used? If so, please provide any available information regarding them, including labels, Material Safety Data Sheets (MSDS), etc.  |  |  |  |  |
| 34. Is the steam being filtered and the condensate tested for prohibited substances? If so, please provide the current results. |  |  |  |  |
| 35. Did you see evidence that water quality monitoring is carried out according to the processing/handling plan? |  |  |  |  |
| 36. Please provide any additional observations and/or recommendations on water issues: |
| **SECTION 3: Pest Management [ ]  Not applicable** |
|  | VERIFIEDYes No N/A | Comments/Descriptions |
| 37. Did you see documentation of a formal pest management plan developed by the facility or its contracted pest control agent that includes preventive, mechanical, physical, and/or biological methods? |  |  |  |  |
| 38. Did you see documentation that verifies the implementation and monitoring of the pest management plan? |  |  |  |  |
| 1. Did you see a pest control map on site?
 |  |  |  |  |
| 40. Did you see evidence that substances listed as prohibited are used to prevent or control pests anywhere in the facility? If yes, please describe the areas where used. |  |  |  |  |
| 41. If yes, is their use documented in the pest management plan? |  |  |  |  |
| 42. Does the pest management plan include measures to assure organic products are removed prior to fumigation, fogging, or spot treatment? |  |  |  |  |
| 43. If fumigants are used, has prior authorization been received? |  |  |  |  |
| 44. If prohibited substances are used, please describe in detail the measures that are implemented (removal of organic material, time allowed before reintroduction of organic material, etc.) for assuring organic product is not contaminated by contact with prohibited pest control products. |
| 45. Does documentation verify that the measures described in question 44 are being followed? If no, please explain. |  |  |  |  |
| 46. Does documentation verify that anticoagulants and other restricted materials are employed only on a “knock-down” basis? |  |  |  |  |
| 47. Does it appear that all substances for pest management and control are used according to Federal, State or local laws and regulations? |  |  |  |  |
| 48. Did you see evidence to indicate that labels and/or MSDS are on file for all pesticides used? |  |  |  |  |
| 49. Please list information regarding all pest management products used: |
| **Product Used** | **Active Ingredients** | **Status** | **Date(s) Used** | **Documentation****Maintained** Yes No |
|  |  | **A** | R | **P** |  |  |
|  |  |  |  |  |  | [ ]  | [ ]  |
|  |  |  |  |  |  | [ ]  | [ ]  |
|  |  |  |  |  |  | [ ]  | [ ]  |
|  |  |  |  |  |  | [ ]  | [ ]  |
| 50. Please provide any additional observations and recommendations for pest management: |
| **SECTION 4: Assurance of Organic Integrity**  |
|  | VERIFIED Yes No N/A | Comments/Descriptions |
| 51. Does documentation verify that the processing facility has a formal quality assurance program such as HACCP/ISO? |  |  |  |  |
| 52. Did you verify that an organic quality control manual is used? |  |  |  |  |
| 53. Did you see a product flow chart indicating the critical control points of the organic process? |  |  |  |  |
| 1. Does documentation indicate that employees have been trained in organic handling protocols?
 |  |  |  |  |
| 1. Does documentation verify that organic products are tested? If so, for what?
 |  |  |  |  |
| 56. Did you see documentation evidencing the use of a product recall system? |  |  |  |  |
| 57. Please describe the process/flow of the operation and note any discrepancies with the description or flow chart submitted with the processing/handling plan questionnaire. |
| 58. Please provide any additional observations and/or recommendations for the organic integrity assurance: |
| **Equipment** | VERIFIED Yes No N/A | Comments/Descriptions [ ]  Not applicable  |
| 59. Is equipment used solely to process organic products? |  |  |  |  |
| 60. If the processing is not dedicated organic, does the program and/or manual document parallel processing precautions? |  |  |  |  |
| 61. Please describe in detail the parallel processing precautions (clean-downs, purges, documentation verifying times/dates cleaned, documentation of purges, etc.) that are implemented and whether or not these precautions are adequate for maintaining organic integrity. |
| 62. Please provide any additional observations and recommendations for equipment issues: |
| Sanitation | VERIFIED Yes No N/A | Comments/Descriptions [ ]  Not applicable  |
| 63. Did the facility seem clean at the time of inspection? |  |  |  |  |
| 64. Did you see evidence of use of a formal sanitation and cleaning program and/or manual? |  |  |  |  |
| 65. Is sanitation/cleaning documented? |  |  |  |  |
| 66. Did you see documentation indicating that sanitizers and/or detergents are used to clean equipment? If so, list the sanitizers or detergents used. |  |  |  |  |
| 67. Are MSDS and/or label information for all cleaning and sanitizing products available? |  |  |  |  |
| 68. Did you see evidence that surfaces and equipment are tested for cleaner or sanitizer residues? |  |  |  |  |
| 69. Please provide any additional observations and recommendations for sanitation issues: |
| **Seed Treatment** (For seed facilities) | VERIFIED Yes No N/A | Comments/Descriptions [ ]  Not applicable  |
| 70. Did you see evidence that any seeds are treated with synthetic seed treatments? |  |  |  |  |
| 71. Is the seed treatment equipment in the same building as equipment that handles organic products? |  |  |  |  |
| 72. Is any treated seed or seed treatment material handled, bagged, or stored in the same building as organic product? |  |  |  |  |
| Packaging | VERIFIED Yes No N/A | Comments/Descriptions [ ]  Not applicable  |
| 73. Did you see documentation indicating that all packaging materials are food grade? |  |  |  |  |
| 74. Does the final packaging appear to protect organic products from contamination by prohibited materials? |  |  |  |  |
| 75. Did you see evidence that the materials, storage containers, and/or bins have been fumigated? |  |  |  |  |
| 76. If not, did you see non-fumigation certificates? |  |  |  |  |
| 77. Did you see evidence that synthetic fungicides or preservatives are used in the storage containers? |  |  |  |  |
| 78. Did you see evidence that packaging materials or containers are reused? If yes, what was the original use for each? |  |  |  |  |
| 79. If yes, is there a documented cleaning procedure prior to use? |  |  |  |  |
| 80. Did you see evidence that aluminum lead-bearing solder is used for packaging? |  |  |  |  |
| 81. If yes, is the lead content under 5 percent? |  |  |  |  |
| 82. If yes to 80, is the pH of the product between 6.7 and 7.3? |  |  |  |  |
| 83. Please provide any additional observations and recommendations for packaging: |
| **Storage**  | **VERIFIED** Yes No N/A | Comments/Descriptions [ ]  Not applicable  |
| 84. Are storage areas dedicated for organic products only? |  |  |  |  |
| 85. If storage areas are not dedicated organic, are appropriate measures taken (segregation, clearly labeled products, labeled storage areas, etc.) to ensure the organic integrity of stored product? Please explainin detail. |
| 86. Is any bulk storage used? |  |  |  |  |
| 87. If bulk storage is used, are appropriate measures taken (dedicated organic, cleaned and documented, labeled, etc.) to ensure the organic integrity of stored product? Please explainin detail. |
| 88. Are all facilities used to store or process organic ingredients, products, or packaging located on site? |  |  |  |  |
| 89. If not, were all off-site facilities inspected? |  |  |  |  |
| 90. If not, are these off-site facilities certified?If so, please list the certifying agency. |  |  |  |  |
| 91. Please provide any additional observations (such as potential sources of contamination) and/or recommendations for storage. |
| **Transportation**  | VERIFIED Yes No N/A | Comments/Descriptions |
| 92. Does the operator arrange any transportation (incoming/outgoing)? Please explain. |  |  |  |  |
| 93. Does it appear that all appropriate measures are taken (units cleaned prior to loading, products segregated during transport, dedicated transport, etc.) to ensure the organic integrity of products during transport? Please explain in detail.  |
| 94. Does documentation verify the measures described in question 93 are accurate? Please describe. |
| 95. Please provide any additional observations and/or recommendations for transportation: |
| **SECTION 5: Audit Trail and Recordkeeping System** |
| **Please indicate whether the following components of the audit trail and recordkeeping system are maintained and were verified to be adequate and accessible during this inspection:** | VERIFIED Yes No N/A | Comments/Descriptions |
| 96. Purchase orders, invoices |  |  |  |  |
| 97. Bills of lading that include lot numbers |  |  |  |  |
| 98. Transaction Certificates for incoming and outgoing product.  |  |  |  |  |
| 99. Clean truck affidavits or other clean transport documentation for incoming and outgoing product |  |  |  |  |
| 100. Copies of certificates from organic suppliers. |  |  |  |  |
| 101. Documentation of the lack of commercial availability of organic ingredients when using non-organic agricultural ingredients in products labeled as “organic”. |  |  |  |  |
| 102. Production reports |  |  |  |  |
| 103. Inventory records of the raw and processed product |  |  |  |  |
| 104. Audit trail for wastes/by-products (from organic raw material) that are sold as organic |  |  |  |  |
| 105. Sanitation and cleaning logs |  |  |  |  |
| 106. Water tests |  |  |  |  |
| 107. Complaint log |  |  |  |  |
| 108. Pest management logs |  |  |  |  |
| 109. MSDS |  |  |  |  |
| 110. Sales records, including shipping records |  |  |  |  |
| 111. Do all invoices, processing logs, bills of lading, transaction certificates, outgoing transport documents, and other sales documents indicate lot number and the words, “Certified Organic” and the name of the certifier? |  |  |  |  |
| 112. Are records kept for at least 5 years? |  |  |  |  |
| 113. Please conduct a complete sample audit of the operation; verify if product could be tracked back from sale, through storage, and processing/handling to the purchased organic raw materials. Please track the transformation of the original lot or identification number to the final lot number. Please also conduct an annual inventory balance of product in and product out (i.e., comparing amounts of organic material purchased to amount of organic finished product sold). |
| 114. Please provide a sample of the lot number and describe what each component means. |
| 115. Please provide additional observations regarding audit trail and recordkeeping.  |
| **SECTION 6: International Equivalencies** **[ ]  Not Applicable** |
| 116. Were international equivalencies requested?  | **[ ]** Yes, please complete section below [ ]  No  |
| 117. What equivalency is being requested? [ ]  Canada [ ]  European Union [ ]  Taiwan [ ]  Japan [ ]  Korea [ ]  Switzerland [ ]  other:      \_\_\_\_\_\_\_\_\_\_\_\_\_\_ |
| 118. List countries in which the operation is importing/ exporting: Importing:      Exporting:       |
| **Depending on the requested international market, please confirm that the following conditions have been met:**  |
| Canada [ ]  Not applicable1. Is the crop produced with sodium nitrate as an input? [ ]  Yes [ ]  No

If yes, please list all crops where sodium nitrate is used      1. Are crops grown using hydroponic or aeroponic production methods? [ ]  Yes [ ]  No

 If yes, please list all crops grown using hydroponic or aeroponic methods      1. Do wholesale containers, produce boxes, or non-retail containers or accompaning documents(e.g. invoices, Bill of Landing) contain the following information?:

1.The name and address of the certified operation2.The name of the product and its organic status 3.Include traceability information 4.Identify Primus Auditing Operations as the certifierComments:1. Does the statement, “Certified in compliance with the terms of the US-Canada Organic Equivalency Arrangement”, accompany all products that are produced under the terms of the arrangement? [ ]  Yes [ ]  No

*Note: Canada does not have a “100% Organic” or “Made with Organic Category”, but a percentage statement “Contains xx% Organic Ingredients”, is allowed.* |
|  |
| Mexico Mexico currently does not have an equivalency arrangement with the USDA NOP. All Mexico operators should be certified with LPO (Ley de Production Organica).  |
| European Union [ ]  Not applicable1. Are all products produced in or have the final processing occur in the US? [ ]  Yes [ ]  No
2. If producing apples and/or pears, are antibiotics (streptomycin) not used in the production? [ ]  Yes [ ]  No
3. Do you intend to use the EU organic logo on final product labels? [ ]  Yes [ ]  No
4. Do wholesale containers, produce boxes, or non-retail containers or accompaning documents(e.g. invoices, Bill of Landing) contain the following information?:

1.The name and address of the certified operation2.The name of the product and its organic status 3.Include traceability information 4.Identify Primus Auditing Operations as the certifierComments:*Note: The EU does not have a 100% Organic or Made with Organic Category, but allows a percentage statement, “xx% Organic” Content for products under 95% organic.* |
| Taiwan [ ]  Not applicable1. Are all products produced in or have the final processing occur in the US? [ ]  Yes [ ]  No
2. Do wholesale containers, produce boxes, or non-retail containers or accompaning documents(e.g. invoices, Bill of Landing) contain the following information?:

1.The name and address of the certified operation2.The name of the product and its organic status 3.Include traceability information 4.Identify Primus Auditing Operations as the certifierComments: |
| Japan [ ]  Not applicable1. Are all products produced in or have the final processing occur in the US? [ ]  Yes [ ]  No
2. Are all products being exported to Japan plant based? [ ]  Yes [ ]  No
3. Do wholesale containers, produce boxes, or non-retail containers or accompaning documents(e.g. invoices, Bill of Landing) contain the following information?:

1.The name and address of the certified operation2.The name of the product and its organic status 3.Include traceability information 4.Identify Primus Auditing Operations as the certifierComments:*Note: Non-plant based products are not regulated by JAS law.* |
| Korea [ ]  Not applicable1. Are all products exported to Korea processed? [ ]  Yes [ ]  No

*Note: “Processed Food” refers to food manufactured, processed and packaged by adding food or food additives to raw food materials, transforming food until the original form cannot be recognized (grinding, cutting, mixing, cooking). Fresh fruits, vegetables, frozen single ingredient products and dried single ingredient products are not allowed.*1. Are all products produced in or have the final processing occur in the US? [ ]  Yes [ ]  No
2. If apples and/or pears are grown/used, has verification been obtained that antibiotics are not used in the production? [ ]  Yes [ ]  No
3. Does the finished product contain at least 95% organic ingredients? [ ]  Yes [ ]  No
4. Do wholesale containers, produce boxes, or non-retail containers or accompaning documents(e.g. invoices, Bill of Landing) contain the following information?:

1.The name and address of the certified operation2.The name of the product and its organic status 3.Include traceability information 4.Identify Primus Auditing Operations as the certifierComments: |
| Switzerland [ ]  Not applicable1. Are crops and/or finished ingredients grown, processed, or packaged in the US? [ ]  Yes [ ]  No
2. Do wholesale containers, produce boxes, or non-retail containers or accompaning documents(e.g. invoices, Bill of Landing) contain the following information?:

1.The name and address of the certified operation2.The name of the product and its organic status 3.Include traceability information 4.Identify Primus Auditing Operations as the certifierComments: |
| 119. Please confirm that the information on the International Markets OSP Addendum was verified as current and correct. Comment any discrepancies/changes:      |
| **Mass Balance****120. Please conduct a mass balance for product/ ingredients received vs final product produced and sold.** Choose one or more whole product/ ingredient based on risk. Verify all purchase documents (invoice, BoL) and compare them with the sale records. Verify if total products/ingredients are consistent with total sales. Explain your findings and show your calculations      |
| **SECTION 6: Commitment to Quality** | VERIFIED Yes No N/A | Comments/Descriptions |
| 121. Does the person overseeing the organic production have a current copy of the NOP standards? |  |  |  |  |
| 122. Did the applicant demonstrate a comprehensive understanding of and commitment to the National Organic Standard? |  |  |  |  |
| 123. Are there any areas where organic integrity might be compromised and require more attention? If so, which areas? |  |  |  |  |
| **SECTION 7: Sampling**(Please attach additional sheets, if necessary.) |
| 124. Describe any sampling conducted during the inspection orany recommendations for future sampling. Provide, as applicable, information regarding: |
| a. Number and type of samples collected;b. Reason for sampling;c. Name of person collecting samples;d. Sample collection procedures; | e. Sample preservation methods;f. Copies of receipts for samples takeng. Sample transportation;h. Date submitted; | i. Chain of custody documentation; j. Laboratory used;k. Tests requested;l. Test results. |
| **Sampling Conducted:** |
| **Sampling Recommended:** |
| **SECTION 8: Other Considerations or Issues** (Please attach additional sheets, if necessary.) |
| 125. Describe any considerations or issues encountered during the inspection not covered above, such as:a. Changes in the operation anticipated by the applicant;b. Aspects of the operation that could not be covered adequately during the inspection due to unforeseen circumstances;c. Recommendations;d. Commendations. |
| **SECTION 9: Non-compliances** |
| 126. Please list any major non-compliance observed.Major non-compliances threaten the organic integrity of products requested for certification and are not correctable during the current certification year. All major non-compliances should be reported to Primus Auditing Operations immediately. Ensure that you check the box “Major Noncompliance Noted” on page 1 of this checklist. |
| **Checklist Item #** | **Noncompliances** | **Standard Section** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| **SECTION 10: Minor Non-compliance**122. Please summarize your findings and issues of concern regarding the operation’s compliance to the Standard. Please state the checklist item number, describe the issue of non-compliance, and reference by number the applicable Standard section. |
| **Checklist Item #** | **Issue** | **Standard Section** |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| **SECTION 11: Confidentiality, Signature, and Exhibits****Confidentiality:** The information contained in this report is confidential among the inspector, the inspected party, Primus Auditing Operations, and its accrediting agency. This report does not constitute certification or consultation, nor should it be used for promotional purposes. All observations and compliance assessments made are based on the current Standard of the certification program identified in Section 1, and are derived directly from observations, review of documents made available, and operator interview by the inspector. |
| Inspector Signature | Inspector Name | Date (Month/Day/Year) |
| Attached is all supporting documentation provided to the inspector during the course of this evaluation. |
| **List of attached exhibits:** |