



ORGANIC CERTIFICATION

Service, Support & Integrity



**Farmers • Processors • Livestock
Services • Private Labelers • Ingredients • Retailers**

CCOF advances organic agriculture for a healthy world. We advocate on behalf of our members for organic policies, support the growth of organic through education and grants, and provide organic certification that is personal and accessible.

We're your partner in the organic movement. We make organic certification seamless by providing:

- Online certification management
- Personal service throughout the United States
- International export services
- Food safety services
- Certification support tools
- An "Organic is Non-GMO & More" seal



CCOF is accredited by the U.S. Department of Agriculture to certify to the National Organic Program standards.

To learn more, visit www.ccof.org »



CCOF

Advancing organic agriculture through certification, education, advocacy, and promotion.

Expedited Certification Program

- ▶ CCOF is dedicated to providing cost-effective and timely service. Due to the complexity of the application review, inspection, and review process, we recommend that applications are submitted 12 weeks prior to harvest, projected sales, or other deadlines.
- ▶ If you have a short certification time frame, we provide optional expedited services to meet your needs. Complete this form and return it with your certification application, by email to inbox@ccof.org, or by fax to (831) 423-4528.

Who is this program for?

- ▶ Operations who would like to finish the certification process as soon as possible (such as impending harvests, market releases, or product launch deadlines). Note that CCOF is currently not accepting expedited requests for our Regenerative Organic Certified® program, Food Safety programs or reinstatement requests.

How much does expedited service cost?

- New certification applicants (for a single inspection); includes application fee: \$2,525
- Addition of a new facility or equipment to your existing CCOF certification; includes facility/equipment fee: \$2,000
- New acreage at a CCOF-certified farming operation: \$1,300
- Addition of a new NOP scope to your existing CCOF certification (for a single inspection); includes add scope fee: \$2,475
- Annual inspection of existing certification (for a single inspection): \$1,893.75
- Standard additional acreage, inspection and annual certification costs still apply, as applicable. See the [CCOF Certification Services Program Manual](#) for details. Expedited services may incur higher than average inspection expenses.

What will CCOF provide?

- Your application receives top priority processing and CCOF will begin securing an inspector immediately.
- Once your application is reviewed and accepted, your inspection will occur as soon as possible based on your schedule and inspector availability.
- The inspection report will be submitted to CCOF within two business days of the inspection.
- CCOF will review the inspection report and identify outstanding issues or grant certification within three business days. *(If a sample is taken during the inspection, the 3-business day timeline for CCOF to review the inspection report begins the day the sample results are received by CCOF.)*

What is expected of me?

- A complete application describing your practices.
- Timely responses to requests for information during the application and inspection review processes.

Can certification be guaranteed by a certain date?

- No, certification is dependent upon compliance onsite, the completeness of your application, and the inspector's findings.

What if I don't enroll?

- CCOF will process your application as quickly as possible and provide you with high-quality service. Every effort will be made to ensure the process is completed efficiently.

1) **Operation Name:** _____ **Client Code:** _____
(current clients only)

2) **Service Requested:** ☐ New Application ☐ Add Facility/equipment ☐ Add Acreage ☐ Add Scope ☐ Annual Inspection

3) **Payment:** Amount: \$ _____ ☐ I have a discount code: _____

☐ Check included (payable to CCOF) ☐ Bill me (current clients only) ☐ Charge my credit card: ☐ Visa ☐ MC ☐ Amex
CCOF applies a 3% surcharge to each credit card transaction. No additional surcharge is applied to debit card transactions.

Credit Card Billing Address: _____

City: _____ State: _____ Zip code: _____

Name on Card: _____

Email address: _____ Phone Number: _____

Credit Card Number: _____ Expiration Date (mm/yy): ____/____ Security Number: _____

4) **Signature:** _____

CCOF Certification Financial Assistance Application

Fill out this form to apply for financial assistance for CCOF certification fees.

FEE WAIVERS ARE AVAILABLE FOR:

- Underserved Producers in the United States
- Limited Resource Operations in Mexico
- Hardship – Declared Emergency
- Previously Incarcerated Individuals
- 100% Female or Nonbinary Owned Operations
- Schools/Nonprofits
- Veterans

CLIENT INFORMATION:

OPERATION NAME:

OWNER NAME:

CLIENT CODE:

New Applicant:

☐ Yes

☐ No

First

Last

Mailing Address

Street Address

Unit #

Town/City

State

Zip Code

Street Address

Street Address

Unit #

Town/City

State

Zip Code

Personal Email

What most closely describes your gender?

What is your racial or ethnic heritage?

Is your operation a nonprofit or school that offers education on organic production practices?

☐ Yes

☐ No

If yes, do you sell organic products for a profit?

☐ Yes

☐ No

QUESTIONS:

If the operation is not 100% wholly owned, provide the following information about all other owners:

Owner Name(s)	Racial/Ethnic Heritage	Gender Description	% Owned

1. What was your gross annual income from organic production last year (in U.S. dollars)?

2. Describe your hardship with as much detail as possible:

Please include: What was the hardship? Who/what did this hardship affect? When did it occur?

3. Is this need related to a State or Federally Declared Emergency?

☐ YES

☐ NO

If yes, what declared emergency were you impacted by (e.g., wildfire, flood)? Please list below

4. Are you a veteran of the armed forces?

☐ YES

☐ NO

5. Have you ever been convicted of a felony and served time in prison?

☐ YES

☐ NO

FINANCIAL DOCUMENTATION

Submission of financial documentation is not required but helps us understand your financial need. Documentation could include any of the following:

- Your federal income tax returns, W-2s, and other records of money earned
- Bank statements and records of investments (if any exist)
- Records of untaxed income (if any exists)
- Any information regarding ownership of small businesses and/or other assets

ACKNOWLEDGMENT AND RELEASE

I hereby certify that all information submitted on this application is true and correct to the best of my knowledge. I understand that all information contained here is subject to verification and that false information will lead to disqualification. I understand that CCOF Certification Services, LLC will keep all financial and demographic information confidential.

Authorized Signature _____

Date _____

Please email this completed form to inbox@ccof.org or mail to CCOF, 2155 Delaware Avenue, Suite 150, Santa Cruz, CA 95060



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California Certified Organic Farmers®
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T: (831) 423-2263 | F: (831) 423-4528 | ccof@ccof.org

(831) 423-2263



www.ccof.org



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- ▶ CCOF recommends beginning the application process with sufficient time before certification is required to allow for the necessary inspection and review process. While in some cases certification can be provided in a very short time frame, providing up to twelve weeks is recommended. [Expedited services](#) are available.
- ▶ Please keep a copy of all documents submitted to CCOF for your records.
- ▶ See www.ccof.org/certification/how or contact us with questions. Find all forms at www.ccof.org/documents.

▶ **Complete and send the following to apply for certification:**

- CCOF Certification Contract (this 5-page form)
- Organic System Plan (OSP) forms and attachments
 - Carefully review the Organic System Plan (OSP) Guides applicable to your operation, and complete all forms indicated:
 - [Guide to Grower OSP Forms](#)
 - [Guide to Livestock Producer OSP Forms](#)
 - [Guide to Handler OSP Forms](#)
- \$350 Application fee
 - Non-refundable and due with application
 - ☐ My credit card information is on page 5 ☐ I have included another form of payment
 - ☐ I have a discount code: _____

Email to: inbox@ccof.org Or Mail to: CCOF, 2155 Delaware Ave., Suite 150, Santa Cruz, CA 95060

- ▶ How did you hear about CCOF? _____

A. Company Information

1) Business Name: _____

DBA: _____

Website: _____

Phone: _____ Ext: _____ Fax: _____

2) Business Information:

Federal Tax ID#: _____

☐ Sole Proprietorship. Owner's Name: _____

☐ Partnership. Owner's Names: _____

☐ Corporation –OR– ☐ LLC. State of incorporation: _____

Name of owners, or officers and their titles: _____

3) Physical Location of Your Operation.

Where organic production occurs, or records are kept (for broker/trader/private label owners). Your physical location will be inspected and will be listed on your organic certificate:

Address: _____ City: _____

State/Province: _____ Zip/Postal Code: _____ Country: _____

4) Mailing Address *if different*:

Address: _____ City: _____

State/Province: _____ Zip/Postal Code: _____ Country: _____

5) Billing Address *if different*:

Address: _____ City: _____

State/Province: _____ Zip/Postal Code: _____ Country: _____

6) Preferred language for communication: ☐ English ☐ Spanish (most CCOF forms & materials available in Spanish)

7) Preferred written communication method: ☐ Email ☐ Postal Mail



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B. Organic Operation Summary

- 1) Help us understand your organic operation. Describe or attach a summary description of your organic business or plans.

Your full details will be on the complete Organic System Plan you submit.

☐ Description attached

- 2) How frequently do you review your entire Organic System Plan to verify it is effectively implemented, and ensure it accurately reflects all your practices and procedures?

Per 7 CFR §205.201(a)(3), applicants shall provide CCOF with an adequate response to this question.

☐ Annually ☐ Quarterly ☐ Monthly

☐ Other (describe): _____

C. Contact Information

1) Primary Contact

Please designate one person in your operation to be CCOF's Primary Contact. This person will be listed in the CCOF online directory and in the National Organic Program Organic Integrity Database (OID). This person should be knowledgeable of your operation, your Organic System Plan, your operation's activities, applicable organic standards, and have the authority to act on behalf of the company. **All communication will be sent to this contact.**

Name: _____ Title: _____

Phone: _____ Email(s): _____

2) Additional Contacts

Please list all people at your operation authorized to conduct inspections, meet with inspectors, modify the OSP, or otherwise act on behalf of the company. Check the CC box for contacts that should receive all communication along with the Primary contact listed above. Attach an additional list if necessary.

CC: ☐

Name/Title	Phone number	Email
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CC: ☐

Name/Title	Phone number	Email
------------	--------------	-------

CC: ☐

Name/Title	Phone number	Email
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D. Certification Program Information

- 1) Which organic standards are you applying to be certified to? Check all that apply:

For more information about CCOF certification programs, or to determine which program(s) you need, visit www.ccof.org/standards to review the CCOF Certification Services Program Manual or contact us by phone or email.

☐ **USDA National Organic Program (NOP) Compliance**

Base program for operations in the US or Mexico. Farm operations converting to organic production with intention to be certified under the NOP will be reviewed for transitional certification.

Complete the Organic System Plan.

☐ **Canadian Organic Regime Compliance**

Base program for operations in Canada only. Complete the COR Organic System Plan.

☐ **CCOF Global Market Access Program:**

Export verification for:

US to Canada, the EU/UK, Japan, Korea, Switzerland, and Taiwan; Mexico to Canada; Canada to the US, the EU/UK, Japan, Switzerland, and Taiwan. Complete the [GMA application](#).

☐ **CCOF Mexico Compliance Program**

Required for operations in Mexico; export verification for shipments to Mexico. Complete the Mexico Compliance Program application.

- 2) Does this operation produce or handle:

☐ Both organic and nonorganic product(s) ☐ Organic product(s) only ☐ Organic and transitional product(s)



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- 3) Please indicate any markets you export or plan to export to, directly or indirectly (as an ingredient or through brokers/traders etc.).
☐ Canada ☐ Europe/UK ☐ Japan ☐ Korea ☐ Taiwan ☐ Switzerland ☐ Mexico
☐ Other: _____
- 4) By what date do you anticipate the need for certification? _____
The certification process could take 12 weeks or longer. If you need a shorter timeline you can enroll in the [Expedited Certification Service](#).
- 5) Is this operation currently certified organic?
☐ No ☐ Yes, attach certificate and completed [Certification Transfer Form](#).
- 6) Has this operation or any responsibly connected person with this operation ever applied for, or been granted, organic certification?
NOP 205.2 "Responsibly connected" - Any person who is a partner, officer, director, holder, manager, or owner of 10 percent or more of the voting stock of an applicant or a recipient of certification or accreditation.
☐ No. Skip to section E. ☐ Yes. Complete this section and provide name of certifier: _____
- a) Was the operation's or any responsibly connected person with this operation's certification or the certification of fields or products ever suspended or revoked? ☐ Yes ☐ No
- b) Did you surrender your certification with outstanding non-compliances or conditions? ☐ Yes ☐ No
- c) Was your application for organic certification ever issued a denial? ☐ Yes ☐ No
- d) Did you withdraw your application for certification with outstanding non-compliances? ☐ Yes ☐ No
- 7) If you answered yes to a, b, c, or d above, please list the years and agencies, attach a copy of all relevant letter(s) and a description of all corrective actions:
Year(s): _____ ☐ Letters Attached
Corrective actions taken: _____

E. California Organic Registration ☐ Not applicable, not based in California ☐ Not applicable, retail or restaurant

Operations engaged in production of organic products in California must register with the state prior to the first sale. Visit the CDFA Organic Program webpage or contact your local County Agricultural Commissioner for more information if you produce organic crops, livestock, or process meat, fowl, or dairy products. Contact the Department of Health Services if you process or handle any other organic products. [California Organic Products Act of 2003].

1) California Organic Program Registration number (grower and post harvest handling). *Example: 12-123456:*

2) Department of Health Services Organic Registration number (processing). *Example: 12345:*

F. Annual Certification Fee

CCOF will estimate and invoice your certification fee based on the information provided below and collected at your initial and subsequent inspections. Please refer to the [CCOF Certification Services Program Manual](#) for fee information. **If you do not provide the information requested below, you cannot move forward in the certification process and your inspection will be delayed.** Certification fees must be paid prior to issuance of certification. Enter your credit card information on page 4 or attach another form of payment.

- 1) **All Operations:** Current or expected total value of certified organic production/sales/services (gross, next 12 months)
- a) **Farm and Livestock operations:** Current or expected cost of certified organic product purchased, such as seed, feed, transplants (next 12 months) and service fees charged by certified organic co-processors, custom grazing, etc. This will be subtracted from the amount in line 1 to determine your annual certification fee.
- b) **Handlers/processors/private labelers and other non-farm businesses:** Current or expected cost of certified organic ingredients/products purchased (next 12 months) and service fees charged by certified organic co-processors. This will be subtracted from the amount in line 1 to determine your annual certification fee.
- c) **Retail and Restaurant operations:** Current or expected number of stores (next 12 months).



CCOF CERTIFICATION CONTRACT

Operation Name: _____ Date: _____

G. Certification Contract and Agreement

- The following must be signed by a legally authorized representative of an operation and by all applicants for certification by CCOF CS (CCOF).

By signing this document, the applicant acknowledges that it has received, has read, fully understands, and agrees to be bound by the terms of the CCOF CS Certification Manuals and further agrees to:

- 1) For operations and any responsibly connected person seeking NOP certification: Comply with all State and applicable organic production and handling regulations as described in rules issued by the United States Department of Agriculture Agricultural Marketing Service (including those regulations in 7 CFR Part 205 and the NOP Handbook as published on the USDA AMS NOP website).
- 2) For operations seeking COR certification: Comply with all Province and applicable organic production and handling regulations as described in rules issued by the Canada Food Inspection Agency
- 3) For operations seeking CCOF GMA or International Standard certification: Comply with the requirements set forth in the CCOF GMA or International Standard Certification Manual, respectively.
- 4) For all operations: Comply with and strictly adhere to all CCOF standards, procedures and policies set forth in the CCOF Manuals including but not limited to the following:
 - a) Establishing, implementing, and updating annually an Organic System Plan that will be submitted to CCOF.
 - b) Permitting on-site inspections at least once per calendar year with complete access to the production or handling aspects of the operation, including non-certified production areas, structures, or offices by CCOF. These inspections may be announced or unannounced at the discretion of CCOF or as required by an accreditation authority, government entity with jurisdiction, or other governing body.
 - c) Maintaining all records applicable to the organic operation for not less than five (5) years beyond their creation.
 - d) Allowing authorized representatives of CCOF, an accreditation authority, government entity with jurisdiction, or other governing body access to these records under normal business hours for review and copying to determine compliance with the applicable standards, regulations or governing law.
 - e) Understanding CCOF may use subcontractors for inspecting, testing and other technical services, as necessary.
 - f) Submitting to CCOF any applicable fees as described on the most current fee schedule.
 - g) Immediately notifying CCOF concerning any application, including drift, of a prohibited substance to any field, production unit, site, facility, livestock, or product that is part of an operation.
 - h) Immediately notifying CCOF of any change in your certified operation or portion of it that may affect its compliance with the applicable standards, regulations or governing law.
 - i) Using the CCOF name and seal(s) only in accordance with CCOF standards and ceasing all use of CCOF's name and seal upon notice by CCOF. Any use of CCOF's names or marks, without the express consent of CCOF, is strictly prohibited and constitutes an infringement of CCOF's rights. CCOF shall be entitled to its reasonable attorney's fees and costs incurred in bringing any civil action, arbitration, or mediation to enforce its rights to its names or marks.
 - j) Destroying or returning to CCOF all packaging and certificate(s) upon notice from CCOF.
 - k) Understanding that the use of the CCOF name and seal must be in accordance with the CCOF standards.
 - l) Authorizing CCOF to list certified parcel crops, products, services, and acreage on my certificate and in the CCOF Directory.
 - m) Immediately ceasing all claims of CCOF certification associated with this operation, and destroying or returning all certificates, labeling, and marketing material containing reference to CCOF in the event that this operation withdraws, or its certification is suspended or revoked.
 - n) Agreeing to be legally bound by the terms of the paragraphs entitled "Consent to Electronic Transmission", "Governing Law", "Consent to Jurisdiction", "Indemnification" and "Limit of Liability" as described in the CCOF Certification Program Manual.

I, the owner or legally authorized corporate representative, acknowledge the above General Requirements for CCOF certification and understand that any willful misrepresentation may be cause for denial of an application and sanctioning of certification. I authorize the person(s) listed above to act on behalf of my company in establishing or maintaining organic certification. I attest that all information in this application is true and accurate to the best of my knowledge:

Name/Title

Signature

Date



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Operation Name: _____ Date: _____

H. Credit Card Payment Information

Type of Credit Card: <input type="checkbox"/> Visa <input type="checkbox"/> Master Card <input type="checkbox"/> Amex			Amount: \$
Credit Card Billing Address:			
City:		State:	Zip code:
Name on Card:		Phone Number:	
Credit Card Number:			
Expiration Date (mm/yy): /		Security Number (The three-digit code on the back of your card. For Amex, this is the four digits on the front):	
CCOF applies a 3% surcharge to each credit card transaction. No additional surcharge is applied to debit card transactions.			
Signature:			

I. Public Profile Information (optional)

Use these options to describe your operation. This information will be used to populate your online directory profile and to help CCOF promote your unique operation.

- 1) Online Presence:
- | | |
|---|---|
| <input type="checkbox"/> Facebook: _____ | <input type="checkbox"/> LinkedIn: _____ |
| <input type="checkbox"/> Instagram: _____ | <input type="checkbox"/> Pinterest: _____ |
| <input type="checkbox"/> Twitter: _____ | <input type="checkbox"/> Youtube: _____ |
- 2) Sales Methods:
- ☐ Community Supported Agriculture (CSA): _____
- ☐ Copacking Services (CS): _____
- ☐ Export (EX): _____
- ☐ Farmer's Market (FM): _____
- ☐ Ingredients (Ing): _____
- ☐ Internet (WWW): _____
- ☐ Produce Stand (PS): _____
- ☐ Retail (R): _____
- ☐ Tasting Room/Winery: _____
- ☐ U-Pick (UP): _____
- ☐ Wholesale (WS): _____
- 3) Apprenticeship Options:
- ☐ Apprenticeship Offered: _____
- Terms: ☐ Board ☐ Internships ☐ Wage ☐ Other: _____
- 4) Company Statement (Promotional/sales/informational or public statement about your company): _____

J. Additional Service Opportunities (optional)

Check any additional services you may be interested in and a CCOF representative or partner organization will contact you.

- ☐ GLOBALG.A.P ☐ PrimusGFS ☐ Regenerative Organic Certified (ROC) ☐ OPT Grass-Fed Program
- ☐ OCAL Cannabis Certification (CA operations only) ☐ Other: _____



- **Complete all Organic System Plan (OSP) section(s) listed for each activity that matches your current organic activities or plans.** Do not complete sections that are not applicable to your operation.
- If your activities change in the future you may need to either complete additional OSP forms or retire OSP forms.

If you do this (more than one may apply):**Fill out these forms:**

1) Apply for CCOF organic retail or restaurant certification.	<ul style="list-style-type: none">• CCOF Certification Contract• R2.0 Retail Establishment Areas and Products• R2.3 Retail Establishment Locations• R4.0 Retail Establishment Organic Practices• Handler Materials Application (OSP Materials List)• R5.0 Record Keeping for Retail Establishments• Organic Fraud Prevention Plan• Organic product labels, menus, signs.
2) Purchase organic products. List all suppliers, including distribution centers, importers, distributors, growers, etc..	<ul style="list-style-type: none">• H2.0A Ingredient Suppliers (for each retail area or product included in organic certification)
3) Use nonorganic processing aids, packaging aids, sanitizers, or other additives in or on organic products (e.g. salt, baking soda, fruit wash).	<ul style="list-style-type: none">• Handler Materials Application (OSP Materials List)• Nonorganic Processing Material Affidavit (for each nonorganic material not previously approved by CCOF, except flavors)• Natural Flavor Affidavit (for each nonorganic flavor)
4) Source organic products from an uncertified broker, trader, wholesaler, or distributor.	<ul style="list-style-type: none">• Exempt Handler Affidavit – for each uncertified supplier (CCOF will determine if certification is required)
5) Use an uncertified storage facility to store organic product in sealed, tamper-evident packaging.	<ul style="list-style-type: none">• Exempt Handler Affidavit (for each uncertified facility)
6) I am a private label brand owner; I contract other independently certified facilities to produce or label organic product.	<ul style="list-style-type: none">• Guide to Handler OSP Forms Complete applicable forms as directed
7) I am the importer of record for organic products.	<ul style="list-style-type: none">• Guide to Handler OSP Forms• Complete applicable forms as directed
8) Process, repack, or label organic products (for my own brand or for private label brands) at a facility I own or lease AND SELL WHOLESALE. Apply for certification as a handler.	<ul style="list-style-type: none">• Guide to Handler OSP Forms Complete applicable forms as directed



Operation Name: _____ Date: _____

- ▶ Complete this form if you make certified organic claims for items sold at a retail establishment.
 - You may only use labels, ingredients, processing aids, suppliers, co-packers, and formulas approved by CCOF to produce organic products. Submit updates for pre-approval before using.
 - Once certified, you are only approved to produce organic products listed on your CCOF client profile, available on www.MyCCOF.org. Pre-approval is required for new products. Approved products will also appear in USDA's [Organic Integrity Database \(Integrity\)](#).
- ▶ Where practices differ across departments or locations, provide descriptions that reflect every possible practice.

A. Certified Organic Retail Areas

- 1) Indicate all retail departments and prepared foods areas that are seeking organic certification.
- ☐ Produce ☐ Bulk ☐ Meat and Poultry ☐ Grocery ☐ Bakery (finish baked only) ☐ Coffee Bar ☐ Salad Bar
- ☐ Specialty & Gourmet Foods (e.g. cheese, olive bar) ☐ In-store Prepared Foods ☐ Juice/Smoothie Bar
- ☐ Full-Service Bakery (in-store baked products) ☐ Full-Service Restaurant ☐ Food Truck ☐ Concession stand
- ☐ Other: _____

B. Organic Claims, Labels, Menus, and Signs

- 1) Which statement best describes your organic claim to customers? If claims differ across retail areas, attach a description of organic claims by specific area. ☐ Description attached.
- ☐ **All items and/or processed products in the Retail Areas indicated above in section A1 are organic.**
- ☐ **Select items and/or processed products in the Retail Areas indicated above in section A1 are organic.** Labels, menus, and signs must clearly distinguish between organic and nonorganic items.
- 2) Attach all labels, menus, and signs with any reference to organic.
- If you use a template for labels, menu boards or other signage, submit an example of each unique template with a description of what information changes.
 - If you offer both organic and nonorganic items in your retail establishment, submit an example of organic display signs vs. nonorganic display signs, as well as organic menu items vs. nonorganic menu items.
- Organic labeling guidelines including international labeling are available at www.ccof.org/labeling. Submit all revisions to CCOF for pre-approval prior to printing or using new labels. Pay particular attention to [Organic Claims on Websites and Other Marketing guidelines](#).*
- ☐ Attached
- 3) Attach an image (or images) to describe how the "Certified Organic by CCOF" statement is displayed within your retail space beyond product labeling (e.g. on menu board, store signage).
- ☐ Attached
- 4) How do you promote your organic products and your organic status as a certified organic retail establishment?
- ☐ Shelf Talkers ☐ Table Tents ☐ Website ☐ Social Media ☐ Virtual ads ☐ Food Truck ☐ Mailers
- ☐ Other (describe): _____

C. Products and Formulas

- 1) Do you offer organic and nonorganic versions of the same item (twin-lined) anywhere within your retail establishment?
- ☐ No, no twin-lined items. **Skip to question C2.**
- ☐ Yes
- a) If yes, are any twin-lined items processed in store (ex. cut fruit, guacamole, pasta salad, rotisserie chicken)?
- ☐ No, twin-lined items are not processed in store. **Skip to question C2.**
- ☐ Yes, twin-lined items are processed in store.
- i. If yes, list twin-lined items or attach a list.
- ☐ List attached
- ☐ Twin-lined items processed in store:
- _____



- 2) Do you process organic products in store?
- Examples of activities that ARE NOT considered processing: removing produce from shipping boxes, washing and transferring produce to display cases, opening bags of dry goods and transferring contents to bulk food dispensers.
 - Examples of activities that ARE considered processing: cooking, baking, curing, heating, drying, mixing, grinding, churning, separating, extracting, cutting, fermenting, preserving, dehydrating, freezing, chilling, relabeling, repackaging, or otherwise enclosing food in a container.
- ☐ Not applicable, no processing. **Skip to section D.**
- ☐ Yes, I process. Complete question below.
- 3) Complete table or attach a separate spreadsheet to describe the types of processed organic products (ex: value-added produce, coffee drinks, rotisserie, breakfast items).
- ☐ Spreadsheet attached
- | Product Category |
|--------------------------------------|
| Ex: Smoothies, Pre-packed bulk items |
| |
| |
| |
- 4) Attach examples of processed organic product item display/packaging.
- ☐ Attached
- 5) If you make multi-ingredient organic products in store, do any contain nonorganic ingredients other than salt or water? Product recipes and changes to recipes must be pre-approved by CCOF as eligibility for organic claims could be impacted.
- ☐ Yes. Additional information will be required including recipes (formulas) and commercial availability.
- ☐ No, all ingredients are organic.
- ☐ N/A, no multi-ingredient products

D. Shortages and Substitutions

- 1) Describe how you monitor and manage nonorganic ingredient substitutions when there is not enough organic product available to cover organic needs. Your description must indicate how staff and customers are notified when a nonorganic ingredient substitution is used, and must specify what situations warrant nonorganic ingredient substitutions.
- Nonorganic ingredients may be substituted for organic only if organic claims are removed.*
- ☐ Shortage and substitution policy, and relevant internal documents attached.
- ☐ N/A. Nonorganic ingredients never substituted for organic. **Skip to section E.**
- 2) Attach image(s) demonstrating how your shortage and substitution policy is made clear to your customers at physical and virtual points of purchase. ☐ Attached
- 3) Attach image(s) demonstrating how you notify customers when a nonorganic ingredient substitution is used. ☐ Attached
- 4) Describe how nonorganic ingredient substitutions are documented.
- ☐ Maintain substitution logs including ingredient, reason for substitution, date of purchase, quantity, and verification that staff and customers were notified.
- ☐ Other (describe): _____

E. Storage Facilities

- 1) If any off-site facilities are used to store organic ingredients or products, complete this table, or attach a list with this information.
- ☐ Not applicable, no off-site storage ☐ List Attached

Storage Facility Name & Address	Ingredients/Products Stored	Documentation
		<input type="checkbox"/> OC* <input type="checkbox"/> EHA**
		<input type="checkbox"/> OC* <input type="checkbox"/> EHA**

*Attach the Organic Certificate (OC) for each certified storage facility listed above. *You must request updated certificates annually.*

**For any uncertified facilities listed above, attach a CCOF [Exempt Handler Affidavit \(EHA\)](#). EHA must be completed by the uncertified storage facility manager. *Product must be enclosed in sealed, tamper-evident packages or containers when received by the storage facility and must remain in those packages or containers throughout storage. In addition, the facility may not handle the product in any way other than storage. CCOF will review the EHA and notify you if certification of the storage facility is required.*



- ▶ Complete this form if you operate a retail establishment.
- ▶ Once certified, your CCOF Client Profile lists your locations, available on www.MyCCOF.org.

A. General Information

1) Retail establishment type:

- ☐ Retail Store ☐ Regional or national retail chain ☐ Food Truck / Farmers Market vendor
☐ Restaurant ☐ Regional or national restaurant chain ☐ Hotel restaurant / in room dining
☐ Stadium concession stand ☐ School or Business cafeteria ☐ Airport dining ☐ Catering services
☐ Other: _____

2) Describe your expansion plans for the next 1-5 years:

List each retail location below. If you have more than 5 locations or anticipate growing beyond 5 locations, submit a separate spreadsheet with all requested information. Be prepared to update the spreadsheet to communicate additional locations and existing changes. *You are responsible for notifying CCOF at least 2 months in advance of new location opening to allow for adequate review and inspection scheduling. Add location fee will apply per [CCOF Certification Services Program Manual](#).*

☐ Locations spreadsheet attached

Location Number / Code	Location Name	Street Address	City	State	Zip	Projected Open Date

B. Organizational Structure

If your operation only has one location, skip to section C.

1) Attach a copy of your operations manual. Highlight areas that address organic integrity.

☐ Attached

2) Attach agreements made between central headquarters and individual locations that are managed outside your organization's direct control (i.e. franchise locations, sports stadiums, airports). Highlight areas that address organic integrity.

☐ Not applicable. Do not operate as a franchise or sell organic products within a separately managed retail space.

☐ Attached

3) Attach a description of how your company is structured (central headquarters, franchises, regional offices, company owned stores, independently managed stores, etc.). Include your personnel and management structure (teams, management, etc.).

☐ Attached

4) Indicate which functions or decisions are managed centrally, regionally, locally, or any combination of those three:

Organic System Plan	<input type="checkbox"/> Centrally	<input type="checkbox"/> Regionally	<input type="checkbox"/> Locally	<input type="checkbox"/> Other: _____
Organic supplier approval	<input type="checkbox"/> Centrally	<input type="checkbox"/> Regionally	<input type="checkbox"/> Locally	<input type="checkbox"/> Other: _____
Organic ingredient purchasing	<input type="checkbox"/> Centrally	<input type="checkbox"/> Regionally	<input type="checkbox"/> Locally	<input type="checkbox"/> Other: _____
Marketing, signage, display & labeling	<input type="checkbox"/> Centrally	<input type="checkbox"/> Regionally	<input type="checkbox"/> Locally	<input type="checkbox"/> Other: _____
New organic product development	<input type="checkbox"/> Centrally	<input type="checkbox"/> Regionally	<input type="checkbox"/> Locally	<input type="checkbox"/> Other: _____
Sanitation procedures & materials	<input type="checkbox"/> Centrally	<input type="checkbox"/> Regionally	<input type="checkbox"/> Locally	<input type="checkbox"/> Other: _____
Pest control contractors & materials	<input type="checkbox"/> Centrally	<input type="checkbox"/> Regionally	<input type="checkbox"/> Locally	<input type="checkbox"/> Other: _____
Staff training	<input type="checkbox"/> Centrally	<input type="checkbox"/> Regionally	<input type="checkbox"/> Locally	<input type="checkbox"/> Other: _____



- 5) When individual locations make independent decisions about organic products, how are those decisions made and communicated (e.g. notification of regional management, internal audits where system are unique, etc.)? For example: if a store decides to launch a new organic product line, how is that communicated internally and to CCOF? **CCOF needs to preapprove changes to your organic program.**

C. Employee Training

Your training program should include proper sanitation, pest control, record keeping, handling, and labeling of organic products to prevent potential contamination and commingling. *Be prepared to demonstrate employee understanding of organic practices at inspections. Training records may be requested at inspection.*

- 1) Attach a copy of your employee training program.
☐ Attached
- 2) How and when do you train individual locations or employees on organic compliance procedures and policies?
-
- 3) How do you monitor whether procedures and policies are successful? *CCOF may request to view monitoring checklists.*
☐ Third party service provider
☐ Internal QA team
☐ Other (describe):
-
- 4) How do you ensure employees are provided **ongoing** access to organic practices, procedures, and updates?
☐ Internal communication website/portal
☐ Other (describe):
-



Operation Name: _____ Date: _____

- ▶ As you complete this form, consider value-added processing, cut and wrap, labeling, relabeling, prepacking, repackaging, meal-preparation, and self-serve stations, as well as product display systems (ex. cold case, wet rack, hot bar, counter/table) and storage practices.
- ▶ You must prevent commingling (mixing) of organic with nonorganic and prevent contamination of organic products with prohibited materials. Commingling and contamination must be prevented the entire time product is under your control, including during transport, receiving, storage, handling, processing, and shipping.
- ▶ You must prevent contamination of organic products with materials used to clean your facility and equipment or used as pest control in your facility.
- ▶ Where practices differ across departments or locations, provide descriptions that reflect every possible practice.

A. Receiving

- 1) Do you receive products that were handled by any of the following uncertified operations: transporters, transloaders, logistics brokers, or freight forwarders?
☐ Yes ☐ No, transporters, transloaders, logistics brokers, and freight forwarders are certified organic
a) If yes, do any transporters, transloaders, logistics brokers, or freight forwarders do any of the activities listed below:
☐ No additional handling
If any of the following are checked, certification of the transporter is required. See the [Exempt Handler Affidavit](#) (EHA) for more details on activities performed by transporters that may require certification.
☐ Enclose, or open packages or containers ☐ Relabel, repack, or package
☐ Sort, recondition, cull, ice, hydro cool, hydro vacuum ☐ Treat or wash organic products
☐ Other handling (describe): _____
- 2) How do you ensure contamination was prevented during transport (e.g. prevent contact with sanitizer residue, gases, liquids)? Select all that apply.
Transporter records must be available for review at inspection and must identify (link back to) the last certified handler.
☐ Clean truck affidavit ☐ Cleaning and sanitizing material records ☐ Certified supplier provides documentation
☐ Truck cleaning procedures ☐ Wash tags ☐ Tanker Seals ☐ Marine Surveyor report for vessel cargo hold
☐ Other (describe): _____
- 3) How do you ensure organic products are not commingled with nonorganic during transport? Select all that apply.
Transporter records must be available for review at inspection and must identify (link back to) the last certified handler.
☐ Not applicable, I only source certified organic products
☐ Distinctly labeled or marked containers ☐ Closed containers ☐ Transported at different times ☐ Visually distinct
☐ Shipped on separate, marked vehicles ☐ Shipped from separate destinations
☐ Other (describe): _____
- 4) Describe your receiving practices and the records maintained to verify organic status of incoming ingredients. Include the steps followed by receiving staff in instances when non-organic is received in place of an organic order.
Receiving practices must prevent the accidental use of nonorganic ingredients.

- 5) Describe your quarantine procedure for products received that appear contaminated or whose organic status is unknown.

B. Storage, Processing & Packaging

Storage, processing, and packaging practices and materials (ex: cardboard boxes, crates) and equipment (ex: carts, trays, bins, lugs) used for display, transport, or storage must not allow for commingling or contamination of organic products.

- 1) Is this retail establishment:
☐ Organic only. **Skip to question 4.** ☐ Organic and nonorganic



- 2) How do you ensure that organic products are not commingled (mixed) with nonorganic products during processing and storage? Be sure to consider preparation, repacking, equipment, and display surfaces. Select all that apply:
- ☐ Organic produced prior to nonorganic
 - ☐ Equipment is purged prior to organic production (ex: nut grinder, coffee roaster)
 - ☐ Clean liners used for organic (ex: baking racks)
 - ☐ Surfaces and equipment are cleaned prior to organic production and display
 - ☐ Distinguishably dedicated organic production areas or equipment (ex: labeled or color coded)
 - ☐ All products sealed and labeled as organic
 - ☐ Only organic packaging materials are re-used for organic products
 - ☐ Organic stored above nonorganic
 - ☐ Distinguishably dedicated organic storage areas (ex: labeled or color coded)
 - ☐ Other (describe): _____
- 3) For materials used in or on **nonorganic** products, describe below how you prevent accidental use during organic processing, and how this can be verified at inspection:
- _____
- 4) For products you repack or process on-site, are your packaging materials free of prohibited materials (ex: fungicides, preservatives, fumigants)? Contact packaging manufacturer if you are unsure.
- ☐ Yes ☐ Not applicable, not purchasing packaging
- 5) For products you repack or process on-site, do you use "active packaging" that emits or releases chemicals into your organic repacked or processed products, e.g. ethylene scavengers, antimicrobial, or antioxidants? *This type of packaging is likely prohibited because active agents migrate into the organic product.*
- ☐ No ☐ Not applicable, not purchasing packaging ☐ Yes. Provide complete packaging information.
- 6) How do you ensure that packaging materials and equipment used for display, transport, or storage do not contaminate organic products?
- ☐ Not applicable, all organic
 - ☐ Only organic packaging materials are re-used for organic products and ingredients
 - ☐ Nonorganic packaging materials are marked for nonorganic use only
 - ☐ Packaging materials and equipment cleaned prior to using for display, transport, or storage of organic products and ingredients.
 - ☐ Distinguishably dedicated organic containers and equipment used for transferring organic and nonorganic products (ex: labeled or color coded)
 - ☐ Other (describe): _____

C. Product Display

Consider all display systems including cold case, wet rack, hot bar, counter, table, etc.

- 1) Does your retail establishment use display tables, cases, or counters to hold organic items for customer selection?
- ☐ No. **Skip to section D.**
- ☐ Yes.
- 2) How do you prevent contact between organic and nonorganic products on display? Select all that apply:
- ☐ Not applicable, all products are organic
 - ☐ Organic and nonorganic products are displayed in separate cases or display areas
 - ☐ Organic and/or nonorganic products are wrapped and otherwise packaged
 - ☐ Organic products are displayed above nonorganic products. Essential for wet racks (mistifiers) and other wet display systems where products above often drip onto products below.
 - ☐ Physical dividers, shelf liners, or containers are used to separate organic and nonorganic products. *Must be cleaned between use for organic and nonorganic products*
 - ☐ Organic parsley, organic kale, or other organic display produce are used between organic and nonorganic products
 - ☐ Dedicated organic shelf liners or containers
 - ☐ Other (describe): _____



- 3) How do you prevent accidental commingling of organic and nonorganic products by customers? Select all that apply:
- ☐ Not applicable, all products are organic OR no customer contact
 - ☐ Do not display organic and nonorganic versions of the same product.
 - ☐ Organic and nonorganic products are displayed in separate cases or display areas
 - ☐ Provide distinguishably dedicated organic scoops or tongs in display area (ex: labeled or color coded)
 - ☐ Other (describe): _____
- 4) How do you address customer commingling of organic and nonorganic products? Select all that apply:
- ☐ Not applicable, all products are organic OR no customer contact
 - ☐ Regular surveys by store personnel to look for customer commingling
 - ☐ Organic product in contact with nonorganic product is immediately removed from display and discarded
 - ☐ Organic product in contact with nonorganic product is immediately removed from display and sold as nonorganic
 - ☐ Other (describe): _____
- 5) Where commingling between organic and nonorganic is unavoidable due to customer handling (ex: shared grinders, scoops, salad bar), how are customers made aware of the risk to organic integrity?
- ☐ Not applicable, no shared equipment OR no customer contact
 - ☐ Signs or labels inform consumers that organic status is lost when processed on shared (organic and nonorganic) equipment.
Submit sample to CCOF for review.
 - ☐ Other (describe): _____

D. Water and Water Additives

Water used in organic production must be potable and meet Safe Drinking Water Act (SDWA) standards.

- 1) Is water used as an ingredient or do you use water to wash organic products?
- ☐ No. **Skip to question E4.**
 - ☐ Yes. Complete this section.
- 2) If you treat water on-site (ex: Reverse Osmosis, UV, carbon filtration, water softeners, pH adjustment), does treated water meet Safe Drinking Water Act Standards? Contact treatment manufacturer if you are unsure.
- ☐ Yes. *CCOF may request documentation that treated water meets Safe Drinking Water Act standards.*
 - ☐ Not applicable, water is not treated.
- 3) For water used to wash organic products, do you add any materials to the water, ex: peracetic acid, hydrogen peroxide, chlorine?
- ☐ No, no materials added to wash water. **Skip to question E4.**
 - ☐ Yes. List materials on your [Handler Materials Application \(OSP Materials List\)](#).
- a) Do you add chlorine to water that directly contacts organic products?
- ☐ No
 - ☐ Yes. Attach records or SOP used for monitoring chlorine. Records or SOP will be verified by your inspector.
- i. If yes, do products undergo a final fresh water rinse?
- Residual chlorine levels in water at last point of contact must not exceed the maximum residual disinfectant limit under the Safe Drinking Water Act (SDWA).*
- ☐ Yes
 - ☐ No, chlorine never added to water above SDWA limits
- 4) If you use steam, does steam contact organic products or interior of packaging?
- ☐ No. **Skip to section F.**
 - ☐ Yes
- a) If yes, describe how steam is used, ex: steam cooking of product, interior of packaging steam application.
- _____
- b) If yes, and boiler chemicals are used, list materials on your [Handler Materials Application \(OSP Materials List\)](#).
- ☐ Attached
 - ☐ Not applicable, no boiler chemicals used
- c) If volatile boiler chemicals are used, describe how you prevent organic products from contacting volatile boiler chemicals, e.g., by shutting off boiler chemical feed prior to organic runs (specify # of hours) and conducting condensate tests: ☐ Attached
- _____



E. Equipment Cleaning and Sanitation

Retail establishment staff must be prepared to describe cleaning and sanitation procedures at inspection.

- 1) Indicate below all cleaning and sanitation practices of equipment and surfaces that contact organic products during **receiving, handling, processing, transport, storage, repacking, packaging, or display** (ex: carts, lugs, RPCs, containers, Hobart, tongs, shelf liners, dividers, bulk bins, scoops, scales). Include equipment cleaning and sanitization that happens before organic processing. You may provide this information as an attachment (ex: operations manual or SSOP for organic): ☐ Attached

- ☐ Dishwasher with high heat sanitation
☐ Dishwasher with material sanitation or rinse aid
☐ Handwash equipment/surfaces with hot water
☐ Handwash equipment/surfaces with material sanitation
☐ Periodic cleaning of dedicated organic equipment (ex: shelf liner, nut butter grinder, bulk bin or liquid dispenser)
☐ Purge*. Be prepared to describe purge procedure at inspection, including the product and quantity purged how you determined this quantity was sufficient, where purged product goes, and how the purge is documented.

**Purge – To expel nonorganic product prior to processing organic product from food processing equipment (when equipment cannot be cleaned, ex. coffee roaster). Review equipment manuals for recommended purge quantities.*

- ☐ Other (describe): _____

- 2) If any surfaces are NOT either cleaned or purged prior to each organic run, explain why not: _____

- 3) How do you ensure cleaner and sanitizer residues are removed from organic contact surfaces? List each material on your [Handler Materials Application \(OSP Materials List\)](#).

- ☐ Rinsing (required for detergents/cleaners and quaternary ammonia)
☐ Air dry or rinse of alcohol sanitizers
☐ Chlorine, peracetic acid, citric acid, hydrogen peroxide, phosphoric acid, and ozone sanitizers – no rinse or air dry required

a) Residue Testing: ☐ Not applicable ☐ pH ☐ Quaternary Ammonia

- ☐ Other testing: _____

- 4) If cleaning is NOT documented, explain how cleaning is known to be completed, e.g. regular staff training in standard operating procedure: _____

F. Facility Pest Management & Monitoring

- 1) Which of the following management practices do you use to **prevent** pests? You must use at least one:

- ☐ Remove pest habitat, food sources, and breeding areas
☐ Prevent access to handling facilities
☐ Manage environmental factors to prevent pest reproduction (temperature, light, humidity, atmosphere, air circulation)
☐ Other (describe): _____

- 2) Which of the following practices do you use to **control** pests in organic production and storage areas?

- ☐ Not applicable, none used
☐ Mechanical or physical controls, including traps, light, or sound
☐ Pheromones, lures, and/or repellents using nonsynthetic or synthetic substances consistent with the National List. If used in organic production and storage areas, list these on your [Handler Materials Application \(OSP Materials List\)](#).

- 3) Are the measures listed above sufficient to prevent or control pests?

- ☐ Yes ☐ No ☐ Not applicable, none used

- a) If no, list pest control materials **from the National List** that you apply in organic production and storage areas on your [Handler Materials Application \(OSP Materials List\)](#). ☐ Attached

Prevention and control methods described in G1 and G2 above must be implemented before other National List materials may be used. See the Handler Materials Application (OSP Materials List) for a list of National List materials.



- 4) Are National List materials sufficient to prevent or control pests in organic production and storage areas?
☐ Yes ☐ Not applicable, none used ☐ No, other pest control materials needed
- 5) If you plan to use non-National List pest control materials, describe why the preventative practices, mechanical or physical controls, and National List materials are not effective to prevent or control pests at your facility. List pest control materials **not on the National list** that you apply in organic production and storage areas on your [Handler Materials Application \(OSP Materials List\)](#).
☐ Letter of justification attached, see [example](#) on CCOF website ☐ Not applicable, no non-National List materials used
-
- 6) How do you prevent pest control materials applied via fumigation, fogging, and/or spray from contaminating organic products, ingredients, and packaging materials? Select all that apply.
You must protect organic production areas, products, and packaging from contamination from all facility pest control materials.
☐ Not applicable, no fumigation, fog, or spray used
☐ Remove organic product and packaging from areas to be treated
☐ Cover equipment used for organic handling during treatment
☐ Other (describe): _____
-
- 7) After fumigation, fogging or spray, how do you ensure pest control materials are removed from any equipment present during fumigation or fogging? Select all that apply.
You must protect organic products from contamination from all facility pest control materials.
☐ Not applicable, no fumigation, fogging, or spraying
☐ Not applicable, no equipment present during fumigation/fogging
☐ Wash and rinse organic contact surfaces after treatment
☐ Purge equipment with nonorganic product after treatment (describe): _____
☐ Other (describe): _____
-
- 8) How do you record pest control material use and measures taken to protect organic products or packaging? Select all that apply.
You must document pest control activities and protection of organic.
☐ Pesticide Use Log ☐ Log describing removal/reentry of products and packaging ☐ Purge log
☐ Other (describe): _____
-



An "Audit Trail" or "trace-back" system documents the source (certified supplier), purchase or acquisition, transfer of ownership, physical and financial possession, receipt, handling, production, processing, contractual oversight responsibilities, sale, and transportation of organic products. Records must disclose all activities and transactions in enough detail to be readily understood and audited. Records must show compliance with organic requirements and be kept for at least five (5) years. Records must identify (link back to) the last certified operation in the supply chain and must identify products as organic.

- Complete a separate [R5.0 Record Keeping for Retail Establishments](#) form for each department or area when different record keeping systems are used.

Department or area covered by this plan:

A. Location of Supplier Certificates

Location where all organic SUPPLIER certificates can be reviewed during inspection. Separate inspection of this location may be required. If identical to the physical location address provided on your [CCOF Certification Contract](#), skip to section B.

☐ Identical to physical location address on contract.

Location type: ☐ Corporate office ☐ Regional office ☐ Store office ☐ Internal portal ☐ Other: _____

Address: _____

City: _____ State/Province: _____ Zip/Postal Code: _____ Country: _____

Contact(name/title): _____

Phone: _____ Fax: _____ Email(s): _____

B. Tracking Organic Products

- 1) Describe or attach a diagram of how your audit trail trace-back system tracks ingredients and finished products from the last certified operation, through transport, storage, inbound receiving, display, production or packing for eventual sale to customer.

Documentation maintained for other programs such as food safety, allergen prevention, product recall, animal welfare grading, etc. may be used as part of your organic trace-back system.

☐ Description or diagram attached

Audit trail systems include the following elements:

- a) **Chain of custody and shipping documents** – Documents include both internal documents you generate as well as external documents generated by the last certified organic operation. Common audit trail documents:
- Bills of Lading (BOL), purchase orders, invoices, contracts, packing slips, certificate of analyses, product specification sheets, receiving logs, inventory logs, batch records, manifests, shipping and delivery records (field ticket, weigh tickets, scale tickets, receipts, tags), chain of custody, truck and trailer numbers, clean truck affidavits.
- b) **Uncertified operations** – Additional audit trail information is required for each shipment that is handled by an uncertified handler, refer to the [Exempt Handler Affidavit](#) (EHA). Sourcing from uncertified handlers requires additional audit trail verification at inspection.
- Documents from exempt, uncertified handlers must identify (link back to) the last certified operation in the supply chain
 - Documents generated by the last certified operation proving purchase, delivery, and/or transfer to the uncertified handler must be included for each shipment.
 - Your receiving procedures must include verification and documentation of the last certified operation.
 - If product passes through multiple uncertified handlers in sequence, documents must trace through all uncertified handlers back to the last certified handler.
- 2) Attach sample audit trail documents to demonstrate your system. ☐ Documents attached
- All audit trail records and documents must identify products and ingredients as "100% Organic", "Organic", "Made with Organic..." or easily understood abbreviation or acronym, e.g. 100% OG, Org, MWO.
 - Documents must identify (link back to) the last certified operation in the supply chain that handled the organic product.
 - Product label must link to documentation via lot number, shipping identification, or other unique identification printed on the label.
 - Documentation must be sufficient to determine the source, transfer of ownership, and transportation of the organic product.



- 3) **In/out mass balance** – Describe the records and system you use to verify sufficient quantity received to meet display needs and/or to produce a finished product batch. You may attach sample documents to illustrate, e.g. monthly log of beginning and ending inventory. Describe any abbreviations or acronyms used in your records to indicate that products are organic. Links may be established via “Sell by” dates on relabeled products or packing slips based on “first in first out”.

CCOF inspectors will verify that you received sufficient organic products to account for final production, sale, or transportation of organic products.

C. Lot Numbering and In/out Mass Balance for Processed / Repacked Products

- 1) Describe your lot numbering system for finished processed / repacked products or attach a description. If you do not process / repack products, skip to section D. ☐ Description attached ☐ Do no process / repack products.

EXAMPLE: **Lot Number:** 23123A045

Code	23	123	A	O	45
Signifies	Year: 2023	Julian date of production	Shift	Organic	Plant location

Lot Number: _____

Code						
Signifies						

D. Supply Chain Overview & Fraud Prevention

You must implement monitoring practices and procedures to verify suppliers in the supply chain and organic status of agricultural products received to detect and prevent organic fraud. You must also implement monitoring practices and procedures to verify that your plan is effectively implemented.

A fraud prevention plan must be appropriate to the activities, scope, and complexity of the operation, and should be sufficient to address the verification and anti-fraud needs of the particular operation. This means not all fraud prevention plans will be alike.

For example, a processor that receives many organic ingredients from numerous suppliers should develop a fraud prevention plan that describes practices to detect, prevent, minimize, and mitigate organic fraud risks in lengthy supply chains. Because fraud prevention plans must verify the organic status of suppliers and organic products, they should include a description of how an operation verifies organic status back to the last certified operation in the supply chain.

- 1) According to the best practices described by the NOP, an Organic Fraud Prevention Plan may include the elements identified in the table below. Use the table as a guide when building your Organic Fraud Prevention Plan. Select the relevant check box below and attach your Organic Fraud Prevention Plan.

- ☐ I completed the [CCOF Organic Fraud Prevention Plan](#) worksheet, attached.
- ☐ I have updated my existing food safety programs (HACCP/HARPC Plan, Food Safety Plan, Food Defense Plan, Supplier Verification Program, Food Fraud Prevention, or other Prerequisite Programs). Attach a description of where and how applicable elements below have been incorporated into your system.
- ☐ I have written my own Organic Fraud Prevention Plan using applicable elements below as a framework. My plan is attached.
- ☐ I am enrolled in OTA's [Fraud Prevention Solutions](#) program (optional third-party program), my Fraud Prevention Plan is attached.

	Supply chain oversight and organic fraud prevention may include:
A	Supply chain map.
B	Practices for verifying the organic status of any product you acquire and/or use.
C	A process to verify suppliers and minimize supplier risk to organic integrity.
D	A vulnerability assessment to identify weaknesses in your practices and supply chain.
E	Identification of critical control points in the supply chain where organic fraud or loss of organic status are most likely to occur and mitigation measures.
F	Monitoring practices, corrective actions, and verification tools to assess the effectiveness of mitigation measures.
G	A process for reporting suspected organic fraud to certifying agents and the NOP .



Operation Name: _____

Date: _____

- ▶ List finished organic products below, including private label brand products co-packed for others. An [Excel version](#) of this document is available online or by contacting CCOF. *Product category, detail and brand name will appear on your CCOF Client Profile (certificate addendum); product category and detail will appear in USDA's [Organic Integrity Database \(Integrity\)](#). CCOF reserves the right to modify product categories to reflect naming conventions.*
 - ▶ Once you are certified, refer to your CCOF Client Profile for a complete list of all products currently included in your certification.
 - ▶ Ensure all suppliers are listed on [H2.0A Ingredient Suppliers](#). Submit [H2.0B Product Formulation](#) for any new multi-ingredient product.
- 1) Attach all labels for all organic products, including retail, nonretail, shipping container labels, temporary signage for unpackaged products, labels for export, and other labels that include any reference to organic. ☐ Labels attached
- *Organic labeling guidelines including international labeling are available at www.ccof.org/labeling. Submit all revisions to CCOF prior to printing or using new labels.*
- 2) Do you package any products for private label brands (brands you do not own)? ☐ No ☐ Yes, complete the [Co-Packer Application](#) for each brand.
- 3) Private label brand owners who do not process: If co-packed product is imported, list importer as well as co-packer in "Name of" column below. For each multi-ingredient product, submit an ingredient statement from the manufacturer to compare to your label. *Ingr. statement not required if co-packer is CCOF certified.* ☐ Ingredient statement attached

Product Category	Product Detail As listed on label	Brand Name	Packaging Form	USA product label claim	Name of: <input type="checkbox"/> Certified location where product is processed (may be your own facility) OR <input type="checkbox"/> Certified co-packer of private label product	Export Market International market you export product to
Ex: Ice Cream	Ex: Vegan chocolate sea salt swirl	Ex: Momo's Munchies	<input checked="" type="checkbox"/> Retail ¹ <input type="checkbox"/> Nonretail ² <input type="checkbox"/> Unpackaged	<input type="checkbox"/> Made w/ organic ³ <input checked="" type="checkbox"/> Organic ⁴ <input type="checkbox"/> 100% Organic ⁵	Ex: Snack Shack	Ex: Canada, Mexico
			<input type="checkbox"/> Retail ¹ <input type="checkbox"/> Nonretail ² <input type="checkbox"/> Unpackaged	<input type="checkbox"/> Made w/ organic ³ <input type="checkbox"/> Organic ⁴ <input type="checkbox"/> 100% Organic ⁵		
			<input type="checkbox"/> Retail ¹ <input type="checkbox"/> Nonretail ² <input type="checkbox"/> Unpackaged	<input type="checkbox"/> Made w/ organic ³ <input type="checkbox"/> Organic ⁴ <input type="checkbox"/> 100% Organic ⁵		
			<input type="checkbox"/> Retail ¹ <input type="checkbox"/> Nonretail ² <input type="checkbox"/> Unpackaged	<input type="checkbox"/> Made w/ organic ³ <input type="checkbox"/> Organic ⁴ <input type="checkbox"/> 100% Organic ⁵		
			<input type="checkbox"/> Retail ¹ <input type="checkbox"/> Nonretail ² <input type="checkbox"/> Unpackaged	<input type="checkbox"/> Made w/ organic ³ <input type="checkbox"/> Organic ⁴ <input type="checkbox"/> 100% Organic ⁵		

¹ Retail = Containers intended to be purchased and carried home by a consumer (retail purchaser). Refer to NOP 205.303-311 for labeling requirements.

² Nonretail = Any container used to ship or store organic products, other than containers used for retail sale of the product. Must identify product as organic and display product lot number, shipping identification, or other unique information that links the container to audit trail documentation.

³ "Made with organic" is only allowed in USA and Mexico. Products labeled "Made with organic" must contain at least 70% organic ingredients. The remaining ingredients must either be agricultural or approved nonorganic materials from the NOP National List.

⁴ Products labeled Organic must contain a minimum of 95% organic ingredients, remaining ingredients must be either organic or approved nonorganic materials from the NOP National List.

⁵ "100% Organic" is only allowed in USA and Mexico. Must be produced with ingredients certified as "100% Organic." Must be produced without nonorganic processing/packaging aids.



Operation Name: _____ Date: _____

- ▶ **Submit this form with your initial application** to describe nonorganic products or materials you plan to use. *Private label or brand owners who do not process products are not required to submit this form; send information about nonorganic materials to your certified co-packer.*
- ▶ CCOF will review all materials listed and provide you with a copy of your OSP Materials List listing approved materials.
- ▶ To add or remove materials after your initial application, update your OSP Materials List directly on MyCCOF.org or submit this form. CCOF may require additional information regarding materials you include on this form.

It is your responsibility to verify that all materials are allowed prior to use. Only materials included in your OSP Materials List may be used. This protects you and helps ensure you do not use noncompliant materials that will negatively affect your organic certification.

A. Nonorganic Processing Aids

- ▶ **List all nonorganic materials that directly contact organic products** (examples: gases, processing/packaging aids, fining agents, acids, filtration aids, wash water additives).
- ▶ Include specific product brand name, function, and manufacturer information.
- ▶ For each nonorganic material not previously approved by CCOF, submit a [Nonorganic Processing Material Affidavit](#) or [Natural Flavor Affidavit](#). Search for approved materials on MyCCOF.org.

Brand Name	Manufacturer	General Material Name	Function (ex: Filtration, wash water, leavening, acidulant, fermentation, etc.)	CCOF Use Only
Example: CleanWash 456A	Washed Waters, LLC	Peracetic acid	wash water additive	

Nonorganic Processing Aids – NOP § 205.105; 205.605; 205.606: Nonorganic materials used in or on organic products must not be the product of GMOs or produced with the use of irradiation or sewage sludge and must comply with any additional annotations.

**B. Equipment Sanitizers and Detergents/Cleaners**

- ▶ Indicate materials used to clean and sanitize equipment and surfaces that organic products contact during receiving, handling, processing, transport, or storage, including grading or sampling equipment.
- ▶ Materials used in areas outside of organic handling do not need to be disclosed, such as employee hand sanitizers, foot baths, bathroom cleaners, or drain cleaners.
- ▶ If you are unsure which material category your cleaning and sanitation chemicals fall under, submit your material label(s) to CCOF and we will determine which category applies.

Material Category <i>Active Ingredient per product label</i>	Used?	Rinsed? (Yes/No)	Location or Surface Used On <i>(ex: processing lines, reused storage containers)</i>
Detergent, Soap, or Cleaner <i>Must rinse</i>	<input type="checkbox"/>		
Chlorine (Calcium hypochlorite, Chlorine dioxide, Sodium hypochlorite, Hypochlorous acid – generated from electrolyzed water)	<input type="checkbox"/>		
Peracetic acid/Peroxyacetic acid	<input type="checkbox"/>		
Phosphoric Acid	<input type="checkbox"/>		
Alcohol (Ethanol, Isopropanol) <i>Must air dry or rinse</i>	<input type="checkbox"/>		
Citric Acid	<input type="checkbox"/>		
Hydrogen Peroxide	<input type="checkbox"/>		
Ozone	<input type="checkbox"/>		
Quaternary Ammonium Sanitizer <i>Must rinse and test for zero residue</i>	<input type="checkbox"/>		
Other or unknown <i>Attach label listing ingredients, rinse may be required:</i>	<input type="checkbox"/>		

C. Boiler Chemicals

- ▶ List materials used in your boiler system, if applicable.
- ▶ For each boiler chemical not previously approved by CCOF, submit a material label or similar spec sheet that discloses composition. Additional information regarding volatility may be required. Search for approved materials on MyCCOF.org.

Boiler Chemical Brand Name	Manufacturer	Volatile? (Yes/No)	Shut off prior to organic? (Yes/No)
<i>Example: Boilerchem 123</i>	<i>The Boiler Pros, LLC</i>	Yes	<i>Yes - 24 hours before organic</i>

**D. Facility Pest Control Materials – National List**

- ▶ National List Pest Control Materials may be used only if preventative practices and mechanical/physical controls are not sufficient to prevent or control pests.
- ▶ Only list materials that are used in organic production and/or organic storage areas.
- ▶ If you are unsure which material category your pest control chemicals fall under, submit your material label(s) to CCOF and we will determine which category applies.

National List Material Category	Used?	Location Used (ex: production room)	Applied by Fumigation/ Fogging/ Spray? (Yes/No)
Ammonium carbonate	<input type="checkbox"/>		
Boric acid	<input type="checkbox"/>		
Botanical pesticides	<input type="checkbox"/>		
Carbon dioxide	<input type="checkbox"/>		
Diatomaceous earth	<input type="checkbox"/>		
Nitrogen gas	<input type="checkbox"/>		
Nonsynthetic bait/lure/repellent	<input type="checkbox"/>		
Pheromones	<input type="checkbox"/>		
Pyrethrum/pyrethrins <i>Pyrethroids are synthetic and not included in this category, list pyrethroids in section E</i>	<input type="checkbox"/>		
Sticky traps	<input type="checkbox"/>		
Vitamin D3	<input type="checkbox"/>		

E. Facility Pest Control Materials – Non-National List

- ▶ Non-National List Pest Control Materials may be used only if preventative practices, mechanical/physical controls, and National List materials are not sufficient to prevent or control pests. Justification for the use of non-National List Materials must be provided.
- ▶ Only list materials that are used in organic production and/or organic storage areas.
- ▶ Any pest control material that does not fit into one of the categories in table D above is considered a Non-National List material.
- ▶ If you are unsure which material category your pest control chemicals fall under, submit your material label(s) to CCOF and we will determine which category applies.

Non-National List Material	Location Used	Applied by Fumigation/ Fogging/ Spray? (Yes/No)
<i>Example: MAX Fog Roach Killer</i>	<i>ex: production room</i>	Yes



Operation Name: _____ Date: _____

- Complete this form if you manufacture, process, label, or repack organic products or contract another certified operation to process and/or package organic products into your brand or label (private label brand owner).
- You may only use labels, ingredients, processing aids, suppliers, co-packers, and formulas approved by CCOF to produce organic products. Submit updates for pre-approval before using.
 - Once certified, you are only approved to produce organic products listed on your CCOF client profile, available on MyCCOF.org. Pre-approval is required for new products; submit a [Product Application](#). Approved products will also appear in USDA's [Organic Integrity Database \(Integrity\)](#).

A. Labels

- 1) Attach all labels for all organic products, including any labels with any reference to organic, and labels for export.
- If you use a template for labels, submit an example of each unique template with a description of what information changes. *Organic labeling guidelines including international labeling are available at www.ccof.org/labeling. Submit all revisions to CCOF for pre-approval prior to printing or using new labels.*
- ☐ Attached
- 2) Do you use any nonretail containers (examples: boxes, bins, totes, bags, etc.) for shipping or storage of organic products?
- *Nonretail containers are any container used to ship or store organic products, other than containers used for retail sale. This includes temporary signage applied to unpackaged product during shipping and storage.*
 - *Nonretail containers must identify product as organic (not required if container holds product packaged for retail sale with organic status visible through the nonretail container).*
 - *Nonretail containers must display product lot number, shipping identification, or other unique information that links the container to audit trail documentation.*
- ☐ Not applicable, no nonretail containers used.
- ☐ Yes. Nonretail labels attached, indicate where lot number will appear. If you use a template for labels, submit an example of each unique template with a description of what information changes.

B. Private label brand owner

- 1) Are you a **private label brand owner** who contracts an independently certified co-packer to produce your branded products?
- ☐ Not applicable, not working with co-packers. Skip to section C.
- ☐ Yes, attach organic certificates for all **co-packers** who produce products for you at their facility. ☐ Attached
- Certificates for co-packed products must list specific branded products.*
- 2) List co-packers below or attach a list with this information. Also list co-packers on your [Product Application](#). ☐ List Attached

Co-packer Facility Name	Facility Address	Type of co-packing, select all that apply
		<input type="checkbox"/> Co-packing at a facility <input type="checkbox"/> Field packing on farm <input type="checkbox"/> Other, describe:
		<input type="checkbox"/> Co-packing at a facility <input type="checkbox"/> Field packing on farm <input type="checkbox"/> Other, describe:
		<input type="checkbox"/> Co-packing at a facility <input type="checkbox"/> Field packing on farm <input type="checkbox"/> Other, describe:

- 3) As a **private label brand owner**, do you source ingredients for co-packers?
- ☐ No, co-packer sources ingredients. ☐ Yes, I source ingredients for co-packers.
- a) If sourcing ingredients, select all that apply:
- ☐ I select suppliers. Co-packer purchases ingredients directly from supplier. *Co-packer must maintain supplier certificates. Ingredients will not be listed on your organic certificate unless you select additional options.*
 - ☐ I purchase ingredients. [H2.6 Broker Suppliers](#) required for organic ingredients, CCOF will list your organic ingredients on your organic certificate.
 - ☐ I take physical possession of ingredients for storage and ship them to my co-packer. [H2.6 Broker Suppliers](#) required for organic ingredients, CCOF will list your organic ingredients on your organic certificate.
 - ☐ Live animals – I purchase or take physical possession of live animals. [L6.1 Livestock Suppliers](#) required.
 - ☐ Other, describe: _____



- 4) If you take physical possession of ingredients or finished products, are all ingredients/ finished products in sealed, tamper-evident packaging and remain in the same packaging? Select all that apply.

Tamper-evident packaging is packaging or a container that is sealed in a manner where an attempt to break the seal, access the contents, or reclose the package would be obvious.

- ☐ Not applicable, not taking physical possession.
- ☐ Ingredients/ finished products are not in sealed and tamper-evident packaging. Attach [H2.3 Organic Facility](#) and [H4.0 Organic Practices](#) for each location. *Storage facility inspection required.*
- ☐ Ingredients/ finished products are in sealed and tamper-evident packaging. Attach an [Exempt Handler Affidavit \(EHA\)](#). *Storage facility inspection not required.*

C. Formulas

- 1) For ingredients and processing aid materials listed on your [H2.0A Ingredient Suppliers](#) and [Handler Materials Application \(OSP Materials List\)](#), do you source the ingredients and materials?

- ☐ Yes, I source.
- ☐ No, another operation sources. *That operation's certificate must list ingredients provided to you.*
- ☐ Not applicable, I am a private label brand owner working with a co-packer.

a) If no, indicate who sources: _____

- 2) For formulas listed on [H2.0B Product Formulation Sheet\(s\)](#), do you control recipes, i.e. own or manage recipes?

Changes to formulas must be pre-approved by CCOF. H2.0B form not required for private label brand owner working with a co-packer; only co-packer is required to submit formula. Private label brand owner must instead submit an ingredient statement from the manufacturer to compare to your label.

- ☐ Yes ☐ No ☐ Some
- ☐ Not applicable, single ingredient products only.
- ☐ Not applicable, I am a private label brand owner working with a co-packer.

- 3) For finished products labeled "Organic" containing **nonorganic** ingredients listed on NOP § 205.606 or 205.605 (if commercial availability is noted in 205.605), attach an [H2.7 Commercial Availability](#) form for each nonorganic ingredient. Examples: flavors, colors, yeast.

You must continually search for organic versions on an annual basis.

- ☐ Attached
- ☐ Not applicable, no nonorganic agricultural ingredients.
- ☐ Not applicable, I am a private label brand owner working with a co-packer. *Co-packer is responsible for organic search.*

D. Storage Facilities

- 1) If any off-site facilities are used to store organic ingredients or products, complete this table, or attach a list with this information.

☐ Not applicable, no off-site storage ☐ List Attached

Storage Facility Name & Address	Ingredients/Products Stored	Documentation
		<input type="checkbox"/> OC* <input type="checkbox"/> EHA**
		<input type="checkbox"/> OC* <input type="checkbox"/> EHA**
		<input type="checkbox"/> OC* <input type="checkbox"/> EHA**
		<input type="checkbox"/> OC* <input type="checkbox"/> EHA**

*Attach the Organic Certificate (OC) for each certified storage facility listed above. *You must request updated certificates annually.*

**For any uncertified facilities listed above, attach a CCOF [Exempt Handler Affidavit \(EHA\)](#). EHA must be completed by the uncertified storage facility manager. *Product must be enclosed in sealed, tamper-evident packages or containers when received by the storage facility and must remain in those packages or containers throughout storage. In addition, the facility may not handle the product in any way other than storage. CCOF will review the EHA and notify you if certification of the storage facility is required.*



Operation Name: _____ Date: _____

- ▶ List all suppliers and ingredients used in organic products, including "work in process" ingredients made in house.
 1. Attach organic certificates for all certified suppliers. ☐ Certificates attached
Certificates must be dated within the last 15 months and must list the specific ingredient you use. For USDA NOP certified suppliers, refer to [Organic Integrity –Database \(Integrity\)](#) for overall certification status. Product listings may need to be requested separately from the supplier. Be prepared to demonstrate your certificate management system at inspection.
 2. For any uncertified supplier of organic ingredients, list both the uncertified supplier and the certified supplier in the Supplier column. Attach an [Exempt Handler Affidavit \(EHA\)](#) for each uncertified supplier. *Product must be enclosed in sealed, tamper-evident retail packaging when acquired by the supplier and must remain in that packaging while under the supplier's control. CCOF will review the EHA and notify you if certification of the supplier is required.* ☐ EHA attached
 3. For each multi-ingredient ingredient, submit an ingredient statement from the manufacturer to compare to your label. ☐ Ingredient statement attached
- ▶ An [Excel version](#) of this document is available at www.ccof.org/documents or by contacting CCOF.
- ▶ Update this master list as you add and remove suppliers. Highlight **new suppliers or products in yellow** and **removed suppliers or products in blue** to simplify updates.
- ▶ List all **nonorganic processing aids, sanitizers, and packaging aids** that contact organic products on your [Handler Materials Application \(OSP Materials List\)](#), not this form. For each nonorganic ingredient or processing aid not previously approved by CCOF, submit a [Nonorganic Processing Material Affidavit](#) or [Natural Flavor Affidavit](#). *Private label brand owners who do not manufacture are not required to submit nonorganic ingredients or processing aids for review.*

Supplier	Ingredient Name <i>List one ingredient per line, match organic certificate, include brand name if any</i>	Organic Ingredient? (Yes, No)	Do you import ¹ this product? (Yes, No)	Date Added to H2.0A	Certifier <i>Optional, for your use</i>	CCOF Use Only
Ex: XYZ Juice Supply	Ex: apple juice concentrate	Yes	Yes	7/15/2020	CCOF	

¹ Imports – Indicate Yes if you are the importer of record. Indicate No if you are not the importer of record. Examples - If you purchase from an importer, indicate No and list the importer in the Supplier column. If you purchase imported products and the importer does not take title, indicate No and list the seller in the Supplier column (not the importer). If your supplier purchases imported products, indicate No; you are not required to know the identity of the importer. "Importer of record" = the owner, purchaser, consignee, or authorized Customs broker of imported products coming into the United States.

Operation Name: _____ Date: _____

- ▶ Use this form for each multi-ingredient product you manufacture. *Private label brand owners who do not process products are not required to complete this form; submit an ingredient statement from the manufacturer. Wineries complete [V2.0 Organic Winery](#) and [V2.1 Wine & Label Approval](#), not this form. Livestock feed producers are not required to submit all formulations, only a sample.*
- ▶ An [Excel version](#) of this document is available online or by contacting CCOF. Complete one H2.0B form for each product formula.
- ▶ See formulas below headers to guide calculations. Weight or fluid volume unit of measurement must be the same for each ingredient, e.g. grams.
- ▶ If you are unclear on the % organic content of an ingredient (B), contact the supplier's organic certifier to request confirmation.
- ▶ For each nonorganic ingredient or processing aid not previously approved by CCOF, submit a [Nonorganic Processing Material Affidavit](#) or [Natural Flavor Affidavit](#). Search for approved materials on [MyCCOF.org](#).

Product Name:				
Label Brand Name(s):				
Ingredient/Processing Aid <i>As listed on H2.0A Ingredient Suppliers list</i> <i>Do not list salt or water</i>		Quantity (A)	Weight, %, or fluid volume	% Organic Content of Ingredient (B) Ingredient's Org. Contribution to Product (C) = (A) x (B)
<i>Ex: chocolate chips</i>		<i>20</i>	<i>grams</i>	<i>95%</i> <i>19 = (20x0.95)</i>
Total of non-salt and water contents (D) : <i>Total of column (A)</i> Quantity Salt (E) : Quantity Water (F) : Total Ingredient Quantity: Add up (D), (E) and (F)				Organic Contribution (G) : Total of column (C) Total Organic %: Divide (G)/(D)

Round down to nearest whole number

"Organic" must be >95% organic

"Made with Organic" must be >70% organic

List processing aids* used that do not contribute to weight or fluid volume (ex: Carbon Dioxide, Chlorine in wash water). Processing aids that contribute to weight or volume must be listed in the table above. *Only ingredients and materials approved by CCOF and appearing on your [Handler Materials Application \(OSP Materials List\)](#) may be used:*

**Products labeled "100% Organic" must be produced without nonorganic processing aids, sanitizers or gases.*



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Exempt Handler Affidavit Instructions

- 1) The CCOF-certified operation completes section A on the following page. This affidavit and any sample audit trail records will become part of the CCOF-certified operation's Organic System Plan (OSP).
- 2) The uncertified handler completes sections B through F. If an exempt, uncertified handler works with multiple CCOF-certified operations, a separate Exempt Handler Affidavit (EHA) is required for each CCOF-certified operation as activities may vary.
- 3) A new Exempt Handler Affidavit (EHA) is only required if there is any change in the future, including a change in activities or management of the exempt handler. An updated EHA may be requested by CCOF at any time.
- 4) CCOF-certified operations will be billed an initial fee for each Exempt Handler Affidavit (EHA), outlined in the [CCOF Certification Services Program Manual](#). Refer to the table in section C. If an EHA is submitted but not required, requested, or approved by CCOF, billing does not apply.
- 5) **Certification (not this affidavit) is required for any of the following:**
 - a) Storage facilities or warehouses receiving organic product that is not in sealed, tamper-evident* packaging.
 - b) Storage facilities where unpackaged product is loaded or unloaded before being loaded into the next transport vehicle (transporter not required to be certified unless otherwise handling).
 - c) Broker, traders, wholesalers, or distributors who sell organic products that are not in sealed and tamper-evident* final retail packaging.
 - d) Importers of organic products into the United States.
 - e) Exporters of organic products for sale in the United States.
 - f) Private label or brand owners who purchase organic ingredients for their co-packers.
 - g) Private label or brand owners who sell organic products in nonretail packaging or sell finished organic products in packaging that is not sealed or tamper-evident* unless private label brand owner can demonstrate exemption.
 - h) Transporters and transloaders who pack, repack, treat, sort, open, enclose, label, or otherwise handle organic products. These activities are not considered transportation.
 - i) Transporters and transloaders who combine, split, or containerize organic products where the activity of combining, splitting, or containerizing is not contracted by a certified organic operation or is not described in a certified operation's Organic System Plan (OSP).

Brokers, traders, wholesalers, distributors, importers, private label brand owners, and storage facilities are considered handlers per NOP § 205.2 "Handle, Handler". Exemptions from certification requirements are outlined in NOP § 205.101 and [Strengthening Organic Enforcement Final Rule](#) section A.
- 6) ***Tamper-evident packaging** is packaging or a container that is sealed in a manner where an attempt to break the seal, access the contents, or reclose the package would be obvious. For 205.101(e) exemption to apply, either the retail or nonretail package must be sealed and tamper-evident. For 205.101(f) exemption to apply, the retail package must be sealed and tamper-evident, the nonretail package is not relevant.
 - a) **Examples of nonretail tamper-evident packaging:** Produce boxes with "DO NOT TAMPER WITH" tape placed across box flaps, sealed bulk bags of flour, sealed drums or totes of olive oil.
 - b) **Examples of retail tamper-evident packaging:** Aseptically sealed jars, boxes of individually wrapped granola bars, clamshells with sticker closing the clamshell, zip-top produce bags sealed with sticker or strip that consumer must rip off to open, salad container with film top that must be ripped off to open, produce individually wrapped in plastic, mesh bags with a label that seals the bag and must be ripped off to open.
 - c) **Examples of packaging that is NOT tamper-evident:** Clamshells without a sticker closing the clamshell, unsealed zip-top bags, mesh bags with a closure that could be removed without damaging the packaging or label, produce with PLU label not enclosed in any packaging, baled hay.
- 7) A helpful resource to determine if certification is required is CCOF's [Organic Certification Self-Assessment](#).



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Exempt Handler Affidavit

A. CCOF-Certified Operation

The CCOF-certified operation completes section A.

- 1) Name of CCOF operation working with uncertified handler: _____
- 2) Describe the business relationship between your operation and the uncertified handler. Include the activities performed by the uncertified handler on your behalf

B. Uncertified Handler

The uncertified handler completes sections B through F.

Uncertified handler operation name: _____

Manager/Owner name: _____

Email: _____

Phone: _____ Website: _____

Address: _____

Describe your role in the organic supply chain for the CCOF-certified operation named in section A.

C. Exemptions

Uncertified Handler – Indicate the exemption that describes your operation, you may select more than one option:

1) <input type="checkbox"/> I operate a storage facility used by the CCOF-certified operation listed in section A to store product in sealed, tamper-evident packaging*. NOP § 205.101(e)	This form is required
2) <input type="checkbox"/> I am a broker, trader, wholesaler, or distributor who takes title or physical possession of organic products. Products are sealed in tamper-evident* final retail packaging and remain in that packaging while in my control. That product (retail labeled, sealed, tamper-evident*) is supplied to the CCOF-certified operation listed in section A. NOP § 205.101(f)	This form is required
3) <input type="checkbox"/> I am a private label or brand owner and the CCOF-certified operation packs organic products into my brand(s). I do not process products. NOP § 205.2 ("handle"), 205.101(b), 205.101(c), 205.101(e), 205.101(f)	This form may be required by CCOF
4) <input type="checkbox"/> I am a licensed customs broker who does not take ownership or physical possession of organic products. I do not sell, import, or trade organic products. NOP § 205.101(g)	This form is <i>optional</i>
5) <input type="checkbox"/> I am a logistics broker, e.g., freight forwarder. I arrange for movement and storage but do not take ownership or physical possession of organic products. I do not sell, import, or trade organic products. NOP § 205.101(h)	This form is <i>optional</i>
6) <input type="checkbox"/> I am a transporter or transloader and am only responsible for the transport of organic products. I do not store, pack, repack, treat, sort, open, enclose, label, or otherwise handle organic product. NOP § 205.2 ("handle")	This form is <i>optional</i>
7) <input type="checkbox"/> I am a transporter or transloader contracted/hired by a certified operation. I may combine, split or containerize organic products as contracted by the certified operation and described in their Organic System Plan (OSP). NOP § 205.2 ("handle")	This form is <i>optional</i>
8) <input type="checkbox"/> I facilitate sale or trade of unpackaged product and/or live animals. Certification may be required. NOP 205.2 ("handle")	This form is required
9) <input type="checkbox"/> Other, describe activities:	This form is required

Where this form is noted as optional above, CCOF reserves the right to require the form to determine compliance with NOP § 205.101.



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D. Exemption Verification

Uncertified handler, complete this section. Answer these questions about the handling you perform for the CCOF-certified operation named in section A. If you work with other CCOF-certified operations, you will need to complete additional Exempt Handler Affidavits to describe the handling you perform for each operation. CCOF will review answers to determine if exemption applies.

	Yes	No
1) Do you handle unpackaged products? Examples: tankers, grain elevators or silos, bulk railcars/truckloads of unpackaged product, livestock. <i>Operations that store, sell, or otherwise handle unpackaged products must be certified. Transport of unpackaged products or livestock may not require certification, provided the certified operation's Organic System Plan describes transport practices and records.</i>	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe:		
2) Do you combine, split, or containerize organic products?	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe:		
3) Do you relabel, repack, package, enclose, or apply any label that alters or obscures the original label or lot number/code? <i>Repacking includes placing product into other packaging that displays organic claims.</i>	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe:		
4) Do you sort, recondition, cull, ice, hydro cool, hydro vacuum, or otherwise process organic product in any way?	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe:		
5) Do you treat organic products or apply any substance to the organic product such as water, ethylene, sanitizers, pesticides, or controlled atmosphere treatment?	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe:		
6) Does organic product ever contact cleaners, sanitizers, pest control materials, nonorganic products, water that has contacted nonorganic products, or other materials while under your control?	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe:		
7) Do you import organic products into the United States?	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe:		
8) Do you export organic products from a foreign country to the United States?	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe:		
9) Is the organic product packaged or enclosed in a sealed, tamper-evident* container prior to being received or acquired by your operation, and does it remain in that same sealed, tamper-evident* container while under your control?	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes, describe how packaging is sealed and tamper-evident* or attach a photo:		
b) If no, describe:		
10) How is the organic product labeled when you receive, acquire, or purchase it? Attach an example of product labeling.		
<input type="checkbox"/> Product is in final retail labeling. Attach example label. <i>Retail label = Labels affixed to containers intended to be purchased and carried home by a consumer (retail purchaser).</i>		
<input type="checkbox"/> Product is labeled nonretail. Attach example label. <i>Nonretail = Any container used to ship or store organic products, other than containers used for retail sale of the product. Nonretail labels must identify product as organic and display the lot number or other unique information that links to the audit trail records.</i>		
<input type="checkbox"/> Product is unlabeled bulk. Attach example signage. <i>Temporary signage must indicate organic status and include lot number.</i>		
<input type="checkbox"/> Not applicable, I do not receive, acquire, or purchase the organic product, describe:		



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	Yes	No
11) Do your audit trail records for each shipment include the information described in section E below? You may attach sample documents to demonstrate your system; all records must be provided to the CCOF-certified operation and will be verified during CCOF inspections. <i>Your audit trail records must link back to the last certified organic operation.</i>	<input type="checkbox"/>	<input type="checkbox"/>
12) Do you take physical possession of organic products; are organic products received at a location that you own or lease?	<input type="checkbox"/>	<input type="checkbox"/>
13) Do you buy (take ownership/title), sell, or trade organic products, or facilitate the sale or trade of organic products on behalf of a seller or yourself? <i>Exemption 205.101(e) does not apply if you buy, sell, or trade organic products.</i> a) If you facilitate the sale or trade of organic products, describe:	<input type="checkbox"/>	<input type="checkbox"/>
14) Do you prepare organic products for shipment? <i>Preparing for shipment = putting packaged products into shipping containers, applying internal tracking numbers, shrink-wrapping shipping cartons to a pallet, breaking down pallets of fully packaged products, adding protective packaging to nonretail containers, packing individual packaged products onto a shipping pallet, loading/unloading packaged products onto or from transport vehicles.</i> a) If yes, describe how you prepare products for shipment:	<input type="checkbox"/>	<input type="checkbox"/>
15) Transporter or transloader – Do you load or unload unpackaged products at uncertified locations? <i>Certification of location(s) where unpackaged products are loaded or unloaded is required. Transport of unpackaged products or livestock may not require certification, provided the certified operation's Organic System Plan describes transport practices and records.</i> <input type="checkbox"/> Not applicable, I am not a transporter or transloader.	<input type="checkbox"/>	<input type="checkbox"/>
16) Private label brand owner – Do you ever purchase ingredients sent to co-packers? <input type="checkbox"/> Not applicable, I am not a private label brand owner a) If yes, are purchased ingredients in sealed, tamper-evident, retail packaging? <input type="checkbox"/> No, purchased ingredients are nonretail packaged or not in tamper-evident packaging. <i>Certification of label owner is required; certificate must list purchased ingredients.</i> <input type="checkbox"/> Yes. Attach example label.	<input type="checkbox"/>	<input type="checkbox"/>
17) Private label brand owner – Do you ever take physical possession of ingredients sent to co-packers? <input type="checkbox"/> Not applicable, I am not a private label brand owner a) If yes, are ingredients in sealed, tamper-evident packaging? <input type="checkbox"/> No, ingredients are not in tamper-evident packaging. <i>Certification of label owner as a storage facility is required.</i> <input type="checkbox"/> Yes. Attach photo showing how packaging is tamper-evident.	<input type="checkbox"/>	<input type="checkbox"/>
18) Private label brand owner – Attach any additional information including references to USDA NOP regulations or other regulations that you believe justify your activities as exempt from certification. <i>Certification may not be required if you qualify for exemption under 205.101(b), 205.101(e), 205.101(f), or do not perform any activities outlined in 205.2 "Handle."</i> <input type="checkbox"/> Not applicable, I am not a private label brand owner <input type="checkbox"/> Attached		
19) Storage facility – indicate the type of storage: <input type="checkbox"/> Not applicable, I am not a storage facility <input type="checkbox"/> Dry storage <input type="checkbox"/> Cold storage <input type="checkbox"/> Freezer storage <input type="checkbox"/> Other, describe:		



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Yes No

20) Broker, trader, wholesaler, distributor

☐ Not applicable, I am not a broker

a) Describe how frequently you change organic suppliers:

E. Audit Trail Records

Uncertified Handler – CCOF-certified operations may only work with exempt handlers who provide full traceability back to the last certified operation for each shipment. The following are required for traceability:

- 1) Nonretail containers used to ship or store organic products must identify product as organic and display the production lot number, shipping identification, or other unique information that links to the audit trail records.
- 2) Purchase invoices, receipts, bills of lading (BOL), and other audit trail records must:
 - Designate products as organic AND
 - Include a description of the product, date of transaction, and amount transferred. You may strike out pricing information, provided organic status and quantity is legible.
- 3) Exempt handler records and the last certified operation's records must link:
 - The last certified operation that handled the product must be listed on exempt handler invoices/records AND/OR
 - Lot numbers applied by the last certified operation to nonretail containers must match lot numbers on exempt handler audit trail records AND
 - If product passes through multiple uncertified exempt operations in sequence, documents must trace product lot number through all uncertified operations back to the last certified handler.
- 4) For each shipment, exempt handlers must provide a complete, current organic certificate for the last certified operation.
- 5) Documents generated by the last certified operation proving purchase, delivery, and/or transfer to the exempt handler must be provided to the CCOF-certified operation.
 - Exempt handler audit trail records must link directly back to the last certified operation, including transport, storage, processing/handling, shipping, and/or distribution. Documents must show that organic integrity was maintained: organic products did not come into contact with nonorganic products or prohibited materials such as fumigants.
- 6) All certified suppliers must be approved by CCOF as part of the certified operation's Organic System Plan (OSP). Notify your CCOF-certified buyer prior to changing suppliers.

Exempt operations must maintain records per NOP § 205.101(i). CCOF-certified operations must maintain records per NOP § 205.103. If CCOF inspectors cannot track organic product back to the last certified operation, sourcing organic products from the exempt handler may be considered a noncompliance.

F. Exempt Handler Statement

I, the owner or legally authorized representative, attest that I am qualified to assess the validity of the statements in this affidavit and the statements are true and accurate to the best of my knowledge. Note that per NOP 205.100(c)(2), any person falsifying statements to an accredited certifying agent shall be subject to the provisions of section 1001 of title 18, United States Code.

I acknowledge the above requirements for audit trail records and disclosure to the CCOF-certified operation and understand that failure to meet the audit trail record requirements or disclose records to the CCOF-certified operation may be cause for CCOF to rescind approval of my operation as an approved exempt organic handler and may be cause for compliance action against the CCOF-certified entity.

Name (Manager/Owner of Exempt Handler)

Signature (Digital, Ink, or E-Verified)

Date

Visit www.ccof.org to apply for certification. Questions about the certification process? Email getcertified@ccof.org.

CCOF reserves the right to inspect any facility storing or handling organic product owned by a CCOF-certified operation per NOP 205.400(c). If the exempt handler misrepresents policies or procedures as stated on this affidavit or acts in a manner that might jeopardize organic integrity or tracking of the organic product, the CCOF-certified operation working with the exempt handler will be notified. The CCOF-certified operation will be held responsible for correcting any noncompliance issues. CCOF will report uncertified handlers who are handling organic products but are not exempt to the USDA NOP for investigation and potential civil penalties.