



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: _____

CLIENT CODE: _____

New Applicant:

Yes

No

OWNER NAME: _____

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



California Certified Organic Farmers®
©2020 CCOF Certification Services, LLC; CCOF, Inc.; CCOF Foundation
T: (831) 423-2263 | F: (831) 423-4528 | ccof@ccof.org





MyCCOF Online Certification Management

INNOVATIVE ONLINE CERTIFICATION TOOLS

Managing your certification just got easier.

MyCCOF is the most powerful tool in certification. Monitor your certification and renewals, access key documents, track the inspection and certification process, respond to action items, search for and add approved materials, and much more—all from your computer, tablet, or phone.

MyCCOF is free for CCOF-certified members. Visit www.ccof.org/myccof to get started.

Use MyCCOF to:

» Track Action Items

Review outstanding requests from CCOF and respond directly, including a document upload. You can also check on updates you've sent to us.

» Get Your OSP Online

Download your current OSP in real time, whenever and wherever.

» Find What You Need

It's easy to find the documents that maintain your certification.

» Find Materials & Track Your Approved List

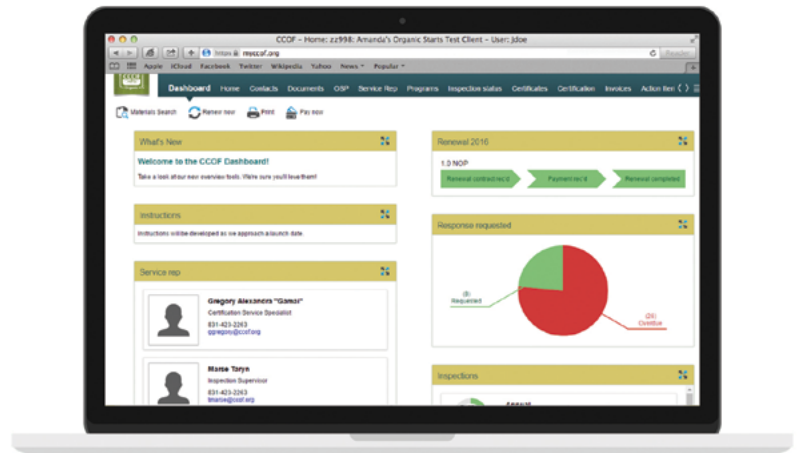
View the materials CCOF has approved for your operation. Plus, remove, search, and add new materials as you need them!

» Download Certificates

Find your current certificates and download other CCOF certified operations' certificates.

» Monitor Inspections

Follow the inspection process. Access inspector contact information, find reports, and stay informed.



» Find Service Staff

Find your CCOF service staff and more.

» Pay Bills

Track invoices and pay online!

» Manage Your Public Profile

Publicize your company statement, sales methods, and social media sites through our online organic directory.

» Track Clients & Facilities

Manage several CCOF-certified operations with a single login. Great for consultants and partnerships!

» And More—Continual Improvements

CCOF is dedicated to making certification easy to manage, and we're continually innovating new ways to make MyCCOF even better than before.

Visit www.ccof.org/myccof today to let MyCCOF work for you!

Certification Made Simple





SEARCH

for approved materials



ADD

new materials to your OSP

Need to add materials to your OSP? It's easier than ever before.

With MyCCOF Materials Search, you'll never again guess if a material has been reviewed. All CCOF internally-reviewed materials, OMRI Products List® materials, WSDA Brand Name List materials, and CDFA Registered organic input materials can be searched in one place. Plus, you can request OSP changes online day or night, from any device.

» Find What You Need in Our Library

View all CCOF internal material review information, plus OMRI Products List® materials, WSDA Brand Name List materials, and CDFA Registered organic input materials. Know what has and has not been approved in the past and view the status of any reviewed material.

» Easily Add to Your OSP

Request addition of materials to your OSP with the click of a button.

» Save Time

No longer is a phone call necessary to add materials. Take control and add to your OSP whenever, wherever; even with a smartphone!

» Get Notifications

Receive updates as soon as your materials have been reviewed and are ready to use.

Do you have current certificates for CCOF certified operations? Access and track them with confidence.

Buyers and distributors will love the "CCOF Certificate Portal" feature in MyCCOF. This one-of-a-kind service offers tracking and management of CCOF certificates. Access CCOF certificates today!

» Get the Green Light

Easily identify a CCOF-certified operation's standing; green, yellow, or red indicators allow for quick review of certification status.

» Easier Purchasing

Better tracking maintains integrity. Find all your CCOF-certified supplier data in one place. The CCOF Certificate Portal is a way to track the status of a CCOF-certified operation. It is not your Organic System Plan (OSP) and does not reflect your approved suppliers.

» Real-Time Notifications

Receive immediate email notification if any certification status changes.

» Instant Certificates



Track certifications and get your suppliers' certificates as soon as they are created. Conveniently search for certificates by date.

» Faster Inspections

Fly through your inspection with an organized queue of certificates and real-time access to their certification status.

» Organize and Prepare

Never accept an uncertified load again! MyCCOF's "CCOF Certificate Portal" feature will save you time and costly mistakes.

Select	Client ID	Name	Service	Certification status	Status	Certificate	Profile
<input type="checkbox"/>	cc1652	Red Barn Farm	1.0 NOP	Surrendered	●		
<input type="checkbox"/>	tt9385	Piggies and Parsnips	1.0 NOP 2.0 GMA	Certified	●		



Need help getting started? Read our MyCCOF FAQs at www.ccof.org/myccofhelp »



CCOF CERTIFICATION CONTRACT

- ▶ 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



CCOF CERTIFICATION CONTRACT

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

CC:

Name/Title Phone number Email

CC:

Name/Title Phone number Email

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)



CCOF CERTIFICATION CONTRACT

- 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



CCOF CERTIFICATION CONTRACT

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:

<input type="checkbox"/> Community Supported Agriculture (CSA): _____
<input type="checkbox"/> Copacking Services (CS): _____
<input type="checkbox"/> Export (EX): _____
<input type="checkbox"/> Farmer's Market (FM): _____
<input type="checkbox"/> Ingredients (Ing): _____
<input type="checkbox"/> Internet (WWW): _____
<input type="checkbox"/> Produce Stand (PS): _____
<input type="checkbox"/> Retail (R): _____
<input type="checkbox"/> Tasting Room/Winery: _____
<input type="checkbox"/> U-Pick (UP): _____
<input type="checkbox"/> Wholesale (WS): _____
- 3) Apprenticeship Options:

<input type="checkbox"/> Apprenticeship Offered: _____
Terms: <input type="checkbox"/> Board <input type="checkbox"/> Internships <input type="checkbox"/> Wage <input type="checkbox"/> 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 certification.	<ul style="list-style-type: none">• CCOF Certification Contract• H5.0 Record Keeping for Handlers• Organic Fraud Prevention Plan (as needed)
2) 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">• Product Application• H2.0 Organic Products• H2.6 Broker Suppliers (if purchasing or storing ingredients that are sent to co-packer)• Organic product Labels
3) Act as a broker, trader, wholesaler, distributor, or importer of organic products; I do not process, repack, or relabel.	<ul style="list-style-type: none">• H2.5 Brokered Products• H2.6 Broker Suppliers
4) Process, physically handle, or label organic products (for my own brand or for private label brands) at a facility I own or lease.	<ul style="list-style-type: none">• Handler Materials Application (OSP Materials List)• Product Application (not applicable for wineries)• H2.0 Organic Products (not applicable for wineries or livestock feed processors)• Organic product Labels
5) Take physical possession of organic products or ingredients at a facility I own or lease.	<ul style="list-style-type: none">• H2.3 Organic Facility – for each location• H4.0 Organic Practices – for each location
6) Use nonorganic processing aids, packaging aids, sanitizers, or other additives in or on organic products.	<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
7) Source ingredients for organic products.	<ul style="list-style-type: none">• H2.0A Ingredient Suppliers (not applicable for brokers, traders, wholesalers, distributors, importers, livestock handlers, or private label owners who contract other facilities to produce products)
8) Process multi-ingredient organic products.	<ul style="list-style-type: none">• H2.0B Product Formulation – for each product
9) Package products under a brand or private label owned by someone else.	<ul style="list-style-type: none">• Co-Packer Application – for each brand owner
10) 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)
11) 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
12) Provide processing, handling, toll processing, or fee-for-services for organic products that I do not own or take title to.	<ul style="list-style-type: none">• H2.4 Organic Services (only applicable for products and services not described on H2.0 Organic Products or H2.5 Brokered Products)
13) Wine – Process or handle wine made from grapes.	<ul style="list-style-type: none">• V2.0 Organic Winery• V2.1 Wine & Label Approval (submit this form & labels once wines are ready to be labeled; wines produced before certification is granted are not eligible to be labeled with organic claims)• GMA Wine Approval Application (if exporting wine from US to EU, UK, or Switzerland)
14) Livestock feed – Produce or mill livestock feed or premixes.	<ul style="list-style-type: none">• H2.2 Livestock Feed



If you do this (more than one may apply):

Fill out these forms:

15) Live animals – I take physical possession or title to live animals for less than one week or I facilitate the sale or trade of live animals.	<ul style="list-style-type: none">• H2.8 Temporary Livestock Management – complete additional forms as directed on H2.8 <i>Operations who take physical possession of animals for more than one week complete full Livestock OSP, not this form.</i>
16) Located in the US and export, design export labels, or sell to a buyer who requires international verification.	<ul style="list-style-type: none">• Global Market Access Program Application (US exports to Canada, EU, UK, Japan, Korea, Switzerland, Taiwan)• Mexico Compliance Program Application (US exports to Mexico)
17) Located in Mexico.	<ul style="list-style-type: none">• Mexico Compliance Program Application
18) Located in Mexico and export, design export labels, or sell to a buyer who requires international verification.	<ul style="list-style-type: none">• Global Market Access Program Application (Mexico exports to Canada)• NOP Import Certificate Request Form (Mexico exports to the US – once certified, exporter completes prior to each shipment)
19) Provide services to a CCOF certified operation and I want that operation to participate in management of my certification.	<ul style="list-style-type: none">• Contracted Partner Program Application (Optional)
20) Grow or harvest organic products or ingredients.	<ul style="list-style-type: none">• Guide to Grower OSP Forms Complete applicable forms as directed
21) Raise organic livestock or take physical possession of animals for more than one week.	<ul style="list-style-type: none">• Guide to Livestock OSP Forms Complete applicable forms as directed
22) Apply for certification of retail/grocery store or restaurant (not required).	<ul style="list-style-type: none">• Guide to Retail Establishment OSP Forms Complete applicable forms as directed



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 <i>As listed on label</i>	Brand Name	Packaging Form	USA product label claim	Name of: <input type="checkbox"/> Certified location where product is processed <i>(may be your own facility)</i> OR <input type="checkbox"/> Certified co-packer of private label product	Export Market <i>International market you export product to</i>
<i>Ex: Ice Cream</i>	<i>Ex: Vegan chocolate sea salt swirl</i>	<i>Ex: Momo's Munchies</i>	<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	<i>Ex: Snack Shack</i>	<i>Ex: Canada, Mexico</i>
			<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.
 NOPB80, V2, 12/30/2023



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

Table with 3 columns: Storage Facility Name & Address, Ingredients/Products Stored, Documentation. Includes checkboxes for OC* and 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: _____

► Complete this form if you are a broker, trader, wholesaler, distributor, or importer of organic products that you do not process, repack, or relabel. If you process, repack, or relabel, complete the [H2.0 Organic Products](#) instead.

A. Activities

1) Select all that describe your activities:

- Broker Trader Wholesaler Distributor
- Importer of packaged product (e.g.: retail packaging, produce boxes, drums)
- Importer of unpackaged product in shipping containers or totes
- Importer of unpackaged product in bulk vessels
- I take title to products I take physical possession of products I drop ship products to customers directly from suppliers
- I arrange sales between buyers and sellers without taking title or possession
- Exclusive sales agent for (operation name): _____
- Other (describe): _____

2) If you take physical possession of products, are all 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.
- 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 is required.*
- Products are in sealed and tamper-evident packaging. Attach an [Exempt Handler Affidavit \(EHA\)](#). *Storage facility inspection not required.*

B. Harvest and Transportation

1) Do you harvest organic crops and/or contract out harvest of organic crops?

Organic certificates must list harvested parcels. Records must list harvested parcels and show that harvest equipment is cleaned or purged.

- No Yes. Complete sections A & B on [G6.1 Harvest & Transport](#)

2) Do you work with 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): _____

3) Are any products unpackaged (ex: tankers, railcars, vessel cargo holds)?

- No Yes

All facilities where unpackaged products are transferred from the transportation vehicle into storage must be certified organic, list storage facilities in section C below.

a) If yes, do transporters combine, split, or containerize products?

If transporters combine, split, or containerize on your behalf, this activity must be described in your OSP or the transporter must be certified.

- No Yes, describe: _____



4) 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.

- Checkboxes for: 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):

5) 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.

- Checkboxes for: Not applicable, 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):

C. Storage Facilities

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

- Checkboxes for: Not applicable, no off-site storage, List Attached

Table with 3 columns: Storage Facility Name & Location, Ingredients/Products Stored, Documentation. Documentation column contains checkboxes for OC* and 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:** _____

- ▶ Complete this table if you are a broker, trader, wholesaler, distributor, or importer of organic products that you do not process, repack, or relabel.
- ▶ Also complete this table if you are a private label owner who purchases or stores ingredients that are sent to your co-packer.
- ▶ List your organic suppliers and products in the table below. An [Excel version](#) of this document is available online or by contacting CCOF.
- ▶ Once you are certified, you are only approved to sell the organic products listed on your CCOF Client Profile, available on MyCCOF.org.
Product name and brand name (if any) will appear on your CCOF Client Profile (certificate addendum); product name will appear in [Organic Integrity Database \(Integrity\)](#). CCOF reserves the right to modify product listings to reflect naming conventions.
- ▶ Update this table as you add new suppliers. Highlight **new suppliers or products in yellow** and **removed suppliers or products in blue** to simplify updates.
 1. Attach organic certificates for all certified suppliers. Certificates attached
Certificates must be dated within the last 15 months and must list the specific product you source. 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, list both the uncertified supplier and the certified supplier in the Supplier column. Attach a [Exempt Handler Affidavit \(EHA\)](#) for each uncertified supplier. *Products 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

Supplier	Product Name <i>List one product per line, match organic certificate, include brand name if any</i>	Packaging Form <i>Retail¹ Nonretail² Unpackaged</i>	USA product claim <i>Made w/ organic³ Organic 100% Organic⁴</i>	Do you import ⁵ this product? (Yes, No)	Export Market <i>International market you export to</i>	CCOF approved?
<i>Ex: XYZ Juice Supply</i>	<i>Ex: apple juice – Appleton brand</i>	<input type="checkbox"/> Retail ¹ <input checked="" type="checkbox"/> Nonretail ² <input type="checkbox"/> Unpackaged	<input type="checkbox"/> Made w/ organic ³ <input checked="" type="checkbox"/> Organic <input type="checkbox"/> 100% Organic ⁴	Yes	<i>Ex: Canada, EU, Mexico</i>	
		<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 <input type="checkbox"/> 100% Organic ⁴			
		<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 <input type="checkbox"/> 100% Organic ⁴			
		<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 <input type="checkbox"/> 100% Organic ⁴			
		<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 <input type="checkbox"/> 100% Organic ⁴			

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.
⁴ "100% Organic" is only allowed in USA and Mexico. Products labeled 100% Organic must be listed as 100% organic on the supplier's organic certificate.
⁵ 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.
 NOPB96, V2, 12/30/2023



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 H5.0 Record Keeping form for each process or product when different record keeping systems are used.

Facility, product, or process covered by this plan:

A. Location of Records

Location where all organic records can be reviewed during inspection. If identical to the physical location address provided on your CCOF Certification Contract, skip to section B. Identical to physical location address on contract.

Address: _____

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

Contact(name/title): _____

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

B. Lot Numbering

- Describe your lot numbering system for finished products or attach a description. If you do not process products and use your supplier's lot number, describe their system. Description attached

EXAMPLE: Lot Number: 23123A045

Table with 6 columns: Code, 23, 123, A, O, 45. Signifies: Year: 2023, Julian date of production, Shift, Organic, Plant location

Lot Number: _____

Table with 6 columns: Code, Signifies

- How do nonretail containers identify the organic status of the product, including temporary signage applied to unpackaged product during shipping and storage? Select all that apply.

Nonretail containers are any container used to ship or store organic products, other than containers used for retail sale. All nonretail containers must identify product as organic. If nonretail container holds retail labeled product and organic status is visible through the nonretail container, nonretail container is not required to identify product as organic.

Organic, Org, O, OG, MWO CCOF seal USDA seal "Certified organic by CCOF" statement

Nonretail container holds product packaged for retail sale & organic status is visible through nonretail label

Other (describe): _____

- Where does lot number, shipping identification, or other unique information appear? Select all that apply.

All nonretail containers used to ship or store organic products must display lot number, shipping identification, or other unique information that links to audit trail documentation.

Printed on retail label

Printed on nonretail shipping container or package

Other (describe): _____



- 4) How is lot number, shipping identification, or other unique information linked to audit trail documentation associated with outgoing shipments? Select all that apply.
- On invoice or Bill of Lading On a "pick list" or "ship list"
- Other (describe):

C. Tracking Organic Products

- 1) Describe or attach a diagram of how your audit trail trace-back system tracks finished products from the last certified operation, through transport, storage, inbound receiving, production or packing to final outbound shipping or invoice.

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.
- c) **Imports to the US** – Importers are required to have additional documentation showing that imported organic products have not been treated upon entry to the USA. Organic imports must be clearly identified and marked as organic on all import documents, including U.S. Customs and Border Protection entry data.
- NOP Import Certificate must be associated with each shipment. The exporter must request an NOP Import Certificate from their certifier prior to shipment. The importer must declare the shipment as organic and enter the NOP Import Certificate number into the CBP ACE database.
 - Additional documentation for each shipment may include, but are not limited to: import permits, phytosanitary certificates, transaction certificates, NOP Import Certificates, CBP Forms 3461 and 7501, commercial invoices, export packing list, Certificate of Origin, Bill of Lading, Waybills/Air Waybills, AMS Inspection Certificate, Charter Party, Marine Surveyor report (for bulk vessel shipments), APEDA Certificate of Inspection for shipments from India.
- d) **Exports**
- Shipments from the **US** to other countries – CCOF-issued export certificates may be reviewed as part of your in/out mass balance during inspection.
 - Shipments from **Mexico to the US** – Each shipment must be associated with an NOP Import Certificate. You must request an NOP Import Certificate from CCOF prior to shipment. Audit trail documentation showing that exported products were not treated at any point in the product's movement across country borders must be maintained and verified at inspection.
- 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 track inventory of ingredients and products. 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.

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

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 .



E. Imports

- 1) Do you work with any licensed Customs Brokers?
 - Yes No, continue to question E2.
 - a) If yes, does any Customs Broker also do any of the following:
 - If any of the following are checked, provide an [Exempt Handler Affidavit](#) (EHA) for the Customs Broker so CCOF can determine if certification is required.*
 - Act as importer of record Sell imported products Trade imported products
 - Take physical possession of imported products Take ownership of imported products
- 2) Do you import any organic products into the United States or purchase or receive organic products directly from any importers?

All importers of organic products into the United States must be certified and you must maintain organic certificates for any importer you source from.

Select all that apply:

 - No, no imported products. Stop, this form is complete.
 - Yes, I import organic products, I am the importer of record. *Importer of record = the owner, purchaser, consignee, or authorized Customs broker of imported products coming into the United States.*
 - Yes, I purchase imported products from a certified organic importer. Stop, this form is complete. *Importers who take title should be listed on your supplier list (H2.0A or H2.6).*
 - Yes, I directly receive imported products from a certified organic importer who does not take title. Stop, this form is complete. *Importers who do not take title do not need to be listed on your supplier list (H2.0A or H2.6) but are still required to be certified and you must maintain their organic certificates. Supplier list (H2.0A or H2.6) must list certified seller (not importer) and you must also maintain seller's organic certificate.*
 - Yes, I receive imported products from my supplier. Stop, this form is complete. *If your supplier purchases imported products, you are not required to know the identity of the importer or maintain their organic certificate. Supplier is responsible for that information.*
- 3) If you are the importer of record – Are phytosanitary certificates required for any of your imported commodities?
 - No Yes. *Have all phytosanitary certificates available at inspection.*
- 4) Do your imported commodities currently have any Conditions of Entry?
 - No Yes
 - a) For products with Conditions of Entry, how do you ensure that only organic compliant treatments are used (ex: cold treatment, carbon dioxide)?

- 5) How do you verify that imported products were not treated or exposed to a prohibited substance, fumigated with prohibited substances, or exposed to ionizing radiation?
 - Standard Operating Procedure is attached.
 - I am notified of shipments that require treatment. Describe notification: _____
 - Other (describe): _____
- 6) If treatment is required, I will notify CCOF, maintain treatment documentation (PPQ Form 203, Fumigation Form 429, and Emergency Action Notification Form 523), and do the following (check all that could apply):
 - Treat with organic allowed treatment (ex: cold treatment, carbon dioxide).
 - Treat with prohibited treatment and sell as conventional (nonorganic).
 - Return shipment to exporter.
 - Destroy shipment.
 - Other (describe): _____



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Organic Fraud Prevention Plan

Operation Name: _____ **Date:** _____

Use this worksheet to describe the monitoring practices and procedures you use to verify suppliers in the supply chain and the organic status of agricultural products received to detect and prevent organic fraud. Also describe the monitoring practices and procedures performed to verify that your plan is effectively implemented.

- ▶ You are responsible for using appropriate and effective means to prevent organic fraud in your supply chain. Your fraud prevention plan should reflect the activities, scope, and complexity of your supply chain.
- ▶ This form, including any addendums, may serve as your Organic Fraud Prevention Plan if you do not have organic fraud prevention integrated into your food safety program and are not enrolled in the OTA Fraud Prevention Solution program.
- ▶ An Organic Fraud Prevention Plan is a living document that should be updated as needed to reflect changing circumstances, ingredients, business practices, supply chains etc.

Not all Organic Fraud Prevention Plans will be alike. According to the best practices described by the NOP, an Organic Fraud Prevention Plan may include the elements identified below.

A. Supply chain map

- 1) Attach a map of your supply chain, beginning with the certified operations before you in the supply chain and ending with certified operations that you sell or ship organic products to. You do not need to submit a separate map for each ingredient unless supply chains are significantly different.
 - Include steps that happen off-site, such as transportation and storage.
 - If product moves through different facilities, describe the flow across different facilities.
 - Indicate when the product changes ownership, including any importing or exporting. Supply chain map attached

B. Practices for verifying the organic status of any product you acquire and/or use

- ▶ You must maintain organic certificates for all suppliers, importers, contracted co-packers, certified private label brand owners, storage facilities, and any other certified organic operation you work with.
 - ▶ You must ensure that all certificates are current (issued within the last 15 months) and complete; listing specific products/crops/parcels/brands. If you export product, certificate must list export market compliance.
 - ▶ For USDA NOP certified operations, refer to [Organic Integrity Database \(Integrity\)](#) for overall certification status. Product listings may need to be requested separately from the operation.
- 1) Your monitoring system must verify that all suppliers and other organic operations you work with are currently certified for the ingredients/products you source, and/or products they produce for you, and/or products you produce for them.
 - a) How frequently do you review organic certificates? *Annual verification is required at a minimum.*
 - With each shipment
 - Monthly
 - Quarterly
 - Annually
 - Other (describe): _____
 - b) Attach or describe your monitoring system. *Be prepared to demonstrate your system at inspection.* Attached

- 2) At receiving, how do you monitor and verify that incoming organic products are from approved suppliers and are organic? Check all that apply or attach a description. Not applicable, I do not take physical possession.
Receiving records must be available for review at inspection and must link back to the last certified handler.
 - Approved organic supplier list verified against bill of lading (BOL) or packaging/container labels
 - Current organic certificate required with each shipment, supplier verified as approved, certificate verified to list product received
 - Other (describe): _____



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C. A process to verify suppliers and minimize supplier risk to organic integrity

- ▶ Before sourcing from new suppliers or working with any other organic operation, you must review their organic certificate to ensure it is current (dated within the last 15 months) and complete; listing specific products/crops/parcels/brands. If you export product, the organic certificate must list export market compliance.
 - ▶ New suppliers and other organic operations you work with must be added to your OSP.
- 1) Do you have a supplier approval program in place to identify, evaluate, and approve new organic suppliers and any other certified organic operation you may work with? *Be prepared to demonstrate your system at inspection.*
- Yes No. If no, explain why not:

2) What is included in your organic supplier approval program? Select all that apply:

- Verification that the supplier's current organic certificate was issued within the last 15 months, includes the list of certified products, and identifies the products I source from them.
- Verification that supplier agrees to meet product specifications for each shipment of product.
- Verification that the supplier participates in 3rd party food safety audits (GFSI or other) and has a passing score that will be provided to my operation annually.
- Verification that the supplier can meet my quality and quantity demands.
- Verification that the supplier agrees to provide timely organic certificate updates at least annually, or upon demand as needed.
- Verification that supplier can provide product residue sampling results on agreed upon schedule (every shipment, one shipment per week, quarterly samples, etc.).
- Verification that the supplier will immediately provide written notification of any positive residue results linked to product purchased by or received by my operation.
- Verification that supplier agrees to annual on-site inspections by representative of my operation.
- Verification that CCOF approves the supplier as part of my OSP supplier list (or other OSP section, as applicable).
- Other, please describe:

3) How often do you switch suppliers, add new suppliers, make one-off purchases or do "spot purchasing"?

Frequent changes may result in increased risk of receiving fraudulent products. CCOF may conduct additional audit trail verification at inspections.

- Daily or Weekly Monthly or Quarterly Annually Rarely or Never

D. Vulnerability assessment to identify weaknesses in your practices and supply chain

▶ Assess the following areas for vulnerabilities where fraud has a greater chance to occur. Each area includes examples of criteria you may consider when conducting your vulnerability assessment.

- 1) **Product assessment** – Consider qualities that are intrinsic to the product (packaging, geopolitical, socio-economic, agronomic):
- *High risk examples:* Product has history of fraud, product is bulk/unpackaged, product comes from an area of political unrest/uncertainty, drastic increases or fluctuations in price, high demand, recent production challenges (e.g. flooding, pests), large fluctuations in production volume, or large disparity between organic and nonorganic pricing.
 - *Low risk examples:* Product packaged in sealed and tamper evident retail packaging, product is readily available in the organic market, product is produced domestically.
- 2) **Supply chain assessment** – Consider the qualities that are inherent to the suppliers you work with:
- *High risk examples:* Low visibility of the entire supply chain, long supply chain (product changes ownership many times before it is in your possession), backup supplier not established (could lead to urgent spot purchases), uncertified operations involved in the supply chain, supplier is selling commodity below cost of production.
 - *Low risk examples:* Established long term supplier relationships, written sales contract addressing organic considerations, supplier readily provides information upon request (organic certificates, specification sheets etc.), supplier is the producer of the organic product, vertically integrated supply chain where the end handler has complete traceability and visibility back to the farm level.



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3) Internal company assessment

- *High risk examples:* Past food fraud incidents, inadequate or minimal supplier approval program, inadequate or minimal receiving procedures, lack of Food Defense Plan, no standard procedures requiring sign-off from more than one employee for each transaction, no formal training for employees involved in organic handling or production, only one knowledgeable employee about the Organic System Plan, repeated failure of mass balance or audit trail exercises during inspections or internal audits.
 - *Low risk examples:* Third party food safety certification (GFSI or similar), established employee training program that addresses organic fraud, written employee code of conduct, employee screening procedures in place, whistleblower guidelines and protection for employees that find internal fraud, history of successful mass balance or traceback exercises during inspections or internal audits.
- My vulnerability assessment is documented and I can describe my vulnerability assessment at inspection (not required to submit a copy of vulnerability assessment unless requested by CCOF).
- My vulnerability assessment is not documented but I can describe my vulnerability assessment at inspection.
- Not applicable to my operation

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

- ▶ **Critical Control Point:** A step at which control can be applied and is essential to prevent or eliminate a hazard or reduce it to an acceptable level.
 - ▶ The following are examples of risks that may require an Organic Critical Control Point (OCCP), **the step when control can be applied**, and *examples of mitigation measures*. Refer to vulnerability assessment section D for additional examples of risk that may require Critical Control Points.
 - Product vulnerability example: Product is imported and has a known condition of entry, has a potential for fumigation with prohibited material.
 - ✓ OCCP and mitigation example: **At receiving**, *review the import documentation accompanying the shipment for verification that the product was not treated. Product remains on hold until verification is complete.*
 - Supply chain vulnerability example: Product is in high demand; I only have one supplier identified and they have a history of shorting orders.
 - ✓ OCCP and mitigation example: **Before making another purchase**, *require existing supplier to sign a contract guaranteeing delivery quantities. Identify new potential back-up suppliers.*
 - Internal vulnerability example: My company does not have an established procedure for verifying new suppliers. We frequently change suppliers and select suppliers based solely on the lowest price.
 - ✓ OCCP and mitigation example: **Before making another purchase**, *establish a supplier verification program and screen existing suppliers against our verification program requirements. We will not purchase from suppliers that do not pass our supplier verification program requirements.*
- 1) Based on your vulnerability assessment, have you identified Organic Critical Control Points (OCCPs) in your supply chain? OCCPs must be established for the vulnerabilities where there is the highest risk of fraud or loss of organic status.
- My critical control points are documented and I can describe my critical control points at inspection (not required to submit a copy of critical control points unless requested by CCOF).
- My critical control points are not documented but I can describe my critical control points at inspection.
- Not applicable to my operation
- 2) For each Organic Critical Control Point, have you developed and implemented mitigation measures to eliminate or reduce the risk for fraud or loss of organic status?
- My mitigation measures are documented and I can demonstrate my mitigation measures at inspection (not required to submit a copy of mitigation measures unless requested by CCOF).
- My mitigation measures are not documented but I can demonstrate my mitigation measures at inspection.
- Not applicable to my operation



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F. Monitoring practices, corrective actions, and verification tools to assess the effectiveness of mitigation measures

- 1) Do you have monitoring procedures to ensure that the mitigation measure for each Organic Critical Control Point is met and corrective actions should your mitigation measures fail?
 - My monitoring and corrective action procedures are documented, and I can demonstrate them at inspection (not required to submit a copy of monitoring practices unless requested by CCOF).
 - My monitoring and corrective action procedures are not documented, but I can demonstrate them at inspection.
 - Not applicable to my operation
- 2) How do you verify that your Organic Fraud Prevention Plan is effective? Select all that apply.
 - Internal audits
 - Periodic review of records for quality control
 - Annual review of Organic Fraud Prevention Plan
 - Other, describe:

G. A process for reporting suspected organic fraud to certifying agents and the NOP

► *Organic fraud: Deceptive representation, sale, or labeling of nonorganic agricultural products or ingredients as organic.*

- 1) Describe your criteria for reporting suspected fraud.
Select all that apply:
 - I report all positive sample results linked to organic products I handle.
 - I report instances where I have observed fraudulent activity.
 - I report instances where the quantity of organic product received from a supplier exceeds their known production capacity and can provide credible evidence.
 - I report instances where an organic product is being offered for sale below market price without reasonable explanation and can provide credible evidence.
 - I report all other instances where I can provide credible evidence of fraud. Credible evidence may include but is not limited to: photos, screen shots of websites, audit trail records, copies of correspondence, residue sample results, GMO sample results, etc.
 - Other (describe):
-
- 2) What is your process for reporting credible evidence of organic fraud? Select all that apply:
 - Report to [CCOF](#)
 - Report to supplier's [certifying agent](#)
 - Report to USDA [NOP](#)
 - Report to California Department of Food and Agriculture (CDFA) [State Organic Program](#) for operations in CA
 - Other (describe):
-



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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*. <i>NOP § 205.101(e)</i>	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. <i>NOP § 205.101(f)</i>	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. <i>NOP § 205.2 ("handle"), 205.101(b), 205.101(c), 205.101(e), 205.101(f)</i>	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. <i>NOP § 205.101(g)</i>	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. <i>NOP § 205.101(h)</i>	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. <i>NOP § 205.2 ("handle")</i>	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). <i>NOP § 205.2 ("handle")</i>	This form is <i>optional</i>
8) <input type="checkbox"/> I facilitate sale or trade of unpackaged product and/or live animals. <i>Certification may be required. NOP § 205.2 ("handle")</i>	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>	<input type="checkbox"/>	<input type="checkbox"/>
a) If you facilitate the sale or trade of organic products, describe:		
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>	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes, describe how you prepare products for shipment:		
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"/>	<input type="checkbox"/>
<input type="checkbox"/> Not applicable, I am not a transporter or transloader.		
16) Private label brand owner – Do you ever purchase ingredients sent to co-packers?	<input type="checkbox"/>	<input type="checkbox"/>
<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.		
17) Private label brand owner – Do you ever take physical possession of ingredients sent to co-packers?	<input type="checkbox"/>	<input type="checkbox"/>
<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.		
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.



Global Market Access (GMA) Application

Find this form at www.ccof.org/resources

- ▶ The CCOF GMA program reviews your operation for compliance with the equivalence arrangements between:
 - USDA National Organic Program (NOP) with Canada, the EU, UK, Japan, Korea, Switzerland, and Taiwan
 - Canada Organic Regime (COR) with the US, the EU, UK, Japan, Switzerland, and Taiwan
- ▶ Complete information regarding program and export market requirements and fees can be found in the [GMA Program Manual](#).

You will be enrolled in the GMA program if you check any of the following:

- ▶ **I am in the US (certified to NOP), and I:**
 - Export CCOF certified organic products to Canada, the EU, UK, Japan, Korea, Switzerland, Taiwan from the US.
 - Design labels for products that will be sold in Canada, the EU, UK, Japan, Korea, Switzerland, or Taiwan.
 - Sell CCOF certified organic products to any buyer who requires international verification.
- ▶ **I am in Mexico (certified to NOP), and I:**
 - Export CCOF certified organic products to Canada from Mexico.
 - Design labels for products that will be sold in Canada.
 - Sell CCOF certified organic products to any buyer who requires Canadian verification.
- ▶ **I am in Canada (certified to COR), and I:**
 - Export CCOF certified organic products to the US, the EU, UK, Japan, Switzerland, or Taiwan from Canada.
 - Design labels for products that will be sold in the US, the EU, UK, Japan, Switzerland, or Taiwan.
 - Raise livestock or make livestock products that are exported to the US from Canada.
 - Sell CCOF certified organic products to any buyer who requires international verification.

The following require a different CCOF program and application:

- ▶ **Mexico Compliance Program:** US based operations who plan to export to Mexico.
www.ccof.org/page/ccof-international-programs
- ▶ **GMA Wine program:** US operations who plan to export wine to the EU, UK, or Switzerland. You must complete the GMA application (this form) and the [GMA Wine Approval Application](#).

A. General Information

Operation Name:	Client Code:	Date:
1) Which foreign markets are you planning to export to, directly or indirectly (as an ingredient or through brokers/traders, etc.)?	<input type="checkbox"/> Canada <input type="checkbox"/> EU/UK <input type="checkbox"/> Japan <input type="checkbox"/> Korea <input type="checkbox"/> Switzerland <input type="checkbox"/> United States <input type="checkbox"/> Taiwan <input type="checkbox"/> Other:	
2) <i>Growers:</i> What crops do you plan to export directly or indirectly (as an ingredient or through brokers/traders, etc.) to these foreign markets?	<input type="checkbox"/> N/A, I do not grow crops. <input type="checkbox"/> All crops from all parcels. <input type="checkbox"/> Limited, describe:	
3) <i>Handlers:</i> Submit a Product Application to indicate which products will be exported directly or indirectly (as an ingredient or through brokers/traders etc.) to these foreign markets. <i>Brokers:</i> Submit your H2.6 Broker Suppliers list to indicate which products will be exported.	<input type="checkbox"/> Product Application or H2.6 Broker Suppliers attached	
4) How do you prevent export of products that are not compliant for the destination market? <i>Select all that may apply.</i>	<input type="checkbox"/> Crops, ingredients, and finished products meeting different international standards are separated and clearly labelled in storage. <input type="checkbox"/> Inventory system tracks ingredients that are compliant for export. <input type="checkbox"/> Lot coding system indicates products that are compliant for export. <input type="checkbox"/> Sales system only allows export of compliant products. <input type="checkbox"/> Customer is responsible for export. I indicate each product's international compliance to my customer. <input type="checkbox"/> All parcels are compliant for all international markets. <input type="checkbox"/> Other, describe:	



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B. Labeling and Product Identification

► All labels used for exported products must meet the labeling requirements of the importing country. Each country has different labeling requirements. Review the [International Market Labeling Guide](#) for more information. CCOF only reviews English or Spanish language and national organic seals. Work with your importer to ensure that labels meet other requirements in the destination market, in addition to organic requirements.

<p>1) How are your exported products labelled? <i>Select all that may apply to any exported product. Ensure export labels and documents meet requirements in the International Market Labeling Guide.</i></p>	<p><input type="checkbox"/> I use export labels that are different from my domestic labels. <i>Submit all export labels to CCOF for pre-approval prior to printing.</i></p> <p><input type="checkbox"/> I use the same labels that are already approved for domestic sales.</p> <p><input type="checkbox"/> Importer labels product and has ensured that labels meet the requirements of the destination market. <i>CCOF does not review labels applied by your importer.</i></p> <p><input type="checkbox"/> Product is bulk/wholesale (non-retail) and required information is provided in shipping/sales documents. <i>Allowed for EU, Japan, Korea, Switzerland, Taiwan, and UK. Allowed for export to Canada only when product is unpackaged i.e. shipped by railcar.</i></p> <p><input type="checkbox"/> N/A, do not directly export. Describe:</p>
<p>2) For retail products exported to Japan, how is the JAS seal applied? <i>Visit www.ccof.org/japan for more information.</i></p>	<p><input type="checkbox"/> N/A, no retail products exported to Japan.</p> <p><input type="checkbox"/> JAS certified importer applies their JAS seal in Japan. <i>CCOF does not review labels applied by your importer.</i></p> <p><input type="checkbox"/> I have signed a JAS Seal Consignment Contract with my JAS certified importer to apply their JAS seal directly to products in the US or Canada.</p> <p><input type="checkbox"/> I have direct JAS certification through a JAS accredited certifier.</p>
<p>3) Do your export labels meet domestic labeling requirements?</p>	<p><input type="checkbox"/> No. Containers and documents are marked "For Export Only" and evidence will be available during CCOF inspections. <i>Required.</i></p> <p><input type="checkbox"/> Yes. Export labels meet domestic labelling requirements.</p>

C. NOP Exports (Operations in the US/Mexico): Terms and Critical Variances (Only answer for applicable markets)

► If you are exporting products produced or manufactured by other operations, you will need to demonstrate that the entire supply chain is compliant or equivalent to the destination market. CCOF does not require additional verification for NOP certified products when they are not at risk of the critical variances for the destination market.

Market	Management Practice/Concern	Answer
Canada (Prohibited)	1) <i>Growers:</i> Do you use sodium (Chilean) nitrate on your crops?	<p><input type="checkbox"/> N/A, I do not grow crops.</p> <p><input type="checkbox"/> No, I do not use sodium nitrate on my crops.</p> <p><input type="checkbox"/> Yes, I use sodium nitrate on my crops. <i>Prohibited for export to Canada.</i></p> <p><input type="checkbox"/> Sodium nitrate is used on some crops but not others. Describe:</p>
Canada (Prohibited)	2) <i>Growers:</i> Do you use hydroponic or aeroponic production methods?	<p><input type="checkbox"/> N/A, I do not grow crops.</p> <p><input type="checkbox"/> No, hydroponic/aeroponic methods are not used.</p> <p><input type="checkbox"/> Yes, hydroponic/aeroponic methods are used. <i>Prohibited for export to Canada.</i></p> <p><input type="checkbox"/> Hydroponic/aeroponic methods are used for some crops but not others. Describe:</p>
Canada (Required)	3) <i>Handlers:</i> Do you have supplier documentation that exported products were not produced using sodium (Chilean) nitrate?	<p><input type="checkbox"/> N/A, no suppliers. I grow my own crops or livestock products for export.</p> <p><input type="checkbox"/> N/A, I plan to export products to Canada that are not high-risk for sodium nitrate. <i>High risk crops: carrots, celery, some cole crops, fresh tomatoes, some leafy greens, some grains, onions, potatoes, tobacco, some citrus. See www.ccof.org/canada for current list of high-risk crops.</i></p> <p><input type="checkbox"/> Yes, I have attached supplier attestation or certifier verification for any ingredients/products at high-risk for sodium nitrate. Products containing high-risk crops without supplier documentation will not be exported to Canada. <i>Indicate compliant suppliers on your H2.0A or H2.6 supplier list.</i></p>



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Market	Management Practice/Concern	Answer
Canada (Required)	4) <i>Handlers</i> : Do you have supplier documentation that exported products were not produced with hydroponic or aeroponic methods?	<input type="checkbox"/> N/A, no suppliers. I grow my own crops or livestock products for export. <input type="checkbox"/> N/A, I plan to export products to Canada that are not high-risk for hydroponic or aeroponic production. <i>High risk crops: container grown annual crops (excluding annual seedlings), container grown strawberries.</i> See www.ccof.org/canada for current list of high-risk crops. <input type="checkbox"/> Yes, I have attached supplier attestation or certifier verification for any ingredients/products at high-risk for hydroponics or aeroponics. Products containing high-risk crops without supplier documentation will not be exported to Canada. <i>Indicate compliant suppliers on your H2.0A or H2.6 supplier list.</i>
Canada (Required)	5) Do all organic non-ruminant livestock & livestock products meet the livestock stocking rates set forth in the Canadian Standard?	<input type="checkbox"/> N/A, not exporting non-ruminant livestock products or ingredients. <input type="checkbox"/> Yes, all non-ruminant livestock & products meet the stocking rates. <i>Handlers must attach supplier attestation or certifier verification for any non-ruminant livestock ingredients/supplies.</i> <input type="checkbox"/> No, non-ruminant livestock do not meet the stocking rates set forth in the Canadian Standard. <i>Prohibited for export to Canada.</i> <input type="checkbox"/> Only some meet the stocking rates, others do not. Describe:
Korea (Required)	6) Are products planned for export considered "processed foods" as defined by Korean Food Code (i.e. transforming raw commodity so that the original form cannot be recognized)?	<input type="checkbox"/> Yes, I plan to export processed food as defined by Korean Food Code. <input type="checkbox"/> No, all of the products I plan to export are raw, unprocessed, or non-food products. <i>Prohibited for export to Korea.</i> <input type="checkbox"/> Some products I plan to export are raw, unprocessed, or non-food products. Describe:
Korea (Required)	7) Does final processing (as defined in the Korean Food Code) occur in the U.S.?	<input type="checkbox"/> Yes, I plan to export products processed in the US. <input type="checkbox"/> No, I plan to export products processed outside the US. <i>Prohibited for export to Korea.</i> <input type="checkbox"/> N/A, all of the products I plan to export are raw or unprocessed. <i>Prohibited for export to Korea.</i> <input type="checkbox"/> Some products I plan to export are processed outside the US. Describe:
EU, UK, Switzerland, Japan, Taiwan (Required)	8) Does production or final processing/packaging occur in the US?	<input type="checkbox"/> Yes, I plan to export products produced, processed or packaged in the US. <input type="checkbox"/> No, I plan to export products produced, processed or packaged outside the US. <i>Prohibited.</i> <input type="checkbox"/> Some products I plan to export are produced, processed or packaged outside the US. Describe:

D. NOP Exports (Operations in the US/Mexico): Equivalence Exclusions

Market	Product	Details
Canada	1) Pet food, personal care products, and natural health products	These products are not covered by the equivalence arrangement but may be sold as NOP certified in Canada. Reference to COR is prohibited.
EU, UK, and Switzerland	2) Wine	Wine must meet organic winemaking requirements of the destination market. If you produce or export wine to the EU, UK or Switzerland, complete the GMA Wine Approval Application in addition to this application.
EU, UK, and Switzerland	3) Cosmetics	Cosmetics are not covered by the equivalence arrangement and may not be labelled with the EU seal. The production and labelling of organic cosmetics is not regulated at the EU level. Operations should contact their importer or national authorities for country-specific requirements.
Japan	4) Alcohol, non-food processed products, and honey	These products are not covered by the equivalence arrangement but may be sold as NOP certified in Japan. Reference to JAS is prohibited. Products containing honey (up to 5%) may be exported under the arrangement.
Korea	5) Raw/unprocessed foods and non-food processed products	Raw/unprocessed food and non-food products are not covered by the equivalence arrangement.
Taiwan	6) Honey	Pure honey is excluded from the equivalence arrangement. Processed products containing honey may be exported under the arrangement.



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E. COR Exports (Operations in Canada only): Terms and Critical Variances (Only answer for applicable markets)

► If you are exporting products produced or manufactured by other operations, you will need to demonstrate that the entire supply chain is compliant or equivalent to the destination market. CCOF does not require additional verification for COR certified products when they are not at risk of the critical variances for the destination market.

Market	Management Practice or Product	Answer
US (Prohibited)	1) Do you produce or use product produced from livestock treated with antibiotics?	<input type="checkbox"/> N/A, not exporting livestock products. <input type="checkbox"/> No, livestock products were produced without antibiotics. <i>Handlers must provide supplier self-attestation or certifier verification.</i> <input type="checkbox"/> Yes, livestock products were produced with antibiotics. Describe:
EU, UK, and Switzerland (Required)	2) Are all unprocessed plant products, live animals or unprocessed animal products, and vegetative propagating material and seeds for cultivation grown in Canada?	<input type="checkbox"/> N/A, only processed products exported. <input type="checkbox"/> Yes, all grown in Canada. <input type="checkbox"/> No, grown outside of Canada. Describe:

F. COR Exports (Operations in Canada only): Equivalency Exclusions

Market	Product	Details
Japan	1) Seaweed, and honey	These products are not covered by the equivalency but may be sold as COR certified in Japan. Reference to JAS is prohibited. Products containing honey (up to 5%) may be exported under the equivalency.
Taiwan	2) Honey	May not be sold as organic in Taiwan.