Find all forms at www.ccof.org/documents. Send completed forms to inbox@ccof.org.   Page 1 of 2

The CCOF Canadian Organic Regime (COR) Compliance Program is ONLY for operations located in Canada

Operation Name: _____   **Date:** _____

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

► Complete a separate H5.0 COR Record Keeping form for each process or product when different record keeping systems are used.

Facility, product, and/or process covered by this plan:

_____

A. Location of Records

Location where your organic product records can be reviewed during inspection.

Address: _____

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

Contact(name/title): _____

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

B. Tracking Organic Products

Your audit trail records and documents must identify products and ingredients as organic. Work with your suppliers to ensure that their documents also indicate organic status.

1) **Describe Audit Trail System** - Describe or attach a diagram of how your audit trail/trace-back system tracks products from inbound receiving through production or packing to final outbound shipping or invoice. ☐ Description and/or diagram attached

   a) **Common audit trail documents** – Bills of Lading (BOL), purchase orders, invoices, contracts, packing slips, certificate of analyses, import records, product specification sheets, receiving logs, inventory logs, batch records, manifests, transaction certificates, shipping and delivery records (weigh tickets, scale tickets, receipts, tags), chain of custody, truck and trailer numbers, clean truck affidavits.

   b) **Uncertified suppliers** – Audit trail information is required for each incoming shipment from an uncertified handler (broker, trader, wholesaler, distributor, or importer). Receiving procedures must include verification, documentation, and traceability to the last certified operation. Sourcing from uncertified handlers may require additional audit trail verification at inspection.

2) **Sample Audit Trail** - Attach sample audit trail documents to demonstrate your system. ☐ Documents attached

3) **Export** - Do you export organic products? ☐ No ☐ Yes

   Note that depending on the destination country, enrollment in CCOF's GMA Program may be necessary and different export certificates may be needed. If you export to the US, you must enroll in CCOF's GMA Program for Canada-US Equivalency and must request NOP Import Certificates from CCOF. See the GMA Application and contact export@ccof.org for more details.

4) **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 ingredients/products to account for final production and sale of organic.*

COR COMPLIANCE PROGRAM

RECORD KEEPING FOR HANDLERS

OSP SECTION: H5.0 COR

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C. Lot Numbering

1) 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.

EXAMPLE: **Lot Number**: *0123A045*

Code	*0*	*123*	*A*	*O*	*45*
Signifies	*Year: 2000*	*Julian date :production*	*Shift*	*Organic*	*Plant location*

Lot Number: _____

Code						
Signifies						

2) Where does the lot number appear? Select all that apply.

☐ Printed on retail label   ☐ Printed on nonretail label, shipping container, or package   ☐ Other (describe):

_____

3) How is the lot number 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):

_____

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