



Operation Name: \_\_\_\_\_ Date: \_\_\_\_\_

An "Audit Trail" or "trace-back" system is documentation sufficient to determine the source, transfer of ownership, receipt, handling production, processing, and transportation of organic products. Certified operations must maintain records of processing/handling of organic products that fully disclose all activities and transactions in enough detail to be readily understood and audited. Records should be sufficient to demonstrate compliance with organic laws and standards, and kept for at least five (5) years.

► Complete a separate [H5.0 Record Keeping](#) 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**

1) Describe or attach a diagram of how your audit trail/trace-back system tracks finished products from inbound receiving through production or packing to final outbound shipping or invoice.  Diagram attached

- You may attach sample documents to help describe your system, e.g. BOLs, packing slips, receiving logs, inventory logs, batch records, manifests, transaction certificates, shipping and delivery records, invoices, chain of custody, truck and trailer numbers.
- NOP import certificates are required for each shipment from EU, Japan, Korea, and Switzerland.
- Additional audit trail information is required for each shipment from an uncertified handler (broker, trader, wholesaler, or distributor), refer to the [Uncertified Handler Affidavit](#) (UHA). Receiving procedures must include verification and documentation of the last certified operation. *Sourcing from uncertified handlers requires additional audit trail verification at inspection.*

Records attached  Product Recall System attached

2) Describe the records and system you use to track inventory of ingredients and products (in/out balance). You may attach samples to illustrate, e.g. monthly log of beginning and ending inventory.

CCOF will use this at inspection to verify that you received sufficient organic inventory for your final production.

**C. Lot Numbering**  Not applicable

1) Describe your lot numbering system for finished products or attach a description.

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) Are lot numbers printed on wholesale and retail packaging?

Yes  No

a) If yes, where is your lot number found on containers or packages? \_\_\_\_\_

3) How is lot number associated with outgoing shipments?

On invoice or Bill of Lading  On a "pick list" or "ship list"  Other (describe): \_\_\_\_\_