



CCOF

Organic Certification

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Ocal Handler Inspection Preparation Checklist

This checklist is an example of the types of records you may be asked for during your inspection. Thorough inspection preparation leads to a more efficient inspection and ultimately saves you money on the inspection bill. Please check each item carefully and have all applicable requested records available. Your Inspector may request additional records as needed, per 17 CCR §22140/3 CCR §10104. **Please see cancellation policy below.***

✓ **Review and update your OCal System Plan (OSP).**

The OSP is the central document of OCal certification. It must be accurate and current. Minor updates can be made directly on the existing version. For significant updates or changes, you can start from scratch for any individual section. Visit <https://www.ccof.org/resources/resource-library/> to find OSP section forms. **Be sure to have access to your OSP and copies of changed OSP forms at inspection.** Most inspectors do not carry a hard copy of your OSP.

✓ **Review Compliance Reports from CCOF.** Your inspector will review the status of all issues or reminders. If you ever wonder what is due to CCOF and why, log in online to MyCCOF and check your items at a glance on your personalized dashboard. In MyCCOF's Action Item Tracker, you can view your action items, respond to them, and produce a compliance report at any time. www.ccof.org/myccof.

✓ **Certification Standards:** Certification requirements are based on the standards and policies in CCOF Certification Manuals. You can download the Manuals and access a wide variety of resources at www.ccof.org or contact us anytime.

✓ **Products (Your OCal certificate client profile and H2.0, H2.0A, H2.0B, or H2.1 and OSP Materials List)**

- Review your client profile, H2.0A Supplier list, labels, H2.0B Product Formulations, and OSP Materials List. Are they current regarding OCal products you produce, ingredient vendors, labels, ingredient lists, and nonorganic processing aids or ingredients?
- Are all currently used labels available? Send any updated labels to CCOF for review. Using new labels without CCOF approval may result in noncompliance.
- OCal and Organic certificates for suppliers/vendors: Are they all current (within one year prior to purchasing)? Add any new suppliers to your H2.0A supplier list and send a copy of their current, complete certificate.
- Complete the Product Application and a new H2.0B for any new multi-ingredient product. These must be reviewed by the home office before production begins. **Your inspection cannot include a review of new products that were not already approved by CCOF office.**

This guideline is intended to assist operators prepare for an efficient inspection. This is not a comprehensive list. Records requested for review will vary by circumstance.

***Please note:** Inspections cancelled within **3 business days** are subject to a \$75 penalty plus related expenses incurred. CCOF clients are responsible for **all time and costs** incurred by the inspector after initial contact regarding scheduling. Annual inspections are efficiently planned to minimize travel costs. Cancellation may result in a costlier inspection for your operation at a later time and impact expenses shared by your organic/OCal neighbors initially scheduled with you.

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- ✓ **OCal Facility (H2.3)** Are there any new facilities? Submit new H2.3 OCal Facility, H4.0 OCal Practices, and H5.0 Record Keeping for Handlers forms to the home office. Your inspector cannot inspect any new facility unless it is already approved by CCOF.
 - Are there any changes to equipment, flow chart, processes? New equipment must be approved by CCOF prior to inspection.
- ✓ **OCal Practices (H4.0 and OSP Materials List)**
 - Are descriptions of receiving, storage, packaging, and shipping practices current?
 - Are all wash water additives included on your OSP Materials List and described on your H4.0?
 - Are all equipment cleaners and sanitizers included on your OSP Materials List as Generic listings and described on your H4.0?
 - Are the pest management sections current?
 - If National List pesticides are used in food storage or handling areas, are they included on your OSP Materials List as Generic listings and described on your H4.0?
 - If non-National List pesticides are applied in food storage or handling areas, are they included on your OSP Materials List as a Generic listing, and do you have justification for usage?
- ✓ **Product Tracking Records (Audit Trail).** Your inspector will choose at least one product to track from sales back to ingredients, testing for traceability. Think of this like a mock product recall. Please note that your inspector must choose the sample while on site. A typical Audit Trail includes records such as:
 - Final Product Documents: orders, shipping documents, sales invoices.
 - Processing Records: batch sheets, packing records, fermentation records, case counts.
 - Ingredients/Receiving: purchase invoices, OCal/organic certificates, shipping and receiving documents.
- ✓ **Input/Output Mass Balance Audit:** This required inspection step is used to assess whether Sales amounts balance with Incoming Products and Ingredients. Your inspector will choose at least one OCal product over a given time period to audit. Depending on the product, this may require end and starting inventories. Please have sales, purchases, production, loss, and inventory records available.
- ✓ **Uncertified Suppliers:** If you source OCal/organic ingredients from uncertified brokers, traders, wholesalers, or distributors, your inspector will choose at least one shipment from each uncertified supplier to see if records directly link back to a certified supplier. Refer to the Uncertified Handler Affidavit for records that must be available for each delivery.
- ✓ **Verification of your total annual OCal Production Value.** Your inspector will need the gross OCal sales for the previous calendar year and the purchase cost of the OCal/ organic ingredients that went into those sales. The total OCal sales, minus the purchase cost of OCal/organic ingredients, is the amount on which your annual fee is based. If you provide a value-added service, the production value is based on the total revenue for the service you provide with regard to that specific OCal product.

Thank you for your effort!

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