CCOF OCal Certification Contract

- ► Please keep a copy of all documents submitted to CCOF for your records.
- ► See **www.ccof.org/faq** or contact us with questions. Find all forms at **www.ccof.org/resources/resource-library**.

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

- CCOF OCal Certification Contract (this 6-page form)
- OCal System Plan (OSP) forms and attachments
  - Carefully review the OCal System Plan (OSP) Guides applicable to your operation, and complete all forms indicated.
    - **Guide to OCal Cultivator OSP Forms**
    - **Guide to OCal Handler OSP Forms**
- $350 nonrefundable fee due with application

☐ My credit or debit card information is on page 6 ☐ I have included another form of payment

☐ I have a discount code: _____

Email to: inbox@ccof.org Or Mail to: CCOF, 877 Cedar Street, Suite 248, Santa Cruz, CA 95060

► How did you hear about CCOF? _____

► If you are certified organic with CCOF please provide your CCOF client code: _____

A. Operation Information

Public information about certified operations is made available at www.ccof.org/resources/member-directory/ and print directories released by CCOF CS. For a complete list of the information provided, please read the "Confidentiality and Public Information, & Data Reporting" chapter in the CCOF Certification Services Program Manual.

1) Registered Legal Business Name: _____

Legal "Doing Business As" (DBA), if applicable): _____

Phone: _____ Website (optional): _____

2) Registered Legal Business Address:

Address: _____ City: _____

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

3) Explain whether the DBA listed above appears in your audit trail records and under what circumstances, e.g., DBA is only used for certain products or markets, or for all products and markets. *DBA names can only be included on your organic certificate if you are operating the same certified legal business entity under a different name. Describe whether the DBA is registered at the state or local level.*

☐ Description attached

_____

4) Legal 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: _____

5) Physical Location of Your Operation *(required if different from your registered legal business address)*

Where OCal production or handling occurs, or where records are kept (for importer/broker/trader/private label owners) Your physical location will be inspected and will be listed on your OCal certificate. If you do not occupy, lease or own this location, you are responsible for ensuring that CCOF, CDFA, or CDPH can access the location during an unannounced inspection.

☐ Identical to registered legal business address above.

Address: _____ City: _____

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

6) Mailing Address *(required if different from your registered legal business address or physical address)*:

☐ Identical to registered legal business address above.
☐ Identical to physical location above

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

7) Billing Address *(optional)*:

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

8) Preferred method of written communication: ☐ Email ☐ Postal Mail

B. Operation Summary

1) Help us understand your OCal operation. Describe or attach a summary description of your OCal business or plans.
Your full details will be on the complete OCal System Plan you submit.

☐ Description attached

C. Contact Information

1) **Primary Contact**

Please designate one person as primary contact. This person will be listed in the CCOF online directory. This person should be knowledgeable of your operation, your OCal System Plan, your operation's activities, applicable OCal standards and have the authority to act on behalf of the operation. **All communication will be sent to this contact.**

Name: _____ Title: _____

Phone: _____ Email: _____

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 operation. 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) What types of products does this operation grow, produce, process, manufacture, distribute, or sell? Check one:

☐ Both OCal and non-OCal product(s) ☐ OCal product(s) only

2) By what date do you anticipate the need for certification? *Month/Day/Year:* _____

The certification process could take 12 weeks or longer. If you need a shorter timeline you can enroll in the ***Expedited Certification Service****.*

3) Is your operation currently certified by a third-party cannabis certification company (i.e. Sun and Earth, Certified Kind, Envirocann, etc.)?

☐ No ☐ Yes, provide name of certifier and attach a copy of your certificate: _____

4) Is your operation currently certified organic?

☐ No ☐ Yes, provide name of certifier and attach a copy of your certificate: _____

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5) Is your operation currently certified OCal?

☐ No ☐ Yes, provide name of certifier and attach a copy of your certificate: _____

6) Has this operation ever applied for, or been granted, OCal certification?

☐ No. Skip to section E. ☐ Yes. Complete this section and provide name of certifier: _____

a) Was the operation's certification or the certification of fields or products ever suspended or revoked? ☐ Yes ☐ No

b) Did the operation surrender certification with outstanding non-compliances or conditions? ☐ Yes ☐ No

c) Was the operation's application for OCal certification ever issued a denial? ☐ Yes ☐ No

d) Did the operation withdraw its 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 certification 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 Cannabis Licensing and CDPH Registration

OCal applicants must hold an active and valid commercial cannabis license with the California Department of Cannabis Control (DCC). For more information, visit the DCC website at https://cannabis.ca.gov/. Please provide the details of your commercial cannabis license in this section.

1) **Licensee Contact**

Name: _____ Title: _____

Phone: _____ Email: _____

Address: _____ City: _____

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

2) **Licensee Business Contact *if different***

Name: _____ Title: _____

Phone: _____ Email: _____

Address: _____ City: _____

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

3) **License Types and Numbers**

Check the box for each cannabis license you hold and list each license number.

a) **Cultivation**

☐ Specialty Indoor: _____

☐ Specialty Mixed-Light Tier 1: _____

☐ Specialty Mixed-Light Tier 2: _____

☐ Specialty Outdoor: _____

☐ Small Indoor: _____

☐ Small Mixed-Light Tier 1: _____

☐ Small Mixed-Light Tier 2: _____

☐ Small Outdoor: _____

☐ Medium Indoor: _____

☐ Medium Mixed-Light Tier 1: _____

☐ Medium Mixed-Light Tier 2: _____

☐ Medium Outdoor: _____

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☐ Large Indoor: _____

☐ Large Mixed-Light Tier 1: _____

☐ Large Mixed-Light Tier 2: _____

☐ Large Outdoor: _____

☐ Nursery: _____

☐ Processor: _____

b) **Manufacturer**
Manufacturers are required to register with CDPH after achieving OCal certification with CCOF; your inspector will verify that you have begun the CDPH application.

☐ Type 6: (Non-volatile solvent manufacturing or mechanical extraction): _____

☐ Type 7: (Volatile solvent manufacturing): _____

☐ Type N: (Infusion of products): _____

☐ Type P: (Packaging and labeling): _____

☐ Type S: (Manufacturers who work in a shared-use facility): _____

c) **Commercial**

☐ Distributor: _____

☐ Distributor Transport Only: _____

☐ Microbusiness (*Note that retail activities are not eligible for certification)*

- Activities your microbusiness conducts: _____
- Microbusiness license number: _____

☐ Non-storefront Retailer (Delivery Only) (*Not eligible for certification)*: _____

☐ Storefront Retailer *(Not eligible for certification)*: _____

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.** Certification fees are confirmed upon application acceptance and may change.

1) What is your current or expected total value of certified OCal production/sales/services (gross, next 12 months):

_____

a) **If you are a Cultivator:** What is your current or expected cost of certified OCal product purchased, such as seed or planting stock (next 12 months) and service fees charged by certified OCal co-processors, etc. This will be subtracted from the amount in line 1 to determine your annual certification fee.

_____

b) **If you are a Manufacturer or Distributor:** What is your current or expected cost of certified OCal ingredients/products purchased (next 12 months) and service fees charged by certified OCal co-processors. This will be subtracted from the amount in line 1 to determine your annual certification fee.

_____

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CCOF OCal Certification Contract

Operation Name: _____ **Date:** _____

G. Certification Contract and Agreement

► **The following must be signed by a legally authorized representative of any operation by all applicants for certification by CCOF OCal 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 Certification Program Manual and further agrees to:

1) Comply with all State and applicable OCal production and handling regulations as described in rules issued by the California Department of Agriculture and California Department of Public Health (including those regulations in Title 3 California Code of Regulations (3 CCR) and the OCal Guidance as published on the CDFA website).

2) Comply with and strictly adhere to all CCOF standards, procedures and policies set forth in the CCOF Manual including but not limited to the following:
   a) Establishing, implementing, and updating annually an OCal 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 OCal 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. Failure to pay fees as described in the CCOF Certification Services Program Manual may result in termination of this contract and surrender of certification.
   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 OCal seal(s) only in accordance with CCOF standards and ceasing all use of CCOF's name and OCal 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 Services Program Manual.
   o) Agreeing to be legally bound by the “Standards of Behavior” detailed in the CCOF Certification Services Program Manual.

I, the owner or legally authorized representative of the operation, 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 OCal certification. I attest that all information in this application is true and accurate to the best of my knowledge. My handwritten signature or typed name entered in the signature field below constitutes my legal signature.

_____

Name/Title **Signature (handwritten or typed)** **Date**

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CCOF OCal Certification Contract

Operation Name: _____ **Date:** _____

H. Credit or Debit Card Payment Information

Amount: $		
Card Billing Address:		
City:	State:	Zip code:
Name on Card:	Phone Number:	
Card Number: *CCOF accepts Visa, Master Card, Amex, Discover, or UnionPay credit or debit card types*		
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)*:	
By providing credit or debit card information and signing the Certification Contract and Agreement, you authorize CCOF to charge the card provided for your application fee. A 3% surcharge will be added for credit card transactions. Debit card transactions are not subject to a surcharge.		

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.

☐ Do not include my operation in the online directory.

1) Online Presence:

☐ Facebook: _____ ☐ Linkedin: _____

☐ Instagram: _____ ☐ Pinterest: _____

☐ X (formerly Twitter): _____ ☐ Youtube: _____

2) Sales Methods:

☐ Community Supported Agriculture: _____

☐ Copacking Services: _____

☐ Export/Import: _____

☐ Farmer's Market: _____

☐ Ingredients: _____

☐ Internet: _____

☐ Produce Stand: _____

☐ Retail: _____

☐ Tasting Room/Winery: _____

☐ U-Pick: _____

☐ Wholesale: _____

3) Apprenticeship Options:

☐ Apprenticeship Offered: _____

Terms: ☐ Board ☐ Internships ☐ Wage ☐ Other: _____

4) Company Statement (Promotional/sales/informational or public statement about your company):

_____

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GUIDE TO OCAL HANDLER OSP FORMS

Find all forms at www.ccof.org/documents. Send completed forms to inbox@ccof.org.

- **Complete all OSP section(s) listed for each activity that matches your current OCal 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 OCal certification.	• **CCOF OCal Certification Contract** • **OCal H5.0 Record Keeping for Handlers**
2) Contract other independently certified facilities to produce or label a product; I am a private label brand owner/marketer.	• **OCal H2.0 OCal Products** • **OCal Product Application**
3) I am a licensed distributor and I distribute already packaged OCal products. I do not process, roll, repack, or relabel products.	• **OCal H2.5 Brokered Products** • **OCal H2.6 Broker Suppliers**
4) Process, handle, roll, extract, infuse, or physically label OCal products (for my own brand or for private label brands) at a facility I own or lease.	• **OCal Handler Materials Application (OSP Materials List)** • **OCal Product Application** • **OCal H2.0 OCal Products** • **OCal H2.3 OCal Facility** (for each location) • **OCal H4.0 OCal Practices** (for each location)
5) Use nonagricultural processing aids, packaging aids, sanitizers, or other additives in or on organic ingredients, OCal cannabis, and/or or OCal cannabis products.	• **OCal Handler Materials Application (OSP Materials List)** • **OCal Product Nonorganic Material Affidavit** (if applicable) • **OCal Natural Flavor Affidavit** (if applicable)
6) Source ingredients for OCal products.	• **OCal H2.0A Ingredient Suppliers** (not applicable for distributors who do not process, repack, roll, or relabel)
7) Source OCal cannabis ingredients from an uncertified broker, trader, wholesaler, distributor, or importer.	• **OCal Uncertified Handler Affidavit** (for each uncertified handler)
8) Use an uncertified storage facility to store unsealed OCal cannabis product or product in permeable packaging.	• **OCal Uncertified Handler Affidavit** (for each uncertified facility)
9) Source organic ingredients from an uncertified broker, trader, wholesaler, or distributor.	• **Exempt Handler Affidavit** (for each uncertified handler)
10) Process multi-ingredient products, including pre-rolls that contain more than one cannabis ingredient or non-cannabis ingredients.	• **OCal H2.0B Product Formulation** (for each multi-ingredient product)
11) Provide processing, handling, toll processing, or fee-for-services for OCal products that I do not own or take title to.	• **OCal H2.4 OCal Services**
12) Package products under a brand or private label owned by someone else.	• **OCal Co-Packer Application** (for each brand not CCOF certified)
13) Provide services to a CCOF certified operation and I want that operation to participate in management of my certification.	• **Contracted Partner Program Application** (Optional)
14) Cultivate or harvest OCal cannabis.	• **Guide to OCal Cultivator OSP Forms** Complete applicable forms as directed

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OCAL PRODUCT APPLICATION

Operation Name: _____ **Date:** _____

► List finished OCal products below, including private label brand products. An **Excel version** of this document is available online or by contacting CCOF.
Product category, detail and brand name will appear on your certificate; product category will appear in public directory of CCOF certified operations, unless your operation opted out of the directory on the OCal Contract. CCOF reserves the right to modify product listings to reflect directory naming conventions.

► Once you are certified, refer to your CCOF client profile for a complete list of all products currently included in your certification.

1) Attach all labels for all OCal products, including retail, case labels, wholesale, and other labels that include any reference to OCal. ☐ Attached

2) Do you package any products for private label brand/marketer customers? ☐ No ☐ Yes, complete the **OCal Co-Packer Application** for each brand not certified by CCOF.

3) Private label brand owners who do not process: For each multi-ingredient product, submit an ingredient statement from the manufacturer to compare to your label. *Not required if co-packer is CCOF certified.* ☐ Attached

Product Category	**Product Detail** *As listed on label*	**Brand Name**	**Packaging Form** *Retail* *Wholesale* *Bulk / Nonretail* *Not packaged*	**Product label claim**	**Name of:** ☐ Certified location where product is processed *(may be your own facility)* OR ☐ Certified co-packer of private label product
Ex: Cookies	*Ex: Vegan chocolate sea salt*	*Ex: Momo's Munchies*	*Retail*	☐ Made w/ OCal* ☒ OCal** ☐ 100% OCal**	*Ex: Snack Shack*
				☐ Made w/ OCal* ☐ OCal** ☐ 100% OCal**	
				☐ Made w/ OCal* ☐ OCal** ☐ 100% OCal**	
				☐ Made w/ OCal* ☐ OCal** ☐ 100% OCal**	
				☐ Made w/ OCal* ☐ OCal** ☐ 100% OCal**	
				☐ Made w/ OCal* ☐ OCal** ☐ 100% OCal**	
				☐ Made w/ OCal* ☐ OCal** ☐ 100% OCal**	
				☐ Made w/ OCal* ☐ OCal** ☐ 100% OCal**	
				☐ Made w/ OCal* ☐ OCal** ☐ 100% OCal**	

* Products labeled "Made with OCal" must contain only OCal-certified cannabis and at least 70% organic ingredients. The remaining ingredients must either be agricultural or approved nonorganic materials from the National List. "National List" means the list of allowed and prohibited substances included in National Organic Program regulations (7 CFR Sections 205.605 & 205.606).

** Products labeled "OCal" or "100% OCal" must contain only OCal-certified cannabis and a minimum of 95% organic ingredients. Nonorganic ingredients are subject to restrictions.

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Operation Name: _____ **Date:** _____

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

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

A. Nonorganic Processing Aids

- **List all nonorganic materials that directly contact OCal products** (i.e. gases, extraction materials, processing/packaging aids, fining agents, acids, filtration aids, wash water additives, sanitizers).
- Include specific product names, functions, and manufacturer information.
- For each nonorganic material not previously approved by CCOF, submit an **OCal Product Nonorganic Material Affidavit** or **OCal Natural Flavor Affidavit**. Search for approved materials on **MyCCOF.org**.

Brand Name	Manufacturer	General Material Name	Function *(Filtration, wash water, processing aid fermentation, etc.)*	CCOF Use Only
Ex: Pure Sodium Bicarbonate	*Baker's Best Friend*	*baking soda*	*processing aid*	

Nonorganic Processing Aids – Nonorganic materials used in or on OCal products must not be the product of GMOs or produced with the use of irradiation or sewage sludge. Nonorganic materials must comply with any additional OCal/organic annotations or requirements.

B. Equipment Sanitizers & Detergents/Cleaners

- List all sanitizers and no-rinse detergents/cleaners used on OCal product contact surfaces, including transport, storage, handling or processing. Note that quaternary ammonia sanitizers must be completely removed from equipment by rinsing; testing for zero residue will be required.
- Do not list detergents and cleaners that are rinsed off and have no risk of coming in to contact with OCal products.
- Do not list detergents, cleaners, and sanitizers that are used on non-OCal product contact surfaces, such as employee bathroom or drain cleaners.

Brand Name	Manufacturer	Location, Surface, Function	Rinsed? (Y/N)
Example: Chlorine 123	*The Cleaning Pros, LLC*	*Packing line sanitizer*	*N*

C. Facility Pest Control Materials – National List

- National List Pest Control Materials may be used only if preventative practices and mechanical/physical controls are not sufficient to prevent or control pests. "National List" means the list of allowed and prohibited substances included in National Organic Program regulations (7 CFR Sections 205.600 through 205.607).
- Only list materials that are used in OCal production and storage areas.

Material	Brand Name	Manufacturer	Location Used and Method of Application *(e.g. storage, fogging, crack and crevice)*
Lures			
Repellants			
Carbon dioxide			
Nitrogen gas (must be oil free grade)			
Vitamin D3 bait			
Boric acid			
Diatomaceous earth			
Soap products			
Pheremones			
Sticky Traps			

D. Facility Pest Control Materials – Non-National List

- Non-National List Pest Control Materials may be used only if preventative practices, mechanical/physical controls, and National List materials are not sufficient to prevent or control pests. Justification for the use of non-National List Materials must be provided.
- Only list materials that are used in OCal production and storage areas.

Brand Name	Manufacturer	Location Used and Method of Application *(e.g. storage, fogging, crack and crevice)*

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Operation Name: _____ **Date:** _____

- Complete this form if you co-pack OCal products into another company's private label brand. You must send CCOF all OCal labels you pack into, even if CCOF is not listed as the certifier on the label.
- Complete one form for each private label owner. Attach all labels and describe the products below. If the brand owner is CCOF certified for the products you are co-packing, do not complete this form.
- Refer to your CCOF Client Profile for a complete list of all products currently included in your certification, available on **MyCCOF**.

A. Owner of Private Label Brand (Company Name): _____

B. Private Label Products *Attach list if needed*

Product	Brand Name

1) Is this Private Label Owner certified OCal for this product?

☐ No. Skip to question B2. ☐ Yes. Complete this section.

a) Name the certifier and attach a complete, current OCal certificate: _____

☐ Certificate attached. Stop, this form is complete.

2) Is CCOF's name or seal used on the label in association with the Private Label Owner?

☐ No. This form is complete. ☐ Yes. Complete this section.

a) Private Label Owner Address: _____

Private Label Owner City, State, Zip: _____

Private Label Contact Name and Title: _____

Private Label Contact Email: _____

Private Label Contact Phone: _____

CCOF will send Notification to the Private Label Owner that the CCOF name and/or seal may only be used on the products listed on your OCal certificate.

Use of CCOF Name and Seal: *The CCOF name and/or CCOF OCal seal may be used on labels of non-CCOF certified Private Label Owner/Marketer provided that the product was grown or processed by CCOF certified operations. CCOF approval of the private label brand products does not constitute certification of the Private Label Owner/Marketer. CCOF Certified Operations must notify CCOF in advance of packing any new private label brand product. CCOF Certified Operations will be billed for the use of CCOF's name and/or seal on a Private Label per the **CCOF Certification Services Program Manual**.*

Operation Name: _____ **Date:** _____

► Complete this form if you manufacture, process, label, or repack OCal products or contract another certified operation to process and/or package OCal products into your brand or label (private label brand owner/marketer).

- You may only use labels, ingredients, processing aids, suppliers, and formulas approved by CCOF to produce OCal products. Submit updates for pre-approval before using.
- Once certified, you are only approved to produce OCal products listed on your CCOF client profile, available on MyCCOF.org. Pre-approval is required for new products; submit a **OCal Product Application**.
- You must maintain current organic and/or OCal certificates for all suppliers, contracted co-packers, certified private label brand owners, and any other certified organic or certified OCal operation you work with.

A. Labels and Ingredients

1) Attach all labels for all OCal products, including retail, case labels, wholesale, and other labels that include any reference to OCal.
Submit all revisions to CCOF prior to printing.
☐ Attached ☐ Not applicable, no package.

2) For ingredients and processing aid materials listed on your **OCal H2.0A Ingredient Suppliers** and **OCal Handler Materials Application (OSP Materials List)**, do you source and procure the ingredients and materials?
☐ Yes ☐ No ☐ Not applicable, we do not source ingredients or materials.
   a) If no, indicate who sources ingredients or materials: _____

3) Do you make cannabis extracts?
☐ No. Skip to question 4. ☐ Yes
   a) If producing extracts, mark all extraction methods that you use:
   ☐ Water ☐ Steam ☐ Ice ☐ Organic butter or organic food-grade oil (list on H2.0A)
   ☐ Organic ethanol (list on H2.0A)
   ☐ Carbon dioxide or dry ice (list on **OCal Handler Materials Application (OSP Materials List)**)
   ☐ Mechanical methods (describe): _____
Only the methods listed above may be used to extract cannabis.

4) Are you a **private label brand owner/marketer** who contracts an independently certified co-packer to produce your branded products?
☐ Not applicable, not working with co-packers. Skip to section B.
☐ Yes, attach OCal certificates for all **co-packers** who produce products for you at their facility. ☐ Attached
Certificates for co-packed products must list branded products specifically. You must request updated certificates annually.

5) As a **private label brand owner/marketer**, do you purchase, take title to, or take physical possession of ingredients?
☐ No, co-packer sources and procures ingredients. Skip to section D.
☐ Yes, I source ingredients
   a) If sourcing ingredients, choose all that apply:
   ☐ I select suppliers
   ☐ I purchase ingredients
   ☐ I take physical possession of ingredients for storage and ship them to my co-packer
   b) If sourcing ingredients, select which of the following applies:
   ☐ I provide all organic and/or OCal supplier information to my co-packer and each shipment to the co-packer directly connects back to the certified supplier. Skip to section D. *H2.0A form not required.*
   ☐ I do not provide organic and/or OCal supplier information to my co-packer. *H2.0A form required for organic and/or OCal ingredients, CCOF will list your organic and/or OCal ingredients on your OCal certificate.*

B. Monitoring Suppliers & Fraud Prevention

1) Describe your organic and/or OCal supplier certificate management system. You must ensure that all certificates list the specific products you source, are current (issued within the last 12 months), and complete.
   a) Who at your company is responsible for approving new organic and/ or OCal suppliers?
   Prior to purchasing, you must review the organic and/or OCal certificate to ensure it is current and complete. New suppliers must be added to your H2.0A form and be approved by CCOF.

_____

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b) How often do you switch suppliers, add new suppliers, make one-off purchases or do "spot purchasing" to prevent shortages?
Frequent changes may result in increased audit trail verification at inspection.

_____

c) How frequently do you review certificates for existing suppliers to ensure they are complete and current?
Must review annually for active suppliers, at a minimum.

_____

2) Do you purchase or receive organic and/or OCal products from uncertified brokers, traders, wholesalers, distributors, or importers?
Sourcing through uncertified handlers requires additional audit trail verification at inspection and will incur additional fees.

☐ No
☐ Yes. Attach an **OCal Uncertified Handler Affidavit (OCal UHA)** for each uncertified supplier of OCal cannabis ingredients, as applicable.
☐ Yes. Attach an **Exempt Handler Affidavit (EHA)** for each uncertified supplier of organic non-cannabis ingredients, as applicable.

a) If yes, how will you ensure that only certified suppliers are used by the uncertified handler? Check all that apply.
Your OSP must list all certified suppliers, including products sourced through uncertified handlers. Audit trail records must link directly back to the last certified operation.

☐ I do not place an order until certified supplier is identified by uncertified handler, I have determined the organic and/or OCal certificate is legitimate and complete, and new suppliers are approved by CCOF.
☐ For any delivery that cannot be traced back to the certified supplier, I refuse or hold shipment until the certified supplier is verified.
☐ Other (describe): _____

3) Do you purchase or receive any imported organic ingredients or products; grown or processed outside of the USA?
☐ No, Skip to section C. ☐ Yes. Complete this section.
*Imported ingredients are at higher risk of contamination and fraud. Additional audit trail documentation may be required to show that products were not treated upon entry to the USA. Refer to **OCal H5.0 Record Keeping for Handlers**.*

a) If yes, are you the importer of record?
☐ Yes. Attach Import Permit for each product listing Conditions of Entry (if applicable) and Skip to section C.
☐ No, I purchase ingredients from importers or suppliers. Continue to question 4.

4) Are importers/suppliers located in the USA?
☐ Yes, located in USA ☐ No, located outside USA
If you directly purchase or receive organic product from an importer or supplier located outside of the USA, you must maintain audit trail documentation described on the H5.0 form, even if the importer is certified organic.

a) If importer is located in the USA, is the importer certified organic?
☐ Yes ☐ No. *If the importer is not certified organic, you must maintain audit trail documentation described on the H5.0 form.*

C. Formulas

1) For formulas listed on **OCal 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 owner/marketer working with a co-packer; only co-packer is required to submit formula.
☐ Yes ☐ No ☐ Some ☐ Not applicable, single ingredient products only. ☐ Not applicable, private label owner/marketer.

2) For finished products labeled "OCal" containing **nonorganic** ingredients listed on 205.606 or 205.605 (if commercial availability is noted), attach an **OCal 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 ingredients.

D. Storage Facilities

1) If off-site facilities are used to store organic and/or OCal ingredients or products while unsealed or in permeable packaging, complete this table, or provide an attachment with this information.

☐ Not applicable ☐ Attached

Storage Facility Name & Location	Ingredients/Products Stored	Documentation
		☐ *OC** ☐ *OCal Cert** ☐ *OCal UHA***
		☐ *OC** ☐ *OCal Cert** ☐ *OCal UHA***
		☐ *OC** ☐ *OCal Cert** ☐ *OCal UHA***

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

For any non-certified facilities listed above, attach a CCOF **OCal Uncertified Handler Affidavit (OCal UHA). The OCal UHA must be completed by the uncertified storage facility manager.

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Operation Name: _____ **Date:** _____

- ► List all suppliers and ingredients used in OCal products, including "work in process" ingredients made in house.
  1. Attach organic and/or OCal certificates for all certified vendors, manufacturers, and suppliers. ☐ Attached
     Certificates must be dated within the last 12 months and must list the specific product you use. You must request updated certificates annually.
  2. For any uncertified supplier of organic and/or OCal ingredients, list the certified supplier who provides the ingredient and attach an **OCal Uncertified Handler Affidavit (OCal UHA)**. ☐ Attached
  3. For each multi-ingredient ingredient, submit an ingredient statement from the manufacturer to compare to your label. ☐ Attached
- ► An **Excel version** of this document is available online or by contacting CCOF.
- ► Update this master list as you add and remove suppliers. Highlight new suppliers or products in yellow and removed suppliers or products in blue to simplify updates.
- ► List all **nonorganic processing aids, sanitizers, and packaging aids** that contact OCal products on your **OCal Handler Materials Application (OSP Materials List)**. For each nonorganic ingredient or processing aid not previously approved by CCOF, submit a **OCal Product Nonorganic Material Affidavit** or **OCal Natural Flavor Affidavit**. *Private label owners who do not manufacture are not required to submit nonorganic ingredients or processing aids for review.*

Vendor	**Manufacturer/Supplier** *If vendor is not certified organic and/or OCal*	**Ingredient Name** *List one ingredient per line, match organic and/or OCal certificate*	**Organic and/or OCal?** *(Yes, No)*	**Date Added to OCal H2.0A**	**Certifier** *Optional, for your use*	**CCOF Use Only**
Ex: Uncertified ABC distributor	*Ex: XYZ Dairy Supply*	*Ex: unsalted organic butter*	*Yes*	*7/15/2020*	*CCOF*	

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Operation Name: _____ **Date:** _____

- Use this form for each multi-ingredient product you manufacture, including house-made ingredients, e.g. cannabis infused butter. Also use this form for pre-rolls that contain more than one cannabis ingredient or non-cannabis ingredients. *Private label/marketers who do not manufacture products are not required to complete this form; instead submit an ingredient statement from the manufacturer.*
- An **Excel version** of this document is available online or by contacting CCOF. Complete one OCal H2.0B form for each product.
- See formulas below headers to guide calculations. Weight or fluid volume unit of measurement must be the same for each ingredient, e.g. grams.
- If you are unclear on the % organic content of an ingredient (B), contact the supplier's organic certifier to request confirmation.
- For each nonorganic ingredient or processing aid not previously approved by CCOF, submit a **OCal Product Nonorganic Material Affidavit** or **OCal Natural Flavor Affidavit**. Search for approved materials on MyCCOF.org.

Product Name:	
Label Brand Name(s) or if house-made ingredient for other products:	

Ingredient *As listed on H2.0A form* *Do not list salt or water*	**Quantity (A)**	**Weight, %, or fluid volume**	**% Organic or OCal Content of Ingredient (B)**	**Ingredient's Org. Contribution to Product (C) = (A)x(B)**
Ex: cannabis infused chocolate chips	*20*	*grams*	*95% OCal*	*19 = (20x0.95)*
Total of non salt and water contents **(D)**: *Total of column (A)*			Organic Contribution **(G)**: **Total of column (C)**	
Quantity Salt **(E)**:				
Quantity Water **(F)**:			**Total Organic %: Divide (G)/(D)**	
Total Ingredient Quantity: **Add up (D), (E) and (F)**				

Round down to nearest whole number
"OCal" must be >95% organic
"Made with OCal" must be >70% organic

List processing aids used to the right, including packaging aids (i.e. Carbon Dioxide, Nitrogen) if not listed above. *Only ingredients and materials approved by CCOF and appearing on your **OCal Handler Materials Application (OSP Materials List)** may be used*:

Operation Name: _____ **Date:** _____

► Complete this form if you take physical possession of products you sell or distribute, or run a manufacturing or handling facility.
► Complete one form for each facility/location.

A. General Information

1) Facility Name: _____

Facility Tax ID: _____

2) Site Address: _____ City: _____

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

3) *Manufacturers are required to register with CDPH after achieving OCal certification with CCOF. This does not apply to distributors and cultivators.*

☐ Registration in process (manufacturers)

a) CDPH OCal manufacturing registration number: _____

4) Contact (Name/Title): _____

5) Phone: _____ Fax: _____

6) Email(s): _____

7) Type of manufacturing or handling: _____

8) Do you (check one):

☐ Own this facility ☐ Lease this facility

9) Do you (check one or both):

☐ Own the products manufactured and/or handled here ☐ Provide manufacturing and/or handling services

10) Is this facility:

☐ OCal and organic only ☐ OCal/organic and non-OCal/nonorganic

a) Do you manufacture or handle identical OCal and non-OCal products?

☐ Yes ☐ No

b) Do you manufacture or handle organic products identical to nonorganic products?

☐ Yes ☐ No

1. If yes, list products: _____

11) Is this facility currently certified OCal by another certifier?

☐ No ☐ Yes, provide name of certifier: _____

12) Has this facility ever previously applied for or been granted OCal certification to any certification agency?

☐ No. Skip to section B. ☐ Yes. Complete this section and provide name of certifier: _____

a) Was your certification or the certification of products or this facility 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 OCal certification ever issued a denial? ☐ Yes ☐ No

d) Did you withdraw your application for certification with outstanding non-compliances? ☐ Yes ☐ No

13) 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: _____

B. Site Plan and Product Flow

1) Attach 8.5 x 11" site map(s) showing all OCal and organic manufacturing and/or handling and storage areas (may be hand drawn).

☐ Map attached

2) Attach either a complete written description or a schematic product flow chart that describes or shows where and how the product is received, stored, extracted, infused processed, packaged, and warehoused.
   - The flow chart(s) must include all OCal production steps. Identify all equipment, machinery, grading stations, and storage areas, and indicate where ingredients are added or processing aids are used.
   - **Submit a separate flow chart for each production type.** ☐ Attached

3) Describe how any "work in process" (WIP) is identified as OCal and protected from prohibited substances:

4) For each material used in or on **non-OCal and/or nonorganic** products in this facility, describe below how you prevent accidental use during OCal processing, and how this can be verified at inspection:

5) Identify any other material used during any **OCal** processing step that is not yet otherwise disclosed:

Operation Name: _____ **Date:** _____

► Complete this form if you provide processing or handling services for OCal product that you do not own or take title to or if you provide fee for service processing.

A. General Information

1) Describe specific services you provide (i.e. extraction, drying, curing, trimming). Services may be added to your CCOF client profile.

_____

2) Does your service include formulating or processing multi-ingredient products?
   - ☐ Yes. Stop, do not complete this form. Complete **OCal H2.0 OCal Products**, **OCal Product Application**, **OCal H2.0A Ingredient Suppliers**, and **OCal H2.0B Product Formulation**.
   - ☐ No. Complete this form.

B. Products

1) List all nonorganic materials that directly contact organic ingredients, OCal cannabis, and/or or OCal cannabis products on your **OCal Handler Materials Application (OSP Materials List)**; e.g. processing aids, packaging aids, gases, extraction materials.

   Only materials included on your Handler Materials Application (OSP Materials List) may be used. It is your responsibility to verify that all materials are allowed before you use them.

   ☐ Attached ☐ Not applicable, no materials used

2) Do you purchase or supply ingredients as part of your service?

   ☐ Yes ☐ No ☐ Sometimes

   a) If sometimes, please explain:

   _____

   b) If yes or sometimes, complete **OCal H2.0 OCal Products**, **OCal Product Application**, and **OCal H2.0A Ingredient Suppliers**, and skip to section C.

   c) If No, how do you verify that incoming customer products are certified organic and/or OCal? Check all that apply.

   Your inspector will verify that you maintain current organic and /or OCal certificates for your customers and that certificates list the products or parcels represented as organic and/or OCal.

   - ☐ Request CCOF approval of each new customer prior to accepting or handling any organic and/or OCal shipments and verify that product or parcel is listed on certificate prior to providing service.
   - ☐ Request a current organic and/or OCal certificate with each incoming shipment and verify that product or parcel is listed on certificate prior to providing service.
   - ☐ Request a current organic and/or OCal certificate annually and verify that product or parcel is listed on certificate prior to providing service.
   - ☐ Other (describe): _____

3) Do uncertified brokers, traders, wholesalers, distributors use your services for OCal products?

   Providing services to uncertified handlers requires additional audit trail verification at inspection.

   ☐ No ☐ Yes, attach an **OCal Uncertified Handler Affidavit** (OCal UHA) for each uncertified handler

   a) If yes, how will you ensure that only certified suppliers are used by the uncertified handler? Check all that apply.

   Audit trail records must link directly back to the last certified operation.

   - ☐ I do not provide service until certified supplier is identified by uncertified handler and I have determined the OCal certificate is legitimate and complete.
   - ☐ For any delivery that cannot be traced back to the certified supplier, refuse or hold shipment until the certified supplier is verified.
   - ☐ Other (describe): _____

C. Labels

1) Do you label products or repack products into other packaging that displays OCal claims?

   ☐ Yes ☐ No ☐ Sometimes ☐ Not applicable, no package

   a) If sometimes, please explain:

   _____

   b) If yes or sometimes, complete the **OCal Product Application** and attach label(s). ☐ Attached

   Labels must be pre-approved by CCOF prior to use.

D. Storage Facilities

1) If off-site facilities are used to store organic ingredients, OCal cannabis, and/or or OCal cannabis products while unsealed or in permeable packaging, complete this table or provide an attachment with this information.

☐ Not applicable ☐ Attached

Storage Facility Name & Location	Ingredients/Products Stored	Documentation
		☐ *OC** ☐ *UHA***
		☐ *OC** ☐ *UHA***
		☐ *OC** ☐ *UHA***

*Attach the OCal Certificate (OC) for each certified storage facility listed above.

For any non-certified facilities listed above, attach a CCOF **OCal Uncertified Handler Affidavit (OCal UHA). OCal UHAs must be signed by the uncertified storage facility manager.

Operation Name: _____ **Date:** _____

► Complete this form if you are a licensed OCal distributor who does not process, roll, repack, or relabel.

A. Activities

1) Select all that describe your activities:

☐ Broker ☐ Trader ☐ Wholesaler ☐ Distributor

☐ 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): _____

B. Monitoring Suppliers & Fraud Prevention

- You must maintain current OCal certificates for all suppliers, certified private label brand owners, and any other certified operation you work with.
- You must notify CCOF of new suppliers quarterly at a minimum. If your certificate management system is insufficient, more frequent updates will be required.

1) Describe your OCal supplier certificate management system. You must ensure that all certificates are current (issued within the last 12 months) and complete, and listing the specific products you source.

a) Who at your company is responsible for approving new OCal suppliers?

Prior to purchasing, you must review the OCal certificate to ensure it is current and complete. New suppliers must be added to your H2.6 form and approved by CCOF.

_____

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

Frequent changes may result in increased audit trail verification at inspection.

_____

c) How frequently do you review certificates for existing suppliers to ensure they are complete and current?

Must review annually for active suppliers, at a minimum.

_____

2) Do you purchase OCal products from uncertified brokers, traders, wholesalers, or distributors?

Sourcing through uncertified handlers requires additional audit trail verification at inspection and will incur additional fees.

☐ No

☐ Yes. Attach an **OCal Uncertified Handler Affidavit (OCal UHA)** for each uncertified supplier of OCal cannabis or attach an **Exempt Handler Affidavit** for each uncertified supplier of Organic non-cannabis ingredients, as applicable.

a) If yes, how will you ensure that only certified suppliers are used by the uncertified handler? Check all that apply.

Your OSP must list all certified suppliers, including products sourced through uncertified handlers. Audit trail records must link directly back to the last certified operation.

☐ I do not place an order until certified supplier is identified by uncertified handler and I have determined the OCal certificate is legitimate and complete.

☐ For any delivery that cannot be traced back to the certified supplier, I refuse or hold shipment until the certified supplier is verified.

☐ Other (describe): _____

C. Harvest and Transportation

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

Records and OCal certificates must show that harvested parcels are certified and harvest equipment is cleaned or purged.

☐ No ☐ Yes. Complete sections A & B on **OCal C6.1 Harvest & Transport**

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2) Are any products shipped in **unsealed** or in **permeable packaging** (ex: clamshells, open boxes, trucks) or in **reusable containers or vehicles** (ex: RPCs, tankers, railcars)?

All transload facilities where unpackaged product is transferred into another container must be certified OCal. Additionally, transporters that combine or split unpackaged loads must be certified organic.

☐ Yes ☐ No

a) If yes, how do you ensure contamination and commingling are prevented during transport (ex: protection from sanitizer residue, gases, liquids)? Check all that apply. *Transporter records must be available for review at inspection.*

☐ 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): _____

D. Storage Facilities

1) If off-site facilities are used to store OCal products while **unsealed** or in **permeable packaging**, complete this table, or provide an attachment with this information.

☐ Not applicable ☐ Attached

Storage Facility Name & Location	Ingredients/Products Stored	Documentation
		☐ *OC** ☐ *UHA***
		☐ *OC** ☐ *UHA***
		☐ *OC** ☐ *UHA***

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

For any non-certified facilities listed above, attach a CCOF **OCal Uncertified Handler Affidavit (OCal UHA). An OCal UHA must be completed by the uncertified storage facility manager.

Operation Name: _____ **Date:** _____

- ► Complete this table if you are a licensed OCal distributor who does not process, roll, repack, or relabel.
- ► List your OCal suppliers and products in the table below. An **Excel version** of this document is available online or by contacting CCOF.
- ► Once certified, you are only approved to sell the OCal products listed on your CCOF client profile, available on **MyCCOF.org**.

  Product name and brand name will appear on your certificate; product category will appear in public directory of CCOF certified operations. CCOF reserves the right to modify product listings to reflect directory 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. Once certified, provide an updated version of this list to CCOF quarterly at a minimum. More frequent updates may be required.
  1. Attach OCal certificates for all certified vendors, manufacturers, and suppliers. ☐ Attached

     Certificates must be dated within the last 12 months and must list the specific product you source. You must request updated certificates annually.
  2. For any uncertified supplier/vendor, also list the certified supplier who provides the product and attach an **OCal Uncertified Handler Affidavit (OCal UHA)** for any uncertified supplier of OCal cannabis or an **Exempt Handler Affidavit** for any uncertified supplier of organic non-cannabis product. ☐ Attached

Vendor	**Manufacturer/Supplier** *If vendor is not certified OCal*	**Product Name** *List one product per line, match supplier certificate, include brand name if any*	**Packaging Form** *Retail label Wholesale label Bulk / Nonretail label Not packaged*	**Product claim** *Must match supplier certificate*	**CCOF approved?**
Ex: Uncertified ABC distributor	*Ex: ABC CannaFarm*	*Ex: pre-rolls – Momo's Munchies brand*	*Retail label*	☐ Made w/ OCal ☒ OCal ☐ 100% OCal	
				☐ Made w/ OCal ☐ OCal ☐ 100% OCal	
				☐ Made w/ OCal ☐ OCal ☐ 100% OCal	
				☐ Made w/ OCal ☐ OCal ☐ 100% OCal	
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				☐ Made w/ OCal ☐ OCal ☐ 100% OCal	

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Operation Name: _____ **Date:** _____

*Nonorganic ingredients are allowed in or on cannabis products labeled "OCal" only when organic forms are not commercially available, the ingredient appears on the National Organic Program's National List §205.605/ 205.606, and other technical criteria are met (per **OCal Product Nonorganic Material Affidavit**). If an organic version is commercially available, you must use it. Cost cannot be a factor in determining commercial availability.*

Commercially available – "The ability to obtain a production input in an appropriate form, quality, or quantity to fulfill an essential function".

► Complete one OCal H2.7 form for each 205.606 National List nonorganic agricultural ingredient used in products labeled "OCal" or other material requiring commercial unavailability documentation, i.e. yeast, flavors, silicon dioxide. You are required to search for organic ingredients at least on an annual basis. You may create a spreadsheet to track this information if you source multiple ingredients.

A. Organic Ingredient Search

1) Nonorganic ingredient: _____

2) Used in the following "OCal" product(s): _____

3) Describe your search (potential suppliers, dates, search methods).

You must contact at least three (3) potential organic sources and use resources such as the USDA Organic Integrity Database, or explain why this search is not possible. If an organic version is commercially available, you must use it. Cost cannot be a factor in determining commercial availability.

4) Which of the following makes this product unavailable organically? Check all that apply.

☐ Form ☐ Quality ☐ Quantity ☐ Essential Function

a) Explain your answer using specific details.

B. Ongoing Annual Monitoring Plan

1) Describe your ongoing plan to find an organic ingredient and attach records that will be used to document your search and any product testing. ☐ Attached

You must contact at least three (3) manufacturers annually and use resources such as the USDA Organic Integrity Database. Records or documents of continued efforts to locate an organic source will be reviewed at your annual inspections.

Operation Name: _____ **Date:** _____

► Complete this form if you take physical possession of products you sell or distribute, or run a manufacturing or handling facility.

Facility covered by this form:

_____

A. Harvest

1) Do you harvest OCal cannabis and/or contract out harvest of OCal cannabis?

Records and OCal certificates must show that harvested parcels are certified and harvest equipment is cleaned or purged.

☐ No ☐ Yes. Complete sections A & B on **OCal C6.1 Harvest & Transport**

B. Receiving

1) Do any organic ingredients, OCal cannabis, and/or or OCal cannabis products arrive **unsealed** or in **permeable packaging** (ex: clamshells, open boxes, trucks) or in **reusable containers or vehicles** (ex: RPCs, tankers, railcars)?

Transporters that combine or split unpackaged loads must be certified organic.

☐ Yes ☐ No

a) If yes, how do you ensure contamination and commingling were prevented during transport (ex: protection from sanitizer residue, gases, liquids)? Check all that apply.

Transporter records must be available for review at inspection, ex: bill of lading, manifest, transaction certificate, shipping and delivery records, invoices, chain of custody, truck and trailer numbers, lot number.

☐ Clean truck affidavit ☐ Cleaning and sanitizing material records ☐ Certified supplier provides documentation

☐ Truck cleaning procedures ☐ Wash tags

☐ Other (describe): _____

2) At receiving, how do you verify that incoming organic ingredients, OCal cannabis, and/or or OCal cannabis products are from approved suppliers, including shipments from uncertified brokers, traders, wholesalers, or distributors? Check all that apply or attach a description.

Receiving records must document verification and be available for review at inspection.

☐ Approved organic and/or OCal supplier list verified against BOL or packaging/container labels

☐ Current organic and/or OCal certificate required with each shipment, supplier verified as approved, certificate verified to list product received

☐ For shipments from uncertified vendors, record uncertified handler, certified supplier, and certified supplier lot # on receiving log

☐ Other (describe): _____

C. Storage

1) How do you ensure organic ingredients, OCal cannabis, and/or or OCal cannabis products are not commingled with nonorganic and/or non-OCal products in storage?

☐ Not applicable, all organic/OCal ☐ All products sealed and labeled

☐ Storage areas dedicated to, and identified as, organic/OCal

☐ Other (describe): _____

D. Packaging & Shipping

1) Are all packaging materials free of prohibited materials (ex: fungicides, preservatives, fumigants)? Contact packaging manufacturer if you are unsure.

☐ Yes ☐ Not applicable, no packaging

2) How do you prevent commingling of outgoing OCal and non-OCal cannabis products?

☐ OCal never shipped with non-OCal ☐ Clearly labeled packages/pallets ☐ OCal product sealed or shrink wrapped

☐ Separate areas in vehicle ☐ Other (describe): _____

3) Are any products shipped in **unsealed** or **permeable packaging** (ex: open boxes, trucks) or in **reusable containers/vehicles** (ex: RPCs, tankers, railcars)?

Transporters that combine or split unpackaged loads must be certified organic, except milk haulers.

☐ Yes ☐ No

a) If yes, how do you ensure contamination and commingling will be prevented during transport (ex: protection from sanitizer residue, gases, liquids)? Check all that apply.

Transporter records must be available for review at inspection, ex: bill of lading, manifest, transaction certificate, shipping and delivery records, invoices, chain of custody, truck and trailer numbers, lot number.

☐ Clean truck affidavit ☐ Cleaning and sanitizing material records ☐ Certified supplier provides documentation

☐ Truck cleaning procedures ☐ Wash tags ☐ Tanker Seals

☐ Other (describe): _____

E. Water and Water Additives

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

1) Is water used as an ingredient in OCal products or used in direct contact with organic ingredients, OCal cannabis, and/or or OCal cannabis products, ex: wash water or crops washed in the field?

☐ No. Skip to question E4. ☐ Yes. Complete this section.

a) If yes, do you add any substances to water that contacts organic ingredients, OCal cannabis, and/or or OCal cannabis products, ex: peracetic acid, hydrogen peroxide, chlorine?

☐ No

☐ Yes. List materials on your **OCal Handler Materials Application (OSP Materials List)**.

b) Do you add **chlorine** to water that directly contacts organic ingredients, OCal cannabis, and/or or OCal cannabis products?

☐ No ☐ Yes. Attach records or SOP used for monitoring chlorine. Records or SOP will be verified by your inspector.

1. If yes, do products undergo a final fresh water rinse?

Residual chlorine levels in water at last point of contact must not exceed the maximum residual disinfectant limit under the Safe Drinking Water Act.

☐ Yes ☐ No, chlorine never added to water above SDWA limits

2) If you treat water on-site (ex: RO, UV, carbon filtration, water softeners, pH adjustment), does treated water meet Safe Drinking Water Act Standards? Contact treatment manufacturer if you are unsure.

☐ Yes. *CCOF may request documentation that treated water meets Safe Drinking Water Act standards.*

☐ N/A, water not treated

3) Does steam contact organic ingredients, OCal cannabis, and/or or OCal cannabis products or packaging?

☐ No. Skip to section F. ☐ Yes. Complete this section.

a) If yes, and boiler chemicals are used, attach an ingredient statement for each. List materials on your **OCal Handler Materials Application (OSP Materials List).**

☐ Attached ☐ N/A, no boiler used

b) If volatile boiler chemicals are used, describe how you prevent organic ingredients, OCal cannabis, and/or or OCal cannabis products from contacting volatile boiler chemicals, e.g. by shutting off boiler chemical feed prior to OCal runs (specify # of hours) and conducting condensate tests: ☐ Attached

_____

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F. Equipment Cleaning and Sanitization

1) List all equipment and surfaces that organic ingredients, OCal cannabis, and/or or OCal cannabis products contact during **receiving, handling, processing, transport, or storage,** including grading or sampling equipment. Describe cleaning and sanitization that happens before OCal runs or provide this information as an attachment (ex: SSOP for OCal): ☐ Attached

Organic and/or OCal Equipment/Contact Surface *(ex: totes, processing lines, reused storage containers)*	**Cleaned? (Y/N)**	**Purged*? (Y/N)**	**Rinsed? (Y/N)**	**Documentation** *(ex: wash tag, cleaning/production log)*

**Purge – To expel nonorganic and/or non-OCal product prior to processing organic and/or OCal product from food processing equipment (when equipment cannot be cleaned).*

2) If any surfaces listed above are NOT either cleaned or purged prior to each OCal run, explain why not:

_____

3) If equipment is purged between runs, describe the purge procedure, including the product and quantity purged, where it goes, and how this is documented. ☐ Attached

_____

4) For OCal contact surfaces listed above, do you use any **sanitizers** or **detergents/cleaners** that are not rinsed?
☐ No ☐ Yes. List each material on your **OCal Handler Materials Application (OSP Materials List)**.

5) How do you ensure residues from prohibited materials (ex: quaternary ammonia) are removed from organic and/or OCal contact surfaces?
☐ Not applicable ☐ Rinsing (required for quaternary ammonia) ☐ Complete drying of alcohol-based sanitizers
Residue Testing: ☐ pH ☐ Quaternary Ammonia ☐ Other testing: _____

6) If cleaning is NOT documented, explain why not:

_____

G. Facility Pest Management

1) Which of the following management practices do you use to **prevent** pests? You must use at least one:
☐ Remove pest habitat, food sources, and breeding areas ☐ Prevent access to handling facilities
☐ Manage environmental factors to prevent pest reproduction (temperature, light, humidity, atmosphere, air circulation)
☐ Other (describe): _____

2) Which of the following practices do you use to **control** pests in OCal production and organic and/or OCal storage areas?
☐ N/A, none used ☐ Mechanical or physical controls, including traps, light, or sound
☐ Lures and repellents using nonsynthetic or synthetic substances consistent with the National List. List lures and repellents that you apply in OCal production and organic and/or OCal storage areas on your **OCal Handler Materials Application (OSP Materials List)**.

3) Are the measures listed above sufficient to prevent or control pests?
☐ Yes ☐ No ☐ N/A, none used
   a) If no, list pest control materials **from the National List** that you apply in OCal production and storage areas on your **OCal Handler Materials Application (OSP Materials List)**. "National List" means the list of allowed and prohibited substances included in National Organic Program regulations (7 CFR Sections 205.600 through 205.607). ☐ Attached

   Prevention and control methods described in G1 and G2 above must be implemented before National List materials may be used. National List materials include carbon dioxide, nitrogen gas, Vitamin D3 bait, boric acid, diatomaceous earth and soap products.

4) Are National List materials on your OSP Materials List sufficient to prevent or control pests?

☐ Yes ☐ No ☐ N/A, none used

a) If no, explain below (or attach justification). List pest control materials **not on the National list** that you apply in OCal production and storage areas on your **OCal Handler Materials Application (OSP Materials List)**.

☐ Letter of justification attached

5) How do you prevent pest control materials from contaminating OCal products, organic and/or OCal ingredients, and packaging materials?

☐ Remove product and packaging from areas to be treated ☐ Wash and rinse organic and/or contact surfaces after treatment

☐ Cover equipment used for organic and/or handling during treatment

☐ Purge equipment with nonorganic product after treatment

☐ Other (describe): _____

6) Where do you record pest control material use and measures taken to protect organic ingredients, OCal cannabis, and/or or OCal cannabis products or packaging?

You are required to record all substances applied to the product or used in or around any area where product is kept, including the quantity applied and the date of each application. All pesticide chemicals must be identified by brand name, if any, and by source.

☐ Pesticide Use Log ☐ Log describing removal/reentry of products and packaging ☐ Purge log

☐ Other (describe): _____

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Operation Name: _____ **Date:** _____

An "Audit Trail" or "trace-back" system documents the source, transfer of ownership, receipt, handling, production, processing, and transportation of OCal 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.

► Complete a separate **OCal H5.0 Record Keeping for Handlers** 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 OCal product records can be reviewed during inspection.

Address: _____

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

Contact(name/title): _____

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

B. Tracking OCal Products

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

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. ☐ Description or diagram attached

Audit trail systems include the following elements:

a) **Common audit trail documents** – Bills of Lading (BOL), purchase orders, invoices, contracts, packing slips, certificate of analyses, organic 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** – Additional audit trail information is required for each shipment from an uncertified handler (broker, trader, wholesaler, distributor, or importer), for OCal cannabis ingredients from uncertified handlers, refer to the **OCal Uncertified Handler Affidavit (OCal UHA)**. For organic non-cannabis ingredients from uncertified handlers, refer to the **Exempt Handler Affidavit (EHA)**. Receiving procedures must include verification and documentation of the last certified operation. *Sourcing from uncertified handlers requires additional audit trail verification at inspection.*

c) **Imports** (organic ingredients only)– Importers and operations who are the first certified organic business in the USA to purchase or receive imported goods are required to have additional documentation showing that imported organic products have not been treated upon entry to the USA.

- Shipments from EU, UK, Japan, Korea, Taiwan, and Switzerland – NOP import certificate issued by an organic certification agency are required for each shipment.
- Shipments from India – Certificate of Inspection issued by an organic certification agency via India's APEDA TraceNet system is required for each shipment.
- Additional documentation for each shipment may include 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) and other documents.

2) Attach sample audit trail documents to demonstrate your system. ☐ Documents attached

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

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

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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) How is lot number associated with outgoing shipments?

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

_____

- *This form pertains to OCal System Plans. If you are certified by CCOF as organic rather than OCal, refer to the **Exempt Handler Affidavit** instead for incorporation into your Organic System Plan.*
- *This form should only be completed by uncertified handlers of OCal cannabis. Uncertified operations that store and/or supply non-cannabis organic product to a certified-OCal operation should instead complete the **Exempt Handler Affidavit.***

This affidavit is required for any of the following:

- Uncertified storage facilities used by CCOF operations to store unsealed OCal cannabis product or OCal cannabis product in permeable packaging.
- Uncertified brokers, traders, wholesalers, distributors, or importers who take title or physical possession of OCal cannabis products supplied to CCOF certified OCal operations.

This affidavit is not required for:

- Uncertified storage-only facilities used by CCOF operations to store sealed OCal cannabis products or OCal cannabis products product in impermeable packaging.
- Commission/fee brokers who do not take title or physical possession of OCal cannabis products.
- Uncertified handlers supplying OCal cannabis products in sealed, impermeable containers with final retail labeling that identifies the OCal status and original certified producer.
- Private label owners who purchase OCal cannabis ingredients that are shipped directly from a certified supplier to a certified co-packer, and shipping documentation links to certified supplier.

CCOF operations must work with their purchasing department to determine if uncertified suppliers are used.

- Uncertified operations that store and/or supply non-cannabis organic product to a certified-OCal operation should complete the **Exempt Handler Affidavit**. Copies of the Exempt Handler Affidavit must be kept by both the CCOF certified operation and the uncertified handler entity. That affidavit and any sample audit trail records will become part of the CCOF certified operation's OCal System Plan (OSP).
- Uncertified handlers of OCal cannabis products must answer the questions below. A new affidavit is required only if there is any change in the future, including a change in management of the uncertified handler.
- Copies of the OCal Uncertified Handler Affidavit (UHA) must be kept by both the CCOF certified operation and the uncertified handler entity. This affidavit and any sample audit trail records will become part of the CCOF certified operation's OCal System Plan (OSP).
- CCOF certified operations will be billed an initial and annual fee for each OCal Uncertified Handler Affidavit and Organic Exempt Handler Affidavit, outlined in the CCOF Certification Services Program Manual. CCOF certified operations can avoid this fee by sourcing from certified handlers.

3 CCR § 10102 does not require certification of licensed commercial cannabis operations that do not handle cannabis products to be labeled, sold or represented as OCal if: (1) OCal products are packaged or otherwise enclosed in a container prior to being received or acquired, and (2) OCal products remain in the same package or container and are not repacked or re-labeled while in the control of the uncertified handler, except for Bureau sampling.

Uncertified handler operation name: _____

Manager/Owner: _____

Email: _____

Phone: _____ Website: _____

Address: _____

Activities (check all that apply):

☐ Dry storage ☐ Cold storage ☐ Freezer storage ☐ Broker ☐ Trader ☐ Wholesaler ☐ Distributor

☐ Other (Describe): _____

A. Uncertified Handler Eligibility

The uncertified handler must answer the questions below. For uncertified brokers, traders, wholesalers, distributors, or importers who use uncertified storage locations, answers below must reflect activities at uncertified storage locations as well as your own activities. If unclear, CCOF may require that your uncertified storage location also complete this form.

	Yes	No
1) Do you ever handle any OCal cannabis products that are not enclosed in a package or container when you receive them?	☐	☐

a) If yes, describe: _____

		Yes	No
2)	Do you ever combine or split loads of bulk/unpackaged products?	☐	☐
3)	Do you ever open packages or containers of OCal cannabis products, other than for product sampling?	☐	☐
4)	Do you ever relabel, package, or apply any label that obscures the original label or lot number/code?	☐	☐
5)	Do you ever repack, sort, recondition, cull, ice, hydro cool, hydro vacuum, or otherwise process OCal cannabis products in any way? *Repacking includes placing product into other packaging that displays OCal claims.*	☐	☐
6)	Do you ever apply any substance to the OCal product including water, ethylene, or controlled atmosphere treatment?	☐	☐
7)	Does OCal product ever contact cleaners, sanitizers, pest control materials, non-OCal cannabis products or nonorganic products, water that has contacted non-OCal or nonorganic products, or other prohibited materials while under your control?	☐	☐
8)	Is the OCal cannabis product packaged or enclosed in a container prior to being received and does it remain in that enclosed container while under your control, other than for product sampling? a) If no, describe:	☐	☐
9)	Broker, trader, wholesaler, distributor, importer – Describe how frequently you change OCal suppliers:		
10)	Do your audit trail records for each shipment include the information described in section B 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. If you have an alternative way to provide a complete traceback to the last certified handler, attach a description. *If your audit trail records do not trace back to the last certified OCal operation, the CCOF certified operation will not be able to source from you until you improve your records.*	☐	☐

To be excluded from certification, the answer to questions 1-7 must be "NO", questions 8 and 10 must be "YES." Question 9 must be complete for brokers, traders, wholesalers, distributors, and importers.

B. Audit Trail Records

CCOF certified OCal operations may only source from uncertified handlers who provide full supplier traceability back to the last certified OCal operation for each shipment. We find the following to be essential for traceability:

1) Purchase invoices, BOL, and other audit trail records must:
   - Designate products as OCal AND
   - Include a description of the product and amount transferred. You may strike out pricing information, provided that OCal status and quantity is legible.
2) Uncertified handler records and the last certified operation's records must link:
   - The last certified operation must be listed on invoices AND/OR
   - Lot numbers applied by the last certified operation must match lot numbers on uncertified handler audit trail records.
3) For each shipment, uncertified handlers must provide a complete and current OCal certificate for the last certified operation.
4) Documents generated by the last certified operation proving purchase, delivery, and/or transfer to the uncertified handler must be provided to the CCOF certified operation.
   - Uncertified 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 OCal integrity was maintained; OCal products did not come into contact with non-OCal or nonorganic products or prohibited materials such as fumigants.
5) All certified suppliers must be approved by CCOF as part of the certified operation's OCal System Plan (OSP). Notify your CCOF certified buyer prior to changing suppliers.

CCOF certified operations must maintain records sufficient to demonstrate compliance. If CCOF inspectors cannot track OCal product back to the last certified operation, sourcing OCal products from the uncertified handler may be considered a noncompliance.

C. Uncertified 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.

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 uncertified OCal handler and may be cause for compliance action against the CCOF certified entity.

Name (Manager/Owner of Uncertified Handler)	Signature	Date

Certification of broker/trader/wholesaler/distributor/importer/storage facilities is straightforward and allows you to protect the identity of your suppliers. 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 OCal product owned by a CCOF certified operation per 3 CCR §10500, and 17 CCR §22115. If the uncertified handler misrepresents policies or procedures as stated on this affidavit or acts in a manner that might jeopardize OCal integrity or tracking of the OCal product, the CCOF client using the uncertified handler will be notified. The CCOF client will be held responsible for correcting any noncompliance issues. CCOF will report uncertified handlers who are not excluded to the CDFA and/or CDPH as applicable, for investigation and potential civil penalties.