



**PROCESSOR/HANDLER
EXTENSION APPLICATION & CONTRACT
FOR ORGANIC CERTIFICATION**

Some retailers/handlers may be exempt from all or part of the USDA-NOP.

FOR OFFICE USE ONLY
Received: / / Reg. #
Retainer Fee: \$ _____

This document is both an application and contract for certification services and **updates** your initial organic processing/handling system plan as required by **the Canadian Organic Standards (Can/CGSB 32.310 & 32.311), the EEC Organic Regulation #834/07 & 889/08, the Quebec Organic Reference Standards and the USDA National Organic Program (NOP)**. After completion, make a photocopy of the entire Extension Application and Contract and attachments and retain in your file.

1.0 APPLICANT INFORMATION [NOP 205.201]

Name: _____ Year: _____
Mailing Address: _____
Plant Location(s): _____
Phone No: (_____) _____ Fax No: (_____) _____
Email: _____ Website: _____
If a corporation, the authorized representative is _____, address: _____
_____ Phone No: (_____) _____

1.1 Certification Instructions

Please indicate which standard/regulation you wish to be certified to:

- | | |
|---|---|
| <input type="checkbox"/> EEC Reg. 834/07 & 889/08 | <input type="checkbox"/> Canadian Organic Standard (COSs) (Can/CGSB 32.310 & 311) |
| <input type="checkbox"/> Japan Agricultural Standard | <input type="checkbox"/> USDA National Organic Program (NOP) Regulation |
| <input type="checkbox"/> Quebec Organic Reference Standards | <input type="checkbox"/> USDA NOP Only |
| <input type="checkbox"/> Bio-Suisse | <input type="checkbox"/> Other: (Specify): _____ |

1.2 Nature of Business

Generally describe **changes** made to the organic (and non-organic) food processing activities in the facility(s) in the last 12 months:

Valid	Processor/Handler Extension Application	Author: BJSH	Page 1 of 8
04/17/09	Doc # 6.2.2 HO	Reviewer: JWH	Version 4

Pro-Cert Organic Systems
Via: Head Office
Box 100a, RR#3 Saskatoon, SK S7K 3J6 Canada

1.3 Organic Product Description

List the organic products, brand names and package sizes and type created in this facility and the approximate annual volume; indicate with an asterisk (*) any additions/deletions from the previous year:

Product	Brand Name	Size and Type	Annual Volume
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Any additions to the organic product/brand name line above constitutes a change in the scope of certification and requires partial or total re-evaluation.

1.4 Market Area:

List the countries into which you expect to export organic food:

_____	_____
_____	_____
_____	_____
_____	_____

2.0 ORGANIC CERTIFICATION HISTORY [NOP 205.401(c)]

Is the facility(s) currently certified by any other certification bodies? Yes No

If **Yes**, **attach** copies of the Organic Certificate of Conformity, letter of transmittal and inspection report for the **most recent** certification event.

Describe corrective actions taken to address non-compliances identified in the last Pro-Cert Inspection [see last year's Doc # 5.4.4(e)] and by other agencies (if applicable);

Non-Compliance	Corrective Actions(s)
_____	_____
_____	_____
_____	_____
_____	_____

3.0 PROCESSING/HANDLING FACILITY DESCRIPTION [NOP 205.201]

For **each of the geographically separate** plant sites in your organic facility review the following information:

3.1 Site Diagram(s):

Are there **additions** to existing processing sites or new sites being added to the certification? Yes No

If **Yes**, **attach** updated/new site diagram(s)

3.2 Plant Diagram(s):

Have there been any **changes/additions** to the processing facility(s)? Yes No

If **Yes**, **attach** updated plant diagram(s)

3.3 Flow Diagram(s)

Are there **changes** to the processing line(s) or new processes requiring certification? Yes No

If **Yes**, **attach** a new flow diagram for each

3.4 Organic Dedication: [NOP 205.272(a)]

Is non-organic produce processed in this facility? Yes No.

(i) If **Yes**, list any **changes** made in the non-organic processing activity: _____

(ii) List any **changes** in the cleaning and purging procedures between organic and non-organic runs: _____

(iii) List any **changes** to procedures to segregate non-organic and organic products: _____

3.5 Contamination [OC/PRO 8.5.1; NOP 205.272]

Describe any **changes** made in the last year to the programs to prevent contact of organic products with prohibited substances:

4.0 STANDARD OPERATING PROCEDURES [NOP 205.201]

A copy of the SOP Manual must be available for inspector review.

When was the SOP Manual last revised? _____

If a SOP manual does not exist, what initiatives have been taken for creation of the same and what is the timetable for generation? _____

5.0 ORGANIC INGREDIENT CERTIFICATION RECORDS [NOP 205.201(a)(2)]

A continuously up-dated schedule of the certification status of all organic ingredient suppliers must be maintained. The following format and headings are recommended:

Schedule of Organic Suppliers and Certification Status						Revision Date:			
Supplier			Certifying Body		Certification Status		Renewal Status Check		Further Action(s) Required
Name	Address	Country	Name	Accreditation	Cert on File.	Expiry	Date of Inquiry	Status	

Note: All suppliers must bear certification appropriate for the jurisdiction and/or status the finished product is to be sold to (eg. all suppliers for a product sold as EU compliant must also bear a current EU certificate)

Have current copies of all supplier organic certificates been collected? Yes No

Are certificates appropriate for the jurisdiction/certification status of the final product? Yes No

Attach a copy of the most recent version of the above schedule. Attach copies of the Certificates of Conformity for the suppliers listed in the schedule. If suppliers are primary producers, have the certificates available for review by the inspector.

6.0 EXTERNAL REGULATION AND INSPECTION [NOP Additional Information]

6.1 Government Agencies

List and briefly describe the nature of Federal and Provincial (State) licenses which are required for your plant.

Government Agency	Protocol	Date of Last Inspection
_____	_____	_____
_____	_____	_____
_____	_____	_____

6.2 Non-government Agencies

Indicate the nature of non-government external inspection/accreditation used: (eg. ISO HACCP, AIB)

Agency	Protocol	Date of Last Inspection
_____	_____	_____
_____	_____	_____
_____	_____	_____

Are there any outstanding remedial actions arising from these inspections? Yes No. If **YES**, describe _____

7.0 PROCESSING PROCEDURES [NOP 205.201(a)(1)]

Indicate the nature of the on-farm processing activities: cleaning grading cooking freezing
 packaging baking curing drying mixing grinding churning separating
 distilling extracting slaughtering cutting fermenting packaging eviscerating
 jarring labeling other (specify) _____

For **each product** or **product group** listed in Section 1.3, complete a copy of Schedule 7.1 – **Organic Product Profile**.

8.0 PRODUCT INVENTORY CONTROL [NOP 205.201(a) (4)]

Have there been **changes** to your product inventory control (audit trail) system? Yes No

If **Yes**, describe:

If **Yes**, **attach** an updated audit trail flow diagram demonstrating product identity maintenance

When purchasing organic raw materials or ingredients do you:

(i) obtain copies of organic certificates **before** taking delivery? Yes No

(ii) Assign or record lot & batch numbers? Yes No

Provide an example: _____

Can the contents of the finished product from a retail shelf be traced to the original farm source? Yes No

Can ingredient lots be traced to their final use? Yes No

9.0 PRODUCT LABELLING [NOP 205.303 to 310]

Have there been any **changes** to labels for the existing organic product line since the last inspection? Yes No
If **Yes**, **attach** the revised label

Are there any new products requesting certification? Yes No
If **Yes**, **attach** a copy of the label(s)

List all brand names under which organic product from your facility is sold under:

Attach copies of all **current** advertising material, scripts, print ads, etc. pertaining to your organic products

10.0 WATER QUALITY MONITORING

Have there been **changes** to the facility(s) water source in the last 12 months? Yes No

If **Yes**, describe: _____

List all current water treatments (physical and chemical): _____

Has any water analysis been conducted in the last 12 months? Yes No

If **Yes**, indicate the testing laboratory: _____

Attach copies of all water analysis conducted in the last year.

Attach the current Certificate of Accreditation for the testing laboratory (ISO 17025)

Is live steam used in the process? Yes No If **No**, proceed to Section 11.0

If **Yes**, list all boiler additives used: _____

Attach a copy of the **MSDS** for each **new** boiler additive in use since the last inspection
MSDS for all boiler additives must be available at the time of inspection.

Identify the frequency of testing for residues in steam condensate:

daily weekly after boiler cleaning Other (specify) _____

Condensate testing results must be available at the time of inspection.

11.0 COMPLAINTS AND CORRECTIVE ACTIONS [ISO 65]

Attach a copy of your complaint record for the last year.

Have all complaints been addressed and closed? Yes No

If **No**, indicate which complaints are unresolved and why.

12.0 SANITATION PRACTICES [NOP 205.272]

Have there been any **changes** made to the facility's sanitation program in the last 12 months? Yes No
If **Yes**, described the changes: _____

How frequently are facilities cleaned: daily weekly monthly yearly as required
 other (specify) _____

A log of all sanitation activities **must** be maintained.

Are sanitation agents used in the facility? Yes No If **No**, proceed to Section 13.0
List all sanitation agents currently used in the facility: _____

Attach a copy of the **MSDS** for each **new** sanitation agent in use since the last inspection
MSDS for all sanitation agents must be available at the time of inspection

13.0 FACILITY PEST MANAGEMENT [NOP 205.271]

Have there been any **changes** made to the facility(s) pest control program in the last 12 months? Yes No
If **Yes**, described the changes: _____

If **new** pest monitoring stations have been added, **attach** an **updated** Pest Control/site map.

How often are the pest management devices monitored: daily weekly monthly yearly as required
 other (specify) _____

The Pest Control Log must be available at the time of inspection.

Are pest control products used in the facility? Yes No If **No**, proceed to Section 14.0
List all pest control products currently used in the facility: _____

Attach a copy of the **MSDS** for each **new** pest control product in use since the last inspection

14.0 RECORD KEEPING SYSTEM [NOP 205.103]

Are all organic records currently being maintained for at least **five years**? Yes No
If **No**, indicate why: _____

15.0 WASTE MANAGEMENT [NOP Additional Information]

Have there been any **changes** made to the facility(s) waste management practices in the last 12 months? Yes No
If **Yes**, described the changes: _____

16.0 EMPLOYEE TRAINING [NOP Additional Information]

Describe your employee organic training programs conducted in the last 12 months:

17.0 CONTRACT FOR CERTIFICATION SERVICES

(a) It is hereby agreed that _____ (hereinafter called the Applicant) retains **Pro-Cert Organic Systems Ltd. (Pro-Cert)** for evaluation of conformity to the **Canadian Organic Standard, the EEC Organic Regulation # 834/07 & 889/08, the Quebec Organic Reference Standards and the USDA National Organic Program (NOP)** and others as specified in clause 1.1 above for the estimated fee quoted and as outline in the current Pro-Cert Fee Schedule. A retainer fee of \$ _____ is enclosed; the balance (remainder fee) will be paid after the inspection and upon receipt of an invoice but prior to application evaluation by Pro-Cert.

(b) It is further agreed that the Applicant will pay upon receipt of an invoice from Pro-Cert such additional costs incurred by Pro-Cert for surveillance during the certification period including but not limited to: (i) unannounced inspections, (ii) supplemental product inventory audits, (iii) additional forensic sample analyses and, (iv) surveillance actions. The rates and fees quoted in the current Pro-Cert Fee Schedule for processors are applicable.

(c) The Applicant hereby agrees to inform Pro-Cert of any planned changes in their operating procedures and/or scope including but not limited to: (i) the substances and ingredients used in the facility, (ii) the processing, storage and handling procedures, (iii) processing conducted in or for the operation which could affect the organic conformity of the product prior to implementing such changes. Pro-Cert will determine if an additional inspection is required. The applicant will not release product resulting from such changes without first receiving Pro-Cert approval.

(d) The Applicant acknowledges that significant changes in procedures or scope of operation require an Application for Amendment of Certification and re-evaluation, the intensity of which is to be determined by Pro-Cert. Further, that failure to notify Pro-Cert can result in suspension or loss of certification status. The applicant agrees to notify Pro-Cert in advance and at all times of the identity of any other company for which they intend to manufacture products under license, and thus as a result can use the Pro-Cert mark (name and logo) on the label of the product that it intends to market under it's own brand name even though it does not hold a compliance certificate for those products.

(e) Pro-Cert, its employees and inspectors hereby agree to treat all information provided by the Applicant as obtained via inspection or research as confidential. Pro-Cert will obtain written permission from the applicant before disclosing confidential information. Pro-Cert is authorized to respond to legitimate inquiries as to the organic certification status of the applicant as may be received from time to time.

(f) The Applicant hereby affirms and verifies that the description of the organic production unit and the procedures contained in this application are accurate and complete and he, she or it: (i) has read the applicable portion of the applicable standard and/or regulation; (ii) will operate the facility in accordance with the standards or regulation during the certification period; (iii) will maintain accurate and current records of all organic (and non-organic) produce and products handled by the Applicant; (iv) will not misrepresent the certification status of the facility and it's end products; (v) will not use it's product certification in such a manner as to bring Pro-Cert into disrepute and not make any statement regarding it's product certification which Pro-Cert may consider misleading or unauthorized; (vi) will use certification only to indicate that products are certified as being in conformity with specified standards; (vii) will endeavor to ensure that no certificate or report or any part thereof be used in a misleading manner.

(g) The Applicant hereby authorizes Pro-Cert to obtain and review any and all documents or information relevant to the evaluation including but not limited to: previous certification inspection reports and documents.

(h) The Applicant hereby authorizes and provides Pro-Cert, the Standards Council of Canada (SCC), the Canada Organic Office (COO), the AMS Administrator, the applicable State Official and CAEQ representative access to premises, facilities, product, inventories, records and documents during normal business hours for the purpose of certification, audit, verification of compliance or analysis and copying and examining whether such access is arranged or unannounced.

(i) The Certificate of Conformity when issued and current entitles the Applicant to display one of the Pro-Cert trademarks of organic conformity on produce and product labels and to use the same in advertising material provided that Pro-Cert first reviews the working of the said labels and materials. This license terminates with temporary or permanent withdrawal of the Certificate of Conformity and/or upon lapse of the same. The Pro-Cert certification marks **may** appear on product labels while one of the following phrases **must** appear: (i) Certified Organic by Pro-Cert Organic Systems Ltd., (ii) Certified Organic by Pro-Cert Organic, or (iii) Certified Organic by Pro-Cert.

(j) The Applicant hereby acknowledges that Pro-Cert has the right to suspend or revoke organic certification status when non-conformity with aforementioned standards and regulations is confirmed and that he, she or it agrees to terminate all reference to certification in the event of such action and further that Pro-Cert has the right to advertise such action as it sees fit. In the case of suspension, at the date of notification of the suspension and during all the following period the Applicant will make no misleading claims as to the status of certification, and cease to use the certification mark on the products concerned by the suspension. In addition, Pro-Cert may require that no certified product be put up for sale and that non-conforming product be subject to a corrective action, including product recall and label correction.

Valid	Processor/Handler Extension Application	Author: BJSJH	Page 7 of 8
04/17/09	Doc # 6.2.2 HO	Reviewer: JWH	Version 4

(k) The Applicant or Representative hereby also acknowledges that there are penalties for misrepresentation of product as organic and for the making of false statements to Pro-Cert.

(l) The Applicant hereby agrees to use of the English language in this and all other related documents.

Name of Applicant

Signature of Applicant or Representative

Date

For Office Use Only:

**Pro-Cert Organic Systems Ltd.
Head Office**

Signature & Title

Date

18.0 ATTACHEMNTS

I have attached the following documents in support of my application for organic certification and verification of my organic production plan:

Mandatory Attachments:

- Retaining Fee
- Site Diagram(s)
- Plant Diagram(s)
- Flow Diagram(s)
- Schedule of Supplier Certification Status
- Schedule 7.1 – Organic Product Profile (x ____)
- Audit Trail Flow Diagram(s)
- Label Proof for all organic labels
- Proof for advertisements bearing organic claims
- Label and/or MSDS for all sanitation agents
- Label and/or MSDS for all pest control substances

Optional Attachments:

- Notice(s) of Non-Compliance, Suspension, Revocation or Denial¹
- Previous Certificate, Letter of Transmittal and Inspection Report¹
- Applicable sections of SOP
- Water Quality Analysis
- Laboratory Certificate of Accreditation

Record Keeping Reminder:

- I have made copies of this Application & Contract and other supporting documents for my own records.

¹ If certified by another agency in the previous year

**Return Application/Contract and Attachments with Retaining Fee to:
Pro-Cert Organic Systems Ltd.**

Head Office

Box 100A, RR#3 Saskatoon, SK Canada S7K 3J6

Phone: (306) 382-1299 Fax: (306) 382-0683

Email: info@pro-cert.org

Valid	Processor/Handler Extension Application	Author: BJSB	Page 8 of 8
04/17/09	Doc # 6.2.2 HO	Reviewer: JWH	Version 4



**Schedule 7.1
Organic Product Profile**

ORGANIC PRODUCT OR PRODUCT GROUP _____

Raw Material Transportation & Interim Storage

Describe Transportation from the supplier (fields or storage facilities) to the plant; include sanitation procedures: _____

Describe unloading and interim storage facilities and cleaning procedures: _____

Are there any substances added during interim storage? Yes No. If Yes, describe and attach specification for each additive: _____

Processing Procedures [COS .310, 8.3, NOP 201(a)1, 270]

Describe the conversion of the raw material(s) to finished product and attach a flow diagram.

Ingredient/Additive Description [COS .310, 4.4, NOP 205.201(a)2]

Describe each ingredient/additive under the following headings:

Ingredient/Additive	Organic Status (O or NO)	Content (% by wt. Finished Product)
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____
_____	_____	_____

O = Organic NO = Non-organic

ORGANIC QUALITY CONTROL

Indicate the nature of organic integrity analyses conducted on **this product** or **product groups**: herbicide fungicide residue(s) insecticide residues anti-biotics growth hormones sanitizing agent residues genetic modification status microbial content heavy metals other (specify) _____

Indicate frequency of sampling/testing: twice daily daily weekly every __ product units
 other (specify) _____

How long are samples kept? 1 year 2 years 3 years Other (specify) _____

How long is data kept? 1 year 2 years 5 years Other (specify) _____

All organic (and other) quality control analyses must be available for inspector review.

Packaging Description [COS .310, 10; NOP 205.272]

Describe packaging procedures and materials:

Finished Product Storage [COS .310, 10; NOP 205.272]

Describe interim finished product storage facilities and environmental (temperatures, humidity, etc.) conditions: _____

List and describe any substances added during finished product storage (gases, etc.): _____

PRODUCT LABELLING [COS .310, 10; NOP 205.303 - .310]

Indicate the country in which the product will be sold and the labeling category below:

Canada [COS 10]

- "Organic" or similar term (Requires at least 95% certified organic ingredients)
- "Contains X % Certified Organic Ingredients" (Requires at least 70% total organic ingredients)
- "Contains X % Certified Organic Y" (Requires at least 70% of ingredient Y)

United States of America [NOP 205.301]

- "100% Organic" [NOP 205.303] (Requires 100% certified organic ingredients/processing aids)
- "Organic" [NOP 205.303] (Requires at least 95% certified organic ingredients)
- "Made with Organic" [NOP 205.304] (Requires at least 70% certified organic ingredients)

Other Country

Specify any other countries this product may be exported to: _____

Attach copies of all principle and side panel labels used or to be used.

ATTACHMENTS

- Labels for any additives used or to be used during interim storage of finished product.
- Labels for any ingredients or additives used or to be used during processing.
- Labels to be used on principle and side panels.
- Flow diagram of processing procedure.
- Copies of advertising material, script, etc