

Organic Standards for the Processing and Importing of Organic Food and Animal Feeds

SOPA Members Manual

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Section 1 - Application and Inspection

Members Manual

SOPA Programme for Certifying the Processors, Importers and Animal feed Compounders of Organic Products

Introduction and Conditions for Issuing and Maintaining Certification

1. Introduction to Scottish Organic Producers

Scottish Organic Producers Association was founded in 1986 to promote organic food in Scotland through supporting organic farmers.

The Association became a certification body and was approved by Defra in 1992 to inspect and certify organic farmers under the EC Regulation 2092/91. In 2001 SOPA contracted Scottish Food Quality Certification (SFQC), to carry out all the inspection and certification operations on its behalf. The SOPA Organic Certification Scheme was granted accreditation to EN45011/ISO65 by United Kingdom Accreditation Service (UKAS) in 2004.

In response to food processing industry demand for a Scottish based Organic Certification Scheme, SOPA and SFQC have jointly developed a new programme for the certification of processors, importers and animal feed compounders.

This leaflet explains the legal requirements and conditions that organisations wishing to obtain organic product certification through SOPA/SFQC must comply with.

2. Statutory Obligations

The labelling, marketing and production of organic food is controlled by Regulation (EEC) 2092/91 and enshrined in the UK Organic Products Regulation 2004. A producer, processor or importer of food or animal feed must submit their organisation to inspection and certification by one of the Defra approved UK Organic Certification Bodies if they plan to market a product bearing any indications of or reference to 'organic' production or content on the label, packaging or promotional literature. SOPA was one of the first Organic Certification Bodies to receive Defra approval under this legislation and has been assigned the Organic Certification Body identity code 'UK3'.

3. Conditions for Issuing and Maintaining Certification

3.1 Application Pack

The operator must obtain an Application Pack from the SOPA offices or web site. This includes the Standards for Processing, Importing and Animal Feed Compounding and the Application Form.

3.2 Application

The Application form must be completed and sent to the SOPA office.

The SOPA administrator will assess the Application Form for completeness and will acknowledge receipt and issue the invoice. The applicant will be asked to complete the steps in the Preparation for Inspection Form (SOPA PROC 4). An inspector will be allocated, provided with a copy of the Application Form and instructed to contact the applicant to arrange the inspection.

3.3 Preparation for Inspection

The applicant must prepare for the inspection by establishing an Organic Integrity Management Plan, including the organic procedures, record documents, product composition and proposed labelling before the inspection. The SOPA proforma documents – Record Sheet 17 - Organic Integrity Management Plan or the Record Sheet 18 - Organic Management Integrity Matrix - can be used for this purpose.

3.4 Inspection

The SFQC inspector will carry out an audit of the operation against the SOPA Standards and will pay particular attention to key requirements, including the following:

- Organic Integrity Management Plan, organic procedures and record documents designed to ensure the integrity of the organic products.
- Proposed product composition and labelling.
- Storage, processing and transport facilities
- Existing purchase, dispatch, sale and production records and traceability system.
- Check that the records permit a sample ingredient input/output reconciliation

3.5 Compliance Review

Where the inspector is unable to find sufficient evidence that the requirements of the SOPA Standards are being met or finds that the Standards are not being met this is called non-compliance. The inspector will draw this to the attention of the applicant so that they can understand what is wrong. They will also complete a Non-compliance and Comments Report (NCCR) at the end of the inspection, which identifies the non-compliances against the SOPA Standards. The applicant and inspector will agree a timescale (usually no more than one month) for implementation and notification of corrective action to bring operations back into compliance with the SOPA Standards. The inspector can discuss what measures may be necessary to bring the operation into compliance in general terms, but they cannot give specific or proscriptive advice for legal reasons. Copies of the NCCR will be left with the applicant.

3.6 Certification Officer Assessment

The certification officer will assess the inspection report and may issue a typed version of the NCCR, identifying additional non-compliance or comments at their discretion.

3.7 Corrective Actions

The applicant must implement Corrective Action or, where appropriate, give an undertaking not to repeat the breach of the Standards again, as soon as possible and certainly within the agreed period. Details of what has been done must be recorded on the applicant's copy of the NCCR and this must be returned to the Certification Officer. Where evidence is required to demonstrate that changes have been made then, copies of the procedures or record documents must be supplied. In some circumstances a further inspection visit may be required to verify that everything has been corrected.

3.8 Certification

Only when the Corrective Actions have been resolved to the satisfaction of the certification officer will the SOPA Certificate of Registration be issued. This will identify the certified processing enterprises and specific products. Only those products on the certificate can be marketed as organic.

3.9 Notification of Changes

The operator must notify SOPA of any changes to the product line prior to them being put on the market. For a new product or change to an existing product ingredient, the completed Product Specification sheet and draft label must be sent to the certification officer for approval. A new certificate will be issued including the new products once they have been approved.

Any major changes to the company, including contact details, use of sub-contractors or new premises must also be notified to SOPA.

3.10 Interim and Unannounced Inspections

SOPA carries out a programme of additional inspections, some of which are based on a risk analysis. A first time organic processor is classed as high risk and may be subject to an interim inspection. In this situation, the inspector may focus on certain aspects of the process, especially those where previous non-compliances were identified.

The same process as outlined in steps 3.3 to 3.7 will be applied. The producer must give the SOPA inspector access to all premises and records during office hours on demand.

3.11 Annual Renewal

SOPA must inspect each operator at least once in each calendar year. , The certification officer will notify the operator that the annual inspection is due and issue an Annual Questionnaire. SOPA fees are payable at the start of each year and operators must settle their accounts by the due date to maintain their registration. The stages 3.4 to 3.8 above will be followed.

3.12 Defra Surveillance Audits

A percentage of organic operators are selected for a surveillance visit by a Defra inspector. This allows Defra to monitor the work of SOPA and its inspectors. The Defra inspector must be given access to the operator's premises and records during office hours on demand.



Annual Membership Fees for 2008

Simple/Complex Processing

New Members

- Charge of £45 + VAT payable on application, plus £5 SOPA share certificate (£57.88 in total).

Current Members:

Nature of enterprise	Anticipated audit time *	Stand Alone fee	+VAT Total	Integrated fee** (if done with other SOPA audit)	+VAT Total
Small scale	Up to 2 hours	£230	£270.25	£130	£152.75
Medium scale	Up to half day	£360	£423.00	£260	£305.50
Large scale	Up to full day	£565	£663.88	£465	£546.38
Complex	Up to half day	£405	£475.88	-	-
Complex	Up to full day	£820	£963.50	-	-

* To be determined by SOPA in consultation with applicant.

** This may be reduced if there is a big overlap between the areas of producer and processing audits.

Scottish Organic Producers Association

Application Form for Organic Certification for Processors, Importers and Animal Feed Compounders

Please return this completed Application Form with payment to:

**SFQC who operate this Certification Scheme on behalf of SOPA at
SFQC, 10th Avenue, Royal Highland Centre, Ingliston, Edinburgh EH28 8NF**
Tel: 0131 335 6606 Fax: 0131 335 6601 Email: sopa@sfqc.co.uk Website: www.sopa.org.uk

Applicant's Details

Company Name:						
Contact Name:	Title:		Initials:		Surname:	
Job Title:						
Address:						
Post Code:						
Telephone number:						
Fax number:						
Mobile phone number:						
E-mail:						

For office use only

Date application received:	Cheque for application Fee: £57.88 (£45 & VAT & £5.00 share capital) Cheques made payable to SOPA
Preliminary Evaluation - deficiencies to be corrected:	
Application approved by:	Inspector allocated:

Guidance Notes for Completing this Application Form

1. This form must be completed with reference to the SOPA Processing Standards.
2. A copy of the SOPA Standards must be available for each site. Please contact the SOPA office if you do not have the correct revision. A pdf version and Word version are also available on CD on request.
3. An electronic version of this document is available on CD for your completion on a computer.
4. If completed by hand, please write clearly in block capitals throughout.

Company Details

Give a brief description of the company and the type of processing carried out:			
If any additional premises are used for processing or storage, give the contact name, full address and telephone number:			
How many employees does the company have?			
What other Quality Assurance Schemes is the company registered with (e.g. ISO, USAF, BRC)?			
What is the annual turnover of the company?			
What are the anticipated sales of the organic products?		When does the accounting year end?	
Give the address and telephone number of the local Environmental Health Office.			

Production Enterprises

Tick against the existing non-organic and proposed organic production enterprises.

Production Enterprise	Existing	Organic	Production Enterprise	Existing	Organic
Food Processing & Manufacture	<input type="checkbox"/>	<input type="checkbox"/>	Abattoir & Slaughtering	<input type="checkbox"/>	<input type="checkbox"/>
Crop Storage	<input type="checkbox"/>	<input type="checkbox"/>	Meat Cutting & Butchering	<input type="checkbox"/>	<input type="checkbox"/>
Washing & Grading	<input type="checkbox"/>	<input type="checkbox"/>	Animal Feed Compounding	<input type="checkbox"/>	<input type="checkbox"/>
Packing & Prepacking	<input type="checkbox"/>	<input type="checkbox"/>	Agricultural Seed Packing	<input type="checkbox"/>	<input type="checkbox"/>
Wholesaling	<input type="checkbox"/>	<input type="checkbox"/>	Retailing	<input type="checkbox"/>	<input type="checkbox"/>
Bulk Transport	<input type="checkbox"/>	<input type="checkbox"/>	Other	<input type="checkbox"/>	<input type="checkbox"/>

Previous organic certification

If you have previously applied for organic certification list all the bodies to which an application has been made	
If you have been previously certified give the name of the certification body	
Did you leave voluntarily or was your certificate terminated?	
Date the certificate expires/expired or was terminated	
Give reasons why you left or the certification was ended/terminated:	

Transfer from another organic certification body

Are you applying for Dual Certification (certification with both SOPA and the other body) or for a transfer of certification to SOPA?	
Are there any non-compliances or other disputes outstanding with the certification body please provide details.	
For dual certification, has a copy of the most recent inspection report and current certificate been enclosed?	
For a transfer, has the other certification body been instructed to supply the entire file?	
Give reasons for the application/ transfer:	

Declaration & Licensing Agreement **To be signed by all Applicants**

In the event of being accepted into the SFQC Certification Scheme operated on behalf of SOPA

I /We declare:

- If my application is accepted, I agree to abide by the conditions of membership and scheme standards, as amended from time to time as detailed in SFQC Scheme Regulations;
- Provide site access during normal working hours, or as may be agreed, to an SFQC Assessor authorised to carry out surveillance inspections on production/processing operations which are subject to a Certificate of Registration;
- Pay all fees and costs related to the scheme - payment in full is due within 30 days of notice;
- Provide timely response to any/all correspondence issued by the SFQC office, in realisation that failure to do so may jeopardise both my organic status and membership of SOPA;
- Only make claims of organic status or use the SOPA Certification Mark in respect of products that SOPA has granted approval and which appear in the scope of approval on the Certificate of Registration;
- Ensure that no SOPA approval document or certification mark is used in a misleading manner or so as to bring SOPA into disrepute
- In making reference to the organic status in communication media such as documents, brochures web sites or advertising, I will comply with the requirements of SOPA
- Not make use of the Defra logo or in its communication media on any packaging or advertising material;
- Not knowingly deliver or sell non-organic products as organic products complying with Defra Compendium;
- Will notify SFQC of any major changes to the company's processing facilities or changes to the products or ingredients prior to these being put on the market;
- Will notify SFQC of any positive test results for GMOs or pesticides as soon as practical;
- I declare that **I know / do not know** of any past (within the last 5 years) or current prosecutions relating to my business at the time of applying for membership of the scheme. Failure to provide any relevant information may result in refusal or termination of membership. Please give details of any prosecutions:

I /We understand that failure to comply with any of the above points may result in removal of our business from membership of the SFQC certification scheme operated on behalf of SOPA.

Signed:	Name:	Date:
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From time to time we are asked to supply a list of our processors and their products to a third party. Do you have any objection to being included in such a list?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
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SOPA Processing Programme

Preparation for Inspection (Application Assessment and Annual Surveillance)

Thank you for supporting the Scottish Organic Producers Association Programme for Processors, Importers and Animal Feed Compounders

The inspection of your processing activities will take place soon. The time required for inspection will be as little as two hours for a small scale simple processing operation and up to four to six hours for a complex processing operation. Where the inspector is unable to find sufficient evidence that the requirements of the SOPA Standards are being met or finds that the Standards are not being met this is called non-compliance.

The inspector will draw this to your attention so that you can understand what is wrong. They will also complete a Non-compliance and Comments Report (NCCR) at the end of the inspection, which identifies the non-compliances against the SOPA Standards. The inspector will ask you to agree a timescale (usually no more than one month) for implementation and notification of corrective action to bring operations back into compliance with the SOPA Standards. The inspector can discuss what measures may be necessary to bring the operation into compliance in general terms, but they cannot give specific or proscriptive advice for legal reasons. Copies of the NCCR will be left with you.

Only when the action taken to correct non-compliances has been notified to and approved by the SOPA certification officer can an annual certificate be issued or renewed.

In preparation for your inspection please ensure that you have all the relevant information readily to hand. You may find it useful to carry out the steps outlined below:

1. SOPA Standards – Sections 5 to 11

Ensure that you have the up-to-date SOPA processing standards and are familiar with the sections relevant to your production. A copy of the Standards or the relevant sections must be available to all key personnel involved in the organic production.

2. Organic Integrity Management Plan & Organic Integrity Matrix

All processors must have written procedures (the Organic Management Plan) describing how they maintain the organic integrity of the products from receipt to dispatch. SOPA has developed two management record sheets, which are on the enclosed (Standards CD in Section 10 as Word and PDF documents), to help you develop and organise your procedures and record documents. These pro-forma management plans identify the Key Standards relevant to maintaining the integrity of organic ingredients and finished products as they pass through the processing system and they will guide you in developing systems to maintain compliance with the SOPA Standards. The documents can be used in several ways:

Record Sheet 17 - Organic Integrity Management Plan

- This is primarily designed for simple and on farm processing operations with limited existing documentation of systems.
- The information can be written directly into the relevant pages and filed as a hard copy; or
- The Key Standard pages can be used as dividers in a ring binder or lever arch file to organise your documents and file written procedures or copies under the relevant section; or
- If the procedures and record documents are kept elsewhere, these can be referenced to the document number so as to ensure that they can be quickly located at inspection.

Record Sheet 18 - Organic Integrity Matrix

- Alternatively, the Organic Integrity Matrix can be used as an adjunct to your Food Safety HACCP. This uses the same Key Standards as the Management Plan but puts them in the form of a HACCP matrix so they can be slotted into the relevant section of your Food Safety HACCP.
- Use the list to identify the Key Standards as Critical Control Points, record the summary of the Standards and identify the operating procedures and verification documents and/or their location.

The SOPA inspector will audit the procedures in the Management Plan against the Key Standards in whichever of these above formats it is kept.

3. Product Composition

Refer to Section 7 when formulating new products.

Ensure the relevant Product Specification Sheets (Section 10) are completed for new products and up-to-date for existing products and have copies ready for the inspector to check and take away. SOPA must have copies of the specification sheets for all the products to be certified.

- Single Ingredient Product Specification (Section 10, Record Sheet 1) – to be used to list the products that contain a single agricultural ingredient e.g. beef cuts, joints etc, eggs, tomatoes or wheat.
- Multi-ingredient Product Specification (Section 10, Record Sheet 2) – one to be established for each product that contains more than one ingredient, whether these are agricultural ingredients or non-agricultural ingredients such as additives. For example, a cheese will contain one agricultural ingredient (organic milk) plus the non-agricultural ingredients Rennet and starter culture.
- Compound Animal Feed Product Specification Sheet (Section 10, Record Sheet 3) – to be used as the Multi-ingredient sheet above but specifically for animal feeds.

4. Labelling

Refer to Section 6 when developing new product labels.

Samples of the labels must be available for the inspector to check and take away. SOPA must have copies of the labels in use for the all the products before they can be certified. **Do not have new labels printed until they have been approved by SOPA in case amendments have to be made.**

5. Importers

Importer's Product Specification (Section 10, Record Sheet 16) – specify the products that are to be imported.

Importers of products from 'third countries' must be familiar with Section 9 of the SOPA Standards. Products to be imported from 'non-approved countries' must be approved by Defra (see 9.05). In all cases the consignment must be accompanied by the 'EC Certificate of Inspection' (see 9.07).

6. Records

All the relevant records must be available for the audit. The following checklist may be used to identify those records that must be available:

All Operators

SOPA Standards	Up-to date version plus amendments and technical updates.	<input type="checkbox"/>
Organic Integrity Management Plan	Up-to date version	<input type="checkbox"/>
Statutory Registrations	Copies of approval certificates, correspondence and results of previous inspection.	<input type="checkbox"/>
Food Safety HACCP	Up to date version plus Prerequisites and verification documentation.	<input type="checkbox"/>
Voluntary registrations with Quality Assurance Schemes e.g. BRC, UFAS	Copies of approval certificates, correspondence and results of previous inspection.	<input type="checkbox"/>
SOPA Certification	Original SOPA Certificates (renewals only)	<input type="checkbox"/>
Compliance Details	Copies of Compliance forms and related correspondence (renewals only)	<input type="checkbox"/>
Complaints Record	Register of complaints received and actions taken.	<input type="checkbox"/>
Organisation Chart	List of key personnel and their responsibilities.	<input type="checkbox"/>
Product Composition	Single Ingredient and Multi-ingredient Product Specification sheets & Feed Ingredient Sheets.	<input type="checkbox"/>

SOPA PROC 4 – Preparation for Inspection

Ingredient Specifications	Specifications for non-organic ingredients, additives and processing aids etc.	<input type="checkbox"/>
Non-GM Declarations	For non-organic ingredients, additives and processing aids etc.	<input type="checkbox"/>
Water Quality	Test results, equipment maintenance schedules etc.	<input type="checkbox"/>
Labelling	A sample of the label or packaging for each product.	<input type="checkbox"/>
Approved Suppliers	A list of the suppliers of organic and/or copies of their certificates and trading schedules.	<input type="checkbox"/>
Sub-contractors	The agreement to sub-contract a processing or storage operation and copies of the daily records monitoring the activity.	<input type="checkbox"/>
Process Flow Diagram	Identifying the stages and critical controls.	<input type="checkbox"/>
Purchases	Purchase invoices etc.	<input type="checkbox"/>
Goods Received	Delivery notes, invoices, record of organic status being verified.	<input type="checkbox"/>
Storage	Especially for bulk bins etc.	<input type="checkbox"/>
Production Records	Mixing sheets, processing records, packing sheets, raw materials returned to store, work in progress, box scheme contents etc.	<input type="checkbox"/>
Dispatch Documents	Copies of delivery notes etc.	<input type="checkbox"/>
Sales	Sales invoices, till receipts, quantities taken to and returned from farmers markets, daily menus in restaurants etc.	<input type="checkbox"/>
Traceability	The dates or batch numbers used to enable ingredients to be traced from reception to dispatch.	<input type="checkbox"/>
Input/Output Reconciliation	Input, production and output records, internal reconciliation records etc.	<input type="checkbox"/>
Cleaning Operations	Cleaning schedules and materials used for each operation and check lists recording that they have been done and signed off.	<input type="checkbox"/>
Rodent & Pest Control	Contractor details, in-house operator qualifications, visits or checks, activities, baiting plan, materials used and COSHH Safety Data Sheets.	<input type="checkbox"/>
Maintenance & Calibration	Procedures/programmes for maintenance and equipment calibration and records of operations carried out.	<input type="checkbox"/>
Product Testing	Programmes for testing for microbiological, pesticide and GM contamination etc., and testing certificates.	<input type="checkbox"/>
Non-conforming Products	Procedures, details of the actions taken and destination of non-conforming products.	<input type="checkbox"/>
Product Recall	Procedures, details of products recalled, destination and test recalls.	<input type="checkbox"/>
Waste Materials	Details of contractors and records of collections etc.	<input type="checkbox"/>
Staff Facilities & Personnel Hygiene	Procedures, health declarations and records, control of visitors etc.	<input type="checkbox"/>
Training	Procedures, training records, qualifications and training certificates etc.	<input type="checkbox"/>

Importers

Imported Product	Imported Product Schedule	<input type="checkbox"/>
Defra Approval for Importers	The Defra approval letter for each product and each country (where the product comes from a non-approved third country).	<input type="checkbox"/>
EC Certificates of Inspection	The original document for each consignment from all third countries.	<input type="checkbox"/>

Scottish Organic Producers

Inspection Questionnaire for Processors

Operator Name		SOPA Reg No	
Inspector		Inspection Date	

Additional questionnaires enclosed

6. Importer	<input type="checkbox"/>	7. Sub-contractor	<input type="checkbox"/>	8. Abattoir	<input type="checkbox"/>	9. Retail	<input type="checkbox"/>	10. NOP	<input type="checkbox"/>
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Inspection checklist

Administration	Opening Meeting		Inspection		Closing Meeting	
Date received from office	Time started		Annual Questionnaire checked	<input type="checkbox"/>	Restate scope	<input type="checkbox"/>
	Introduce self	<input type="checkbox"/>	SIPS, MIPS checked	<input type="checkbox"/>	Restate standards	<input type="checkbox"/>
Date contacted operator	Working for SOPA	<input type="checkbox"/>	Extensions recorded & labels enclosed	<input type="checkbox"/>	Confirm sampling	<input type="checkbox"/>
	Purpose of audit	<input type="checkbox"/>	Previous NC checked	<input type="checkbox"/>	Review ISR	<input type="checkbox"/>
Date report sent to SOPA	Scope of audit	<input type="checkbox"/>	Physical inspection	<input type="checkbox"/>	Agreed & sign HCCR	<input type="checkbox"/>
	Programme	<input type="checkbox"/>	Traceability	<input type="checkbox"/>	Two copies left	<input type="checkbox"/>
	Closing meeting	<input type="checkbox"/>	Input/output audit	<input type="checkbox"/>	Confirm CO to certify	<input type="checkbox"/>
	Confidentiality	<input type="checkbox"/>	Write ISR	<input type="checkbox"/>	Further questions	<input type="checkbox"/>
	Questions / No advice	<input type="checkbox"/>	Residue tests	<input type="checkbox"/>	Time finished	<input type="checkbox"/>

Personnel present at inspection

Name	Position	Opening	Inspection	Closing

Notes for the inspector:

1. Please write clearly in black or dark blue biro.
2. Questions marked * may be omitted if the operation is registered with BRC, UFAS or equivalent scheme.
3. Provide objective evidence and comments to verify compliance.
4. For compliance use the codes in Section 5.06 – S = satisfactory, NC = non-compliance, C = comment or observation, NA (not applicable) = S.
5. Use the additional comments page to expand the information where necessary.
6. Transfer all the non-compliance and Comments to the Inspection Summary Sheets in the same order, giving the Standard reference.
7. Ensure that the operator understands the compliance issues and the need to provide notification of corrective action within the time specified.
8. Leave the two middle copies with the operator and ask them to send the top copy with the response.

SOPA Proc 5 – Processors Inspection Questionnaire

General Details

Describe the organisation – history, activities etc.	
Describe the organic production enterprises	
Describe any non-organic production enterprises	
Details of other accreditations e.g. BRC, UFAS – give certificate numbers and expiry dates.	
Value of Organic sales in last 12 months	
Number of staff on organic work	

Key Standard Audit

Ref	Standard	Objective evidence of compliance and comments	Compliance
8.01	Integrity Management Plan Is there an established and comprehensive set of organic operating procedures?		
8.02	SOPA Standards Are these available & up-to-date (state the revision number and date)?		
8.03	Compliance with Food Legislation Give EHO, MHS, Defra etc., registration details.		
8.04	Food Safety HACCP Is this established, up to date, available etc.?		

SOPA Proc 5 – Processors Inspection Questionnaire

	Who drew it up and maintains it? Specify what training or qualifications they have?		
8.05	Certification Details Is the licensee's current Certificate available and up to date? Give details of any changes to the contact details		
8.06	Correcting Non-compliances Have these been corrected? Give details of non-compliance not corrected as agreed.		
8.07	Organisation & Key Personnel * Is there an organisation chart/list of key personnel and responsibilities?		
8.08	Product Composition Give details of any product additions/amendments or deletions. Enclose SIPS, MIPS etc		
	Do the non-agricultural ingredients (additives etc) comply		
	Do the processing aids comply?		
	Do the non-organic ingredients comply?		
8.09	Avoidance of GMOs Are there up-to-date declarations available for non-organic and non-agricultural ingredients?		
8.10	Water Quality Describe the water supply and treatments. Is any enhanced level of chlorine used?		

SOPA Proc 5 – Processors Inspection Questionnaire

8.11	Labelling	Product	Organic status	UK3	Name & Address or ID		
	Give details of product labels checked, including deficiencies. Enclose any new or amended labels for approval.						
8.12	Approved Supplier Certification Is there a list of suppliers or up-to-date certificates for all suppliers?						
	Give details of supplier certificates checked.	Supplier	Ingredient – on cert	CB ID	Expiry date		
	Note if an ingredient is not specified on the Certificate or Trading Schedule						
8.13	Control of Non-certified Subcontractors Give details of any off site storage or processing by a sub-contractor.						
	Has the sub-contractor been inspected and the Questionnaire been completed?						
8.14	Process Flow Diagram * Has the process been described in the Management Plan with critical controls etc.?						

SOPA Proc 5 – Processors Inspection Questionnaire

8.15	<p>Goods Received Procedure How is the integrity of packaging and organic status of organic ingredients checked on arrival?</p>		
	How is this recorded?		
	Do the checks include non-organic ingredients to ensure that they are to specification?		
8.16	<p>Storage of Raw Materials How are raw materials stored, kept separate and labelled?</p>		
	How is work in progress stored, kept separate and labelled?		
	How are finished goods stored, kept separate and labelled?		
8.17	<p>Processing Operations Describe the key stages to the process</p>		
	If the site is not dedicated to organic what separation procedures are in place?		
	If a bleed run is used to purge the system of earlier content, give details, quantities and disposal of the material.		
8.18	<p>Packaging & Storage Describe packaging used and how is this stored?</p>		

SOPA Proc 5 – Processors Inspection Questionnaire

8.19	<p>Transport to Other Operators</p> <p>How is organic product transported and kept separate from conventional materials?</p>		
	<p>What checks are made to confirm the vehicles are suitable and free of residues?</p>		
8.20	<p>Dispatch Documents</p> <p>What documents accompany organic products?</p>		
	<p>Is the required information specified – name and address, organic status of each product, UK3 code and traceability number?</p>		
8.21	<p>Ingredient Traceability</p> <p>How is traceability maintained? Describe the documents used.</p>		
	<p>Describe the traceability audit trail carried out.</p>		
8.22	<p>Input/Output Reconciliation</p> <p>Was the reconciliation exercise satisfactory (use RS16)</p>		
	<p>Is there an annual stock check of ingredients and finished products?</p>		
8.23	<p>Cleaning Procedures</p> <p>Are there suitable written cleaning procedures in place, including a rinse with water prior to use?</p>		
	<p>Are there checklists available and completed to verify and record that the operations have been adequately completed and chemicals rinsed off?</p>		

SOPA Proc 5 – Processors Inspection Questionnaire

	How are the cleaning materials stored?		
	Are COSHH Safety Data Sheets available?		
8.24	Rodent & Pest Control How are pests prevented and controlled? Give the name of any pest control contractor & their trade affiliation.		
	Is the contractor aware of the organic status?		
	If done in house give details of the person and their training.		
	Is there a record of pest activity and materials used, including a bait plan – and can it be verified?		
	What materials are used and are they compliant?		
	Is there bait plan?		
	Give details of any spraying or fumigations (materials used) and the precautions taken. Have any restricted materials been used which require approval?		
	How are pest control materials stored?		
	Are COSHH Safety Data Sheets available?		
8.25	Factory Fabric & Environment * Are the premises suitable for food/feed processing?		
	Is the surrounding area sufficiently clean to prevent ingress of contaminants?		
8.26	Equipment & Maintenance * Is the equipment suitable for food & feed processing?		

SOPA Proc 5 – Processors Inspection Questionnaire

	Describe any calibrations carried out. Are these recorded?		
8.27	Product & Environment Testing Describe the tests carried out for microbiology, pesticide and GMOs.		
	Is the lab UKAS Accredited?		
	Has there been any positive pesticide or GMO test results?		
	If yes, complete & enclose the RS 15.		
8.28	Non-conforming Product * Is there a procedure for embargoing non-conforming products?		
	Is there a procedure for Recalling non-conforming products?		
	Has this been implemented in the last 12 months?		
8.29	Disposal of Waste Materials * Describe the policy for disposing of waste.		
8.30	Staff Facilities & Hygiene * Describe the toilets & washing facilities.		
	Is appropriate work wear supplied?		
	Is Basic Food Hygiene training provided?		
	Is jewellery etc. restricted?		
	Are disease monitoring and reporting procedures in place?		
	Is access by intruders controlled?		

SOPA Proc 6 – Importer Inspection Questionnaire

6. Supplementary Inspection Questionnaire for an Importer

To be used in conjunction with document Proc 5 – Processors Inspection Questionnaire.

Operator Name		SOPA Reg No	
Inspector		Inspection Date	

Ref	Standard	Objective evidence of compliance and comments	Compliance
	Record Sheet 16 Is the Record Imported Product Specification Sheet current and up todate?		
	Where are the products stored on arrival (first consignee) and have the operator(s) been inspected?		
9.04	Imports from all Third countries Are the countries on the EC Approved list for the scope of the products imported?		
	Are the certification bodies on the approved list for the scope of the products imported?		
9.06	EC Certificate Is the original EC Certificate, countersigned by the PHA available for each consignment?		
	Has the first consignee counter signed the box 18 of the original certificate?		
	Was a copy faxed to SOPA when the consignment arrived?		
	What other shipping documents are available for each consignment?		
9.05	Imports from non-approved third countries Has Defra approved each product to be imported?		
	Are the imports compliant with the Defra approvals – as per specified products, exporter, processor etc?		

SOPA Proc 7 – Sub-contractor Inspection Questionnaire

7. Supplementary Inspection Questionnaire for a Non-certified Sub-contractor

To be used in conjunction with document Proc 5 – Processors Inspection Questionnaire.

Operator Name		SOPA Reg No	
Inspector		Inspection Date	

Ref	Standard	Objective evidence of compliance and comments	Compliance
	General Details Subcontractor’s name and address		
	Describe the processing operation eg abattoir, butchering, processing, drying		
	Describe the products being processed eg beef cattle, beef carcasses, wheat		
8.03	Compliance with Legislation Are the premises registered with the appropriate authority?		
8.04	HACCP Is there a food safety HACCP established?		
8.11	Labelling How is the finished product labelled by the sub-contractor?		
8.13	Certification Details Has the operation been certified and the sub-contractor & products specified on the Certificate?		
8.13	Does the sub-contractor have a copy of the licensee’s up-to-date Certificate?		
8.13	Agreement Is the Agreement RS5 or equivalent signed and does it cover all the points in RS5?		

SOPA Proc 7 – Sub-contractor Inspection Questionnaire

8.13	Standards Does the sub-contractor have, and are they aware of, the relevant sections of the Standards?		
8.13	Frequency What is the frequency of the operation?		
8.13	Records Is the RS6 used to record each operation?		
8.13	Supervision Is each operation supervised? Name the responsible person.		
8.13	Meat Stamp (Abattoir) Is the stamp adequately controlled by the licensee? Record the stamp number.		
8.15	Goods Received Procedure How are the products checked for organic status and recorded on arrival?		
8.16	Storage If stored, how is the organic product segregated from non-organic product during storage?		
8.16	How is the product labelled during storage?		
8.17	Processing Is the processing operation taking place at a separate time to that for non-organic products?		
8.18	Packaging How is the product packed and where is the packing stored		
8.19	Transport off site How is the finished product transported?		

SOPA Proc 7 – Sub-contractor Inspection Questionnaire

8.20	Dispatch Documents What documents accompany organic products?		
	Is the required information specified – name and address, organic status of each product, UK3 code and traceability number?		
8.21	Traceability Do the records permit traceability		
8.22	Reconciliation Do the records permit an input/output reconciliation?		
8.23	Cleaning & Hygiene Are there cleaning schedules in place with checklists?		
8.23	Are the premises in a clean and hygienic state?		
8.24	Pest Control Is there a satisfactory pest control programme with records in place?		
8.24	Have any prohibited materials been used or permitted materials used inappropriately which could affect the integrity of the product?		
8.25	Fabric & Environment Are the premises satisfactory and in a clean environment?		
8.26	Equipment & Maintenance Is the equipment suitable and properly maintained?		
8.27	Product & Environment Testing Is there a programme of testing for microbiology and residues?		

SOPA Proc 8 – Abattoir Inspection Questionnaire

8. Supplementary Inspection Questionnaire for an Abattoir

To be used in conjunction with document Proc 5 – Processors Inspection Questionnaire.

Operator Name		SOPA Reg No	
Inspector		Inspection Date	

Ref	Standard	Objective evidence of compliance and comments	Compliance
12.2	Records Do the records include the Organic Livestock to Slaughter Document or the producers Delivery Note?		
	Is a record kept of any feed delivered or fed to the stock during the lairage?		
	Are the kill number, date and weight of each carcass recorded?		
	Is there an up to date list of licensed slaughter men available?		
12.3	Animal Welfare Is there a person responsible for animal welfare? What training have they had?		
	How are the arrivals planned to ensure rapid unloading?		
	How are unavoidable delays in unloading dealt with (the provision of shade, shelter, water etc)		
	Are staff members suitably trained and competent to oversee the unloading, including out of hours arrivals?		
	Are the unloading facilities suitable with appropriate inclines, side gates, non-slip floors and no immediate turns?		
12.4	Lairage Are the pens labelled to indicate the organic status and only contain organic stock?		
	Can animals see other stock and are fractious or horned animals kept apart to prevent injury?		
	Are animals from different loads kept separate unless from the same social group?		
	Do animals have clean bedding and water?		

SOPA Proc 8 – Abattoir Inspection Questionnaire

	Is organic food supplied if they have to wait more than 12 hours? What is the source?		
	Are the animals regularly checked and where water sprays are used on pigs is the temperature recorded?		
	Is undue force or the use of electric goads evident?		
12.5	Stunning & Slaughtering Can animals see the stunning and slaughtering process?		
	Describe the stunning process. Does this cause instant unconsciousness without distress to the animal?		
	Does the stun to bleed time exceed 60 secs (cattle), 20 secs (sheep), 60 secs (pigs)?		
	Is there reserve or backup equipment available at the point of slaughter?		
12.6	Processing Are animals killed and dressed as the first operation of the day or after a clean down?		
	Is meat tenderisation carried out and is this started after the specified times?		
	Who is responsible for ensuring the organic integrity of the stock through the process?		
	Storage Is organic meat stored on a separate rail, permanently or temporarily dedicated and under the control of a responsible person?		
	Labelling Are the carcasses labelled with the kill date, identification, number and weight as soon as possible after slaughter?		
	How are edible offal separated if they are to be marketed as organic?		
	Is the Meat Stamp being used appropriately to stamp organic carcasses?		
	Record the Stamp Number. Who is responsible for its storage and use?		

SOPA Proc 9 – Retail Inspection Questionnaire

9. Supplementary Inspection Questionnaire for a Retailer

To be used in conjunction with document Proc 5 - Processor Inspection Questionnaire.

Operator Name		SOPA Reg No	
Inspector		Inspection Date	

Ref	Standard	Objective evidence of compliance and comments	Compliance
	<p>Retail Outlets Describe the outlets used for selling produce.</p>		
6.09 & 8.11	<p>Labelling Is the term organic correctly used in the shop trading name when non-organic products are sold?</p>		
	Does the labelling and sales literature correctly differentiate between organic and non-organic products?		
	Are organic and non-organic products adequately labelled and separated when on display?		
8.11	<p>Certification ID Is the UK3 code or SOPA certificate displayed when non pre-packed fresh produce is sold?</p>		
8.22	<p>Sales - Farm Shop How are the quantities sold to the final consumer recorded on a daily basis? Can reconciliation be done?</p>		
	<p>Sales - Farmers Markets How are the quantities sold to the final consumer recorded on a daily basis? Can reconciliation be done?</p>		
	<p>Sales – Box Scheme How are the quantities sold to the final consumer recorded on a daily basis? Can reconciliation be done?</p>		

SOPA Proc 10 - NOP Inspection Questionnaire

10. Supplementary Inspection Questionnaire for the NOP Certification Programme

To be used in conjunction with document Proc 5 – Processors Inspection Questionnaire.

Operator Name		SOPA Reg No	
Inspector		Inspection Date	

Ref	Standard	Objective evidence of compliance and comments	Compliance
205.201	System Plan Is the System/Management Plan established and up-to-date?		
205.201 a 1 to 6	Does the Plan cover all the requirements for separation of NOP products from organic and non-organic?		
	NOP Standards Are the Standards available and is the operator familiar with them?		
	NOP Certification Details Is the NOP Certificate available and up to date? Give details of any changes to the contact details		
205.301 a,b,c	NOP Product Composition Give details of any product additions/amendments or deletions. Enclose separate SIPS, MIPS etc for NOP products		
	Do the products contain a minimum of 95% NOP raw or processed agricultural ingredients (excluding water and salt)?		
	Is the remaining 5% made up of EU approved non-organic or NOP permitted additives (Annex G)		
205.303	Labelling Have the NOP labels been supplied/updated for the "100% organic" and "organic" products and checked?		
205.201 a 2	Approved NOP Supplier Certification Is there a procedure ensuring NOP products are sourced from NOP certified suppliers and copies of their up-to-date certificates?		

SOPA Proc 10 - NOP Inspection Questionnaire

205.272	<p>NOP Goods Received Procedure</p> <p>How is the integrity of packaging and NOP status of organic ingredients checked on arrival?</p>		
205.272	<p>Storage of NOP Raw Materials</p> <p>How are NOP raw materials stored, kept separate and labelled?</p>		
205.272	<p>Processing Operations</p> <p>What procedures are in place to ensure the separation of NOP from organic & non-organic products?</p>		
205.272	<p>Transport to Other Operators</p> <p>How is NOP product transported and kept separate from organic and conventional materials?</p>		
205.272	<p>Dispatch Documents</p> <p>Is the NOP status of the product identified?</p>		
205.103	<p>Ingredient Traceability</p> <p>Do the records permit traceability of the NOP products? Describe the traceability audit trail carried out.</p>		
205.103	<p>Input/Output Reconciliation</p> <p>Was the reconciliation exercise for the NOP product satisfactory (use RS16)</p>		
205.271	<p>Rodent & Pest Control</p> <p>Are there any substances used which are not permitted in the National Lists 205.605 that SOPA must approve and can these be justified?</p>		
205.271	<p>Are the measures taken to prevent contact with the NOP products satisfactory?</p>		
205.103 3	<p>Records</p> <p>Are the records retained for a minimum of 5 years?</p>		

Agreement to issue and Use an Organic Meat Stamp

Agreement between:

Scottish Organic Producers Association (SOPA)

of SFQC, Royal Highland Centre, 10th Avenue, Edinburgh, EH28 8NF

and:

The Company:	
Address:	
Membership No:	

under which SOPA agrees to issue an Organic Meat Stamp (which remains the property of SOPA):

Stamp Number:	
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for use by the Company under the following conditions:-

The Company will:

1. Nominate a senior person to be responsible for the use and security of the stamp:

Name:	
Position:	

2. Ensure that the Stamp is only used for the stamping of Organic livestock carcasses produced to the SOPA Standards or the Defra Compendium of UK Organic Standards as applied by the UK Approved Organic Certification Bodies.
3. Store the Stamp in a secure place when not in use.
4. Return the Stamp immediately to SOPA if the certification is withdrawn or suspended by SOPA or terminated by the User.

On behalf of the Company, I agree to abide by the above conditions:

Signature:	
Name:	
Position:	
Date:	