

Auditor's Checklist - Processors

Before accepting this Audit, please ensure that you have signed the OFNZ confidentiality agreement and that this is on file.

This is a checklist only and is to be completed by a nominated Auditor. It should be accompanied by a narrative report recording how the system was tested and proven to comply.

Before proceeding with this audit, the Auditor should have;

- The OrganicFarmNZ Standards and Compliance Procedures for certification of non-primary producers.
- A copy of the appropriate BioGro Processing Standards, e.g. Modules 7, 10, 13.
- A copy of the Individual Processor's Management Plan (PMP) including attachments.
- A copy of the Certification Manager Checklist for this application.
- The day-to-day Manager must be present.

1.0 APPLICANT INFORMATION

Applicant's name(s)

Producer Number (if known)

Name of Regional Body.....

Has an audit previously been conducted on this property? YES NO If yes, date

Have you ever been refused certification by another Certifier? Yes/No. If Yes, by whom and when?

1.1 CARs

List the Corrective Actions from the last audit, if any, and indicate if they have been acted upon.

CAR No.	Corrective action	Date issued	Date actioned	Comments

2.0 MAPS

2.1 Property or operation Is the map accurate?	YES NO Note any possible improvements to the map:
2.2 Property Location Is the map accurate?	YES NO Note any possible improvements to the map:
2.3 Site map and floor plan of processing facility drawn to scale	YES NO Does it show each stage of the processing flow, all recipes, ingredients / additives, cleaners, sanitisers, etc.?

3.0 HISTORY AND DEVELOPMENT

3.1 Standards Does the Applicant have a copy of the current OFNZ/BIOGRO NZ Production Modules and Appendices (sighted at audit)? Has the Applicant stated that they have read and understand these Standards?	YES NO YES NO
3.2 Organic Advice From whom does the Applicant get advice about organic production/processing methods? E.g. friends, neighbours, a paid consultant?	
3.3 Activities Are there any other income generating or hobby activities carried out on the property by yourself or other persons – including buildings that are leased out – that may jeopardise the integrity of the Certified product?	YES NO Reason:

4.0 AIMS AND OBJECTIVES (The Vision)

Do the ideas and on-premises activities outlined in the PMP fit with what the Auditor observes at the time of the audit? Consider here scale of operation, types of products produced, and other development etc.	
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5.0 MANAGEMENT

5.1 Management Is the person responsible for day-to-day management of the property present at the audit? Note: If the day-to day manager is not present then the audit cannot proceed and must be rescheduled.	YES NO
5.2 Workers Has the Applicant listed all persons with management responsibilities and their responsibility?	YES NO
5.3 Training Has the Applicant an adequate past and present training and learning programme(s) in organic food processing for all persons working at the plant / production site? <i>This may include training facilitated or conducted by the Applicant and include the basics to ensure that the integrity of the Organic product is not compromised.</i>	YES NO
5.4 Legal Requirements Has the Applicant produced all appropriate licences and regulations that are required for the enterprise and are they current? These need to be sighted at the Audit/Peer Review. Examples: Local Authority Kitchen Regulations; Honey Extraction & the Food Hygiene Regulations 1974; Food Safety Programme (FSP), OSH.	YES NO
5.5 Production Figures Authentication Have the production figures been authenticated? State/show how the production figures provided by the Applicant were authenticated– (e.g.) daily production, packing, sales, stocktaking records, mass balance.	YES NO

6.0 PREMISES / FACILITY MANAGEMENT

6.1 Energy Saving Has the Applicant described any energy saving systems on the property and the extent to which they contribute to the overall energy use on the property?	YES NO
6.2 Waste / By Product Handling Does the implemented waste / by product (solid and liquid) handling method comply with the Standards? This should relate to the processing flow chart.	YES NO
6.3 Recycling Does the Applicant have and implement an adequate recycling programme?	YES NO
6.4 Cleaning/Sanitising Do all the cleaning / sanitising products conform to the Standards, i.e. Organic certificates or MSDS sighted?	YES NO
6.5 Clean Down Are the premises used for making non-organic products? Is there any parallel production? Do the Applicant's clean down and any flushing procedures and records meet the requirements of the Standards, and protect the integrity of the Certified product?	YES NO YES NO YES NO
6.6 Pests Does the Applicant have a pest management programme? If so, do the records of inspection and treatments comply with Standards?	YES NO YES NO
6.7 Water Is water used as an ingredient / additive or for cleaning? Has the quality of the water been tested? If so, did the results conform to the Standards?	YES NO NA YES NO NA YES NO NA
6.8 GMO / GE Have the suppliers of ingredients / additives provided written declarations that their products are free of genetically modified organisms and free of products containing or originating from GE?	YES NO NA
6.9 Storage Methods / Facility Do the methods used to store both raw and finished products conform to the Standards? What facility is used for storage and does it conform to the Standards?	YES NO YES NO
6.10 Off-site Processing Is there any processing carried off-site? If yes, how is the integrity of the Certified product maintained?	YES NO

How is the product transported from the off-site processing facility. Does the transportation procedure conform to the Standards?	
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7.0 PACKAGING/LABELLING

7.1 On-site Packing Are products packed on-site? (Into boxes, plastic sleeves etc.) If so, do the types of packing and containers used comply with the Standards? Is there an adequate transportation protocol?	YES NO NA YES NO NA YES NO NA
7.2 Label Approval Has the labelling been approved by the Certification Committee?	YES NO NA

8.0 INGREDIENTS

8.1 Declarations Are all Organic Certificates, GE-free declarations, approvals for any non-Organic ingredients on hand and been sighted?	YES NO NA
8.2 Specifications & Recipes Are all product specifications, recipes, formulations, and specification sheets for all products on hand, and do they comply with the Standards?	YES NO NA
8.3 Imported Ingredients For any imported ingredients – are there copies of the original Organic certification, information on import routes, any intermediate storage / handling facilities, records of any required prohibited treatments (e.g. radiation, fumigation, etc.) upon arrival in New Zealand on hand?	YES NO NA
8.4 Standards Compliance Do all aspects of the production process sighted comply with the Standards?	YES NO NA

RECOMMENDATION – Copy for the Certification Committee

At the end of each audit the Auditor is required to collectively overview what they have seen and heard and record their responses. Note the Auditor does not decide on the level of certification the enterprise will receive. The Regional Body Certification Committee will make the final decision on the certification status.

The immediate task of the Auditor is to identify any non-compliances of this operation with the Standards.

With specific reference to the Standards list any Corrective Actions Required that must be met before a Certificate could be awarded.

Clause #	CA#	Corrective action to be taken	Action by when?

What is the current certification status of the facility?	Nil Full
What level of certification is recommended for the facility?	Nil Full
What level of certification is recommended for the product(s)?	C0, C1, C2, Full

General Comments:

This checklist should be completed and be accompanied by a narrative report recording how the system was tested and proven to comply.

Signed (Auditor) Date

RECOMMENDATION – Copy for the Property Owner/s

NB: This page is to be removed and handed to the Applicant(s) after the audit is completed

The info below should be a 'carbon copy' from the previous page "Recommendation – copy for the Certification Committee"

Property Owner's Name(s).....

Clause #	CA#	Corrective action to be taken	Action by when?

What level of certification is recommended for the facility?

Nil Full

What level of certification is recommended for the product(s)?

C0, C1, C2, Full

General Comments:

This checklist should be completed and be accompanied by a narrative report recording how the system was tested and proven to comply.

Signed (Auditor) Date