

## Section 10 – Documentation & Records

### 10.01 General Documentary Accounts

*(Annex III A) Quantities sold directly to the final consumer shall be accounted for on a daily basis.*

*(Annex III.10.1) Stock and financial records must be kept in the unit or premises, to enable the operator to identify and the inspection body or authority to verify:*

- *the supplier and, where different, the seller, or the exporter of the products,*
- *the nature and the quantities of products as referred to in Article 1 delivered to the unit and, where relevant, of all materials bought and the use of such materials, and, where relevant, the composition of the compound feedingstuffs,*
- *the nature and the quantities of products as referred to in Article 1 held in storage at the premises,*
- *the nature, the quantities and the consignees and, where different, the buyers, other than the final consumers, of any products as referred to in Article 1, which have left the unit or the first consignee's premises or storage facilities,*
- *in case of operators who do not store or physically handle such products, the nature and the quantities of products as referred to in Article 1 bought and sold, and the suppliers, and where different, the sellers or the exporters and the buyers, and where different, the consignees.*

*The documentary accounts must also comprise the results of the verification at reception of products and any other information required by the inspection body or authority for the purpose of proper inspection.*

*The data in the accounts must be documented with appropriate justification documents.*

*The accounts must demonstrate the balance between the input and the output.*

### 10.02 Importer's Documentary Accounts

*(Annex III.2.1) When the importer and the first consignee are not operating in one single unit, both of them must keep stock and financial records.*

*(Annex III.2.2) On request of the inspection body, any details on the transport arrangements from the exporter in the third country to the first consignee and, from the first consignee's premises or storage facilities to the consignees within the EC must be provided.*

### 10.03 Feed Compounder's Documentary Accounts

*(Annex III.2.1) For the purposes of proper inspection of the operations, the documentary accounts referred to in paragraph 6 of the General Provisions of this Annex shall include information on the origin, nature and quantities of feed materials, additives, sales and finished products.*

**(Annex III) Guidance note:**

**Processors must keep accurate records of their processing activities and make these available to inspection bodies. The records must be sufficiently comprehensive to allow the organic raw materials used in finished products to be traced back to the original source. The records must be retained for a period of not less than 3 years.**

**Records should include:**

- i) The origin, nature and quantities of organically produced agricultural products which have been delivered to the unit;**
- ii) The origin, nature and quantities of non-organically produced agricultural products, non-agricultural ingredients and processing aids which have been delivered to the unit;**
- iii) The composition of the organically produced products;**
- iv) The nature, quantities and consignees of the organically produced products which have left the unit;**
- v) Stock records for raw materials and finished products;**
- vi) Plant cleaning schedules including a list of all substances used;**
- vii) Details of any fumigation treatment of premises or equipment including dates of treatment, method of application, substances used, person or organisation responsible for the treatment, clearance time between completion of the treatment and the commencement of processing operations on organic products;**
- viii) Pest control records including a list of the substances used**

**10.04 Document Checklist**

Operators shall keep the following documents and records where relevant and have them available for inspection:

**All Operators**

SOPA Standards	Up-to date version plus amendments and technical updates.
Organic Integrity HACCP & Management Plan	Up-to date version
Statutory Registrations	Copies of approval certificates, correspondence and results of previous inspection.
HACCP	Up to date version plus Prerequisites and verification documentation.
Voluntary registrations with Quality Assurance Schemes e.g. BRC, UFAS	Copies of approval certificates, correspondence and results of previous inspection.
SOPA Certification	Original SOPA Certificates
Compliance Details	Copies of Compliance forms and related correspondence.
Complaints Record	Register of complaints received and actions taken.
Organisation Chart	List of key personnel and their responsibilities.

## SOPA Standards for Processors, Importers & Animal Feed Compounders

### Section 10 – Documentation & Records

---

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

## **SOPA Standards for Processors, Importers & Animal Feed Compounders**

### **Section 10 – Documentation & Records**

---

Staff Facilities & Personal Hygiene	Procedures, health declarations and records, control of visitors etc.
Training	Procedures, training records, qualifications and training certificates etc.

#### **Importers**

Imported Product	Imported Product Schedule
Defra Approval for Importers	The Defra approval letter for each product and country where the product comes from a non-approved third country.
EC Certificates of Inspection	The original document each consignment from all third countries.
Shipping Documents	For each consignment

#### **10.05 SOPA Pro-forma Record Sheets**

Number	Record
RS1	Single Ingredient Product Schedule (SIPS)
RS2	Multi-ingredient Product Specification Sheet (MIPS)
RS3	Animal Feeds Specification Sheet
RS4	Non-GM Declaration
RS5	Sub-contractor Agreement
RS6	Sub-contractor Monitoring Record
RS7	Record of Raw Materials Received
RS8	Record of Products Processed and Packed
RS9	Record of Machinery Maintenance and Calibration
RS10	Record of Cleaning Operations
RS11	Record of Pest Control Operations
RS12	Record of Baiting Sites
RS13	Complaints Record
RS14	EC Certificate of Inspection
RS15	Ingredient Input/Output Reconciliation
RS16	Imported Product Specification Sheet (IPS)
RS17	Organic Integrity Management Plan (electronic version only)
RS18	Organic Integrity Matrix (electronic version only)