

## Section 10 – Documentation & Records

### 10.1 General Documentary Accounts

- 10.1.1 Stock and financial records shall be kept in the unit or premises and shall enable the operator to identify and the control authority or control body to verify:
- (a) The supplier and, where different, the seller, or the exporter of the products;
  - (b) The nature and the quantities of organic products 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;
  - (c) The nature and the quantities of organic products held in storage at the premises;
  - (d) The nature, the quantities and the consignees and, where different, the buyers, other than the final consumers, of any products which have left the unit or the first consignee's premises or storage facilities;
  - (e) In case of operators who do not store or physically handle such organic products, the nature and the quantities of organic products bought and sold, and the suppliers, and, where different, the sellers or the exporters and the buyers, and, where different, the consignees;
- 10.1.2 The data in the accounts shall be documented with appropriate justification documents.
- 10.1.3 The accounts shall demonstrate the balance between the input and the output.

### 10.2 Importer's Documentary Accounts

- 10.2.1 The importer and the first consignee shall keep separate stock and financial records, unless where they are operating in one single unit.
- 10.2.1 On request of the control authority or control 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 Community shall be provided.

### 10.3 Feed Compounder's Documentary Accounts

- 10.3.1 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.

### 10.4 Document Checklist

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

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#### All Operators

CPS No.	Critical Processing Step	Documents
8.1	Organic Integrity Management Plan	Up-to date version & periodic verification and review.
	Voluntary registrations with Quality Assurance Schemes, e.g. BRC, SALSA, UFAS	Copies of approval certificates, correspondence and results of previous inspection.
8.2	SOPA Standards	Up-to-date version plus amendments and technical updates.
8.3	Compliance with Food Legislation	Copies of approval certificates, correspondence and results of previous inspection.
8.4	Food Safety HACCP	Up-to-date version plus Prerequisites and verification documentation.
8.5	Certification Details	Original SOPA Certificates.
8.6	Correcting Non-Compliances	Copies of Compliance forms and related correspondence.
8.7	Organisation & Key Personnel	List of key personnel and their responsibilities.
8.8	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.
8.9	Non-GM Declarations	For non-organic ingredients, additives and processing aids, etc.
8.10	Water Quality	Test results, equipment maintenance schedules, etc.
8.11	Labelling Organic Products	A sample of the label or packaging for each product.
8.12	Approved Suppliers	A list of the suppliers of organic and/or copies of their certificates and trading schedules.
8.13	Sub-contractors	The agreement to sub-contract a processing or storage operation and copies of the daily records monitoring the activity.
8.14	Process Flow Diagram	Identifying the stages and critical controls.
8.15	Goods Received Procedure & Organic Authentication	Delivery notes, invoices, record of organic status being verified. Purchase invoices, etc.
8.16	Storage of Raw Materials, Work-in-Progress and Finished Goods	Storage records, especially for bulk bins, etc.
8.17	Processing Records	Mixing sheets, processing records, packing sheets, raw materials returned to store, work in progress, box scheme contents, etc.
8.18	Packaging & Packaging Storage	<b>No specific records required. Product specifications recommended.</b>

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8.19	Transport to Other Operators	Records of simultaneous collection of bulk materials from organic and non-organic operators. The cleaning and visual inspection of vehicles. The delivery of organic feed materials.
8.20	Dispatch Documents	Copies of delivery notes and sales invoices.
	Sales	Sales invoices, till receipts, quantities taken to and returned from farmers markets, daily menus in restaurants, etc.
8.21	Ingredient Traceability	Delivery documents, purchase invoices, production records, dispatch and sales invoices. The dates or batch numbers used to enable ingredients to be traced from reception to dispatch.
8.22	Input/Output Reconciliation	Input, production and output records, internal reconciliation records, etc.
8.23	Cleaning Operations	Cleaning schedules and materials used for each operation and check lists recording that they have been done and signed off.
8.24	Rodent & Pest Control	Contractor details, in-house operator qualifications, visits or checks, activities, baiting plan, materials used and COSHH Safety Data Sheets.
8.25	Factory Fabric & Environment	No specific records required.
8.26	Maintenance & Calibration	Procedures/programmes for maintenance and equipment calibration and records of operations carried out.
8.27	Product Testing	Programmes for testing for microbiological, pesticide and GM contamination, etc., and testing certificates.
8.28	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.
8.29	Waste Materials	Details of contractors and records of collections, etc.
8.30	Staff Facilities & Personnel Hygiene	Procedures, health declarations and records, control of visitors, etc.
8.31	Training	Procedures, training records, qualifications and training certificates, etc.
8.32	Complaints Record	Register of complaints received and actions taken.

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#### Importers

CPS No.	Critical Processing Step	Documents
	Imported Product	Imported Product Schedule
9.05	Defra Approval for Importers	The Defra approval letter for each product and country where the product comes from a non-approved third country.
9.06	EC Certificates of Inspection	The original document for each consignment from all third countries.
	Shipping Documents	For each consignment
9.07	Notification to SOPA/SFQC	Copy of the notifications.
9.08	Goods Received Procedure & Organic Authentication	Delivery notes, invoices, record of organic status being verified. Purchase invoices, etc.

### **10.5 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)
RS19	Record of Periodic Review and Verification Checks
RS20	Record of Residue Testing