



# CCOF

Advancing organic agriculture through certification, education, advocacy, and promotion.

## Uncertified Handler Affidavit

### This affidavit is required for any of the following:

- Uncertified storage facilities used by CCOF operations to store unsealed product or product in permeable packaging.
- Uncertified brokers, traders, wholesalers, distributors, or importers who take title or physical possession of organic products supplied to CCOF certified operations.

### This affidavit is not required for:

- Uncertified storage-only facilities used by CCOF operations to store sealed product or product in impermeable packaging.
- Commission/fee brokers who do not take title or physical possession of organic products.
- Uncertified handlers supplying organic product in sealed, impermeable containers with final retail labeling that identifies the organic status and original certified producer.
- Private label owners who purchase ingredients that are shipped directly from a certified supplier to a certified co-packer, and shipping documentation links to certified supplier.

### CCOF operations must work with their purchasing department to determine if uncertified suppliers are used.

- ▶ The uncertified handler must answer the questions below. A new affidavit is required only if there is any change in the future, including a change in management of the uncertified handler.
- ▶ Copies of the Uncertified Handler Affidavit (UHA) must be kept by both the CCOF certified operation and the uncertified handler. This affidavit and any sample audit trail records will become part of the CCOF certified operation's Organic System Plan (OSP).
- ▶ CCOF certified operations will be billed an initial and annual fee for each Uncertified Handler Affidavit, outlined in the CCOF Certification Services Program Manual. CCOF certified operations can avoid this fee by sourcing from certified handlers.

*Brokers, traders, wholesalers, distributors, importers, and storage facilities are considered handlers per USDA NOP § 205.2 "Handle, Handler". NOP § 205.101(b)(1) and [NOP Guidance 5031](#) do not require certification if organic products are packaged or otherwise enclosed in a container prior to being received or acquired. Organic products must remain in the same package or container and may not be repacked or re-labeled while in the control of the uncertified handler.*

Uncertified handler operation name: \_\_\_\_\_

Manager/Owner: \_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_ Website: \_\_\_\_\_

Address: \_\_\_\_\_

### Activities (check all that apply):

- Dry storage    Cold storage    Freezer storage    Broker    Trader    Wholesaler    Distributor
- Importer of packaged product in sealed containers    Importer of unpackaged product in shipping containers or totes
- Importer of unpackaged product in bulk vessels (transloader must be certified, provide certificate)
- Other (Describe): \_\_\_\_\_

### A. Uncertified Handler Eligibility

*The uncertified handler must answer the questions below. For uncertified brokers, traders, wholesalers, distributors, or importers who use uncertified storage locations, answers below must reflect activities at uncertified storage locations as well as your own activities. If unclear, CCOF may require that your uncertified storage location also complete this form.*

	Yes	No
1) Do you ever handle any organic products that are not enclosed in a package or container when you receive them? Note that tankers, bulk truckloads of product that are otherwise not packaged, and grain silos are not enclosed containers.	<input type="checkbox"/>	<input type="checkbox"/>
a) If yes or unsure, describe: _____		
2) Do you ever combine or split loads of bulk/unpackaged products?	<input type="checkbox"/>	<input type="checkbox"/>
3) Do you ever open packages or containers of organic products?	<input type="checkbox"/>	<input type="checkbox"/>
4) Do you ever relabel, package, or apply any label that obscures the original label or lot number/code?	<input type="checkbox"/>	<input type="checkbox"/>



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	Yes	No
5) Do you ever repack, sort, recondition, cull, ice, hydro cool, hydro vacuum, or otherwise process organic product in any way? <i>Repacking includes placing product into other packaging that displays organic claims.</i>	<input type="checkbox"/>	<input type="checkbox"/>
6) Do you ever apply any substance to the organic product including water, ethylene, or controlled atmosphere treatment?	<input type="checkbox"/>	<input type="checkbox"/>
7) Does organic product ever contact cleaners, sanitizers, pest control materials, nonorganic products, water that has contacted nonorganic products, or other prohibited materials while under your control?	<input type="checkbox"/>	<input type="checkbox"/>
8) Is the organic product packaged or enclosed in a container prior to being received and does it remain in that enclosed container while under your control? a) If no, describe:	<input type="checkbox"/>	<input type="checkbox"/>
9) Broker, trader, wholesaler, distributor, importer – Describe how frequently you change organic suppliers:		
10) Do your audit trail records for each shipment include the information described in section B below? You may attach sample documents to demonstrate your system; all records must be provided to the CCOF certified operation and will be verified during CCOF inspections. If you have an alternative way to provide a complete traceback to the last certified handler, attach a description. <i>If your audit trail records do not trace back to the last certified organic operation, the CCOF certified operation will not be able to source from you until you improve your records.</i>	<input type="checkbox"/>	<input type="checkbox"/>

To be excluded from certification, the answer to questions 1-7 must be "NO", questions 8 and 10 must be "YES." Question 9 must be complete for brokers, traders, wholesalers, distributors, and importers.

## B. Audit Trail Records

**CCOF certified operations may only source from uncertified handlers who provide full supplier traceability back to the last certified operation for each shipment. We find the following to be essential for traceability:**

- 1) Purchase invoices, BOL, and other audit trail records must:
  - Designate products as organic AND
  - Include a description of the product and amount transferred. You may strike out pricing information, provided organic status and quantity is legible.
- 2) Uncertified handler records and the last certified operation's records must link:
  - The last certified operation must be listed on invoices AND/OR
  - Lot numbers applied by the last certified operation must match lot numbers on uncertified handler audit trail records.
- 3) For each shipment, uncertified handlers must provide a complete, current organic certificate for the last certified operation.
- 4) Documents generated by the last certified operation proving purchase, delivery, and/or transfer to the uncertified handler must be provided to the CCOF certified operation.
  - Uncertified handler audit trail records must link directly back to the last certified operation, including transport, storage, processing/handling, shipping, and/or distribution. Documents must show that organic integrity was maintained; organic products did not come into contact with nonorganic products or prohibited materials such as fumigants.
  - For imports, documentation must show that imported organic products have not be treated upon entry to the USA. Documentation for each shipment may include import permit, phytosanitary certificates, transaction certificates, NOP Import certificates, CBP Forms 3461 and 7501, commercial invoices, export packing list, Certificate of Origin, Bill of Lading, Waybills/Air Waybills, AMS Inspection Certificate, Marine Surveyor Report, and other documents.
- 5) All certified suppliers must be approved by CCOF as part of the certified operation's Organic System Plan (OSP). Notify your CCOF certified buyer prior to changing suppliers.

*CCOF certified operations must maintain records sufficient to demonstrate compliance. If CCOF inspectors cannot track organic product back to the last certified operation, sourcing organic products from the uncertified handler may be considered a noncompliance.*



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## C. Uncertified Handler Statement

I, the owner or legally authorized representative, attest that I am qualified to assess the validity of the statements in this affidavit and the statements are true and accurate to the best of my knowledge.

I acknowledge the above requirements for audit trail records and disclosure to the CCOF certified operation and understand that failure to meet the audit trail record requirements or disclose records to the CCOF certified operation may be cause for CCOF to rescind approval of my operation as an approved uncertified organic handler and may be cause for compliance action against the CCOF certified entity.

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Name (Manager/Owner of Uncertified Handler)

Signature

Date

*Certification of broker/trader/wholesaler/distributor/importer/storage facilities is straightforward and allows you to protect the identity of your suppliers. Visit [www.ccof.org](http://www.ccof.org) to apply for certification. Questions about the certification process? Email [getcertified@ccof.org](mailto:getcertified@ccof.org).*

*CCOF reserves the right to inspect any facility storing or handling organic product owned by a CCOF certified operation per NOP 205.400. If the uncertified handler misrepresents policies or procedures as stated on this affidavit or acts in a manner that might jeopardize organic integrity or tracking of the organic product, the CCOF client using the uncertified handler will be notified. The CCOF client will be held responsible for correcting any noncompliance issues. CCOF will report uncertified handlers who are not excluded to the USDA NOP for investigation and potential civil penalties.*