



National Organic Program Audit Checklist – Review Audit (RA)

Review Audit - General Information	
This Checklist is used in conjunction with Tables 1 through 3 of NOP 2005 NOP Accreditation Assessment Checklist. A full file review shall be completed for the Review Audit. Include relevant documents or photographs as attachments to this report.	
Name of operation:	Operation's representative (name and title/organization):
USDA Auditor(s) (name and title/organization):	
Other individuals attending the Review Audit (name and title/organization):	
Location of Review Audit:	
Scope(s) of NOP certification:	
Other certifications:	
Certifying agent:	
Date(s) and time(s) of Review Audit:	
<p><u>General description of operation:</u> Is the operation all organic, mixed, or a parallel production operation? Type of crops grown, acreage, fields and field location(s) (one site or multiple sites); Wild-Crops: products collected, harvest site locations, collector training; Livestock: type of operation, number of animals, identification methods, products; Handling operation: products processed, services provided, facilities, marketing of products.</p>	



General information on materials and inputs used by the operation and their compliance with the National List and annotations:

Review Audit - Audit Information

In this section of the checklist, the auditor details audit planning, records collected and reviewed, significant observations, interviews, and audit activities conducted.

Review Audit scope, purpose and methodology:

Auditor requested and reviewed documents (indicate where obtained):

The sections below cover the auditor's review of the operation's Organic System Plan (OSP) and specific practice standards, if applicable, related to onsite observations. "No" answers require explanations.

Organic System Plan (7 CFR § 205.201)

Is the OSP completed on a certifier-provided template? ☐ yes ☐ no

Does the OSP have an adequate and complete description of practices and procedures to be performed and maintained, including the frequency with which they will be performed?
☐ yes ☐ no

Does the OSP have a list of each substance used in the production system, including composition, source, storage, and use, including supportive documentation? ☐ yes ☐ no

Does the OSP have a description of the monitoring practices and procedures to be used for ensuring the plan is implemented? ☐ yes ☐ no

Does the OSP include a description of the recordkeeping system? ☐ yes ☐ no

Does the OSP have a description of management practices or physical barriers to prevent commingling? ☐ yes ☐ no

Does the OSP have additional information required by the certifier? ☐ yes ☐ no

When was the last annual update provided to the certifier pursuant to 7 CFR § 205.406(a)?



Crops	Section N/A
Land requirements (7 CFR § 205.202)	
Soil fertility and crop nutrient management practice standard (7 CFR § 205.203)	
Seeds and planting stock practice standard (7 CFR § 205.204)	
Crop rotation practice standard (7 CFR § 205.205)	
Crop pest, weed, and disease management practice standard (7 CFR § 205.206)	
Wild-Crops (7 CFR § 205.207)	Section N/A
Livestock	Section N/A
Origin of livestock (7 CFR § 205.236)	
Livestock feed (7 CFR § 205.237)	



Livestock health care practice standard (7 CFR § 205.238)

Livestock living conditions (7 CFR § 205.239)

Pasture Practice Standard (7 CFR § 205.240)

Handling

Section N/A

Organic handling requirements (7 CFR § 205.270)

Facility pest management practice standard (7 CFR § 205.271); pest management practices;
pest control practices; substances used to control pests:

Commingling and contact with prohibited substance prevention practice standard (7 CFR
§ 205.272)

Labeling, Labels and Market Information

Section N/A

Product Composition (ingredients compliant for products represented as 100%, 95%, 70%,
<70%, and livestock feed) (7 CFR § 205.301)

Percentage calculations (7 CFR § 205.302)



Labeling requirements (7 CFR §§ 205.303-311)

Pesticide Residue Sampling

Section N/A

Has the certifier ever collected a sample for testing during any inspection? (7 CFR § 205.670) (pre- or post-harvest?) (periodic residue testing?) ☐ yes ☐ no

Did the inspector provide the applicant with a receipt for any samples taken? (7 CFR § 205.403(e)) ☐ yes ☐ no

Did the operation pay for the testing? (7 CFR § 205.670(b)) ☐ yes ☐ no

Auditor comments – Practice Standards

The sections below record the auditor's interviews or observations onsite and how the information obtained is consistent with the certifier's records. Note any compliancy issues.

Review Audit – Certification History

When was the operation first certified? Certified by whom?

Has the operation or its responsible parties' certification ever been suspended or revoked? ☐ yes ☐ no

Has the operation ever been granted reinstatement? ☐ yes ☐ no
If yes, when?

Was the operation granted or has it operated under a temporary variance? ☐ yes ☐ no

Auditor Comments:

Review Audit – Certification Process

Have the operation explain the certification application or annual update process:

Does the operation have a copy or have access to a copy of the regulations? ☐ yes ☐ no

How does the operation stay current on changes to the regulations, procedures, and policies that might affect the operation?

How frequently are certificates provided to the operation?



When was the last certificate issued to the operation?

What does the certifier require of the operation when adding new products, inputs, locations, facilities and/or labels?

Auditor Comments:

Review Audit – Certifier Inspections

When was the most recent inspection conducted?

What type of inspection was conducted?

☐ Unannounced ☐ Announced ☐ Annual ☐ Investigative

Was the operation provided with a copy of the inspection report? ☐ yes ☐ no

Did the operator indicate that the inspection report was accurate? ☐ yes ☐ no

Auditor Comments:

Review Audit – Minor Issue/Noncompliance/Adverse Action notifications received and outcomes

Has the operation ever received a minor issue notification? ☐ yes ☐ no

If so, when and how was it resolved?

Has the operation ever received a notification of noncompliance? ☐ yes ☐ no

If so, when?

How did the operation respond to the noncompliance(s)?

Did the certifier send a resolution notification? ☐ yes ☐ no

If not, how was the noncompliance resolved?

Has the operation ever received an adverse action notification? ☐ yes ☐ no

If yes, when?

How was the adverse action resolved?



Auditor Comments:

Review Audit – Auditor findings and citation

Finding 1

Finding 2

Finding 3

Finding 4

Review Audit – Auditor follow up requests or activities