



## Hong Kong Organic Resource Centre Certification Ltd. Processing and Handling Certification Application Form

Please fill out this form if you or your operation are/is applying for organic processing and handling certification or renewal. Use additional sheets if necessary. Attach an Organic Product Profile sheet for each product requested for certification, a current schematic product flow chart and facility map.

<b>Part 1:General Information</b>	
Applicant/Corporation Name	ORC-Cert Organic Cert No. (if available)
If application is made in the name of a corporation, please provide the following information:	
Name of authorized person:	Position of authorized person in the corporation/organization:
Correspondence Address	Processing Plant Address (if different from correspondence address)
Tel (Office) (Processing Plant)	Fax(Office) (Processing Plant)
E-mail	Website
Name of person overseeing the organic production:	
Legal Status: <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Limited <input type="checkbox"/> Partnership <input type="checkbox"/> Government <input type="checkbox"/> Incorporation Registered Under Legislation <input type="checkbox"/> Other: _____	
Food license no.	Number of employees
Have you ever applied for organic certification from other agencies or are you currently applying for organic certification from other agencies? <input type="checkbox"/> Yes (Please provide the following information) <input type="checkbox"/> No	
Name of certification agency:	Name of certification agency:
Year of application:	Year of application:
Result:	Result:
Have your certification ever been denied, suspended or revoked, or have you received a notice of noncompliance in the past from other certifying agencies? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Have any certification agencies issued a conditional certification to you in the past 1 year? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Please provide information on the most recent certification decision by other certifying agencies and above issues and the corrective actions taken in response.	
Do you have a copy of current ORC-Cert Organic Production, Aquaculture, Processing and Input Manufacturing Standard? <input type="checkbox"/> Yes <input type="checkbox"/> No	Do you understand the current ORC-Cert Organic Production, Aquaculture, Processing and Input Manufacturing Standard? <input type="checkbox"/> Yes <input type="checkbox"/> No
Available time for contact: <input type="checkbox"/> Morning <input type="checkbox"/> Afternoon <input type="checkbox"/> Evening	Available time for inspection: Date: <input type="checkbox"/> Mon to Fri <input type="checkbox"/> Sat <input type="checkbox"/> Sun Time: <input type="checkbox"/> Morning <input type="checkbox"/> Afternoon <input type="checkbox"/> Evening

Type of operation: <input type="checkbox"/> Handling <input type="checkbox"/> Processing and Handling <input type="checkbox"/> Repacking
What do you process and handle (e.g. sweet, biscuit)?
Are you processing and handling organic products come from certified organic farm managed by you/your company? <input type="checkbox"/> Yes <input type="checkbox"/> No
Are you processing and handling organic and non-organic products at the same time? <input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, estimate the percentage of organic and non-organic process and handling based on annual turnover. List the type and name of non-organic products produced by your company.

Official Use Only
Date of receipt of application : _____

**Part 2: Organic Product Profile**

Applicant/Corporation Name	Date	Name of product requested for Certification	Percentage of organic ingredients <sup>1</sup>
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**Which label should your product use? Attach samples of label or packaging for this product.**

Organic (Products with not less than 95% of organic ingredients)  Made with organic (Products with not less than 70% but not more than 95% of organic ingredients)

**Product Composition:** Complete the information of all ingredients, including water and salt contained in this product. Standard 5.2.2 states that the use of non-organic and organic sources of the same ingredient in a product is prohibited. And Standard 5.2.4 states that the use of minerals (including trace elements) or vitamins are not allowed for enhancing nutrient content of the products. Operation that repacks organic products for sale can select “NA” and go to Part 3 of the application form.  N/A

Ingredient ( include food additives )	Certified organic ( ✓ )	Supplier	Certifying agent	If non-organic ingredient is used, check if it is listed in Appendix 7.2.3 ( ✓ )	If use non-organic ingredient not listed in Appendix 7.2.3, specify the reason for use and submit documentations of commercially unavailable	Check if GMO ( ✓ )	% in finished product

**Does this product include organic and non-organic forms of the same ingredient?**  Yes , specify: \_\_\_\_\_  No

**Processing Aids: Please provide information about all processing aids used.**

Processing aid	Certified organic ( ✓ )	Supplier	Certifying agent	If non-organic processing aid is used, check if it is listed in Appendix 7.2.3 ( ✓ )	Check if GMO ( ✓ )

<sup>1</sup> % in finished product = total weight or volume of organic ingredient ( excluding water and salt ) ÷ total weight or volume of all ingredients ( excluding water and salt )

**Part 3: Product Labeling**

List all the label information of the product(s) requested for certification.

Product name	Complied with labeling laws in Hong Kong (✓)	Name of person and company on label (✓)	Ingredients are listed in order of weight percentage and all additives are listed with full name (✓)	Details of ORC-Cert displayed (✓)	Organic certificate number on label(✓)	Organic and non-organic ingredients are shown differently (✓)	Use ORC-Cert seal (✓)	Claim of GMO free or similar description on label (✓)

**Part 4: Water**Do you use water during the course of processing and handling?  Yes (Answer the following questions)  No( Go to Part 5))

- Check ways water is used:  
 Ingredient  Processing aid  Cooking  Cooling  Cleaning organic products  Cleaning equipment  Product transport  Other: \_\_\_\_\_
- Water source:  
 Municipal  Well  Pool  Other: \_\_\_\_\_
- List any known potential water contaminants: \_\_\_\_\_
- If water used come from on-farm pool, is it for conventional production at the same time?  Yes  No
- Does the water used in processing and handling meet the requirements of World Health Organization Guidelines for Drinking-water quality?(Attach copy of water test if available)  
 Yes  No
- Is there any on-site water treatment system?  Yes  No

## Part 5: Maintenance of Organic Integrity

Standards required that organic products must not be contaminated by prohibited materials or commingled with non-organic products through processing, handling, storage and facilities. Packaging materials must not contain disinfectants, preservatives, fumigants, insecticides and GMOs, and cannot contaminate organic products.

### A. Product Flow

Attach a complete written description or schematic product flow chart which shows the movement of all organic products, from incoming/receiving through production to outgoing/shipping. Indicate where ingredients are added and processing aids are used. All equipment and storage areas must be identified.

### B. Monitoring

1. Do you have a program in place to monitor areas of potential commingling and contamination?  Yes  No

If yes, describe: \_\_\_\_\_

2. Do you have a Quality Assurance program in place?  Yes  No

If yes, what program do you use?  ISO  HACCP  TQM  Other: \_\_\_\_\_

3. Are any outside quality assessment services used (e.g. Federation of Hong Kong Industries)?  Yes  No

If yes, Name of company or organization: \_\_\_\_\_

4. Do you have the following testing?

Ingredients tested prior to purchase  Ingredients tested upon receipt  Products tested during production

Finished products tested  Other: \_\_\_\_\_

5. How do you prevent the use of ingredient produced using genetic engineering or contaminated by prohibited material?

GE testing  letters from manufacturers  Other: \_\_\_\_\_

6. Are ingredient samples retained?  Yes, how long: \_\_\_\_\_  No

7. Are finished product samples retained?  Yes, how long: \_\_\_\_\_  No

8. Do you have a product recall system in place?  Yes  No

### C. Equipment

Equipment name	Capacity	Equipment is cleaned prior to organic production (✓)	Check if cleansers, disinfectants, sanitizers used are in Appendix 7.2.3 (✓)	Cleaning is documented (✓)	Equipment is purged prior to organic production (✓)


If equipment is purged, describe purge procedures, quantities purged and the use of ingredients after purge, and keep the records concerned: \_\_\_\_\_  
\_\_\_\_\_

#### D. Sanitation

Attach MSDS or label information for cleanser, disinfectant and sanitizer products, if available.

1. Cleaning methods used:

Sweeping     Scraping     Vacuuming     Compressed air     Manual washing

Clean in place (CIP)     Steam cleaning     sanitizing     Other: \_\_\_\_\_

2. Provide information on your cleaning program and list all products used (include their category: I, II, III and not listed):

Area/Process	Type of cleaning	Cleaning equipment	Products used	Frequency	Documented (✓)
Receiving area					
Ingredient storage					
Product transfer					
Production area					
Equipment					
Packaging area					
Finished product storage					
Loading dock					
Transport unit					
Building exterior					
Accidental spills					
Other: _____					

3. Do you test food contact surfaces or rinsate for cleanser, disinfectant and sanitizer residues?  Yes     No

4. Where are cleanser, disinfectant and sanitizer stored? \_\_\_\_\_

#### E. Packaging

## 1. Packaging material used:

None/Bulk ( Go to Part F )     Paper     Cardboard     Wood     Glass     Metal   

Foil

Plastic     Waxed paper     Aseptic     Natural fiber     Synthetic fiber     Vacuum packing

Other: \_\_\_\_\_

## 2. Where are packaging materials stored? \_\_\_\_\_

3. Are any fungicides, fumigants, or pest control products used in the storage area?  Yes     No

If yes, describe the use and provide information on products used: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

4. Have any packaging materials been exposed to, or do they contain any synthetic fungicides, preservatives, fumigants or pest control products?  Yes     No

If yes, describe exposure, including name of products used: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

5. Are packaging materials reused?  Yes     No

If yes, describe how reusable packaging materials are cleaned prior to use: \_\_\_\_\_

\_\_\_\_\_

6. Are reusable packaging materials used for both organic and non-organic products?  Yes     No

If yes, list the non-organic products packaged: \_\_\_\_\_

\_\_\_\_\_

7. Are inks and adhesives used in packaging?  Yes     No

If yes, describe the source and provide information on products used: \_\_\_\_\_

\_\_\_\_\_

**F. Storage**

## 1. Provide information on your storage areas.

Use	Location	Type/Capacity	Dedicated organic	Identification name	Potential contamination or

				or number	commingling problems
Ingredient storage			<input type="checkbox"/> Y <input type="checkbox"/> N		
Packaging material storage			<input type="checkbox"/> Y <input type="checkbox"/> N		
In-process storage			<input type="checkbox"/> Y <input type="checkbox"/> N		
Finished product storage			<input type="checkbox"/> Y <input type="checkbox"/> N		
Off-site storage			<input type="checkbox"/> Y <input type="checkbox"/> N		
Other: _____			<input type="checkbox"/> Y <input type="checkbox"/> N		

2. If you store organic and non-organic products at the same area, describe measures taken to prevent contamination and commingling:  N/A

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3. If off-site storage is used, give details about name, address, phone number, contact person  N/A and type of products stored of the off-site facility:

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## G. Transportation

### Incoming Product

1. In what forms are incoming products/ingredients received?

Dry bulk  Liquid bulk  Tote bags  Tote boxes  Metal drums  Cardboard drums  
 Paper bags  Foil bags  Other: \_\_\_\_\_

2. How are incoming ingredients/products transported? \_\_\_\_\_

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3. Do you arrange incoming ingredients/products transportation?  Yes  No

If yes, have transport companies been notified of organic handling requirements?  Yes  No

4. Are transport units used to carry any non-organic products or prohibited materials?  Yes  No

If yes, how do you ensure that transport units are cleaned prior to loading organic products? \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Is the inspection/cleaning process documented?  Yes  No

5. Are organic products transported with non-organic products at the same time?  Yes  No

If yes, check all steps taken to segregate organic products:

Use of pallets  Pallet tags identifying "organic"  Organic product shrink wrapped

Separate area in transport unit  Organic product sealed in impermeable containers

Other: \_\_\_\_\_

### In-process Product

1. How are incoming in-process products transported? \_\_\_\_\_

\_\_\_\_\_

2. How do you ensure that in-process transport units are cleaned prior to loading organic products? \_\_\_\_\_

\_\_\_\_\_

3. Is the inspection/cleaning process documented?  Yes  No

### Outgoing Finished Product

1. In what form are finished products transported?

Dry bulk  Liquid bulk  Tote bags  Tote boxes  Mesh bags  Foil bags

Metal drums  Cardboard drums  Paper bags  Cardboard cases  Plastic crates

Cans  Bottles  Plastic containers  Other: \_\_\_\_\_

2. How are outgoing finished products transported? \_\_\_\_\_

\_\_\_\_\_

3. Do you arrange outgoing finished products transportation?  Yes  No

If yes, have transport companies been notified of organic handling requirements?  Yes  No

4. Are transport units used to carry any non-organic products or prohibited materials?  Yes  No

If yes, how do you ensure that transport units are cleaned prior to loading organic products? \_\_\_\_\_

Is the inspection/cleaning process documented?  Yes  No

5. Are organic products transported with non-organic products in the same transport unit at the same time?

Yes  No

If yes, check all steps taken to segregate organic products:

Use of pallets  Pallet tags identifying "organic"  Organic product shrink wrapped

Separate area in transport unit  Organic product sealed in impermeable containers

Other: \_\_\_\_\_

## Part 6: Pest and Disease Control

Standard requires that preventive measures, such as elimination of habitat should be used first as the measures for controlling pest and disease. If preventive measures are ineffective, mechanical, physical and biological methods may be used. If control measures are ineffective, allowed materials listed in Appendix 7.2.2 may be used but their contact with organic products are prohibited.

Attach a facility map showing the location of traps and monitors, and MSDS and/or label information for substances used for pest control, if available.

1. What type of pest management system do you use?

In-house. Name of responsible person: \_\_\_\_\_

Contract pest control service. Name, address, phone number and responsible person: \_\_\_\_\_

2. Pest problems you generally have:

Flying insects  Crawling insects  Rats  Mice  Spiders  Birds

Other: \_\_\_\_\_

3. Pest management practices used:

### Preventive measures

Removal of pest habitat  Removal of pest food sources  Removal of pest breeding areas

Sealed doors and windows  Physical barriers  Repair of holes and cracks  Monitoring

Sheet metal on sides of building exterior  Screened windows and vents  Positive air pressure in facility

<input type="checkbox"/> Air curtain	<input type="checkbox"/> Air showers	<input type="checkbox"/> Good sanitation	<input type="checkbox"/> Cleanup of spilled product	<input type="checkbox"/> Exclusion
<input type="checkbox"/> Mowing	<input type="checkbox"/> Incoming ingredient inspection for pests	<input type="checkbox"/> Inspection zones around interior perimeter		

Physical, biological and mechanical measures

<input type="checkbox"/> Ultrasound devices	<input type="checkbox"/> Light devices	<input type="checkbox"/> Mechanical traps	<input type="checkbox"/> Heat treatments	<input type="checkbox"/> Electrocutors
<input type="checkbox"/> Temperature control	<input type="checkbox"/> Straw man	<input type="checkbox"/> Sticky traps	<input type="checkbox"/> Pheromone and insect attractant traps	
<input type="checkbox"/> Freezing treatments	<input type="checkbox"/> Vacuum treatments	<input type="checkbox"/> Release of beneficials		

Other measures

<input type="checkbox"/> Carbon dioxide	<input type="checkbox"/> Nitrogen	<input type="checkbox"/> Pyrethrum or Pyrethrum extracts	<input type="checkbox"/> Diatomaceous earth
<input type="checkbox"/> Rotenone	<input type="checkbox"/> Fumigation	<input type="checkbox"/> Fogging	<input type="checkbox"/> Other: _____

4. Are records kept of your pest monitoring activities?  Yes  No

5. Your waste management system includes:

<input type="checkbox"/> On-site dumpster	<input type="checkbox"/> Material recycling	<input type="checkbox"/> Daily pick-up of waste	<input type="checkbox"/> Composting
<input type="checkbox"/> Field application of waste	<input type="checkbox"/> Other: _____		

6. Does your waste management system provide habitat or food sources for pests?  Yes  No

If yes, please describe: \_\_\_\_\_

\_\_\_\_\_

7. Pesticides used for the last 12 months:

Materials	Listed in Appendix 7.2.2 (✓)	Target pest	Location where used	Application method	Date of last application

8. Are records kept of all pesticides applications?  Yes  No

9. List all measures taken to prevent the materials mentioned above contact with organic products or ingredients: \_\_\_\_\_

\_\_\_\_\_

**Part 7:Record Keeping**

1. Does your record keeping system allow you to trace the finished product back to all of its ingredients?

Yes  No

2. Does your record keeping system allow you to balance organic ingredients in and organic products out?

Yes  No

3. How long do you keep your records? \_\_\_\_\_

4. Which of the following records do you keep?

Incoming

Purchase orders  Contracts  Invoices  Receipts  Bills of lading  Customs forms

Scale tickets  Quality test results  Certificates of Analysis  Transaction Certificates

Copies of Certificates of Organic Operation  Verification of non-GMO ingredients

Documentation of commercially unavailable of organic ingredients when using non-organic ingredients

Receiving records  Receiving summary log for 12 months  Other: \_\_\_\_\_

In-process

Ingredient inspection forms  Blending reports  Production reports  Equipment cleaning logs

Use of non-organic ingredients records  Pest control and sanitation logs  Packaging Log

Quality assurance report  Production summary records for 12months

Other: \_\_\_\_\_

Storage

Inventory report  Other: \_\_\_\_\_

Outgoing

Transport record  Bills of lading  Scale tickets  Purchase orders  Sales orders

Sales invoices  Sales records  Phytosanitary certificates  Export declaration forms

Copies of Certificates of Organic Operation  Transport summary records  Sales summary log

Organic Product Audit Control Summary  Other: \_\_\_\_\_

5. Describe your lot numbering system: \_\_\_\_\_

**Part 8:Subcontracted Operation**

1. Do you use any subcontracted operation(s)?  Yes ( Go to Q2)  No (Go to Part 11)

2. Please specify the subcontracted operation(s):

Name of Sub-contractor: \_\_\_\_\_

Nature of operation: \_\_\_\_\_  
\_\_\_\_\_

3. Is the subcontracted operation(s) certified organic?  Yes ( Go to Q4)  No  Not applicable

4. Please provide the organic certification information, such as certifying agent, accreditation scheme, validity period:

Name of Certifying agent: \_\_\_\_\_

Accreditation scheme: \_\_\_\_\_

Validity period: \_\_\_\_\_

(Attached the valid certificate together with this application)

## Part 9:Declaration

- I hereby declare that :
- All the information supplied in this application is correct, accurate and complete.
- I understand that if I cannot provide necessary information or do not follow the procedure, HKORC-Cert may refuse my application and all the paid fees are not refundable.
- I fully understand the ORC-Cert Organic Production, Aquaculture, Processing and Input Manufacturing Standard and agree to follow.
- I understand that starting from the date of receipt of application, my production units are regulated by the policies of HKORC-Cert.
- I understand that the operation will be subject to unannounced inspection and sampling at any time.
- I understand the acceptance of this application in no way implies granting of certification by HKORC-Cert.
- I understand that I need to provide any information required for evaluation of the production to be certified by HKORC-Cert.
- I understand that I need to provide HKORC-Cert the access all facilities including non-organic production units and related units if applicable.
- I understand that I need to take appropriate action required by HKORC-Cert in case of suspension or termination.
- I understand that I can only make organic claims regarding certification which are consistent with the scope of the certification that HKORC-Cert has been granted.
- I understand that I have to give notification to HKORC-Cert in a timely manner, of significant changes such as modification to the products, the

manufacturing process, extension of acreage or changes to management, or ownership.

- I understand that I have to provide access to all appropriate facilities including any non-organic production in the unit, or related (by ownership or management) units in proximity, to both certification and accreditation personnel.
- I understand that I have the right to object the third-party independent laboratories selected by HKORC-Cert mentioned on HKORC-Cert official website and select my own preferred laboratory(s) whilst the laboratory(s) selected must be accredited by the Hong Kong Laboratory Accreditation Scheme (HOKLAS) and all extra cost shall be borne by my side.

Signature of Applicant/Authorized Person: \_\_\_\_\_ Date: \_\_\_\_\_

Company chop: \_\_\_\_\_

Attachment:

Product flow chart       Facility map       Organic product profile for each product

Pest management map of traps and monitors       Product MSDS or label information

Organic product labels       Documents issued by other certification agencies mentioned in Part 1

Test reports       Inspection report of last year and the records of corrective actions concerned (if applicable)

All working procedures that would adversely affect the organic quality of the product (if applicable)

Other: \_\_\_\_\_

*Make copies of this application form and all attachments for your records in your organic processing and handling system.*

*Submit completed form, fees and supporting documents to*

*“Unit 819, 8/F, Tower B, New Mandarin Plaza, No.14 Science Museum Road, Tsim Sha Tsui East, Kowloon”.*