Oregon Department of Agriculture

Identity Preserved Compliance Checklist

Applicant_
Date_
ID#_

IP Policy #	REQUIREMENT	YES	NO	N/A	ASSESSOR COMMENTS
	Organization and Management				
1	The applicant is a business entity with operations in Oregon.				
2	When the applicant uses subcontractors: • The applicant takes full responsibility for subcontracted work. • The applicant assures that the subcontracted body or person is competent and complies with the standards and requirements of the IP program. • An agreement is in place documenting the arrangements and includes a provision for the subcontractor to comply with the requirements of the IP program.				
3	The applicant has designated one person with authority to act on behalf of the organization as the IP contact person.				
4	Responsibilities for IP operations and key activities are defined and communicated.				
	Traceability				
5	The applicant has implemented an effective IP product identification and traceability system.				
6	Finished IP product is traceable to: • Processing/Packing plant. • Date raw product is received for processing/packing. • Production/Packing date(s) • Sources of raw product and locations of operations that have complied with the relevant provisions of the IP certification program.				
7	Fields and production areas applicable the IP program have been identified and raw IP products are traceable to locations that have complied with the relevant provisions of the IP certification program.				

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8	The applicant has a recall program that includes: • Responsibility for effective implementation and communication of a recall. • A trace-back to determine the origin of raw product and locations of production. • Determination of extent of recalled product. • Determination of the distribution and inventory of the recalled product.				
9	The applicant has performed an annual mock recall and documented the effectiveness of the recall program.				
	Application and Registration				
10	The applicant has applied for IP certification and an authorized representative has signed the application. Information provided with the application includes:				
11	The corporate entity, address, legal status, and contact and billing information.				
12	The mission statement that clearly states the intent of the IP program.				
13	Measurable IP objectives that establish the product or process identity and/or a definition of the value added specifications in the end result.				
14	Definition of the scope of certification that includes the products and operations.				
15	The applicant has supplied the necessary information to identify and register locations of operations within the scope of the IP program. Information provided includes: • Location name and identification. • GPS coordinates or address or TRS. • Responsibility for operations at the location. • Type and size of location.				

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	IP inputs				
16	Seed sources, raw materials, ingredients, previous land use, and purchased materials that may affect the product's IP status and IP objectives have been identified.				
17	Specifications have been established as necessary to assure that raw materials and purchased items do not negatively affect the end product's compliance with the IP objectives.				
18	Records of the verification of seed source, raw materials, land use, and purchased items are maintained and available for review.				
	Sampling and Testing				
19	Sampling to determine compliance of inputs or verification of end product is performed by qualified personnel utilizing documented methods approved by the ODA. When necessary the ODA provides official sampling.				
20	The laboratory used to determine compliance of inputs or verification of end product is approved by the ODA.				
	Process Evaluation and Control				
21	Controls, plans, or policies are implemented and effective in mitigating IP product/process contamination and commingling.				
22	IP product is identified and segregated during production, handling, processing, and shipping.				
23	The applicant has evaluated their processes (key activities in flow chart) identifying the hazards within those activities that would negatively affect the applicant's ability to achieve the IP objectives.				
24	Hazards have been analyzed and the risks to the IP objectives determined as negligible, low, medium, high or extremely high. This "risk assessment" included: • How likely it is that the hazard will occur in the operation.				

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	(Probability) • Correlation to the activity or process the hazard is likely to occur. • The potential negative impact to achieving the IP objectives if the hazard were to happen. (Severity)				
25	The ODA has reviewed the identification of hazards and the risk designations and has determined that: • The significant hazards have been identified. • The designations of negligible, low, medium, high, or extremely high risks are appropriate.				
26	The applicant has made risk control decisions and determined the planned control methods and interventions to mitigate the risks determined to be medium, high, and extremely high risks.				
27	The ODA has evaluated the planned control measures and determined that the risks that remain after the controls have been implemented (residual risks) are acceptable.				
28	The ODA has verified through an on-site audit that control measures are implemented and effective and appropriate records are maintained.				
29	When nonconformities were detected the ODA issued nonconformity reports for noncompliance to requirements, operating procedures, or quality manual.				
30	Nonconformities did not result in the loss of the “identity” of the IP product or failure to meet IP objectives.				
31	The applicant has implemented corrective action to nonconformities in a timely manner and the ODA has approved, verified, and evaluated the effectiveness of corrective action.				
	Documentation Requirements				
32	The applicant’s documented IP program has been reviewed by the ODA, approved, and effectively implemented.				
33	After the ODA has approved the IP program documentation any				

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	changes to the documentation have been reviewed and re-approved.				
34	Procedures and instructions are readily available to people responsible for the activities.				
35	The Applicant's documented IP program includes (an) adequate:				
36	Mission Statement				
37	Measurable objectives that establish the value added "identity".				
38	Specifications, requirements, or certification criteria referenced by the mission statement or the IP objectives. (As applicable)				
39	Organization chart showing lines of authority and function, including subcontractors.				
40	Procedure for the control of documents.				
41	Product identification and traceback plan.				
42	Recall procedure.				
43	Policies, plans, procedures and/or identification methods that ensure the segregation of IP processes/product and mitigate commingling and contamination.				
44	Flow chart of IP operations showing the sequence of key activities, including planning.				
45	IP risk management plan that includes a hazard analysis, risk assessment, and controls and interventions.				
46	Documents detailing the methods of control and intervention as part of the IP risk management plan.				
47	Procedure to control nonconforming product.				
48	Additional procedures as necessary to show commitment to maintaining the integrity of the IP program and continuing stability and effectiveness of IP operations.				
49	Examples of forms utilized in the IP program				
50	Records to verify conformity to requirements and verify the effective implementation of policies and procedures are				

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	maintained and readily available.				
51	The applicant has maintained a record of any complaints concerning IP products and notified the ODA if nonconforming product has been detected.				
52	The applicant's use of certification marks and certification documents is not misleading or misrepresenting IP certification, the scope of certification, or the IP product.				