



Audit Trail: **A SAMPLE DOCUMENTATION PROCESS**

One of the core practices of your certified organic operation is developing good quality record-keeping and documentation (commonly referred to as an “audit trail”). Although not every audit trail will be the same, the following general principles are applicable to all certified operators:

Establish a documentation process that works for your business.

Using documentation for purposes of a food safety recall is often a good starting point and allows you to use established internal controls without starting from ground zero.

Identify and use a strong link for all of your documentation practices.

The most important element of a good audit trail is establishing a common link between all steps and all documents in your control system. For instance, using lot code numbers can easily allow an inspector or you to work through each phase of your operation – ordering, receiving, processing and distribution to name a few – to make documentation traceable, timely and transparent.

The following samples showcase a few of the basic document types found in most tracking control systems for not just an organic inspector or certifier, but also for your own business practices:

- Document I: Ingredient Invoice Order
- Document II: Production Check Off List
- Document III: Receiving Log
- Document IV: Customer Invoice



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DOCUMENT I: INGREDIENT INVOICE ORDER

[Zoot Cuke Riot, LLC]

[Street Address]
[City, ST ZIP]
Phone: (000) 000-0000

INVOICE

INVOICE #	DATE
[123456]	12-12-2014

BILL & SHIP TO

LMNOrganic Co.
[Company Name]
[Street Address]
[City, ST ZIP]
[Phone]
[Email Address]

DESCRIPTION	LOT CODE	QUANTITY	UNIT PRICE	AMOUNT
Organic Cucumber Extract	0000001	2 Cases	\$200	400.00
<i>Thank you for your business!</i>			TOTAL	\$ 400.00

If you have any questions about this invoice, please contact
[Name, Phone, email@address.com]



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DOCUMENT II: RECEIVING LOG

WAREHOUSE RECEIVING LOG

DATE: 01-01-2015

Date	Time	Carrier	Product	Lot Code	Count	Initialed
01-02-2015	3PM	USP	Organic Cucumber Extract	0000001	1 Case	ES

SPECIAL INSTRUCTIONS:

N/A



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DOCUMENT III: PRODUCTION CHECK OFF LIST

PRODUCTION CHECK OFF LIST: CUCUMBER TONIC

DATE: 01-01-2015

Material	Lot Code	Quantity	Check Off	Notes
Organic Cucumber Extract	0000001	30 Gallons	X	Added .5% extra
Organic Coconut Oil	0000002	2 Liters	X	N/A
Organic Rosemary	0000003	2 Lbs.	X	N/A
Organic Rose Petals	0000004	1 Lbs.	X	N/A
Organic Comfrey	0009	.5 Lbs.	X	N/A
	Date:	01-01-2015	Manager:	Ed Smith
	Batch Code:	01012015A	Signature:	<i>Ed Smith</i>

SPECIAL INSTRUCTIONS:

N/A

CATALOG INSTRUCTIONS:

1. Complete Check Off List
2. Sign and date
3. Log into Production Binder
4. Submit for Batch Processing
5. Submit for Spot Testing



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DOCUMENT IV: CUSTOMER INVOICE

LMNOrganic Co.
INVOICE# 123 / 01-01-202015

Address
City, State Zip

Customer Name Here

Address
City, State Zip

BALANCE DUE

Upon Receipt

\$150.00

Order to be shipped via USPS Priority Mail.

Item Description	Lot Code	Quantity	Price Per	Total
Organic Cucumber Tonic	123ABC	1 CASE	\$150.00	\$150.00
			Subtotal	\$150.00
			Tax - 0%	\$0.00
			TOTAL	\$150.00