

OASIS authorized representative
Client Certification Policies
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Introduction:

About these Policies:

The policies and procedures described here are part of the certification agreement between OASIS and the client. Please read through this information and ask any questions of your customer service representative. **OASIS authorized representative certifies to the OASIS Standard #100, supplied in the application packet, as the guideline for certification, organic production regulations, and certification/decertification. OASIS will refer you to the www.oasisseal.org web site for updates on policies, interpretation of the Standard, and changes to the materials list.**

This set of Policies may be updated from time to time; clients will be informed in writing 60 days before implementation.

Purpose:

The OASIS authorized inspection agency offers verification of conformance with the OASIS Standard for producers of organic and wild crafted products. This Standard is founded on the sourcing of raw materials certified to the USDA-NOP regulation. An understanding of and familiarity with USDA-NOP regulations is expected of all applicants.

Guidelines:

OASIS uses both the OASIS Standard and the USDA – NOP regulations to determine certification status. As applicant to OASIS, the designated company representative is expected to have read and understood these standards & regulations. Implementation of the standard is measured by verification of the Organic System Plan presented by the applicant as it meets the OASIS rules.

Support:

OASIS will direct you toward “organic” resources and provide you with guidance documents.

Please see the “Glossary” at the end of this document for an explanation for terms and abbreviations used.

SECTION 1.0 PROCEDURES FOR CERTIFICATION:

1. Certification Overview

Certification occurs at the end of the following process:

- a. Membership in OASIS,.
- b. Submission and review of your application documents to the certifying agents.
- c. On-site verification by an inspector of implementation of the Organic System Plan and conformance with the OASIS Organic Cosmetic Standard,
- d. Review of the verification report and the applicant submissions for the final decision of certification status.
- e. Resolution of any conditions identified during the certification process.
- f. Written verification by the designated certifier of conformance with the Standard.
- g. Extension by OASIS, upon verification of conformance, of the use of the certification mark

2. Application Documents

Some of the forms for application are:

- b. Administrative Application (required of all applicants).
- c. OSP forms, as needed. (Forms to help create an Org. System Plan).
Organic System Plan (OSP) - This is the System Plan required of all certified entities that are agreed to between the certifier and the applicant. You may create a plan and submit it independently or you may use the forms provided to help prompt you in the creation of a plan. The OSP is the “Plan” that the applicant and OASIS authorized representative agree describes the management methods used to comply with the regulations. The verification of conformance and final “agreement” to this plan will cause the certificate to be issued.
- d. Affidavit of Conformance (required of all applicants).
- e. Any other documents determined to be necessary to demonstrate conformance with the standard.

3. Inspections, Review and Certification Overview

- a. **Application Evaluation:** Upon receipt of the Application, Affidavit, OSP, and processing fee, the documents will be evaluated for conformance to the OASIS Standard #100.
- b. **Written Response to Application:** OASIS authorized inspector will provide a

written response to the Application/OSP within 30 days and may request additional information, deny your application based on a clear inability to meet the requirements, or approve the Application for inspection. (See Fee Structure for refund policies.)

4. Scheduling Verification Inspection

- a.** Upon approval of the application/OSP, the Applicant will receive a notice with contact information to schedule the verification inspection. The notice may specify additional documents needed at the time of inspection.
- b.** Upon completion of the inspection, a report will be sent to the applicant that identifies any non-conformance issues. The applicant and certifier then may resolve these issues in a manner to meet the criteria of the Standard.
- c.** Upon resolution of any questions or concerns, the certifier will send written notice of Certification Status to OASIS. Upon verification of ability to conform and verification of current membership, the applicant will be granted use of the OASIS Certification Seal.

Clients have the right to dispute the conditions that have been assigned, if the appropriate information as stated in this handbook is submitted in a timely manner. If disputes are not resolved, it may move to mediation or appeal. Clients have the right to appeal the certifier's decision. Please contact the OASIS Office.

SECTION 2.0 - INSPECTION

1. On-Site Inspections for Certification:

- a.** The designated certifier reserves the right to conduct additional on-site inspections to verify conformance with the OASIS Standards.
- b.** The inspection will be scheduled within 30 days of Application/OSP approval unless otherwise agreed by the applicant and the designated certifier in writing.
- c.** The inspection must be conducted with a representative legally authorized to act on behalf of the business by an owner of the business or officer of a corporation. This agent must be knowledgeable about the operation and present at a time when the land, facilities, and activities that demonstrate conformance can be observed.
- d.** The inspection will result in a **“Report of Verification”** (ROV). The ROV will confirm conformance with the OASIS Organic Production Standard sections pertaining to the operation in question. This report will be supplied to all applicants within 14 days of the inspection. Part of this inspection will be an “Exit Interview”, supplied at the completion of the on-site inspection.
- e.** The ROV will be used to evaluate conformance with the Standard. The Applicant will receive a letter describing any non-conformance and will be expected to address any issues within the time frame stated in the letter.
- f.** All products and the records pertaining to those products that are to be sold, labeled, or represented as "100 percent organic," "organic," or "made with " must be made accessible by certified organic production or handling operations for examination by the designated OASIS representative.

SECTION 3.0 - CONTINUATION OF CERTIFICATION and CERTIFICATE CHANGES

1. Continuation

1. Once accomplished, certification is in effect for 1 year from the date of notice of “allowed OASIS Seal Use” by OASIS. Annual inspection, review and continuing certification will be managed according to the procedures outlined in this handbook.
2. If you have made any changes (additions and/or deletions, of products, facilities, equipment, or locations), this must be reflected in updated OSPs.
3. The following is required/performed when necessary for continuation of certification:
 - a. Updated OSP or documents that show any changes or deviations from the previous years’ OSP;
 - b. Any additions or deletions planned for the upcoming production year.
 - c. Any information pertaining to correction of the previous years minor non-conformances.
 - d. Any other information determined necessary.
 - e. Renewing clients will receive a notice of continuation within 30 days of submitting their request for annual Continuation.
 - f. All clients must complete and return annual membership forms with required fees by the deadline specified on the Continuation.
 - g. Parties that do not submit fees by the specified deadline will be dropped from the OASIS certification program (and given due notice of such action).
 - *All changes to any aspect of organic production must be submitted in writing as part of a revised OSP.*
 - *Required information includes but may not be limited to: the Continuance Contract, OSP Updates (if applicable), and updates on corrective action taken to address non-conformance issues from the previous inspection, if applicable.*

2. Changes to Certificates, OSP, of other Client File documents:

All changes, corrections and/or additions must be made in writing. Change forms are available.

- a. OSP: All changes to any aspect of organic production must be submitted in writing as part of a revised OSP.
- b. OSP: Required information includes but may not be limited to: a Continuance Contract, OSP Updates (if applicable), and updates on corrective action taken to address non-conformance issues from the previous inspection, if applicable.
- c. Certificates: Updated certificates are issued at other times during the inspection cycle as required based upon requests by the applicant for changes to the OSP.
- d. Updated/Changed Files: In the case of new equipment and/or new before the continuation anniversary, an inspection may be required to verify conformance.
 - *In the case of new products or labels, these changes may be accomplished via document review.*
- e. Additional **fees** generated as a result of production changes must be received prior to delivery of the revised certificate.

SECTION 4.0 - MATERIALS ALLOWED IN ORGANIC PRODUCTION:

1. Materials information for clients*:

** The addition of new materials may be petitioned by using this materials review process to determine conformance of the proposed material. Approved materials will be added to the OASIS Allowed Non-Organic Materials list.*

All materials used in the production of products intended to be sold using “100% organic”, “organic”, “made with organic”, or less than “70% organic” will be evaluated according to the OASIS Standards and Policies.

- a. Allowed and prohibited materials and updates may be found on the OASIS website: at www.oasisseal.org.
- b. “Organic” or “made with organic” materials must be certified to the OASIS Standard or to the USDA-NOP regulation.
- c. Non-organic materials:
 - a. Single ingredient or other simple materials must be shown to have been produced using allowed processes and allowed non-organic inputs (i.e. for filtration or extraction, etc.). This demonstration of conformance may be included in the OSP.
 - b. Multi-input non-organic materials (emulsifiers, surfactants, fragrances) must be reviewed for conformance to the Standard by a third party qualified reviewer and added to the “allowed non-organic materials” list.
- d. [Review Procedures for Non-Organic Materials:](#)
 - a. [Protection of Proprietary Information:](#)
 - i. Reviewer must verify the legal authority per the corporate officers to sign an affidavit as appropriate for statements of conformance:
 - Authority must include:
 - Title/Name
 - Date
 - Material
 - Affidavit must contain a statement that the information is covered by the “Allowed materials List” and is proprietary.
 - ii. The reviewer must agree that the list of potential materials could reasonably be used for the particular process.
 - b. [Review of fragrances and fragrance materials/Break down of the inputs used in fragrance creation to the following:](#)
 - 1 - Essential Oils
 - requires an affidavit that the product is distilled using acceptable processes. Minimal review.
 - 2 - Isolates (fraction) of EOs – physical separation of the oil
 - requires flow chart showing process and list of inputs.
 - 3 - Natural Aroma chemicals
 - needs flow chart, list of inputs.
 - 4 – Carriers
 - may be only an affidavit or needs flow chart, list of inputs.
 - 5 – Solubilizers

- may require an affidavit or require flow chart, list of inputs.
- 6 - CO2 Extracts
 - requires an affidavit that the product is extracted using only CO2. Minimal review.
- 7 – Alcohol Extracts (absolutes) - requires an affidavit that the product is extracted using acceptable processes. Minimal review. Needs flow chart, list of inputs.

APPLICAT GUIDANCE: Controlling Cost of Reviews:

As constituent ingredients are reviewed and “listed”, the reviewer may end up with an internal list that is unique and proprietary to the applicant, i.e., their own list of “allowed” materials. Only finished products will be listed on the approved OASIS list and the applicant may use any of their approved constituents in other finished products without additional review. ALL new materials must be reviewed.

SECTION 5 – GENERAL POLICY SECTION

1. Conflict of Interest

- a. All OASIS Certification personnel are required to complete an annual statement declaring any “Conflicts of Interest” and refrain from participating in any certification decisions on those operations with whom they may have financial or personal conflicts of interest or the appearance thereof.
- b. All OASIS personnel are prohibited from accepting payments, gifts, or favors of any kind.
- c. If it is discovered that any party to a certification decision had a Conflict of Interest,

OASIS will review and may take appropriate action, including but not limited to:

- Assignment of a new inspector, or
- Transfer of the application to another certification agency.
- Reimbursement of fees to applicant.

2. Confidentiality

- a. All OASIS approved certification providers will sign a “Confidentiality Statement” as terms of the service contract. It is an OASIS policy that *no client information will be discussed or communicated outside of the confines of the processing of and decisions regarding certification applications or to any OASIS member. The role of a thris party provider is to maintain confidentiality.*
- b. OASIS will maintain sealed files of certification information that will be audited once per year to verify integrity of the file.
- c. OASIS is obligated to release a Client’s file to State and Federal agencies according to the applicable regulations.
- d. OASIS does not release client financial information except in the case of bills past due that OASIS has assigned to a collection agency. OASIS will not disclose the amount past due in the case of financial de-certification.

3. Complaints Regarding Organic Integrity

- a. OASIS may investigate any complaint or allegation submitted in writing about

any Clients' actions as they pertain to OASIS Standards violation.

b. Complaints will be investigated based on written records with documented evidence.

c. Investigations will be conducted promptly and confidentially.

- Refusal to cooperate with an investigation may be grounds for suspension, de-certification or denial of certification.

SECTION 6 - CERTIFICATION STATUS

OASIS authorized representative Certifiers policy is to work with you to solve problems prior to any action effecting certification status.

These procedures provide a framework in which to work with disputes. **It is the responsibility of the client to be responsible for all applicable State and Federal regulations, to read and understand this Policy Manual, and to read and understand the OASIS Standards. OASIS NOT THEIR AGENTS ARE NOT RESPONSIBLE NON-COMPLIANCE WITH FEDERAL, STATE OR INTERNATIONAL LAWS.**

Status / Classification	Action	Rights re the OASIS
Applicant	Initial screening has occurred and application is under review by the agent.	You may dispute requests You may not use any labels or marks that re OASIS.
Certification Pending	The application has been found to sufficiently compliant and an inspection has been performed. The ROV is under the certification agent.	You may not use any labels or marks that re OASIS.
Certified Organic (or made)	Assigned upon confirmed conformance with applicable standard.	May use the label that was certified in the product. OCCURS UPON NOTICE BY THE AGENT THAT THE STANDARD HAS BEEN REVOKED. OASIS WILL ISSUE A LETTER ALLOWING YOU TO REMOVE THE SEAL AND REFERANCE TO OASIS.
Under Examination (UE)	The OSP file is being examined to resolve non-resolution of concerns or issues. A timeframe for response is set by the certification agent not to exceed 90 days. Unresolved, UE may move to Suspension.	You may use the last labels and seals approved by OASIS if this is a continuance. If this is a new application you may not use any labels until all issues are resolved and you have been notified by OASIS that you may use the trademarked material.
Suspension	Suspension may result if an operator fails to maintain conformance with applicable regulatory requirements. The process is described "Denial of Certification", below.	UNTIL RESOLUTION, you may not use any trademarked material.
Decertification	Decertification is completely described in "Denial of Certification", below.	You may not use any trademarked material.
Inactive - CERTIFIED	Certified producers may be eligible for "Inactive Status" under certain conditions. Inactive status is beyond the control of the producer. All requests for such status must be in writing and must be agreed to by OASIS authorized representatives.	You may not use any trademarked material. AGREEMENT MUST APPEAR IN A WRITING AND BE AGREED TO BY THE APPLICANT AND THE CERTIFICATION AGENT.
Decertification	Decertification is completely described in "Denial of Certification", below.	You may not use any trademarked material.

**SECTION 7 - A SUMMARY OF AND REFERENCE TO THE OASIS STANDARD
DEFINING DISPUTES, MEDIATIONS, AND APPEALS:**

1. Applicant Rights:

- a. An applicant has the right to due process in all disputes, mediation procedures, and appeals as allowed by State and Federal law.
- e. Applicants have the right to dispute conditions and status assignments made by the certification agents.
- f. All disputes must be received in writing.
- g. All disputes will be reviewed to verify adequate documentation.
- h. An impartial 3rd party Adjudication Committee may hear disputes. This

Committee will be made up of industry experts who meet the criteria of no conflict of interest and confidentiality.

i. If a Client is not satisfied with the resolution of the dispute they may proceed to mediation.

SECTION 8 - CERTIFICATION COSTS

- a. Per Fee Structure Sheet as provided by the certification agent.
- b. Change of Ownership: OASIS requires a new membership application and the corresponding fee when ownership (or ownership and management of multi- tiered operations) of an operation changes.
- c. Certification is non-transferable.**

SECTION 9 - DENIAL OF CERTIFICATION

(a) When the certifying agent has reason to believe, based on a review of the information discovered in the certification process that an applicant for certification is not able to comply or is not in conformance with the requirements of the Standard, the certifying agent must provide a written notification of nonconformance to the applicant. When correction of a nonconformance is not possible, a notification of nonconformance and a notification of denial of certification may be combined in one notification. The notification of nonconformance shall provide:

- (1) A description of each nonconformance;
- (2) The facts upon which the notification of nonconformance is based; and
- (3) The date by which the applicant must rebut or correct each nonconformance and submit supporting documentation of each such correction when correction is possible.

(b) Upon receipt of such notification of nonconformance, the applicant may:

- (1) Correct non-conformances and submit a description of the corrective actions taken with supporting documentation to the certifying agent;
- or
- (2) Submit written information to the issuing certifying agent to rebut the nonconformance described in the notification of nonconformance.

(c) After issuance of a notification of nonconformance, the certifying agent must:

- (1) Evaluate the applicant's corrective actions taken and supporting documentation submitted or the written rebuttal, conduct an on-site inspection if necessary, and
 - (i) When the corrective action or rebuttal is sufficient for the applicant to qualify for certification, issue the notice of averified comformance to OASIS staff.
 - (ii) When the corrective action or rebuttal is not sufficient for the applicant to qualify for certification, issue the applicant a written notice of denial of certification.
- (2) Issue a written notice of denial of certification to an applicant who fails to respond to the notification of nonconformance.
- (3) Provide notice of approval or denial to the OASIS staff.

(d) A notice of denial of certification must state the reason(s) for denial and the applicant's right to:

- (1) Reapply for certification;
- (2) Request mediation, if applicable; or
- (3) File an appeal of the denial of certification with the OASIS Staff.

(e) Notwithstanding paragraph (a) of this section, if a certifying agent has reason to believe that an applicant for certification has willfully made a false statement or otherwise purposefully misrepresented the applicant's operation or its conformance with the certification requirements pursuant to this part, the certifying agent may deny certification.

GLOSSARY, DEFINITIONS, AND RESOURCES pertaining to the OASIS authorized representative Certifier's application:

MINOR NON-CONFORMANCE

An activity that does not comply with the applicable standards is considered minor when there is little or no threat to the organic integrity of the final product. Minor non-conformances may require detailed review at the next inspection or that the applicant or certified party submit additional information by at a specified date. These minor non-conformances may need to be resolved before an operation may advance in status.

MAJOR NON-CONFORMANCE

An activity that does not comply with the applicable standards is considered major when there is considered to be a threat to the organic integrity of the final product. Major non-conformances require resolution or correction before an operation may advance in status or continue in a certified status.

Other Organic Acronyms, Explanations, and Resources

Federal Government Agencies/Programs

USDA - United States Dept. of Agriculture

Programs and Terms within USDA:

AMS – Agricultural Marketing Service

NOP – Nat'l Organic Program

NOSB – Nat'l Organic Standards Board (Advisory Committee to NOP)

GAP – Good Agricultural Practices

NOS – National Organic Standards

GAP – Good Agricultural Practices

FDA – Food and Drug Administration

Programs defined by FDA:

GMP – Good Manufacturing Practices

California State Agencies/Programs

CDFA – Calif. Dept. of Food and Agriculture

COP – Calif. Organic Program

DH – Dept. of Health
COPA 2003 – Calif. Organic Products Act of 2003