



Food Alliance Handling Operation Certification Application Packet

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Application Instructions

Step 1:

Review the Food Alliance Handling Operation Standards and Procedures Manual. The manual can be downloaded from the Food Alliance website (www.foodalliance.org/certification/standards.htm), or a hard copy can be sent to you upon request.

Step 2:

Review and complete this application.

Step 3:

Mail your:

- Completed application
- And a \$500 down payment on your inspection fee (*check payable to "Food Alliance"*)

To: Food Alliance
Attn: Certification Manager
1829 NE Alberta, Suite 5
Portland, OR 97211

The certification manager will confirm the receipt of your completed application.

Step 4:

Host a certification inspection. A Food Alliance site inspector will contact you to schedule your inspection.

If you have any questions, or require any additional information, please contact:

Heather Saam, Certification Manager
Phone: 503-493-1066 x23
Fax: 503-493-1069
Email: heather@foodalliance.org

Licensing Agreement

Licensing Agreement for Food Alliance Certification

It is a condition of Food Alliance certification that all licensees sign agreement to the following conditions at application and on renewal of certification.

On Behalf of (Company name): _____

I agree to the statements given below

Signed: _____

Print Name: _____

Date: _____

As the designated representative of this operation, I hereby acknowledge and agree to the following:

1. General

1.1 All parties responsible for compliance have read and understand the standards and policies of Food Alliance and confirm that requirements described therein will be observed for the term of certification, including labeling requirements.

1.2 Information provided in the accompanying application and during the resulting inspection is accurate and fully describes this operation's management practices to the best knowledge of the people supplying it.

1.3 This operation is fully responsible for adhering to all relevant local, state, national, and international laws. While Food Alliance may address related issues as part of the certification process, it is not Food Alliance's responsibility to ensure that this operation is compliant with law. This operation shall in no way hold Food Alliance responsible for any failure to comply with law.

1.4 On request, this operation will make available to Food Alliance any reports, recommendations, licenses, etc. from statutory authorities.

1.5 This operation will inform Food Alliance of any current, recent (within the last 12 months) or pending investigations or prosecutions which may have a bearing on its certification.

1.6 This operation will notify Food Alliance promptly of any and all changes that may affect its certification status, including changes of ownership or management, or changes to production and storage facilities, products, composition and labeling of products, or operating procedures. Notification is required within one week for contamination or other events that might affect the integrity of Food Alliance Certified product claims.

2. Data Protection and Use of Information

2.1 The information this operation provides in the application and inspection process will be treated as confidential by Food Alliance and its contracted inspectors. Confidentiality will be maintained regardless of the results of the certification inspection or the operation's certification status.

2.2 Food Alliance does maintain a list of certified entities that consent to have their contact information published or supplied to third parties, (e.g. other certified businesses, commercial food buyers, etc.). This information may also be published on Food Alliance's website.

Please check this box if you **DO NOT** want to be included on this list.

3. Sub-Contractors

3.1 This operation will assure that all products sold as certified by Food Alliance comply with the requirements of the Food Alliance program.

3.2 A list and a description of the activities of all subcontractors involved in the production or preparation of Food Alliance certified products will be provided to Food Alliance, and this operation will ensure that subcontractors are inspected and certified by Food Alliance as appropriate.

4. Access

4.1 This operation will provide access during normal working hours, for either arranged or unannounced visits, to inspectors appointed and/or contracted by Food Alliance for the purpose of carrying out inspections and to provide access to any areas or information deemed necessary for the purposes of the inspection.

5. Sampling

5.1 This operation agrees to permit Food Alliance to take samples for testing of products or for checking production techniques or for detecting possible contamination by unauthorized ingredients and to provide the results of its own voluntary inspection and sampling programs on request.

6. Use of License and Food Alliance Certification Seal

6.1 I will make claims regarding certification only in respect to enterprises and products that comply with the requirements of Food Alliance and for which certification has been granted.

6.2 I will endeavor not to make any statement or claim regarding certification which Food Alliance may consider misleading or unauthorized.

6.3 I will ensure that references to certification on packaging and marketing materials comply with the requirements of Food Alliance by submitting them to Food Alliance for approval before use.

7. Cancellation or Suspension of Certification

7.1 This operation has the right to voluntarily withdraw from Food Alliance certification at any time without penalty, notwithstanding costs incurred by Food Alliance for services rendered up until the time of voluntary withdrawal. Voluntary withdrawals will be submitted in writing.

7.2 If this operation's certification is terminated or suspended or if a crop or batch of produce/product loses its certified status, Food Alliance may publicize that fact.

7.2 Upon cancellation or suspension of Food Alliance certification, this operation will discontinue the use of all marketing and other materials that contain reference to Food Alliance and return certification documents as required by Food Alliance. Furthermore, this operation will inform buyers of certified products of its change in status in writing and in good time to ensure that references to Food Alliance certification are removed from products in inventory.

8. Payment of Fees

8.1 This operation will pay all fees and costs related to certification as determined and published by Food Alliance.

9. Use of Food Alliance Brand Collateral

9.1 Food Alliance is the owner of the name 'Food Alliance,' of the Food Alliance certification seal, and of the phrase 'Food Alliance Certified.' Use of the name 'Food Alliance,' of the Food Alliance certification seal, and of the phrase 'Food Alliance Certified' for commercial, promotional or educational purposes must be specifically authorized by Food Alliance.

9.2 The Food Alliance certification seal may be used only for identification and promotion of Food Alliance Certified products. The certification seal may be used on Food Alliance Certified products, on product packaging and in point-of-sale materials for Food Alliance Certified products. **All uses must be submitted to Food Alliance for review and approval before production and distribution.** Please allow at least 5 working days for a response. Use of the Food Alliance certification seal for generic materials or promotions where viewers may wrongly assume certification for non-certified products or facilities will not be approved.

9.3 Failure to seek approvals for use of Food Alliance brand collateral may be grounds for suspension or revocation of certification.

Application

The information you provide in this application will help the inspector prepare for your on-site evaluation. The application must be completed in its entirety, and sufficient detail provided to allow Food Alliance and its site inspectors to gain a clear understanding of your operation's level of compliance with Food Alliance certification standards. All information provided in the application will be kept strictly confidential by Food Alliance and its third-party inspectors.

Section I: General Information

Business name _____

Owner(s) _____

Manager(s) _____

Physical address _____

Mailing address _____

City, State, Zip, County _____

Primary certification contact: _____

Telephone _____

Mobile/Other _____

FAX _____ Email _____

Website _____

How did you find out about Food Alliance certification?

- Supplier Customer Presentation Print
 Internet Television Radio
 Other _____

Section II: Handling Operation Categories

Food Alliance recognizes three categories of handling operations:

1. Category I Certified Handling Operations
2. Category II Certified Handling Operations
3. Category III Restricted Handling Operations

Please indicate (“√”) below the category under which you are applying.

CATEGORY I Certified Handling Operation:

Category I includes companies that process their own product or retain other handlers to perform manufacturing or other contract services. This category also includes operations engaged in the production of ingredients intended for further processing prior to retail packaging, as well as fruit or vegetable packing and/or packaging.

CATEGORY II Certified Handling Operation:

Category II is for operations, such as brokers or distributors, that take title to product but do not change its form. Incidental re-packing for quality control or assembling orders is allowed. (Incidental repacking shall not include reducing or dividing the net weight of any previously packaged products. Incidental repacking shall also not include alteration of previously existing label information.

CATEGORY III Restricted Handling Operation:

Category III is for handlers retained on contract to process products intended to bear Food Alliance Certified content claims. Restricted Handling Operations must pass an audit addressing baseline requirements for handling Food Alliance Certified products. However, Restricted Handling Operations are not certified and may not make claims to being certified by Food Alliance.

Section III: Legal and Regulatory Status

Other Third Party Inspections and Certifications:

1. Is your facility inspected by other local, state, and/or federal regulators (USDA, FDA, state agriculture department, state environmental agency, etc.)?

YES NO

If you answered YES above, please list regulators and write the date of the last inspection or attach a copy of the last inspection with your application.

2. Is your facility certified by any other certifying authority (Certified Organic, Kosher, Halal, etc.)?

YES NO

If you answered YES above, please attach compliance documentation and certification decisions/conditions from these certifying authorities

3. Does your facility have a Food Safety Program (GMP, HACCP, etc.) that is audited by a non-governmental agency (AIB, Silliker, NSF, etc.) ?

YES NO

If you answered YES above, please attach your inspection reports and certificates.

Note: All records regarding Food Alliance certified ingredients shall be accessible for inspection and review no less than five years from date the product leaves the custody of the certified handler.

Section IV: Compliance with Baseline Standards and Improvement Actions

Instructions:

Underlined entries are baseline requirements that must be met by all Handling Operations.

Other entries are desirable improvement actions, which must be met over time by Category I and II handlers only. *If you are applying as a Category III Handler, you do not need to complete the “improvement action” sections below.* As appropriate, please place a checkmark (“√”) next to each baseline requirement and improvement action with which your operation is currently in compliance. Your site inspector will use a variety of methods to verify compliance.

Guiding Principle – Nutritional Value and Truth in Labeling

Processing and handling operations maintain the integrity of the raw Food Alliance Certified ingredients they use. Processes are carefully evaluated and chosen to maintain the highest nutritional quality of the final products. Communication to the consumer through clear labeling is assured.

PRODUCT FORMULATION

(Baseline Requirements 1-9)

- A Unique Product Application form, including a label sample and associated marketing information, exists for each product to be certified by Food Alliance.
- Operation has Letters of Certification on file for each supplier of products or ingredients bearing Food Alliance certified content claims.
- Only ingredients and processing aids allowed in the Food Alliance Handling Operation Standards are included in the formulation.
- Given ingredients do not exist in both Food Alliance-certified and non-certified forms.
- Non-agricultural additives are not used only to alter the speed of the process, improve product handling during processing, create new characteristics in the food product, recreate/improve flavors, colors, textures, or replace nutritional value lost during processing (except as required by law).
- Synthetic additives are not used only to alter the speed of the process, improve product handling during processing, create new characteristics in the food product, recreate/improve flavors, colors, textures, or replace nutritional value lost during processing (except as required by law).
- When synthetic additives and processing aids are used, operator investigates opportunities to reduce/eliminate their use via alternate materials and/or methods, and sets applicable timelines for implementation.
- Ingredients are declared on labels using their most commonly known name.
- No genetically modified organisms (GMO) or their products are used in the formulation or process.

(Improvement Actions)

- Food Alliance certified ingredients are maximized in the current formulation.
- Operator has a plan to increase Food Alliance certified content of products, where applicable or possible.
- Whole-food content is maximized; refined ingredients or isolates are minimized in the formulation.
- Use of non-agricultural non-synthetic additives is minimized to those that are essential to product formulation, and are used in the minimum amount(s) needed to achieve the desired effect.
- Use of synthetic additives and processing aids is minimized, and these are used only when no non-synthetic alternative exists. Only those that are essential to product formulation are used, and they are used in the minimum amount(s) needed to achieve the desired effect.
- When processing aids or their byproducts (breakdown products or products of a reaction during processing) remain in the final product, the product label ingredient panel indicates their presence in the final product.

PROCESSES

(Baseline Requirements 10-12)

- Processes are limited to physical and biological methods only. All chemical interactions occur using only Food Alliance approved ingredients and processing aids.
- Use of x-ray is limited to that which is required by law.
- No ionizing radiation occurs with ingredients or products at any stage of the chain of custody of all goods involved.

(Improvement Actions)

- Removal of parts of whole-food ingredients is minimized.
- Where refining of ingredients is practiced or refined ingredients are used, operator has a nutrition-based justification for the practice.
- Operator challenges their own production of refined food products solely for marketability purposes by attempting to educate consumers about alternate/less refined/similar product forms.
- Heating is done to the minimum temperature required by law and/or to achieve the desired effect. Excess heat to increase shelf-life (e.g., ultra-pasteurization or ultra-high temperature pasteurization) is not done.

PROCESSING FLOW

(Baseline Requirements 13-22)

- Operator has a site plan / facility sketch of the operation.
- Operator has clear and accurate flow diagram(s) for each product and process, describing all relevant equipment, movements, and transformations of goods.
- Food contact surfaces do not contaminate or transfer to the product.
- Processing lines used for Food Alliance products do not merge or share any equipment with other lines that may be simultaneously running other products.
- Work-in-progress is identified and distinguishable from non-Food Alliance goods.
- Operator has a standardized procedure to handle and document processing errors.
- Processing records show all ingredients, additives, and processing aids used, by quantity and lot number (if applicable).
- Facility has a documented calibration system in place to ensure processing weight control is accurate.
- Records show quantities of all goods used and packed out.
- Final goods packages have a traceable production or lot code or "use by" date than can be used to trace ingredients to their time of receipt

(Improvement Actions)

- Maintenance protocols are developed and documented to prevent machine oil, machine fragments, paint chips and/or other debris from contaminating food product.
- Dedicated processing lines for Food Alliance certified products
- Separate time(s) for processing Food Alliance certified products

RECEIVING, STORAGE, AND SHIPPING

(Baseline Requirements 23-29)

- Operation has standard procedures for checking the integrity of received goods and reporting of related concerns.
- Documentation for incoming goods is verified by operation's own personnel.
- All incoming packages of Food Alliance certified ingredients have production lot numbers or codes assigned by the supplier.
- Food Alliance goods are clearly and visibly marked as such.
- Food Alliance goods are not stored in contact with non-Food Alliance goods.
- Operation has standardized procedures for checking that outgoing carriers are suitable to carry the goods to be shipped.
- Inventory records are maintained, updated regularly, and reconciled with physical counts.

(Improvement Actions)

- Dedicated storage space for Food Alliance ingredients and finished products
- Goods are not stored directly on the floor.

Guiding Principle - Quality Control & Food Safety

Proper measures are in place to ensure food safety is not compromised. Operations are monitored and evaluated to assure ongoing good practices and identify any needs for improvements that should arise over time. Procedures are in place to quickly address any questions or challenges raised regarding food safety or product integrity.

Note: Food Alliance recognizes that many handling operations already have established Food Safety and Quality Assurance programs. If an operation can demonstrate that it already operates such programs in good standing under the supervision of other auditing agencies, Food Alliance may accept associated audit reports as sufficient for these aspects of the Food Alliance Certified Handling Operation program. Food Alliance will make such determinations on a case-by-case basis by evaluating the content of the reports submitted by the applicant from these other agencies. In cases where the operation does not participate in other relevant auditing programs, the full set of Food Alliance requirements will be addressed during the inspection.

QUALITY CONTROL

(Baseline Requirements 30-31)

- Operation has a product recall system.
- Operation has a standardized procedure for responding to complaints.

(Improvement Actions)

- Operation has written standardized procedures for all significant aspects of its operations. (If not all aspects are covered, indicate what aspects are or are not covered.)
- Operation has a document control system and ensures that all relevant employees use current and consistent versions.
- Operation performs regular and unannounced internal audits of its own activities to ensure that procedures are followed.
- The results of internal audits are documented. Corrective actions are imposed and follow-up implementation is verified.
- Operation is audited by a third party (or parties). The results of said audits are made known to all responsible persons in the operation, and follow-up actions are undertaken as applicable.

FOOD SAFETY

(Baseline Requirements 32-36)

- Facility has an adequate allergen control and education program to prevent the unintentional and undisclosed commingling of known allergens.
- Facility has a compliance plan for the Food Allergy Labeling and Consumer Protection Act of 2004.
- Facility has a documented compliance plan for the Public Health Security and Bioterrorism Preparedness and Response Act of 2002 (the Bioterrorism Act), and has a valid FDA Registration number.
- Facility has adequate inspection and education programs to prevent the reduction of food safety by allowing foreign material, undisclosed or unintentional adulteration of products while in its custody.
- Facility has identified all critical control points in its operation where microbial contamination of products might occur, and has measures in place to minimize risks.

(Improvement Actions)

- Facility has a formal HACCP program.
- Facility performs microbial testing (either on site or at a contracted laboratory).

SAMPLING AND RETENTION – for Food Alliance goods:

(Baseline Requirements—None)

(Improvement Actions)

- Samples of received ingredients are retained. (State duration of retention.)
- Samples of finished products are retained. (State duration of retention.)
- Incoming goods are tested. (State what kinds of tests are performed.)
- Work in progress is tested. (State what kinds of tests are performed.)
- Finished goods are tested. (State what kinds of tests are performed.)

Guiding Principle - Reducing use of Toxins and Hazardous Materials

Operators continually assess their activities to reduce the use of chemicals that have adverse environmental impacts. Materials used for sanitation, structural pest control, waste treatment, and infrastructural maintenance are chosen to reduce overall negative consequences.

CLEANING AND SANITATION

(Baseline Requirements 37-38)

- Justification is provided for using toxic or biocidal materials for cleaning and sanitation.
- Operation maintains records of all cleaning and sanitation activities that impinge on Food Alliance certified ingredients and/or products.

(Improvement Actions)

- Materials used for cleaning and sanitation are chosen preferentially for least toxic options in accordance with Tables 2a-c below.
- Operation makes adjustments to further reduce dependence on toxic materials and biocides for cleaning and sanitation by experimenting with and employing other methods and/or materials. Results of experiments are documented.
- Operation maintains records of **all** cleaning and sanitation activities.

As applicable, please complete the following tables.

1. Non-chemical cleaning and sanitation methods

Method	Equipment and/or spaces involved	Frequency	How is this verified and documented?
Sweeping, brushing, wiping			
Compressed air			
Vacuum			
Water			
Steam			
Equipment purge			
Other (specify)			

2. Chemical cleaning and sanitation methods

a. Materials that are non-residual, and whose breakdown products are non-toxic and easily biodegradable:

Material – generic active component(s)	Material – brand name	Concentration used	Where used	Frequency of use	How are residues removed from food-contact surfaces?	How is this verified and documented ?

b. Materials that are non-residual and whose breakdown products are non-toxic, but are not easily biodegradable (larger and/or more stable molecules):

Material – generic active component(s)	Material – brand name	Concentration used	Where used	Frequency of use	How are residues removed from food-contact surfaces?	How is this verified and documented?

c. Materials that are residual, toxic, or which show long-term resistance to biodegradation or have persistent negative environmental affect:

Material – generic active component(s)	Material – brand name	Concentration used	Where used	Frequency of use	How are residues removed from food-contact surfaces?	How is this verified and documented?

PEST MANAGEMENT

(Baseline Requirements 39-43)

- Operation has mapped all areas of the facility with relevant pest management indicators so that locations of activities can be referenced between activity logs and the map(s).
- Operation has records of all pest management activities done.
- Justification is provided for using toxic or biocidal materials for pest management.
- All toxic materials are only applied by duly licensed persons.
- Chemicals are used in the minimum amounts practical.

(Improvement Actions)

- Least toxic materials are used as a first choice.
- Rodenticides do not pose a secondary kill affect on rodent predators.
- Agricultural or natural materials are used preferentially (e.g., pyrethrum, diatomaceous earth).
- Buildup of resistance by pests to any given material is avoided.
- Operation makes adjustments to further reduce dependence on toxic materials and biocides for pest management by experimenting with and employing other methods and/or less toxic materials. Results of experiments are documented.

As applicable, please complete the following tables.

1. Physical pest management methods

Method	Location(s)	Description / Placement method	Not done (√)
Exclusion / physical barriers			
Removal of breeding/habitat areas			
Sanitation			
Physical/mechanical traps			
Insectocutor lights			
Sound and/or ultrasound			
Controlled light levels			
Temperature control			
Controlled atmosphere			
Other (specify)			

2. Monitoring of Pest Management Activities

Activity	Frequency	How is this documented?	Not done (√)
Regular facility maintenance for exclusion and structural integrity			
Routine checking of traps			
Inspection of incoming goods			
Inspection of goods in storage			
Other (specify)			

3. Pest Management Methods

Method	Material [brand name and active generic ingredient(s)]	Target pest(s)	Location(s)		Frequency of Use	
			Exterior	Interior	As needed (specify average frequency)	Routine (specify average frequency)
Pheromone traps/lures						
Fixed baited traps						
Spot treatment						
Crack-and-crevice						
Fog treatment - isolated containers/rooms						
Fumigation - isolated containers/rooms						
Fog treatment - larger spaces/areas						
Fumigation - larger spaces/areas						
Other (specify)						

4. Pest Management Documentation

Type of documentation	Format	
	In-house document(s)	Pest contractor document(s)
Dates of use		
Times used		
Exact locations		
Materials used		
MSDS		
Target pests		
Persons responsible for use		
Disposition of Food Alliance goods and packaging during treatments		
Cleaning of food contact surfaces		
Re-entry times for goods, packaging, and personnel		
Other (specify)		

HAZARDOUS MATERIALS EMERGENCY MANAGEMENT

(Baseline Requirements—None)

(Improvement Actions)

- Any incidents of spills in storage, mixing/loading or application sites are documented and cleaned up promptly.
- Spill response kits/equipment is readily available where hazardous materials are stored, mixed or used.
- An emergency management plan is in place to ensure that:
 - o Materials used to clean up spills are disposed of properly.
 - o Identification and phone numbers for persons who should be contacted are clearly posted.
 - o Procedures and equipment to be used are known to all relevant personnel.
 - o Copies of complete labels and MSDS sheets of hazardous materials used are readily available to all relevant personnel.
 - o Location of fixed storage sites is made known to all relevant personnel.
 - o Policies are in place requiring training for those who work with or around hazardous materials.
- Other (specify):

Guiding Principle - Resource Management and Recycling

Dependence on natural resources for energy and transport, and reliance on materials needed for daily operations and packaging, is monitored on an ongoing basis. Efficiency increases over time. Waste streams are minimized while reuse and recycling of materials is maximized.

WATER

1. Water Source(s): _____

(Baseline Requirement 44)

- Source water meets potable water requirements (Federal Safe Drinking Water Act).

(Improvement Actions)

- Water use efficiency increases over time.
- Water quality is monitored at different stages of use through the facility's system.

2. Water Testing (complete all that apply):

Aspect analyzed	Sampling site(s)	Frequency of testing
Heavy metals (specify which ones):		
Coliforms		
Nitrates		
Agricultural chemicals		
Other (specify):		

3. Water Treatment(s) on site (complete all that apply):

Type of treatment	Use of this water
Filtration (specify type):	
Reverse osmosis	
Ultraviolet light	
Chlorination (specify form of chlorine and concentration):	
Ozonation	
Softening (specify material/method):	
Ion exchange	
Other additives (specify material and concentration):	
Oxygenation	
Settling ponds	
Other methods (specify):	

4. Recycling of Water

Original use by operation	Volume used from initial source	Recycled to	% recycled	Reason(s) for loss

ENERGY USE

(Baseline Requirements-None)

(Improvement Actions)

- Energy use is monitored for each source.
- Operation is assessed to identify how energy use efficiency can be increased.
- Operation develops plans/timelines to achieve greater energy use efficiency.
- Operation supports local/regional alternative energy resource development and/or participates in related programs.
- Operation investigates/pursues use of renewable energy sources (wind, solar, other).

PACKAGING MATERIALS - for Food Alliance certified goods:

(Baseline Requirement 45)

- No preservatives in packaging materials, unless specifically allowed by Food Alliance standards.

(Improvement Actions)

- Packaging materials are recyclable.
- For packaging materials that are not recyclable, operation has a plan to replace these with recyclable materials.
- Packaging materials are minimized per unit of goods sold.
- Operation attempts to develop new ways to distribute product that further minimize the need for individual unit packaging.
- Packaging materials are made from renewable resources.
- Packaging materials clearly indicate that they are recyclable.

Product (specify name, size)	Type of packaging material(s)

RECYCLING AND REUSE; WASTE STREAM

(Baseline Requirements-None)

(Improvement Actions)

- Operation reuses materials whenever practical.
- Operation has a policy for recycling materials.
- Operation has a policy to minimize use of non-recyclable materials.
- Operation has a plan and timeline to minimize use of non-recyclable materials.
- Operation seeks out avenues/markets to recycle currently non-recyclable materials.
- Different components of waste stream have been identified.
- Amounts of each type of waste are quantified (either exactly or approximately)
- Amounts of each type of waste product are monitored over time.

Material	Reused on site? (Y/N)	Percentage recycled	Buyer or End User (if known)	Types not recycled
Paper				
Cardboard				
Aluminum				
Glass				
Plastic bags				
Plastic drums				
Steel drums				
Fiber drums				
Totes				
Other (specify):				
Other (specify):				
Other (specify):				
Other (specify):				

ENERGY COST OF DISTRIBUTION - for Food Alliance certified products:

(Baseline Requirements-None)

(Improvement Actions)

- Operation has a policy toward reducing costs and increasing efficiency of transporting goods to and from the facility.
- Operation strives to source goods from the most local sources possible.
- Operation investigates alternative means of transport and transport fuels (e.g., hybrid power, bio-diesel).
- Operation strives to maximize local sales and/or distribution/disposition of its goods, including recyclables and waste.

Guiding Principle - Safe and Fair Working Conditions

Operators create a work environment with open communication about workplace safety and job satisfaction, with incentives and opportunities for development of employee skills. Consideration and effort is given to improving quality of life for employees and their communities.

HUMAN RESOURCE MANAGEMENT POLICIES

(Baseline Requirements 46-48)

- Operation has a grievance policy, encouraging employees to raise concerns without fear of termination.
 - Policy is written.
- Operation has a policy encouraging employees to suggest ways to improve the workplace.
 - Policy is written.
- Policies/procedures and job expectations communicated to employees prior to start date.
 - Policies are written.

(Improvement Actions)

- Employer keeps records on each employee.
- Operation has a policy expressing a willingness to receive suggestions from third-party representatives.
 - Policy is written.
- Operation has a policy that gives employees flexibility in the case of family emergencies.
 - Policy is written.
- Operation has a termination procedure and policy.
 - Policy is written.
- Workers are given job offer terms/contracts.
- Operation has a safety policy and/or program.
 - Policy is written.
- Other (specify):

MINORS, CHILDREN, AND FAMILY MEMBERS IN THE WORKPLACE

(Baseline Requirement 49)

- Employer only employs legal minors during non-school hours.

(Improvement Actions)

- Employer provides childcare for employees' children.
- Other (specify):

WORK FORCE DEVELOPMENT AND NEW SKILLS TRAINING

(Baseline Requirements-None)

(Improvement Actions)

- Employer has a verbal policy for internal advancement of employees.
- Employer has a written policy for internal advancement of employees.
- Employer provides in-house training and education.
- Employer allows limited unpaid leave for employees to pursue training.
- Employer encourages workplace training by providing paid time off and/or tuition for job-related educational activities.
- Employer offers paid leave to employees for training relevant to required tasks.
- Other (specify):

COMPENSATION PRACTICES

(Baseline Requirements-None)

(Improvement Actions)

- Employer has a system to track piece rate to ensure minimum wage is met.
- Employer has a progressive compensation system, employing at least one of the following practices (Check all that apply):
 - Employer gives bonuses to reward productivity of the group.
 - Employer shares profits.
 - Employer distributes work opportunities fairly and without favoritism .
 - Employer conducts regular performance evaluations, rewarding good performance with pay raises.
 - If employer gives pay advances, a system is in place to communicate expectations and prevent confusion on the part of the employee.
 - Employer gives bonus wages to reward excellent work.
 - Other (specify):

EMPLOYEE BENEFITS

(Baseline Requirements-None)

(Improvement Actions)

- Employer provides one of the following:
 - Health insurance
 - Disability insurance
 - Life insurance
 - Subsidizes cost of or provides transportation to employees
 - Arranges for community groups to provide assistance to workers
 - Sick pay
 - Vacation pay
 - Employer gives bonus wages to reward excellent work
 - Other (specify):

WORKER FAMILY SUPPORT SERVICES

(Baseline Requirements-None)

(Improvement Actions)

- Employer refers workers to community resources for housing and other health and welfare information. Check all that apply:
 - Employer keeps a list of community resources to give to employees.
 - Employer keeps a list of housing opportunities to give to employees.
 - Employer offers childcare services or stipend.
 - Employer participates at a high level (leadership, donations, etc.) in community groups dedicated to increasing housing opportunities.
 - Employer donates money and other resources to local housing groups.
- Other (specify):

WORKER SAFETY

(Baseline Requirements-None)

(Improvement Actions)

- Emergency eye washing facilities are provided near storage, mixing/loading and/or application sites.
- Protective clothing is used and cared for properly.
- Handwashing stations **or** facilities have soap and water.
- Upon inspection all rest room and clothes changing facilities are clean.
- Employers provide safety training consistent with the law.
- Employer contracts with professional firms to provide safety training.
- Employer has developed training checklists specific to jobs to ensure each employee gets training.
- Employer sets goals for safety and tracks success.
- Employer gives bonuses when safety goals are met.
- Other (specify):

COMMUNITY INVOLVEMENT

(Baseline Requirements-None)

(Improvement Actions)

- Employer participates in civic development at a high level (leadership, donations, etc.) in the community.
- Employer donates money and other resources to environmental and social sustainability efforts.
- Other (specify):

Guiding Principle - Continual Improvement

Operators make efforts to improve on each of the Food Alliance Handling Operation Program Guiding Principles on an ongoing basis, with progress measured and evaluated at least annually.

On the preceding pages, you indicated "Improvement Actions" by your operation. Please choose a minimum of one additional Improvement Action from each of the Handling Operation Guiding Principles that you plan to address during your first year of Food Alliance Handler certification, and list below.

(Note: Category III Restricted Handling Operations are exempt from continual improvement requirements.)

Guiding Principle 1 - Purity and Nutritional Value

1-Year Improvement Action:

Guiding Principle 2 - Quality Control & Food Safety

1-Year Improvement Action:

Guiding Principle 3 – Reducing Use of Toxins and Hazardous Materials

1-Year Improvement Action:

Guiding Principle 4 – Resource Management and Recycling

1-Year Improvement Action:

Guiding Principle 5 – Safe and Fair Working Conditions

1-Year Improvement Action:

Section V:Affirmation

As the undersigned, I attest that the information provided in this application is accurate and true. I am the person responsible for the operational decisions of the processor making this application, and I have knowledge of the information contained in this application. I understand that any misrepresentation of the operation described herein may be grounds for denying this application and/or removing my company from the Food Alliance certification program.

Signature

Date

Food Alliance Handling Operation Unique Product Application for Category I & III Handlers

Name of Applicant (company): _____

Name of Applicant's designated

Certification Contact: _____

Facility Address or Food

Alliance ID #: _____

Date of Application: _____

Expected product roll-out date: _____

Name of Unique Product: _____

Please list the name of the product as it will appear on the package label, marketing information, shipping and sales documentation.

Nature of Product: _____

Please provide the product group you wish to categorize this product in (e.g., fresh frozen vegetables). If you wish to have this product listed in multiple categories, please list them all.

Product Identification Codes to be used for internal and external tracking:

Product Identification Code:	Unit Weight or Unit Volume (e.g. 10 lbs or 5 gal):	Estimated Units/Year Output:

Food Alliance requires that all certified handlers submit copies of marketing and labeling information for all unique products bearing Food Alliance certified content claims. Labels are required for each pack size of a unique product. You may use any of the following formats: full color labels not affixed to product, actual size color photo copies of labels, or electronic files used to directly print labels (provided Food Alliance can view the files).

- Labels used to identify this (these) product(s) are being sent with this application.
- Labels are not yet available, but will be sent to Food Alliance for approval prior to use.

Type of certified content claim desired for this product (See Food Alliance Labeling Rules for Packaged Products):

- "Food Alliance Certified." Must contain at least 80% Food Alliance certified ingredients*.
- "Made with Food Alliance Certified Ingredients." Must contain at least 50% Food Alliance certified ingredients*.
- "Containing Some Food Alliance Certified Ingredients." Must contain at least 25% Food Alliance certified ingredients*.

* Percentage does NOT include salt and water.

Ingredient Compliance Documentation:

- Handler has a current Certification Letter or Certificate on file for all ingredients bearing Food Alliance certified content claims.
- Handler has Ingredient or Additive Statements* on file for each ingredient or additive not bearing a Food Alliance certified content claim.

*Ingredient or additive statements may be in the form of a Letter of Guarantee from ingredient supplier or product specification sheet verifying that no Food Alliance prohibited item is present in the ingredient. See Food Alliance Handling Operation Certification Standards for a list of allowed additives.

