CERTIFICATION SCHEME FOR FRUIT PRODUCTS (CSFP)

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1. INTRODUCTION

1.1. Export Inspection Council of India (EIC), the official certifying body of the Govt. of India for exports was set up under the Export (Quality Control and Inspection) Act, 1963 which was enacted to ensure the quality of export products through quality control and inspection.

1.2. For the purposes of development of export trade of India and to certify the quality of fruit products, the Government of India, Ministry of Commerce & Industry, vide Order & Notification No. S.O.1420 dated 20.05.1978 notified fruit products shall be subject to quality control and inspection prior to export. The types of Quality Control and Inspection which shall be applied to such fruit products prior to export shall be in accordance with the Export of Fruit Products (Quality Control and Inspection) Rules, 1978 published in the Gazette of India, Part II, Section 3, Sub-section (ii) vide notification number S.O. 1421 dated 20.05.1978 and as amended vide notification number S.O. 1627(E) dated 14.07.2011.

1.3. In order to facilitate the smooth functioning of the export from India and to certify quality of fruits products, a certification scheme has been developed. This scheme allows for two systems of inspection & certification, namely i) Consignment Wise Inspection (CWI) System and ii) Food Safety Management Based Certification (FSMSC) System.

2. SCOPE

The scheme covers all fruit products as defined under section 3 (iii) of Export of Fruit Products (Quality Control and Inspection) Rules, 1978 and given below:

1. Synthetic beverages, syrups and sharbats;
2. Vinegar, whether brewed or synthetic;
3. Pickles;
4. Dehydrated fruits and vegetables;
5. Squashes, crushes, cordial, barley water, barreled juice and ready-to-serve beverage, fruit nectar or any other beverages containing fruit juices or fruit pulp;
6. James, jellies and marmalades;
7. Tomato products, ketchup and sauce;
8. Preserved, candied and crystallized fruits and peels;
9. Chatneys;
10. Canned and bottled fruits, juices and pulp;
11. Canned and bottled vegetables;
12. Frozen fruits and vegetables;
13. Aerated waters containing fruit juice and pulp;
14. Fruit cereal flakes; and
15. Any other unspecified item related to fruits or vegetables.

3. CONSIGNMENT WISE INSPECTION (CWI) SYSTEM

3.1 General

Under the consignment wise inspection (CWI), the export consignments shall be inspected by Export Inspection Agencies (EIA) prior to dispatch. Under this system, samples are drawn, as per approved sampling plans, inspected for verifying the conformity of the consignment to the standards of the importing country or Codex standards or standards required by the buyer subject to these being not lower than those of the importing country. In case none of these standards exist, testing can be done as per the standards laid down for the fruit product in Food Safety and Standards (Food Products Standards and Food Additives) Regulation, 2011. Tests will be carried out in the EIA laboratories or any other approved laboratory. The certificate of inspection will be issued by Export Inspection Agencies only after the consignments clear the field inspection as well as the relevant laboratory tests.

3.2 Criteria for conformity / basis of inspection

- Implementing GHP/GMP at all stages of production, Processing, Packaging or Storage, as applicable.
- Product conforming to importing country's requirement/Codex requirement/ buyer's requirement/standards if not less than the importing country's requirement/ relevant Food Safety and Standards (Food Products Standards and Food Additives) Regulation, 2011.

3.3 Packing

The commodity intended for export shall be packed in food grade packing material with following information given on cartons:

1) Name & address of the exporter
2) Variety & grade (if any)
3) Lot No.
4) Gross mass & net mass
5) Country of Origin
6) Shipping Mark
7) EIC/EIA Logo

3.4. Procedure to be followed

3.4.1 Notice of Inspection

3.4.1.1 An exporter intending to avail this certification is required to submit "Application for Inspection under CWI System", in duplicate as per proforma given at **Annexure-I,** along with a bank draft for the required fee, copies of invoice, and the purchase order along with contractual specification, if any, as well as the relevant standard(s) of the importing country, to the nearest office the Export Inspection Agency (EIA).

3.4.1.2 The Application for Inspection under CWI System need to be given by the exporter to the concerned EIA,

a) before ***three working days*** if the inspection is to be carried out at the establishment situated at the same station where the office of the Export Inspection Agency is located, and
b) before ***seven working days*** if the inspection is to be carried out at the establishment, which is not situated at the same station where the office of the Export Inspection Agency is located.

3.4.2 **Place of inspection**

The inspection will be carried out by Export Inspection Agency either at the port of shipment or at any premises of exporter, provided adequate facilities for the inspection exist therein. It will be the responsibility of the exporter to provide all the facilities for inspection. In addition to the inspection at the premises, the Agency will have the right to exercise such supervision of the inspected consignments at any place of storage, in transit or at the port before the actual shipment, including drawl of samples for laboratory analysis, as it may deem fit.

3.4.3 Procedure of inspection

3.4.3.1 On receipt of the Application for Inspection under the CWI System, the Export Inspection Agency will depute an officer to inspect the consignment and draw samples for laboratory examination. The officer deputed for inspection shall verify the consignment physically to ensure the export worthiness of the same and assess the adequacy or otherwise of the sanitary and hygienic condition of storage.

3.4.3.2 The selection of packages/cartons for inspection will be done at random. For the purpose of drawing samples, the inspection officer will select the bags according to the method described in ***IS 4905: 1968*** *(Method of Random Sampling)*, ***IS 2: 1960*** *(Rules of Rounding Off numerical Values)* and Sampling Method of Commodity (intend to export) as per the Indian standards.

3.4.3.3 The samples drawn as per 3.4.3.2 above will be mixed homogenously which will be divided into three parts and filled in sterile sample container made of suitable food grade material. Sample container will be sealed using lead seal and sealing pliers bearing EIC monogram as a mark of identification of the sampled bags and one sample may

transported to the laboratory in cold chain/ambient condition, as per product requirement, along with the laboratory intimation form **(Annexure II),** duly filled in. Out of remaining two samples one shall be kept at concerned EIA as "reference sample" and other sample is given to exporter as "exporter's sample'. In case of dispute(s), if any over the test results, retesting can be allowed using the 'reference sample', for which the exporter shall submit a written request and also pay the requisite testing charges to the concerned EIA.

3.4.3.4 On completion of inspection, sealing and drawl of samples, the inspecting officer will prepare a *Field Inspection Report* (FIR) in respect of each consignment **(Annexure III)** inspected.

3.4.4 Testing of samples in the laboratory

The samples received in the laboratory will be analysed for different parameters mentioned in the laboratory intimation format, which shall be based on standards of the importing country or Codex standards or standards required by a buyer subject to these being not lower than those of the importing country. In case none of the standards exist, testing can be done as per the standards laid down for the fruit product in Food Safety and Standards (Food Products Standards and Food Additives) Regulation, 2011. Lab report will be submitted to EIA. Laboratory testing charges will have to be borne by the applicant (exporter/processor).

3.4.5 Certificate of inspection

3.4.5.1 Export Inspection Agency on satisfying itself that the consignment of the fruit products conforms to the standard specifications recognized for the purpose on the basis of inspection and testing carried out in the manner laid down by the Council, will issue the "Certificate of Inspection" as per **Annexure IV** declaring such consignment of the fruit products is exportworthy. The first two copies of the certificates will be given to the exporter, third copy sent to Export Inspection Council, New Delhi and the fourth copy retained by the Agency for its official records.

Provided that if the Agency is not satisfied, it shall refuse to issue the certificate to the exporter and communicate such refusal in writing as per **Annexure V** within a period of ten days from the date of inspection alongwith reasons therefore.

3.4.5.2 Validity of certificate of inspection

The inspection certificate shall be valid for a period of forty five days.

3.4.6 Issuance of health certificate & attestation

The EIA shall issue health certificate based on reports (given below) of the unit, in the format given at **Annexure-VI** or any other format certifying additional condition, if any, based on importing country's requirement. Health Certificate may be issued on conformity of satisfactory results of:

- Laboratory test(s) conforming to the parameters described in the standard together with microbiological tests (if applicable).
- Laboratory test(s) for the additional parameters to be indicated in the health certificate clearly indicating about compliance of the consignment as per the requirement of importing country/codex.
- Field inspection report (FIR).

4 FOOD SAFETY MANAGEMENT SYSTEM BASED CERTIFICATION SYSTEM

4.1 Criteria for conformity/ basis of certification

- It shall be the primary responsibility of the exporter to ensure that the Fruit Products intended for export is prepared, processed and preserved at all stages of production, storage and transport based on Good Manufacturing Practices (GMP) and Good Hygienic Practices (GHP) and the fruit products intended to export conforms to the standard specification recognised under the Export of Fruit Products (Quality Control and Inspection) Rules, 1978 and any other restrictions imposed by the Central Government or, as the case may be, the State Government in respect to commercial, environmental or conservation measures, from time to time.

- Product conforming to importing country's requirement/Codex requirement/ buyer's requirement if not less than those of the importing country or relevant Food Safety and Standards (Food Products Standards and Food Additives) Regulation, 2011, as applicable.

4.2 Procedure for application for approval under FSMSC system

4.2.1 The exporter intending to export Fruit Products shall apply in writing in the format given at **Annexure VII**, in triplicate, along with necessary documents, to the nearest office of the Export Inspection Agency for approval of its establishment including their facility to process Fruit Products for exports.

4.2.2 The prescribed fee of Rs. 5,000/- for approval shall also be paid by the applicant by way of Demand Draft drawn in favour of the concerned EIA.

4.2.3 The application shall be accompanied by the following documents:

a) Brief description of the product (s) as well as detail of processing.
b) Operation manual / HACCP manual (if existing), including Sanitary Standard Operating Procedures (GMP/GHP broadly as per Codex guidelines) and an organisational chart.
c) In the case of establishments meant for export to the EU, attested/certified copy of test report from EIA lab/EIC approved lab in respect of water complying with EC directive No.98/83/EC dated 3.11.1998 used during processing activities.(not later than 6 months). However, in the case of establishments meant for export to countries other than EU, the water needs to be tested as per IS: 4251, not later than 6 months. (Other than radiological parameters) from EIA Lab/EIC approved laboratory.
d) Layout plan of the establishment in A-4 size paper.
e) Process flow chart.
f) Plumbing diagram.
g) List of machineries involved in manufacturing.
h) Testing facilities in establishment
i) Certified copies of documents proving legal identity of the applicant's establishment and scope of their operations.
j) Certified copy of lease agreement for the premises and building, where necessary.
k) Bio-data of the technologist(s)/ chemists working in the establishment.
l) Certified copy of valid License granted to establishment under Food Safety and Standards Act, 2006.

4.3. Processing the application for approval

4.3.1 The application received from the applicant shall be scrutinised and the discrepancies /shortcomings observed shall be immediately communicated to the applicant for rectification by EIAs.

4.3.2 The application, complete in all respects, shall be forwarded to the Convenor of the Inter-Departmental Panel (IDP) for arranging assessment of the unit. Convenor IDP shall be an officer of EIA, not below the rank of Deputy Director nominated by the Joint Director, EIA.

4.3.3 The Convener- IDP shall ensure that assessment of applicant's establishment by IDP is carried out within 15 days of receipt of their application complete in all respect.

4.3.4 Applicant establishment will bear travel, boarding and lodging expenses of all IDP members.

4.3.5 The Inter-Departmental Panel shall consist of at least ***two members*** to include representatives of EIC, FSSAI, MoA, APEDA or any suitable technical expert from those empanelled for the purpose having sound expertise on the fruit products. The composition and size of the IDP shall however depend on the size of the establishment to be assessed.

While constituting the IDP, the EIAs shall keep in view that there is no conflict of interests with any member having direct or indirect dealings with the applicant's establishment.

4.3.6 The IDP shall submit its report as per the format given at **Annexure – VIII** to the EIA-Head, within 3 days of completion of visit to the applicant's establishment. The recommendations of the IDP shall clearly state whether the establishment is to be approved or not.

4.3.7 In case the establishment is recommended for approval by the IDP and its recommendation is accepted, the EIA- Head, shall arrange to take the following actions:

a) Allot an approval number to the establishment. The approval number shall be unique for each establishment based on the following numbering system:

S No.	Agency	Approval No
1	EIA-Mumbai	CSFP – 1 - No. / year of approval
2	EIA-Kolkata	CSFP – 2 - No. / year of approval
3	EIA-Cochin	CSFP – 3 - No. / year of approval
4	EIA-Delhi	CSFP – 4 - No. / year of approval
5	EIA-Chennai	CSFP – 5 - No. / year of approval

(No. shall be allotment in serial order ie. 001,002.....)

b) Issue a letter of approval to the establishment as per format at **Annexure–IX** with a copy to EIC with necessary information to issue Certificate of Approval as **Annexure-X.**

c) Open a file for each of the approved establishment in 3 parts as follows.

Part A - Application for approval/renewal in original & related correspondence.
Part B -- Monitoring file containing monitoring reports of unit & test report (if any)
Part C -- Finance file & Health/Inspection certificate file.

This file will bear number CSFP -- followed by EIA No. and the approval number of the plant (for example CSFP–1-- 001 (part A) and year of approval.

4.3.8 In case, the IDP does not recommend for approval, EIA-Head, shall intimate the rejection including the reasons for which applicant's establishment was not considered fit for approval through a letter as per **Annexure-XI** to the applicant, within 7 days of the receipt of the IDP's report.

4.4 Procedure to be followed in case the approved processing establishment that temporarily suspends its production.

4.4.1 When an approved establishment decides to suspends its processing activities temporarily for a period exceeding 30 days for reasons such as:

(i) general repairs / routine maintenance
(ii) improving their hygiene and sanitary conditions
(iii) identifying the cause of contamination and taking corrective action to prevent recurrence
(iv) major alteration/ construction work etc.
(v) any other activities, which may result in change in production flow or scope for contamination of product/water etc

4.4.2 The processing establishment shall intimate the date from which it intends to suspend its operation, the purpose and the probable date by which it intends to resume production.

4.4.3 On receipt of the intimation, EIA may discontinue monitoring visits to the establishment. The establishment shall not commence production for export without intimating EIA in advance.

4.5 Validity of approval

The validity of Certificate of Approval shall be for a period of ***two years*** from the date of issue of the letter of approval by the EIA subject to the condition that the establishment continues to meet the requirements laid down under Certification Scheme for Fruit Products (CSFP) and hold valid FSSAI license. **In the event of cancellation/suspension of FSSAI's license for the establishment, EIC's certificate of approval for the establishment will stand automatically cancelled/ suspended.**

4.6 PROCEDURE FOR APPROVAL OF ADDITIONAL FACILITIES/ ACTIVITIES OF APPROVED ESTABLISHMENT

4.6.1 The approved establishments seeking approval of additional facilities/activities shall submit their application in the prescribed format placed at **Annexure XII** in duplicate along with relevant documents as mentioned in the application form to the controlling local office of the Export Inspection Agency and also with the application fee as prescribed in clause 5.

4.6.2 Application(s) received shall be scrutinised and the discrepancies / shortcomings observed shall be immediately communicated to the applicant for rectification. In case of the approval of additional processing activity, the revised HACCP plan addressing the new activity shall be submitted to the EIA concerned along with the process flow chart for verification. Adequacy audit of the HACCP manual with respect to the additional activities shall be done by EIA officer(s) authorized by the In-charge of the Agency.

4.6.3 Applications complete in all respect shall be forwarded to the Head office of EIA. The In-charge of the Agency shall decide whether the assessment of the establishment to be

carried out by the IDP or by the In-charge of food scheme / EIA official, depending upon the nature of additional facility/activity requested for approval.

4.6.4 The Convener-IDP/In-charge of Food Scheme shall ensure that assessment of the additional facility/activity of applicant establishment is carried out within fifteen working days of receipt of their application complete in all respect.

4.6.5 The prescribed Assessment Report Format placed at **Annexure XIIA** shall be used for reporting the observations.

4.6.6 In case any major or serious deficiencies are observed during assessment, these shall be brought to the notice of the establishment through the NCR (**Annexure XVA**) for taking corrective action within an agreed time period, maximum of one month. The rectifications conducted by the establishment are verified by either the IDP or by the Convenor of the IDP/ EIA official as may be decided by the Incharge of Agency concerned. The report and recommendations shall be submitted to the In-charge of the EIA concerned within three working days of completion of the assessment of the applicant's establishment. The recommendations shall clearly state whether the additional facility/activity is recommended for approval or not.

4.6.7 The In-charge of the EIA concerned shall examine the assessment report of the IDP/In-charge of the Food Scheme.

4.6.8 In case the IDP/In-charge of the Food scheme/ EIA official recommends the additional facilities/activities for approval, the In-charge of EIA shall approve the additional facility/activity and inform the unit concerned within three working days of the receipt of the assessment report.

4.6.9 In case the IDP/In-charge of the Food Scheme/senior EIA official does not recommend approval, the In-charge of the EIA concerned shall convey to the applicant, within seven working days of the receipt of the IDP report, the reasons for which the additional facilities/activities of the establishment have not been approved.

Note: In case, the processor wants to incorporate the additional process activities in the certificate of approval, the original certificate of approval issued earlier shall be submitted to EIA for incorporation of the new process activities.

4.7 Renewal of approval of approved establishments

4.7.1 The approved establishment seeking renewal of approval shall submit an application at least 60 days before expiry of the earlier approval to the concerned EIA in the format prescribed at **Annexure-XIII** along with the other concerned documents and application fee of Rs. 5,000/- by way of demand draft drawn in favour of the EIA concerned.

4.7.2 The application received shall be processed as per the procedure given from Clause 4.1 to 4.3 for renewal of approval of the approved establishment and the IDP's report shall be submitted in the format given at **Annexure VIII.**

4.8 Approval of Technologist

4.8.1 The Inter Departmental Panel (IDP) shall grant the approval of Technologist(s) only after satisfactory assessment. For this purpose, an individual intending to get approval as a Technologist shall submit an application in duplicate, as per the format given at **Annexure XIV** along with fee as prescribed in clause 7, to the controlling office of EIA.

4.8.2 The Head office of EIA shall arrange assessment of the Technologist by the IDP, constituted as per clause 4.3.5, who shall submit the report as per the format given at **Annexure XIVA.** On approval of Technologist, a certificate of approval shall be issued as per the prescribed format placed at **Annexure XIVB** by the EIA concerned.

4.8.3 The approval granted to the Technologist is valid for two years from the date of approval and after two years the Technologist shall apply afresh to the controlling office of EIA along with the required assessment fee as prescribed in clause 7, for re-assessment of the Technologist by the IDP.

4.8.4 In case an approved Technologist of an establishment shifts to another processor, there shall be no need for fresh assessment. The processor shall inform the EIA of any change in technologist.

4.9 Monitoring and control

4.9.1 Monitoring by establishment

4.9.1.1 It is the primary responsibility of the exporter or establishment to ensure compliance to the requirements and to ensure safety and wholesomeness of the product based on HACCP principles, Good Manufacturing Practices (GMP) & Good Hygienic Practices (GHP) as per standards given in **Appendix A.**

4.9.1.2 The exporter or establishment shall exercise all controls required as per requirements and maintain consumer records thereof in respect of the following broad areas.

- Hygienic requirements relating to the premises
- Structure and layout.
- Pest control (Prevention, extermination, use of chemicals).
- Maintenance
- Cleaning and sanitation
- Personnel hygienic
- Rest rooms

- Water management
- Chemicals
- Lighting and ventilation
- Waste disposal including effluent treatment
- Good Manufacturing Practices (GMP)
- Packing

4.9.1.3 The exporter or establishment shall ensure compliance of the product as per the standards of the importing country or Codex standards or standards required by a buyer subject to these being not lower than those of the importing country. In case none of the standards exist, standards as per Food Safety and Standards (Food Products Standards and Food Additives) Regulation, 2011, as applicable.

4.9.1.4 Routine laboratory testing of process control samples/finished product samples/ sanitation control samples shall be carried out in the laboratory of the processing establishment or in any approved laboratory.

4.9.1.5 The exporter or establishment shall exercise suitable control on quality of the incoming raw material in their premises. In addition the exporter or establishment shall take care of the quality of packing material used, equipments and general sanitary and hygienic conditions in the establishment.

4.9.1.6 **"Q mark" on the packages**- The exporter or establishment may use Q Mark on packages as per the following pattern given below together with approval number (in center):

4.10 OFFICIAL CONTROL BY THE COMPETENT AUTHORITY

Strict confidentiality shall be maintained in all the official control visits and the establishments should not be given prior information about the visit. The visits shall be conducted unforeseen and unexpected. For proper official control, a three-tier surveillance system will be followed as per details given below:

4.10.1 **Monitoring by EIA officials**

4.10.1.1 EIA officials shall carry out periodic monitoring of the fruit product processing establishments to ensure that

i. All the approved facilities are being maintained by the establishment as per requirements
ii. All the regulatory requirements and those specified by the importing countries are being complied with and
iii. The products processed in the establishment conform to specification.

4.10.1.2 An officer of the level of Assistant Director / Technical Officer, authorised by the controlling officer shall carry out monitoring.

4.10.1.3 The monitoring officials shall verify the own checks system adopted by the unit at all stages of production starting from raw material reception to final despatch of the consignment, for which it is essential that unit shall have production at the time of visits. If there is no production in the unit at the time of visit, the processing activity of the unit shall be assessed during subsequent visit.

4.10.1.4 Frequency of monitoring of fruit product establishments:

On initial approval of establishments, monitoring visits shall be carried out once in a month. If the performance of the establishment is satisfactory for a year and in the absence of any foreign rejection/complaint, the frequency of monitoring shall be reduced to once in two months.

After satisfactory performance for further one year on the basis of surveillance visits and in the absence of foreign rejection/complaint, the frequency of monitoring shall be reduced to once in three months.

When the establishments have not exported for at least for at least 6 months, the frequency of monitoring visits and supervisory visits by EIA shall be once in 6 months and once in a year respectively.

In case, at any stage, non-satisfactory performance on account of any major deficiency is observed during monitoring, the monitoring frequency shall be increased to once in a month. The performance of the unit, whose monitoring frequency has been increased to once in a month on account of non-satisfactory performance, shall be reviewed after **one year**. If the performance of the unit during one year is found satisfactory and if there is no foreign rejection/complaint during the period, the frequency of monitoring shall be reduced to once in two months. Further review of frequency of monitoring shall be done after a year as per the above procedure. The responsibility for periodical review of performance of units and submission of recommendations to the in-charge of EIA shall be that of the controlling field office/ sub office of EIA. The re-fixation of monitoring frequency shall be done by the in-charge of the Agency. Each EIA shall maintain office-wise records showing name, approval number and frequency of monitoring.

4.10.1.5 Areas of monitoring

The monitoring shall broadly focus on: -

- *Facility checks*: to ensure that all the approved facilities are being maintained by the unit. This also includes verification of sanitary and hygienic conditions prevalent at all sections of the unit.
- *Verification of traceability*: This includes the verification of records maintained by the unit to ensure traceability of products.
- *Verification of compliance to the GMP and GHP* to ensure that the unit has complied with the GMP/GHP requirements and also controls exercised by the unit are adequate and effective.
- *Verification of testing and lab practices*:- to ensure that the sampling procedures and test methods adopted by the establishment are adequate and reliable. This includes good lab practices followed in in-house lab of the unit, effectiveness of lab chemicals, reliability of testing etc.
- *Verification of records*:- to ensure that the records maintained by the unit are in order and cover all the controls exercised by the unit.
- *Fraud control:*- to ensure that the unit is not violating the laid down norms. This includes violations with respect to export of fruit products processed in un-authorised places, storages of fruit products from other establishments without prior permission, misuse of CFE, improper labelling, exceeding capacity limits etc.
- *Drawl of official samples*:- to ensure the wholesomeness of the products and effectiveness of cleaning and sanitation. This includes drawl of sanitary samples, samples for testing microbial parameters, organoleptic checks etc. and residual parameters, whenever required.

4.10.1.6 Reporting system

After completing the monitoring, the report shall be prepared in the Monitoring Report Pro-forma (**Annexure XV)**. The reports shall be submitted to the controlling office of EIA within three working days of the visit along with Non Conformity Report (NCR) as per **Annexure XVA** and Suggestions for Improvement (**Annexure XVB)**, if any.

Sub Office shall send a copy of Monitoring Report, test report, NCR and Suggestion Report to HO on monthly basis for all the establishments. In case of failure of the samples, it shall be intimated to the processor. Test reports can also be given to the processor if specific requests have been made for the same.

Formats of Non Conformity Report (NCR) and Suggestion Report are placed at **Annexure XVA** and **Annexure XVB** respectively. This format shall be used during monitoring visits/supervisory visits as well as in other surveillance visits.

Non-conformities observed during the surveillance visits shall be recorded in the NCR and shall be provided to the establishment for taking corrective action/rectification of

deficiencies within an agreed time period, which is determined, based on gravity of the deficiencies. The monitoring official shall also mention in the NCR, the earlier deficiencies which are not rectified by the unit. The monitoring report along with the copy of NCR shall be submitted to the controlling officer of the sub-office or to the Deputy Director (In-charge) of Food Division/Scheme within three working days for scrutiny, acceptance and follow up action.

In case of sub-office, copy of the Monitoring Visit Reports along with relevant laboratory analysis reports shall be sent to EIA-HO for records.

4.10.2 Supervisory visit

Supervisory visit shall be carried out by an officer of the level of Deputy Director and above from the Agency concerned having adequate experience in operation of Food Scheme. The frequency of supervisory visits shall be once in six months.

The Supervisory visit shall be conducted for

1. checking the documentation and compliance of the requirements of the EC Directives in case of EU approved units and GOI Notifications,
2. performance of the monitoring visits carried out by the monitoring officers.
3. performance of the tasks carried out by the approved technologist (s)

Samples if any, drawn during such visits shall be sent to the laboratories of Agency concerned. Test report shall be made available within one week. The report of supervisory visit shall be submitted within three working days to the In-charge of the Agency concerned.

In addition, the availability of water test reports from EIA laboratory or EIC approved laboratory for complete testing as applicable shall be checked

The pro-forma of Supervisory Visit Report is given at **Annexure XVI**

A copy of each Supervisory Visit Report shall be maintained in the files of Export Inspection Agency HO as well as controlling sub-office.

4.10.3 Corporate Audit

Audit of each Agency will be carried out at the frequency of at least once in a year. The main objective of the corporate audit is to ensure uniform implementation of the rules and regulations issued by the Competent Authority and shall comprise:-

- Examination of records of processor maintained by the Agency like reports of visits, lab reports, approval/renewal of approval etc.
- Visit by the audit team to at least 10% of the approved establishments, subject to a minimum of one.
- The audit team shall comprise of at least two officers from the other Agency (ies) and/or EIC, of the level of Deputy Director having adequate experience in operation of Food Scheme or in unavoidable circumstances, senior Assistant Director having adequate

experience in operation of specific Food Scheme, as nominated by Director (I&QC). If required, experts from outside can also be included in the corporate audit team. The report of audit shall be submitted to Director (I&QC) as per format specified at **Annexure XVII.**

4.11 GUIDELINES FOR DEALING WITH UNSATISFACTORY MONITORING OR OTHER VISIT REPORTS AND / OR TEST REPORTS AND VIOLATIONS

4.11.1 Deficiencies.

a) The deficiencies, which do not affect the wholesomeness (food safety) of the fruit product, shall be considered as minor deficiencies and those which affect the safety of the fruit product shall be considered as major deficiencies.

b) A number of minor deficiencies or repeated minor deficiencies indicating a system failure would also be treated as major deficiency.

4.11.2 Actions to be taken in case of deficiencies observed

4.11.2.1 In case of minor deficiencies observed during the visit, the non-conformities shall be communicated to the processor through the NCR and EIA officer shall verify the corrective actions taken by the processor, during the subsequent visit. However, if the processor fails to rectify the defects within the agreed time period, then the action specified at 4.11.2.2 shall be followed.

4.11.2.2 In case of major deficiencies observed during the visits, the explanation of the processor may be called with time frame for rectification. Further, any one or more of the following actions may be taken depending on the nature of deficiencies, with approval of the Director, EIC.

(i) The processor may be placed under consignment-wise inspection until the rectification is carried out and verified to EIAs satisfaction by an on-site visit by Deputy Director level officer.

(ii) The processor may be advised to suspend production and export until rectification is carried out and verified by an on-site visit by Deputy Director level Officer. However, during the suspension period production may be permitted if requested by the processor, in un-avoidable circumstances with the approval of the Competent Authority under the supervision of an EIA Officer for which fee applicable for deputation of an officer has to be paid by the processor as per clause 5, to the EIA concerned.

- Revocation of suspension, if required as per (ii) above, shall be done with due approval of Director (I &QC).

4.11.3 Action against violations

In case of violations, such as (i) misuse of Certificates for Export (CFE) (ii) Storing of fruit products at un-authorised premises (iii) Non-payment of monitoring fee (iv)

processing of fruit products in unauthorised establishments (v) major failure in meeting GMP/GHP/HACCP etc., have been detected, the following penalties shall be imposed on the defaulting unit by the Competent Authority with due approval of the Director (I&QC).

a. A show - cause notice shall be issued by the EIA to the unit, for which the unit has to submit a reply within one week along with a statement of stock declared as on date. Meanwhile, the Competent Authority would suspend the Export production of the fruit products in the establishment from the date of the issuance of the letter. No production is allowed during that period. However, stock in hand may be allowed to be exported in special cases after due consideration with the written permission of the C.A.
b. If the same violation is observed for a second time in the same unit, the unit would be suspended from production and exports for a period of three months.
c. If the same violation is reported for a third time or more than two malpractices reported in a period of six months, Competent Authority may withdraw the approval granted to the unit.
d. When the show cause notice is issued by the EIA, processor may contact the competent authority, if he/she wishes so, to explain his/her side.

4.12 Issuance of certificate of inspection

The approved establishment shall issue "Certificate of Inspection" for every export consignment. Blank Certificates books may be obtained from the concerned Export Inspection Agency at a cost of Rs.20/-. EIAs will issue blank certificate forms (format attached at **Annexure-IV**) to the approved establishment on demand, subjected to availability and upon the establishment meeting the eligibility conditions for receiving the same.

4.13 Validity of certificate of inspection

The inspection certificate shall be valid for a period of forty five days.

4.14 Issuance of health certificate & attestation

The EIA shall issue health certificate based on continuous satisfactory performance of the establishment, in the format given at **Annexure-VI** or any other format certifying additional conditions based on importing country's requirement, on request by the processor subject to the submission of the following documents

- Copy of the Certificate of Inspection for the concerned consignment issued by the processor
- Testing data of the parameters described in standard.

- Laboratory test reports for the additional parameters to be included in the health certificate clearly indicating the compliance of the consignment as per the requirement(s) of importing country/codex.

A fee of Rs. 100/- will be charged for each health certificate.

5 FEE STRUCTURE

5.1 The prescribed fee shall be paid in the form of Demand draft / banker's cheque in favour of Export Inspection Agency concerned or through the deposit account held at the Export Inspection Agency concerned as applicable.

Sl. No.	Activity	Fee (in Rs.)
1.	Application for approval / renewal of approval of establishment	Rs.5000/- along with application
2.	Application for approval of additional activity / facility	Rs.5000/-
3.	Application for approval / renewal of approval of Technologist	Rs.2000/-
4.	Monitoring fee under FSMSCS	@ 0.2% of FOB value subject to minimum of Rs. 500/- per consignment of fruit products
5.	Countersigning of Certificate for Export (CFE) for Merchant Exporter	Rs.100/- as Service Charge
6.	Consignment-wise Inspection on account of official control	@ 0.4% of the FOB value subject to minimum of Rs. 500/- per consignment of fruit products + Testing charges
7.	Issue of Health Certificate	Rs.100/-
8.	Issuance of corrigendum or addendum or clarification to Health Certificate	Rs.100/-
9.	Issuance of Health Certificate in Foreign Language other than English	Rs.100/- + other actual expenses
10.	Verification of corrective actions/measures taken by the establishment on account of complaints or major deficiencies	Rs.2000/- per man-day
11.	Deputation of an officer to verify reprocessing /rectification of deficiencies on account of complaints or major deficiencies	Rs.2000/- per man-day
12.	Visit for additional monitoring / drawing samples for testing on account of complaint for importing countries	Rs.2000/- per man-day + Testing charges
13.	Drawing samples at the request of the processor	Rs.2000/- per man-day
14.	Certificate for Export (CFE) blanks	Rs.20/- per set

5.2 Mode of payment

Every approved establishment must have a passbook with deposit account, operating with EIAs to debit inspection fee. No blank form of Certificate of Inspection shall be issued to the approved establishment unless there is a minimum balance in the passbook of the processing establishment.

6. PROCEDURE TO BE FOLLOWED FOR COMPLAINTS RECEIVED FROM IMPORTING COUNTRIES

6.1 General

When a complaint is received from the importing country or a consignment of fruit product is detained or specific control measures are imposed by the importing countries on food safety grounds such as product contamination with pathogenic micro-organisms or with residues (antibiotic, pesticides, etc.) or any complaint due to failure in quality parameters, the following procedure shall be adopted in order to prevent recurrence and deal with the rejected consignment.

6.2 In case of receipt of information directly by the exporter regarding rejection of the cargo by overseas health authorities in any importing country, the exporter shall inform the EIA concerned immediately with a copy to Export Inspection Council of India (in case of Merchant exporter, a copy of the communication will also be sent to the manufacturer/ processor).

In case of receipt of complaint at EIC it shall immediately be referred to the EIA concerned. EIC may simultaneously seek complete details from the complainant.

6.3 The processing unit shall immediately be placed 'on alert' by the EIA concerned, which will mean

- frequency of monitoring visit shall be increased to two visits/month.
- In case the situation is due to in-process contamination or the situation is due to environmental contamination or use of prohibited substances etc. ten consecutive consignments shall be subjected to consignment-wise testing for the specific contaminant. For this purpose samples are drawn from all the batches of the consignment to make a composite sample. In case of rejection due to failure in quality parameters, next ten consignments are inspected for organoleptic factors, microbiological factors. The inspected consignments shall be allowed for export to EU or Non- EU, only after satisfactory test results of the EIA-laboratory or EIC approved laboratory for the specific parameter(s). However, if the consignment fails for any of the parameters tested, the consignment may be re-tested batch wise on request from the exporter/ manufacturer and only those batches, conforming to the specification for specific parameter(s) shall be allowed for export.

- The increased monitoring frequency shall be discontinued at a stage where the four consecutive monitoring visit reports and test reports are satisfactory.

Note: Charges as per clause No. 5 shall be paid by the processor for the every additional visit for monitoring/sampling for re-testing, if any. Cost of testing and retesting, if any, of ten consecutive consignments, shall also be borne by the processor.

6.4 EIA shall seek complete information in detail about the consignment in question from the processor as given below:

a) Full particulars of the consignment such as product name, quantity, batch no./grade list along with attested copies of related documents such as purchase order/ letter of credit, certificate for export, health certificate, bill of lading, test reports etc. and also source of raw materials used for processing and export details. (Details regarding prices need not be furnished by the exporter/processor).
b) Details of whereabouts of the consignment.
c) The particulars of fruit products held in stock.
d) If the processor has got the consignment in question, analysed independently or surveyed by an independent surveyor, in the country where it was detained, the copies of such test/survey reports shall be made available to the competent authority for examination.
e) Corrective action(s) proposed/taken by the processor to prevent recurrence of the problem.

6.5 EIA shall immediately arrange a visit by a panel of experts (within a week) to the processing unit for

- Collection of information as required in **6.4** above, if the same has not been furnished in time.
- Assessment of the processing establishment to determine the cause of specific contamination.

Assessment of the processing establishment shall be carried out by a team of two senior officers from EIA. During the assessment the following shall be checked:

a) The implementation of HACCP with respect to the specific contaminant/ contamination.
b) The Controls to prevent specific contamination in the product and appropriate laboratory analysis for the verification of the same.
c) The Corrective action(s) proposed/taken.

In addition, appropriate samples of swabs for sanitation and Hygiene control; raw material, water, feed, in-process product, finished product, etc., as applicable for cause of contamination may be drawn and tested in EIA laboratory /EIC approved laboratory.

Note: *During assessment, it may be necessary to assess GMP and personal hygiene with specific reference to the cause of rejection. It may not be necessary to have a fresh assessment related to infrastructure facilities and other aspects of HACCP. Sanitation*

and hygiene control samples, additives etc. need only to be tested in relation to the specific cause of rejection.

6.6 Based on the assessment, the team shall prepare a detailed report and submit to the Head Office of the EIA. This report shall contain the following information as appropriate and applicable to the specific contamination:

a) Details of checks/controls for the specific pathogen/contaminant on raw materials from different sources and subsequent follow-up action planned and carried out by the processor.
b) Disinfection methods, which are normally carried out in the unit to sanitise equipment/tools used in processing and in handling raw material following GMP.
c) Systems established in the unit to *ensure* hygienic conditions in various phases of processing fruit products.
d) Periodic checks and other controls affected by the unit after the knowledge of product contamination with scope to guarantee the hygienic condition.
e) Adequacy or otherwise of the checks, laboratory testing and other controls on raw materials, in-process products and finished products. Whether disinfectant level of water for various activities are properly maintained, checked at regular intervals and records are maintained. Whether the unit has conducted testing of water at the laid down frequency and records are maintained.
f) Whether or not the processing establishment is capable of producing safe fruit products.
g) Whether HACCP plan is adequate and HACCP-based procedures are in place as per plan
h) Findings on the possible reasons for complaint.

The Head office of EIA shall communicate the deficiencies, if any, observed during the assessment, to the processor in writing for remedial action.

6.7 Dealing with returned consignments

6.7.1 If the consignment has been brought back to India, it shall be stored in an approved storage. The processor shall inform the details of the storage of the consignment to the EIA concerned, which in turn shall be informed to EIC.

6.7.2 On receiving the above intimation the following actions shall be taken:

(a) The local office of EIA shall arrange to get the consignment inspected/tested for organoleptic factors, microbiological factors and chemical factors, as applicable. One composite sample each from every production batch shall be tested for the specific contaminant at two different laboratories. For this purpose, testing shall be done at EIA Laboratory or EIC approved laboratory. The results shall be communicated to the Agency Head Office. The charges for visit and testing shall be payable by the processor as per clause 5.

(b) If all the samples tested from the brought back consignment show negative results for the specific contaminant(s), the In-charge of EIA concerned may take decision to release the consignment for export to the country other than the country/ union of countries where the consignment had been rejected.

Note: Export Inspection Council where considered necessary may inform results to MoCI as well as EC/importing country.

(c) If any of the samples tested from the consignment brought back on account of food safety complaint shows positive results, the processor shall dispose of (reprocess or destroy) the consignment in a manner acceptable to In-charge of EIA concerned.

(d) The schedule of reprocessing shall be furnished to the local Office of EIA by the processor for arranging supervision of reprocessing.

(e) The processor shall offer the reprocessed consignment for inspection by EIA.

(f) EIA shall inspect the reprocessed products batch-wise for all parameters.

(g) The fee for EIA supervision with regard to reprocessing shall be as per clause 7,in addition to the charges towards consignment-wise inspection Testing fee shall be borne by the processor.

Note: *Reprocessing is not applicable in case of rejection due to residues of prohibited substances, environmental contamination, etc.*

(h) If the reprocessed products are found export worthy on inspection, the lots/batches shall be allowed for export to countries other than the country or union of countries where it had been detained prior to its reprocessing.

Note*: In the case of a sample from the returned consignment testing positive for residues, the batches testing positive will not be permitted for exports.*

6.8 If the following points are satisfactory:

a) The consignment if brought back, on account of the complaint and tested for the contaminant is found free of the contamination/ defects as evidenced by the test reports/ organoleptic reports.

b) The assessment report indicates that the processing establishment has been maintaining proper hygienic conditions and implementing HACCP.

c) The periodical monitoring conducted by EIA during the past three months indicates satisfactory hygienic conditions in the unit.

d) Samples drawn during the assessment visit conforms to the requirements.

EIA shall put up the case with relevant papers/reports to the Director (I&QC) with a recommendation for taking up the matter with the foreign health authority for revoking their specific control measures/rapid alert, as the case may be. EIC may make the necessary recommendation to the foreign health authority through half yearly dossiers.

The EIA concerned shall reduce the number of monitoring visits to once in a month, provided at least four fortnightly monitoring visits have been carried out since ‘On alert’ was imposed. It may be noted that the unit shall continue to be ‘On alert’ even if

recommendation to foreign health authority as above is made, if any, and revocation of 'On alert' would be considered only after ten consecutive consignments have passed and monitoring/supervisory visits during the period are satisfactory. The 'On alert' imposed on the unit shall be revoked only after the approval of the Director (I&QC).

6.9 However, if any of the above points are unsatisfactory,

(i) The consignment, if brought back, is on testing found to be contaminated /defective

(ii) The assessment report indicates unsatisfactory hygienic conditions in the unit;

(iii) Samples drawn during assessment visit fail;

(a) Production and export to all countries shall be stopped till causes of contamination are properly identified and appropriate corrective actions are taken to prevent recurrence.

(b) Processor to show cause within ten days why the approval granted to the establishment may not be withdrawn in the light of the complaint and the findings.

6.9.1 Once the processor informs the EIA that corrective actions have been carried out, verification, of the corrective actions, shall be carried out by the EIA. The processor may be allowed to resume production for export only after satisfactory on-site verification of the rectifications of the deficiencies and approval of the Director (I&QC).

6.9.2 If the Competent Authority is not satisfied with the reply of the processor as above, or with the corrective action taken and verified as above, the approval granted to the establishment may be withdrawn.

6.9.3 After resumption of production, an officer, not below the rank of Technical Officer shall be deputed to such units for a minimum period of ten days extendable up to thirty days for continuous monitoring of the enforcement of various standards relating to the quality control, food hygiene and food safety. The cost of such deputation of EIA officers shall be charged to the units as per clause No. 5 (if working is more than one shift, all shifts should be covered at random).

Note: *Superintendence as described above will be waived off in case of rejections due to residues, if the unit can prove that the rejection is not due to a cause identified in the processing unit.*

6.9.4 After resumption of production, the next ten consecutive consignments shall be inspected by the EIA concerned. The consignment wise inspection shall be carried out till such time the ten consecutive consignments are cleared satisfactorily. The Cost of testing shall be borne by the processor. Based on the satisfactory test results, EIA shall allow the consignment produced by the establishment for export.

6.9.5 The unit shall be taken off from the "ON ALERT" list only after monitoring as per 8.9.3 and testing of consignments are found satisfactory.

Note: In specific cases, if decided by the Competent Authority, there may be deviation in the above procedure.

7. APPEAL

7.1 Any applicant aggrieved by the decision of refusal of the Export Inspection Agency to grant an approval to establishment under clause (c) of sub-rule (2) or, as the case may be be, the issue certificate under clause (d) of sub-rule (3) of Notification No. S.O. 1627 (E) dated 14.07.2011, may within 10 days of the receipt of the communication of such refusal prefer an appeal which will be referred by the Agency to the Director (I&QC).

7.2 Central Government shall appoint a Panel of Experts consisting of not less than three but not more than seven persons, to consider such appeals. At least two thirds of the total membership of the panel of experts shall consist of non-officials and the quorum for the panel shall be three.

7.3 The appeal will be disposed of within fifteen days from its receipt. The decision of the Panel of Experts in such an appeal will be final.

8. POWER TO RELAX

In case any situation arises, which is not covered by the executive instructions, EIAs may make a suitable recommendation to EIC for decision by Director (I&QC).

APPENDIX - A

PRACTICES TO BE FOLLOWED BY "FSMSC" CERTIFIED EXPORT STABLISHMENTS

A.0 Exporter or Establishment shall comply the requirements, listed below for his processing /manufacturing Establishment, certified under food safety management system certification (FSMSC) system during processing and up to despatch of consignment.

A.1 ***GMP/GHP as IS 15000 or Codex standards:*** Manufacturing/processing establishment should apply the principles of Good Manufacturing Practices (GMP) and Good Hygienic Practices (GHP) as per Codex guidelines.

A.2 ***HACCP as per Codex (preferable):*** It is advisable for the processing establishments to align their processing system in accordance with HACCP Codex guidelines in order to ensure the safety and better acceptability of the fruit product when it reaches to the customer. However, in case they are exporting to any specific country, they are free to align HACCP to requirements of that country.

A.3 ***Water testing:*** Every processing establishment should get tested the water used in processing, at least, once in a year as per ***IS 4251: 1967*** (*Quality Tolerance for Water for Processed Food Industry*) (*Reaffirmed 1992*) and maintain records for verification. In case of European Community (EC) water testing may need to be done as per Council Directive 98/83/EC, dated 3rd November 1998.

A.4 ***Documentation & record keeping:*** Appropriate records of processing, production and distribution should be maintained and retained for a period that exceeds the shelf-life of the fruit product. List of some documents be maintained are given below.

a) Laboratory Test Reports
b) Processing / Production Record
c) Worker Hygiene / Health Record
d) Record w. r. t. SOPs / SSOPSs / CCPs / others

A.5 Copies ***of relevant standards:*** Processing establishment should keep copies of relevant standards as applicable to the product for their internal use to include the legislative requirements of their importing countries, as applicable.

A.6 ***Internal audits:*** Processing establishment should have the mechanism to carry out internal audits at a level decided by them but minimum once in six months. Activities conducted under this head should be properly documented for verification.

A.7 ***Laboratory facilities :*** The establishment should have minimum test facilities of their own & for other parameters access to an approved laboratory. The amount and type of such minimum laboratory facilities will vary with the type of fruit products.

A.8 ***Record of technologists:*** Processing establishments should have sufficient number of technologist(s) handling the responsibilities at critical positions. List of technologist(s) stating their name, qualification and job responsibilities should be submitted to Assessment Panel (AP) for spot verification during visit which will be subsequently verified in monitoring visits by EIA officials also.

A.9 ***Change room facilities:*** Processing establishments should have adequate change rooms for workers/staff/visitors together with toilet and cleaning / sanitizing facility. Visitors to manufacturing, processing or handling areas should wear appropriate protective clothing and adhere to other personal hygiene provisions.

ANNEXURE – I

Application for Inspection under CWI System

Exporter's Name Address **(also give IE Code)** 1		Invoice No. Date 10	Exporter's Ref. 11
		Buyer's Order No. & Date 12	
Manufacture's Name & Address **(Indicate FPO/FSSAI's license No. & enclose copy)** 2		To 13 The .(Name & Address of the Inspection Authority) Please inspect the consignment and issue a Certificate of inspection under the.....Act. A crossed cheque for Rs.....drawn on..... is enclosed as inspection fee. Please debit our Account Pass Book No.....enclosed. Date Signature of Exporter	
Details of the Manufacture's Seal, if any 3			
Inspection required on . 4	Weekly Holiday 5	Address where consignment is to be inspected 14	
Vessel/Flight No. 6	Port of Loading 7		
Probable Date of Loading 8	Date of Sealing Flight 9		

Marks & Nos. 15	No.& Kind of Pkgs. 16	Description of Goods 17	Quantity as declared 18	FOB Value (in Rs.) 19

Technical requirements including specifications/approved samples with its characteristics as stipulated in the export contact. 20

Other Revelavent Information . 21

Declarations: Certified that the goods mentioned above have been manufactured/ produced to satisfy the conditions relating to quality control/inspection and consignment conforms to the specifications/requirement of the importing country /FSS Act and Rules & Regulations made there under, whichever is applicable.

Certified that the goods have been offered previously for inspection vide intimation no.....Dated.....and the defects as pointed out earlier have been duly rectified.

Certified that no additional technical or quality requirement other than mentioned above have been stipulated by the overseas buyer.

Signature & Date

ANNEXURE : II

Export Inspection Agency- Chennai/ Delhi/Kolkata/Kochi/Mumbai

LABORATORY INTIMATION FORMAT

Product:

Code of Sample:

Sampling done on:

Parameters to be tested:

S. No	***Parameters***	***Reference Standard***
1		
2		
3		
4		
5		
6		
7		

Note, if any:

Signature:

Name of Inspecting Officer:

Date:

Place:

ANNEXURE-III

Export Inspection Agency-Chennai / Delhi / Kolkata / Kochi / Mumbai

FIELD INSPECTION AND QUALITY CONTROL REPORT (FIR)

Book No.

1. Name and address of exporter :
2. Name & address of Establishment :
3. FSSAI License No. :
4. Product & Type :
5. Type of Packages :
6. No. of packages and quantity :
7. No. of samples analysed :
8. Application No./ Lot No. :
9. Shipping mark :
10. Country of Destination :
11. Details of Inspection carried out & outcome :
12. Hygienic condition of the premises where consignment is stored :
13. EIC Seal No :

Place: Signature:

Date: Designation:

Time:

ANNEXURE – IV

CERTIFICATE OF INSPECTION

Exporter's Name Address 1	Invoice No. & Date . 6
	Buyer's Order No. & Date 7
	8
Manufacturer's Name & Address 2 (**FPO/FSSAI's license No.**)	**EXPORT INSPECTION AGENCY-** **CHENNAI/ DELHI/KOLKATA/KOCHI/MUMBAI** (Ministry of Commerce) Government of India Address of the concerned EIA
Details of the Manufacturer's Seal, if any 3	
	Valid upto and including……
Detail of Seal of Inspection authority, if any 4	
Specification Reference 5	Certificate No. 9

Mark & Nos. 10	No. & Kind of Pkgs. 11	Description of Goods (*) 12	Quality 13	FOB Value (in Rs.) 14

Remarks, if any Stamp for FOB Revision 15

CERTIFICATION UNDER CONSIGNMENT –WISE INSPECTION SYSTEM (CWI)

SEAL OF THE ISSUING AUTHORITY

It is hereby certified, on the basis of controls carried out, that the fruit products as per details given herein are in conformity to specifications prescribed under EIC's Certification Scheme for Fruit Product (CSFP).

Signature

Name

Designation Accordance with the standard

Date

(*) Description should include grade, size and brand, if any.

ANNEXURE-V

REJECTION LETTER

Export Inspection Agency-Chennai / Delhi / Kolkata / Kochi / Mumbai

No: EIA/

To

M/s.....
.....
.....
.....
.....

Subject : Consignment Wise Pre-Shipment Inspection (CWI) .....

Reference : Your intimation No. ..... dated .....

Sir,

With reference to your above mentioned intimation for inspection, this is to inform you that the consignment of ..... was inspected under CWI, and it was not found conforming to the specifications recognised under ..... It is therefore, regretted that the certificate of export worthiness cannot be issued due to the following reason(s):

Reason (s) for rejection

1)

2)

3)

4)

Yours faithfully

Joint Director

ANNEXURE VI

Book No..... **HEALTH CERTIFICATE** **Sl. No._____**

(Applicable for all fruit products)

Country of despatch: **India**

Competent Authority: Export Inspection Agency- Chennai/Delhi / Kolkata/ Kochi/ Mumbai

Reference No.: Certificate for Inspection.....
(Issued by Processing Establishment/EIA)

1. **Details identifying the products**

Description

Quantity
Type of Packaging
No. of packages
Temperature required during storage and transport
Manufacturing date
Expiry Date

2. **Provenance of products**

Address (es) and number(s) of preparation or processing establishment (s) authorised for exports by the competent authority

Approval No. of the establishment (s)

3. **Destination of the products**

a. The products are to be despatched

From..... (Place of despatch)
To..... (Country and place of destination)
By the following means of transport
.....
Name of address of consignor
Name of consignee and address at place of destination
LC Details

4. Health Attestation

It is hereby certified that the fruit products described above have been handled, processed, stored and transported under hygienic conditions as laid down in the ----------and found confirming to laid down standards and fit for human consumption & the establishment where the fruit products have been processed is approved and regularly monitored by Export Inspection Agency-Chennai/Delhi/Kolkata/ Kochi/ Mumbai (Competent Authority)

Place of issue: Signature of authorised officer

Date of issue Name:
Seal Designation:

ANNEXURE VII

APPLICATION FOR APPROVAL

[FRUIT PRODUCTS PROCESSING ESTABLISHMENT]

From

.....……..

…….....……

…….....……

.....

To

The Joint Director,
EIA- Chennai/ Delhi/Kolkata/Kochi/Mumbai

Sir,

Please carry out the assessment of our establishment as required under the Export of Fruit Products (Quality Control and Inspection) Rules, 1978 and as amended vide notification No. S.O.1627 (E) dated 14.07.2011 for approval to process fruit products for export to all countries including European Union/Non-EU countries.

We furnish below the information regarding the facilities existing in our establishment. We undertake that our establishment meets the requirements stipulated in Export of Fruit Products (Quality Control and Inspection) Rules, 1978 and also the other requirements specified by EIC from time to time.

Please find enclosed herewith a Demand Draft bearing No. dated for Rs._____drawn in favour of _____payable at _____ towards the application fee.

1. GENERAL INFORMATION		
1.1	Name and address of the establishment seeking approval (Give Contact Numbers and E-mail, if any)	
1.2	Name and Addressed of the Registered office of the establishment (Give Contact Numbers and E-mail, if any)	
1.3	Name of the Chief Executive (MD/Mg. Partner/Proprietor) (Give Contact Numbers and E-mail, if any)	
1.4	Is the processing establishment owned or leased by the applicant	Owned/leased
1.5	If leased, name of the establishment owner, establishment name and address	
1.6	Month and Year of Construction	
1.7	Month and Year of last major alterations	
1.8	Month and Year of Commercial Production	
1.9	Approval requested for export to (Countries)	All countries including European Union /Countries other than EU.
1.10	Scope of approval. Give Name(s) of the product(s).	
1.11	Additional activities, if any, in the same premise and other than the products mentioned at 1.10	
1.12	Annual production during the previous year (a) Fruit Products (Within the scope of approval) (b) Others (specify)	
1.13	Total exports during the last two years Financial Year Destinations (Countries) Quantity in Metric Tons FOB Value in Rupees in Lakhs.	

1.14	Whether all year production or seasonal production	
1.15	Give number of working hours and shifts per day	
1.16	Give number of working days per week. Specify weekly holiday	
1.17	Details of licenses/certificate issued by any competent authority. **(Also mention FPO/FSSAI License No.)**	

SPECIFIC INFORMATION		**[Specify YES/NO, Give explanation wherever required]**
2.	**LOCATION AND SURROUNDINGS**	
2.1	Is the unit located away from environmentally polluted areas and industrial activities which may pose threat of contaminating food	
2.2	Is surroundings are neat, clean and free from any contamination	
2.3	If not, whether appropriate measures have been taken to protect manufacturing area from potential contamination	
3.	**LAYOUT AND DESIGN**	
3.1	Is the building construction is of permanent nature and as per scientific design & layout to avoid cross contamination	
3.2	Doors, Windows, Floors, ceilings and walls are in sound condition, smooth and easy to clean with no flaking paint or plaster	
3.3	Floors are appropriately sloped and have adequate & proper drainage. The flow of drainage is opposite to manufacturing process flow.	
3.4	Windows, doors and all other openings to outside environment are well screened and such screening is easily cleanable	
3.5	Are control measures are in place to prevent entry of pests and rodents in processing area through drains?	
4.	**EQUIPMENT AND CONTAINERS**	
4.1	Equipment and containers are made of corrosion free food grade material and are easy to clean and/or sanitation.	
4.2	Equipment and utensils are in good order, smooth surface free from cracks & crevices, clean & sanitary condition	
4.3	Every utensil or container is having provision of cover/lid or clean gauze net to protect food from dust, dirt, flies or other insects.	
4.4	Equipment are so located, designed and fabricated to allow maintenance and cleaning as per its intended use	
4.5	Appropriate facilities for cleaning and disinfecting of equipment and instruments are available.	
4.5	Whether cleaning in place (CIP) system has been adopted or not	
4.6	Equipment and containers for waste, by-products and inedible or dangerous substances, are specifically identifiable and suitably constructed	
4.7	Containers used to hold cleaning chemicals and other dangerous substances are easily identifiable and stored separately to prevent malicious or accidental contamination of food	
5.	**FACILITIES**	
5.1	Appropriate water (potable or as per standard of importing country if any) supply is available which is to be used as ingredient in food	
5.2	Provision for periodic cleaning of water storage tank in place with records	
5.3	Water pipes for potable and non-potable water are clearly distinguishable.	
5.4	Adequate facilities for cleaning, disinfecting of utensils and equipment are available.	

5.5	Adequate facilities for washing of raw material are available with provision for periodic cleaning/disinfection as per requirement	
5.6	Ice and steam used in directed contact of food are of water as per requirement in 5.1 above.	
5.7	Provision for periodic removal of food waste and other waster material are in place and duly recorded	
5.8	The disposal of sewage and effluents (solid, liquid and gas) is in conformity with requirements and adequate drainage, waste disposal systems and facilities are available.	
5.9	Unit is having efficient effluent treatment system which is in compliance to statutory requirements.	
5.10	Waste storage is appropriately located and does not contaminate the food process, storage areas, the environment inside and outside the food establishment	
5.11	Adequate personnel facilities like wash basins, lavatories, changing/rest/refreshment rooms are available and appropriate located with no direct connection to processing area	
5.12	Workers/Staffs have been adequately trained about personnel hygiene and displays on Do's & Don'ts are prominently placed.	
5.13	Ventilation system (including air filters, exhaust fans etc.) is adequately designed and constructed so that air does not flow from contaminated areas to clean areas.	
5.14	Proper natural or artificial lighting is provided to facilitate operations in a hygienic manner	
5.15	Lighting fixtures are well protected to ensure that food is not contaminated by breakages of electrical fittings	
6.	**FOOD PROCESSING OPERATIONS & CONTROLS**	
6.1	Adequate facilities are available for physical checking & cleaning of raw material/ingredients	
6.2	Records of raw material /ingredients as well as their source of procurement are properly maintained	
6.3	Raw material storage is separated from finished product storage	
6.4	Storage facilities are adequately designed and constructed to protect contamination during storage and permit maintenance & cleaning	
6.5	Appropriate cold storage facilities as per requirement are available and conditions of storage are adequately maintained.	
6.6	Storage is subject to adequate stock rotation system as applicable like FIFO (First in, First Out), FEFO (First Expire First Out)	
6.7	Storage containers are of non-toxic material and stored in racks/pallets well above the floor level.	
6.8	Appropriate time and temperature control measures as per safety and suitability of food are in place along with proper records.	
6.9	Packaging materials are non-toxic, food grade and do not pose food safety threat	
6.10	Labels are as per the requirements (National/Importing Country)	
6.11	Critical links in the supply chain identified and measures taken to minimize spoilage during transportation.	
6.12	The conveyances and/or containers meant for transportation are non-toxic adequately designed, constructed, kept clean and maintained to retain the required temperature, humidity, atmosphere and other conditions.	
6.13	Receptacles in vehicles and / or containers are not used for transporting anything other than foodstuffs to avoid contamination. If used, appropriate measures are taken to avoid cross contamination.	
7.	**MANAGEMENT AND SUPERVISION**	

7.1	Standard Operating Procedure (SOP) for the processing of food as well as its packing, despatch and Storage is laid down	
7.2	Adequate number of technical managers and supervisors with appropriate qualifications, knowledge and skills on food hygiene principles and practices to ensure effective monitoring and supervision	
7.3	Total Work strength of establishment [Enclose a complete list]	
8.	**TESTING FACILITIES**	
8.1	Appropriate in-house laboratory facility is available for testing of food material as per requirements	
8.2	In absence of In-house laboratory, adequate arrangement are there for regular testing with some outside accredited laboratory	
9.	**AUDIT, DOCUMENTATION AND RECORDS**	
9.1	Adequate period audit system (internal as well as external) is in place to assess the adequacy and to ensure compliance of the documented SOP	
9.2	Appropriate records of food processing / preparation, production / cooking, storage, distribution, quality, laboratory test results, cleaning and sanitation, pest control and product recall are being maintained and suitably retained.	
10.	**SANITATION AND MAINTENANCE OF ESTABLISHMENT PREMISES**	
10.1	Cleaning and sanitation programme has been drawn up, observed and records are properly maintained	
10.2	Cleaning chemicals are handled carefully and stored separately away from food material.	
10.3	Documented Maintenance Procedure for different sections/ equipment/machinery /laboratory etc. are in place with proper records. Unit also having preventive maintenance schedule.	
10.4	Food establishment, including equipment and building are kept in good repair to prevent pest access and to eliminate potential breeding sites.	
10.5	Adequate pest control activities are maintained or contracted to competent pest control operator.	
10.6	Records of pesticides / insecticides used along with dates and frequency are maintained.	
10.7	Mechanism is in place to verify the effectiveness of pest control activities	
11.	**PERSONAL HYGIENE**	
11.1	Food Handlers/Employees are medically examined once in a year to ensure that they are free from any infectious, contagious and other communicable diseases and proper records are maintained.	
11.2	Food handlers maintain a high degree of personal cleanliness and adequate and suitable clean protective clothing, head covering, face musk, gloves and footwear are provided.	
11.3	Staffs have been adequately trained about the personal hygiene	
11.4	Measures are in place to ensure that food safety & hygiene is not getting compromised due to visitors in the floor area	
12.	**PRODUCT INFORMATION**	
12.1	All packaged fruit products carry a label and requisite information as per requirements/legislations so as to ensure that adequate and accessible information is available to the each person in the food chain to enable them to handle, store, process, prepare and display the food products safely and correctly and that the lot or batch can be easily traced and recalled if necessary	
13.	**TRAINING**	

13.1	Food handlers are instructed and trained in food hygiene and food safety aspects along with personal hygiene requirements commensurate with their work activities	
13.2	Periodic assessments of the effectiveness of training, awareness of safety requirements and competency level are made, as well as routine supervision and checks to ensure that food hygiene and food safety procedures are being carried out effectively	
13.3	Training programmes are routinely reviewed and updated	
14.	**HACCP/ISO 22000 Certification**	
14.1	Is the unit is HACCP or ISO 22000 certified? If yes, by whom?	
14.2	PRPs are adequately documented and implemented.	
14.3	Documented HACCP manual is in place and is adequately implemented	
14.4	Critical Control Points (CCPs) & Critical Limits (CLs) have been clearly identified; monitored and adequate records are maintained.	
14.5	Validation is carried out wherever required and HACCP manual is reviewed at least once in a year.	

Yours faithfully,

Signature
Name
Designation

Place :
Date :

Company Seal

Check list of enclosures:
(1) Prescribed fee in the form of Demand Draft
(2) HACCP Manual, if applicable (including Organisational Chart of the establishment, Sanitary Standard Operating
Procedures, process flow chart (s) with product description, manufacturing details in each step)
(3) Attested copy of Potability certificate for water (Directive 98/83/EC or IS:4251, as applicable)
(4) Location and Layout plan of the establishment (site plan and building plan in A-4 size), showing all infrastructure and equipment facilities
(5) Layout showing the process/product flow, personnel flow, water flow (Indicating serially numbered water taps) and effluent flow, on A4 size paper separately, in evidence of meeting food safety requirements
(6) Certified Copy of the legal identify of establishment
(7) Certified copy of Lease Deed, if applicable
(8) Bio-data of technologist(s)
(9) Guarantee and undertaking
(10) Attested copy of the consent letter issued by the State Pollution Control Board.
(11) Attested copy of the order allotting Importer-Exporter Code (IEC) Number.
(12) List of additives/ preservatives used in the processing.

Note:
a) The application must be in triplicate,
b) In case where a non-EU approved establishment submits application for the approval to process fruit products for exports to the EU countries, the documents, which were submitted earlier, need not be submitted again, if there is no change.

Annexure VIIA

UNDERTAKING

(*To be submitted in duplicate on company's letterhead along with application for approval of processing establishment)*

Ref. No. : Date:

To

The Export Inspection Agency- ----------,
(*Address)*

Sub: Application for approval processing establishment.

Sir,

With reference to our application ref. No. --------- dated ----------, we hereby undertake the following in respect of the processing of fruit products in our establishment.

We handle, process, store and transport fruit products under proper hygienic conditions so as to meet the health requirements laid down by the Government of India/Importing Countries.

GMP/GHP/HACCP system has been established and implemented by us.

We use only approved disinfectants for water at acceptable level, and carry out checks on water in line with EC recommendations (98/83/EC) / or as per IS 4251 (in case of non EU)

Level of additives, where applicable, is monitored in accordance with the requirements of the importing country.

Yours faithfully,

Signature of Authorised Signatory
Name:
Designation:
Date:
Place:

Strike whichever is not applicable.

Annexure VIIB

GUARANTEE

(*To be submitted in duplicate on company's letterhead along with application for approval of processing establishments to the concerned EIA)*

Ref. No. : Date:

To

The Export Inspection Agency- ----------,
(*Address)*

Sub: Guarantee for approval of processing establishment by EIA

Sir,

In case, grant of approval to our establishment, we hereby guarantee the following:

GMP/GHP/HACCP that has been established and implemented by us shall be monitored and maintained continuously through out the food chain.

We will not obtain Health Certificates for our export consignments from authorities other than the Export Inspection Agency- .

We will not use semi-processed or processed fruit products coming from an unapproved establishment.

Level of additives, where applicable, is monitored in accordance with the requirements of the importing country.

We shall provide to the Competent Authority and its representatives free access, at all times, to all parts of the establishment and to the records pertaining to production/quality of products being processed by us.

If the results of checks carried out by us or any information at the disposal of our personnel reveal the risk of health or suggest that such a risk might exist, we shall inform you immediately and take corrective actions under your official supervision.

We shall not export any fruit product other than what is included in scope of approval.

We will not store the fruit products of the other approved establishments in our premises without prior permission from the EIA concerned. We will not store any product of an unapproved establishment.

We will not misuse the CFEs issued to us and will maintain proper records of the same. You may withdraw the approval granted to our establishment for processing fruit products in case of violation of any of the above guarantees by us.

Signature of the
Place: Head of Production (Name and designation)
Date :

Place:
Date : Counter signature of Chief Executive Officer of the approved establishment (Name and designation)

ANNEXURE-VIII

ASSESSMENT REPORT BY INTER-DEPARTMENTAL PANEL (IDP) FOR APPROVAL & RENEWAL

Inter-Departmental Panel (IDP) has assessed the establishment to verify the declarations given by applicant exporter/establishment in Annexure I, conforming to importing country or Codex standards or standards required by the buyer or the relevant Food Safety and Standards (Food Products Standards and Food Additives) Regulation, 2011 and GMP/GHP. Following observations/discrepancies in different areas, are listed:

Date and Day of IDP Visit : .....

Name & Designation of IDP Members:

1).....

2).....

All the information given under following heads are correct as per Annexure I, and in accordance with the standards of the importing country or Codex standards or standards required by the buyer or as per the relevant Food Safety and Standards (Food Products Standards and Food Additives) Regulation, 2011. If not Observation / Discrepancies are as :		
1.	**GENERAL INFORMATION**	**Satisfactory/ Not Satisfactory**
1.1	Name and address of the establishment (FSSAI License No.) seeking approval with Fax no. and E-mail address	
1.2	Name of the Chief Executive (MD/Mg. Partner/Proprietor)	
1.3	Is the processing establishment owned or leased by the applicant	
2.	**LOCATION AND SURROUNDINGS**	**Satisfactory/ Not Satisfactory**
2.1	Is the unit located away from environmentally polluted areas and industrial activities which may pose threat of contaminating food	
2.2	Is surroundings are neat, clean and free from any contamination	
2.3	If not, whether appropriate measures have been taken to protect manufacturing area from potential contamination	
3.	**LAYOUT AND DESIGN**	**Satisfactory/ Not Satisfactory**
3.1	Is the building construction is of permanent nature and as per scientific design & layout to avoid cross contamination	
3.2	Doors, Windows, Floors, ceilings and walls are in sound condition, smooth and easy to clean with no flaking paint or plaster	
3.3	Floors are appropriately sloped and have adequate & proper drainage. The flow of drainage is opposite to manufacturing process flow.	
3.4	Windows, doors and all other openings to outside environment are well screened and such screening is easily cleanable	
3.5	Are control measures are in place to prevent entry of pests and rodents in processing area through drains?	
4.	**EQUIPMENT AND CONTAINERS**	**Satisfactory/ Not Satisfactory**
4.1	Equipment and containers are made of corrosion free food grade material and are easy to clean and/or sanitation.	
4.2	Equipment and utensils are in good order, smooth surface free from cracks & crevices, clean & sanitary condition	

4.3	Every utensil or container is having provision of cover/lid or clean gauze net to protect food from dust, dirt, flies or other insects.	
4.4	Equipment are so located, designed and fabricated to allow maintenance and cleaning as per its intended use	
4.5	Appropriate facilities for cleaning and disinfecting of equipment and instruments are available.	
4.5	Whether cleaning in place (CIP) system has been adopted or not	
4.6	Equipment and containers for waste, by-products and inedible or dangerous substances, are specifically identifiable and suitably constructed	
4.7	Containers used to hold cleaning chemicals and other dangerous substances are easily identifiable and stored separately to prevent malicious or accidental contamination of food	
5.	**FACILITIES**	**Satisfactory/ Not Satisfactory**
5.1	Appropriate water (potable or as per standard of importing country if any) supply is available which is to be used as ingredient in food	
5.2	Provision for periodic cleaning of water storage tank in place with records	
5.3	Water pipes for potable and non-potable water are clearly distinguishable.	
5.4	Adequate facilities for cleaning, disinfecting of utensils and equipment are available.	
5.5	Adequate facilities for washing of raw material are available with provision for periodic cleaning/disinfection as per requirement	
5.6	Ice and steam used in directed contact of food are of water as per requirement in 5.1 above.	
5.7	Provision for periodic removal of food waste and other waster material are in place and duly recorded	
5.8	The disposal of sewage and effluents (solid, liquid and gas) is in conformity with requirements and adequate drainage, waste disposal systems and facilities are available.	
5.9	Unit is having efficient effluent treatment system which is in compliance to statutory requirements.	
5.10	Waste storage is appropriately located and does not contaminate the food process, storage areas, the environment inside and outside the food establishment	
5.11	Adequate personnel facilities like wash basins, lavatories, changing/rest/refreshment rooms are available and appropriate located with no direct connection to processing area	
5.12	Workers/Staffs have been adequately trained about personnel hygiene and displays on Do's & Don'ts are prominently placed.	
5.13	Ventilation system (including air filters, exhaust fans etc.) is adequately designed and constructed so that air does not flow from contaminated areas to clean areas.	
5.14	Proper natural or artificial lighting is provided to facilitate operations in a hygienic manner	
5.15	Lighting fixtures are well protected to ensure that food is not contaminated by breakages of electrical fittings	
6.	**FOOD PROCESSING OPERATIONS & CONTROLS**	**Satisfactory/ Not Satisfactory**
6.1	Adequate facilities are available for physical checking & cleaning of raw material/ingredients	
6.2	Records of raw material /ingredients as well as their source of procurement are properly maintained	
6.3	Raw material storage is separated from finished product storage	

6.4	Storage facilities are adequately designed and constructed to protect contamination during storage and permit maintenance & cleaning	
6.5	Appropriate cold storage facilities as per requirement are available and conditions of storage are adequately maintained.	
6.6	Storage is subject to adequate stock rotation system as applicable like FIFO (First in, First Out), FEFO (First Expire First Out)	
6.7	Storage containers are of non-toxic material and stored in racks/pallets well above the floor level.	
6.8	Appropriate time and temperature control measures as per safety and suitability of food are in place along with proper records.	
6.9	Packaging materials are non-toxic, food grade and do not pose food safety threat	
6.10	Labels are as per the requirements (National/Importing Country)	
6.11	Critical links in the supply chain identified and measures taken to minimize spoilage during transportation.	
6.12	The conveyances and/or containers meant for transportation are non-toxic adequately designed, constructed, kept clean and maintained to retain the required temperature, humidity, atmosphere and other conditions.	
6.13	Receptacles in vehicles and / or containers are not used for transporting anything other than foodstuffs to avoid contamination. If used, appropriate measures are taken to avoid cross contamination.	
7.	**MANAGEMENT AND SUPERVISION**	**Satisfactory/ Not Satisfactory**
7.1	Standard Operating Procedure (SOP) for the processing of food as well as its packing, despatch and Storage is laid down	
7.2	Adequate number of technical managers and supervisors with appropriate qualifications, knowledge and skills on food hygiene principles and practices to ensure effective monitoring and supervision	
7.3	Total Work strength of establishment [Enclose a complete list]	
8.	**TESTING FACILITIES**	**Satisfactory/ Not Satisfactory**
8.1	Appropriate in-house laboratory facility is available for testing of food material as per requirements	
8.2	In absence of In-house laboratory, adequate arrangement are there for regular testing with some outside accredited laboratory	
9.	**AUDIT, DOCUMENTATION AND RECORDS**	**Satisfactory/ Not Satisfactory**
9.1	Adequate period audit system (internal as well as external) is in place to assess the adequacy and to ensure compliance of the documented SOP	
9.2	Appropriate records of food processing / preparation, production / cooking, storage, distribution, quality, laboratory test results, cleaning and sanitation, pest control and product recall are being maintained and suitably retained.	
10.	**SANITATION AND MAINTENANCE OF ESTABLISHMENT PREMISES**	**Satisfactory/ Not Satisfactory**
10.1	Cleaning and sanitation programme has been drawn up, observed and records are properly maintained	
10.2	Cleaning chemicals are handled carefully and stored separately away from food material.	
10.3	Documented Maintenance Procedure for different sections/ equipment/machinery /laboratory etc. are in place with proper records. Unit also having preventive maintenance schedule.	
10.4	Food establishment, including equipment and building are kept in good repair to prevent pest access and to eliminate potential breeding sites.	

10.5	Adequate pest control activities are maintained or contracted to competent pest control operator.	
10.6	Records of pesticides / insecticides used along with dates and frequency are maintained.	
10.7	Mechanism is in place to verify the effectiveness of pest control activities	
11.	**PERSONAL HYGIENE**	**Satisfactory/ Not Satisfactory**
11.1	Food Handlers/Employees are medically examined once in a year to ensure that they are free from any infectious, contagious and other communicable diseases and proper records are maintained.	
11.2	Food handlers maintain a high degree of personal cleanliness and adequate and suitable clean protective clothing, head covering, face musk, gloves and footwear are provided.	
11.3	Staffs have been adequately trained about the personal hygiene	
11.4	Measures are in place to ensure that food safety & hygiene is not getting compromised due to visitors in the floor area	
12.	**PRODUCT INFORMATION**	**Satisfactory/ Not Satisfactory**
12.1	All packaged fruit products carry a label and requisite information as per requirements/legislations so as to ensure that adequate and accessible information is available to the each person in the food chain to enable them to handle, store, process, prepare and display the food products safely and correctly and that the lot or batch can be easily traced and recalled if necessary	
13.	**TRAINING**	**Satisfactory/ Not Satisfactory**
13.1	Food handlers are instructed and trained in food hygiene and food safety aspects along with personal hygiene requirements commensurate with their work activities	
13.2	Periodic assessments of the effectiveness of training, awareness of safety requirements and competency level are made, as well as routine supervision and checks to ensure that food hygiene and food safety procedures are being carried out effectively	
13.3	Training programmes are routinely reviewed and updated	
14.	**HACCP/ISO 22000 Certification**	**Satisfactory/ Not Satisfactory**
14.1	Is the unit is HACCP or ISO 22000 certified? If yes, by whom?	
14.2	PRPs are adequately documented and implemented.	
14.3	Documented HACCP manual is in place and is adequately implemented	
14.4	Critical Control Points (CCPs) & Critical Limits (CLs) have been clearly identified; monitored and adequate records are maintained.	
14.5	Validation is carried out wherever required and HACCP manual is reviewed at least once in a year.	

Recommendations of the Inter-Departmental Panel (IDP) members:

Approval may be granted/may not be granted to above establishment under the EIC's Certification Scheme for Fruit Products (CSFP) to process .....for export to .....(Country Name).

or

The approval granted to the above establishment under the EIC's Certification Scheme for Fruit Products (CSFP) to process .....for export to..... (Country Name) may/may not be renewed for a further period of one/two year from the date of expiry of the last approval.

Reasons (in case of non approval/renewal)**:**

Suggestions for improvement, if any:

Signatures of IDP members			
Name with Designation			
Organization			
Date:			

List of enclosures.

ANNEXURE-IX

FORMAT OF LETTER OF APPROVAL/ RENEWAL OF APPROVAL TO THE ESTABLISHMENT

Letter No. Dated :

To
M/s

Sub: Approval/renewal of approval to process ..... for export.
Ref.: Your application dated……..

Sir,

With reference to your application No……. Dated…… for approval/renewal of approval of your establishment for processing and packing of ..... for exports to .....(country name) under EIC's Certification Scheme for Fruit Products (CSFP), based on an Assessment of your establishment by Inter-Departmental Panel (IDP) on…….(Date), it has been decided to grant approval to your establishment for a period of two year up to and including…….. as per the following details:

1. Name & Address of the establishment:

    a) Address of the establishment
    b) Address of the Regd. Office

2. Approval No.
3. Scope of approval (Items covered including country)

The approval number allotted to your establishments is CSFP -..... - .....-- ..... This approval number shall be legibly printed on all export packages of .....for which approval is granted. Besides you will also affix "Q" mark as per design enclosed.

The establishment shall, henceforth, come under the purview of monitoring by EIA, as per the EIC's Certification Scheme for Fruit Products (CSFP).

You should ensure that adequate balance is always maintained in your deposit account for payment of monitoring fee and the two copies of the "Certificate of Inspection" are submitted to this office within a month's time on a regular basis for debiting of the required monitoring fee.

The validity of inspection certificate issued by the establishment shall be 45 days.

You should apply for renewal of approval at least 60 days in advance from the date of expiry.

Please acknowledge receipt.

Yours faithfully,

Joint Director, EIA

CC:
1)
2)
3)

ANNEXURE – X

EXPORT INSPECTION COUNCIL OF INDIA

Ministry of Commerce & Industry
Govt. of India
Certificate of Approval

_____
(Name of the Establishment)

having their registered office at_____

_____
(Address of the registered office)

is hereby approved /granted renewal of approval for a period of two year

valid up to and including_____under EIC's Certification Scheme for Fruit Products (CSFP) with

Approval No._____

for processing of _____

_____for export to _____
(Scope of approval)

in its establishment situated at_____

_____

(Location of the establishment)

subject to the conditions that the establishment should continue to meet the requirements laid down under EIC's Certification Scheme for Fruit Products (CSFP)

Signature

Place: New Delhi
Date:

Name :
Designation : Director (I&QC)

Export Inspection Council of India
(Ministry of Commerce & Industry)
III Floor, NDYMCA Building
1, Jai Singh Road,
New Delhi-110001

ANNEXURE - XI

FORMAT OF NON-APPROVAL/NON- RENEWAL OF APPROVAL LETTER TO THE ESTABLISHMENT

Export Inspection Agency- Chennai/ Delhi/Kolkata/Kochi/Mumbai

No. : EIA/ Date :

To

M/s

Dear Sir,

Sub: Non-approval/non-renewal to process ..... for export.
Ref.: Your application dated……..

The Inter-Departmental Panel (IDP) of experts visited your processing establishments, particularly of which are given below, for adjudging its suitability for approval under EIC's Certification Scheme for Fruit Products (CSFP) on ..... for export to .....(country name)

Name & Location of the Establishment	Approval No. (if any) Allotted by EIA

The Inter-Departmental Panel (IDP) has observed certain defects/deficiencies in your processing establishments, which are given in the annex. In view of the nature of defects/deficiencies, it is informed that your processing establishment cannot be approved to process ..... for export to..... (country name).

However, once all the defects/deficiencies have been rectified, you may apply afresh for approval of your establishment. Please acknowledge receipt.

Yours faithfully

Joint Director

Encl: As stated.
Copy to:

Annexure XII

(APPLICATION FOR APPROVAL OF ADDITIONAL FACILITIES/PROCESSING ACTIVITIES)

From

To

Sir,

Please carry out the assessment of our establishment for additional facilities/ activities as required under the Export of Fruit Products (Quality Control and Inspection) Rules, 1978 and as amended vide notification No. S.O.1627 (E) dated 14.07.2011 and also the requirements communicated by EIC from time to time for processing fruit products for export.

We furnish below the information regarding the additional facilities/processing activities added in our establishment.

We undertake that our establishment meets the requirements stipulated in Export of Fruit Products (Quality Control and Inspection) Rules, 1978 and as amended vide notification No. S.O.1627 (E) dated 14.07.2011 and also the other requirements specified by the importing countries.

You may please charge fee applicable from our deposit account maintained at EIA.

1.	**GENERAL INFORMATION**	
1.1	Name and address of the establishment (FSSAI License No.) seeking approval with Fax no. and E-mail address	
1.2	Processor Code Number, as allotted by EIA	
1.3	Name of the Chief Executive (MD/Mg. Partner/Proprietor) With telephone no., Fax, E-mail address	
1.4	Details of additional facility/activity requested for approval	
2.	**CONSTRUCTION AND LAYOUT**	
2.1	Whether any alteration made in the building and layout? (give details)	
2.2	If so, whether it satisfies the requirements of GoI notification and Importing country regulations?	
2.3	Whether walls, floor and roof are smooth and easily cleanable	
2.4	Are the lighting and ventilation adequate?	
2.5	Whether adequate washing and sanitizing facilities provided?	
2.6	Is pest control adequate?	
3.	**RAW MATERIAL**	
3.1	Is there any change in the source of raw material procurement?(give detail)	
3.2	If so, whether proper traceability has been established and documented?	
3.3	Whether the quality and safety of the raw material ensured?	
4.	**ADDITIONAL FACILITIES**	
4.1	Specify the additional facilities created with details	

4.2	Whether the additional facilities created are in line with the requirements of GOI notification and importing country regulations?	
4.3	Whether the sanitary and hygienic conditions of the facilities are satisfactory?	
4.4	Is the location of the additional facility suitable for smooth flow of work?	
4.5	Whether adequate precautions have been taken to avoid cross contamination?	
4.6	Whether provisions have been made for cleaning and sanitation?	
4.7	Calibrated temperature recording devices installed where applicable?	
4.8	Whether the installation of the new facility increases the production capacity of the unit ?	
4.9	If so what is the expected new production capacity?	
4.10	Whether the new facility has been incorporated in the HACCP manual suitably.	
5.	**ADDITIONAL ACTIVITIES**	
5.1	Specify the additional activities requested for approval with details	
5.2	Whether the additional activities have been properly addressed in the HACCP manual and submitted to the EIA for verification?	
5.3	Whether HACCP is in place?	
5.4	Whether CCPs have been identified and monitored properly?	
5.5	Whether proper raw material, process and product controls are laid down to ensure the safety and quality of the product?	
5.6	Whether additional man power is required for the new process activity?	
5.7	If so, give details of number of employees / supervisors/ technologist recruited	
5.8	Whether additional equipment, machineries required for the new process activity ?	
5.9	If so, give details of equipment, machineries erected/ acquired	
5.10	If additional water are required for processing new product, whether the same are tested as per 98/83/EC/IS:4251?	

Specify, any other information which may be relevant.

Yours faithfully,

Signature :
Name :
Designation :
Company seal:

Place:
Dates

Check List of enclosures

1. Authorisation to charge fee applicable from our deposit account maintained at EIA.
2. Up-to-date layout plan of establishment showing alterations made if any.
3. Flow chart of processing operation where applicable.
4. Plumbing diagram (where applicable)
5. Attested copy of Potability certificate of water
(as per the Directive 98/83/EC or, IS 4251) where applicable
6. HACCP manual, where applicable

Annexure XIIA

EXPORT INSPECTION AGENCY……

[MINISTRY OF COMMERCE & INDUSTRY, GOVERNMENT OF INDIA]

ASSESSMENT REPORT FOR ADDITIONAL FACILITIES/ PROCESSING ACTIVITIES OF THE ESTABLISHMENT

Name of the processing Establishment				
Approval number of the establishment				
Current scope of approval (Name of the products and countries for export)				
Additional scope of approval requested for				
Address of the processing establishment				
Address of the Regd. Office				
Scope of assessment				
Date(s) of assessment				
Opening Meeting Location and date				
Closing Meeting Location and date				
Name of IDP members	Designation	Organization	Opening Meeting (Sign)	Closing Meeting (Sign)
Name of Representative(s) of the establishment	Designation	Organization	Opening Meeting (Sign)	Closing Meeting (Sign)

1.	**GENERAL INFORMATION**	
1.1	Name and address of the establishment (FSSAI License No.) seeking approval with Fax no. and E-mail address	
1.2	Processor Code Number, as allotted by EIA	
1.3	Name of the Chief Executive (MD/Mg. Partner/Proprietor) With telephone no., Fax, E-mail address	
1.4	Details of additional facility/activity requested for approval	
2.	**CONSTRUCTION AND LAYOUT**	
2.1	Whether any alteration made in the building and layout? (give details)	
2.2	If so, whether it satisfies the requirements of GoI notification and Importing country regulations?	
2.3	Whether walls, floor and roof are smooth and easily cleanable	
2.4	Are the lighting and ventilation adequate?	
2.5	Whether adequate washing and sanitizing facilities provided?	
2.6	Is pest control adequate?	
3.	**RAW MATERIAL**	

3.1	Is there any change in the source of raw material procurement?(give detail)	
3.2	If so, whether proper traceability has been established and documented?	
3.3	Whether the quality and safety of the raw material ensured?	
4.	**ADDITIONAL FACILITIES**	
4.1	Specify the additional facilities created with details	
4.2	Whether the additional facilities created are in line with the requirements of GOI notification and importing country regulations?	
4.3	Whether the sanitary and hygienic conditions of the facilities are satisfactory?	
4.4	Is the location of the additional facility suitable for smooth flow of work?	
4.5	Whether adequate precautions have been taken to avoid cross contamination?	
4.6	Whether provisions have been made for cleaning and sanitation?	
4.7	Calibrated temperature recording devices installed where applicable?	
4.8	Whether the installation of the new facility increases the production capacity of the unit ?	
4.9	If so what is the expected new production capacity?	
4.10	Whether the new facility has been incorporated in the HACCP manual suitably.	
5.	**ADDITIONAL ACTIVITIES**	
5.1	Specify the additional activities requested for approval with details	
5.2	Whether the additional activities have been properly addressed in the HACCP manual and submitted to the EIA for verification?	
5.3	Whether HACCP is in place?	
5.4	Whether CCPs have been identified and monitored properly?	
5.5	Whether proper raw material, process and product controls are laid down to ensure the safety and quality of the product?	
5.6	Whether additional man power is required for the new process activity?	
5.7	If so, give details of number of employees / supervisors/ technologist recruited	
5.8	Whether additional equipment, machineries required for the new process activity ?	
5.9	If so, give details of equipment, machineries erected/ acquired	
5.10	If additional water are required for processing new product, whether the same are tested as per 98/83/EC/IS:4251?	

6. Any other Information:

Recommendations of the Inter-Departmental Panel (IDP)

Name of establishment and Address	
Approval Number allotted by EIA	
Nature of activities already approved	
Countries to which the above unit is eligible to process	
Milk products, which may be allowed to be processed in the above unit.	
Additional facilities/ activities requested for approval	

The above additional facilities/processing activities of the establishment may not be approved under the Export of Fruit Products (Quality Control and Inspection) Rules, 1978 and as amended vide notification No. S.O.1627 (E) dated 14.07.2011. The deficiencies observed are given in the attached sheet.

Or

The above additional facilities/processing activities of the establishment may be approved under the Export of Fruit Products (Quality Control and Inspection) Rules, 1978 and as amended vide notification No. S.O.1627 (E) dated 14.07.2011.

Reasons:

Suggestions for improvement, if any:

Signature			
Name			
Designation			
Organisation			
Date			

ANNEXURE –XIII

FORMAT FOR APPLICATION FOR RENEWAL OF APPROVAL OF ESTABLISHMENT

To

The Joint Director,
EIA- Chennai/ Delhi/Kolkata/Kochi/Mumbai

Sir,

It is to inform you that our establishment is approved under EIC's Certification Scheme for Fruit Product (CSFP) for....., export to .....(country name), vide your letter no. …. ……. dated…….. The approval is expiring on……We furnish the following details for renewal of the approval along with application fee of Rs. 5,000 through demand draft no.-…… dated…….. and request you to do the needful at the earliest for renewal of approval.

2. Approval no
3. Volume of Export during the last one year
4. Annual production during the last one year
5. Fee paid to EIA during the last one year
6. No. of complaints from importing country during last one year
   - If yes, attach details.
7. Recognition during past one year from every Government bodies.
8. Details of change in management, if any
9. Name of Head of the Organization
10. Water Potability certificate no. (attach copy)
11. Copy of HACCP manual if available and revised
12. No. of Technologists/Chemists
12. Layout changes in past one year
13. Sectional facilities/equipment added in past one year
    - Raw materials procurement facilities
    - Processing
    - Packaging
    - Storage
    - Transportation
    - On floor and lab. Facilities
14. Any other relevant information

It is hereby certified that the aforesaid information is true to the best of my knowledge.

Thanking you

Yours faithfully

Signature of the Head of the Processing Establishment
Along with seal of the Company

Place:
Date:

Annexure XIV

To

The Joint Director/Deputy Director In-charge
Export Inspection Agency -

Sub: Application for approval of Technologist.

Sir,

I am a qualified (professional qualification) seeking approval of EIA as an approved Technologist for inspection/testing, handling, processing, storage and transportation of milk products meant for export.

Kindly, find the following details for your perusal. Please also find enclosed copies of qualification certificate, experience certificates, _____ .

1.	Name and Address with contact number	Mr./Ms.
2.	Educational / Professional qualifications indicating main subject of study (Only degree level and postgraduate qualifications need be shown.) (Attach attested copies of the certificates)	
3.	Date of Birth	
4.	Present place of posting with approval No. of the processing establishment where presently posted and designation.	
5.	Particulars of training undergone in the field of fruit processing and/or quality control.	
6.	Experience (in number of years) in the field of fruit processing/quality control (attach experience certificate)	
7.	(a) Whether previously approved by EIA	Yes / No
	(b) If yes, reference number and date of approval letter (Attach a copy of approval letter)	

Herewith, I declare that the above information is true and correct to the best of my knowledge.

In case, I am approved by EIA, I shall abide to the rules, regulations and executive instructions issued by EIC/EIA and shall carry out all the tasks of the approved veterinarian/ technologist specified, in order to ensure the quality and safety of the milk products, meant for export.

I am enclosing a Demand Draft No._____ dated_____ for Rs._____ drawn on _____Bank in favour of Export Inspection Agency- _____towards assessment fee for approval of the veterinarian/ technologist.

Signature
Name
Designation
Place
Date

Annexure XIVA

EXPORT INSPECTION AGENCY – _____
REPORT OF ASSESSMENT OF TECHNOLOGIST

1.	Name and Address of the establishment to which the candidate is attached	
2.	Approval No. of the establishment	
3.	Name of the Technologist	Mr./Ms.
4.	Educational/professional qualifications	
5.	Experience in fruit processing / QC	
6.	Date of Assessment	
7.	Whether the qualifications and experience are verified	Yes / No.
8.	Is this the first approval of technologist or renewal of the approval?	
	Factors of assessment	**Panel observations**
9.	Ability to supervise fruit processing operations	
10.	Knowledge of sampling techniques	
11.	Knowledge of organoleptic inspection of fruit products	
12.	Knowledge of microbiological testing of fruit products	
13.	Knowledge of chemical testing of fruit products	
14.	Knowledge of sanitation and hygiene control	
15.	Knowledge of HACCP based own checks system	
16.	Knowledge of record keeping	
17.	Knowledge of fruit product Notifications and Executive Instructions/ EC directives	
18.	Quality Consciousness	
19.	Knowledge of regulatory Requirements of importing countries	
20.	Any other in formations	

REMARKS/ RECOMMENDATIONS OF THE PANEL OF EXPERTS:

Signature			
N a m e			
Institution			
Date			

Annexure XIVB

EXPORT INSPECTION AGENCY – _ _ _ _ _
(MINISTRY OF COMMERCE AND INDUSTRY)
GOVERNMENT OF INDIA

Certificate of Approval of Technologist

Sh./Smt. .....
(Name of the technologist)

holding.....
(Qualification)

and residing at .....
(Residential address)

is hereby approved as a technologist to handle Fruit Products meant for export for a period of two years

valid up to and including .....

subject to the conditions that the performance of the technologist if found not satisfactory, the Export Inspection Agency- reserves the right to withdraw the approval granted to him/her to function as the approved technologist. Moreover, after the expiry of the validity of the approval, the technologist shall be reassessed by the IDP for granting fresh approval.

Place:
Date:

(Seal)

Signature:
Name:
Designation:

ANNEXURE –XV

MONITORING VISIT REPORT PROFORMA

Export Inspection Agency- Chennai/ Delhi/Kolkata/Kochi/Mumbai

1. Date of the Monitoring Visit
2. Name of the Processing Establishment
3. Approval Number
4. Scope of the approval (Products Name)
5. Product being Processed at the time of Visit
6. Name and Designation of the monitoring Officer(s) last visited
7. Whether defects pointed out earlier have been rectified by the Unit
8. Mention deficiencies that are not rectified
9. Whether any time frame given for rectification
10. Results of samples tested in the previous visit
11. Action taken in case of failure of test results

Sr. No.	**Details to be verified**	**[Conforming/ Non-Conforming]**	**Remarks**
1.	**LOCATION AND SURROUNDINGS**		
1.1	Is surroundings are neat, clean and free from any contamination		
1.2	If not, whether appropriate measures have been taken to protect manufacturing area from potential contamination		
1.3	Area within the processing plant is safe and free from harborage & pest		
2.	**LAYOUT AND DESIGN**		
2.1	Facility is properly designed and maintained		
2.2	Doors, Windows, Floors, ceilings and walls are in sound condition, smooth and easy to clean with no flaking paint or plaster		
2.3	Floors are appropriately sloped and have adequate & proper drainage. The flow of drainage is opposite to manufacturing process flow.		
2.4	Windows, doors and all other openings to outside environment are well screened and such screening is easily cleanable		
2.5	Control measures are in place to prevent entry of pests and rodents in processing area through drains?		
3.	**EQUIPMENT AND CONTAINERS**		
3.1	Equipment and utensils are in good order, smooth surface free from cracks & crevices, clean & sanitary condition		
3.2	Every utensil or container is having provision of cover/lid or clean gauze net to protect food from dust, dirt, flies or other insects.		
3.3	Equipment are so located, designed and fabricated to allow maintenance and cleaning as per its intended use		

3.4	Appropriate facilities for cleaning and disinfecting of equipment and instruments are available.		
3.5	Equipment and containers for waste, by-products and inedible or dangerous substances, are specifically identifiable and suitably constructed		
3.6	Containers used to hold cleaning chemicals and other dangerous substances are easily identifiable and stored separately to prevent malicious or accidental contamination of food		
4.	**FACILITIES**		
4.1	Safe water supply as per requirement is available for processing		
4.2	Provision for periodic cleaning of water storage tank in place with records		
4.3	Adequate supply of hot water and cold water		
4.4	Protection against backflow, back-siphonage, or other sources of contamination.		
4.5	Periodic removal of food waste and other waster material and duly recorded		
4.6	The disposal of sewage and effluents (solid, liquid and gas) is in conformity with requirements and adequate drainage, waste disposal systems and facilities are available.		
4.7	Waste storage is appropriately located and does not contaminate the food process, storage areas, the environment inside and outside the food establishment		
4.8	Adequate personnel facilities like wash basins, lavatories, changing/rest/refreshment rooms are available and adequate supply of soap, water etc.		
4.9	Ventilation system (including air filters, exhaust fans etc.) is adequately maintained.		
4.10	Proper natural or artificial lighting is provided to facilitate operations and Lighting fixtures are well protected		
5.	**FOOD PROCESSING OPERATIONS & CONTROLS**		
5.1	Physical checking & cleaning of raw material/ingredients is adequate		
52	Records of raw material /ingredients as well as their source of procurement are properly maintained		
5.3	Raw material storage is separated from finished product storage		
5.4	Storage facilities are adequately designed and constructed to protect contamination during storage and permit maintenance & cleaning		
5.5	Appropriate cold storage facilities as per requirement are available and conditions of storage are adequately maintained.		
5.6	Storage is subject to adequate stock rotation system as applicable like FIFO (First in, First Out), FEFO (First Expire First Out) and properly maintained		
5.7	Appropriate time and temperature control measures as per safety and suitability of food are in place along with proper records.		
5.8	Packaging materials are non-toxic, food grade and Labels are as per the requirements (National/Importing Country)		
5.9	The conveyances and/or containers meant for transportation are adequately maintained to retain the required temperature, humidity, atmosphere and other conditions.		
5.10	Receptacles in vehicles and / or containers are not used for transporting anything other than foodstuffs to avoid contamination. If used, appropriate measures are taken to avoid cross contamination.		
6.	**MANAGEMENT AND SUPERVISION**		
6.1	Standard Operating Procedure (SOP) for the processing of fruit products as well as its packing, despatch and Storage are adequately followed as per requirement		

6.2	Adequate number of technical managers and supervisors with appropriate qualifications, knowledge and skills are for monitoring and supervision		
7.	**SANITATION AND MAINTENANCE OF ESTABLISHMENT PREMISES**		
7.1	Cleaning and sanitation programme are duly observed and records are properly maintained		
7.2	Cleaning chemicals are handled carefully and stored separately away from food material.		
7.3	Documented Maintenance Procedure are duly followed		
7.4	Food establishment, including equipment and building are kept in good repair to prevent pest access and to eliminate potential breeding sites.		
7.5	Adequate pest control activities are maintained		
7.6	Records of pesticides / insecticides used along with dates and frequency are maintained.		
8.	**PERSONAL HYGIENE**		
8.1	Food Handlers/Employees are medically examined once in a year and proper records are maintained.		
8.2	Food handlers maintain a high degree of personal cleanliness and adequate and suitable clean protective clothing, head covering, face musk, gloves and footwear are used.		
8.3	Effective measures are in place to restrict people with known disease from contaminating the product		
8.4	Measures are in place to ensure that food safety & hygiene is not getting compromised due to visitors		
9.	**TRAINING**		
9.1	Food handlers are instructed and trained in food hygiene and food safety aspects along with personal hygiene requirements commensurate with their work activities		
9.2	Periodic assessments of the effectiveness of training, awareness of safety requirements and competency level are made and records are maintained.		
10.	**COMPLIANCE TO GMP/GHP/HACCP PLAN**		
10.1	**Records**		
	Records are up to date		
	Records are accurate		
	Records were available during monitoring		
	Documents or records not conforming to requirements		
10.2	**Procedure**		
	Preventive measures are followed		
	Monitoring procedures are followed		
	Corrective actions are taken against the faults		
11.	**TESTING STATUS**		
11.1	Raw material control is proper and parameters are tested as per requirements.		
11.2	Finished product is tested for parameters defined as per requirement		
11.3	Whether testing in In-house Testing facility is as per standards		
11.4	Testing of samples during visit, if facility available		
11.5	Details of samples drawn during visit and laboratory to which sent.		
12.	**Fraud Control (Specify if any violation noticed in the following areas**		
12.1	Misuse of CFEs		
12.2	Exceeding Capacity Limits		
12.3	Improper Labelling		
12.4	Manipulation of Records		

12.5	Storing of cargo of other establishments without permission		
12.6	Processing in unauthorized places		

The deficiencies observed by the monitoring officers during the monitoring visit shall be communicated to the processing establishment in writing for rectification with stipulated time period (15/30/45 Days).

Any other relevant information

Recommendations

- Overall Rating – Satisfactory/unsatisfactory

- Deficiency reported to the establishment
  (on deficiency report proforma as per annexure IX)
  (Please enclose (duplicate countersigned)

Signature:_____

Name _____

Date Place Designation:_____

Remarks of EIA:

Signature:
Name :
Designation:
Date:
Place:

Annexure XVA

EXPORT INSPECTION AGENCY – _____

NON-CONFORMITY REPORT (NCR)

Name of the establishment:

Approval No.:

Nature of inspection:

Date of Visit:

Name and Designation of EIA officer(s)

Name and Designation of the representative of the establishment

1. Earlier ***NCR*** pending for rectification

2. Details of deficiency/non-conformity observed along with the details of the major NCR

3. Comments / Agreed action:

---

i. Acknowledgement of report copy
ii. Deficiencies/non-conformities have been fully explained and understood by the establishment
iii. Confirmation of agreed or proposed corrective actions to be made to EIA within ……..(7/15/30 etc.) days

Signature : ……..	Signature :
Name : ……	Name :
Designation : ……	Designation :
(EIC / EIA officer)	Representative of the establishment

Note: It is advised that a copy of this report be pasted by the establishment in the establishment inspection register for necessary follow up action and future reference.

Annexure XVB

EXPORT INSPECTION AGENCY – _____

SUGGESTIONS FOR IMPROVEMENT

Name of the establishment :
Address :
Approval No. :
Nature of inspection :
Date of Visit :
Name and Designation of EIA officer(s)
Name and Designation of the representative of the establishment

1.
2.
3.
4.
5.

Agreed action by the processor :

Signature : ……..

Name : ……
Designation : ……
(EIC / EIA officer)

Signature :

Name :
Designation :
Representative of the establishment

Annexure - XVI

EXPORT INSPECTION AGENCY – _____

SUPERVISORY VISIT REPORT

1. Date of visit :
2. Approval No. :
3. Name of the Processing Establishment:
4. Product being processed at the time of visit:
5. Assessment of Unit

Sl. No.	**Area**	**Satisfactory**	**Details of deficiencies, if observed/ Remarks**
1.	Surroundings		
2.	Raw material Unloading / Receiving area		
3.	Processing Section		
4.	Personal Hygiene		
5.	Change Room		
6.	Water/Chemical/Additives		
7.	Rodent/Vermin Control		
8.	Effluent Treatment		
9.	Own Checks/HACCP system		
10.	Maintenance of records		
11.	Packaging/Storage/Transportation		
12.	Inspection and Testing Facilities		
13.	Any other relevant information i) Quality of the monitoring ii)Area of focus in which detailed assessment was done		

6. MV since last SV:

Sr. No.	Date	MvO	Satisfactory/ Unsatisfactory	Lab Results	Deficiencies observed	Action by Processor

7. Results of Water:
8. Recommendations:
   - ⇒ Overall Rating – Satisfactory / Unsatisfactory
   - ⇒ ***NCR***

Signature:
N a m e:
Designation:
Date: Place:

Remarks of the Agency In-charge
Signature:
N a m e:
Designation:
Date: Place:

Note: Monitoring Visit (**MV**) – supervisory Visit (**SV**) – Monitoring Officer (**MvO**) - Non-Conformance Report (NCR)

Annexure XVII

EXPORT INSPECTION COUNCIL
(Ministry of Commerce & Industry, Govt. of India)
CORPORATE AUDIT REPORT

1.	Auditee	
2.	Dates of Audit	
3.	Activity under Audit	
4.	Scope of Audit	
5.	Audit Team	
6.	Audit Schedule	
(i)	Opening Meeting	
(ii)	Closing Meeting	
7.	Observations	
8.	Non Conformities	
9.	Any other Remarks	

OBSERVATION FORM

S.No.	Element	Observation	Reference
1.			
2.			
3.			
4.			

NON-CONFORMITY REPORT

S.No.	Non-Conformity observed	Doc. Ref	Type of NC Major/Minor
1.			
2.			
3.			
4.			

General Observations

1.	
2.	
3.	
4.	
5.	
6.	

Team Leader Auditor
Proposed Corrective actions
Probable Date of Completion

Auditee

NC cleared/down graded/statuesque

Auditor

Date

Team Leader