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EXECUTIVE INSTRUCTIONS FOR APPROVAL AND MONITORING OF FISH & FISHERY PRODUCTS FOR EXPORT

Export Inspection Council

(Ministry of Commerce & Industry, Govt. of India)
New Delhi YMCA Building (3rd Floor)
1, Jai Singh Road, New Delhi – 110 001
Tel: +91 – 11 – 23748188/23748189/23365540
Fax: +91 - 11 - 23748024
E-mail: eic@eicindia.gov.in
Website. www.eicindia.gov.in

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1.	**INTRODUCTION**
1.1	The requirements for the approval of the feed mills, hatcheries, aquaculture farms, fishing harbours, landing / auction centres, fishing vessels, factory vessels, freezer vessels, pre-processing centres (independent / detached), ice plants (independent / detached), establishments and cold storages (independent / detached) to process or to undertake allied activities related to fish & fishery products meant for export have been published vide GOI Order 729 (E) dated 21.8.1995, subsequently amended vide Orders S.O. 792 (E) dated 17.8.2001, S.O.722 (E) dated 10.7.2002, S.O. 464 (E) dated 24.4.2003, S.O. 1227 (E) dated 23.10.2003 and 1227 (E) dated 31st July 2006 and GOI Notification S.O. 730 (E) dated 21.8.1995, subsequently amended vide Notifications S.O 415 (E) dated 11.4.2002, S.O 1029 (E) dated 24.9.2002, S.O.1034 (E) dated 9.9.2003, and S.O.717 dated 25.2.2005, S.O. 612 dated 15.2.2007, S.O.1519 (E) dated 16.6.2008, S.O.2714 (E) dated 28.10,2009, S.O. 143 (E) dated 21.1.2011 and S.O. 497 (E) dated 10.3.2011 on the basis of which the above facilities related to fish & fishery products meant for export are being approved by the Competent Authority {Export Inspection Council (EIC) for EU and Russian Federation (RF) and Export Inspection Agencies (EIAs) for Non-EU countries other than Russian Federation}. The Primary responsibility for meeting the health requirements of importing countries and also those specified in the GOI Notifications lies with the above facilities, for which they are required to plan and implement detailed HACCP based process control (own check system), where needed, and to maintain necessary records. The role of Export Inspection Council (EIC) and Export Inspection Agencies (EIAs) is to exercise Official Control by approving the facilities and implementing an effective surveillance system to ensure compliance to the requirements as per Rule 3 read with Rule 13 of the Notification No. S.O. 730 (E) dated 21 August 1995.
2.	**PROCEDURE FOR APPROVAL**
	Facilities intending to get involved in the activities related to the export of the fish & fishery products are to be approved by EIC / EIAs based on their compliance to the requirements of GOI Notification S.O. 730 (E) dated 21.8.1995, as amended from time to time, and those specified by the importing country. Minimum requirements for approval of aforesaid facilities are given at **Appendix - A, B, C, D, E, F, G, H, I & J** (**Page No.79-99).** Additional requirements for export of dried / salted fish, fish maws and value added products are given at **Appendix K & L (Page No. 100-101)** and special requirements for export to EU, USA, Japan, Russia, are given at **Appendix- M to P (Page No 102-109)** and the requirements for export to Brazil, Vietnam, Hong Kong, Saudi Arabia, New Zealand etc. are given at **Appendix- Q (Page No 110-111).**
2.1	**Application for approval**
2.1.1	The feed mills, hatcheries, aquaculture farms, fishing harbours, landing / auction centres, fishing vessels, factory vessels, freezer vessels, pre-processing centres (independent / detached), ice plants (independent / detached), establishments and cold storages (independent / detached),

	intending to process and / or to carry out allied activities, for export of fish and fishery, products shall submit an application for approval in the prescribed format placed at **Annexure A-1 to I-1 (Page No. 111-170)** in duplicate along with documents specified in the prescribed format to the nearest office of EIA under whose jurisdiction the operational base of the applicant is situated.
2.1.2	Application fee and assessment fee as per **Annexure 1 (Page No. 171-172)** shall be paid by the applicant by way of **demand draft / pay order** drawn in favour of the Export Inspection Agency concerned along with the application.
2.1.3	The application shall be accompanied by the following documents based on requirement (The documents required to be submitted along with application are stated in the prescribed application format): a) HACCP Manual (including the Sanitary Standard Operating Procedures, GMP, process flow chart (s) with product description and manufacturing details in each step, Hazard analysis work sheet and also plumbing diagram of water supply showing water taps serially numbered, Rodent Bait Map etc. as applicable). b) In the case of factory vessels, freezer vessels, pre processing centres (independent / detached), ice plants (independent / detached), establishments processing / pre-processing fishery products/ carrying out allied activities for export of fish and fishery products to the EU and Russian Federation, attested / certified copy of test report in respect of water complying requirements of Council Directive 98/83/EC dated 3.11.1998 used for processing and ice manufacture (In case the source of water supply is same for both, then test report in respect of ice need only be for microbiological parameters applicable as per Part-A of Annex-I of Directive 98/83/EC). However, in the case of factory vessels, freezer vessels, pre-processing centres (independent / detached), ice plants (independent / detached), establishments meant for export of fish and fishery products to countries other than EU and Russian Federation, the water and ice need to be tested as per IS: 4251 (other than radiological parameters). In case the source of water supply is same for both, then test report for ice needs to be only for microbiological parameters applicable as per IS: 4251. In all cases, the samples of water and ice shall be tested in any of the EIA laboratories or EIC approved labs. Sampling of water and ice shall be done by EIA official for testing in EIA lab and by the representative of the lab for testing in EIC approved lab. In the case of cold store (independent / detached), water test report is not required. c) Layout plan covering all sections including machineries used for freezing, cooking, etc. as applicable (site plan and building plan

	preferably in A-4 size). d) Attested / Certified copies of documents proving legal identity of the applicant and scope of their operations. (for example Partnership deed for partnership firm, Certificate from applicant's bank for proprietary concern, Certificate of incorporation, Memorandum & Articles of Association for company) e) Attested / Certified copy of lease agreement for the premises and building where ever necessary. f) Attested / Certified copy of registration certificate issued by registering authority as applicable (If not available at the time of applying for approval, this may be submitted before grant of full approval). g) Bio-data of the technologist(s) / competent personnel with attested copies of degree certificate(s), experience certificate(s), training certificate, appointment letter and certificate of approval issued by EIA, if the technologist is already approved. If approved technologists are not available, application for approval of technologist(s) with necessary fee shall also be submitted. In case of hatchery, feed mill, freezer vessel, ice plant and cold store bio-data of competent personnel is to be submitted. **h)** An Undertaking and Guarantee, where applicable, in the formats placed at **Annexure – 2 (Page No. 173-174).** i) Attested / Certified copy of consent to operate letter, where applicable, issued by State Pollution Control Board concerned. (In case the consent to operate letter is not available at the time of applying for approval, this shall be submitted before the grant of full approval. However in such cases a copy of the application made to State Pollution Control Board shall be submitted at the time of filing application for approval to EIA concerned). j) Attested / Certified copy of the order allotting Importer Exporter Code number (IEC).
2.2	**Processing applications for approval**
2.2.1	Applications received shall be scrutinised within 3 working days by the EIA office where it has been received and the discrepancies / shortcomings observed shall be immediately communicated to the applicant for rectification. The application along with the HACCP manual, where applicable, shall be forwarded to the Head Office of the Agency within seven working days after receiving it complete in all respect. An assessment of the HACCP manual and SSOPs shall be carried out by the EIA officer(s) authorised by In-charge of the Agency and after

	assessment of the HACCP manual, an adequacy audit report shall be forwarded along with the recommendations to the In-charge of the Agency as per the format specified at **Annexure 3** *(***Page No.175-178)**. After further scrutiny at Head Office of the concerned EIA, deficiencies, if any, observed in the HACCP manual shall be communicated by the head office to applicant / sub office concerned as applicable, for rectification.
2.2.2	Application complete in all respect, along with HACCP documentation shall be forwarded by the Agency to the Convener of Assessment Panel of Experts (APE) for arranging assessment of the applicant's facility.
2.3	**Assessment of the facility**
2.3.1	The Convener of APE shall ensure that assessment of applicant's facility is carried out within 15 working days of receipt of their application by the APE convener, complete in all respects. In case of initial approval of the **factory vessels**, **freezer vessels, pre-processing centres (independent, detached), establishments,** the APE shall assess the unit in two stages. However, in the case of **feed mill**, **hatchery**, **aquaculture farm, fishing harbour**, **landing/ auction centre, fishing vessel**, **ice plant** and **cold storage** the assessment shall be done in one stage only and there is no conditional approval. In the first on-site visit, the APE shall assess the infrastructure and equipment facilities and also their compliance to regulatory requirements specified in the GOI Notification / Executive Instructions and if satisfied, recommends for the **conditional approval** of the facility. Once conditionally approved by the Competent Authority, the facility shall be allowed to start processing of fish and fishery products (F&FP) or carry out related activities. Export of F & FP to Non EU countries (other than the Russian Federation) shall be allowed after full approval. However, in case of the EU and the Russian Federation, the export of F & FP shall be permitted only after enlisting the name of the facility in the EC / Russian Federation approved establishment list. The list can be seen in EC/FSVPS website. The conditionally approved processor shall intimate the Agency as soon as production has started. While the processing activities are in progress, the APE shall make its second visit to the facility to assess the processing methods adopted by the unit and also to conduct HACCP audit. Based on the satisfactory assessment report of the APE, the **full approval** shall be granted to the facility by the Competent Authority. However, in cases where a non-EU approved facility submits application for the approval to process / to carry out related activities of F&FP for export to the EU countries or to Russian Federation, the conditional approval is not required. In such cases, the APE may conduct assessment of infrastructure,

	equipment and HACCP implementation of the facility in the first instance itself and if satisfied, recommend for the **full approval** of the unit. In such cases, the unit shall ensure that the processing activities are in progress in the facility during the APE visit and shall demonstrate the compliance of HACCP implementation and other regulatory requirements.
2.3.2	The composition of APE shall be as constituted by EIC from time to time.
2.3.2.1	The specific members of the Assessment Panel will be decided by the In-charge of the Export Inspection Agency from the composition of APE as constituted by EIC**.**
2.3.2.2	The APE may comprise representatives from EIC, EIA, CIFT, MPEDA, Coastal Aquaculture Authority (CAA*),* Central Marine Fisheries Research Institute (CMFRI), State Fisheries Departments, Fisheries Colleges, Harbour Authorities, National Fisheries Development Board (NFDB), port trust authorities, Trade Associations or Empanelled Experts based on the need for expertise to objectively carryout the assessment. If required, external experts having suitable qualification in fish / food sector and adequate experience in auditing fish processing facility / laboratory may be included in the APE, from the list of EIC empanelled experts. While constituting the APE, the In-charge of the Agency shall ensure that the panel has at least an expert having qualifications / experience in auditing the in-house laboratory of the facility and also in conducting HACCP audit of the facility, as applicable. While constituting the APE, experience and expertise of the members in the fishery field shall be taken into account.
2.3.2.3	The Convener of the APE shall be an EIA representative of the level of Deputy Director, having adequate qualification / experience in Fish / Food Schemes. However in unavoidable circumstances, senior most Assistant Director having adequate experience and qualification in fish / food scheme may be nominated as EIA representative by the In-charge of the Agency. All members of the APE shall be, at least, of the level of Assistant Director.
2.3.2.4	The quorum of APE shall be two. However, it must be ensured that the APE has appropriate experts to carryout an objective assessment of the facility.
2.3.3	The APE shall assess the infrastructure and equipment facilities of the unit in the first visit and shall use the prescribed Assessment Report Format placed at **Annexure 4 to 13 (Page No.178-231)** for reporting its observations. Enough flexibility shall be given while assessing the infrastructure / equipment facilities and the aim shall be to avoid cross contamination which may also be achieved by time and space separation.
2.3.3.1	In case the APE finds any deficiency during its assessment, the same shall be recorded in the Non- Conformity Report (NCR) which shall be counter-signed by the representative of the facility as a token of acceptance. A copy of the NCR shall be handed over to the facility. Suggestions for improvement, if any, shall be given to the facility separately, the implementation of which shall **not** be a part of the approval procedures.

2.3.3.2	The APE convenor shall submit the assessment report with recommendations of the APE to the In-charge of the EIA within 3 working days after completion of the visit to the applicant's facility. In case verification of the rectifications is needed, the same may be undertaken as per the time frame prescribed by the Panel (maximum 3 months).The said report shall be submitted to the Agency In-charge within 3 working days of verification. The recommendations of the Panel shall clearly state whether the applicant's facility is recommended for conditional approval or not.
2.3.3.3	The laboratory expert of the APE shall assess the in-house lab of the facility and submit proper recommendation for approval of the lab. If the in-house lab is not recommended for approval and if the unit meets all the other requirements, the APE may recommend for approval of the unit on conditional basis, provided the unit gives a written undertaking that the own check samples will be given for microbiological analysis to EIA lab till such time the in-house lab is approved by the Competent Authority.
2.3.3.4	In the case of **frozen fishery products,** the APE shall assess the **production capacity** of the factory vessels / establishment based on the Operational Freezing Capacity, which is calculated based on the actual quantity of F&FP that can be frozen per day considering the time required for defrosting and other operational aspects. The APE shall also check whether the facility has adequate ice / chilled water availability commensurate with its production capacity. In the case of fishery products that can be stored in ambient temperature, the production capacity is calculated based on the actual quantity of finished products that can be produced per day by the facility. However, in case MPEDA had already fixed the operational freezing capacity of the factory vessel / establishment, the same may be adopted as production capacity. The APE shall assess the production capacity of the **freezer vessels** based on the freezing and frozen storage capacity of the vessel. Note: The APE shall also assess the minimum number of approved technologists required by the factory vessels / pre-processing centres (independent, detached captive) / establishment / hatchery / feed mill, considering the volume of work and the products handled by the facility and the same shall be recorded in the assessment report. In the case of aquaculture farm, fishing harbour, landing / auction centre, fishing vessel, freezer vessel, ice plant and cold storage, instead of approved tecnologist, competent personnel is required for conducting own-checks.
2.3.4	The report of the APE visit shall be examined by the in charge of the EIA concerned. The following three situations may arise:
2.3.4.1	In case the factory vessel / freezer vessel / pre-processing centre / establishment is recommended for conditional approval by the APE, and if agreed to by the In-charge of EIA, the DD In-charge of F& FP scheme, shall

take following actions:

a) Allot an approval number to the approved facility as per **Annexure 14 (Page No. 232-233)**. The approval numbers shall be allotted to units in chronological order and it should be used only once for a particular facility, except in the case of change of name where same number is requested by the facility. In case the approval is withdrawn, the approval number of the facility shall not be allotted to a new facility. The Agency shall maintain proper records for allotment of approval numbers.

b) Open a file with 4 parts as applicable: Part A, Part B, Part C and Part D.

"**Part A**" shall bear the Approval Number followed by suffix "A" (e.g. "861 A"). This file shall contain approval documents such as application for approval / renewal, APE assessment reports, approval of additional facilities, technologists, merchant exporter and other correspondence relating to approval of the facility.

"**Part B**" file shall bear the approval number followed by suffix 'B'. (e.g. "861 B") This file shall contain copies of monitoring reports, supervisory visit reports, HACCP audit reports, NCR (Non Conformity Report), suggestions for improvement and laboratory test reports.

"**Part C**" file (if applicable) shall bear approval number with suffix 'C' (e.g. "861 C") and shall have copies of Certificate for Export (CFE) and Health Certificates issued by EIA.

"**Part D**" file (if applicable) shall bear approval number with suffix 'D'(e.g. "861 D") and have details of Foreign Complaints including all relevant papers and details of all actions taken thereof including imposition and revocation of "Internal Alert" etc.

All records of File A shall be kept at least for a period of five years after withdrawal of approval. However records of File B, C and D shall be kept for, at least, three years.

c) In the case of facilities meant for export of F&FP to the non-EU countries other than Russian Federation, conditional approval is granted by the In-charge of the Agency for a period of three months from the date of approval, which may be extended to a maximum period of six months. The conditional approval shall be intimated to the facility as per the format given at **Annexure 15 (Page No. 234-235).**

d) In the case of facilities meant for export of F&FP to the EU and Russian Federation, the In-charge of the Agency shall send recommendations to EIC in the prescribed format placed at **Annexure 16 (Page No. 236-237)** along with the APE report, within three working days of receipt of the APE report, for grant of

	conditional approval of the facility.
2.3.4.2	In case the APE does not recommend approval and if agreed to, the In-charge of the EIA shall convey the same to the applicant, within seven days of the receipt of the APE report, along with the reasons for which applicant facility has not been considered fit for approval in the prescribed format **Annexure – 17 A / 17 B (Page No. 238-239)**.
2.3.4.3	In case the deficiencies observed and recorded by the APE can be rectified within a reasonable time (maximum of three months), a copy of Non-Conformity Report (NCR) shall be given to the unit for rectification of the deficiencies within an agreed period of time not exceeding three months. The verification of the rectifications carried out by the applicant facility shall be done either by APE or Convener of APE or any other officer authorised by the In-charge of Agency, Once verified and found satisfactory, the actions as per clause 2.3.4.1. shall be followed.
2.3.5	**Action to be taken by Export Inspection Council (EIC)**
	I. On receipt of the recommendation of the In-charge of the EIA concerned, the Technical Division of EIC shall process the same for the grant of conditional approval by Director (I&QC) within 7 working days. II. Director (I&QC) may grant conditional approval to the facility. The conditional approval shall initially be for a period of 3 months from the date of the conditional approval, which may be extended up to a maximum period of 6 months. III. EIC shall communicate the conditional approval to the In-charge of the Agency, who in turn shall inform the unit in format placed at **Annexure 15 (Page No. 234-235).**
2.3.6	The production and export from the facility shall be as per the following conditions:

Export of F&FP to	**During the period of Conditional Approval**	**After grant of Full Approval**
EU member states / Russian Federation	Production is allowed. Export is not allowed.	Export permitted only after the name of the facility appears in the EC / Russian Federation list. Health certificate will be issued from the date EC / FSVPS notifies the facility's name in its list.
Non-EU countries other than the Russian Federation	Production is allowed. Export is not allowed.	Export is allowed. Health certificate will be issued from the date full approval is granted.

2.3.7	As soon as the facility (factory vessel / freezer vessel / pre-processing centre / establishment) starts production of F&FP in their conditionally approved unit, it shall inform the EIA concerned in writing for arranging the second APE visit for conducting HACCP audit and also to assess the adequacy of the processing methods of the unit. The facility should have production of F& FP in progress in the unit at the time of APE visit. Assessment of high risk products shall be given due consideration. This is necessary if the facility is processing many products.
2.3.8	The APE shall conduct the HACCP audit and submit its report to the In-charge of the Agency in the prescribed format placed at **Annexure- 13 (Page No. 224-231)**. The deficiencies observed, if any, in HACCP implementation, GMP etc. are recorded in the report and a copy of the same shall be given to the facility for corrective action, which shall be carried out within a maximum period of one month, thereafter verified by the APE or the convenor of APE, or any other officer authorised by the In-charge of Agency. If required, the APE shall recommend the extension of the conditional approval of the unit beyond three months. However, in any case, the conditional approval will not be extended for more than 6 months from the initial date of conditional approval. In case the period of 6 month is over and EIA / EIC has not granted the full approval and the fault lies with the processor for the said delay, then the conditional approval stands "withdrawn" and the facility has to apply for approval afresh. Accordingly a withdrawal letter shall be issued to the facility by the In-Charge of the Agency under intimation to EIC.
2.3.9	On satisfactory completion of the HACCP audit, the APE shall recommend full approval of the facility and submit its report to the In-charge of the Agency.
2.3.10	In the case of facility meant for export of F&FP to non-EU countries other than the Russian Federation, the In-charge of the Agency shall grant full approval of the facility for a period of two years from the date of the conditional approval, which shall be intimated to the unit in the format specified at **Annexure 18 (Page No. 240-241) / Annexure 18A (Page No. 242-243)** with a copy marked to the Director (I&Q/C) for information. The in-charge of the Agency shall also issue 'Certificate of Approval' to the facility as per the format specified at **Annexure 19 (Page No. 244).** The certificate of approval shall be issued only after granting full approval to the facility. However in the case of facilities meant for export of F&FP to the EU and / or Russian Federation, the in-charge of the Agency shall send his / her recommendation for approval to the Director (I*&QC),* along with the APE report as per **Annexure – 16 (Page No. 236-237)**
2.3.11	**Action to be taken by the Export Inspection Council (EIC)** a) On receipt of the recommendations of the In-charge of the

	Agency, the technical division in EIC shall examine the documents and if these are in order, submit the same to the Director (I&QC) for approval within 7 working days. Approval of Director (I&QC), if granted shall be conveyed to the In-charge of the EIA to enable issuance of a formal letter to the facility. Unit shall be approved, under normal circumstances, for a period of two years from the date of conditional approval given by Director (I&Q/C). b) Certificate of approval shall be issued by EIC as per the prescribed format placed at **Annexure – 20** *(***Page No. 245)** and sent to the facility through the EIA concerned. The certificate under normal circumstances shall be valid for a period of 2 years from the date of conditional approval by Director (I&QC). (For example, if the date of conditional approval is 12.11.2008 then the date of expiry of the approval shall be 11.11.2010). The certificate of approval shall be issued only after granting **full approval** to the facility. c) Once the Director (I&QC), grants the full approval to the factory vessels, freezer vessels, establishments and cold storages, the existing list of the facilities shall be updated by including the name of the facility and a copy of the updated list along with specific recommendation shall be sent to the Mission of India, in Brussels for taking up the matter with EC for including the name in the third country establishment list with copies to DoC, EIAs, and MPEDA. Such changes if any shall be communicated to EOI in first week of the following month. d) In case of establishments approved for export to Russian Federation, EIC shall send necessary recommendations to Russian Authorities for including the name on the official website. Such changes if any shall be communicated to EOI in first week of the following month.
2.3.12	On receipt of approval of EIC, the Agency In-Charge shall issue a formal letter of full approval to the concerned facility with copy to Commissioner of Customs, computer division of EIC, MPEDA, and to the sub-office concerned with an endorsement to EIC as per **Annexure 18** (**Page No. 240-241)**.
2.4	**Procedure for granting approval for export of F & FP to EU & / or Russian federation to an already approved Non EU facility**
2.4.1	Approved Non-EU F & FP facility intending to export to the EU countries or Russian Federation shall submit its application for approval in the relevant format available among formats given at A**nnexure- A-1 to I-1 (Page No.112-170)** along with application fee and assessment fee as per **Annexure – 1 (Page No.171-172)**. The documents already submitted earlier need not be submitted again if there is no change in these documents.
2.4.2	On receipt of application EIA / EIC shall follow the procedures specified at Clause 2.2 and Clause 2.3, as applicable.

2.4.3	Adequacy audit of HACCP Manual need not be conducted if there is no change.
2.4.4	As there is no conditional approval in this case, the APE shall assess the infrastructure and equipment facilities and HACCP implementation of the unit in the first instance itself and if satisfied shall recommend for full approval of the unit for export to the EU/Russian Federation. It shall be ensured that the unit is having production at the time of visit. The APE shall use the relevant Assessment Report from formats placed at **Annexure – 4 to 13 (Page No.178-231)**.
3.	**Approval of Technologist**
3.1	The technologists shall be approved only after they are assessed and found fit by the assessing team. For this purpose, individuals having the qualifications prescribed at Rule 9.6.1 of GOI Notification S. O. 730 (E) dated 21st August 1995 and intending to get approval as technologist shall submit an application, in duplicate, to the EIA as per the format given at **Annexure 21 (Page No.246)** along with application fee as per **Annexure 1 (Page No. 171-172)** by Pay Order / Demand Draft drawn in favour of the Export Inspection Agency concerned and attested copies of educational qualifications, training certificate(s) and experience certificate. The employer establishment can also apply for approval of its technologists in its letter head in format given at **Annexure 21A (Page No.247)** to the EIA concerned and paying the necessary fees and furnishing the bio-data of its technologist(s).
3.2	For the purpose of assessing the technologist, the In-charge of the agency shall be the convenor of the APE. The Deputy Director in-charge of F&FP scheme and Deputy Director of laboratory shall be the other members. External expert(s) may also be included in the panel. **Assessment of the technologist shall be conducted at the Head Office of the EIA concerned.** The APE shall prepare the assessment report in the format given at **Annexure 22 (Page No**. **248**) in the case of Individual applicants and in the format given at **Annexure 22 A (Page No 249)** in the case of Employer Sponsored Candidates. The **individual applicant(s)** approved as technologists can serve establishments exporting F&FP to EU / Non-EU / Russian Federation or carrying out related activities. However, the employer sponsored candidates approved as technologists will serve as approved technologists in the employer facility only. The approval of individual applicants will be done at EIC by Director (I & QC), while the approval of employer sponsored candidates will be done by the in-charge of the EIA. The in-charge of the Agency shall send the following documents to EIC with recommendation for grant of approval to the individual applicants who are found fit by the APE: 1. Application received from the individual for approval technologist along with all the enclosures; 2. Assessment report; and 3. Recommendation of Agency In-charge. On approval of technologist by the Director, EIC, a certificate of approval will be

	issued by EIA, as per the prescribed format placed at **Annexure – 23 (Page No.250)** to the **individual** applicants. The in-charge of the Agency shall grant approval to employer sponsored candidates found fit by the APE and issue a certificate of approval in format placed at **Annexure – 23A (Page No.251)** to the employer establishment which has applied for approval of its technologist(s) by paying the necessary fees. Where the applicant is an employer establishment, its technologist(s) approved by EIA will be eligible to act as approved technologists in the establishment(s) of the applicant employer only; If these technologist(s) decide to leave the present employer and seek fresh employment in some other establishment, they will have to apply for approval afresh. However, individual applicants who have been approved as technologists need not seek a fresh approval if they shift employment from one establishment to another during the validity period of their certificate of approval. In case any individual or employer sponsored candidate is found not fit for approval by the APE, the applicant concerned shall be informed of the reasons for non-approval in writing by the in-charge of EIA within 7 days of the assessment. The failed candidates are eligible to seek approval afresh by submitting application and paying the prescribed fee. The intimation regarding the date , time & venue of assessment shall be sent by EIA to all the applicants at least one month in advance. In case the technologist does not turn up for the assessment then action on the application may be treated as complete. In such case he / she has to apply afresh. Updated unit wise list, shall be maintained at S.O. / H.O. EIA as per **Annexure 68 (Page No. 341)** The approval granted to the technologist is valid for two years from the date of approval. Application for re-assessment and approval shall be submitted by the individual technologists or employer establishments, as the case may be, at least two months before the expiry of the validity of approval to the EIA concerned along with necessary application fee for re-assessment of the technologist(s). The processor shall inform the EIA of any change of technologist(s). Moreover, it is also the responsibility of the approved technologist and the facility to inform EIA regarding any change in the approved technologist's work station. . **Note:** The minimum number of technologists required in an approved F & FP facility shall be fixed based on the recommendation of APE assessing the facility, which shall take into consideration the volume of work, number of work shifts, laboratory testing work and the products handled by the facility. However, minimum number of approved technologist(s) for an EU / Russian Federation unit shall be two and for a Non EU unit it shall be one.
4.	**Procedure for approval for approval of additional facilities / activities of approved units**
4.1	The approved units seeking approval of additional facilities / activities such as

	additional cold storage, ice plant, freezer, new process activities etc. shall submit their application, in duplicate, in the prescribed format placed at **Annexure- 24 (Page No. 252-254)** 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 and assessment fee as per **Annexure 1 (Page No.171-172)** - which shall be paid by way of demand draft / pay order drawn in favour of the EIA concerned.
4.1.1	Application(s) received shall be scrutinised and the discrepancies / shortcomings observed shall immediately be 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 concerned EIA along with the process flow chart and SOP 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.
4.1.2	Applications complete in all respect shall be forwarded to Head office of EIA. The In-charge of the Agency shall decide whether the assessment of the unit to be carried out by the APE or by the Deputy Director in-charge of FFP scheme (convener of APE) depending upon the nature of additional facility / activity to be assessed for approval. For the approval of processing of value added products / non-conventional fishery products, experts in the relevant field may be included in the APE.
4.1.3	The Convener-APE shall ensure that assessment of the additional facility / activity of applicant unit is carried out within 15 working days of receipt of their application complete in all respect.
4.1.4	The prescribed Assessment Report Format placed at **Annexure- 25 (Page No. 255-257)** shall be used for reporting the observations.
4.1.5	In case any major or serious deficiencies are observed during assessment, these shall be brought to the notice of the unit through the NCR for taking corrective action within an agreed time period, maximum of one month. The rectifications carried out by the unit shall be verified by either the APE or the Convenor of the APE, or any other officer authorised by In-charge of Agency. The report and recommendations shall be submitted to the In-charge of the EIA concerned within 3 working days of completion of the assessment of the applicant's unit. The recommendations shall clearly state whether the additional facility / activity is recommended for approval or not.
4.1.6	The In-charge of the EIA shall examine the assessment report of the APE / APE convener.
4.1.7	In case the APE **/** APE convener recommends approval of the additional facilities / activities and the In-charge of EIA accepts the recommendation, he shall take the following steps: a) In the case of Non-EU units other than Russian Federation, the

	in-charge of the Agency shall approve the additional facility / activity and inform the unit concerned within 3 working days of the receipt of the report of the APE / APE Convener. b) In the case of the EU / Russian Federation units, the In-charge of the Agency shall forward the following documents to EIC within 3 working days of receipt of the report of APE / APE convener for approval of Director (I&QC) with a covering letter: (i) A copy of application received from the unit for approval of additional facilities / activities. (ii) A copy of the assessment report of APE / APE Convener recommending approval for the additional facilities / activities; (iii) Recommendations of the In-charge of the EIA; (iv) A copy of the Certificate of Approval (CoA) issued by EIC or Original CoA issued by EIC, if endorsement is needed.
4.1.8	In case the APE / APE convener does not recommend approval, the In-charge of the EIA shall convey to the applicant, within seven working days of the receipt of the APE report, the reasons for which, the additional facilities / activities of the unit have not been approved.
4.2	**Action to be taken by EIC**
	On receipt of the satisfactory report of the APE / APE convener along with the recommendations of the In-charge of the EIA for the approval of the additional facility / activity, the technical division of EIC shall process and submit a note to the Director (I&Q/C).for approval. Approval of Director (I&Q/C) shall be communicated to the EIA concerned, which shall in turn inform the decision to the unit concerned. There will not be any change in the validity of approval given earlier. On receipt of the old CoA, a new CoA shall be sent to EIA by EIC, after incorporating the additional process activities in the certificate of approval.
5.	**Procedure for renewal of approval of the facility**
5.1	EIA shall remind the facility about renewal as per **Annexure 27 (Page No. XXXX)** 90 days before the expiry of current approval**.** The letter shall be addressed to the highest authority of the facility. The approved facilities, seeking renewal of approval shall submit application, in duplicate, at least 60 days in advance of the expiry of earlier approval to the controlling local office of the EIA. Factory vessels / pre-processing centres / establishments shall apply in the form prescribed at **Annexure A-1, B-1, C-1, D-1, E-1, G-1, H-1, I-1 (Page No. 112-170) and Annexure 26 (Page No. 258-259)** along with the relevant documents, application and assessment fee as per **Annexure -1 (Page No. 171-172)** , which shall be paid by way of demand draft / pay order drawn in favour of the EIA concerned.
5.1.1	Application(s) received shall be scrutinised and any discrepancies /

	shortcomings observed shall be immediately communicated to the applicant for rectification.
5.1.2	Application complete in all respect shall be forwarded to the In-charge of the Agency for arranging assessment of the applicant's facility.
5.1.3	The Convener-APE shall ensure that assessment of applicant facility is carried out at the earliest. Moreover, in-charge of Agency shall ensure that yearly HACCP Audits as per **Clause 9.4** are conducted well before the APE assessment for renewal of approval.
5.1.4	It shall be ensured by the In-charge of the Agency and the APE Convenor that all formalities for the renewal of approval are completed well before the expiry of approval. Assessment of the facility shall be arranged in consultation with the applicant.
5.1.5	In case the facility does not apply for renewal in time and if the renewal of approval is not completed within the validity period due to the delay on the part of the processor and the approval granted to the unit lapses, the unit will need to apply for fresh approval. In case of non EU units, the letter for non-renewal of approval shall be issued by in-charge of EIA to the facility under intimation to EIC, and in case of EU, the in-charge of EIA shall send the recommendation to EIC for non-renewal of approval and for delisting the unit from EC / Russian Federation list.
5.1.6	APE shall assess the infrastructure and equipment facilities, hygiene & sanitation, own-check system exercised by the unit at all stages of production, implementation of statutory requirements, maintenance of records etc. as per **Annexure 4 to 8 & 10-12 (Page No. 178-193, 211-223)** to ensure that the approved facilities are maintained properly and control measures are adequate. APE shall use the **Annexure *2*8 (Page No. 261-267)** for assessing the facility for renewal of approval for factory vessels, PPC and establishments. HACCP audit need not be conducted by the APE during assessment for renewal of approval.
5.2	In case the APE finds any deficiency during assessment, these shall be recorded in the Non conformity report (NCR)**,** a copy of which shall be given to the facility for taking corrective action within an agreed time period but well within the validity period of approval. The APE shall submit its report and recommendations to the In-charge of the EIA concerned within 3 working days of completion of its assessment of the applicant's facility. The recommendations of the APE shall clearly state whether the applicant facility is recommended for renewal of approval or not. The APE assessment report and the HACCP audit reports (as per Clause 9.4) shall be examined by the EIA concerned.
5.2.1	In the case of EU ***/*** Russian Federation approved facility, if the APE does not recommend for renewal of approval, the In-charge of the EIA shall, within 3 days of the receipt of APE report, forward a copy of the APE report and

	HACCP Audit report to EIC with recommendation to the Director (I&Q/C) for the non-renewal of approval granted to the facility and to arrange delisting of the facility from the EC / RF list. However, in the case of non-EU (other than RF) approved facility, the decision for non-renewal of approval lies with the In-charge of the Agency.
5.2.2	In case the APE recommends renewal of approval and the HACCP audit reports of the approval period are found satisfactory, the In-charge EIA shall take the following steps: a) For non- EU (other than RF) facilities, the in-charge of the Agency shall grant the renewal of approval for a period of two years from the date of expiry of earlier approval and inform the facility accordingly with a copy marked to the Director (I&Q/C). In-charge of EIA shall also issue the "Certificate of Approval" to the unit. b) For the EU / RF facilities, the in-charge of the Agency shall send recommendation for the renewal of approval as per the format specified at **Annexure- 29 (Page No. 268)** along with the following documents to the Director (I&Q/C) within three days of the receipt of the APE report. I. A copy of application received from the facility for renewal of approval. **II.** Statement of performance of units in format at **Annexure 30 (Page No. 269)** III. Copies of the assessment report of APE recommending renewal of approval for the facility and last two HACCP audit reports. IV. In case the unit is on 'internal alert' due to RASFF Notification issued by EC / other rejection from importing country, the current status report of action(s) taken for all the complaints received within 2 years, shall also be submitted as per **Annexure 31 (Page No. 270-272).**
5.3	**Action to be taken by EIC**
	On receipt of satisfactory APE report and HACCP audit reports along with the recommendations of the in-charge of the EIA, the technical division of EIC shall examine the same and put up for approval of Director (I&Q/C). Certificate of approval shall be issued by EIC as per the prescribed format placed at **Annexure – 20 (Page No. 245)** and sent to the unit through the EIA concerned. The certificate under normal circumstances shall be valid for a period of 2 years from date of expiry of earlier approval.
6.	**Permission to process & pack fish and fishery products for merchant exporter**
	I. Approved **factory vessels / establishments** shall be permitted to process and pack fishery products for export by one or more merchant exporter(s), depending upon their assessed production capacity, as mentioned below: a) Factory vessels / establishments having assessed production

capacity up to and including **10 MT/day** will be permitted to process and pack for **one** merchant exporter. However, if the processor does not want to export in its own name, one more merchant exporter can be accommodated.

b) Factory vessels / establishments having assessed production capacity of **above 10 MT/day** will be permitted to process and pack for **two** merchant exporters and in case the factory vessel / establishment does not want to export in its own name, one more merchant exporter will also be permitted.

c) Factory vessels / establishments exclusively handling fresh / chilled fishery products, processing canned / retort pouch packed / pasteurized / acidified / dried fishery products will be permitted to export in the name of the merchant exporter (s) up to a maximum of two, at any given time as operational freezing capacity is not applicable in these cases.

d) Approved freezer vessels are not allowed to process and pack fish and fishery products meant for export by the merchant exporter(s).

II. Approved factory vessels / establishments and the merchant exporter(s) shall also be permitted to export "on account" of Export Houses, Trading Houses, Star Trading Houses or Super Star Trading Houses only. However, while issuing Certificates for Export (CFE) for such "on account" export, it may be ensured, that the column no.1 of the CFE shall contain the details of the exporter as well as the "on account" exporter.

III. Merchant Exporter(s) and "On account" exporter(s) intending to export F&FP should have valid certificate(s) of registration, a copy of which shall be submitted to concerned EIA for verification and records.

IV. Factory vessel / establishment intending to process and pack F & FP on behalf of merchant exporters shall submit its application to the concerned EIA as per the format given at **Annexure 32 (Page No. 273),** along with the fee as per **Annexure 1 (Page No. 171-172)** and also the documents specified in the application format. Application complete in all respect shall be considered by EIA, based on the capacity fixed for daily production vis–a -vis the requirements of the merchant exporters.

V. Permission to process / handle F&FP meant for export by the merchant exporter(s) is given by the EIA as per the format given at **Annexure 33 (Page No. 274).**

VI. Certificate for Export (CFE) issued by the approved factory vessels / establishments meant for export by the merchant exporter/ on account exporter shall be got counter signed by the EIA concerned before shipment, for which a fee as per **Annexure 1 (Page No. 171-**

	172) shall be paid for each certificate by the processor to the EIA. The EIA concerned may collect the monitoring fee directly from the merchant exporter, if requested by the approved processor. In the case of fresh / chilled F&FP, counter signing prior to shipment is not required. However fee for counter signing on post facto basis shall be charged. When an approved processor requests EIA for cancellation of permission given to process and pack fishery products for any merchant exporter for cancellation, the permission shall be withdrawn using format given **at Annexure 34 (Page No. 275) .** VII. The validity of the permission granted by EIA for processing and packing F & FP in favour of merchant exporter shall be co-terminus with the validity of the approval of the factory vessels / establishment / validity of the agreement entered between the processor and the merchant exporter / validity of the registration as merchant exporter with MPEDA, whichever is earlier. (It is clarified that as long as the processor ensures that its EIA approval /agreement with its merchant exporter/ merchant exporter's registration with MPEDA continues to be valid without a break by timely renewal, there is no need to seek a fresh EIA permission for packing F&FP for the same merchant exporter; However, if there is a break in EIA approval of the facility or the agreement with the merchant exporter lapses or the merchant exporter's registration with MPEDA lapses, the permission given to the processor by EIA to pack F&FP for the merchant exporter gets automatically terminated and if the processor desires to cater to the same merchant exporter, it shall seek EIA permission afresh.)
7.	**Change in the name of the facility**
7.1	In case there is a change in the name of the company, the facility concerned shall request EIA for change of name along with application fee as per **Annexure 1 (Page No. 171-172)** which shall be paid by way of demand draft / pay order drawn in favour of the EIA concerned under whose jurisdiction the facility is situated. An application shall be submitted along with the following documents, as applicable; i. Attested / Certified legal documents relating to the change. ii. Attested / Certified copy of MPEDA registration in new name. iii. Attested / Certified copy of legal identity of the new facility. iv. Undertaking and guarantee as per **Annexure 2.** v. Attested / certified copy of the consent letter of PCB in the new name. vi. Attested / certified copy of the IE code in the new name. vii. Original Certificate of Approval issued to the facility. viii. NOC (No objection Certificate) from existing facility stating that they have no objection in using the same approval number by the new facility. ix. Undertaking from the new facility that they shall take all the responsibility of the quality and safety of the products processed / exported by the existing facility. x. Declaration regarding the finished goods in the cold storage.

7.2	In the case of request for transfer of approval under a Wet Lease Agreement (an agreement wherein the approved unit is leased out to another party with all the approved facilities including personnel without any change except that the party which has taken the approved unit on wet lease will be the new processor), or in case of change in ownership without changing the approved facilities including personnel, the processing unit shall furnish the documents mentioned at 7.1 to the EIA. In addition, the party taking the approved unit on wet lease or purchase shall also request for transfer of the approval in its name without change of approval number and submit an undertaking and a guarantee required to be given by all approved processors, along with other legal documents relating to taking over the unit on wet lease/purchase. In the case of EU / Russian Federation listed units, on receipt of the above documents the EIA shall examine the validity of such documents and on being satisfied, recommend to the Director (I&Q/C) the change of name / transfer of approval. EIC, after approving the change of name, will inform EC, Brussels/ FSVPS, Russia about the change of name of the approved facility. However, in the case of non-EU (other than RF) facility, the approval to change the name of the company shall be given by the In-charge of the Agency with intimation to EIC. i. In the above case, there will not be any physical shifting or restructuring of infrastructure facilities of the factory and the managerial, supervisory personnel, workers and the HACCP programme will continue to be the same. ii. As certain time may be required for the listing the name of the company by EU / RF, permission may be given to export the consignments to the EU / RF in the new name with old company name in bracket during the interim period, if requested by the exporter. However this recommendation has to come from In-charge of Agency.
7.3	In cases of change in the ownership with change in the premises, manpower or process etc., a fresh approval as per the prescribed norms will be required.
8.	**Responsibilities of the approved facilities (as applicable)**
8.1	**General**
	a) As the sole responsibility in maintaining the quality and safety of the products processed / handled in the units, lies with the approved facilities, they shall develop and implement HACCP based own check system. The facility shall exercise proper controls at all stages of production / handling starting from raw material procurement to the final despatch of the cargo and maintain records thereof. The facility shall comply with all the

regulatory requirements of the GOI Notifications as well as those specified by the importing country and by EIC from time to time.

b) Units shall maintain all the approved facilities in good repair. For major alterations / changes in the infrastructure, prior approval shall be taken from the EIA concerned.

c) All the control measures and sampling procedures adopted by the food business operator (FBO) shall be addressed in the HACCP manual. Proper identification and monitoring of CCPs shall be ensured by the FBO.

d) HACCP system has to be reviewed by the FBO at least once in a year or in case of any change in the product / process / source of raw material or in case of customer complaint. The review records shall be maintained for verification.

e) Implementation of HACCP (own check system) shall be monitored at all stages so as to ensure the quality and safety of the product. Time / temperature controls, shall be exercised at all stages of processing, storage and transportation of the material. There should be a proper documented recall procedures incorporated in the HACCP Manual of the FBO.

f) Traceability of the raw material, ingredients, permitted chemicals / additives etc. shall be maintained right from the source of production. Test reports pertaining to the quality and safety of the raw material, ingredients and the additives / preservatives used shall be maintained by the processor**.**

g) If any new ingredient / additive / colour are to be used for treatment, it shall be as per the requirement of the importing country.

h) FBO shall validate the processing method used for cooking, retorting etc and calibrate all the measuring and recording devices at a laid down frequency so as to ensure proper temperature control. FBO shall also validate the freezing process / equipment.

i) A cleaning and disinfection programme should be implemented to ensure that all parts of the unit are appropriately cleaned, including tables, utensils, equipment etc. The programme should be continuously and effectively monitored for its suitability and effectiveness and whenever necessary, documented.

j) Personal hygiene and behaviour of the employees shall be strictly monitored to ensure the safety of products handled. Health cards shall be maintained for all employees coming in contact with food products / ingredients / food contact surfaces etc. with the attestation “Fit to handle food products and suitable to work in a food Processing Unit” duly authenticated by a registered medical practitioner.

k) Proper control shall be exercised to avoid cross contamination of the product processed / handled.

l) Suitable pest control measures shall be adopted to eradicate pests inside the factory premises.

m) Fish and fishery products of other facilities shall not be allowed to be stored in the approved premises of the unit without prior permission from the EIA. Moreover, fishery products processed in the approved facility shall not be stored in other approved unit(s) without prior permission from EIA. However**,** in case of emergency, an approved processor may store the material in another approved unit, which shall be intimated to the EIA concerned in the subsequent working day with reasons and full details of the material such as variety, quantity, production batch code, size grade etc. Similarly, the approved unit which has accepted the fishery products from another approved unit for storing shall maintain proper stock register for such fishery products for verification by EIA. Under no circumstances, fish & fishery products meant for export shall be shifted to un-approved facility.

n) FBO shall ensure that Certificate for Export (CFE) blanks supplied to them are not misplaced or misused. They shall ensure that the monitoring fees and other fees are paid to the EIA in proper time and shall submit copies of CFEs used, on fortnightly basis.

o) FBO shall not purchase /procure pre-processed products from unauthorised centres and water and ice shall not be brought from unauthorised centres.

p) Any change of the approved technologist(s) shall be informed to the EIA concerned immediately by the FBO.

q) FBO shall conduct internal audits at least once in a year covering all areas of SSOP, GMP, SOP, HACCP etc. and maintain records. Validation of critical limits / HACCP Plan shall also be conducted on a laid down frequency.

r) FBO shall adopt GMP for storage / handling of printed materials and marking materials / articles in order to ensure that printed surfaces or marking ink applied to non food contact surfaces will not come in contact with food or food contact surfaces. Regular training shall be imparted to the workers in this regard and records of the same shall be maintained.

s) FBO shall ensure that the detergents used for cleaning and sanitation do not cause contamination / damage to the food or food contact surfaces and do not create environmental issues. They should keep the details of detergents used in factory for verification by EIA.

8.2 Handling of Imported cargo for re-export

a) FBO importing fishery products for further processing and export shall address the processing of the imported cargo in their HACCP plan of the establishment and maintain proper records including traceability.

b) Moreover FBO shall inform the EIA / Sub Office concerned before the cargo reaches their premises, submitting all details of imported cargo including quantity, type of product, type of pack, country of origin, health certificate and certificate of origin issued by the importing country, copy of BL, bill of entry etc.

c) After scrutiny of the details submitted by the FBO, EIA shall conduct physical verification of imported cargo and draw composite sample covering all production codes / batches for testing the following parameters, depending upon the product, in EIA-lab / EIC approved lab. Testing charges shall be borne by the processor. Only after the satisfactory test results, the cargo will be permitted for further processing.

Sl. no	Product	Parameters to be tested
1	Aquaculture products	a) Salmonella, V.cholerae, V. parahaemolyticus. b) Chloramphenicol, Metabolites of nitrofurans, tetracycline, oxytetracycline and chlorotetracycline.
2	Cephalopods	a) Salmonella, V.cholerae, V. parahaemolyticus. b) Heavy metals (Cadmium, Lead and Mercury)
3	Histamine forming fishes	a) Salmonella, Vibrio cholerae, Vibrio parahaemolyticus. b) Histamine
4	Fish oil	a) Rancidity, moisture content
5	Other fishery products	a) Salmonella, V cholerae, V parahaemolyticus.

d) However, in case the FBO submits test report(s) pertaining to the samples drawn from the imported cargo for testing the above parameters at the country of origin and if the same is found satisfactory, only one in ten of the imported cargo from that country of origin may be subjected for testing as per Clause 8.2 (c) above.

e) If the FBO submits the test report(s) of samples drawn from the imported cargo by Port Health Organization (PHO) for custom clearance in India and if the same is found to meet the requirements of importing country, testing as specified at Clause 8.2 (c) need not be done.

f) Frozen fish & fishery products imported by an EU approved facility

	shall originate from an EU listed facility and shall be accompanied by a health certificate, in EU format, issued by the competent authority in the exporting country. .
8.3	**Special requirements for processing of aquaculture products**
	a) Pre processing centres (independent / detached) / Establishment shall process aquaculture products procured only from farms registered with authorities authorized / designated/ recognised by the Competent Authority. b) Pre processing centres (independent /detached / Establishments shall get Pre Harvest Test Certificate (PHTC) issued by MPEDA / designated lab confirming that live samples from the concerned pond / farm from where the unit procures aquaculture products are tested before harvest and are free from the residues of Nitrofurans and Chloramphenicol. c) Pre processing centres (independent / detached) / Establishments shall maintain PHT certificates and other traceability records pertaining to the aquaculture products processed at least for two years for verification by EIA. The details of stock of raw material utilized against each health certificate and balance stock, if any, shall be recorded on the back of the PHTC, which shall be countersigned by the EIA official. d) Pre processing centres (independent / detached) / Establishments shall conduct regular audits of the backward linkages from where they procure raw material to ensure that the farms are following good aquaculture practices and are not using banned chemicals. They shall maintain audit reports for verification by EIA. e) Pre processing centres (independent / detached) / Establishments shall ensure that the registration number of the aquaculture pond / farm allotted by authorized / designated/recognised authorities shall be marked on all export packages of aquacultured products.
8.4	**Storage and Transportation**
	a) Fresh fishery products, thawed / unprocessed fishery products, and cooked & chilled products from crustaceans and molluscs must be maintained at a temperature approaching that of melting ice. Proper temperature controls shall be exercised at all stages of processing. b) Frozen fishery products, with the exception of whole fish initially frozen in brine for the manufacture of canned food, must be maintained during transport at an even temperature of not more than **-18° C** in all parts of the product, possibly with short upward fluctuation of not more than 3° C. c) Frozen fishery products during storage shall be kept at a temperature of not more than **-18° C** in all parts of the products; however, whole frozen fish in brine intended for the manufacture of canned food may be kept at a temperature of not more than -9° C.

	In the case of establishments approved for export to EU, the transportation and storage facilities used for frozen fishery products should be fitted with **temperature recording instruments** to monitor air temperature at regular intervals, which shall comply with EN 12830 (Temperature recorders for the transport, storage and distribution of chilled, frozen, deep-frozen/quick-frozen food and ice cream. Tests, performance and suitability), EN 13485 (Thermometers for measuring the air and product temperature for the transport, storage and distribution of chilled, frozen, deep-frozen/quick-frozen food and ice cream. Tests, performance, suitability), and EN 13486 (Temperature recorders and thermometers for the transport, storage and distribution of chilled, frozen, deep-frozen/quick-frozen food and ice cream. Periodic verification) standards, as applicable. d) If fishery products are kept under ice, melt water must not remain in constant contact with the products, for which the containers used for storing fishery products shall have proper drainage facility.
8.5	**Quality Control**
	Proper quality control measures / sampling plan shall be established by the FBO, documented and implemented to ensure the wholesomeness of the products processed.
8.5.1	**Organoleptic checks**
	a) Organoleptic checks of raw material, process and product samples shall be conducted by the approved technologist / qualified personnel to ascertain the freshness and other organoleptic qualities of the product. Time- Temperature control shall be exercised at all stages of production, storage and transportation, wherever applicable. b) For organoleptic checks, the factory vessels / freezer vessels / pre processing centres (independent / detached) / establishments shall develop a sampling plan with adequate sample size, which shall be addressed in the HACCP manual. Organoleptic checks shall also be conducted during processing and after freezing / packing as applicable. c) For the analysis of finished products, type wise and variety wise samples shall be drawn from the day's production at random, as applicable, as per the sampling scale specified in the HACCP Manual. Defective lots shall not be allowed for export. d) Ice plants (independent / detached) shall check the quality of ice produced.
8.5.2	**Microbiological Checks**
	a) Raw fishery products procured by the factory vessels / pre processing centres (independent / detached) / establishments as **raw material** shall be tested (variety wise / source wise) for microbiological factors like TPC, E.coli, Coagulase positive

	staphylococcus, Salmonella,, V. cholerae, and V.parahaemolyticus in the in-house lab by the approved technologist(s) or at EIA-Lab / EIC approved lab as per the frequency laid down in the HACCP manual of the unit. b) Batch (Code) wise, variety wise, type wise samples of **Frozen fishery products** shall be tested for TPC, E.coli, Coagulase positive staphylococcus, Salmonella,, V. cholerae, and V.parahaemolyticus, whereas fishery products packed in hermetically sealed containers and heat treated, shall be subjected to sterility tests. Code wise, variety wise, type wise samples of acidified fishery products shall be tested for yeast and mould and dried fishery products for TPC, E.coli, Salmonella, V. cholerae, yeast and mould. c) For the export of **Fresh / Chilled fishery products**, the establishments shall conduct bacteriological testing of the consignment for TPC, E.coli, and Coagulase positive staphylococcus, Salmonella, V. cholera, and V.parahaemolyticus on post- facto basis and submit reports to the concerned EIA. d) Consignments of frozen cooked crustaceans meant for export to EU shall be tested batch (code) wise for TPC, E.coli, Coagulase positive staphylococcus, Salmonella, Listeria monocytogenes and V. cholerae prior to shipment by the Factory vessels / Freezer vessels / Establishments. For this purpose 5 samples of 150 gm each shall be drawn aseptically covering maximum grades possible. e) Vegetables and spices, if used, shall be tested for microbiological parameters such as TPC, E.coli, Coagulase positive staphylococcus, and Salmonella. f) Sanitation & Hygiene Control samples from food contact surfaces and workers hand shall be tested for TPC, Coliforms and V. cholerae at least once in 15 days to ascertain the effectiveness of cleaning and sanitisation. g) If salt is used in processing / ice production, it shall be ensured by the processor that all the batches of salt purchased shall be free from staphylococcus aureus and Sulphite reducing clostridium.
8.5.3	**Water and Ice**
	a) Factory vessels / freezer vessels / pre processing centres / ice plants, and establishments shall exercise proper quality control on water and ice used in their factory. They shall check the microbiological parameters such as TPC, coliform and V. cholerae in water and ice in their in-house lab / EIA Lab / EIC approved Lab at least once in a month. b) Moreover, factory vessels / freezer vessels / pre processing centres / ice plants, and establishments approved for export to EU / RF shall test water used for processing and ice production for all parameters as per Council Directive 98/83/EC of 3 November

	1998 in EIA Lab / EIC approved lab at least once in two years and whenever the source of water is changed. In case the source of water used for processing and ice production is same, then the ice needs to be tested only for microbiological parameters applicable as per Part-A of Annex - I of Council Directive 98/83/EC. c) Water used for processing and ice production shall also be tested for the parameters applicable as per clause 1 of Table A of Annex II of Directive 98/83/EC as specified at **Annexure 35 (Page No. 276**) at least once in six months. **d)** Factory vessels / freezer vessels / pre processing centres / ice plants, and establishments approved for export to countries other than EU and RF shall test water used for processing and ice production as per IS 4251 (except for radiological parameters) once in two years and whenever the source of water is changed.
8.5.4	**Additives / Colour**
	Crustaceans shall be tested by the processor to ensure that residue of additives such as sulphites, phosphates etc., are within the permissible limits. Purity of additives shall also be tested by the processor. The uses of additives / colour are allowed only when written permission has been obtained by the processor from the EIA.
8.5.5	**Histamine**
	Histamine forming fishes shall be tested as per the frequency stated in the HACCP manual, to ensure that the limits of histamine are not exceeded. One in ten consignments of fresh/chilled histamine forming fishes shall be tested for histamine on post facto basis and the reports shall be submitted to EIA.
8.5.6	**Total volatile basic nitrogen (TVB-N)**
	If organoleptic evaluation of raw material / finished products reveals any doubt as to the freshness of fishery products, the same shall be tested for total volatile basic nitrogen (TVB-N) or trimethylamine nitrogen (TMA-N) in case of marine fishes.
8.5.7	**Parasites**
	Factory vessels / freezer vessels / pre processing centres (independent / detached) / establishments shall ensure that fishery products have been subjected to visual examination for the purpose of detecting visible parasites before processing, wherever applicable.
8.5.8	**Toxic Fishes**
	Fishery products derived from poisonous fishes belonging to the families like Tetraodontidae, Molidae, Diodontidae, and Canthigasteridae shall not be processed for export.
8.5.9	**Residual parameters**

a) Raw materials of aquaculture products shall be tested by the approved facility for antibiotic residue and pesticides, and cephalopods for cadmium at least once in two months. For this purpose samples shall be drawn on rotational basis to cover all the sources of procurement in the calendar year. Approved facilities shall also test other parameters specified in their HACCP manual.

b) The approved establishments shall test all consignments of crustaceans and aquaculture products meant for export to the EU prior to shipment for detecting the presence of Chloramphenicol, Tetracycline, Oxytetracycline, Chlortetracycline and metabolites of Nitrofuran at EIA lab / EIC approved lab using analytical methods in conformity with Commission Decision 2002/657/EC. All consignments of cephalopods meant for the EU shall also be tested for cadmium at EIA lab or EIC approved lab, prior to shipment.

Samples of crustaceans, aquaculture products and cephalopods shall be drawn, prior to shipment, by EIA officers / persons authorized by the in-charge of Agency if the samples are to be tested in EIA lab or by the representatives of EIC approved lab, where samples are to be tested under intimation to local EIA office by the establishment. The approved lab that undertakes the test, shall also forward a copy of test report bearing reference number, to the local EIA office.

c) The following formula shall be applicable for drawing sample from the consignment ready for export for testing residual parameters:

$$(\sqrt{n}+1)/2=x$$

Where, 'n' is the total no. of cartons in one consignment covered in one health certificate and 'x' is the no. of cartons drawn at **random** from which composite sample shall be drawn.

If 'X' is a fractional number, it shall be rounded off to the nearest whole digit. (If "n" is 2000 then x will be 23.)

In order to select 23 cartons, where practical, the following procedure may be followed.

2000 / 23 = 87. Therefore 23 cartons shall be drawn by selecting every 87th carton from the lot. While sampling, care shall be taken to cover all production batches (codes) in the consignment. The sampling pattern shall not be uniform to make it unpredictable as to which carton will be selected.

A composite sample of 700 gm shall be drawn form the number of cartons so selected, out of which 350 gm shall be sent for testing of antibiotic / cadmium, as the case may be, and the remaining 350gm is kept as reference sample in the lab in sealed condition for at least six months. If, the importing country rejects the tested consignment on account of antibiotics / cadmium, the reference sample shall be tested again for the specific contaminant(s) in EIA lab / EIC approved Lab

and if found positive, the lab shall be audited by EIC to determine the reasons for the anomaly.

The cartons from which samples are drawn shall be sealed by the person who draws the sample with date and signature.

d) One in ten consignments of **Fresh / Chilled aquaculture products** meant for export to EU shall also be tested for antibiotic residue specifically chloramphenicol, nitrofuran metabolites, tetracycline, oxytetracycline, and chlortetracycline on post-facto basis by the approved establishments in EIA Labs or EIC approved labs. In such cases samples shall be drawn by EIA officials or by the representative of the laboratory where tests are to be conducted.

In case of failure of samples, the matter shall be immediately reported to the foreign buyer and the EIA concerned and the recall procedures shall be initiated by the establishment.

e) The establishments exporting **fresh / chilled fishery products** shall develop a system to monitor the aquaculture farms / landing sites / fishing vessels etc. so as to ensure that the products meet the requirements on residual parameters. Samples from farms and landing sites, from where the materials are being purchased for export, are to be tested for antibiotic residue and other residual parameters such as cadmium on a laid down frequency as specified in the HACCP manual of the processor.

f) Health certificates shall be issued by EIA based on the declaration of the processor to the effect that proper precautionary measures have been taken by the establishment to avoid residual contamination of the fresh / chilled fishery products intended for export. Test results of the samples drawn from farms / landing sites etc. and those of product samples drawn on post-facto basis shall be submitted to the EIA for verification.

g) All consignments of aquaculture shrimps meant for export to **Japan** shall be got tested for banned antibiotics including nitrofuran metabolites and also the herbicide Pendimethalin at EIA Lab. In such cases, samples shall be drawn by EIA officers / persons authorised by in-charge of Agency.

h) Moreover, the consignments meant for export shall also be tested for residual parameters as per the requirements of the importing country as per the HACCP plan.

i) However, If the processor has tested every batch of crustaceans, aquaculture products or cephalopods batch-wise (code-wise) from time to time for applicable residual parameters such as Antibiotics and Cadmium following the sampling and testing procedures applicable to consignment-wise testing as in b and c above, separate consignmentwise testing prior to shipment may not be insisted on as more samples from the consignment have been tested periodically

	covering every batch (code) in the consignment.
8.5.10	**Other parameters**
	Dried fishery products / salted & dried fishery products shall be tested batch (code) wise for moisture, sand content, percentage of salt (as applicable) and acidified fishery products shall be tested for pH, salt content etc. Oil, if used in processing, shall be tested for rancidity and moisture. Purity of the salt shall also be tested batch-wise.
8.6	**Records**
	Proper records as per **Annexure 36 (Page No. 277-278)** shall be maintained by the FBO at all stages of production, storage and transportation of fish & fishery products and should be made available to the EIA / EIC officials for verification.
8.7	**Marking of approval number on export packages.**
	a) The approval number along with the specified 'Q" Mark shall be legibly printed on all the export packages of fishery products. **b)** However, export of fish & fishery products without printing 'Q' Mark on the master cartons will be allowed in case there is a specific request to that effect from the foreign buyer. In such cases, the exporter shall have to get prior permission from the concerned EIA, after submitting relevant document(s). **Even in such cases, the approval number shall be legibly printed on the cartons.** c) The registration number of the aquaculture pond / farm allotted by authorized / designated / recognised authorities shall be marked on all export packages of aquaculture products. d) The export packages of fishery products meant for export to Russian Federation shall be sealed with the seal of the establishment and also that of EIC in such a way that the cartons cannot be opened without breaking the seals. **Note**: Export package means the final package produced before the Customs in India and which is received and checked by the Customs at the importing end.
9.	**Official control by the Competent Authority**
	Strict confidentiality shall be maintained in all the official control visits and the facilities 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 shall be followed as per details given below:
9.1	**Monitoring by EIA officials**
9.1.1	EIA officials shall carry out periodic monitoring of the approved facility to ensure that: a) all the approved facilities are being maintained by the unit are as

	per requirements; b) all the regulatory requirements and those specified by the EU / importing countries are being complied with; and c) the products processed / handled in the facility conform to specification.
9.1.2	Monitoring shall normally be done by an EIA officer of the level of Assistant Director / Technical Officer and each officer shall be assigned to units as per the discretion of the controlling officer. However, in case of shortage of EIA officials, in-charge of the Agency may outsource the work of monitoring visits by deputing suitable empanelled officers from the list, approved by EIC.
9.1.3	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 cargo, for which it is essential that unit shall have production at the time of visit. If there is no production in the unit at the time of monitoring visit, the processing activity of the unit shall be re-assessed during the subsequent visit.
9.1.4	**Frequency of monitoring F&FP establishments**:
	a) On initial approval of pre-processing centres, ice plants, establishments and cold storages, monitoring visits shall be carried out once in a month. If the performance of the approved facility is satisfactory for a year and in the absence of any foreign rejection / complaint (including residues), 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, the frequency of monitoring shall be reduced to once in three months. b) In case, at any stage, non-satisfactory performance on account of any major deficiency is observed (including residues) during monitoring/ supervisory visit / inspection and testing at importing country resulting in foreign complaint, the monitoring frequency shall be reverted to increased frequency of once in a month. c) The performance of the facility, whose monitoring frequency has been increased to once in a month on account of non-satisfactory performance, shall be reviewed after one year. d) 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. e) The responsibility for periodical review of performance of units and submission of recommendations to the Head Office of EIA for re-fixation of frequency of monitoring shall be that of the controlling field office / sub office of EIA. The Proforma placed at **Annexure 37 (Page**

	No. 279) shall be used for this purpose. In the case of the EU/ RF approved facilities, the in-charge of the Agency shall recommend the re-fixation of the frequency to the Director (I&Q/C) for approval. However, in the case of non-EU (other than RF) approved facilities, the re-fixation of the 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. f) The factory vessels / freezer vessels shall also be monitored initially at a frequency of once in a month. Where this is not possible, factory vessels / Freezer vessels shall be monitored during each berthing, if the period of interval between successive berthing is more than a month. For this purpose, the EIA, which originally accorded approval, shall co-ordinate with the vessel and other EIAs regarding the frequency and other details of monitoring when the vessels move from the jurisdiction of one EIA to that of the other EIAs. However, the frequency of monitoring of the factory vessels / freezer vessels shall be re-fixed subsequently based on satisfactory performances of the factory vessels / freezer vessels as given above. g) On initial approval of feed mill, hatchery, aquaculture farm, fishing vessels and fishing harbour/ landing centres monitoring visits shall be carried out once in six months. However after a year, frequency shall be re-fixed to once in a year based on satisfactory performance of 1 year. However, if the performance is unsatisfactory at any stage, then frequency of monitoring shall be reverted to once in six months.
9.1.5	**Areas of monitoring**
	The monitoring shall broadly focus on: -
	a) **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. b) **Verification of HACCP Implementation**:- to ensure that the unit has implemented the HACCP in toto as envisaged in its HACCP manual and also controls exercised by the unit are adequate and effective. This includes verification of CCP, GMP, GHP, SOP, SSOP, traceability, good storage practices, raw material / process/ product controls, time / temperature controls, controls on additives/ preservatives, quality management of water and ice, calibration and validation, etc. EIA officials during the monitoring visits to the approved facility shall ensure that the Aquaculture Products being used as raw material is procured from Aquaculture farms registered with the designated authorities and approved by EIAs, and traceability records are maintained. c) **Verification of testing and lab practices**: -The objective is to ensure that the sampling procedures and test methods adopted by

	the approved facility are adequate and reliable. This includes good laboratory practices (GLP) followed by the in-house lab of the unit, effectiveness of lab chemicals, reliability of testing etc. d) **Verification of records**: - The objective is to ensure that the records maintained by the unit are in order and are addressing all the controls exercised by the unit. In the case of establishments paying monitoring fee based on F.O.B. value of its exports, random verification of export documents including shipping bill and freight memo shall be done to assess the accuracy of FOB value declaration. Pre- Harvest Test certificates shall also be verified, where applicable. e) **Fraud control**: - The objective is to ensure that the unit is not violating the laid down norms. Fraud includes violations such as procuring fishery products pre-processed in unauthorised establishments, export of F&FP processed in un-authorised premises, storing of F&FP in unauthorised storages, storing F&FP of other facilities without prior permission of EIA, misuse of CFE blanks, improper labelling, exceeding production capacity limits etc. Since "illegal soaking" (means keeping the raw material in water for a long time with the intension of weight gain) of fishery products for weight gain is a violation, same shall be verified during monitoring visit. If the malpractice of "illegal soaking is detected, it shall be reported to the In-charge of the Agency for taking necessary action. If required, the in-charge of the Agency may refer the matter to the "Task Force" comprising representative from EIA / MPEDA / State Fisheries Dept. / SEAI, for conducting surprise visits to the pre processing centres / establishments and recommend punitive action in case of violation. The quorum of task force shall be two. However, soaking of fishery products for any technically accepted chemical treatment does not amount to "illegal soaking" as it is a part of processing. f) **Drawal of official samples**: - The objective is to ensure the wholesomeness of the products and effectiveness of the cleaning and sanitization operations. This includes drawal of Sanitation & Hygiene Control samples, samples for testing microbial / residual parameters, etc. g) During monitoring, samples for **organoleptic checks** shall also be drawn at random from the available raw material, pre- processed materials; processed materials before freezing / packing and the details of observations of the organoleptic checks shall be recorded in the relevant raw material / processing registers of the facility and also in the monitoring report. Defective lot shall not be allowed for further processing. In case of doubt, with regard to freshness of the product, the materials shall be tested for TVB-N/TMA-N.
9.1.6	**Additional Checks (As applicable)**
	The monitoring officials shall also check and record the following:

- Chlorination levels of water used for processing, ice manufacture, foot dip, hand dip, washing utensils / tables etc. A general guideline for chlorination in the establishment is given below:

1	Processing	2 ppm. or below.
2	Glazing	2 ppm. or below.
3	Ice manufacture	2 ppm. or below.
4	Hand sanitization dip	20 ppm.
5	Foot sanitization dip	50 – 100 ppm
6	Washing of tables, equipment and utensils	50 – 100 ppm.
7	Washing of floor	100 - 200 ppm.

- Temperature of products during receipt, processing and storage.
- Temperature of chill room(s), cold storage, cooker / blancher, chillers etc.
- Belt speed, time taken for cooking / freezing etc.
- Validation of cooking / process / equipment etc., as applicable.
- Rinsing of food contact surface with potable water after every sanitization process.

9.1.7 Parasite checks (As applicable)

Monitoring officials shall conduct visual checks on the available raw material for the presence of visible parasites. For this purpose, samples shall be selected from different sources of raw materials available at the time of the visit. Parasite infested materials shall not be allowed for further processing. The observations shall be recorded in the monitoring report and also in the raw material register maintained by the processor.

9.1.8 Microbiological / Chemical checks (As applicable)

The monitoring officials shall also draw samples for testing microbiological and chemical parameters, the frequency of which is given below:

S. No.	Parameters	Products/Stage	Frequency
1	TPC, E.coli, Coagulase positive staphylococcus, Salmonella, V. cholerae, V. parahaemolyticus	Raw /process material	Every monitoring visit
2	TPC, E.coli, Coagulase positive staphylococcus, Salmonella, V. cholerae, V. parahaemolyticus	Frozen/ chilled Finished products	Every monitoring visit

3	TPC, E.coli, Coagulase positive staphylococcus, Salmonella, V. cholerae, Listeria monocytogenes	Frozen Cooked crustacean	Every monitoring visit on availability
4	TPC, Coliforms, V. cholerae,	Water	Every monitoring visit
5	TPC, Coliforms, V. cholerae,	Ice	Every monitoring visit
6	TPC, Coliforms	Swabs from food contact surfaces (immediately after cleaning & sanitisation)	Every monitoring visit
7	V. cholerae	Swabs from worker's hand	Every monitoring visit
8	Antibiotics (Chloramphenicol, Metabolites of Nitrofuran, Tetracycline, Oxy tetracycline, Chlortetracycline)	Raw material / finished products (aquaculture products only)	Once in six months from establishments exporting aquaculture products
9	Cadmium, Lead, Mercury,	Raw material / finished fishery products	Once in 6 months from each approved establishment
10	Pesticides (Organochlorine compounds)	Raw material/ finished products (Only for aquaculture products)	-do-
11	Histamine	Raw material/ finished products (Only for Histamine forming fishes)	-do-
12	TVB-N & TMA-N	Raw Material/Pre-processed Material/Processed Material	Every monitoring visit. Only when there is a doubt as to the freshness of the fishery product during organoleptic examination, same shall be tested for TVB-N

				and TMA-N)
	13	Sulphite & added Phosphates for crustaceans	Raw material/finished products	Once in 6 months from each approved establishment
	14	PSP/DSP	Raw material/finished products of Molluscs belonging to Gastropoda and Bivalvia and also crab species	-do-
	15	Coagulase positive staphylococcus & sulphite reducing clostridium and Purity test	Salt used for processing	-do-
	16	Sterility test	Fishery products packed in hermetically sealed containers and heat treated.(Canned / Retort Pouch Packed)	Every monitoring visit
	17	PH, Yeast & Mould and salt content	Acidified fishery products	Every monitoring visit
	18	Moisture content, salt content and yeast & mould, TPC, E.coli, Coagulase positive staphylococcus, V. cholerae Salmonella & Acid insoluble ash .	Dried / salted & dried fishery products.	Every monitoring visit
	19	Parameters for the other commodities like Fish oil	Rancidity / Moisture	Every monitoring visit
	20	Dioxin & PCB	Fishery products	Every one year
	Note: If any of the above parameters cannot be tested in EIA-Labs, such parameters shall be got tested in any EIC approved Lab.			
9.1.9	**Sampling scale and sampling procedures**			
9.1.9.1	**Microbiological analysis**			
	a. During every monitoring visit, EIA officials shall aseptically draw one sample of 150 gm from available raw material ***/*** process material in sterilised container for testing microbiological factors such as TPC,			

E.coli, Coagulase positive staphylococcus, Salmonella, V. cholerae, V. parahaemolyticus in the EIA labs as applicable.

b. Composite samples shall also be drawn from frozen fishery products for testing the above microbiological parameters from a particular production code selected. For this purpose, each variety of fishery products (shrimps, cuttle fish, squid etc) of the selected code shall be treated as a separate lot and variety wise composite samples of 150 gms. each shall be drawn aseptically for testing at EIA lab.

c. Moreover, samples shall also be drawn from available frozen cooked crustaceans for testing the microbiological parameters mentioned at sub-clause 9.1.8, during monitoring visits. For this purpose, 5 samples of 150 gm each shall be drawn aseptically from a selected code, covering maximum grades possible. If samples from cooked variety are drawn, further product sampling as mentioned in paragraph "b" above is not required during that monitoring visit.

d. For dried / salted & dried fishery products, batch (code) wise composite sample of 150 gm shall be drawn for testing Yeast & mould, TPC, E.coli, Coagulase positive staphylococcus, salmonella, V. cholerae and also percentage of moisture and salt content(if applicable).

e. For acidified fishery products, batch (code) wise composite sample of 150 gm shall be drawn for testing pH, salt content and yeast & mould.

f. For fishery products packed in hermetically sealed containers and heat treated, 10 cans / pouches shall be collected from a particular production batch (code) for conducting sterility test.

9.1.9.2 Sanitation & hygiene control samples

a) Monitoring officials shall draw samples for checking the sanitary conditions and hygienic practices of the establishment as shown below:

(a)	Water used for processing	1 sample
(b)	Ice	1 sample
(c)	Swabs of food contact surfaces (1) Table (2) Utensils (3) Freezing Tray (4) Workers hand (5) Workers hand (Alkaline peptone water for V.cholerae test)	 1 sample 1 sample 1 sample 1 sample 1 sample

The above swab samples shall be drawn either before start of the work or after normal cleaning & sanitisation if processing is in progress, adopting the following procedure

b) Water

Water sample is collected from taps (Tap number to be mentioned in the sample covering note**)** in sterile bottles /conical flasks of 1 litre capacity with ground flask stoppers having an overhanging rim. They are sterilised at 160^{o}C for 1 hour after being covered by Kraft paper. The opening and closing of the sterile bottle must be done with meticulous care to avoid any contamination. When water sample is drawn from a tap, flame the tip of the tap using spirit and allow water to flow for 5 minutes before collection. In case the test is to be undertaken after 3 hours, the bottle must be kept in ice. If sample is to be taken from chlorinated water supply, it is important that any trace of chlorine should be neutralized immediately after collection. A crystal of sodium thiosulphate or 0.1 ml. of 2% solution of thiosulphate introduced into the sampling bottle prior to sterilisation serves neutralisation of chlorine. Immediately before testing, the water sample should be mixed by inverting the bottle several times. Thereafter some of the contents are poured off, the stopper is replaced and the bottle is shaken vigorously up and down.

c) Ice

A minimum of 1 Kg. of ice used for processing shall be collected aseptically in a sterile stainless steel container and transported to the laboratory. If there is considerable delay from the time from drawal of samples and actual analysis (more than 4 hours), the samples shall be kept in cool condition.

Swab from worker's hand and food contact surfaces

d) Collection of Swabs:

25 sq.cm. area are swabbed using a square 5 x 5 cm. .A steel template of correct size, which can be readily sterilized by alcohol flaming can be used to outline the area.

First wipe the swab slowly and firmly in an interior direction through a distance of 12.5 cms. Rotate the swab against the direction of the overall wiping movement. Then stroke the area in the same direction three times, turning the swab slightly between strokes. Finally roll the swab once over the wiped area, but in the opposite direction from that in which the original strokes were made. This will serve to pick up whatever may be adhering to the surface. Place the swab immediately into bottle containing 100ml. of the diluent, in a wide mouthed 4 oz. sample bottle .Pull the stick free if the swab in the medium is to be transported, hold it under the same condition as water samples are being transported i.e. hold it below 5°C until analysed.

For analysis of V.cholerae from worker's hand, a separate swab shall be collected. Swab from the worker's hand shall be drawn from different parts of hand and aseptically transported immediately into a flask containing 100 ml. of sterile alkaline peptone water at pH 8.6.

The sample collected shall be transported to the laboratory in the usual manner under sealed condition and accompanied by covering note containing details of tests to be carried out.

e) Maximum Permissible limits

S.No	Samples	TPC at 37°C	TPC at 22°C See Note *	Coliforms	V. cholerae
1.	Water	50 per ml**	100 per ml	Nil	Absent
2.	Ice	50 per ml**	100 per ml	Nil	Absent
3.	Table / utensils / trays etc	100 per sq. centimetre	-	Nil	
4.	Workers Hand	100 per sq. centimetre	-	Nil	Absent

Note ***** Not required for Non-EU establishment

** For EU establishments, the limits of TPC in water and Ice are 20 per ml.

9.1.9.3 Total Volatile Basic Nitrogen (TVB-N) and Trimethylamine Nitrogen (TMA-N)

If organoleptic examination reveals any doubt as to the freshness of the fishery products, the same shall be tested for total volatile basic nitrogen (TVB-N) and trimethylamine nitrogen (TMA-N). For this purpose samples of about 100 gm are drawn from 3 different points and mixed well by grinding.

9.1.9.4 Histamine

During monitoring, samples for testing histamine shall be drawn from histamine forming fishery products at least once in six months. Whenever the histamine forming fishes (Scombridae, Clupeidae, Engraulidae and Coryphaenidae) are being processed in the establishment during the monitoring, samples from these fishes shall be drawn for testing histamine. For this purpose, 9 samples of 100 gm each shall be taken from each batch.

The mean value of the 9 samples must not exceed 100 ppm. However, 2 samples may have value more than 100 ppm but less than 200 ppm, and no sample may have a value exceeding 200 ppm. The testing shall be done with HPLC method.

However, histamine forming fishes which have undergone enzyme ripening treatment in brine may have higher histamine levels but not more than twice the above values.

9.1.9.5	**Paralytic Shellfish Poison (PSP) and Diarrhetic Shellfish Poison (DSP)** (Only from molluscs belonging to Gastropoda and Bivalvia, and also from Crab species)
	Samples of 250 gm for testing PSP and DSP shall be drawn during monitoring at a frequency of once in six months. The total PSP content of edible parts must not exceed 80 micrograms per 100 gm. The customary biological testing methods must not give a positive result to the presence of DSP in the edible parts.
9.1.9.6	**Sulphites and added phosphates**
	Additives used shall be monitored once in six months by drawing samples of finished products of fishery products, especially from finished products of shrimps, for testing sulphites and added phosphates. The representative samples shall be drawn from a selected batch (code) at random. From the cartons so selected, composite samples of 100 gm are drawn for testing the additives.
9.1.9.7	**Testing of Salt**
	If salt is used in the facility for processing, samples shall be drawn for testing Staphylococcus aureus and Sulphite Reducing Clostridium once in six months. If the same batch of salt is being used for more than six months, samples shall be collected after purchase of the next batch. Sample from different containers shall be drawn so that a composite sample of 100 gm is collected for this purpose aseptically in a sterilised container.
9.1.9.8	**Proficiency testing of the in-house laboratory of the processing establishments**
	In order to ascertain the performance of the in-house lab of the establishment, the monitoring officials shall draw aseptically 2 sets of samples (one sample divided into 2 sets) from the selected production batch (code) during the monitoring at least once in six months. One set of sample is sent to EIA Lab and the other set is given to the in-house lab of the establishment for testing all microbiological parameters. No fee will be charged from the processor for this purpose. Details of proficiency testing of in-house labs shall be maintained at the EIA concerned as per the format specified at **Annexure- 38 (Page No. 280).** The unit shall submit the report to EIA and EIA shall compare the test results of EIA lab and in-house lab. If variation above 10% is observed, same shall be communicated to the In-charge of the Agency, who in turn deputes a suitable officer from EIA lab to audit the in-house lab of the establishment. The copy of audit report shall be sent to EIC for information. In case of minor non-conformities, unit shall undertake immediate corrective action and same shall be verified by EIA in the subsequent monitoring visit. However, in case of major non conformities, the establishment shall stop the analysis in the in-house lab and shall send the own check microbiological samples to EIA lab for testing till the non-conformities are rectified and same is verified by the EIA lab expert.

9.1.9.9	**Residue analysis**
	a) During monitoring, samples shall be drawn for testing residual parameters like antibiotics, heavy metals and pesticides at the frequency specified at sub-clause 9.1.8. Separate samples of 100 gm each shall be drawn from raw material and finished product of a particular source at random for testing antibiotics, heavy metals and pesticides from a particular variety of the selected batch (code) so as to enable traceability in case of failure. While samples for testing heavy metals are required to be drawn from any fishery product, at least a sample of cephalopods shall also be drawn, if available. b) The samples, drawn during the surveillance visits or for any other purpose, shall be sealed properly by the officer concerned before sending the same to the Lab for analysis, and in any case, the samples should not be sent through the processor / exporter. If, the samples are to be sent through courier / speed post, it shall be the responsibility of the concerned officer to ensure that the same is dispatched properly. Moreover, it shall be ensured that the test reports are received by the EIA concerned directly from the lab.
9.1.9.10	**Reporting system**
	After completing the monitoring, a report shall be prepared in the Monitoring Report Pro-forma given at **Annexure 39 to 44 (Page No. 281-295)** along with the Non Conformity Report (NCR) and Suggestions for Improvement Report shall be submitted to the controlling office of EIA within 3 working days of the visit.. Test reports may be given to the processor if requested by him. Formats of Non Conformity Report (NCR) and Suggestion for Improvement Report are placed at **Annexure 45 (Page No.296)** and **Annexure 46 (Page No. 297)** These formats shall be used during monitoring visits / supervisory visits as well as by other surveillance visits. Non-conformities observed during the surveillance visits shall be recorded in the NCR and one copy shall be provided to the approved facility 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 NCR shall be submitted to the controlling officer of the sub-office or to the Deputy Director In-charge of Fish & Fishery Products division at H.O. within 3 days for scrutiny, acceptance and follow up action. However, in case any major discrepancies affecting the food safety are observed, the same shall be brought to the notice Deputy Director In-charge of Fish & Fishery Products immediately for timely action.
9.2	**Supervisory visit**
	a) 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 F&FP Scheme / other Food Scheme and / or qualifications in Fish Processing Technology, Fishery Science, Food Science / Technology, Agriculture, Biology or Chemistry. The frequency of supervisory visits shall be once in a six months in the cases of establishment, pre-processing centre, ice plant, cold storage, factory vessels & freezer vessels. The supervisory visit for other facilities shall be once in two years. b) The Supervisory visit shall be conducted for I) Checking the documentation and compliance of the requirements of the importing country such as RF, EC Directives / Regulations in case of EU approved units, and GOI Notifications, as applicable. II) Quality of monitoring carried out by the monitoring officers. c) Samples, if any, drawn during such visits shall be sent to the laboratories of the Agency. Test report shall be made available within one week. The report of supervisory visit shall be submitted within 3 working days to the In-charge of the Agency. d) In addition, the availability of water / ice test reports from EIA lab or EIC approved labs shall be checked and reported with details. e) The pro-forma of Supervisory visit Report is given in **Annexure 47** (**Page No. 298) and Annexure 47 - A (Page No 300-301).** f) A copy of each Supervisory Visit Report shall be maintained in the files of Export Inspection Agency HO as well as sub-office concerned.
9.3	**Corporate Audit**
	Audit of each Agency under the corporate audit mechanism of EIC will be carried out at a frequency of at least once every year. The main objective of the corporate audit is to ensure uniform implementation of the statutory rules and regulations, and executive instructions issued by the Competent Authority, and shall comprise:- ➢ Examination of records on approved FBO / facility maintained by the Agency in Part A, B, C and D files, as applicable. ➢ Visit by the audit team to at least 5% of the approved facilities. The corporate audit team shall comprise at least 2 members nominated by the Director (I & QC).The lead auditor and auditors may be drawn from EIC and from any Agency other than the Agency being audited or EIC approved external experts. The report of audit shall be submitted to Director (I&QC) in format specified at **Annexure 48 (Page No.302).**
9.4	**HACCP Audit**

9.4.1	In addition to the above mentioned surveillance visits, the approved **factory vessels / freezer vessels / pre-processing centres/ establishments** shall be audited at least once in a year to establish that the HACCP is in place and the control measures exercised by the unit are suitable and effective. In the case of approved facilities other than those mentioned above, HACCP audit as mentioned below is not required.
9.4.2	For this purpose, the In-charge of the Agency shall authorise a team of experts to carry out HACCP audits as per schedule. The team shall consist of either two EIA officials or one EIA official along with one empanelled member who has necessary qualification and experience in conducting HACCP audits. The Convenor of the panel shall be a Deputy Director level officer of the EIA. The empanelled member may be selected from the list approved by EIC.
9.4.3	Detailed audit shall be carried out in consultation with the establishment covering all areas of SSOP, GMP, SOP, HACCP etc. Validation of HACCP plan and validation of Critical limits shall also be carried out during audit. It shall be ensured that the unit is having production at the time of visit. The audit team shall submit the report to the in-charge of the Agency along with the exhaustive check list prepared by the audit team depending upon the type of product and area of audit. The audit format given at **Annexure 49** (**Page No. 303)** may be used for reference while preparing the audit report and checklist.
9.4.4	Non-conformities noticed during the audit shall be communicated to the unit for rectification within a mutually agreed time period, which shall not exceed one month.
9.4.5	Audit team leader shall ensure that the establishment has rectified all the defects within the stipulated period and the same has been verified for closing the NCs.
9.4.6	Any major Non- conformity observed during the audit that can affect the wholesomeness of the product / food safety, shall be brought to the notice of In-charge of the Agency immediately who in turn shall take suitable steps to address the issue as per **Clause 10.2.2** and inform EIC accordingly.
9.4.7	In normal situation, the team leader shall submit the audit report to the In-charge of the Agency within seven working days after completing all formalities.
10.	**Guidelines for dealing with unsatisfactory monitoring or other visit reports and / or test reports and violations**
10.1	**Deficiencies** a) The deficiencies which do not affect the wholesomeness (food safety) of the products shall be considered as minor deficiencies and those which affect the safety of the food 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.
10.1.1	**Some of the Major deficiencies are:** a) Contamination with pathogens (Salmonella, V. cholerae etc) or with hazardous substances like heavy metals, antibiotics, pesticide residues etc. above permissible limits shall be considered as major deficiencies. b) Failure of sanitation & hygiene control samples for TPC / Coliforms in three consecutive instances may be considered as major deficiency. c) Failure of finished product samples to meet the quality parameters on freshness based on organoleptic examination and / or the test results of TVB-N and TMA-N is also a major deficiency
10.2	**Actions to be taken when deficiencies are observed**
10.2.1	In the case of **minor deficiencies** observed during the visit, it shall be communicated to the processor through the NCR and the corrective action shall be verified by the officer conducting the subsequent visit. However, if the processor fails to rectify the defects within the agreed time period, then the action specified at 10.2.2 shall be followed. In the case of failure of samples for TPC and / or Coliform, the following actions may be taken. a) In the case of failure of water, ice or product/process samples due to **TPC** of bacteria above the permissible limits, the processor shall be advised by EIA in writing to take appropriate corrective action, which shall be verified by the monitoring official in the subsequent visit. After taking the corrective action, the processor shall test water / ice / product / process sample, as the case may be, in its in-house lab and submit the test results to the EIA. The EIA shall verify the effectiveness of the corrective actions taken by the processor by the test results of samples drawn during the next monitoring visit. b) In the case of failure of water/ Ice samples due to **Coliform**, re-sampling of water / ice shall be done by the EIA for testing (1) Total coliform (2) Faecal coliform (3) Faecal streptococci (4) Sulphite reducing clostridium within two days of the receipt of the test results. If the results of the re-sampling are also positive, next 5 consecutive consignments processed by the unit shall be tested for E.coli, Coagulase positive staphylococcus, Salmonella, V.cholerae, V.parahaemolyticus and only the consignments which pass the tests shall be allowed for export. The cost of testing of consignments and deputation fee as per **Annexure -1 (Page No. 171-172)** shall be borne by the processor

10.2.2	In the 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 action(s) may be taken by the in-charge of the Agency depending on nature of deficiencies, with intimation to the Director, EIC (for EU as well as Non EU units). I. The processor may be placed under consignment-wise inspection until the rectification is done satisfactorily and verified by a DD – level EIA officer. The cost of testing and deputation charge as per **Annexure -1 (Page No. 171-172)** shall be borne by the processor. If any of the consignments are found violative of the prescribed standard, testing of consignments shall be continued till **three consecutive consignments** are found in conformity with the requirements. II. The processor may be advised to suspend production and export until rectification is done and verified by a visit of a DD-level Officer. However, during the suspension period production under the supervision of an EIA Officer may be permitted, based on merit under unavoidable circumstances, with the approval of the competent Authority if requested by the processor for which fee as per **Annexure -1 (Page No. 171-172)** has to be paid by the processor to the EIA. Revocation of suspension, when required, shall be done by the In-Charge of the Agency under intimation to Director (I &QC). III. In the case of failure in critical parameters such as microbiological factors, organoleptic factors (freshness), etc., the next **5 consecutive consignments** shall be tested, batch wise (code wise) and got cleared for the specific parameter(s). The defective batches (codes) will not be permitted for export. The cost of the testing and deputation fee as per **Annexure -1 (Page No. 171-172)** shall be borne by the processor. However, in case of failure due to contamination with residual parameters, only 3 days batches (codes) will be tested for the specific contaminant (s). If any of the consignments / batches (codes) are found violative of the prescribed standard, testing of consignment(s) / batches (codes) shall be continued till three consecutive consignments / batches (codes) are found in conformity with the requirements. IV. In the case of **failure of samples drawn under NRCP from pre-processing centers, establishments, hatchery, feed mill,** from the approved facility, EIA shall immediately carry out investigation, up-to farm, hatchery, and feed mill to find the cause and source of contamination and submit a report to EIC. In case the farms, hatcheries, feed mills are located in the jurisdiction of another Agency, the in-charge of Agency shall request the other Agency to carry out the investigation and submit the report. Next five batches (day codes) of the product of the approved facility meant for export to EU shall be tested for the specific contaminant(s) and only the batches passing the test shall be allowed for export.

	If any of the 5 batches tested fails, testing of product batches (codes) shall continue till 3 consecutive batches (codes) pass the test. The cost of testing and deputation fee as per **Annexure -1** shall be borne by the processor. In case of failure of sample under NRCP from **aquaculture farms**, EIA shall immediately carry out investigation up to hatchery / feed mill, if the need be, to find the cause and source of contamination and submit a report to EIC. In case the farms are located in the jurisdiction of another Agency, the in-charge of Agency shall request the other Agency to carry out the investigation and submit the report.
10.3	**Action against violations**
	In the case of violations, such as (i) Misuse of Certificate for Export (CFE) blanks; (ii) Using the CFE for the merchant exporter after the expiry of validity of EIA permission; (iii) Storing of F&FP at un-authorised / un-approved premises/ cold stores; (iv) Non-payment of monitoring fee; (v) Pre-processing of F&FP in unauthorised centres; (vi) Major failure in complying with GMP/GHP/HACCP; (vii) Illegal soaking of fishery products for weight gain; (viii) Processing and storing of products which are not covered under the scope of approval; (ix) Repeated quality complaints from importing countries; (x) Purchase of aquacultured raw material without pre harvest test report; (xi) Processing of aquacultured raw material without pre harvest test report. (xii) Purchase of aquaculture products from unregistered / unapproved farms the following penalties shall be imposed on the defaulting unit by the In-charge of the Agency with intimation to the Director (I&QC):
	(a) A show cause notice is to be issued by the EIA to the facility which has violated the rules / regulations / approval conditions as to why the approval granted should not be withdrawn in view of the violation(s) for which the facility has to submit a reply within one week along with a statement of stock declared as on date. The production of the unit would be suspended from the date of the issuance of the show cause letter by the in-charge of the Agency to the approved facility. However, stock in hand may be allowed to be exported in special cases after due approval of In-charge of the Agency, subject to verification of stock by EIA. If the cause for EIA action is failure of the approved facility in meeting GMP / GHP requirements, the consignments shall be tested for microbiological factors before allowing export for

	which the processor has to pay testing fee and deputation charge as per **Annexure -1 (Page No. 171-172)** to the EIA. The suspension of production shall be revoked by the in-charge of the Agency with intimation to the Director (I&Q/C) only after the verification of satisfactory corrective action carried out by the unit by a team of EIA officers. A fee as per **Annexure** shall be charged from the processor for verification of corrective action. (b) If similar violation / malpractice is observed for a second time in the same unit, the production and export of F&FP of the unit would be suspended after issuing a show cause notice for a period of three months and a fee of Rs.₹25,000/- will be charged from the processor for verification of corrective action taken by the unit. (c) If similar violation / malpractice is detected for a third time in the unit, the in-charge of the Agency shall recommend EIC to withdraw the approval granted to the approved facility. (d) When the show cause notice is issued by the EIA, the processor may contact the competent authority, if he/she so desires, to explain his/her side. Note: If the approval granted to the facility is withdrawn due to violation of approval conditions or on food safety ground, the unit can apply for fresh approval only after six months from the date of withdrawal of approval. In this case, a new approval number shall be granted to the facility.
11.	**Intra laboratory testing and proficiency testing**
	The EIA laboratories engaged in analysis of fishery products and sanitation control samples are required to verify the accuracy and reliability of the test results at periodic intervals. For this purpose, Intra laboratory calibration and proficiency tests shall be carried out
11.1	**Intra Laboratory testing**
11.1.1	All the regional EIA Labs located at Kolkata, Chennai, Kochi and Mumbai shall conduct intra laboratory testing as specified in their lab manual. However, other EIA Labs (attached to the sub offices) shall conduct Intra laboratory testing as per the following procedures:
11.1.2	The sample to be tested is homogenised properly and divided into two identical portions. These two portions are analysed separately for the same parameters in the same EIA lab either by two analysts or by the same person as decided by the in-charge of the lab.
11.1.3	The variations in results of analysis done by the same analyst shall be within 5 % and those done by two separate analysts shall be within 10%.
11.1.4	In case the variation in the results are above the limits specified at **11.1.3,** it shall be brought to the notice of the in-charge of the lab immediately and the in-charge of the lab shall impartially evaluate the situation either by himself

	or through any suitable person of the lab. The investigation shall cover sample status, sample handling, sample preparation, test procedure, equipment error, chemical quality, capability of analyst(s), specification, test results etc. Non-conformities observed are brought to the notice of the concerned individual /section of the lab for immediate corrective action. After taking corrective action, testing shall be repeated for the same parameters by the same analyst(s) involved.
11.1.5	A detailed report on action taken as per **11.1.4** shall be sent to Head Office of the Agency.
11.1.6	The frequency of Intra laboratory testing shall be once in three months.
11.1.7	**Reporting System**
	a) The Sub Offices shall send the particulars of Intra Laboratory Calibration tests to the Head Office of the EIA on quarterly basis along with comments of the officer-in-charge on or before 7th day of April, July, October and January of every year for the respective preceding quarters. In case there are no particulars for any quarter, a "NIL" statement shall be sent. b) Format for submission of quarterly reports in respect of Intra Laboratory Calibration is given at **Annexure 50 (Page No. 308).** c) The H.O. shall send the statements received from sub offices to EIC on quarterly basis along with its comments by 20th day of April, July, October and January.
11.2	**Proficiency testing**
11.2.1	All EIA laboratories and EIC approved labs shall also participate in the proficiency testing organised by EIC.
11.2.2	The frequency of proficiency testing for each parameter shall be once in a year.
12.	**Procedure to be followed when an approved facility temporarily suspends its production / activities.**
	When an approved facility decides to suspend its processing activities temporarily for a period exceeding 30 days for reasons such as: i. General repairs / Routine maintenance / Non-availability of raw material; ii. Improving their hygienic 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 give scope for the contamination of fishery products / ice / water/food contact surface.; ➢ the FBO shall intimate the local office of the EIA the date from

which it intends to suspend its operation, the purpose and the probable date by which it intends to resume production.

- Upon receipt of intimation, EIA may discontinue monitoring visit / supervisory visit to the facility. The processor shall not commence production / activity till EIA gives permission.
- When the unit is ready to resume production / activity, the FBO shall request EIA concerned for permission to commence production. Before granting permission to start production / activity , the EIA concerned shall take following actions:

For (i),(ii) & (iii), the facility shall be inspected by the monitoring officer after completion of the corrective actions to ensure satisfactory conditions.

For (iv) & (v) the facility shall be inspected by a team of EIA officers or by an APE as decided by the In-charge of the EIA to ensure satisfactory conditions.

Note: During monitoring visits, if it is observed that the facility is not having production / activity for the past one month, the unit shall be allowed to start production / activity only after the satisfactory verification conducted by the monitoring official(s) deputed for this purpose by the In-charge of the Agency.

During the temporary suspension of production or other activity, surprise checks may be conducted by EIA to verify the authenticity of the declaration of the facility as decided by In charge of the Agency.

13. Reporting system

Reporting system shall be put in place requiring each Agency to report the following to the EIC for the purpose of Management Control every month by the 7th of the succeeding month.

i. Details of monitoring and supervisory visits planned and carried out as per **Annexure 51 (Page No. 309-310)**
ii. List of the approved facilities (to be sent through electronic communication only) as per **Annexure 52 (Page No. 311)**
iii. Details of action taken as per the NRCP report in format at **Annexure 53 (Page No. 312)**
iv. Status of the establishment having foreign rejections as per **Annexure 31 (Page No.270-272)**

14. Time frame

Time frames prescribed for various activities shall be as under:

Submission of reports of monitoring and supervisory visits	3 days
Submission report of the monitoring samples tested by EIA / EIC approved Laboratories	1 week

	Submission of monthly reports to EIC	by 7th of succeeding month
	Closure of complaints	Maximum of 3 months or time taken to offer 5 EU consignments for inspection, whichever is earlier.

15. Export certification

15.1 Certificate For Export (CFE)

15.1.1 Procedure

a. Since all the consignments of Fish and Fishery Products meant for export should undergo quality control and inspection prior to shipment and shall be accompanied by a Certificate for Export (CFE), the approved factory vessels, freezer vessels and establishments shall issue a Certificate for Export. The validity of CFE issued for every export consignment shall be **15 days** from the date of issue in the case of frozen / processed fishery products and **3 days** from the date of issue in the case of Fresh / Chilled fishery products.

b. Blank books of CFE shall be obtained from EIAs at a cost stated at **Annexure 1 (Page No.171-172)** per certificate. Each certificate will consist of original (in white) intended for Indian Customs; duplicate (in pink) to be forwarded to the nearest office of EIA and the last two copies (in green and blue) for the use of the unit. EIAs shall maintain proper records of issuance of blank CFEs and their utilisation by the units.

c. The responsibility for the maintenance and proper utilisation of the CFEs issued to them lies with the approved facility. They shall issue CFEs only for those fishery products that are processed in their approved facility and have undergone all the quality checks/ tests specified. The facility is liable for penal action for the misuse of CFEs issued to them.

d. Only persons authorised by the facility shall be allowed to sign the CFEs and the list of persons authorised to sign CFEs shall be made available to the EIA.

e. If the validity of CFE has expired then the same can be revalidated up-to another 15 days (in the case of frozen / processed fishery products other than Fresh / Chilled) and the monitoring fee will not be charged again, if there is no upward revision in FOB value. However no refund will be given in case of downward revision in FOB value. Further, the facility has to submit the original of the cancelled CFE to EIA, with the other three copies (full set) and original Health Certificate (if already issued) pertaining to the CFE concerned. The EIA shall issue a health certificate in lieu of the previous one on request.

15.1.2 Fortnightly Statement on Certificates For Export (CFE) issued

1. Every approved factory vessel, freezer vessel and establishment shall submit to the controlling EIA office a fortnightly statement on Certificates **enclosing the pink copy** of CFE issued during the preceding fortnight for export of fishery products in the pro-forma given at **Annexure 54 (Page No.313).** Based on the fortnightly statement submitted by the approved unit, a monitoring fee as specified in GOI Notification SO 730 (E) pertaining to the export consignment shall be debited from the account of the FBO by the concerned EIA. The approved facility shall always maintain a positive balance in its deposit account with EIA by depositing adequate amount through pay order / demand draft to the Agency.

2. The pink copy of every CFE issued along with the related production batch (code) / grade-wise packing list, invoice copy and B/L shall be attached to the fortnightly statement. In case any pink copy of the CFE has already been submitted to EIA for any other purpose, this may be indicated in the remarks column.

3. Blank CFE books shall be issued, on request by the factory vessels, freezer vessels and establishments only after the approval of DD In-charge of the scheme / officers in-charge and after the previous CFEs issued have been accounted for and paid for. However exporters may have up to 10 sets remaining so as to avoid any operational problems.

4. If no CFE was issued during the preceding fortnight, a “Nil” statement shall be sent to the EIA office.

5. If any CFE is cancelled for any reason, such cancelled CFE (in full set) shall be surrendered to EIA.

6. Every approved factory vessel, freezer vessel and establishment must have a Pass Book system operating with the nearest office of EIA. The FBO shall ensure that adequate balance is maintained in their deposit account with EIA to cover the monitoring fees. CFEs shall not be issued unless there is sufficient balance in their account.

7. In case of lost certificates, exporter shall submit a notarised affidavit on the non-judicial stamp paper to that effect to the concerned EIA in the format given at **Annexure-55 (Page No. 314).** EIA, in turn, shall inform the Customs to check that the CFEs which have been declared lost, have not been presented to them. Further, Customs shall be informed not to accept those specific certificates in future.

8. If the approved facilities are not submitting the statements even after 15 days, further CFEs shall not be issued to them by the EIA. Moreover, a show-cause notice may be issued to the facility concerned as to why the production and export should not be suspended by the Competent Authority.

15.2	**Health Certificate.**
15.2.1	**Procedure for issuance of Health Certificate for export to European Union**
15.2.1.1	**General**
	1. All consignments of Fishery products exported from India to the EU are required to be accompanied by a numbered original health certificate, in accordance with the model given at **Annexure – 56 (Page No. 315-317)** duly completed, signed and dated. The original of the health certificate is required for customs clearance at the destination and shall be made available to the customs authorities at the destination before the arrival of the consignment. The consignments cannot be cleared on the basis of a copy of the original or on the basis of a fax copy of the original. Health Certificate meant for EU should be issued before or on the day of shipment and cannot be issued retrospectively. 2. Since European Commission has recognized the Export Inspection Council of India as the Competent Authority in India for verifying and certifying compliance of Fishery and Aquaculture Products with the requirements of Regulation (EC) No.178/2002/EC, 852/2004/EC, 853/2004/EC and 854/2004/EC, (as amended from time to time), all EU approved facilities are required to obtain Health Certificate from Export Inspection Agencies only. 3. Only the officials of the Export Inspection Agency are authorized to issue and sign the health certificates for export of fishery products to EU. EIA shall issue health certificate as per the requirement of the Commission Regulation (EC) No 1250/2008/EC. (as amended from time to time). 4. If Health Certificate is lost in transit the facility may request for issuance of a duplicate health certificate by submitting an indemnity bond in a non judicial stamp paper stating clearly that if found later, the same will not be reused for any further export but shall be surrendered to EIA for further action. Under such circumstances a new health certificate may be issued in lieu of the lost certificate, stating the reason for the issue. The fee to be charged to the FBO is given at **Annexure – 1.**
15.2.1.2	**Procedure:**
	i. The Health Certificate shall be issued only for fishery products processed in establishments / factory vessels / freezer vessels approved and monitored by the EIA. The processor shall request for the issuance of health certificate from the controlling office/sub-office of EIA in the prescribed application form given at **Annexure. 57 (Page No.318-319) for EU and Annexure 57- A (Page No. 320) for Non EU,** furnishing all necessary information along with: a) A fee as per **Annexure – 1 (Page No. 171-172),** per certificate to be paid by FBO. b) The pink copy of the Certificate for Export (CFE) pertaining

to the consignment.

c) Test Certificate related to the analysis of antibiotics / cadmium, if applicable
d) Invoice, packing list pertaining to the consignment etc
e) Declaration of the processor in the letter head giving details of additives / preservatives, colors, spices / condiments, any other chemicals used for processing fishery products
f) A copy of label used on the cartons, if applicable.
g) Pre-harvest test report, if applicable.

ii. The controlling local office of the EIA responsible for monitoring the units shall issue health certificate to the processor after satisfying itself that the fishery products are processed in approved factory vessels / freezer vessels / establishments having valid approval number and after satisfying the relevant requirements such as testing of every control unit (Production Code) by the unit for organoleptic, bacteriological and chemical factors, etc. and maintenance of records.

iii. It shall be noted that the approved establishments shall test all the consignments of crustaceans and aqua-cultured products meant for export to the EU prior to the shipment for antibiotic residue specifically chloramphenicol, nitrofuran metabolites, tetracycline, oxytetracycline and chlortetracycline at EIA Labs or EIC approved Labs, the sample for which shall be drawn by EIA official , person authorized by in-charge of Agency or the representative of the lab as per clause 8.5.9 (for residual parameters) and consignment wise test reports are to be submitted to the EIA for getting health certificates. It may be noted that the invoice number / proforma Invoice number / purchase order number of the consignment shall be mentioned on the test report by the concerned lab. EIA official, who is issuing the health certificate, shall also attest the test report and endorse the health certificate number on the original / copy of the test report after verifying the original test report issued by the lab.

iv. Consignments of cephalopods meant for the EU are to be tested for Cadmium prior to shipment at EIA Labs or EIC approved Labs for which the samples shall be drawn by the EIA official / persons authorized by the in-charge of Agency / representative of the labs as per clause 8.5.9, and only on the submission of the satisfactory test results the health certificate shall be issued.

v. Health certificate meant for exports to EU shall be prepared in duplicate, the original for the exporter for forwarding to the importer, the copy for record of the issuing office of EIA.

vi. Each health certificate shall bear the name, designation and signature of the certifying official and the official stamp of EIC in a colour different from that of other endorsements. While issuing health certificate, the issuing officer must ensure that the colour of the signature is different from the colour of the ink used for printing

the certificate. If the certificate is printed in black, the signature must not be in black colour. The copies of the certificate shall have the carbon impression of all entries and the signature.

vii. Since addendum / corrigendum / authenticating the corrections are not permitted by many of the importing countries, utmost care shall be taken while issuing the health certificates. However, in unavoidable circumstances clarification letter may be issued to authenticate the corrections in the Health Certificates, provided the importing country accepts the same as informed by the processor / exporter in writing and the responsibility in getting the consignment cleared at the destination lies with the processor / exporter. A fee as stated at **Annexure-1** has to be paid by the processor for issuance of clarification letter.

viii. The Health Certificate in the prescribed pro-forma shall be issued to the approved factory vessel / freezer vessel / establishment. While applying for health certificates the unit shall mention in their application form the language required in the health certificate. Usually the language chosen for issuance of health certificates for different EU countries are given below. However, health certificates can be issued in the language requested by the processor, provided issuing officer knows the language. Health certificates may also be issued in bilingual language if requested by the processor.

Countries	Language
Belgium, Cyprus, Czech Republic, Estonia, Finland, Hungary, Ireland, Lithuania, Luxembourg, Malta, Romania, Slovakia, Slovenia and United Kingdom, Latvia	Only in English
Austria, Germany	English , Germany
Bulgaria	English Bulgarian
Denmark	English ,Danish
France	English ,French
Greece	English ,Greek
Italy	English ,Italian
Netherlands	English ,Dutch
Poland	English ,Polish
Portugal	English ,Portuguese

Spain	English ,Spanish
Sweden	English ,Swedish

ix. The health certificate format specified by EU for export of fishery products is given at **Annexure 56 (Page No. 321)** Even though the language used for printing the health certificate is other than English, the entries in the health certificate can be made in English. Entries in the Health Certificate may also be made in the language of the destination port/country if the language is known to the certifying official or and authenticated by an authorized person meant for the purpose.

x. **Certificate reference number of health certificate**:

Since no two certificates issued from India should have the same number, the following system shall be adopted for giving the reference number:

Each Sub-office shall give a serial number for each health certificate issued prefixed by Agency/Sub-Office codes. Starting from No 1, the serial number will be continued for the whole financial year from 1st April to 31st March.

Following Agency codes shall be used.

EIA-Mumbai	**EIA-Kochi**	**EIA-Chennai**	**EIA-Kolkata**	**EIA-Delhi**
MUM	KOC	CHE	KOL	DEL

The Sub Office codes shall be decided by the in-charge of the respective Agency under intimation to EIC and shall consist of maximum three alphabets in capitals.

Note: Annexes to the health certificate, if any, shall have the same reference number as that of the health certificate. (For example:- results of analysis , details of variety/ types of products which could not be typed in description of commodity column for want of space, etc)

15.2.1.3 General guideline for filling of health certificate for EU

Country	India
1.1 Consigner	Show the name and address of the actual exporter.
1.2 Certificate reference number	KOC/1

1.3 Central Competent authority	Export Inspection Council of India ,New Delhi	
1.4 Local Competent authority	Export Inspection Agency- ……	
1.5 Consignee	Name and address of importer or his nominee who receives the consignment at the port of destination / place.	
1.7 Country of origin	India	ISO code : IN
1.8 Region of origin	Leave blank-NA	Code—NA
1.9 Country of destination	Show the country / Place of destination e.g.: Belgium	ISO code : BE
1.11 Place of origin	Name and address of the processor	
1.13 Place of loading	Indicate the port of shipment e.g.: Kochi - India	
1.14 Date of departure	Indicate the date of departure of vessel	
1.15 Means of transport	Mark 'X' in the applicable columns	
Identification	Indicate the vessel name/aircraft flight number	
Documentary references	B/L No., Invoice No., P.O No. ,etc. as per LC	
1.16 Entry BIP in EU	Indicate the port of entry	
1.18 Description of Commodity	Full details of variety/ type of product are to be given e.g.: Frozen Peeled-Undeveined /Frozen Peeled & Deveined /Frozen Headless Shell-on/Frozen Cooked & Peeled Shrimp etc	
1.19 Commodity Code (HS code)	Give appropriate 6 to 8 digits of the commodity code	
1.20 Quantity(Gross wt)	Give the weight including packing materials in Kg.	
1.21 Temperature of product	Mark 'X' in the applicable columns	
1.22 Number of packages	Actual number of cartons e.g.:1100 C/s	
1.23.Identification of container /seal number	Indicate the container/seal number	
1.24 Type of packaging	Indicate the type of packaging eg:10 x 2 Kg	
1.25 Commodities certified for	Mark 'X' in the applicable columns	
1.27 EU For import or admission into	Mark 'X' in the applicable columns	
1.28 Identification of commodities	Species (Scientific Name): Give the scientific name, if correctly known, e.g. Penaeus indicus, Metapenaeus affinis, Macrobrachium rosenbergii etc.	

	If in doubt about the correctness of the species name, give only the Generic name, e.g. Penaeus spp., Palaemonidae spp., Loligo spp. etc. Nature of Commodities: Show the Source of product (Wild origin / aquaculture / imported) Treatment type: In the case of frozen fishery Products, "Frozen Product" may be indicated. In other cases, "prepared", "processed" etc, as appropriate, may be given. Manufacturing plant: Indicate the name and address of processing unit with approval number. Number of packages: Actual number of Cartons e.g.:1100 C/s shown in column number 1.22 Net Weight: Give the product weight excluding packing materials in Kg.

Date of issue and signature:

Date of issue	Date of issue cannot be later than the date of actual shipment as recorded in bill of lading.
Signature of official inspector	Signature must be in a colour different from that of the printing of the certificate. Blue or red colour is recommended for signing.
Name in capitals, capacity and qualifications	Type the name of the officer, qualifications such as B. Sc., M. Sc., D.F.P.T. etc. and the official designation. The EIC seal shall be affixed at bottom of the certificate.

Note:

i. Issue of health certificate shall be limited to only the actual quantities produced / processed by the approved facility. In no case should the certified quantity significantly exceed the production capacity, as assessed by the APE.

ii. In case, the approved facilities store fishery products meant for

	export to the EU in the approved Independent Cold Storage prior to shipment, EIA shall also mention the approval no. of the cold storage in the health certificate issued for the export of the particular consignment, after obtaining necessary declaration from the processor / export in this regard. iii. Country codes of EU member states are given in **Annexure 58 (Page No 321)**
15.2.2	**Procedure for issuance of Health Certificate for Non-EU countries**
15.2.2.1	The Health Certificate for consignments of fish and fishery products meant for export to Non-EU countries other than Russian Federation may be issued by the concerned EIA in the prescribed general format given at **Annexure 59 (Page No. 322-323)** or in any specific format as required by the importing country. If the importing country has specified any testing requirements, these shall be complied with before issuance of health certificate Health certificates for export to Non-EU countries can also be issued in EU format on request by the processor, if the unit is approved for export to EU.
15.2.2.2	Health certificate for Australia need be issued only upon request by the processor. The health certificate format for export of fishery products to **Australia** is given at **Annexure 60 (Page No.324-325)**. The details of Health Certificates issued for consignments meant for export to Australia shall be maintained at EIA level. Health certificate formats presently used for Saudi Arabia, China, and Hong Kong are given at **Annexure 61 to 63.(Page No. 326-332).**
15.2.2.3	The consignments of aquaculture shrimps meant for export to **Japan** shall be tested for antibiotics residues including nitrofuran metabolites and herbicide residue Pendimethalin, for which the samples shall be drawn by an EIA officer / person deputed by in-charge of Agency and tested at EIA laboratory. However, for the parameters, which cannot be tested in EIA labs., these may be got tested at EIC approved labs. The testing fee on actual and deputation charge as per **Annexure 1 (Page No.171-172)** shall be born by the processor.The test reports shall be issued as per the format enclosed at **Annexure- 64 (Page No. 333).**
15.2.2.4	In case an approved processor offers the consignments meant for export for inspection / testing on voluntary basis for the purpose of issuance of health certificate, the inspection and deputation fee as per **Annexure 1** shall be charged to processor.
15.2.2.5	Consignment meant for export to **Saudi Arabia** shall be tested for V. cholerae at EIA lab, for which five composite samples shall be drawn by EIA prior to shipment. The testing and deputation charges as per **Annexure 1** shall be by the processor.
15.2.3	**Health Certificate for Russian Federation (RF)**
15.2.3.1	The Health Certificate for consignments of fish and fishery products meant for export to Russian Federation shall be issued by the concerned EIA in the prescribed format mentioned **at Annexure 65 (Page No. 334-335)**
15.2.3.2	While issuing the health certificates for RF, the stamp of EIC shall be used

	in the certificate.
15.2.3.3	Before issuing the certificate for RF, the certifying official shall ensure that all cartons of the consignment are sealed with Quality label of EIC and the label of the establishment in such a manner that the opening of cartons will not be possible without damaging the seals.
15.2.3.4	It shall also be ensured that all the requirements of Russian Federation are complied with, including that of labeling, Glaze water content, etc.
15.2.3.4	Health certificate to Russia shall be issued only after the submission of satisfactory test report of in house lab. / EIA lab / EIC approved lab by the processor pertaining to the analysis of all microbiological factors and toxic elements as per the RF requirements.
15.3	**Other Certification**
	If the processor approaches EIA for issuance of **HACCP Compliance Certificate**, same shall be issued as per the format specified at **Annexure-66 (Page No.336)** after verifying the HACCP audit reports and other related documents, for which a fee as per **Annexure 1 (Page No.171-172)** shall be charged to the processor.
16.	**Complaint Handling Procedure : Procedure to be followed for complaints received from importing countries (EU and Non-EU)**
16.1	**General**
	a) When a complaint is received from the importing country or a consignment of fish or fishery products is detained or specific control measures are imposed by the importing countries on food safety or quality grounds, such as product contamination with micro organisms or with harmful residues or due to other reasons including spoilage, incorrect labelling, temperature abuse etc, the competent authority (EIC / EIA) will follow the procedure as given below. b) Action under the complaint handling procedure is required for Alert Notifications and Border Rejection Notifications issued by the European Commission (EC) under RASFF. c) Any “Information Notification” or “News” received from the EC under RASFF which does not warrant official action, will not attract full imposition of this complaint handling procedure on the approved facility concerned. However, the “Information Notification” or “News” received from the EC shall be communicated by the EIA to the approved facility concerned for information, necessary action and its comments. The EIAs shall put the processing facility under internal alert, collect necessary information about the consignment in question from the processor and get the facility assessed by the APE to determine the root cause of the complaint. Based on the APE report in-charge of EIA shall take appropriate action. d) If a processor/exporter receives any information regarding rejection of its fish & fishery products at the destination before the competent authority (EIC/EIA) receives the same, the processor/exporter shall immediately inform the EIA concerned giving all details of the

	consignment rejected. The EIA shall communicate the same to EIC immediately.
16.1.1	EIC shall scrutinise the complaint received from the foreign countries or any other source and shall inform the EIA concerned immediately for taking action as per the complaint handling procedure. EIC may seek clarification from the importing country / Health Authorities, if required.
16.1.2	**Action by EIAs**
	a) Placing the unit under "internal alert"
	EIA shall place the processing unit under '**Internal Alert'** immediately after the receipt of the information about the rejection and shall collect any of or all the following information, based on the nature of rejection / complaint, from the processor concerned: i. Full particulars of the consignment such as product name, quantity, batch code / grade along with attested copies of related documents such as purchase order / letter of credit, certificate for export, health certificate, catch certificate, bill of lading, etc. and also source of raw materials used for processing and export. (*Details regarding prices need not be furnished by the exporter/processor)*. ii. In case of aquaculture products, the processor shall also give the details regarding the feed mill, hatchery, aquaculture farm including their approval number and the pre-harvest test report details. iii. Test reports of raw materials, finished products including the pre export test report for residues etc., as applicable, pertaining to the consignment. iv. Details of the whereabouts of the consignment. v. The particulars of fish & fishery products held in stock by the processor. vi. Details of investigation carried out by the unit as per Clause 16.2. vii. If the processor has got his consignment subjected to a confirmatory test in the country where it was detained or got it surveyed by an independent surveyor in the country where it was detained, copies of such test / survey reports shall be made available to the competent authority for examination. viii. Additional information, if any, relevant to the complaint / rejection.
	b) Information to the laboratories which had tested the product in question: Every laboratory involved with the product in question by way of sampling and / or testing the pre-harvest samples, monitoring samples, pre-shipment samples etc., as applicable, in respect of the contaminant(s) which caused the rejection, shall be informed by EIAs about the complaint with a request to investigate into the matter to determine the root cause for non-detection of the contaminant in its laboratory when the samples were tested and to send a detailed report on the root cause analysis, proposed corrective actions and measures to prevent the recurrence. The EIA shall examine the report of root cause analysis done by the

	laboratory and forward it to EIC with its comments.
16.1.3	Meanwhile, the following actions shall be initiated by the EIA depending on the nature of complaint / rejection, as decided by in-charge of the Agency. Complaints / rejections, which involve quality or food safety issues, shall need action as per Clauses **16.1.4 to 16.1.10**. If the complaint / rejection is not quality or food safety related, the unit shall only be assessed as per clause **16.3**.
16.1.4	**Enhanced monitoring visits**
	In case of rejections due to quality and / or food safety issues, the frequency of monitoring visit shall be increased to 2 visits per month for **two months**. During this period, special focus of monitoring will be on the factor(s) which caused the rejection. A fee as per **Annexure 1 (Page No. 171-172)** per visit for the additional monitoring visits will have to be borne by the processor. The increased monitoring frequency (i.e. 2 visits per month) shall be discontinued if **four** monitoring visit reports and test reports are found satisfactory. For any unsatisfactory performance during the 4 monitoring visits, the increased frequency will be continued till such time, two consecutive satisfactory conditions are achieved.
16.1.5	**Testing of consignments**
	In case of rejections from **EU on microbiological grounds**, the next 5 consecutive consignments meant for export to EU and one in two consignments meant for Non-EU shall be tested by EIA for the specific contaminant(s) at EIA Lab and got cleared, for which each batch (code) will be treated as a lot and a composite sample collected from each batch (code) following the sampling scale $(\sqrt{n}+1)/2=x$ (where n is the number of cartons in the lot; x is the number of cartons to be selected as samples from which a composite sample will have to be collected) covering maximum size grades possible and tested. Only the batches (codes) found satisfactory shall be allowed for export. Frequency of testing for **non-EU consignments** will be one in two till such time 5 consecutive consignments to EU or 2 to non-EU are cleared. If any sample tested fails during the period of testing 5 consecutive consignments meant for EU, two more consecutive consignments will be tested for the specific contaminant (s) in EIA labs, till such time two consecutive consignments get cleared after testing. Similarly, if any Non-EU consignment fails, testing of Non EU consignments shall continue till two consecutive Non EU consignments get cleared after testing. Cost of testing on actual basis and deputation charge as per **Annexure – 1** shall be borne by the processor.

16.1.6	In case of any complaint received from **Non-EU countries on microbiological grounds,** the **next 5 consecutive** consignments will be tested for the specific contaminant by EIA prior to shipment **irrespective of destination**. The procedure of sampling and testing shall be as in clause 16.1.5. If any sample fails during testing of 5 consecutive consignments, two more consecutive consignments will be tested for the specific contaminant (s) in EIA labs, till such time two consecutive consignments get cleared after testing. Cost of testing on actual basis and deputation charge as per **Annexure – 1 (Page No. 171-172)** shall be borne by the processor
16.1.7	In case of rejection due to **residues**, 3 consecutive batches (day codes) will be tested with specific reference to the residue(s) for which the earlier consignment was rejected in the importing country. A composite sample each from three different batches (codes) as close as possible to the code(s) of the rejected consignment shall be tested for the specific contaminant(s) at EIA lab. As far as possible, samples from same type of product / source shall be drawn. If any of the batches (day codes) fails to meet the requirements, 5 more batches (day codes) of the same product / source shall be tested for residual parameters including the specific contaminant(s)., till such time the five consecutive batches (codes) get cleared. The batches (codes) found non-conforming to the requirements will not be permitted for export. The cost of testing on actual basis and the deputation charge as per **Annexure – 1** shall be borne by the processor.
16.1.8	In case of EU rejection due to organoleptic quality defects such as spoilage, discolouration etc., next 5 consecutive consignments meant for export to EU and one in two consignments meant for Non-EU shall be inspected for organoleptic factors by EIA, for which variety / batch (code) / type wise samples shall be drawn as per the sampling scale (**Annexure 67 (Page No. 337-340)**) covering maximum grades possible. Only the batches (codes) found satisfactory shall be allowed for export. Frequency of inspection for non-EU consignments will be one in two till such time 5 consecutive consignments to EU or 2 to non-EU are cleared. In case of doubt as to the freshness of the product, the same shall be subjected to chemical test for TVB-N/ TMA-N. If any of the 5 consignments meant for EU fails during testing, two more consecutive consignments will be tested by EIA for the specific defect(s), till such time two consecutive consignments get cleared. Similarly, if any Non-EU consignment fails, testing of Non EU consignments

	shall continue till two consecutive Non EU consignments get cleared after testing. Deputation charge as per **Annexure – 1 (Page No.171-172)** and testing charges (if any) shall be borne by the processor.
16.1.9	In case of any complaint received from Non-EU countries due to organoleptic quality defects, next 5 consecutive consignments, irrespective of destination, will be inspected by EIA prior to the shipment as in the previous clause. Other conditions shall be in the previous clause.
16.1.10	a) In case any consignment is rejected on grounds of Temperature Abuse / Rupture of Cold Chain / Labelling Defect, the processor concerned shall be asked by the EIA in writing to explain the reasons for the rejection and to clarify whether or not there was any lapse on the part of the processor and to justify with adequate proof that due diligence had been exercised to avoid the complaint / rejection in question. If the processor is able to prove that the complaint / rejection was on account of factor(s) beyond its control and that it had exercised due diligence on the issue to the satisfaction of the EIA, the in-charge of the EIA shall forward the explanation of the processor to EIC with necessary recommendation that no further action is needed. b) If the EIA is not satisfied with the explanation of the processor, the next 5 consignments shall be checked for core temperature of the frozen fishery product or correct labelling, as the case may be, following the sampling scale ($\sqrt{n}+1)/2=x$ (where n is the number of cartons in the consignment; x is the number of cartons to be selected as samples for checking. Only the consignments which meet the requirements in respect of the factor for which it is checked, shall be allowed for export. Before drawal of samples for checking, cold storage temperature shall be checked to ensure that it is maintained at -18°C or below. If any sample fails during checking of 5 consecutive consignments, two more consecutive consignments will be tested for the specific factor(s), till such time two consecutive consignments get cleared after checking. Deputation charge as per **Annexure – 1** shall be borne by the processor.
16.2	Whenever a food safety / quality complaint is received from the importing country, the processor shall carry out an investigation to find out the cause of complaint / rejection and to take proper remedial measures to prevent further complaints. Review of HACCP has to be carried out by the HACCP team in the light of the complaint / rejection and necessary amendments shall be made, if required. Details of the investigation and corrective action taken by the unit shall be communicated to EIA by the processor.
16.3	**Assessment of the approved facility**
16.3.1	EIA shall arrange a detailed assessment of the unit **(fee as per Annexure 1)** at the earliest (preferably within a week) in order to: 1. determine the cause of contamination / rejection

2.	suggest remedial measures so as to prevent further rejection and
3.	to collect details of the rejected consignment (as given at 16.1.2 a) above), in case the same has not been received.

Assessment of the processing facility shall be carried out by an APE comprising officials from EIC / EIA / CIFT / Empanelled members as may be decided by the In-charge of the Agency. The quorum of the panel shall be two. The main objective of the assessment is to determine the root cause of the complaint / rejection. A detailed root cause analysis shall be carried out by the panel (including audit of primary production facilities like hatchery, feed mill , farm, landing centres, fishing vessels, freezer vessels, factory vessels, where necessary) to ascertain the actual cause of rejection. The audit shall be carried out to address the specific contaminant / cause of rejection. The APE shall have experts to audit the unit depending up on the type of rejection. In case of rejection due to microbiological parameters, a lab expert shall be included for auditing the in-house lab. The APE shall avoid concluding that the cause for the complaint / rejection could not be found without substantiated justification.

The assessment may, inter alia, cover the following areas, **as applicable**, depending on the nature of complaint / rejection:

a) Implementation of HACCP and pre-requisite programme of the unit covering all applicable areas.
b) Control measures exercised by the unit at all stages of production, storage and transportation, including GMP, sanitary controls, personal hygiene control, pest control, temperature control, calibration, record keeping, maintenance of cold chain etc
c) Source of raw materials / ingredients / additives, traceability system of the unit, testing of raw materials / ingredients / additives, pre-harvest test reports, pre-export test reports as applicable, supplier selection and supplier audit, transportation etc
d) Internal audits including primary production, training of employees, validation of HACCP plan / validation of critical limits
e) Good laboratory practices, testing of process / finished product samples etc.
f) In case of rejection due to microbiological factors, the in-house lab shall be audited by the lab expert of the APE to verify whether the lab has any major deficiency in equipment, methodology or analyst with specific reference to the contaminant in question.
g) In case of rejection due to residue, the team may carry out the assessment of the concerned farm, hatchery and or feed mill, landing sites, fishing vessels, as applicable, to find the cause of rejection. (If visits to farm, hatchery , feed mill, landing site or fishing vessel is considered necessary by the APE to identify the root cause with reference to the nature of complaint / rejection and if it is not possible on the same day, the visit may be undertaken on the next day). If the farm, hatchery, feed mill, landing sites, fishing vessels are located in the jurisdiction of another Agency, the EIA in-charge shall request the other Agency to carry out investigation and submit report.
h) If the APE finds it necessary for the assessment, sanitation &

	hygiene control samples, raw material / process / product / ingredient samples etc. may be drawn for testing at EIA lab / EIC approved labs in order to ascertain the cause of contamination depending on the type of rejection. Sanitation and hygiene control samples, additives etc. need only to be tested in relation to the specific cause of rejection. i) Samples for organoleptic inspection shall be drawn only in the case of rejection due to quality problem.
16.3.2	Based on the assessment, the team shall prepare a detailed objective report and submit to the in-charge of EIA within three working days after completion of assessment. The report shall address the possible root cause(s) of rejection and the remedial measures to prevent contamination / rejection and may contain, inter alia, the following information, **as applicable**, depending on the type of complaint / rejection: a) Particulars of complaint / rejection b) Details of rejected consignment and its whereabouts. c) Source and other details of raw materials / ingredients of rejected consignment. Details of raw material, supplier selection, supplier audits, farm registration, pre-harvest testing etc., as applicable. d) Control measures exercised by the unit at all stages of production starting from primary production to prevent specific contaminant / rejection. e) Hygiene and sanitation procedures adopted by the unit to prevent specific contaminant / rejection, including GMP, control on water / ice production, personal hygiene control, pest control, temperature control etc., as applicable. f) Details of review of HACCP, amendments, internal audits, training, validation HACCP plan / Critical limit, Validation of cooker, calibration etc., as applicable. g) Details of investigation carried out by the unit in the light of the rejection and corrective action taken / proposed to be taken. h) Control on post cooking / blanching contamination, if applicable i) Details of pre-export testing of the rejected consignment, if applicable j) Performance of the unit during surveillance visits carried out by EIA. Details of monitoring / supervisory visits, HACCP audits and test results of monitoring samples. k) Whether the unit is meeting the requirements of GOI Notification and is capable of producing safe fishery products. l) Whether the implementation of HACCP and pre-requisite programmes is satisfactory. m) Details of audit carried out at farm, hatchery, feed mill, landing sites, fishing vessels etc., as applicable. n) Implementation of the recommendations given, if any, based on earlier RASFF Notification/complaint/rejection. o) Whether there is any lapse on the part of EIA monitoring. p) The possible reasons for the rejection of the consignment and the identified root cause with justification. q) Suggestions for remedial measures to prevent recurrence. r) Information on sampling and testing of F&FP for the specific contaminant may be furnished as follows:

Name of the Contaminant :

Type of test	Name, Designation and Organisation of the person who collected the sample(s)	Name and address of the Lab which tested the samples(s)	Test result in PPM / PPB	Test Method	Attach copy of the test reports if available. Indicate whether test report is attached.
Pre harvest test					
Pre export testing					
Any voluntary testing					
Testing done at importing country					
Testing of Returned consignment in Lab 1					
Testing of Returned consignment in Lab 2					
Test results of the sample (s) drawn from the same master carton from which the health authorities have drawn the sample					

16.3.3 The In-charge of the Agency shall scrutinise the assessment report and test report(s) of samples drawn during assessment and take following actions depending on the outcome of the assessment:

a) In the case of rejections due to food safety / quality issues where the assessment team has opined that the unit is capable of producing safe / quality fishery products based on satisfactory performance of the unit evidenced by proper HACCP implementation and adequacy of the own check system of the unit to prevent further contamination / rejection, EIA shall forward a copy of the assessment report along with test report(s) to EIC for information.

b) In the case of rejection for reasons other than food safety/ quality issues and if the performance of the unit is satisfactory based on the assessment report, EIA shall propose to EIC to **revoke the 'Internal alert'** imposed on the EU listed unit. In the case of non-EU listed units, the in-charge of the EIA shall revoke the internal alert under intimation to Director (I & QC).

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c) If the assessment report indicates satisfactory performance of the unit subject to rectification of minor defects to prevent the recurrence of contamination / rejection, EIA shall communicate the defects to the unit for time bound rectification, with a copy marked to EIC. The corrective actions shall be verified by EIA and if satisfied, shall take action as in sub clause a) or b) above, as the case may be.

d) In case the test result of any sample drawn during the assessment is found not in conformity with the requirements applicable for the specific contaminant or quality parameters, next five consecutive consignments meant for export shall be subjected to testing / inspection by EIA for the specific contaminant / quality parameters at EIA lab and the consignments will be permitted for export only after satisfactory test / inspection results. The cost of testing and deputation charges as stated at **Annexure -1 (Page No. 171-172)** shall be borne by the processor.

e) In case the investigation team has observed the non-conformity in the areas of primary production, then the same shall be dealt with by taking suitable action on these links.

f) In case the performance of the unit is found unsatisfactory during assessment based on improper HACCP implementation and / or inadequate controls by the unit to prevent non-conformity / contamination of fishery products processed in the unit, the EIA in-charge shall take the following actions with intimation to EIC.

16.4 **Action in case of unsatisfactory assessment report**

(a)	Processor is required to show cause within 10 days as to why the approval granted to the facility should not be withdrawn for the lapse(s) brought out in the assessment report.
(b)	Production and export to all countries shall be stopped till the approved facility rectifies all the deficiencies pointed out by the assessment team and proper steps are taken to prevent further rejection.

16.4.1 Once the processor informs the EIA that the corrective actions have been carried out, verification, of the corrective actions will be done by a Deputy Director level officer. The processor may be allowed to resume production and export only if the in charge of EIA is satisfied about the rectification of the deficiencies after verification.

16.4.2 If the in charge of EIA is not satisfied with the reply of the processor to the show-cause notice, or with the corrective actions taken by the processor and verified as at 16.4.1. above, the approval granted to the facility shall be withdrawn with the approval of the Director (I&Q/C).

16.4.3 After resumption of production as per clause 16.4.1., an officer, not below the rank of Technical Officer shall be deputed to such units for a minimum period of 10 days extendable up to 30 days to continuously monitor the

	enforcement of various standards relating to quality control, food hygiene and food safety. The cost of such deputation of EIA officers shall be charged to the units as stated at **Annexure -1 (Page No. 171-172).** If working is more than 1 shift, all shifts should be covered at random.
16.4.4	In the case of EU listed units having RASFF notification on microbiological grounds or organoleptic quality grounds or other safety/quality issues other than residues, after resumption of production, the next 5 consecutive consignments for EU and one in two for Non-EU shall be tested / inspected for the specific factor(s) which caused the rejection at EU and cleared by the concerned EIA until 5 consecutive consignments to EU get cleared. The sample shall be drawn by EIA official and tested at EIA lab. The lot for sampling shall be each variety under a production batch (code). The lots found not in conformity with the requirements shall not be allowed for export. If any of the Non-EU consignments fails, testing shall continue till two consecutive consignments meant for Non EU get cleared. In case of Non-EU establishments next 5 consignments meant for export shall be tested / inspected irrespective of destination until 5 consecutive consignments get cleared. Cost of testing shall be borne by the processor and inspection fee as stated at **Annexure -1** shall be paid by the processor for each consignment. Only after the clearance from the concerned EIA, based on satisfactory test / inspection results, the consignment produced by that establishment shall be allowed for export.
16.4.5	In case of rejection due to Residues, 3 consecutive batches (day codes) shall be tested. If any of the batches (day codes) fails to meet the requirements, five more batches (day codes) shall be tested again, till such time, all consecutive 5 batches (codes) are satisfactory, for residual parameters including the specific contaminant at EIA laboratories. The batches (codes) found not meeting the requirements shall not be permitted for export.
16.5	**Dealing with returned consignments**
16.5.1	If the processor wants EIC to be issue a letter to the concerned Health Authority of the importing country for bringing back the rejected consignment, he may request in writing for the same through the EIA concerned along with full details of rejected consignment, including type of product, quantity, FOB value, container no, Health Certificate no, & date , reason for rejection etc. A copy of invoice and the name and full address with phone number, fax number and email address of the proper officer of the Health Authority of the importing country to whom the letter should be addressed shall also be provided. In such cases, fee as stated at **Annexure -1** shall be levied from the processor.

16.5.2

When a consignment has been brought back to India after rejection at the importing country, the processor / exporter shall, well in advance of the date of taking delivery of the consignment, inform the local EIA office the details of the consignment including the reasons for rejection, date and port from where delivery will be taken for enabling the EIA to arrange for inspection of the returned cargo and to collect necessary samples for testing. If the port does not have facilities for sampling and inspection, the returned consignment shall be taken, under EIA escort, to an approved storage where necessary facilities exist, the details of which shall be furnished to the EIA by the processor / exporter.

On receiving the intimation of return of consignment, the following actions shall be taken by EIA:

a) The local office of EIA shall arrange to get the consignment inspected and or tested as soon as it arrives at the port. If the consignment has to be taken to an approved storage where facilities for inspection and sampling exist, the authorized EIA official(s) shall escort the cargo from the port to the storage. The inspection of the consignment and collection of samples for testing, where required, shall be done by a team comprising an EIA official well versed in F&FP inspection and one EIA laboratory official well versed in sampling. If EIC so desires, it may depute its nominee to the sampling / inspection team. The inspection and sampling of the returned consignment shall be done by the team at the unloading point where proper facilities exist.

b) If the reason for rejection at the importing country is microbiological / residue contamination, samples for testing shall be collected batch (code) / variety (shrimp / squid / cuttlefish / Lobster / Tuna etc.) wise, following the sampling scale ($\sqrt{n+1}/2=x$ (where n is the number of cartons in the lot; x is the number of cartons to be selected as samples for testing). Necessary quantity of material shall be collected from each sampled carton and **each individual sample is tested** for the specific contaminant at two different laboratories, other than the lab that had conducted pre-export testing of the rejected cargo. Preferably, one set of samples shall be tested at EIA lab. (other than the one which tested the pre export samples from the consignment) and the other set of samples at EIC approved laboratory. Lab representative, who drew the sample(s) for pre export testing, shall also be advised to be present during the collection of sample(s).

In addition to above, samples shall also be drawn from the slabs / master carton (s) from which the samples were drawn by the importing country's health authority, if these are identifiable.

The production batch(es) {code(s)} found conforming to the specification shall be permitted for export to countries other than EU & RF and other than the non-EU country where the consignment had originally got rejected.

The defective batches (codes) shall be destroyed or re-processed under EIA supervision, if re-processing is possible without any food

	safety risk. c) In the case of rejection due to organoleptic factors, the returned consignment shall be inspected by EIA for all organoleptic factors with special focus on the factor which caused the rejection at the importing country. For this purpose, each variety of fishery product under a production batch(es) {code(s)} in the returned consignment shall be treated as a lot and samples drawn as per the sampling scale **(Annexure- 67 Page No. 340)** covering all the grades. The production batch (es) code(s) found conforming to the specification shall be permitted for export to countries other than EU & RF and other than the non-EU country where the consignment was rejected. The defective batches (codes) shall be destroyed or re-processed under EIA supervision if reprocessing is feasible. If the organoleptic evaluation of the returned consignment reveals any doubt as to the freshness of the product, the same shall be tested for TVB-N and TMA-N. d) In case of rejections which do not involve food safety / quality issues, the returned consignment shall be inspected and sampled, where required, according to the nature of the complaint / rejection with a critical focus on the grounds of rejection. The objective of inspection / testing shall be to ascertain if the rejection is justified and if there was any lapse on the part of the approved processor / exporter. Note- In the above cases, actual testing charges and deputation fee as per **Annexure -1** shall be paid by the processor.
16.5.3	If all the samples tested from the brought back consignment meet the specification, the concerned EIA In-charge may take decision to release the consignment for export to countries other than EU & RF and other than the non-EU country where the consignment had originally got rejected provided it meets the requirements of the importing country.
16.5.4	If any of the samples tested from the returned consignment shows unsatisfactory results, the processor shall either **reprocess** the non-conforming lots if it is possible to bring it to conformity without risk to health by scientifically accepted methods (For example, heat treatment, conversion of raw fishery products having **microbiological issues** into cooked products etc.) in presence of EIA officer or **destroy** the lots if it cannot be brought into conformity without health risk by scientifically accepted method(s) (For example, issues related to **residues**) in a manner acceptable to the In-charge of EIA concerned.
16.5.5	*The* method and schedule of reprocessing shall be furnished by the processor to the local Office of EIA for scrutiny and for arranging supervision of reprocessing.
16.5.6	The processor shall offer the reprocessed consignment for inspection by EIA.

16.5.7	EIA shall inspect the reprocess*ed* products batch (code) wise for all microbiological parameters as well as organoleptic factors. (Organoleptic examination is essential as reprocessing/refreezing might affect the organoleptic factors if due care was not taken.)
16.5.8	The fee for EIA supervision with regard to reprocessing shall be as per **Annexure-1 (Page No. 171-172)** per day. Inspection Fee at the rate of 0.3% of the F.O.B. value of the consignment shall be charged for the reprocessed consignment for export. Testing fee shall be charged as per prescribed rates. **Note: No reprocessing is possible in case of rejection due to residues. Hence supervisory fees will not be applicable.**
16.5.9	If the reprocessed products are found export worthy on inspection, the lots shall be allowed for export to countries other than EU & RF and other than the non-EU country where the consignment had originally got rejected prior to its reprocessing.
16.6	**Revocation of 'Internal alert'**
16.6.1	If the following points are satisfactory: a) The rejected consignment, if brought back to India and tested for the contaminant / defect is found free of the contamination / defect as evidenced by test reports / organoleptic inspection reports, as applicable; b) The assessment report of the unit indicates satisfactory performance of the processing facility based on proper hygienic conditions and implementation of HACCP; c) The periodical monitoring conducted by EIA during the past three months indicates satisfactory performance of the unit and previous HACCP audit report is satisfactory; d) Samples tested during the assessment visit pass; e) 5 consecutive consignments / 3 day codes pass; f) Audit Report on the primary linkages, done by EIA(s), is satisfactory and suggestions are implemented by the unit. then, in-charge of the Agency shall revoke the 'Internal alert' imposed on the unit and inform EIC accordingly.
17	**Repeated rejections in a calendar year**
17.1	In case of repeated rejections of consignments of fishery products of an approved unit in a calendar year (1st January to 31st December) due to food safety or quality issue, the following actions shall also be taken as applicable. (In case of rejection from EU, the date of RASFF Notification is taken as reference date). The information Notification and news issued by EU, under RASFF need not be considered under this clause.

I. For the **first rejection** in the calendar year - EIA shall take action as per the compliant handling procedure specified at Clause 16.

II. For the **second rejection** in the calendar year **-** the following action shall be taken, in addition to those specified at Clause 16:

a) Issue a "Show Cause" notice to the concerned facility seeking clarification as to why the approval granted to the facility should not be withdrawn in the light of the failure of "Own Check System" / repeated rejection. The approved facility shall submit reply within a week.

b) In the case of rejection due to residue, microbiological contamination, or organoleptic defects, **five more consignments** shall be tested / inspected by the EIA for the specific contaminant (s) / defects at EIA laboratory, for which testing charges and deputation charges as stated at **Annexure – 1 (Page No. 171-172)** shall be borne by the processor.

c) EIA shall collect the information (sampling details, test report) regarding the pre harvest testing, in house testing and pre export testing, as applicable, and the labs involved in testing. On receipt of the information EIA shall undertake the audit of the labs concerned where samples were tested prior to shipment. The lab audit report shall clearly state whether the testing of the sample of the consignment in question for that particular parameter, was done as per the requirements or there was any lapse on the part of the laboratory.

Based on the outcome of the lab audit, EIA shall send its recommendations to EIC on appropriate action to be taken in respect of the laboratory. If the lab, where the samples were tested comes under the jurisdiction of another Agency, then the in-charge of Agency shall request the other Agency to undertake the lab audit and submit the report to it. In case the samples were tested at EIA lab, then the audit of the lab shall be done by the lab experts of another Agency, for which suitable proposal shall be sent to EIC by the in-charge of the Agency.

In case the "in house lab" audit report is unsatisfactory, then action as per Clause 9.1.9.8 (last Para) shall be initiated.

III. For the **third or subsequent rejection** during the calendar year - the following action shall be taken, in addition to those specified at Clause 16:

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a) Issue a "Show Cause" notice to the concerned facility seeking clarification as to why the approval granted to the facility should not be withdrawn in the light of the failure of "Own Check System" as indicated by repeated rejection. The approved facility shall submit reply within a week.

	b) Suspend the production and export of the unit till rectification of the deficiencies pointed by the APE. During the period, the establishment shall carry out all the corrective actions to avoid the recurrence of contamination and demonstrate the same to the EIA concerned. c) Withdrawal of approval if reply to show cause notice is unsatisfactory with a condition that the unit will not be eligible to apply for fresh approval for at least six months with effect from the date of withdrawal. d) If the reply to show cause notice is satisfactory, after revocation of the suspension, in the case of rejection due to residue, microbiological contamination or organoleptic defects, five more consignments shall be tested / inspected by the EIA for the specific contaminant (s) / defects at EIA laboratory / at the unit for which testing charges and deputation charges as stated at **Annexure – 1 (Page No. 171-172)** shall be borne by the processor. e) EIA shall collect the information (sampling details, test report) regarding the pre harvest testing, in house testing and pre export testing, as applicable, and the labs involved in testing. On receipt of the information EIA shall carry out an audit of the labs concerned where samples were tested prior to shipment. The lab audit report shall clearly state whether the testing of the sample of the consignment in question for that particular parameter, was done as per the requirements or there was any lapse on the part of the laboratory. f) If the lab, where the samples were tested comes under the jurisdiction of another Agency, then the in-charge of the Agency shall request the other Agency to carry out the lab audit and submit the report to it. In case the samples were tested at EIA lab, then the audit of the lab shall be done by the lab experts of another Agency, for which suitable proposal shall be sent to EIC by the in-charge of the Agency. g) Based on the outcome of the lab audit, EIA shall send its recommendations to EIC for appropriate action to be taken in respect of the laboratory. h) In case the “in house lab” audit report is unsatisfactory, then action as per Clause 9.1.9.8 (last Para) shall be initiated.
18.	In normal circumstances, the fee as per **Annexure – 1 (Page No. 171-172),** for drawal of samples by EIA officials, shall be charged by EIAs. However, if the samples drawn are tested in the EIAs labs, then sample drawal fee (deputation fee) will be adjusted in the testing bill by EIA laboratory.
19.	**Appeal**
19.1	Any person aggrieved by :

	a) Decision of the competent authority not to accord approval to the facility as per Rule 11 of Notification No. S.O. 730(E) dated 21.8.1995; b) Decision of the competent authority to withdraw approval as per Rule 12.1 of the said Notification; and c) Refusal of the competent authority to issue health / veterinary certificate as per Rule 15 of the said Notification may prefer an appeal within 10 (ten) days of receipt of such communication to an appellate authority appointed from time to time by the Central Government. The appeal may be sent to EIC for forwarding the same to the Chairman, Appellate Authority
19.2	At least two-thirds of the total membership of the Appellate Authority shall consist of non-officials.
19.3	The quorum for any meeting of the Appellate Authority shall be three.
19.4	The appeal shall be disposed of within 30 days of its receipt.
19.5	The non-official members would be eligible for TA / DA as admissible to them from time to time for attending the meetings of the Appellate Authority. The expenditure on this account will be borne by the Export Inspection Council.
20.	**POWER TO RELAX**
	In case any situation arises, which is not covered by the executive instructions, the In-charge of EIA concerned may make a suitable recommendation(s) to EIC for decision by Director (I&QC).

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APPENDIX - A

REQUIREMENTS FOR APPROVAL OF FEED MILLS

Feed mills are one of the important links in primary production chain where proper control systems shall be in place to establish the safety of aquaculture products produced. Therefore, feed mills shall implement HACCP based control systems, including Good Manufacturing Practices (GMP) and comply with the following basic requirements to produce safe and quality feeds consistently.	
1	**Surroundings**
1.1	The premises shall be kept clean and shall have defined curtilage. All the roads in the premises shall be concreted / tarred or turfed to prevent wind-blown dust.
1.2	There shall not be any swamps, stagnant water or signs of any rodent harbourage inside the premises.
2	**Construction, layout and equipment.**
2.1	The factory shall be housed in a building of permanent nature affording sufficient protection from the environment and shall be of sufficient size for the work to be carried out under hygienic conditions. The design and layout shall be such as to preclude contamination.
2.2	The layout of different sections shall be such as to facilitate smooth and orderly flow of work and to prevent possible cross contamination and backtracking.
2.3	There shall be adequate lighting and ventilation. Light fixtures shall be protected with proper covering.
2.4	The layout shall ensure sufficient space in different sections for machinery, equipment, personnel etc. without congestion.
2.5	The building shall provide sufficient protection against the entry and harbourage of rodent, insects, birds etc.
2.6	The establishment shall have the suitable facility prevent the entry of flies.
2.7	Suitable facilities for washing hands shall be provided for workers at entry points.
2.8	Change room(s) of adequate size shall be provided for workers.
2.7	Floor, walls and roof shall be smooth and easily cleanable.
2.8	Utensils, machineries, conveyors, mills, aspirators, screeners, mixers and other feed contact surfaces shall be smooth, clean and maintained in good hygienic condition to avoid contamination of products.
2.9	Sieves, screens, filters, separators and mixers shall be regularly checked for damages, cleanliness and their effective operation.
2.10	Metal detectors and / or magnets shall be installed in the processing line at suitable locations wherever necessary and regularly checked for their effective operation and records maintained.
3	**Cleaning and sanitation**
3.1	A well-documented effective cleaning and sanitation programme shall be developed and implemented as per the laid down frequency.
4	**Waste management**
4.1	Waste shall be collected promptly and / or stored in dedicated waste containers away from incoming raw material and finished product storage areas and shall be disposed of legally.
5	**Pest control.**
5.1	Effective pest control system shall be adopted to avoid pests and documented.
6	**Personal Hygiene**
6.1	Employees shall adopt proper hygiene practices and wear clean protective clothes. There shall be adequate washing facilities.
7	**Storage facilities**
7.1	Separate storage facilities shall be provided for storing incoming materials, finished products and also packing materials hygienically. Storage areas shall be hygienically maintained and shall be free from moisture, dust, vermin and birds.
7.2	Medicated feeding stuff, premix and additives shall be stored in suitable separate and secured rooms or hermetic containers with proper labelling and traceability records on a first in first out basis. Only authorised person shall have access to these stores.
7.3	Proper records of storage, with details of incoming and outgoing materials shall be maintained.
8	**Implementation of HACCP**
8.1	Feed mill shall implement HACCP and prerequisite programme including GMP, SSOP etc. Critical Control Points shall be identified and Critical Limits shall be monitored, if applicable.

8.2	Internal audits shall be conducted at least once in a year to establish effectiveness of HACCP controls. HACCP has to be reviewed at least every year or whenever there is a change.
9	**Technologists**
9.1	Technologists having required qualification and experience as per GOI Notification S.O 730 (E) dated 21.8.1995 shall be appointed to carry out sampling, inspection, testing and also to supervise production and to carry out HACCP controls and other activities. These technologists shall be approved by the concerned EIA.
10	**Inspection & Testing**
10.1	Incoming materials, process materials and finished products shall be tested for microbiological and chemical parameters as specified in the HACCP Manual in the in-house laboratory or EIC approved labs. Effective quality control of all ingredients and final products shall be established to ensure the wholesomeness and safety of feed produced. The final product shall be tested for prohibited antibiotics like Chloramphenicol and metabolites of Nitrofuran and other prohibited pharmacologically active substances. The test results shall be made available to the approved farms / hatchery along with feed supplied.
10.2	Homogeneity tests shall be conducted at a laid down frequency to check the dispersion of permitted feed additives and veterinary medicinal products in feed.
11	**Pelleting & cooling**
11.1	A written procedure shall be developed to ensure regular cleaning of cooler. If air is used for conveying or cooling, it should be checked for microbial contamination.
11.2	Pelleting conditions must be assessed to ensure stability of the feed additives.
12	**Dust control**
12.1	The factory shall have a dust management plan' to avoid accumulation of dust at all areas.
13	**Maintenance**
13.1	Proper maintenance schedule shall be developed and recorded to ensure proper functioning of all machineries, equipment etc.
14	**Specifications**
14.1	Specifications of incoming materials, feed additives, pre-mixtures, finished products shall be developed and strictly implemented.
15	**Traceability and Recall procedures**
15.1	Traceability of incoming materials and finished products shall be established from the source. Recall procedures shall be developed to address customer complaints.
15	**Control of contaminants and carry-over**
15.1	Controls to protect the incoming materials and finished feed shall be implemented and monitored. Control of carry-over shall be considered within the HACCP study. Carry-over must be measured with an appropriate method at least once in a year or after installation of facilities.
16	**Training**
16.1	Regular training shall be given to the workers / supervisors / technologists to up-date their knowledge and records of training to be maintained.
17	**Water**
17.1	Water used as ingredient in the manufacturing process and also for washing purpose shall be of potable quality, complying to the requirements of IS 4251.
17.2	Water shall be tested for all parameters (other than radiological factors) as per IS 4251 at EIA lab or EIC approved lab at least once in two years or whenever source of water is changed.

APPENDIX - B

REQUIREMENTS FOR APPROVAL OF HATCHERY

	Location of Hatchery
1.1	Hatchery shall be located in an area having good climatic condition and availability of clear, good quality seawater throughout the year. Availability of fresh water, uninterrupted power supply, spawners etc. shall also be considered while selecting the site for hatchery.
2	**Design , Construction and Components of Hatchery**
2.1	The hatchery shall be designed based on the target species and production target. Ample space shall be provided for breeding, hatching and rearing as applicable and for support facilities needed for operation.
2.2	The hatchery shall have the basic components like, maturation tanks, spawning tanks, larval rearing tanks, live food culture tanks, water storage and filtration tank etc. as applicable. The tanks shall be of suitable size, shape, depth, and made up of materials which will not cause harm or injury to the animal reared. Newly constructed tanks shall be used only after conditioning and disinfecting it with suitable methods depending upon the material of the tank so that pH of water in the tank is stabilized before stocking. The tanks which are in operation must be cleaned regularly with clean fresh water, dried in sun and disinfected, preferably with 12% sodium hypo-chlorite solution at 200 ppm level for 24 hrs.
2.3	Aeration shall be provided in the tanks in large volume at low pressure to maintain sufficient dissolved oxygen level in water, through suitable mechanism such as roots blower, rotary blower, air compressor etc. The pressure of aeration shall be adjusted depending upon the requirement. It shall be ensured that air from the blower is free from oil. Generator may be provided for alternate power supply to ensure continuous aeration, in case of power failure.
2.4	In case of hatchery for salt water animals, continuous supply of clear, good quality seawater shall be ensured in sufficient quantity, either pumping directly from the sea or from sump pit into the overhead filter tank. As far as possible, sea water shall be drawn directly from tube well. Water shall be filtered through suitable filter bed before use.
2.5	Sufficient quantity of freshwater shall also be available for salinity adjustment.
2.6	Quality of water shall be monitored for physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen etc. at regular intervals. Seawater and freshwater shall be tested for microbial and chemical contaminants on a laid down frequency.
3	**Induced maturation and spawning**
3.1	Availability of sufficient quantity of healthy spawners or brood stock, caught during spawning season shall be ensured. In the case of shrimps, it is also to be ensured that only those brood stocks having complete appendages and attaining a size of at least 100 gm. shall be used for eyestalk ablation. For females, presence of spermatophore in the thelycum shall also be ensured.
3.2	If the healthy spawners with stage IV ovary are to be transported to the hatchery for spawning, it should be done hygienically in controlled conditions to avoid injury or stress to the spawner.
3.3	Sampling for checking gonadal development of ablated female shall be done at least 3-4 days after ablation, whereas gravid females shall be checked every alternate day.
3.4	After spawning, the eggs shall be cleaned and disinfected, if required. Eggs shall be hatched in controlled condition of temperature and salinity. Maximum care shall be taken to avoid contamination of hatched nauplii.
4	**Larval rearing**
4.1	Maximum care shall be taken while rearing the larvae at different stages of development. Optimum temperature, salinity, pH, dissolved oxygen etc. shall be maintained as per the requirement of species concerned and stage of development.
4.2	Density of stocking of larvae in each tank shall be pre-determined to avoid overcrowding.
4.3	Biological filter may be provided, wherever applicable.
4.4	Adequate quantity of good quality feed of the required type shall be given at the appropriate stage. Even though, feed is not required during Nauplii stage of shrimps, diatom shall be inoculated immediately after stocking the larvae to ensure availability of feed when nauplii molt into protozoa
5	**Larval feed**
5.1	Hatchery shall use required type of good quality feed as per the requirement of the species / stage concerned. The feed may be constituted of diatom, phytoplankton, zooplankton, polychaetes, chopped mussels, cockle meat, soybean curd, soybean cake, etc. depending upon the larval stage and targeted species. It shall be ensured that the quantity of feed given at each stage shall be optimum for that particular species. The feed shall not contaminate the media or the larvae. Banned chemicals shall not be used.
6	**Good Hatchery Management**
6.1	Continuous monitoring of physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen level etc. at regular intervals shall be ensured for optimal environmental conditions in the hatchery so as to achieve maximum growth and survival.
6.2	As far as possible, water temperature, salinity and pH shall be checked twice daily. The

	movements, eating habits and other health aspects of the larvae at different stages shall be closely monitored. Moreover, the number of larvae at each stage shall be calculated and recorded. All records of monitoring shall be maintained.
6.3	It shall be ensured that banned chemicals or pharmacologically active substances shall not be used at any stage during hatchery operation.
6.4	Feed shall be checked for its quality and for contaminants at regular intervals.
6.5	Good hygienic practices shall be followed at all stages of hatchery operation to avoid microbial contamination. Records of cleaning and sanitation shall be maintained.
6.6	Pest control and personal hygiene shall be followed strictly to avoid contamination.
6.7	Proper training shall be imparted to the employees for cleaning and sanitation, hygienic handling, and also for good hatchery practices.
6.8	Water management system shall be adequate to control contamination.
6.9	Withdrawal period for the authorised VMPs used in the facility shall be followed. In case withdrawal period of particular VMP is not prescribed, by the VMP manufacturer, then the default withdrawal period of 500 degree days shall be followed. Degree days are calculated by adding the mean daily water temperature (measured in °C), for the total number of days measured. This means, if the daily mean water temperature was 20°C, after stopping the drug treatment, then the withdrawal period shall be 25 days.). This aspect shall be addressed in the HACCP manual.
7	**Nursery**
7.1	In shrimp hatcheries, PL5 – PL6 are not stocked directly in grow-out ponds. Therefore, they are reared in suitable nurseries till attaining a marketable size (PL 21- PL 25). In carp hatchery, rearing of post larvae to fry is usually done in nursery, where .as rearing of fry to fingerlings is done in rearing ponds.
7.2	Nurseries and rearing ponds shall be of suitable size and type depending upon species/ stage and it shall be maintained hygienically to avoid contamination/ mortality
8	**Harvest & transportation of Post larvae / fingerlings / Brood fish**
8.1	In case of shrimps, PL21- PL25 is suitable for harvesting. maximum care shall be taken to ensure that no damage or stress happens to post larvae / fingerling during harvest or transportation.
8.2	Transportation may be done in plastic, fibreglass or canvas tanks with adequate aeration and reduced temperature. Transportation may also be done in plastic bags of suitable size provided with oxygen.
8.3	It is essential that larger fish / brood fish shall be anesthetized during transportation to avoid stress, which is usually done by using chill water of 5ºC - 10 ºC.
8.4	250 gm. sample of post larvae / fingerlings concerned hall be tested for Chloramphenicol and metabolites of Nitrofuran at EIC approved laboratory prior to harvest and the test results shall be made available to the approved aquaculture farms during the supply of larvae / fingerlings.
9	**Technologists**
9.1	Technologist(s) having required qualification and experience as per GOI Notification S.O 730 (E) dated 21.8.1995 shall be appointed to carry out sampling, inspection, and also to supervise good hatchery practices. The technologist(s) shall be approved by EIA concerned.
10	**Waste water disposal**
10.1	Waste water shall be properly treated before discharge to avoid environmental contamination.

APPENDIX – C

REQUIREMENTS FOR APPROVAL OF AQUACULTURE FARM

1	**Site selection**
1.1	Aquaculture farms shall be located in an area having good climatic condition and availability of uninterrupted power supply and supply of clear, good quality sea/ fresh water throughout the year. While selecting site for aqua farming it shall be ensured that the construction of the farm shall not disturb the ecosystem and natural habitats of that locality and undesirable pollutants / chemicals from nearby areas do not contaminate the farm. There shall not be high predator prevalence in the locality. The percolation rate / porosity of soil of the pond shall be low enough to hold the pond water satisfactorily. The ponds should be free from harmful chemical and natural pollutants.(e.g. :- pyrite)
2	**Farm input management**
2.1	The farm shall receive inputs based on the legal requirements and maintain proper stock / utilization register of all inputs received. The quality of inputs must be known.
2.2	The responsibility of receiving, storing and utilizing the inputs shall be entrusted to a suitable experienced person. The quality of inputs shall be checked while receiving.
2.3	Banned chemicals / pharmacologically active substances shall not be received or stored or used.
2.4	Only products approved for use by the farm shall be stored and used. The chemicals shall always be stored and used according to the instructions given in the label. The storage area shall be clean and neat and maintained properly to avoid contamination.
2.5	Only post larvae / fingerlings supplied by EIA approved hatcheries accompanied by Pre Harvest Test Report shall be accepted.
3	**Water management**
3.1	Continuous supply of good quality water in sufficient quantity shall be available, the physico-chemical quality of which shall be monitored on a laid down frequency.
3.2	Suitable filtration of water shall be done to avoid organic impurities.
3.3	Water shall be tested for microbiological and chemical contaminants on a laid down frequency.
3.4	Aeration shall be provided in the ponds in large volume at low pressure to maintain sufficient dissolved oxygen level in water, through suitable mechanism. The pressure of aeration shall be adjusted depending upon the requirement. It shall be ensured that air from the blower is free from oil.
3.5	Generator shall be provided to ensure continuous aeration, in case of power failure.
4	**Feed Management**
4.1	Feed shall be obtained only from EIA approved Feed Mills, which shall be stored in well ventilated, dry store, preferably for not more than 30 days to avoid vitamin reduction and mold infestation.
4.2	It shall be ensured that banned chemicals / pharmacologically active substance are not used in the feed.
4.3	It shall be ensured that pellet feed has minimum amount of “fines” or feed dust.
4.4	Feeding of appropriate quantity of right type of feed shall be done at appropriate time. Smaller pellets shall be fed to fry/juvenile. Where feasible, floating or extruded feed pellets may be used. Feed shall be spread as evenly as possible throughout the pond for better accessibility. Feeding may be done several times a day, especially for juveniles to avoid wastage. Feeding shall be stopped before harvest. Feeding shall always be done according to the feeding plan and monitored for excess feed. The feeding plan shall be revised, where necessary, based on monitoring observations.
5	**Usage of fertilizers or other chemicals**
5.1	The rate and mode of application of fertilizers shall be planned to maximize utilization and prevent over application. The efficiency of application and dispersion shall be increased through dilution of liquid fertilizers, placement of powdered fertilizer bags in shallow water etc.
5.2	The farm shall consider usage of time-released fertilizer in resin coated granules. The usage of fertilizer containing ammonia or ammonium in water with pH of 8 or above shall be avoided.
5.3	The pond depth shall be so designed to reduce the use of chemicals to control aquatic weeds. Antifoulants shall not be used to treat cages or pens.
6	**Waste and Effluent Management**

6.1	Waste shall be disposed of actively in a suitable manner to avoid cross contamination. Chemical wastes and non- biodegradable wastes shall be disposed of as per legal requirement.
6.2	Waste water shall be treated suitably before discharge. The effluent water shall be monitored for pH, suspended solids, soluble phosphorus, total ammonia nitrogen, BOD etc. on a laid down frequency and records maintained .
7	**Pond preparation and stocking**
7.1	If organic matter is more or in case of disease / medication in previous cycle, the sludge sediments of the pond shall be removed suitably. Proper sediment management and monitoring shall be implemented to avoid contamination.
7.1	The pond shall be allowed to fully dry and disinfect at least once in a year. Stone meals may be used to control pH, depending upon the condition of soil. Probiotics may be applied, if required.
7.2	Water pH and algal bloom shall be allowed to stabilize before stocking. Over stocking shall not be done.
8	**Monitoring**
8.1	Continuous monitoring of physico-chemical parameters of water such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen level, suspended solids etc. at regular intervals shall be done to ensure optimal environmental conditions for maximum growth and survival. Monitoring records shall be maintained.
8.2	The feeding habits, change of colour of water, health condition and size of animal, signs of stress etc. shall be monitored at regular intervals. If water quality seems to be bad, feeding may be reduced, aeration increased, water exchanged and or approved inputs (probiotics / lime) added.
8.3	Pond mud shall be monitored for pH regularly. Primary productivity shall also be monitored on a laid down frequency. Monitoring of weather such as wind speed, rain fall, temperature etc. shall also be done.
8.4	Optimum values for major water-quality paramentes (as applicable)

Para meter	**Optimum level**	**Ideal frequency of monitoring**
Dissolved oxygen	> 4.0 mg / l	Twice daily in ponds
pH	6.5-8.5	Twice daily in ponds
Alkalinity	Minimum of 50 mg / l, 100-400 mg / l preferred	Several times a year in ponds
Hardness	Same as alkalinity	Same as alkalinity
Ammonia (NH_3)	< 0.15 mg / l	Twice weekly in ponds
Nitrate (NO_3)	< 50 mg / l	Once daily
Nitrite (NO_2)	< 0.5 mg / l in low-chloride water	Weekly in ponds
Hydrogen sulfide	< 0.15 mg / l	Upon initial use and periodically throughout season

9	**Cleaning & Sanitation and personal hygiene**
9.1	Adequate cleaning & sanitation shall be maintained at all areas of the farm, including machineries / equipment to avoid microbial contamination. Employees shall strictly adhere to good personal hygiene practices.
10	**Medication**
10.1	Only permitted chemicals / pharmacologically active substance shall be used under the advice of veterinary medical practitioner for treatment of animals.

10.2	Proper withdrawal period shall be followed for the authorised Veterinary Medicinal Products (VMPs) used in the facility. In case withdrawal period of particular VMP is not prescribed, by the VMP manufacturer, then the default withdrawal period of 500 degree days shall be followed.
11	**Pest control**
11.1	Suitable pest control measures shall be adopted to prevent entry pests into the farm.
12	**Harvest and transportation.**
12.1	Proper care shall be taken while harvesting to avoid damage to the animals.
	The harvested animals shall be hygienically handled and properly iced before dispatch to approved establishments to avoid deterioration and microbial contamination.
12.2	250 gm. sample of aquatic animals shall be tested for Chloramphenicol and metabolites of Nitrofuran at designated lab prior to harvest and the test results shall be made available to the approved establishment(s) during the supply of aquatic animals.
13	**Record keeping**
13.1	The farm shall maintain all records as required to establish traceability of animals reared, input & output records, monitoring records, test reports, cleaning records etc. The traceability record as given below shall be maintained by the farm for verification by the Competent Authority.

Traceability Record

1 General information	
Name of the aquaculture farm & location	
Approval Number	
Pond Number	
Pond area	
Production capacity of pond	
2. Post Larvae/ fry/fingerlings stocked in the pond	
Hatchery name & approval number	
Stocking date & quantity	
Type of stocking	
Pre-harvest Test Report from hatchery	
3.Details of feed used in the pond	
Name of Feed Mill & approval number	
Type, quantity & lot no of feed utilized	
Test report of banned chemicals from Mill	
4. Therapeutic drugs used	
a) Drug - 1 Details of drug Disease treated Date of application with quantity Withdrawal period applied b) Drug - 2 Details of drug Disease treated Date of application with quantity Withdrawal period applied	
5. Pesticide used in the pond	
a) Compound - 1 Details of compound Condition treated Date of application with quantity Application period b) Compound - 2 Details of compound Condition treated Date of application with quantity	

Application period	
6. Details of Harvest from the pond	
Date of Harvest	
Quantity harvested	
Sodium meta-bisulphite treated or not	
7. Details of supply materials harvested from the pond	
Name and approval no of establishment(s)	
Quantity supplied to each establishment	
Mode of transportation	
Pre-harvest Test Report(s) pertaining to the supply	

APPENDIX D

REQUIREMENTS FOR APPROVAL OF THE LANDING CENTERS / FISHING HARBOURS. / AUCTION CENTERS

1	**Premises & Infrastructural facilities.**
1.1	The Landing Site / Fishing Harbour of fish and fishery products shall be located at a site ideal for the purpose and shall be free from undesirable smoke, dust, other pollutants and stagnant water. The premises shall be kept clean.
1.2	The layout and design of landing site / fishing harbour shall be such as to preclude contamination. Adequate working space shall be provided for hygienic handling of fishery products.
1.3	Suitable covering shall be given at the landing site / fishing harbour to protect fishery products from environmental hazards such as sun light, rain, wind blown dust etc.
1.4	Floor and walls shall be smooth and easy to clean and disinfect. The floor shall have sufficient slope for proper drainage and to avoid stagnation of water.
1.5	Drainage lines of adequate size and slope shall be provided to remove waste water, the outlet of which shall not open to the sea near the landing berth.
1.6	Provision of adequate quantity of potable water or clean sea water shall be available in the landing sites for cleaning and sanitation.
1.7	There shall be provision for hygienic handling and storing of sufficient quantity of good quality ice.
1.8	Provision for crushing the ice hygienically shall be provided, as applicable.
1.9	Sufficient artificial lighting shall be provided and the lights shall be protected with suitable covering.
1.10	There shall be sanitary facilities at appropriate places for hand washing with sufficient number of washbasins, soap, disinfectants and single use hand towels.
1.11	Appropriate number of flush lavatories shall also be provided outside the landing sites / auction centers.
1.12	The utensils and equipment used to handle fish and fishery products shall be smooth and made of corrosion free material, which is easy to clean and disinfect and kept in a good state of repair and cleanliness.
1.13	Landing site shall be constructed in such a way to avoid entry of exhaust fumes from vehicles.
1.14	Suitable mechanism shall be adopted to prevent entry of birds / other pests inside the landing platform, auction areas and other storage areas.
1.15	There shall be a provision for lockable refrigerated storages for product declared unfit for human consumption and separate lockable refrigerated storage for detained fishery products.
2.	**Auction hall**
2.1	Preferably, separate auction hall(s) may be provided, which is well protected from the entry of pests/insects, for display and sale of fishery products.
2.2	Since, fishery products shall not be kept directly on floor, as far as possible, provision may be given for raised platforms for display of fishery products, which are smooth, easy to clean and disinfect. However, instead of raised platforms, any other suitable provision can be made so as to ensure that fishery products will not come in contact with the floor directly.
3	**Good Hygiene Practices**
3.1	Landing sites / fishing harbours shall be maintained hygienically. Cleaning and sanitation shall be implemented at all areas of the landing site on a laid down frequency to avoid cross contamination.
3.2	Landing site / fishing harbour / auction center shall depute a responsible, experienced person, as hygiene inspector, to ensure the implementation of cleaning and sanitation effectively and good hygienic practices. Hygiene inspector shall ensure the quality of fishery products meant for export and also adequate icing of fishery products.
3.3	Floors, walls, partitions, ceilings, utensils, instruments and other food contact surfaces shall be kept in a satisfactory state of cleanliness and repair.
3.4	The premises and all the surfaces that come in contact with fishery products shall be cleaned before and after each sale. The crates / utensils shall also be cleaned and rinsed inside and outside with potable water or clean sea water and disinfected before use.
3.5	Detergents / disinfectants used shall not have adverse effect on the machinery, equipment and products. They shall be stored in a suitable place away from fish landing area.
3.6	Sign boards prohibiting smoking, spitting, eating, drinking etc. inside the landing sites shall be exhibited at prominent positions.
3.7	Fishery products shall be properly iced using good quality ice made up of potable water so as to maintain the core temperature of fishery products below 4ºC. Refrigerated room of adequate size

	for storing fishery products may be provided, if required.
3.8	Fishery products, ice, utensils etc. shall not be kept on the floor directly.
3.9	Proper waste management shall be adopted to remove solid and liquid wastes immediately after its formation so as to avoid cross contamination.
3.10	Adequate pest management system shall be developed to avoid entry of insects, rodents and other pests into the landing, auction and storage areas. Insecticides and other toxic chemicals shall be stored in lockable cupboards.
3.11	Separate area may be earmarked for storage of fishery products unfit for human consumption.
3.12	Workers engaged in handling fishery products shall maintain highest degree of cleanliness. They shall wash their hands properly before and after handling fishery products, ice and food contact surfaces.
3.13	Workers shall adopt good personal hygiene practices to avoid contamination of fishery products.
3.14	Person responsible for hygiene shall ensure that employees are following personal hygiene practices strictly.
3.15	Unauthorized person(s) shall not be permitted to enter into the landing site / fishing harbour.
4	**Inspection and testing**
4.1	Person responsible for hygiene shall conduct random checking of fishery products meant for export for organoleptic / freshness factors, including the core temperature to ensure chilling of fishery products below 4ºC and maintain records.
5	**Monitoring and Record keeping**
5.1	Hygiene inspector shall maintain records of fishing vessels landed and variety-wise details of fishery products supplied by each vessel to the approved establishments.
5.2	He / she shall monitor the fishing vessels during berthing on a laid down frequency to assess the hygienic condition/ infrastructure of the vessel, quality/ quantity of ice used etc. and maintain records.

APPENDIX E

REQUIREMENTS FOR APPROVAL OF FISHING VESSELS

1	**Design and facilities.**
1.1	Vessels must be designed and constructed so as to avoid contamination of fishery products with bilge water, sewage, smoke, fuel, oil, grease or other objectionable substances
1.2	Surfaces with which fishery products come in contact must be of suitable corrosion-resistant material that is smooth, non-toxic and easy to clean.
1.3	Vessels designed and equipped to preserve fresh fishery products for more than 24 hours shall be equipped with holds, tanks or containers for the storage of fishery products at a temperature approaching that of melting ice. These holds shall be separated from the machinery space and the crew quarters by partitions which are sufficient to prevent any contamination of the stored fishery products.
1.4	The holds shall be designed to ensure that melt water cannot remain in contact with fishery products. Holds has to be properly separated from engine room
1.5	Containers used for the storage of products shall be such as to ensure their preservation under satisfactory conditions of hygiene and in particular, allow drainage of melt water.
1.6	Equipment and material used for working fishery products shall be made of corrosion–resistant material that is easy to clean and disinfect.
1.7	In vessels equipped for chilling fishery products in cooled clean seawater, tanks must incorporate devices for achieving a uniform temperature throughout the tanks. Such devices must achieve a chilling rate that ensures that the mix of fish and clean seawater reaches not more than 3°C, six hours after loading and not more than 0°C after 16 hours.
1.8	Fish receiving deck shall be smooth, clean and free from engine oil , grease, etc.
1.9	The artificial lights provided on the deck and in the hold shall have protective covers.
2	**Good hygienic practices**
2.1	Utmost care shall be taken while catching / storing / handling of fish to avoid injury / damage to the animal. Even if spiked instruments are used for the moving of large fish or fish which might injure the handler, flesh of the fish shall not be damaged.
2.2	The fishery products should not be dumped directly on the deck. Clean food grade polythene sheet may be used for receiving the fish.
2.3	As soon as the fishery products are taken on board, they must be protected from contamination and from the effects of sun or any other source of heat.
2.4	When the fishery products are washed, the water used must be either potable water or clean seawater, so as not to impair their quality and wholesomeness.
2.5	It shall be ensured that equipment, containers and all the fish contact surfaces shall be periodically cleaned with potable water or clean seawater and disinfected.
2.6	Fishery products other than those kept alive must undergo cold treatment as soon as possible after procurement, especially in case where the fishery products are to be stored for more than 8 hours on board.
2.7	Ice used for chilling of products must be procured from EIA approved ice plants / establishments and shall be handled / stored hygienically to avoid contamination.
2.8	Staff assigned for handling of fishery products shall be required to maintain a high standard of cleanliness for themselves and their clothes. Persons liable to contaminate fishery products shall not be permitted to handle the products.
2.9	Fishery products shall be handled / stored in hygienic manner to avoid contamination.
2.10	Cleaning products, toxic substances shall be stored in locked premises or cupboards.
2.11	Details of fishery products caught by the vessel and supplied to approved establishment(s) shall be given to hygiene inspector of landing site.

APPENDIX- F

GENERAL REQUIRMENTS FOR APPROVAL OF FACTORY VESSELS FOR PROCESSING FISH & FISHERY PRODUCTS FOR EXPORT

The major requirements for approval of factory vessel for processing fishery products meant for export are similar to those specified for approval of establishments mentioned at **Appendix-H**. However, the following minimum requirements shall also be considered while approving the vessel.

1	**Condition concerning design and equipment**
1.1	Vessels must be designed and constructed so as to avoid contamination of the products with bilge water, sewage, smoke, fuel, oil, grease or other objectionable substances.
1.2	A reception area shall be provided for receiving fishery products on board which is designed and arranged into ponds or pens that are large enough to allow each successive catch to be separated. The reception area and its movable parts must be easy to clean and disinfect. It must be designed in such a way as to protect the products from the sun, pest, dirt or contamination.
1.3	A suitable system for conveying fishery products from the reception area to the work area that conform to rules of hygiene.
1.4	Processing areas that are large enough for the preparation and processing of fishery products in proper condition of hygiene. They must be designed and arranged in such a way as to prevent any contamination of the products.
1.5	Storage for the finished products shall be large enough and so designed for easy cleaning. If a waste processing unit operates on board a separate hold must be designed for the storage of these by-products.
1.6	A place for storing packaging materials that is separated from the product preparation and processing areas.
1.7	Special equipment for pumping waste or fishery products that are unfit for human consumption either directly into the sea or where circumstances so require, into a water-tight tank reserved for that purpose. If waste is stored and processed on board with a view to its sanitation, separate areas must be allocated for that purpose.
1.8	Sufficient supply of potable water or pressurized clean sea water shall be provided. The sea water intake must be situated in a position where it is not possible for the water being contaminated by discharge of waste water, waste and engine coolant outlets.
1.9	A suitable number of changing rooms, wash basins and toilets shall be provided, the latter should not be opening directly to processing / storage areas. The wash basins must be equipped with appliance for washing and drying the hands that comply with hygiene requirements, the wash- basin tap must not be hand-operable.
1.10	Walls, floor and ceiling shall be smooth, easy to clean and disinfect.
1.11	The hydraulic circuits must be arranged or protected in such a way as to ensure that it is not possible for any leakage of oil to contaminate fishery products.
1.12	Proper ventilation and lighting shall be provided.
1.13	Equipment and tools such as tables, cutting benches, containers, conveyors, gutting or filleting machines, etc. must be resistant to sea water corrosion, smooth, easy to clean and disinfect and well maintained.
1.14	A freezing unit sufficiently powerful to lower the temperature of the product rapidly so as to achieve a core temperature of not more than –18°C shall be provided. The equipment shall be fitted with necessary gauges to indicate the temperature; pressure etc.
1.15	Cold storage sufficiently powerful to keep fishery products in the storage holds at a temperature of not more than 18ºC shall be provided. The storage holds must be equipped with an automatic temperature recording system placed so that it can easily be read. The temperature sensor of the reader shall be situated in the warmest area of the cold store.
2	**Hygiene and sanitation**
2.1	Hygiene and sanitation shall be ensured at all areas / equipment and recorded wherever applicable.
2.2	Personal hygiene shall be maintained as specified at Sl. No 14 of Appendix – H applicable to establishments.
2.3	A qualified person on board the factory vessel must be responsible for applying good fishery products manufacturing and hygiene practices. Approved technologists shall ensure the quality and safety of the products processed and implementation of HACCP based control system. Inspection and testing shall be carried out as per laid down procedure.

APPENDIX – G

GENERAL REQUIRMENTS FOR APPROVAL OF FREEZER VESSLES FOR PROCESSING FISHERY PRODUCTS FOR EXPORT

1	**Conditions concerning design and equipment**
1.1	Vessels must be designed and constructed so as to avoid contamination of the products with bilge water, sewage, smoke, fuel, oil, grease or other objectionable substances.
1.2	Surfaces with which fishery products come in contact must be of suitable corrosion-resistant material that is smooth, non-toxic and easy to clean.
1.3	Vessels designed and equipped to preserve fresh fishery products for more than 24 hours shall be equipped with holds, tanks or containers for the storage of fishery products at a temperature approaching that of melting ice. These holds shall be separated from the machinery space and the crew quarters by partitions which are sufficient to prevent any contamination of the stored fishery products.
1.4	The holds shall be designed to ensure that melt water cannot remain in contact with fishery products.
1.5	Containers used for the storage of products shall be such as to ensure their preservation under satisfactory conditions of hygiene and in particular, allow drainage of melt water.
1.6	Equipment and material used for working fishery products shall be made of corrosion–resistant material that is easy to clean and disinfect.
1.7	In vessels equipped for chilling fishery products in cooled clean seawater, tanks must incorporate devices for achieving a uniform temperature throughout the tanks. Such devices must achieve a chilling rate that ensures that the mix of fish and clean seawater reaches not more than 3°C within six hours after loading and not more than 0°C after 16 hours.
1.8	Sufficient supply of potable water or pressurized clean sea water shall be provided.
1.9	The freezer vessels shall have equipment with sufficient capacity to lower the temperature of the products rapidly so as to achieve a core temperature of not more than -18°C and have refrigeration equipment with sufficient capacity to maintain fishery products in the storage holds at not more than -18°C. Storage holds shall be equipped with a temperature-recording device in a place where it can be easily read. The temperature sensor of the reader shall be situated in the warmest area of the cold storage.
2	**Hygiene and sanitation**
2.1	It shall be ensured that equipment, containers and all the fish contact surfaces shall be periodically cleaned with potable water or clean seawater and disinfected.
2.2	As soon as the fishery products are taken on board, they must be protected from contamination and from the effects of sun or any other source of heat. When the fishery products are washed, the water used must be either potable water or clean seawater, so as not to impair their quality and wholesomeness.
2.3	Fishery Products shall be handled and stored in such a way as to prevent bruising. The use of spiked instruments shall be tolerated for the moving of large fish or fish which might injure the handler, provided the flesh of these products is not damaged.
2.4	Fishery products other than those kept alive must undergo cold treatment as soon as possible after procurement, especially in case where the fishery products are to be stored for more than 8 hours on board.
2.5	Ice used for chilling of products must be made from potable water or clean seawater. Before use, ice must be stored under conditions, which prevent its contamination.
2.6	Where fish is headed and / or gutted on board, such operations must be carried out hygienically
2.7	Equipment used for gutting, heading etc. and also the container used for storing fishery products shall be made of or coated with a material which is waterproof, resistant to decay, smooth and easy to clean and disinfect.
2.8	Staff assigned to the handling of fishery products shall be required to maintain a high standard of cleanliness for themselves and their clothes. Persons liable to contaminate fishery products shall not be permitted to handle the products.
2.9	Adequate facilities for hand washing (preferably non-hand operable type) and toilets shall be provided in suitable locations to avoid contamination of fishery products.
2.10	Cleaning products, disinfectants, insecticides and all potentially toxic substances shall be stored in locked premises or cupboards. Their use must not present any risk of contamination of the fishery products.

APPENDIX- H

GENERAL REQUIRMENTS FOR APPROVAL OF PRE-PROCESSING CENTERS (INDEPENDENT / DETACHED) AND ESTABLISHMENTS FOR PRE-PROCESSING / PROCESSING FISHERY PRODUCTS FOR EXPORT

1**.**	**Surroundings**
1.1	The premises shall be kept clean and shall have defined curtilage. All the roads in the premises shall be concreted / tarred or turfed to prevent wind-blown dust.
1.2	There shall not be any swamps, stagnant water or signs of any rodent harbourage inside the premises.
1.3	The surroundings shall be reasonably free from objectionable odours, smokes, dust and other contaminants
2	**Construction and Layout**
2.1	The immediate surroundings of the building shall be tarred / concreted to prevent contamination from the surroundings.
2.2	The establishment shall be housed in a building of permanent nature affording sufficient protection from the environment and shall be of sufficient size for the work to be carried out under hygienic conditions. The design and layout shall be such as to preclude contamination and protect against accumulation of dirt, contact with toxic materials, shedding of particles into fishery products and formation of condensation or undesirable mould on surfaces.
2.3	Layout of different sections shall be such as to facilitate smooth and orderly flow of work and to prevent possible cross contamination and backtracking. All the fishery products handling areas shall be separate from areas used for residential purpose.
2.4	There shall be adequate lighting and ventilation and light fixtures shall be protected with proper covering.
2.5	The layout shall ensure sufficient space in different sections for machinery, equipment, personnel etc. without congestion.
2.6	The building shall provide sufficient protection against the entry and harbourage of rodents, insects, birds etc.
2.7	All the entry points shall have suitable air-curtains or other suitable arrangements to prevent the entry of flying insects.
2.8	Wood shall not be used in the factory, except inside the cold storage for frozen products..
2.9	Non–operative areas inside the establishment shall be properly cordoned off to avoid possible cross-contamination.
3	**Raw material receiving section**
3.1	There shall be a raised platform for receiving the material and the sides and roof of the platform shall be sufficiently protected from extraneous contamination.
4	**Workers entry points**
4.1	Suitable washing and sanitizing facilities for feet and hands shall be provided at the entry points.
4.2	The hand washbasins shall be provided with foot operated taps or non-hand operable taps.
4.3	Liquid soap, disinfectant, nail brushes, single use towels etc. shall be provided in sufficient quantities at all entry point hand wash stations.
4.4	Waste bins provided for collecting used towels shall be of foot-operated / non-hand operable type.
5.1	**Ceiling, walls and floors**
5.2	The floor of the processing areas shall be smooth, impermeable and easy to clean and disinfect. There shall be no water stagnation on the floor. The floor shall have sufficient slope opposite to the flow of work or sideways.
5.3	The wall to floor and wall-to-wall junctions shall be rounded off to facilitate easy cleaning.
5.4	The walls should be durable, smooth, light coloured and easy to clean and disinfect.
5.5	The walls should not have projections and the entire fittings on the wall shall be made in such a way so as to clean and disinfect them easily. If possible, the electric switches or other fittings shall be fixed in other areas where no handling of fishery product is carried out.
5.6	The ceiling shall be free from cracks and open joints and shall be smooth and easy to clean.
5.7	If structural elements or fittings are suspended below the ceiling, suitable protection shall be given to prevent falling of debris, dust or droppings.
6	**Doors, windows and ventilators**
6.1	All the doors shall be tight fitting and the windows and ventilators shall have fly proofing nets to prevent the entry of flies.

6.2	All doors and windows shall be durable and made of corrosion resistant material and windowsills, if any, shall slope inwards. The windows / ventilators shall be constructed at least one meter above the floor.
6.3	The doors shall be of self-closing type.
6.4	Mechanical ventilation / exhaust fans shall be provided in areas were stagnation of air, condensation of fluid etc. are present.
6.5	The opening of ventilation / exhaust fan shall be provided with suitable fly proofing system.
7	**Drainage**
7.1	There shall be adequate drainage facility and slope of the drainage shall be opposite to the flow of work / material.
7.2	The open end of the drainage shall be protected against the entry of rodents.
7.3	The drains shall be of adequate size having sufficient slope for easy cleaning.
8	**Tables, utensils, equipment and machineries**
8.1	All the utensils and equipment shall be made of non-corrodible material and shall be smooth without cracks and crevices and easy to clean and disinfect.
8.2	All food contact surfaces shall be free from rust and paints.
8.3	Suitable arrangements shall be made to drain the water from the tables directly into the drainage without falling on the floor.
8.4	Freezing equipment shall be suitable to freeze fishery products and shall achieve the required core temperature of -18°C or below within the stipulated time. The equipment shall be fitted with necessary gauges to indicate the temperature, pressure etc. .The temperature reading and recording devices shall be calibrated at specified intervals.
9	**Chill rooms and cold storages**
9.1	Chill rooms of adequate size with mechanical refrigeration system to maintain temperature at the required level (0°C to 4°C) shall be provided in the pre-processing and processing sections to store raw material and pre-processed or process material. Chilled Fish units and Pre-processing centres handling fishery products meant for export to **EU** also shall have chill room facilities for storing raw material and chilled finished product or pre-processed material as the case may be to maintain the required temperature. However, for **non-EU** establishment, adequate number of insulated boxes for storing raw materials / pre-processed material / chilled fishery products may be permitted in place of chill rooms.
9.2	Establishments processing frozen fishery products shall have cold storage having suitable refrigeration system to maintain the product temperature at -18°C or below.
9.3	The floor, ceiling and walls of the cold storage shall be smooth and easy to clean and disinfect.
9.4	There shall be suitable defrosting system and suitable arrangement to remove melt water from the frost. It shall be ensured that during defrosting, variation in temperature is minimal and for a very short period so as to ensure that the product temperature of the material stored does not rise above –18°C.
9.5	There shall be adequate lighting with protective covers.
9.6	Wood shall not be used in the anterooms.
9.7	There shall be automatic temperature recording device for the cold storage (thermograph) and the temperature sensor shall be located at the warmest place in the cold storage. In the case of EU listed establishment, the automatic recording device (data logger) installed to monitor air temperature of cold store shall comply with EN 12830, EN 13485 and EN 13486 as applicable.
9.8	Air curtains / blinds shall be provided at the entry of the cold storage and air curtains shall be provided at the entrance to the anteroom to prevent rise in temperature when the door is opened. The loading bays shall have suitable mechanism to prevent the entry of flies into the anteroom.
9.9	There shall be an alarm system in the cold storage.
9.10	There shall be a cleaning schedule and rodent control system for anterooms, cold storages and chill rooms.
9.11	Detached cold storages, if used, shall meet the above requirements and shall be approved by the Competent Authority.
Note	Note: Frozen / Cold Storage (-18°C or below) is required to store frozen fishery products. If an establishment does not use frozen fishery products as raw material (For example, Dried Fish unit, Acidified fishery product unit, Pre-processing centre, Canning / retort pouch Packing unit), it will not require a frozen storage. However, if any establishment uses frozen fishery products as raw material, it will need a

	frozen / cold storage even-though its finished products are kept at ambient temperature. Similarly, any establishment using fresh fishery products as raw material for its products may need chill room(s) to store its raw material in good condition for a longer time. **For example, a unit exporting Fresh / Chilled Fishery Products to EU will need chill room(s) to store its raw material as well as its final products.**
10	**Change rooms and toilets**
10.1	Adequate number of change rooms for workers shall be provided for processing, pre-processing sections and high risk areas, depending upon the quantum of production and number of workers.
10.2	The change rooms shall be of adequate size having smooth washable walls and floors.
10.3	There shall be flush lavatory and the lavatories shall not open directly to the working area.
10.4	The toilets shall have self-closing doors and proper fly proofing system.
10.5	The change rooms shall have foot-operated / non-hand operable hand washbasins provided with adequate liquid soap, nail brushes and single use paper towels. There shall be a foot operated / non-hand operable waste bin to collect the used disposable towels.
10.6	There shall be facility for keeping gumboots, shoes and chappals inside the change room. Lockable cupboards shall be provided.
10.7	Suitable arrangements shall be made by the establishment to launder the working clothes of the workers as it is the responsibility of the establishment to provide clean and sanitised work dress.
11	**Store rooms.**
11.1	There shall be separate stores for **wet** and **dry** items and all the chemicals / disinfectants should be properly labelled in a language which can be understood by all concerned.
11.2	Packing material store shall be of adequate size with proper fly and dust proofing system (Not applicable in case of independent PPC)
11.3	Cartons shall be kept on cleanable pallets other than wood, away *from* the walls and covered properly. There shall be enough space for a person to walk around. (Not applicable in case of independent / detached PPC)
11.4	Pest and rodent control measures shall also extend to the storerooms.
12	**Water.**
12.1	Water used for pre-processing / processing shall be of potable nature and shall meet the requirements of EC Directives No. 98/83/EC in EU listed units and IS : 4251 (except radiological factors) in non-EU units.
12.2	Potable water shall be used also for cleaning utensils, machinery, tables etc. in the pre-processing / processing areas.
12.3	A suitable water management system shall be followed and this shall include use of plumbing diagrams showing the entire reticulation of the water, identifying each tap with consecutive numbers.
12.4	Water store tank, both ground level and overhead, should be protected against possible sabotage by an effective locking arrangement and cleaned regularly.
12.5	The taps having hose connections shall be fitted with non- return valves to prevent contamination of water in the tank by back suction.
13	**Ice**
13.1	Ice should be made of potable water and there shall be adequate quantity of ice made of potable water (as per EC Directive No. 98/83 EC for EU listed units or IS : 4251 (except radiological factors) for non-EU units)
13.2	The ice plant which is not integrated to main establishment shall have to be approved by the Competent Authority
14.	**Personal Hygiene**
14.1	The employees engaged in processing activities shall be free from communicable diseases, open sores and wounds.
14.2	Each employee engaged in handling / processing of fishery products in the establishment shall be medically examined periodically and shall maintain individual health cards issued by registered medical officer certifying that they are fit to handle food products and suitable to work in fish processing plant.
14.3	Prophylactic injections shall be administered to the employees and record maintained thereof.
14.4	Communicable diseases in their homes to be notified and the employees shall be medically examined after each absence due to illness.
14.5	All workers shall be provided with sufficient sets of clean work dress and headgears.

14.6	A person shall be made responsible for maintenance of personal hygiene of the workers.
15	**In-house laboratory**
15.1	The establishment shall have a well-equipped in house laboratory for testing microbiological and other chemical parameters. The requirement for in-house lab may be waived, if the APE recommends so, based on the type of product processed (e.g. acidified product) and quantum of production. In such cases, establishments shall draw own check samples as per the laid down frequency for testing at EIA labs or EIC approved labs for parameters that cannot be tested in EIA lab.
15.2	The testing work of in-house lab shall be done by qualified technologist (s) approved by the Competent Authority.
16	**Transportation.**
16.1	The establishment shall have suitable and adequate facilities for the transportation of raw material, finished products etc.
16.2	The food contact surfaces of the vehicles shall be smooth made of non-corrosive material and easy to clean and disinfect. They shall be cleaned properly and disinfected where necessary before loading and after unloading and records thereof maintained.
17	**Maintenance.**
17.1	There shall be a documented procedure for maintenance of all sections, equipment, machineries etc.
17.2	The machineries / equipment shall be marked with suitable identification numbers.
18	**Waste disposal**
18.1	Establishments shall have proper waste management system.
19	**Annual Fee**
19.1	The approved independent Pre-processing Centre shall pay fee as per **Annexure -1 (Page No. 171-172)** to EIA concerned on annual basis.

APPENDIX - I

GENERAL REQUIRMENTS FOR APPROVAL OF ICE PLANTS (INDEPENDENT / DETACHED) FOR SUPPLY OF ICE TO APPORVED FACILITIES FOR PROCESSING FISHERY PRODUCTS FOR EXPORT

1.	**Surroundings**
1.1	The premises shall be kept clean and shall have defined curtilage. All the roads in the premises shall be concreted / tarred or turfed to prevent wind-blown dust.
1.2	There shall not be any swamps, stagnant water or signs of any rodent harbourage inside the premises.
1.3	The surroundings shall be reasonably free from objectionable odours, smokes, dust and other contaminants.
2.	**Construction and Layout.**
2.1	The facility shall be housed in a building of permanent nature affording sufficient protection from the environment and shall be of sufficient size for the work to be carried out under hygienic conditions. The design and layout shall be such as to preclude contamination.
2.2	There shall be adequate lighting and ventilation. The light fixtures shall be protected with proper covering.
2.3	The layout shall ensure sufficient space in different sections for machinery, equipment, personnel etc. without congestion.
2.4	The building shall provide sufficient protection against the entry and harbourage of rodents, insects, birds etc.
2.5	All the entry points shall have suitable air curtains or other suitable arrangements to prevent the entry of flies.
3.	**Ceiling, walls and floors.**
3.1	The floor of the processing areas shall be smooth, impermeable and easy to clean and disinfect. There shall be no water stagnation on the floor.
3.2	The walls should be durable, smooth, light coloured and easy to clean and disinfect.
3.3	The ceiling shall be free from cracks and open joints and shall be smooth and easy to clean.
4.	**Doors, windows and ventilators.**
4.1	All the doors shall be tight fitting and the windows and ventilators shall have fly proofing nets to prevent the entry of flies.
4.2	The doors shall be of self-closing type.
5.	**Change room**
5.1	There shall be a change room of adequate size having smooth washable walls and floors
5.2	All necessary facilities are to be provided in the change room.
6.	**Store rooms**
6.1	There shall be separate store for storing salt, chemicals etc. in hygienic manner.
7.	**Water**
7.1	Water used for ice manufacture and cleaning shall be of potable nature and shall meet the requirements of Council Directives No. 98/83/EC or IS: 4251 as the case may be.
7.2	A suitable water management system shall be followed and documented to ensure quality of water
8.	**Personal Hygiene**
8.1	The employees engaged in ice production shall be free from communicable diseases, open sores and wounds.
8.2	The employees shall be medically examined periodically and shall maintain individual health cards issued by registered medical officer showing that they are fit to handle ice, used in food industry.
8.3	Staff shall wear clean working clothes.
8.4	There shall be suitable foot & hand washing facilities at the entry points. Non-hand operable hand wash basins, liquid soap, single use paper towels etc. shall be provided for hand washing.
9.	**Transportation.**
9.1	The ice contact surfaces of the vehicles shall be smooth made of non-corrosive material and easy to clean and disinfect. They shall be cleaned properly and disinfected where necessary before loading and after unloading and the records thereof maintained.
10.	**Maintenance.**
10.1	There shall be a documented procedure for maintenance of all sections, equipment, machineries etc.
11.	**Cleaning & sanitation**

11.1	All areas of ice plant and contact surfaces shall be cleaned and disinfected on a laid down frequency to ensure the safety of ice produced. Records of cleaning shall be maintained.
12	**Pest control**
12.1	Adequate pest control measures shall be adopted and documented to avoid pests inside the plant.
13	**Block Ice Production Facilities**
13.1	Self-closing door shall be provided at the entry point to the ice production area to prevent entry of pests, insects, dust etc.
13.2	The walls, floor and roof of ice production area shall be smooth, easy to clean and disinfect and shall be free from dust, fungal growth, cobwebs etc.
13.3	Salt used for ice production shall be tested for purity & microbial contamination.
13.4	Ice cans and can lids shall be smooth, clean and made of non-corrosive materials.
13.5	Running potable water facility shall be provided for de-frosting ice cans and ice shall not come in contact with stagnant water during de-frosting.
13.6	If ice crusher is provided, it shall be smooth, clean and made of non-corrosive materials.
13.7	Stainless steel surfaces shall be provided for conveying ice during unloading and storage.
13.8	The refrigeration system shall be located away from ice production and handling area.
13.9	Grease used for cranes shall be of food grade quality.
14	**Flake / tube ice production facilities**
14.1	The refrigeration system shall be located away from ice production and handling area and precaution shall be taken to prevent falling of lubricants on the ice.
14.2	The walls, floor and roof of ice production area shall be smooth, easy to clean & disinfect.
14.3	Necessary steps shall be taken to prevent condensation of water on walls & roof.
14.4	Ice shall be stored in smooth, clean vessels made of non-corrosive materials.
14.5	The shovels / utensils used for handling ice shall be smooth, clean and made of non-corrosive materials
15	**Annual fee**
15.1	Approved independent ice plant shall pay fee as per **Annexure 1 (Page No. 171-172)** to the EIA on annual basis.

APPENDIX - J

GENERAL REQUIRMENTS FOR APPROVAL OF COLD STORAGES (INDEPENDENT / DETACHED) FOR STORING THE FROZEN FISH & FIHSERY PRODUCTS OF APPROVED ESTABLISHMENTS.

1.	**Surroundings**
1.1	The premises shall be kept clean and shall have defined curtilage. All the roads in the premises shall be concreted / tarred or turfed to prevent wind-blown dust.
1.2	There shall not be any swamps, stagnant water or signs of any rodent harbourage inside the premises.
1.3	The surroundings shall be reasonably free from objectionable odours, smoke, dust and other contaminants.
2.	**Construction and Layout.**
2.1	The cold storages shall be housed in a building of permanent nature affording sufficient protection from the environment and shall be of sufficient size for the work to be carried out under hygienic conditions. The design and layout shall be such as to preclude contamination.
2.2	There shall be adequate lighting with protective covers.
2.3	The building shall provide sufficient protection against the entry and harbourage of rodents, insects, birds etc.
2.4	Wood shall not be used in any other area than inside the cold storage.
3	**Change room**
3.1	The change room shall be of adequate size having smooth, washable walls and floors.
3.2	There shall be facilities for keeping gum boots, uniform etc.
3.3	Flush lavatory, if provided, shall have self-closing doors and proper fly proofing system.
3.4	The change room shall have non-hand operable hand washbasin provided with adequate liquid soap, nail brushes and single use paper towels.
4	**Ante room**
4.1	Ante-room with suitable size having smooth walls, floor and roof shall be provided, the door of which shall be made of non-absorbent material other than wood Ante room shall have air curtain at the entry point.
4.2	Ante room shall have adequate lighting with protective covers. Adequate arrangement for rodent & vermin control shall be provided
4.3	A common ante-room of sufficient size can also be shared by different cold stores having direct access to the same ante-room.
4.4	There shall be suitable mechanism to prevent condensation of water.
5	**Receiving and unloading areas**
5.1	There shall be door(s) with opening(s) of suitable size into the ante-room for unloading and loading of the cargo. These doors shall be provided with proper dock and shelter.
5.2	The outside of the opening shall be sufficiently protected from extraneous contamination by providing air curtain or any other system like blinds, lock-in-balloon etc.
6	**Cold storages.**
6.1	Cold storage shall have powerful refrigeration system to maintain the product temperature at -18°C or below.
6.2	The floor, ceiling and walls of the cold storage shall be smooth and easy to clean and disinfect. The walls / roof shall be free from frost and fungus. There shall be adequate lighting with protective covers.
6.3	The door of the cold store shall be made of non-absorbent material and shall have air curtain or blinds at the entrance.
6.4	There shall be suitable defrosting system and suitable arrangement to remove melt water from the frost. It shall be ensured that during defrosting, variation in temperature is minimal and period short so as to ensure that the product temperature of the material stored does not rise above –18°C.
6.5	There shall be automatic temperature recording device for the cold storage (data logger / thermograph) the sensor of which shall be located at the warmest place in the cold storage. In the case of cold storages meant for export to EU, the automatic recording device (data logger) installed to monitor air temperature of cold store shall comply with EN 12830 , EN 13485 and EN 13486, as applicable.
6.6	There shall be an alarm system in the cold storage.

6.7	There shall be a cleaning schedule and a rodent control system.
7	**Water**
7.1	Potable Water shall be used for cleaning and sanitation.
8.	**Personal Hygiene**
8.1	The employees shall be free from communicable diseases, open sores and wounds.
8.2	Employee shall be medically examined periodically and shall maintain individual health cards issued by a registered medical officer showing that they are fit to handle food products and suitable to work in cold storages.
8.3	Prophylactic injections shall be administered to the employees and record thereof maintained.
8.5	All workers shall be provided with clean protective clothes.
8.6	A person shall be made responsible for maintenance of personal hygiene of the workers.
9.	**Maintenance**
9.1	There shall be a documented procedure for maintenance of all sections, equipment, machineries etc.
9.2	The machineries / equipment shall be marked with suitable identification numbers.
10	**Annual fee**
10.1	Approved independent cold store shall pay fee as per **Annexure – 1 (Page No. 171-172)** to EIA concerned on annual basis.

APPENDIX - K

ADDITIONAL REQUIREMENTS FOR APPROVAL OF UINITS PROCESSING DRIED FISH / SALTED DRIED FISH/FISH MAWS etc.

Establishments intending to export dried fishery products or dried fish maws to European Union / Russian Federation shall have their establishments approved by EIC, for which the unit shall comply with the following **additional** requirements, as applicable.

1. Salting / marinating

1.1. Separate room, away from other processing areas, with proper drainage facilities to drain the waste water directly to the drain shall be provided for salting / marinating.

1.2. The room used for salting / marinating shall have enough ventilation and exhaust facilities to prevent excess humidity.

1.3. During salting operation, care shall be taken so that even the top layer of the fish is properly kept immersed in brine solution.

1.4. The salt used for salting shall be stored properly, well protected from contamination and shall be tested batch-wise for purity, Coagulase +ve Staphylococcus and sulphite reducing clostridium.

1.5. The containers used for salting / marinating shall be smooth, easy to clean and shall be constructed in such a way to avoid contamination during salting

2. Drying

2.1. Natural drying

2.1.1. Separate area, well protected from entry of flies, birds, dust etc., with smooth walls and floors for easy cleaning and sanitation shall be provided for drying.

2.1.2. If the drying yard is covered with transparent synthetic sheets like polypropylene, it shall be ensured that proper exhaust facilities are provided to avoid condensation / excess humidity.

2.1.3. Drying yard shall have separate entry and exit points to avoid cross contamination

2.1.4. While hanging the fish on scaffolds, the lower raw of fish shall be at least 0.8 metre above the ground level.

2.1.5. Fish shall not be kept on floor for drying.

2.2. Artificial drying

2.2.1. The drying chamber shall be smooth, easy to clean and disinfect and shall not impart contamination to the fishery products.

2.2.2. Enough exhaust facilities shall be provided to avoid condensation of moisture.

2.2.3. The drying chamber shall be fitted with temperature recording device.

3. Packing area

3.1. The packing area shall have adequate ventilation, natural or artificial lighting (110-220 Lux) and is protected from the entry of flies, pests, dust etc.

3.2. .Provisions for controlling excess humidity inside the packing area shall be provided.

4. Storage area

4.1. The storing area shall be so constructed to preclude contamination and to avoid excess humidity.

4.2. Suitable devices for measuring humidity shall be installed and the level of humidity of storage area shall be monitored at regular intervals. However, if the dried products are stored in cold stores, the monitoring of humidity may not be applicable.

APPENDIX - L

ADDTIONAL REQUIREMENTS FOR APPROVAL OF UNITS PROCESSING VALUE ADDED FISHERY PRODUCTS

Establishments seeking approval to process and export value added fishery products such as seafood meal, fish curry, fish pickles, etc. having ingredients like spices, oil, cereals, condiments, vegetables etc., the following additional requirements shall also be complied with along with the relevant statutory requirement in force. The processing method(s) of the individual value added product shall be adequately addressed in the HACCP manual.

1 General

1.1 HACCP manual

The HACCP Manual shall individually address the processing activity of the value added fishery product(s) and the own check system adopted by the unit to control the hazards of the products and ingredients starting from the primary production.

1.2 Traceability

Traceability of all the raw materials and ingredients used for processing the new product(s) shall be maintained properly.

1.3 Residue Monitoring

The residue monitoring plan of the establishment shall also cover the raw materials and ingredients used for the new value added product(s).

2. Infrastructure requirements

2.1 *Receiving area*

The area for receiving raw materials other than fishery products and also ingredients used for the production of the value added fishery product(s) are to be constructed away from the receiving area used for receiving fish and fishery products and shall be constructed in line with the requirements laid down as per GoI Notification.

2.2 Storage Room(s)

Storage room(s) for the non-perishable / dry raw material(s) / ingredients shall also be incorporated in the lay out wherever necessary with direct access to receiving area. Storage room(s) shall have all the facilities for hygienic storage and handling as per specification. The room identified for storing dry ingredients shall be away from cooking areas to avoid humidity.

2.3 *Pre-processing area*

A well-defined area with all the infrastructural facilities for pre-processing activities of materials other than fishery products, is to be constructed as per norms either integrated to the main building or independently.
The receiving area, storage area(s) and pre-processing area may be integrated to the main building or may be constructed independently.

Note : Establishments shall be permitted to procure materials of non-fishery products from a HACCP accredited establishment.

APPENDIX - M

SPECIAL REQUIREMENTS FOR EXPORT OF FISHERY PRODUCTS TO EUROPEAN UNION

1. Some of the important EU Decisions, Directives and Regulations relevant to export of F & FP are given below.
    a. Dec.. 2004/432/EC related to 2004/432/EC: Commission Decision of 29 April 2004 on the approval of residue monitoring plans submitted by third countries in accordance with Council Directive 96/23/EC
    b. Dec. 2006/766/EC -2006/766/EC: Commission Decision of 6 November 2006 establishing the lists of third countries and territories from which imports of bivalve molluscs, echinoderms, tunicates, marine gastropods and fishery products are permitted
    c. Dir. 96/93/EC of 17 December 1996 on the certification of animals and animal products
    d. Dir. 98/83/EC of 3 November 1998 on the quality of water intended for human consumption
    e. Directive 2000/13/EC of the European Parliament and of the Council of 20 March 2000 on the approximation of the laws of the Member States relating to the labelling, presentation and advertising of foodstuffs
    f. Reg. 852/2004 of the European Parliament and of the Council of 29 April 2004 on the hygiene of foodstuffs
    g. Regulation (EC) No 853/2004 of the European Parliament and of the Council of 29 April 2004 laying down specific hygiene rules for food of animal origin
    h. Reg. 854/2004 of the European Parliament and of the Council of 29 April 2004 laying down specific rules for the organisation of official controls on products of animal origin intended for human consumption
    i. Regulation (EC) No 882/2004 of the European Parliament and of the Council of 29 April 2004 on official controls performed to ensure the verification of compliance with feed and food law, animal health and animal welfare rules
    j. Commission Regulation (EC) No 2073/2005 of 15 November 2005 on microbiological criteria for foodstuffs
    k. Commission Regulation (EC) No 2074/2005 of 5 December 2005 laying down implementing measures for certain products under Regulation (EC) No 853/2004 of the European Parliament and of the Council and for the organisation of official controls under Regulation (EC) No 854/2004 of the European Parliament and of the Council and Regulation (EC) No 882/2004 of the European Parliament and of the Council, derogating from Regulation (EC) No 852/2004 of the European Parliament and of the Council and amending Regulations (EC) No 853/2004 and (EC) No 854/2004
    l. Commission Regulation (EC) No 1883/2006 of 19 December 2006 laying down methods of sampling and analysis for the official control of levels of dioxins and dioxin-like PCBs in certain foodstuffs.
    m. Commission Regulation (EC) No 333/2007 of 28 March 2007 laying down the methods of sampling and analysis for the official control of the levels of lead, cadmium, mercury, inorganic tin, 3-MCPD and benzo(a)pyrene in foodstuffs
    n. Regulation (EC) No 1333/2008 of the European Parliament and of the Council of 16 December 2008 on food additives.

2. Some of the salient features are reproduced below.

Sl. No	Regulations/Directives	Applications
1	Regulation(EC) 178/2002	To establish high level protection of human health and consumer interest, for which European Food Law was adopted and European Food Safety Authority was established
2	Regulation (EC) 2073/2005	To harmonize the limits of certain microbial parameters in food ✹ Fishery products - Histamine 100 mg/kg* (Mean

		value) ✹ Cooked crustacean -Salmonella- Nil /25g* ✹ E.coli - 1cfu/g* ✹ Staph- 100 cfu/g* ✹ Bivalve mollusc- Salmonella- Nil/25g* E.coli- 250 MPN/100g (Nine samples to be taken)
3	Regulation(EC) 466/2001	<u>Lead</u> ✓ Crustaceans- 0.5 ppm ✓ Bivalve Molluscs 1.0 ppm ✓ Cephalopod- 1.0 ppm ✓ Muscle meat of Fish 0.2/0.4 ppm depending on species <u>Cadmium</u> ✓ Crustaceans- 0.5 ppm ✓ Bivalve Molluscs 1.0 ppm ✓ Cephalopod 1.0 ppm ✓ Muscle meat of Fish 0.05/0.1 ppm depending on species <u>Mercury</u> ✓ Fishery products- 0.5 ppm ✓ Certain fishes 1 .0 ppm
4	Regulation (EC) 2001/22/EC	Procedure for sampling and analysis of Cd, Hg, Pb
5	Regulation (EC) 2002/63/EC	Procedure for sampling and analysis of pesticides
6	Regulation (EEC) 2377/90 & its amendments	Specify maximum residue limits of veterinary drugs including banned drugs
7	Decision 93/140/EEC	Specify the visual checks on parasites; ✹ Visual examination without optical means ✹ Inspection of external & internal parasites ✹ In case of manual evisceration , continuous inspection ✹ In case of mechanical evisceration, inspection of representative samples
8	Regulation (EEC) 2406/96	Specify the freshness criteria of fishery products
9	Directive 97/78/EC	Veterinary checks at border inspection posts
10	Regulation (EC) 2023/ 2006	✹ Printing inks applied to non-food contact surfaces should not be transferred to food contact side ✹ GMP to be adopted for storage & handling of printed materials/printing or marking articles ✹ Printed surfaces shall not come in contact with food or food contact surfaces
11	Regulation (EC) No. 37/2005	Specifies that transport and storage of quick-frozen foodstuffs shall be fitted with recording instruments to monitor air temperature at regular intervals, which shall comply with EN 12830, EN 13485,and EN 13486 standards
12	Commission Decision 95/149/EC dated 8.3.1995	Limits of TVB-N was laid down for certain species of fishes • 25 mg of nitrogen/ 100gm of flesh of Sebastes spp, Helicolenus dactylopterus Sebastichthys capensis • 30 mg of nitrogen/ 100gm of flesh of Species belonging to the Pleuronectidae family (with the exception of halibut: Hippoglossus spp.) • 35 mg of nitrogen/100 gm. of flesh of Salmosalar Species belonging to the Merlucciidae family

		Species belonging to the Gadidae family
17	Regulation (EC) 1250/2008 dated 12.12.2008	Laying down the certification requirements of fishery products
18	Commission Decision 2010/381/EU dated 08.07.2010	Aquaculture products imported from India shall be accompanied by the results of an analytical test carried out at the place of origin to ensure that they do not present a danger to human health. The analytical test must have been carried out on an official sample, in particular with a view to detecting the presence of chloramphenicol, tetracycline, oxytetracycline and chlortetracycline and of metabolites of nitrofurans. Those samples must have been analysed using analytical methods in conformity with Articles 3 and 4 of Decision 2002/657/EC.

Note: Regulation (EC) 852/2004 requires that all washbasins for cleaning hands are to be provided with **hot** and **cold** running water, materials for cleaning hands and for hygienic drying. Similarly, facilities for the cleaning, disinfecting and storage of working utensils and equipment should have an adequate supply of hot and cold water.

APPENDIX – N

SPECIAL REQUIREMENTS FOR EXPORT OF FISHERY PRODUCTS TO UNITED STATES OF AMERICA

1. General

The majority of United States Federal regulatory authority and activity for seafood regulation is vested with the Food and Drug Administration (FDA) within the Department of Health and Human Service. The FDA's mission is to enforce laws enacted by the United States of America Congress and regulations promulgated by the Agency to protect the consumer's health, safety, and pocketbook. Among the main laws associated with seafood safety there is the Federal Food, Drug and Cosmetic Act (the Act) of 1938, as amended (21 USC.301-392).

FDA guidelines for certain chemical contaminants in fishery products

Substances	**Levels**	**Food commodity**	**Reference**
Aldrin/ Dieldrin	0.3ppm	All fishes	Compliance Policy Guide (575.100)
Benzene hexachloride	0.3ppm	Frog legs	-do-
Chlordane	0.3ppm	All fishes	-do-
Chlordecone	0.3ppm	All fishes	-do-
DDT, TDE, DDE	5.0 ppm	All fishes	-do-
Fluridone	0.5ppm	Fin fish & crayfish	40 CFR 180.226
Arsenic	76ppm	Crustacean	FDA Guidance Documents
Cadmium	3 ppm	Crustacean	-do-
Chromium	12 ppm	Crustacean	-do-
Lead	1.5 ppm	Crustacean	-do-
Nickel	70 ppm	Crustacean	-do-
Methyl Mercury	1 ppm	All fishes	Compliance Policy Guide (540.600)
Heptachlor	0.3 ppm	All fishes	Compliance Policy Guide (575.100)
Polychlorinated Biphenyls	2.0 ppm	All fishes	21 CFR 109.30

FDA guidelines for certain microbiological contaminants in fishery products

Contaminants	Levels	Food commodity	Reference
Salmonella	Absence /25 g	All fishes	Compliance Policy Guide (555.300)
Staphylococcus aureus	10^4/ 1g (MPN)	All fishes	Compliance programme 7303.842
Clostridium botulinum	Absence of viable spore & toxin	All fishes	Compliance programme 7303.842
E.Coli	1x 10^3/ 1g	Ready to eat fishery products	-do-
Listeria moncytogenes	Absent	-do-	-do-
Vibrio cholerae	Absent	-do-	-do-
Vibrio parahaemolyticus	1x 10^4/ 1g	-do-	-do-
Histamine	50 mg/kg	All fishes	

DA Guidelines for Natural toxins

Toxins	Levels
PSP	0.8 ppm
NSP	0.8 ppm
DSP	0.2 ppm okadaic acid plus 35-methy okadaic acid
ASP	20 ppm domoic acid, except in Viscera of Dungeness crab

Reference:

1. www.fao.org/docrep/008/y5924e/y5924e06 htm
2. http:// www.fda.gov

APPENDIX - O

SPECIAL REQUIREMENTS FOR EXPORT OF FISHERY PRODUCTS TO JAPAN

HACCP-based food control regulations have been introduced by Japan for some years now, including sanitary and hygienic requirements for fish handling and processing establishments and conditions for storage and transport. Risk analysis principles are being incorporated along with spot checks at the border and with the quality control schemes that often control imports at the source. The main laws controlling entry of food products are the Food Sanitation Law and Quarantine Law.

Reference:

1. http://www.fao.org/fishery/countrysector/naso_japan/en
2. www.fao.org/docrep/008/y5924e/y5924e06htm

APPENDIX - P

SPECIAL REQUIREMENTS FOR EXPORT OF FISHERY PRODUCTS TO THE RUSSIAN FEDERATION

The major requirements for export of fishery products to Russia have been specified in the "Sanitary Regulations for Practice and Distribution of Fishery Products" of Russian Federation. The Federal Service for Veterinary and Phytosanitory Surveillance (FSVPS), Russia regulates the import of fishery products to Russian Federation. Russian Federation recognises Export Inspection Council as the Competent Authority for certifying fishery products meant for export to Russian Federation. Russia mainly follows the requirements of EU for import of fishery products. However, the following are some of the additional requirements of Russian Federation pertaining to the import of fishery products.

1) While submitting the application for approval for export to Russian Federation, the establishments shall also submit information on export of sea products to the Russian Federation as per Appendix No 1 and Appendix No.2, in the format given bellow, which has to be forwarded to EIC for onward transmission to RF,

Appendix-No 1

Information on export of Sea Products to the Russian Federation

Sl.No	Name, No. & type of enterprise(ship)	Type of Bio-resource	Volume of annual production (ton)	Volume of export to Russian Federation (ton)	Type of activities as per FSVPS letter No. FS-AS-7/444 dated 18 January 2012

Appendix-No 2

Information on export of Sea Products to the Russian Federation

Sl.No	Name, No.& type of enterprise(ship)	Type of Bio-resource	Volume of annual production(ton)	Volume of export to Russian Federation (ton)	Name of the company-importer in the Russian Federation

2) All the fishery products exported to Russian Federation shall accompany the health certificate issued by the EIA concerned in the format specified for that purpose. The stamping of health certificate shall be done with EIC stamp.

3) All the cartons of fishery products meant for export to Russia shall be sealed with quality label of EIC and also the label of the establishment in a manner ensuring the opening of the cartons is impossible without damaging the label.

4) With effect from 1.10.2010 the consumer packages of fishery products meant for Russia shall contain the additional information of the following groups;

Frozen fish products

a) Glazed – Net weight is to be indicated without water glaze
b) Products made out of frozen fish- indication about secondary freezing
c) Frozen salted and marinated fish products- words "frozen products"

5) Water content of filleted fish, processed with additives should not exceed 86% of the total weight of filleted fish. Weight of glaze covering the frozen fish should not exceed 5% of the net weight. Prawns- 6% of net weight and other products (aquatic invertebrates, mammalians, aquatic plants etc.) should not exceed 8% of total weight of glazed frozen fish products.

6) Russian requirements for certain chemical contaminants in fishery products

Substances	**Permissible Levels (mg/kg)**	**Fishery products**
Arsenic	1 ppm 5 ppm 5 ppm	Fishes Sea fish Crustacean/ molluscs
Cadmium	0.2 ppm 2 ppm	Fishes Crustacean/ molluscs
Lead	1.ppm 10 ppm	Fishes Crustacean/ molluscs
Mercury	0.3 ppm 0.2 ppm	Fishes Crustacean/ molluscs
Tin	200 ppm	Tinned fishes

7)Russian requirements for certain microbiological contaminants in fishery products

Contaminants	**Levels**	**Fishery products**
Salmonella	Absence /25 g	Fishes/Crustacean/molluscs/ cephalopods
Listeria moncytogen	Absence /25 g	-do-
Vibrio cholerae	Absent/ 25 g	-do-
Staphylococcus aureus	Absent / 0.01g Absent / 0.1g	Fishes/Crustacean/ cephalopods molluscs
Coliforms	Absent / 0.001g Absent / 0.001g Absent / 0.01g	Chilled/frozen fishes/fillets/minced fish Bivalve molluscs/ cephalopods Crustacean
Vibrio parahaemolyticus	100 COE/g	Sea fishes/crustacean/cephalopods
E.coli	Absent / 1g	Bivalve molluscs
Mould	50 COE/g	Dried fishes, fried/baked fishes, pickles
Yeast	100 COE/g	-do-

APPENDIX Q

SPECIAL REQUIREMENTS FOR EXPORT OF FISHERY PRODUCTS TO THE BRAZIL, VIETNAM, HONG KONG, SAUDI ARABIA, AND NEW ZEALAND

1. Brazil

The establishments intending to export Fishery products to Brazil shall fill up registration form specified by Brazil for the registration of labels of the products, which is mandatory prior to export of animal by-products to Brazil. The establishments shall fill up registration form in Portuguese or Spanish language and forward the same to EIC through the EIA concerned.

2. Vietnam

For registration of establishments intending to export fishery products to Vietnam, the Competent Authority of the exporting country (EIC) shall provide the details in registration documents to the National Agro-Forestry -Fisheries Quality Assurance Department (NAFFQAD), Vietnam, including the details of the establishment(s), information on Food hygiene and safety (FHS) control system and competency of the Competent Authority of the exporting country(EIC) and summary of FHS conditions of the food business operator(s)

Once the name of the establishment is registered with NAFFQAD, Vietnam, the establishment can start export of fishery products to Vietnam, after getting health certificate from the EIA concerned

3. Hong Kong

All the consignments of cultured live or unprocessed aquatic products meant for export to Hong Kong shall accompany a health certificate issued by the EIA concerned as per the format specified by them .

4. Saudi Arabia

All the consignments of frozen fishery products meant for export to Saudi Arabia shall be tested for Vibrio cholerae by the EIA concerned at EIA lab, for which 5 composite samples shall be drawn covering all codes & grades considering the consignment pertaining to the health certificate as one lot. V. cholerae shall be absent in 25 grams, n=5 & c = 0, where n = number of samples and c = number of colony forming units of V. cholerae in each sample. Testing charges shall be borne by the processor

In case of **fresh chilled fishery products**, one extra composite sample other than the normal sample for testing routine bacteriological factors shall be drawn by EIA for exclusively testing V.cholerae at EIA lab on post facto basis, testing charges of which shall be borne by the processor.

5. New Zealand

Sampling and testing should be in accordance with NZFSA's sampling and testing protocol, (http://www.foodsafety.govt.nz/index.htm)

Samples:

- Samples should be taken for each product type, eg, cooked or raw, pieces, packaging, size etc.
- 5 samples per lot for microbiological analysis.
- Each lot sample must weigh at least 100g.
- Individual units or packets should be sampled if these are available.

- The laboratory may composite 5 samples of approximately equal weight per lot for *Listeria* and *Salmonella* testing.
- **Samples for APC may not be composited.**

Clearance criteria: The following criteria should be used when deciding if a consignment captured by these requirements is safe to be released:

- Nil tolerance for *Listeria monocytogenes* in cooked products.
- Nil tolerance for *Salmonella.*
- APC count per gram (35^{o}C) in raw products should not exceed n= 5, c=2, m=500,000 (5×10^{5}), M=5,000,000 (5×10^{6})*.

* where n= the minimum number sample units which must be examined from a lot of food, c = the maximum allowable number of defective sample units, m = the acceptable microbiological level in a sample unit and M = the level which when exceeded in 1 or more samples would cause the lot to be rejected.

Reject criteria:

- NSFSA may REJECT lots that:
  - Test positive for *Listeria monocytogenes.*
  - Test positive for *Salmonella.*
  - Fail to comply with APC criteria.
- NSFSA may reject any untested lots in the consignment.
- Procedures for rejected lots and untested lots are described in NZFSA's sampling and testing protocol.

APPENDIX A-1

APPLICATION FOR APPROVAL / RENEWAL OF APPROVAL OF FEED MILL

From

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To,
Officer In-charge
Export Inspection Agency-……

Sir,

Please carry out the assessment of our Feed Mill as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 for approval / renewal of approval to process feed / feeding stuff for feeding aquaculture animals meant for export.

We furnish below the information regarding the facilities existing in our unit.

We undertake that our facility meets all the requirements stipulated in Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 and also the other requirements specified by EIC from time to time.

Please find enclosed herewith a Demand Draft / Pay Order bearing No Dated for Rs. 2,000/- towards the application fee and Rs. 10,000/- as assessment fee.

1.	General Information	
1.1.	Name and address of the aqua feed mill seeking approval with phone number, fax no & e-mail address:	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address :	
1.3.	Name of the Chief Executive (MD / Mg. Partner / Proprietor) with phone no., fax no. & e-mail address	
1.4.	Is the facility owned or leased by the applicant?	Owned / leased
1.5.	If leased, name of the plant owner, plant name and address. (attach the attested copy of agreement) :	
1.6.	Year of Construction:	
1.7.	Year of last major alteration:	
1.8.	Scope of approval applied for (give details of products processed):	To produce compound feed / feed additives / medicated feeding stuff / pre-mixtures / feed supplements for feeding aquaculture animals meant for export.
1.9	Average quantity of aqua feed produced per month:	
1.10	Whether feed is produced for the use other than aquaculture production? If so, specify.	
1.11.	Additional activities, if any:	

1.12.	Whether all year / seasonal production?	
1.13	No. of working hours per day:	
1.14	No. of working days per week:	
1.15	Mode of transportation of incoming ingredients and final products: Give details vehicles owned by the factory	
2.	Information on infrastructure	
2.1.	Whether premises have defined curtilage and kept clean?	
2.2	Are the roads in the premises concreted / tarred or turfed to prevent wind-blown dust?	
2.3	Whether the building is of permanent nature, affording sufficient protection from the environment and has sufficient size for the work to be carried out under hygienic conditions?	
2.4	Whether the layout is designed to preclude contamination?	
2.5.	Are different sections designed to facilitate smooth and orderly flow of work and to prevent possible cross contamination and backtracking?	
2.4.	Whether adequate lighting and ventilation are provided at all sections?	
2.5	Are the light fixtures protected with proper covering?	
2.6	Are ventilators covered with fly proofing nets?	
2.7.	Whether all the entry points into the building have suitable air curtains or other suitable arrangements to prevent the entry of flies?	
2.8	Whether washing facilities provided for workers at entry points?	
2.9	Whether change room(s) of adequate size provided for workers?	
2.10.	Whether the floor, walls and roof at all sections are light coloured, smooth and easily cleanable?	
2.11.	Are the utensils, machineries, conveyors and other feed contact surfaces smooth, clean and maintained in good hygienic condition to avoid contamination of products?	
2.12.	Are the sieves, screens, filters, separators and mixers regularly checked for damages, cleanliness and their effective operation?	
2.13	Whether the metal detectors and / or magnets are installed in processing line at suitable locations and regularly checked for their effective operations and records maintained?	
2.14.	Give details of machineries installed including year of manufacture, capacity etc. :	
2.15.	Specify the instruments / equipment used for inspection, measuring, testing etc.	
	Are they calibrated?	
	If so, give details	
2.16	Whether the feed mill has an in-house lab?	
	If so, specify the parameters tested and instruments / equipment used.	
	Is the in-house lab accredited?	
2.17	If the feed mill do not have an in-house lab, give details of lab where own check samples are tested	
3.	Information about personnel	
3.1.	No. of technologists available in the feed mill	
3.2.	Name and qualification of the technologist(s) supervising own check system	
3.3.	Name and qualification of the technologist(s) conducting inspection & testing:	
3.4	Are the technologist(s) approved by EIA?	

	If not, whether application for approval of technologist is submitted to EIA?	
3.5.	Name and designation of person(s) responsible for production :	
3.6	Name and designation of person(s) responsible for storage and handling of additives, pre-mixtures, medicated feeding stuff etc.:	
3.6	No. of male workers:	
3.7.	No. of female workers:	
3.8.	No. of shifts per day:	
4.	Raw ingredients	
4.1	Give details of all raw ingredients used for processing:	
4.3	Specify the source of each ingredient used	
4.4.	Whether specifications have been laid down for each incoming ingredient including physical and analytical factors and whether the same is strictly complied with?	
	If deviation is allowed, specify up to what extent:	
4.5	Whether all incoming ingredients are inspected for physical and organoleptic factors such as colour, odour, foreign matter, insect infestation, mould, granulation, density, moisture, weight, temperature, tags / labels etc. as applicable?	
4.6.	Whether all incoming ingredients are inspected for labelling, purchasing specification, lot number / date, regulatory compliance (especially for medicated feeds) etc. as applicable?	
4.7.	Whether incoming ingredients are inspected source- wise for chemical and microbiological factors on a laid down frequency as applicable?	
4.8	Whether each batch of accepted incoming ingredient is traceable and stored in a dry & hygienic condition?	
4.9	Are proper records of accepted / rejected incoming ingredients including storage details maintained?	
5.	Storage facilities	
5.1.	Whether separate storage facilities provided for storing incoming materials, finished products and also packing materials hygienically?	
5.2.	Are the storage areas hygienically maintained and free from moisture, dust, vermin and birds etc. ?	
5.3.	Whether medicated feeding stuff, premix and additives stored in suitable, separate and secured rooms or hermetic containers on a first in - first out basis with proper labelling and traceability records?	
5.4.	Is it mandatory that only authorized person can handle medicated feeding stuff, premix and additives during storage and use?	
5.5.	Whether storage areas checked for cleanliness, moisture, entry of pest etc. on a regular frequency?	
6.	Implementation of HAACP & own check system	
6.1.	Whether the Feed mill has implemented HACCP and prerequisite programmes including GMP, SSOP etc.?	
6.2.	Whether proper hazard analysis has been conducted and Critical Control Points (CCP) identified?	
6.3.	Whether Critical Limits have been specified for each identified CCP and the same is monitored as per the laid down procedure?	

6.4.	Whether corrective action and verification procedures are in place?	
6.5.	Is the HACCP reviewed at least once in a year or as and when required?	
6.6.	Whether internal audits conducted at least once in a year or as and when required?	
7.	Processing Operations	
7.1.	Whether processing done as per the written procedure at each stage?	
7.2.	Is the production schedule established to reduce human / animal health issues in relation to carry-over?	
7.3.	Whether additives incorporated in the feed as per legal requirements?	
7.4.	Whether additives and pre-mixtures are added by hand?	
	If so, whether it is ensured that they are added correctly in accordance with the product specification?	
7.5.	If silos are used for dosage, whether equipment for adequate dosing and locking provided?	
7.6.	Whether inclusion rate of pre-mixture into compound feed is predefined on the basis of the assessment of the efficiency of each production line, taking into account the specification of manufacture, the accuracy of calibration and results of homogeneity tests?	
7.7.	Whether the locking or warning system is in order while incorporating feed additives into pre-mixtures to ensure that targeted feed additives are included into the targeted pre-mixture at the suitable dose?	
7.8.	Is the weighing procedure accurate to ensure that the right products are weighed within predefined tolerance?	
7.9.	Are the mixers operating for a pre-set time, to ensure appropriate mixing of feeding stuff / feed additives?	
7.10.	Whether the accuracy and efficiency of mixing process are checked at least once in six months to ensure that feed additives are evenly dispersed throughout the mix?	
7.11	Whether proper monitoring of time-temperature control is established to ensure product safety and legality?	
7.12	Whether air used for conveying or cooling is checked for microbial contamination on a laid down frequency?	
7.13	Whether the condition for pelleting / extrusion is assessed properly to ensure stability of the incorporated feed additives?	
7.14	Are metal detectors / magnets provided in the processing line wherever necessary?	
7.15	Whether metal detectors / magnets are checked for their effective operation on a laid down frequency?	
7.16	Whether suitable method of measurement of carry-over is established and implemented at least once in a year?	
8.	Cleaning and sanitation	
8.1.	Whether cleaning and sanitation is done at all section as per written schedule to avoid cross contamination?	
8.2.	Whether effectiveness of cleaning & sanitation is checked at regular intervals?	
8.3	Whether equipment / machineries are cleaned and / or flushed so as to avoid contamination between batches?	
9.	Personal Hygiene	
9.1.	Are the employees adhering to good hygienic practices and wear clean working dress?	
10.	Waste management	
10.1.	Whether waste is collected promptly and / or stored in dedicated waste containers away from incoming raw material and finished product storage areas and whether the same is disposed of legally?	

10.2.	Whether control of carry-over is implemented effectively to reduce its level in the factory?	
10.3	Whether flushing is collected in marked containers and dealt in accordance with written procedure?	
11.	Pest and dust control.	
11.1.	Is the pest management system adequate to control pests / insects / rodents at all sections of the factory?	
11.2.	Whether proper control system implemented to avoid accumulation of dust at all sections?	
12.	Maintenance	
12.1	Whether proper maintenance is done to all equipment, machineries, building etc. on a laid down frequency to ensure its effective working?	
13.	Specification	
13.1	Whether specifications of incoming materials, feed additives, pre-mixtures, finished products etc. are developed and strictly implemented?	
13.2	Whether the final product is tested for chloramphenicol and metabolites of Nitrofuran and the results are made available to the approved farms / hatchery?	
14.	Water	
14.1.	Whether water used as ingredient and / or for washing feed / ingredient contact surfaces is of potable quality?	
14.2.	Whether water is tested for all parameters (other than radiological factors) as per IS 4251 at EIA lab or EIC approved lab?	
15.	Traceability and Recall procedure	
15.1.	Whether traceability of incoming materials and finished products is established from the source?	
15.2.	Whether recall procedures are developed to address customer complaints?	
16.	Inspection & testing	
16.1.	Whether incoming materials, process materials & finished products are tested for microbiological and chemical parameters as specified in the HACCP Manual in the in-house laboratory, EIA lab or EIC approved labs?	
16.2.	Are raw ingredients and finished products inspected batch-wise for all quality parameters specified in the HACCP Manual by a qualified person?	
16.3.	Whether effective quality control of all ingredients and final products established to ensure the wholesomeness and safety of feed produced?	
16.4.	Whether homogeneity tests are conducted on a laid down frequency to check the dispersion of feed additives and veterinary medicinal products in feed?	
17.	Effluent Treatment	
17.1	Is the unit having an efficient effluent treatment system and obtained consent to operate certificate from the State Pollution Control Board?	
17.2	Does the effluent cause any problem to neighborhood?	
18	Any other relevant information :	
19	Declaration	
	We hereby declare that we have read all the instructions issued by Export Inspection Council (EIC) and Export Inspection Agency (EIA) on the requirements for approval of Feed Mill and we guarantee that once approved by EIA, our feed mill will strictly comply with all the instructions issued by EIC / EIA in this regard. We will provide to the Competent Authority and its representatives free access, at all times, to all parts of the feed mill and to its records.	

		Yours faithfully,
	Signature	
	Name	Designation
	Company Seal	
	Place	Date :

Check list of enclosures

(1) Demand Draft / Pay Order for Rs. 2,000/- and Rs. 10,000/- drawn in favor of EIA concerned.
(2) Up-to-date layout plan (building & site plan) of feed mill (preferably in A-4 size)
(3) Organizational Chart of the feed mill
(4) Attested / Certified copy of the registration certificate of feed mill
(5) Bio-data of technologist(s) with attested copies of degree & experience certificate and appointment letter. (In case of approved technologist, copy of certificate of approval and if not approved, application for approval to be submitted along with the requisite fees)
(6) Attested / Certified copy of legal identity of the feed mill or the attested / certified copy of the Lease Deed, if applicable
(7) Attested copy of Potability certificate of water as per IS 4251 (except radiological parameters)
(8) HACCP Manual (including SSOP, GMP, Flow chart, Product and process description, Hazard analysis work sheet, HACCP plan etc.)
(9) Attested / certified copy of Consent to Operate letter issued by the State Pollution Control Board

APPENDIX B-1

APPLICATION FOR APPROVAL / RENEWAL OF APPROVAL OF HATCHERY

From

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To,
Officer In-charge
Export Inspection Agency-……

Sir,

Please carry out the assessment of our Hatchery as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 for approval / renewal of approval to carry out hatchery operation for supply of larvae / fry / fingerlings to the approved aquaculture farms. We furnish below the information regarding the facilities existing in our unit.

We undertake that our facility meets all the requirements stipulated in Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 and also the other requirements specified by EIC from time to time.

Please find enclosed herewith a Demand Draft / Pay Order bearing No……Dated …….for Rs. 2,000/- towards the application fee and Rs.10,000/- as assessment fee.

1.	**General Information**	
1.1.	Name and address of the hatchery seeking approval with phone number, fax no & e-mail address	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address	
1.3.	Name of the Chief Executive, with telephone, fax & e-mail (MD/Mg. Partner / Proprietor)	
1.4.	Is the hatchery owned or leased by the applicant?	Owned / leased
1.5.	If leased, name of the hatchery owner, with name of the organization and address. (attach the attested copy of agreement)	
1.6.	Year of Construction	
1.7.	Year of last major alteration	
1.8.	Scope of approval applied for	For breeding / hatching / rearing of finfish / shellfish for supply to the approved aquaculture farms.
1.9	Type of hatchery depending upon the size:	Small / medium / large scale
1.10	Give details of targeted species:	
1.11.	Additional activities, if any:	
1.12.	Whether all year / seasonal production?	
1.13	If seasonal, specify the periods of operation of hatchery:	
1.14	Production capacity of the hatchery/year	

1.15	Area / extent of hatchery:	
1.16	Details of tanks and total tank capacity:	
1.17	Does the hatchery have vehicles for transportation of post larvae / fingerlings? If so. give details	
2.	**Information on locality**	
2.1.	Whether hatchery is located in ideal location away from polluted environment?	
2.2	Are climatic conditions ideal for hatchery operation?	
2.3.	Whether adequate supply of good quality, clean sea water is available throughout the year**?**	
2.4.	Whether uninterrupted power supply, fresh water supply, healthy spawners, good roads / transportation facilities etc. are available?	
3	**Design, construction, and components**	
3.1.	Is the hatchery designed based on the target species and production target giving ample space for breeding / hatching / rearing and for other supporting activities needed for the operation?	.
3.2	Whether the hatchery has the basic components like, maturation tanks, spawning tanks, larval rearing tanks, live food culture tanks, water storage and filtration tank etc. as applicable?.	
3.3	Are the tanks of suitable size, shape or depth, and made up of materials which will not cause harm or injury to the animal reared?	
3.4.	Whether provision for sufficient aeration given in the tanks at low pressure to maintain adequate level of dissolved oxygen in water, through suitable mechanism such as roots blower, rotary blower, air compressor etc. having methods to adjust air pressure?	
3.5.	Whether It is ensured that air from the blower is free from oil?	
3.6.	Is generator of suitable power provided for alternate power supply to ensure continuous aeration, in case of power failure?	
4	**Water management**	
4.1.	Whether continuous supply of clean, good quality seawater in sufficient quantity is ensured?	
4.2.	Whether seawater is pumped directly from the sea or from sump pit or tube well into the overhead filter tank?	
4.3.	Is the sea water filtered through suitable filter bed before use? Give details of sea water collection and filtration method adopted	
4.4.	Whether sufficient quantity of fresh water is also available for salinity adjustment or for other purposes?	
4.5	Is the quality of water monitored for physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen etc. at regular intervals?	
4.6	Whether water is tested for microbial and chemical contaminants at a laid down frequency?	
4.7	Is fresh water tested as per IS 4251(except radiological factors)?	

	(attach test reports)	
5	**Information about personnel**	
5.1.	No. of technologists available in the hatchery with name and qualification	
5.2	Are the technologist(s) approved by EIA?	
5.3	If not, whether application for approval of technologist(s) is submitted to EIA?	
5.4.	Name and designation of other person(s) responsible for hatchery operation?	
5.5	No. of male workers	
5.6.	No. of female workers	
6	**Hatchery operation**	
6.1	Are the spawners available in sufficient quantity?	
6.2	Are they caught from wild during spawning seasons?	
6.3	Specify the source of spawners and mode of procurement & transportation	
6.4	Whether brood stock is collected from wild or from hatchery pond?	
6.5	Whether care is being taken to ensure that spawners / brood stock selected for spawning / induced breeding are healthy, matured and do not show any sign of distress or disease?	
6.6	Whether care is taken while collection of spawners / brood stock and also during conditioning and storage to avoid injury or stress to the animal?	
6.7.	After spawning, are the eggs made to hatch in controlled condition of temperature and salinity and whether care is taken to avoid contamination of hatched nauplii.?	
6.8	Whether care is taken, while rearing the larvae at different stages of development, to maintain optimum temperature, salinity, pH, dissolved oxygen etc. as per the requirement of concerned species and stage of development?	
6.9	Whether adequate quantity of good quality feed of the required type is given at the appropriate stage of development of the larvae?	
6.10.	Is the density of stocking of larvae in each tank pre-determined to avoid overcrowding?	
7	**Feed Management**	
7.1.	Specify the type of feed used at each stage of hatchery operation and specify the source of feed / ingredients	
7.2.	Are the ingredients / chemicals used for preparation of culture media or other purpose tested for purity to ensure that no banned chemicals are used in the feed?	
7.3.	Whether adequate quantities of good quality feed are given at each stage?	
7.4	Whether feed is checked for its quality and for contaminants at regular intervals?	
7.5	Whether withdrawal period for the authorised VMPs used in the facility is followed?	
8	**Good hatchery practices**	
8.1.	Whether continuous monitoring of physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen level etc. is conducted at regular intervals?	

8.2.	Specify the monitoring procedure and frequency of monitoring of each parameter.	
8.3.	Whether maximum care is taken to avoid microbial and chemical contamination of the animal at each stage?	
8.4.	Whether health aspects of the aquatic animals at each stage are ensured through continuous monitoring?	
8.5.	Whether medical treatments are given to the aquatic animals to control microbial/viral diseases?	
8.6	If so, specify the chemicals / pharmacologically active substances used with dosage.	
8.7	Whether the usage of such chemicals is done with the advice of the veterinary medical practitioner?	
8.8	Whether withdrawal period followed?	
8.9	Whether it is ensured that banned chemicals or pharmacologically active substances are not used at any stage during hatchery operation?	
8.10	Whether good hygienic practices are followed at all stages of hatchery operation to avoid microbial contamination?	
8.11	Are pest control and good personal hygiene practices followed strictly to avoid contamination?	
8.12	Is water management system adequate to control contamination?	
8.13	Whether proper training is imparted to the employees in cleaning and sanitation, hygienic handling, and also for good hatchery practices?	
9	**Cleaning and sanitation**	
9.1.	Are cleaning and sanitation strictly followed to avoid contamination?	
9.2.	Is it mandatory that newly constructed tanks are used only after conditioning and disinfecting it with suitable methods depending upon the material of the tank so that pH of water in the tank is stabilized?	
9.3.	Are the tanks in operation cleaned regularly with clean fresh water, dried in sun and disinfected with 12% sodium hypo-chlorite solution at 200 ppm level for 24 hrs.	
9.4.	Whether verification of the effectiveness of cleaning is done regularly?	
9.5.	Whether records of cleaning & sanitation maintained?	
10	**Personal hygiene**	
10.1	Do the employees adhere to good hygienic practices and wear clean working dress?	
11	**Harvest and transportation**	
11.1	Specify method of harvest & transportation of post larvae / fingerlings:	
11.2	Whether harvesting and transportation are done in such a way to avoid stress or damage to the animal harvested?	
11.3	Whether post larvae / fingerlings are tested for Chloramphenicol and metabolites of Nitrofuran at EIC approved lab prior to harvest and the test results are made available to the approved farms during the supply of larvae / fingerlings?	
11.4	Whether details of harvest and supply of post larvae /	

	fingerlings to approved farms are recorded and made available for verification?	
12	**Any other relevant information**	
13 .	**Declaration**	
	We hereby declare that we have read all the instructions issued by Export Inspection Council (EIC) and Export Inspection Agency (EIA) and guarantee that once approved by EIA, our hatchery will strictly comply with all instructions issued by EIC / EIA in this regard. We will provide to the Competent Authority and its representatives free access, at all times, to all parts of the hatchery and to its records / sampling / inspection.	

Yours faithfully,

Signature :

Name :

Designation :

Company Seal :

Place:
Date :

Check list of enclosures

(1) Demand Draft / Pay Order for Rs. ` 2,000 and ` Rs. 10,000 dawn in favor of EIA concerned.
(2) Up-to-date site plan and layout plan of hatchery (preferably in A-4 size)
(3) Certified copy of the registration certificate of hatchery
(4) Bio-data of technologist(s) with attested copies of degree & experience certificate and appointment letter. (In case of approved technologist, copy of certificate of approval and if not approved, application for approval shall be submitted along with the requisite fee.)
(5) Attested / Certified copy of Lease Deed / legal identity if applicable
(6) Attested copy of Potability certificate of fresh water used as per IS 4251 (except radiological parameters) and test report of microbiological factors for seawater.
(7) List of feed, feed additives and any other chemicals used in hatchery with test report(s) as applicable
(8) Manual pertaining to good hatchery practices adopted by Hatchery

APPENDIX C-1

APPLICATION FOR APPROVAL / RENEWAL OF APPROVAL OF AQUACULTURE FARM

From

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To,
Officer In-charge
Export Inspection Agency-……

Sir,

Please carry out the assessment of our aquaculture farm as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 for approval / renewal of approval to supply the aquaculture products to the approved establishment(s) meant for export.

We furnish below the information regarding the facilities existing in our farm

We undertake that our facility meets all the requirements stipulated in Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 and also the other requirements specified by EIC from time to time.

Please find enclosed herewith a Pay Order / Demand Draft bearing No. . . . . Dated . . . . . for Rs.100 per pond /- towards the application fee

1.	**General Information**	
1.1.	Name and address of the aquaculture farm seeking approval with phone number, fax no & e-mail address	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address	
1.3.	Name of the Chief Executive (MD/Mg. Partner / Proprietor) with phone no., fax no. & e-mail address	
1.4.	Is the aquaculture farm owned or leased by the applicant	Owned / leased
1.5.	If leased, give the name of the farm owner, with name of the organization and address. (attach the attested copy of agreement)	
1.6.	Year of Construction	
1.7.	Year of last major alteration	
1.8.	Scope of approval applied for For rearing of juveniles of finfish / shellfish for supply to the approved establishment meant for export	
1.9	Water used for farming	Freshwater / brackish water / seawater
1.10	Give details of targeted species:	
1.11.	Whether intensive farming or semi intensive farming?	
1.12.	Whether all year / seasonal production?	
1.13	If seasonal, specify the periods of operation of farm:	
1.14	Production capacity of the farm per year:	
1.15	Number of crops per year:	

1.16	Number of ponds with area and stocking capacity:	
1.17	Does the farm have vehicles for transportation of aquatic animals / feed etc.? If so. give details.	
2.	**Information on locality**	
2.1.	Whether the farm is situated in an ideal location away from polluted environment?	
2.2	Are climatic conditions ideal for farming operation?	
2.3	Whether the construction of the farm will disturb the ecosystem and natural habitats of that locality?	
2.4	Whether undesirable pollutants / chemicals from nearby areas contaminate the farm?	
2.5	Whether the percolation rate or porosity of soil of the pond is low enough to hold the pond water satisfactorily?	
3	**Farm input management**	
3.1.	Whether the farm receives inputs based on the legal requirements and maintain proper stock /utilization register for all inputs received?	.
3.2	Whether a suitable person is entrusted to receive, check the quality, store and distribute the inputs?	
3.3	Is it mandatory that quality requirement of inputs is known before receiving?	
3.4	Are the inputs stored in an orderly manner, hygienically and properly labelled?	
3.5	Whether the condition of storage area satisfactory?	
3.6	Is it mandatory that only the post larvae / fingerlings supplied by EIA approved hatcheries accompanied by Pre Harvest Test Report to be accepted?	
3.7	Is it mandatory not to receive and use banned chemicals/ pharmacologically active substance in the farm?	
3.8	Whether withdrawal period is followed for the authorised VMPs used in the facility?	
4	**Water management**	
4.1.	Whether continuous supply of clean, good quality water in sufficient quantity is ensured?	
4.2.	Specify the type, source and method of collection of water:	
4.3.	Is the water filtered through suitable filter bed before use?	
4.4	Give details of purification system	
4.5	Whether the water meets the requirements?	
4.6	Is the quality of water monitored for physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen etc. at regular intervals?	
4.7	What is the frequency of monitoring of quality of water for above parameters?	
4.8	Whether water is tested for microbial and chemical contaminants on a laid down frequency? (attach test reports)	
4.9	Whether aeration is provided in the ponds in large volume at low pressure to maintain sufficient dissolved oxygen level in water, through suitable mechanism?	
4.10	Whether It is ensured that air from the blower is free from oil?	
4.11	Is generator provided to ensure continuous aeration, in case of power failure?	
5	**Information about personnel**	
5.1.	Name and designation of qualified person(s) responsible for farming operation?	
5.2	Name and designation of qualified person(s) responsible for input management	
5.4	No. of male workers	
5.5.	No. of female workers	
6	**Feed management**	
6.1	Is it mandatory that feed shall be obtained only from EIA approved Feed Mills and stored in well ventilated, dry store, preferably for not more than 30 days to avoid vitamin reduction and mould infestation?	
6.2	Give name and approval number of feed mill(s) from where feed is obtained with test reports of antibiotic residue and also the type and quantity of feed used	
6.3	Whether it is ensured that pellet feed has minimum amount of “fines” or feed dust?	

6.4	Whether feeding of appropriate quantity of right type of feed is done at appropriate time?	
6.5	Specify the method of feeding and frequency of feeding.	
6.6	Whether feeding is monitored regularly to check the wastage, feeding habits etc.?	
7	**Usage of fertilizers and other chemicals**	
7.1	Specify the type of fertilizers and other chemicals used indicating the purpose of use and quantity:	
7.2.	Whether the rate and mode of application of fertilizers is planned to maximize utilization and prevent over application?	
7.3.	Is it ensured that usage of fertilizers or chemicals will not contaminate the aquaculture animals?	
8	**Pond preparation and stocking**	
8.1.	Whether proper sediment management is done to avoid contamination?	
8.2	Are the sediments removed before pond preparation?	
8.3	Are the ponds fully dried and disinfected at least once in a year before preparation.	
8.4	Are stone meals, probiotics used?	
8.3.	Whether proper slope is given to the ponds for drainage?	
8.4	Specify the length and breadth of the pond with depth difference.	
8.4.	Is the density of fry/ fingerlings stocked optimum in each pond?	
8.5	Specify the method of stocking	
9	**Monitoring**	
9.1.	Whether continuous monitoring of physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen level etc. is conducted at regular intervals?	
9.2.	Specify the monitoring procedure and frequency of monitoring of each parameter.	
9.3.	Do feeding habits, change of colour of water, health condition and size of animal, signs of stress etc. are monitored at regular intervals?	
9.4	Specify action taken by the farm in case of change of colour of water, sign of stress etc.	
10	**Personal hygiene**	
10.1	Do the employees adhere to good hygienic practices and wear clean working dress?	
11	**Cleaning & sanitation**	
11.1	Whether cleaning & sanitation is done as per the laid down procedure at all areas, including machineries / equipment to avoid contamination?	
12	**Pest control**	
12.1	Whether pest control adequate?	
13	**Waste and effluent management**	
13.1	Whether the wastes are actively disposed of in a suitable manner to avoid cross contamination?	
13.2	Whether chemical wastes and non-biodegradable wastes are disposed of as per legal requirement?	
13.3	Is the waste water treated suitably before discharge?	
13.4	Is the effluent water monitored for pH, suspended solids, soluble phosphorus, ammonia nitrogen, BOD etc. at a laid down frequency and records maintained?	
14	**Usage of drug for therapeutic purpose**	
14.1	Whether it is mandatory that only permitted chemicals / pharmacologically active substance are used under the advice of veterinary medical practitioner for treatment of aquaculture animals?	
14.2	Are records of treatment maintained?	
!5	**Harvest and transportation**	
!5.1	Whether proper care is taken while harvesting to avoid damage to the aquatic animals?	
!5.2	Are harvested animals hygienically handled and properly iced before dispatch to approved establishment(s) to avoid deterioration and microbial contamination?	

15.3	Whether sample(s) of 250 gm. of aquatic animals are tested for Chloramphenicol and metabolites of Nitrofurans at designated lab prior to harvest and the test results are made available to the approved establishment(s) during the supply of aquatic animals?	
15.4	Whether the traceability record is maintained?	
16	**Any other relevant information**	
17	**Declaration**	
	We hereby declare that we have read all the instructions issued by Export Inspection Council (EIC) and Export Inspection Agency (EIA) and guarantee that once approved by EIA, our aquaculture farm shall strictly comply with all instructions issued by EIC/EIA in this regard. We will provide to the Competent Authority and its representatives free access, at all times, to all parts of the farm and to our records.	

Yours faithfully,

Signature :

Name :

Designation :

Company Seal :

Place:
Date :

Check list of enclosures

(1) Demand Draft / Pay order for Rs.100/- per pond drawn in favor of concerned EIA
(2) Up-to-date site plan and layout plan of farm(preferably in A-4 size)
(3) Attested / Certified copy of the Registration Certificate of the farm
(4) Attested / Certified copy of Lease Deed or the copy of the legal identity if applicable
(5) Attested / Certified copy of the test report of water pertaining to the analysis of microbiological and chemical contaminants.
(6) List of feed, feed additives and any other chemicals used in farm with test report(s) as applicable.
(7) Manual pertaining to good aquaculture practices adopted by the farm

APPENDIX D-1

APPLICATION FOR APPROVAL / RENEWAL OF APPROVAL OF LANDING CENTERS / FISHING HARBOUR

From

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To,
Officer In-charge
Export Inspection Agency-……

Sir,

Please carry out the assessment of our Landing Site / Fishing Harbour as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 for approval / renewal of approval to handle, display and / or auction wild caught fishery products meant for export. We furnish below the information regarding the facilities existing in our landing site / fishing harbour.

We undertake that our facility meets all the requirements stipulated in Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 and also the other requirements specified by EIC from time to time.

1.	**General Information**	
1.1.	Name and address of the landing site / fishing harbour seeking approval with phone number, fax no. & e-mail address:	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address	
1.3.	Name of the most responsible person, with designation, telephone, fax & e-mail	
1.4.	Is the landing centre / fishing harbour owned or leased by the applicant	Owned / leased
1.5.	If leased, give the name of the landing Centre / fishing harbor owner, with name of the organization and address. (attach the attested copy of agreement)	
1.6.	Year of Commissioning:	
1.7.	Year of last major alteration:	
1.8.	Scope of approval applied for:	To handle, display and / or auction wild caught fishery products meant for export
1.9	Type of landing site / fishing harbour (Major = landing facilities for more than 500 fishing vessels, Medium= landing facilities for 100-500 fishing vessels , Minor= landing facilities for less than 100 fishing vessels)	Major/ Medium/ Minor
1.10	Capacity (number of boats) and total area of landing site:	
1.11.	Types of boats landed (trawlers / gill netters / small size mechanized boats)	
1.12.	Number of boats landed during peak season:	
1.13	Number of fishing days:	
1.14	Major types of fishery products and average quantity landed per	

	day:	
1.15	Provide annual landing details:	
1.16	Name and qualification of Hygiene Inspector(s) / responsible person appointed to supervise hygiene and sanitation:	
1.17	Number of workers	
2.	**Premises**	
2.1.	Whether the landing centre / fishing harbour is located away from polluted environment and is free from undesirable smoke, dust, other pollutants and stagnant water?	
2.2.	Are the premises kept clean?	
2.3.	Whether entry of unauthorised person(s) into the premises is restricted?	
3	**Infrastructure facilities**	
3.1.	Whether adequate working space is provided for hygienic handling of fishery products?	.
3.2	Whether suitable covering is provided for the landing site / fishing harbour to protect fishery products from environmental hazards such as sun light, rain, wind blown dust etc.?	
3.3	Are the floor and walls smooth and easy to clean and disinfect?	
3.4	Whether the floor has sufficient slope for proper drainage and to avoid stagnation of water?	
3.5	Whether drainage lines of adequate size and slope are provided to remove waste water, the outlet of which is not open to the sea near the landing berth?	
3.6	Are sufficient artificial lights provided with suitable protective coverings?	
3.7	Whether sanitary facilities are provided at appropriate places for hand washing?	
3.8	Whether appropriate number of flush lavatories provided outside the landing sites / auction centers?	
3.9	Are the utensils and equipment used to handle fish and fishery products smooth and made of corrosion free material, which are easy to clean and disinfect and are kept in a good state of repair and cleanliness?	
3.10	Whether the landing site constructed in such a way to avoid entry of exhaust fumes from vehicles?	
3.11	Whether suitable mechanism adopted to prevent entry of birds / other pests inside the landing platform, auction areas and other storage areas?	
4	**Water and Ice management**	
4.1.	What is the source of water used for washing fishery products and fish contact surfaces?	
4.2.	Whether adequate quantity of potable water or clean sea water is available in the landing sites for cleaning and sanitation?	
4.3.	What is the source of ice used for chilling fishery products meant for export?	
4.4	Is there ice plant(s) attached to the fishing harbour? If so, is it approved by EIA?	
4.5.	Whether provision for hygienic handling and storing of sufficient quantity of good quality ice is available?	
4.6	Whether ice crusher is available?	
4.7	If so, whether the crusher is maintained hygienically and is free from corrosion?	
5	**Auction Hall**	
5.1.	Whether separate auction hall(s) is provided for display and sale of fishery products?	
5.2	If so, whether it is well protected from entry of pests / insects?	
5.3	Whether the auction hall has adequate light and ventilation?	

5.4	Whether raised platforms, which are smooth, easy to clean and disinfect, are provided for display of fishery products?	
5.5	If not, specify the provision given to ensure that fishery products will not come in contact with the floor directly?	
6	**Good hygienic practices**	
6.1	Is the landing site / fishing harbour maintained hygienically?	
6.2	Whether cleaning and sanitation is implemented at all areas of the landing site on a laid down frequency to avoid cross contamination?	
6.3	Whether hygiene inspector is deputed to supervise cleaning & sanitation and also monitor quality of fishery products?	
6.4	Are the floors, walls, partitions, ceilings, utensils, instruments and other food contact surfaces kept in a satisfactory state of cleanliness and repair?	
6.5	Whether all the surfaces coming in contact with fishery products are cleaned before and after each sale?	
6.6	Whether the crates / utensils cleaned and rinsed inside and outside with potable water or clean sea water and disinfected before use?	
6.7	Are detergents / disinfectants stored in a suitable place away from fish handling area?	
6.8	Are sign boards prohibiting smoking, spitting, eating, drinking etc. inside the landing sites exhibited at prominent positions?	
6.9	Are fishery products properly iced using good quality ice made of potable water so as to maintain the core temperature of fishery products below 4ºC?	
6.10	Whether refrigerated room of adequate size for storing fishery products provided as applicable?	
6.11	Whether proper waste management system is adopted to remove solid and liquid wastes immediately after its formation so as to avoid cross contamination?	
6.12	Whether separate areas are earmarked for refrigerated storage of fishery products unfit for human consumption and for detained fishery products?	
6.13	Is the pest management adequate?	
6.14	Are the toxic chemicals stored in lockable cupboards?	
6.15	Whether the workers handling fishery products maintain highest degree of cleanliness?	
6.16	Do they wash hands properly before and after handling fishery products, ice and food contact surfaces?	
6.17	Whether workers adopt good personal hygiene practices to avoid contamination of fishery products?	
6.18.	Whether the hygiene inspector is responsible to monitor personal hygiene practices of the employees strictly?	
7.	**Inspection and testing**	
7.1	Whether hygiene inspector conducts random checking of fishery products meant for export for organoleptic factors, including the core temperature to ensure chilling of fishery products below 4ºC and maintains records?	
7.2	Whether fresh water and ice are tested for all factors as per IS 4251 (except radiological factors)?	
8	**Records**	
8.1	Are records of fishing vessels landed and variety wise details of fishery products supplied by each vessel to the approved establishments maintained?	
8.2	Whether the hygiene inspector is monitoring the fishing vessels during berthing on a laid down frequency to assess the hygienic condition / infrastructure of the vessel, quality / quantity of ice used etc. and maintaining records?	

8.3	Whether catch certificate details are available with the hygiene inspector	
10	**Declaration**	
	We hereby declare that we have read all the instructions issued by Export Inspection Council (EIC) and Export Inspection Agency (EIA) and guarantee that once approved by EIA, our landing site / fishing harbour shall strictly comply with all instructions issued by EIC / EIA in this regard. We will provide to the Competent Authority and its representatives free access, at all times, to all parts of the landing site and to our records	

Yours faithfully,

Signature :

Name :

Designation :

Company Seal :

Place:
Date :

Check list of enclosures

1. Up-to-date site plan and layout plan of landing site (preferably in A-4 size)
2. Attested / Certified copy of the Registration Certificate of the landing site, if available.
3. Attested / Certified copy of Lease Deed, if applicable
4. Attested / Certified copy of the test report of seawater / fresh water and ice pertaining to the analysis of microbiological and chemical contaminants as applicable

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APPENDIX E-1

APPLICATION FOR APPROVAL / RENEWAL OF APPROVAL OF FISHING VESSEL

From

To
The Officer In-charge
Export Inspection Agency –

Sir,

Please carry out the assessment of the Fishing vessel as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control Inspection & Monitoring) Rules, 1995 for approval / renewal of approval of our fishing vessel.

We furnish below the information regarding the facilities existing in our Fishing Vessel. We undertake that the Fishing Vessel meets the requirement stipulated in GOI Notification S.O.612 dated 15.2.2007 and other requirements specified by EIC.

Please find enclosed herewith a Demand Draft / Pay Order bearing No. …….. for Rs.200/- per vessel towards application fee.

1.	**General Information**	
1.1	Name and address of the organisation / person seeking approval of Fishing Vessel with phone no., Fax No. & e-mail address	:
1.2.	Name and address of most responsible person with designation, phone no, fax no	:
1.3	Registration Number allotted to the vessel by the authority concerned.	:
1.4.	Name of the vessel, if any.	
1.5	Is the fishing vessel owned or leased?	:
1.6.	If leased, name and address of the owner of the vessel	:
1.7.	Address for communication	:
1.8	Address of registered office.	
1.9	Area of operation of the vessel (pelagic / deep sea etc.)	
1.10	Scope of approval applied for	To catch wild fish & fishery products, chill, handle and supply for export purpose
1.11.	Type of fishing vessel	
1.12	Length of the vessel	
1.13	Power of the engine	
1.14	Nature of fishing activities (Trawling/Gillnetting/line fishing etc.)	
1.15	Is the vessel designed for fishing (a) Less than 24 hours? (b) More than 24 hours?	
1.16	Whether fish detection equipment installed? If so specify the type.	
1.17	Whether chilling unit installed? If so, what is the capacity?	
1.18	Specify the fishing gear used:	
1.19	What is the capacity of the hold?	
1.20	Whether hold is separated from engine room properly?	

1.21	No. of personnel employed in the vessel:	
2.	**General hygienic conditions**	
2.1	Whether fish is handled hygienically taking maximum care to avoid damage to the fish?	
2.2	Whether spiked instruments are used for handling fishes?	
2.3	If so, whether such instrument damages the flesh of the fishery product?	
2.4	Whether hold(s) / containers of sufficient size provided to store fishery products at a temperature approaching that of melting ice?	
2.5	Is it ensured that while storing fishery products melt water does not remain in contact with fishery products?	
2.6	Whether the storage section is protected from possible contamination with fuel used in the vessel or with bilge water?	
2.7	Are containers used for the storage of products designed to ensure their preservation under satisfactory conditions of hygiene and in particular, allow drainage of melt water?	
2.8	Whether the fishery products are dumped directly on the deck after procurement? If not, specify the procedure adopted:	
2.9	Whether fish receiving deck is smooth, clean and free from engine oil , grease, diesel etc.	
2.10	Are artificial lights on the deck and in the hold provided with protective covers?	
2.11	Whether there is provision made to protect the fishery products on board from sun?	
2.12	What is the source of water used for washing the fish and fish contact surfaces?	
2.13	Whether the quality of water used is ensured?	
2.14	What is the source of ice used for chilling fishery products?	
2.15	Whether ice is procured from EIA approved ice plants / establishments?	
2.16	Whether ice and water are handled and stored hygienically to avoid contamination?	
2.17	Is there a system of chilling fishery product in cooled sea water?	
2.18.	If so, specify the chilling capacity, temperature achieved and chilling rate.	
2.19	Whether there is documented schedule for cleaning containers, equipment and storage section of vessels which are in direct contact with fishes?	
2.20.	Whether the containers and the equipment in contact with fishery product are made of non-corrodible materials which are water proof, resistant to decay, smooth and easy to clean and disinfect?	
2.21	Whether the staff assigned to handle fishery product are apparently free from communicable diseases?	
2.22	Do the workers follow good personal hygiene practices?	
2.23	Whether the workers are provided with clean working clothes?	
2.24	Whether hand washing and toilet facilities provided?	
2.25.	Is the pest control adequate?	
2.26.	Are there lockable cup-boards / premises for storing cleaning agents and disinfectants?	
2.27	Whether details of fish caught and supplied to approved establishment are given to hygiene inspector of landing site?	

3	**Any other relevant information**	
4.	**declaration**	
	We hereby declare that we have read all the instructions issued by Export Inspection Council (EIC) and Export Inspection Agency (EIA) and guarantee that once approved by EIA, our fishing vessel shall strictly comply with all instructions issued by EIC / EIA in this regard. We will provide to the Competent Authority and its representatives free access, at all times, to all parts of the vessel and to our records	

		Yours faithfully
	Signature :	
	Name :	
Place:	: Designation :	
Date:	Seal:	

Check list of enclosures

1) Demand Draft for Rs.2,00/- per vessel towards application fee drawn in favor of EIA concerned
2) Up-to-date plan of vessel showing all sections (preferably in A-4 size)
3) Attested / Certified copy of the Registration Certificate of the vessel
4) Attested / Certified copy of Lease Deed,/ legal identity if applicable

APPENDIX F-1

APPLICATION FOR APPROVAL OF FACTORY VESSEL / PRE PROCESSING CENTRE (INDEPENDENT / DETACHED) / ESTABLISHMENT

From

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. . . . . .
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To,
Officer In-charge
Export Inspection Agency-

Sir,

Please carry out the assessment of our factory vessel / pre-processing centre (independent / detached) / establishment , as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 for approval to pre-process / process fish & fishery products meant or export to all countries including / excluding European Union and / or Russian Federation.

We furnish below the information regarding the facilities existing in our unit.

We undertake that our facility meets the requirements as stipulated in Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 and also the other requirements specified by EIC from time to time.

Please find enclosed herewith a Pay Order / Demand Draft bearing No. . . . . dated . . . . . for Rs.2,000/- towards the application fee and Rs.20,000 /- as assessment fee for two audits.

1.	**General Information**	
1.1.	Name and address of the factory vessel / pre-processing centre (independent / detached) / establishment , seeking approval with phone number, fax no & e-mail address	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address	
1.3.	Name of the Chief Executive, with telephone, fax & e-mail (MD/Mg. Partner/Proprietor)	
1.4.	Is the facility owned or leased by the applicant	Owned / leased
1.5.	If leased, name of the plant owner, plant name and address. (attach attested copy of the agreement)	
1.6.	Year of Construction	
1.7.	Year of last major alteration	
1.8.	Approval requested a) To process F & FP for export to (Countries) b) To pre-process F&FP to supply to its main establishment / approved establishments for export to (Countries)	a. European Union b. Russian Federation (RF) c. Countries other than EU & RF d.

1.9.	Scope of approval applied for a. Fresh / Chilled F&FP b. Raw Frozen F&FP(IQF / Block Frozen / IF) c. Blanched / Cooked & Frozen F&FP d. Freeze dried fishery products e. Retort Pouch Packed / Vacuum packed / canned FFP f. Acidified Fishery products g. Dried / salted & dried F & FP h. Dried fish maws i. Pre-processing of F & FP to supply the pre-processed material to its main establishment / approved establishments for further processing and export j. Any other Item (pl. specify)	
1.10.	Additional activities, if any:	
1.11.	Whether all year / seasonal production / activity?	
1.12	No. of working hours per day:	
1.13	No. of working days per week:	
1.14	In case of factory vessels provide the registration number allotted by Mercantile Marine Department (MMD) / Department of Fisheries / Port Trust Authority / other authority (Provide the copy of the valid registration certificate)	
1.15	Area of operation of the factory vessel with details of berthing	
1.16	Nature of fishing activities (Trawling / Gillnetting / line fishing etc.)	
2.	**Information on infrastructure**	
2.1.	No. of pre-processing halls:	
2.2.	Whether pre-processing facilities are integrated to the main establishment?	
2.2 (a)	Specify whether the PPC is independent, detached or integrated to the establishment.	
2.3.	If detached, give address (es) and distance from the main establishment	
2.4.	Whether the establishment has any other detached PPC? If so, whether the same is approved?	
2.5.	If not, whether application for approval has been filed?	
2.6.	Number of workers employed in PPC:	
2.7.	Is it sufficient in relation to the total production capacity of the establishment / PPC?	
2.8.	Does the factory vessel / PPC/ establishment have own ice plant?	
2.9.	If so, is it integrated?	
2.10.	If separate, give address (es) and distance from the establishment	

2.11.	If separate, whether it is approved or application for approval has been filed? What type of ice is produced? (Block, tube, flake etc.):	
2.12.	What is the total capacity of the ice plant(s) owned by the factory vessel / PPC / establishment (give details)	
2.13.	Whether ice is obtained from external source?	
2.14.	If so, address (es) of the ice plant(s) from where ice is obtained and its EIA approval number:	
2.15.	Are they approved by the Competent Authority (CA)?	
2.16	a) Number and capacity of the chill room(s) b) Number and capacity of the cold / Frozen Storage(s)	
2.17	Specify location of chill room (Pre-processing section / processing section)	
2.18.	Is the cold storage integrated to the unit?	
2.19.	Is it sufficient in relation to the total production and frequency of shipments?	
2.20.	If not, does the establishment utilise external cold storage facility?	
2.21.	If so, the address (es) of such cold stores	
2.22.	Are such cold stores approved by the Competent Authority? If so give its EIA approval number.	
2.23.	No. of vehicles the PPC / establishment has for transportation of raw material, finished products, ice and water (as applicable) Number, capacity and registration number of :	Numbers / Capacity / Regn. No.
	(a) Refrigerated Vehicle	
	(b) Insulated Vehicles	
	(c) Non-insulated Vehicles	
	(d) Three wheelers	
	(e) Water Tanker	
2.24.	Does the PPC / establishment hire outside vehicles? (Give details)	
3.	**Information about personnel**	
3.1.	No. of technologists available in the factory vessels / pre-processing centres / establishments:	
3.2.	Name and qualification of the technologist(s)/ competent personnel supervising pre-processing/ processing activities	

3.3.	Name and qualification of the technologist(s) conducting microbiological and chemical analysis:	
3.4.	No. of supervisors	
3.5	No. of male workers	
3.6.	No. of female workers	
3.7.	No. of shifts per day and shift duration:	
4.	**Raw Material**	
4.1	Specify the type of raw materials used for processing	
4.1(a)	Source of Raw Material other than fishery products	
4.1(b)	Whether the raw material of fishery Products used are Sea caught, aquacultured or both:	
4.1(c)	Particulars of the fishing vessel(s)	
4.2.	Specify the location of the landing centre(s):	
4.2 (a)	Name, address & registration no. of aquaculture farm from where raw materials are received. (pl. enclose the list)	
4.2 (b)	Are the raw materials procured, transported and stored in smooth containers so designed to prevent remaining in contact with melt water	
4.3	Mode of transportation of raw material from source to pre-processing	
4.4.	Is the raw material maintained below 4ºC during procurement / transportation and receiving at the unit?	
4.5 (a)	Whether the arrangements have been made to ensure that the aquaculture farms from where raw material are being procured, are not using banned antibiotics / chemicals and are free from contaminants?	
4.5 (b)	Whether pre-harvest testing is done?	
4.6.	Are the raw materials being tested for bacteriological hazards / Harmful chemicals / antibiotics / contaminants at laid down frequency and the same is addressed in the HACCP manual?	
4.7.	Is there any arrangement for traceability of the raw material up to procurement area? (Give detail)	
4.8	Are the records for the above maintained properly?	
5.	**Surroundings** (applicable to PPC & establishment)	
5.1.	Whether the premises have defined curtilage?	
5.2.	Are the premises clean?	

5.3.	Is there any area within the premises of the facility, which is non-operative?	
5.4.	If so, is it cordoned off effectively?	
5.5.	Are there any swamps, stagnant water or dumps nearby?	
5.6.	Whether rubbish and offal are collected and disposed of properly?	
5.7.	Are the roads in the premises concreted/tarred or turfed to prevent wind-blown dust?	
5.8.	Are there signs of any rodent harborage nearby?	
5.9.	Is there a documented system, including the bait map, for rodent control?	
5.10.	Are there any animals housed nearby?	
5.11.	Are the surroundings reasonably free from objectionable odours, smoke, dust and other contamination?	
6.	**Construction and Layout**	
6.1.	Is the building construction of a permanent nature?	
6.2.	Is the design and layout such as to preclude contamination?	
6.2(a)	Whether the Factory Vessel is designed and constructed so as to avoid contamination of fishery products with bilge water, sewage, smoke, fuel, oil, grease or other objectionable substances?	
6.3.	Does the layout facilitate free flow of work and avoid backtracking?	
6.4.	Is the facility kept in good repair?	
6.5.	Is there proper maintenance schedule?	
6.6.	Does the building provide sufficient protection against the entry and harborage of vermin such as rodent, insects, birds etc.?	
6.7.	Does the layout ensure sufficient space in different sections for machinery, equipment, personnel etc. without congestion?	
6.8.	Is there clear separation between processing and living areas?	
7.	**Plant facilities**	
	Are there adequate facilities for the following?	
7.1.	Storing inedible material, disinfectants and insecticides?	

7.2.	Storage of wet and dry items?	
7.3.	Storage packaging material?	
7.4.	Rest Room for workers?	
7.5.	Changing rooms for male & female workers?	
7.6.	Vehicle washing facility? (not applicable to factory vessels)	
7.7.	Water treatment plant?	
7.8.	Alarm system to give warning in case of power failure?	
7.9.	Generator	
7.10.	Sufficient no. of toilets for male & female workers	
8.	**Raw Material Receiving Section**	
8.1.	Is there a raised platform with sides and top sufficiently protected to prevent contamination while unloading the raw material?	
8.2.	Is the raw material receiving section sufficiently separated from processing area to prevent contamination?)	
8.3	Is air curtain or any other device provided at the chute to prevent the entry of flies when the door is opened?	
8.4	a) Are fly killers (insectocutors) provided where necessary? b) Are the insectocutors so located as not to contaminate the fishery products and to facilitate easy cleaning?	
8.5	In the case of factory vessel, whether a reception area is provided for receiving fishery products on board which is designed and arranged into ponds or pens that are large enough to allow each successive catch to be separated. The reception area and its movable parts must be easy to clean and disinfect. It must be designed in such a way as to protect the products from the sun, pest, dirt or contamination?	
8.6	In the case of factory vessel, whether a suitable system for conveying fishery products from the reception area to the work area that conform with rules of hygiene is provided?	
9.	**Entry Points**	
9.1.	Is suitable washing and sanitizing facility for feet and hands provided at all the entry points?	
9.2.	Is the hand washing facility located at a convenient place?	
9.3.	Are the hand washbasins provided with non-hand operable taps and hot and cold running water?	

9.4.	Are liquid soap, disinfectant, nailbrush and single use paper towels provided in sufficient quantities?	
9.5.	Are waste bins provided for collecting used towels and are foot operated?	
9..6	Is hand dip facility with approved disinfectant provided near the entrance with appropriate levels of disinfectant?	
9.7	Whether signboards directing to wash & sanitise the hands & feet are exhibited.	
9.8	Whether fly killers (insectocutors) are provided, where necessary, and are they located suitably to avoid contamination of fishery products or food contact surfaces?	
9.10	Whether air curtain provided at all entry points into the building?	
10.	**Doors (All sections)**	
10.1.	Are the doors of all sections clean and sufficiently wide, made of durable material other than wood and are kept clean?	
10.2.	Are the doors self-closing type & tight fitting without any gaps?	
11.	**Windows (All sections)**	
11.1.	Are the windows in all sections of adequate size, made of non-absorbent material other than wood and kept clean?	
11.2.	Does the window Sill, if any, slope inwards?	
11.3.	Are the windows at least one metre above the floor and have fly proofing nets to prevent the entry of flies?	
12.	**Floor (All sections)**	
12.1	Is the floor in all sections made of hard surface, impermeable, smooth and free from pits and crevices?	
12.2.	Is the floor cleanable and having sufficient slope?	
12.3.	Is the slope of floor opposite to the flow of work or sideways?	
12.4.	Are pallets made of non-absorbent material other than wood provided on the floor for keeping containers of ice and raw/process material?	

13.	**Drainage (All sections)**	
13.1	Is drainage facility at all sections adequate?	
13.2	Is open end of the drain protected against entry of rodents?	
13.3	Is there facility for conveying waste water into the drains so as to maintain the floor dry?	
13.4.	Are the drains of adequate size, having sufficient slope and easily cleanable?	
13.5.	Is the slope of drain opposite to the flow of work/material?	
14.	**Walls (All sections)**	
14.1.	a) Are the floor to wall and wall-to-wall junctions properly rounded off in all sections? b) Does the wall have any fitting or structure which gives scope for accumulation of dust and does not permit easy cleaning?	
14.2.	Are the walls smooth, light colored and without crevices?	
14.3.	Are the walls washable?	
14.4.	Are the switches and other installations on the wall water-proof and cleanable?	
15.	**Washing and Cleaning**	
15.1.	Are adequate number of suitable hand washing and sanitizing facilities provided inside the processing & preprocessing halls with hot and cold running water?	
15.2.	Are the washbasins provided with non-hand operable taps?	
15.3.	Are all water taps having hose connection fitted with non-return valve?	
15.4.	Are the water taps serially numbered?	
15.5.	If hoses are used as outlet for water, whether facility is provided to keep it rolled up when not in use?	
16.	**Ceiling (All sections)**	
16.1.	Is the ceiling at all sections in good repair and cleanable?	
16.2.	Do overhead rafters offer any runway for lizards, cockroaches etc.?	
16.3.	Are there beams, trusses, pipes or other structural	

	elements and fittings suspended below the ceilings?	
16.4.	If so, whether there is protection from falling debris, dust or dripping?	
17.	**Lights (All sections)**	
17.1.	Is there adequate lighting?	
17.2.	Are the lights sufficiently protected & kept clean?	
18.	**Ventilation (All sections)**	
18.1.	Is there adequate ventilation / air conditioning?	
18.2.	Is mechanical ventilation / exhaust fan provided in areas where air stagnation, condensation of fluids etc. are present?	
18.3.	Is opening of ventilation / exhaust fan provided with fly proofing?	
18.4.	Is such fly proofing clean?	
19.	**Utensils and Equipment**	
19.1.	Are all receptacles, trays, tanks, vats and utensils used made of non-corrodible material and have smooth surface free from cracks and crevices?	
19.2.	Are they easily cleanable & disinfect-able?	
19.3.	Is any rusted galvanized iron vessel, bamboo basket, wire-mesh containers, enameled or painted ware used for handling the product?	
19.4.	Are weighing scales and weights certified by the designated authority?	
19.5.	Is ice crusher / flake ice machine provided?	
19.6.	Is it maintained clean and free from rust?	
20.	**Chill Room (s)**	
20.1.	Are chill room (s) provided for storing raw material / pre-processed or process material according to need?	
20.2.	Is it kept clean and maintained at temperature range of 0ºC to 4°C?	
20.3.	Is it provided with pallets made of non-absorbent material other than wood for keeping containers of raw material and ice?	
21.	**Pre-processing Centre / Section**	
21.1.	Are there signboards directing the employees to wash and sanitize hands and feet before entering the	

	pre-processing hall and after each absence?	
21.2	Is air curtain / fly killer provided to prevent the entry of flies when the door is opened?	
21.3	Does the pre-processing hall have sufficient lighting and ventilation?	
21.5	Whether tables are provided with running water system?	
21.6	Whether water from the tables is directly drained to the drainage?	
21.7	Are the work table tops constructed of stainless steel or any other non-corroding, non-contaminating, non-reacting and non-absorbent material (specify)?	
21.8	Are the tables so constructed and installed that the top and under surface can be easily cleaned?	
21.9	Are the table tops smooth, free from corrosion, pits and crevices and can be cleaned easily?	
21.10	Are all receptacles, trays, vats and utensils used made of non-corrodible material, other than wood and have smooth surfaces free from cracks and crevices?	
21.11	Are they easily cleanable?	
22.	**Processing Section (applicable to factory vessels / establishments)**	
22.1.	Are there signboards directing the employees to wash and sanitize hands and feet before entering the processing hall and after each absence?	
22.2	Is air curtain / fly killer provided to prevent the entry of flies when the door is opened?	
22.3	Is the processing hall so designed to have easy flow of work?	
22.4	Does the processing hall have sufficient lighting & ventilation?	
22.5	Is it having sufficient tables made of non-corrosive, non-absorbent materials?	
22.6	Whether cooking, blanching, pasteurisation etc. are being done in the factory?	
22.7	If so, are the time / temperature controls properly validated by an approved Agency?	
23.	**Flow of Work**	
23.1	Is the layout of workflow unidirectional?	
23.2	Is there any chance of cross contamination / backtracking?	
23.3	Is the high risk area, if any, precluded from low risk area?	
23.4	Are there separate workers for low risk and high risk areas, if the processing condition warrants such arrangements?	

24.	**Water and Ice**	
24.1	Is there a documented water management system?	
24.2	Whether plumbing diagram of the water supply system available with the outlets identified and serially numbered?	
24.3.	What is the source of water?	
24.3 (a)	In case of factory vessel, specify whether potable or clean sea water used? If sea water used, whether the water intake is from non-polluted areas?	
24.4	Whether potability certificate produced for each source of water as per specification?	
24.5	If more than one source of water supply is used, are they tested separately?	
24.6	Whether water used for processing meets the standards stipulated in EC Directive No. 98/83/EC or IS: 4251(other than radiological factors)?	
24.7	Whether relevant test records available?	
24.8	If non-potable water is used, is there any cross connection of potable and non-potable water?	
24.9	Are the water pipes of potable and non-potable water distinguished by different colour codes?	
24.10	Is the water used for processing chlorinated to the accepted levels? (Less than 2 ppm)	
24.11	What is the system of chlorination?	
24.12	Whether water used for cleaning equipment, floors, etc. is of potable quality?	
24.13	Is there a water treatment plant?	
24.14	If so, is it adequate to provide sufficient quantity of water for processing?	
24.15	If hoses are used as outlet for water, whether non-return valves are fitted to the taps to prevent contamination through back suction?	
24.16	a) Is there a water storage tank(s) and if so, whether it is protected from outside contamination? b) Are all the water tanks kept locked to prevent sabotage?	
24.17	Is there easy access to the water tank for cleaning and inspection?	
24.18	What is the capacity of the water storage tank(s)?	

24.19	Is the water supply sufficient in relation to the maximum daily production? (For a kg of raw material used, approximately 10 litres of potable water is needed)	
24.20	What is the frequency of cleaning & disinfection of the water tanks?	
24.21	Whether there is a documented procedure for cleaning water tank(s)?	
24.22	Is water brought from external source in mobile water tankers?	
24.23	If so, are the water tankers cleaned and disinfected periodically? what is the frequency?	
24.24	Whether there is documented procedure for water tanker cleaning?	
24.25	Is the ice used made from potable water as per norms? (To be supported by document)	
24.26	Is there adequate facility for hygienic handling and storage of ice?	
24.27	If ice is obtained from different sources, are they tested separately and records maintained?	
25.	**Salt / Chemicals / Additives**	
25.1	Whether salt, if used in the facility for any activity / processing, is it tested for the presence of Staphylococcus aureus and Sulphite reducing Clostridium and records maintained thereof?	
25.2	a) What are the other additive / chemical used in any activity / processing in the facility? b) Are these approved by the competent authority?	
25.3	Are records maintained regarding the traceability and purity of additives / chemicals used in any activity / processing?	
25.4	Whether fishery products prepared at establishments are tested for heavy metals, antibiotics, pesticide residues and bio-toxins and other chemicals and records maintained?	
25.5	Does the HACCP Plan suitably address these requirements?	
26	**Method of preservation**	
26.1	Specify the method used to preserve fishery products: (Please note that questions from 26.1 to 26.18 relate to products other than FROZEN and CHILLED)	
26.2	If the product is pasteurized / canned / Retort Pouch Packed, specify the type of pasteurizer / canning	

	equipment / retort used with capacity	
26.3	If the product is vacuum packed, specify the type of vacuum packing.	
26.4	Source of cans / pouches / trays / bags used for packing	
26.5	Are the cans coated with lacquer of good quality in adequate thickness? Whether cans / pouches / trays / bags used for packing are of food grade quality?	
26.6	If the product is dried, specify the type of drying	
26.7	If mechanical drying, specify the type and number of drier(s), with capacity & time taken for drying. Give details of validation of drier	
26.8	Specify the level of moisture of the product to be achieved after drying	
26.9	Details of calibration of equipment used for measuring temperature, moisture etc.	
26.10	Is drying method employed is appropriate to the product requirements?	
26.11	If sun / natural drying is used, whether the area identified for drying is constructed in such a way to preclude contamination.	
26.12	Whether sufficient precaution is taken to prevent the entry of flies, dust, pest into the drying area	
26.13	Specify the procedure adopted for sun drying. Whether precaution is taken to prevent the fish from touching the floor or any other unclean surfaces during drying	
26.14	Whether proper exhaust facilities are provided in the drying area to avoid condensation/ excess humidity	
26.15	If salting is done before drying, whether the room identified for salting is sufficiently separated from other rooms and provided with proper ventilation & exhaust facilities	
26.16	Whether adequate drainage system is provided so that the salt water/ oozed out water from the fish will drain directly to the drainage	
26.17	If the product is preserved by acidification, specify the method used to acidify the product including the type of additives with quantity	
26.18	Specify the type of packing used for acidified products.	
26.19	If **Freezing** is used, specify type of freezing employed	

Type of freezer	Number of freezers	capacity	
Tunnel freezing			
Contact plate freezing			
I Q F			
Any other types (Specify)			

26.20	Is the freezing method employed appropriate to product requirements?	
26.21	Is the freezing capacity adequate for production requirements?	
26.22	Are the gauges and thermometers in working order and calibrated at laid down frequency?	

26.23	a)Specify time taken for reducing the core temperature of the product to -18°C or below? b)Are equipment (such as electrical hand drill, thermometer etc.) needed for checking the core temperature of frozen products available in the facility?	
26.24	Is a log book maintained for freezers?	
26.25	Are there prescribed procedures / schedule for maintenance, cleaning and disinfection of freezers?	
26.26	If **Chilling** is used as preservation method, specify the chilling agent used with quantity ratio - fishery product: Chilling Agent	
26.27	Specify the type of packing and the type of packing materials used for Chilled Products	
26.28	Specify the core temperature of the product after chilling	
26.29	Whether core temperature is monitored to ensure uniform and adequate chilling during packing and storing	
26.	**Packaging** (Not applicable to PPC if pre-processed material is not packaged)	
26.1.	Is separate area provided for packing?	
26.2	Specify the type of primary / secondary packages used	
26.3	Specify the labeling / stenciling procedure used for marking the cartons	
26.4	Whether precautions are taken to ensure that printed matter, marking ink, marker etc. do not come in contact with food or food contact surfaces	
26.5.	Does the packing room have rodent control system?	
26.6	Is there separate and suitable room(s) for storage of packing materials?	
26.7	Is it fly, rodent and vermin proof?	
26.8	Does the documented rodent control system extend to store for packing material also?	
26.9	Are the walls clean and free from moisture and fungus?	
26.10	Are the packing materials stored away from the walls, ceiling in such a way as to allow a person to move around for inspection?	
26.11	Are the packing materials stored without touching the ceiling & walls and covered properly to avoid contamination?	
26.12	Is the packing material store provided with pallets made of non-absorbent material other than wood or any other suitable arrangement to prevent packing material being placed directly on the floor?	
27.	**Storages**	
27.1	a) If the final product is stored at <u>ambient temperature</u>, whether storage room identified for storing is constructed in such a way to	

	prevent contamination. b) If the final product is required to be kept at a temperature approaching that of melting ice (as in the case of Chilled Fishery Products and pre-processed material in the case of PPC), whether a chill storage facility for F&FP meant for EU or adequate number of proper insulated boxes in the case of non-EU units is provided?	
27.2	Whether provision given in the storage room to store the materials without touching the walls & floor?	
27.3	If the material is stored in cold store, specify the capacity of cold storage and whether same is adequate?	
27.4	Is cold storage provided with self-recording thermograph or data logger?	
27.5	If data logger is used whether same is calibrated and complying with EN 12830 , EN13485 and EN 13486 standards as applicable?	
27.6	Is the thermograph calibrated at laid down frequency?	
27.7	Is the sensor of the thermograph / data logger located at the warmest place away from diffuser?	
27.9	Whether the materials are stored properly without touching the walls and maintaining proper air flow?	
27.10	Is the floor of the cold storage waterproof, easy to clean and disinfect?	
27.11	Is there adequate lighting with protective covers?	
27.12	Is there any frost or ice formation on the walls, ceilings or stored material?	
27.13	Is the store provided with alarm bell?	
27.14	Whether cold storage has proper defrosting system?	
27.15	Is there air curtain or blinds at the entrance of ante-room and cold storage?	
27.16	Is an ante-room of suitable size provided and maintained properly?	
27.17	Are the cold storage workers provided with clean protective clothing?	
27.17	Does the documented rodent control system extend to cold store and ante-room also?	
27.18	Whether the dispatch area is provided with suitable facilities to prevent entry of flies, dust & pest?	
28.	**Toilet Facilities**	
28.1	Is the number of toilets provided in relation to the total number of workers?	
28.2	Are the toilets located away from the processing / activity area to prevent contamination?	
28.3	Whether the toilet rooms have walls washable, ceiling smooth and floors constructed of impervious material, and easy to clean and sanitize?	

28.4	Are the toilets well lit and adequately ventilated?	
28.5	Are they provided with self-closing doors, fly-proofing and flushing arrangements?	
28.6	Are hand washing and sanitizing facilities, with wash-basins, liquid soap, single use paper towels, nail brushes and adequate water supply provided near the toilets?	
28.7	Are the taps of the wash basin non-hand operable?	
28.8	Is foot operated waste bin(s) provided for collecting used towels?	
28.9	Are there sign boards directing employees to clean and sanitize their hands with soap/detergent/ disinfectant after using toilets?	
29.	**Personal Hygiene**	
29.1	Has any person been made responsible for maintenance of personal hygiene of employees?	
29.2	Are the workers apparently free from any form of communicable diseases, open sores and wounds or any other sources of contamination?	
29.3	Are the workers medically examined periodically and whether individual health cards showing that the individual is fit to work in fish processing plant maintained?	
29.4	Are prophylactic injections being administered to the plant employees and records thereof included in the individual cards?	
29.5	Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhea or any other communicable disease in their homes?	
29.5	Are workers medically examined after each absence due to illness from any contagious disease?	
29.6	Are the workers provided with sufficient sets of clean work dress and headgears?	
30	**Cleaning and Disinfection of plant, equipment and utensils**	
30.1	Is there a documented procedure for cleaning and disinfection of plant, equipment and utensils?	
30.2	Is the cleaning schedule exhibited prominently?	
30.3	Is there an area earmarked for cleaning and disinfection of utensils and equipment?	
30.4	Are facilities of cold and hot water / steam under pressure, wherever appropriate, provided for cleaning and disinfection?	

30.5	Is any person made responsible for supervising this work?		
30.6	Is the effectiveness of cleaning verified periodically through laboratory tests?		
31.	**Changing Room**		
31.1	Are separate changing rooms of adequate size proportionate to the number of workers provided for male and female workers?		
31.2	Whether changing room is integrated into the plant layout properly?		
31.3	Does the changing room have smooth walls, floors, ceiling and hand washbasins with liquid soap, disposable paper towels, nail brushes and non-hand operable taps?		
31.4	Whether there is arrangement for		
	a)	Work dress	
	b)	Change of footwear	
	c)	Keeping street clothes separately	
	d)	Lockable cupboards	
	e)	Collection of soiled working clothes	
	f)	Gumboots	
	g)	Headgear and wherever necessary gloves/ mouth cover	
31.5	Is there suitable in-house arrangement to launder the working clothes of the workers?		
31.6	Is the changing room provided with flush lavatories? Is it kept clean and sanitized?		
31.7	Does the door of the lavatory open directly to processing area?		
32.	**Effluent Treatment** (Not applicable to Factory vessel)		
32.1	Is the unit having an efficient effluent treatment system?		
32.2	Does it comply with the statutory requirements?		
32.3	Does the effluent cause any problem to neighborhood?		
33	**Maintenance Schedule**		
33.1	Whether there is a documented maintenance procedure for different sections/equipment/ Machinery, laboratory items etc.		
33.1	Whether maintenance records are kept?		
33.2	Whether all the equipment are marked with identification number?		

34.	**HACCP**	
34.1	Has the own check system based on HACCP implemented?	
34.2	If so, has the HACCP manual been submitted to the competent authority for approval ?	
34.3	Whether all the SSOPs are included in the HACCP manual?	
34.4	Whether process flow charts with product description and manufacturing details are given in the HACCP manual?	
34.5	Whether Plumbing diagram of water showing serially numbered taps is given in the HACCP manual?	
34.6	Whether persons responsible have been identified?	
34.7	Whether records are maintained for this purpose?	
34.8	Whether the frequency of monitoring of critical limits at CCP is adequate as evidenced by the actual observation?	
34.9	Whether breakdowns and malfunctions are recorded?	
34.10	Whether there is a provision to review and revise procedure and frequency?	
35.	**Rodent/Vermin Control**	
35.1	Is there any documented procedure for vermin control?	
35.2	Whether responsibility has been fixed for this work?	
35.3	Whether vermin/rodent control carried out by own arrangement or through outside agency?	
35.4	Whether bait map showing serially numbered bait stations has been provided?	
35.5	Whether chemical / rodenticides are approved by the competent authority?	
36.	**Transportation (Not applicable to Factory vessels)**	
36.1	Is the unit having adequate facilities for transport of raw material and finished products?	
36.2	If non-insulated covered vehicles are used for transport of raw material for short distances, whether insulated boxes are provided?	
36.3	Are the vehicles insulated/refrigerated?	
36.4	Are they constructed in such a way to facilitate easy cleaning and sanitization?	
36.5	Is there separate arrangement for cleaning and sanitization of transport vehicles?	
36.6	Are the records of the above maintained?	

36.7	Whether such arrangement creates environmental problems?	
36.8	Are the vehicles cleaned and disinfected periodically?	
36.9	Whether there is a documented procedure for cleaning the vehicles?	
37.	**Inspection and Testing**	
37.1	Is the unit having in-house facilities for inspection and testing?	
37.2	Is the unit having separate qualified and competent personnel for conducting physical, chemical and microbiological tests?	
37.3	Are there separate technologists for supervision of processing and for conducting laboratory tests?	
37.4	If in-house testing facility is not available, specify the name of the lab(s) where the own check samples are proposed to be analysed?	

Note : While submitting the application for approval for export to Russian Federation, the establishments shall also submit information on export of sea products to the Russian Federation as per **Appendix No 1** and **Appendix No.2**, in the format given bellow, which has to be forwarded to EIC for onward transmission to Russia, and copy of the purchase order / agreement with the Russian buyer. It should be ensured that the unit is complying with all the requirements of EU or Russia as the case may be.

Appendix-No 1

Information on export of Sea Products to the Russian Federation

Sl. No	Name, No. & type of enterprise(ship)	Type of Bio-resource	Volume of annual production (ton)	Volume of export to Russian Federation (ton)	Type of activities as per FSVPS letter No. FS-AS-7/444 dated 18 January 2012

Appendix-No 2

Information on export of Sea Products to the Russian Federation

Sl. No	Name, No.& type of enterprise(ship)	Type of Bio-resource	Volume of annual production (ton)	Volume of export to Russian Federation (ton)	Name of the company-importer in the Russian Federation

37.	Any other relevant information	

(Strike whichever is not applicable)

Yours faithfully,

Signature :

Name :

Designation :

Company Seal :

Place:
Date :

Check list of enclosures;

(1) Demand Draft / Pay Order for Rs.2,000/- & Rs.20,000/-
(2) Up-to-date layout plan of establishment / factory vessel / Pre-Processing Centre.
(3) Plumbing diagram
(4) Organisational Chart of the establishment /factory vessel / Pre-Processing Centre
(5) Certified Copy of the legal identify of establishment / factory vessel / PPC
(6) Bio-data of technologist(s)
(7) Attested/Certified copy of Lease Deed, if applicable
(8) Attested copy of Potability certificate of water and Ice (As per the Directive No.98/83/EC for EU / Russian Federation approved facilities and as per IS 4251 except radiological parameters for other Non EU approved facilities)
(9) HACCP Manual
(10) Attested copy of MPEDA Registration Certificate of pre-processing unit / processing plant / storage etc./ copy of registration issued by other organisations l
(11) Attested copy of the order allotting Importer-Exporter Code (IEC) Number.(not applicable to PPC)
(12) Attested copy of the consent to operate letter issued by the State Pollution Control Board.
(13) Guarantee and undertaking as per **Annexure- 2.**

APPENDIX G-1

APPLICATION FOR APPROVAL / RENEWAL OF APPROVAL OF FREEZER VESSEL

From

. . . . . .

. . . . . .

To
The Officer – In charge
Export Inspection Agency -

Please carry out the assessment of the Freezer vessel as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control Inspection & Monitoring) Rules, 1995.

We furnish below the information regarding the facilities existing in our Freezer Vessel. We undertake that the Freezer Vessel meets the requirement stipulated in GOI Notification S.O. 730 (E) dated 21.8.1995 and in particular S.O.612 dated 15.2.2007

Please find enclosed a Demand Draft / Pay Order bearing No. …….. for Rs. 2,000/- towards application fee & Rs. 20,000 as assessment fee. (In case of renewal of approval the fee shall be Rs.2,000 plus Rs.10,000 /-.)

1.	**General Information**	
1.1	Name and address of the organisation seeking approval of Freezer Vessel with phone no., Fax No & email address	
1.2.	Name of the fishing freezer vessel	
1.3	Registration Number allotted by Department of Fisheries / other authority	
1.4.	Is the freezer vessel owned or leased?	
1.4.1	If leased, name & address of the owner of the vessel	
1.5.	Address for communication / address of registered office.	
1.6.	Area of operation of the vessel with details of birthing	
1.7.	Name and designation of the person responsible for the freezer vessel	
1.8.	Nature of fishing activities (Trawling/Gillnetting/Line fishing etc.)	

1.9.	Is the vessel designed for fishing (a) less than 24 hours ? (b) More than 24 hours?	
1.10	Particulars of facilities available in the vessel	
1.10.1	No. of storage sections and their capacity	
1.10.2	No. of freezers and their capacity	
1.10.3	No. of cold storages and their capacity	
1.10.4	No. of personnel employed in the vessel	
1.10.5	Whether a documented own check system based on HACCP has been implemented?	
2.	**General hygienic conditions**	
2.1	Whether an area of section has been reserved for storage of fishery products?	
2.2	Whether the storage section is easily cleanable?	
2.3	Whether there is provision in the storage section to ensure that the melt water does not remain in contact with fishery products?	
2.4	Whether the storage section is protected from any possible source which is likely to transmit harmful properties or abnormal characteristics to the fishery products?	
2.5	Whether the storage section is protected from possible contamination with fuel used in the vessel or by bilge water?	
2.6	Whether there is provision made to protect the material on board from sun?	
2.7	Whether the water used is fresh water or clean sea water?	
2.8.	If fresh water is used whether Potability certificate is produced?	
2.9.	Whether spiked instruments are used for handling fishes?	
2.9.1	If so, whether such instrument damages the flesh of the fishery product?	
2.10.	Whether there is a system of chilling product during the storage?	

2.11	Whether there is documented schedule for cleaning containers, equipment and storage section of vessels which are in direct contact with fishes?	
2.12.	Whether beheading / gutting is carried out on board the vessel?	
2.12.1	If so, whether there are facilities for washing product with potable water/clean seawater?	
2.13.	Whether the knives and other equipment used for gutting, beheading, removing skin etc. are made of non-corrodible material (specify)?	
2.14.	Whether the containers and the equipment in contact with fishery product are made of non-corrodible materials which are water proof, resistant to decay, smooth and easy to clean and disinfect?	
2.15	Whether the staff assigned to handle fishery product are apparently free from communicable diseases?	
2.16	Whether the workers are free from cuts, or exposed wounds?	
2.17.	Whether the workers are provided with clean working clothes?	
3.	**Additional requirements applicable to fishing vessels designed and equipped to preserve fishery products on board for more than 24 hours.**	
3.1.	Whether the vessel is equipped with fish holds, tanks or containers for storage of refrigerated or frozen fishery products?	
3.2	Whether such storage is capable of maintaining the required temperature?	
3.3.	Whether such storage is separated from machinery and quarters reserved for crew?	
3.4	Whether the inside of the storage is constructed with water proof material and easy to wash and disinfect?	
3.5	Is the hold designed to ensure that the melt water cannot remain in contact with fishery products?	
3.6	Are working desks, equipment, holds, tanks and containers cleaned with potable water/clean sea water each time they are used?	

3.7	Is there a system for disinfection, removal of insects and exterminations of rats from the vessel?	
3.8	Are there lockable cup-boards/premises for storing cleaning agents and disinfectants	
3.9	Are there separate lockable cup-boards/premises for insecticides and potentially toxic substances used, if any?	
3.10	Whether the fishery products are frozen on board?	
3.10.1	What is the type of freezer and its capacity?	
3.10.2	What is the duration of reducing the temperature of the inner core of the material to -18˚C?	
3.11.	What is the capacity of the cold storage?	
3.11.1	Whether thermograph/ data logger is provided for the cold storage?	
3.11.2	Whether the sensor of temperature recorder is located in the warmest place in the cold storage?	
3.12.	Is there chilling arrangement in the vessel?	
3.12.1	What is the mechanism of chilling?	a) chilled by ice b) Refrigerated by mechanical means
3.12.2	Whether the chilling tanks are equipped with adequate sea water filling and drainage installations?	
3.12.3	Whether they incorporate devices for achieving uniform temperature throughout the tank?	
3.12.4	Is a thermograph provided to the chilling tank?	
3.12.5	If so, is the sensor of the thermograph positioned where temperature is the highest?	
3.12.6	Does the operation of chilling tank secure a chilling rate which ensures the mixing of fish and seawater and attains -3ºC within 6 hours after loading, and 0ºC at the most within 16 hours.	
3.12.7	Whether the temperature recorder of the tank has details like number of the tank and date for verification by the authorities?	
3.13.	Are the persons handling fishery products free from any health risk?	

3.13.1	Whether routine medical monitoring of such persons is being carried out and records there of maintained?	
14	Any other relevant information	
	Yours faithfully	
	Signature :	
	Name :	
Place:	: Designation :	
Date:	Seal:	

Checklist ;

1. For approval Demand Draft / Pay Order No…….for Rs. 22, 000/- dated ……. drawn in favour of EIA……. (In case of renewal of approval fee shall be Rs.12,000/-)
2. Layout of the vessel showing the different sections & facilities
3. Attested/Certified copy of the legal identity of the freezer vessel and scope of operation
4. Attested photocopy of Potability certificate of water (if fresh water is used, as per EC directive 98/83/EC / IS 4251 (without radiological factors)
5. Attested photo-copy of any other certificate obtained from Department of Fisheries/Port Trust, MPEDA.
6. HACCP Manual of the vessel.
7. Attested photocopy of the order allotting Importer-Exporter order (IEC)
8. Undertaking as per **Annexure 2**
9. Guarantee as per **Annexure 2**

APPENDIX H-1

APPLICATION FOR APPROVAL / RENEWAL OF APPROVALOF ICE PLANT

From: .....
.....

To,
The Officer In-charge
Export Inspection Agency –

Sir,

Please carry out the assessment of our ice plant as required under Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control Inspection and Monitoring) Rules, 1995 to produce ice for supplying to approved Fish & Fishery Product establishment(s) meant for export to all countries including the EU./Russian Federation/ Non- EU countries other than Russia.

We furnish below the information regarding the facilities existing in our ice plant.

We undertake that our ice plant meets the requirements stipulated in Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control Inspection and Monitoring) Rules, 1995 and also other requirements laid down by EIC from time to time

Please find enclosed herewith a demand draft/cheque bearing No. ……..for Rs.12,000/- towards the application fee and audit fee.

1. **General Information**		
1.1	Name and address of the ice plant with approval number, if already approved	
1.2	Name of the chief executive/Mg. Partner with official address and telephone number, Fax No., & e-mail address	
1.3	Is the ice plant owned or leased?	
1.3.1	If leased, name of the owner of ice plant, with address and telephone number	
1.3.2	Details of the lease agreement entered into between the ice plant and establishment, if applicable (attach an attested copy of the agreement).	
1.4	Is the ice plant independent or detached?	
1.4.1	If detached ice plant, name & address of the approved establishment with which the ice plant is attached with, including its Approval No.	
1.5	Year of construction	

1.6	Year of last major alteration	
1.7	Approval requested for	To produce ice for supplying to a) Its main establishment b) Non-EU approved F&FP establishments other than RF c) F&FP establishments approved for export to all counties including the EU & RF
1.8	No. of Insulated vehicles the ice plant have for transportation of ice (if applicable)	
1.9	Type of ice produced	Block ice/ Flack ice/ Tube ice/ Any other (Specify)
1.10	Capacity of ice plant	
1.11	Number of workers	
2.	**Surroundings**	
2.1	Whether the premises have defined curtilage?	
2.2	Are the premises cleaned?	
2.3	Is there any area within the premises of the establishment, which is non-operative?	
2.4	Are there any swamps, stagnant water or dumps nearby?	
2.5	Are the roads in the premises concreted or tarred to prevent wind-blown dust?	
2.6	Are there signs of any rodent harbourage in neighbouring areas?	
2.7	Is there a documented system, including the bait map, for rodent control?	
2.8	Are the surroundings reasonably free from objectionable odours, smoke, dust and other contamination?	
3.	**Plant facilities**	
3.1	Are there adequate facilities for the following	
3.1.1	Storing disinfectants & insecticides.	
3.1.2	Changing room for workers	
3.1.3	Ice crusher facility	
3.1.4	Alternate power back up system, if any	

4	**Changing Room**	
4.1	Is separate changing room of adequate size provided?	
4.2	Is the changing room integrated into the plant layout properly?	
4.3	Does the changing room have smooth walls, floors and washbasin with non-hand operated taps?	
4.4	Whether necessary facilities are provided in the change room?	
5.	**Toilets**	
5.1	Are the toilets well lit?	
5.2	Are the doors of the toilets self-closing type and tight fitting?	
5.3	Are the toilets made fly proof?	
5.4	Are soap, disinfectants, single use paper towels and foot operated waste bins provided near the washbasins?	
5.5	Are there sign boards directing workers to sanitize their hands and feet after using toilets?	
6.	**Personal Hygiene**	
6.1	Whether employees are strictly adhering to personal hygiene practices?	
6.2	Are the workers apparently free from any form of communicable diseases, open sores or wounds or any other source of contamination	
6.3	Are the workers medically examined periodically and whether individual health cards are kept showing that the individuals are fit to work in ice plant?	
6.4	Are the workers provided with sufficient sets of clean work dress?	
6.5	Are signboards exhibited prohibiting employees from smoking, spitting, eating and drinking inside the ice plant?	
7	**Cleaning and sanitary facility**	
7.1	Are there suitable cleaning and sanitary facilities provided at the entry points for cleaning hands & feet?	
7.2	Is the hand & feet washing facility located in a convenient place?	
7.3	Are there sign boards directing employees to adhere to hygiene practices	
8	**Maintenance, cleaning and disinfection**	
8.1	Is a maintenance schedule available?	
8.2	Is there a documented procedure for cleaning and disinfecting of ice plant and equipment?	

8.3	Is any person made responsible for supervising the work?	
8.4	Whether records for cleaning maintained?	
9.	**Block ice Production Facilities**	
9.1	Whether proper protection is given to the block ice production area to prevent the entry of pests, rodent, vermin and unauthorized persons?	
9.2	Whether self-closing door is provided at the entry point?	
9.3	Whether the walls & roof of the ice production area are smooth, clean and free from dusts, cobwebs, fungal growth etc.?	
9.4	Is the floor smooth & easily washable	
9.5	Whether the wall to floor junction rounded off?	
9.6	Are the roof & walls are free from condensation of water?	
9.7	Is the lighting adequate?	
9.8	Are the lights sufficiently protected and cleaned regularly?	
9.9	Is the ventilation proper?	
9.10	Whether the windows/ ventilators are provided with fly-proofing nets?	
9.11	Whether window sills, if any, are sloped properly for easy cleaning?	
9.12	Whether the machinery for refrigeration is installed away from the ice production area?	
9.13	Whether the salt and other chemicals are stored separately?	
9.14	Is the chilling media (brine) storage tank(s) made of non-corrosive materials?	
9.15	Whether the salt used is of food grade quality?	
9.16	Whether salt is tested regularly for chemical & microbiological parameters?	
9.17	Are the ice cans made of non-corrosive materials, which are easy to clean & disinfect?	
9.18	Whether non-corrosive, smooth lids are provided for ice cans?	
9.19	Whether precautions are taken to ensure that the chilling media do not come in contact with the ice?	
9.20	Whether wood is used to cover chilling media storage tanks? If so, whether the wood is properly cladded with non-corrosive material, which is smooth and easy to clean?	
9.21	Whether proper precautions are taken to prevent contamination of ice with the lubricants used for trolleys, etc.?	
9.22	Whether running potable water facility is provided for de-canning	

	ice?	
9.23	Is ice crusher provided?	
9.24	If so, whether the same is smooth, easy to clean and made of non-corrosive material?	
9.25	Whether the handling of ice & ice cans is done hygienically to avoid cross contamination?	
9.26	Whether the ice dispatch chute is properly protected to avoid entry of pest & dust?	
9.27	Whether ice is conveyed through surface made of stainless steel?	
9.28	Is the ice stored in clean, smooth containers made of stainless steel material?	
10	**Flake / tube ice Production Facilities**	
10.1	Whether the ice-producing machine is located away from the ice storing & handling area?	
10.2	Whether arrangements are made to prevent the falling of lubricants on the ice produced?	
10.3	Are the walls, floor and roof of the ice storing/handling area are smooth, easy to clean and disinfect?	
10.4	Are the shovels/utensils used to handle ice smooth, clean, without edges/ welding and made of non-corrosive materials?	
10.5	Whether the ice is being handled hygienically to avoid cross-contamination?	
10.6	Whether necessary arrangements are made to avoid condensation of water on roof & walls of the ice collection & handling area?	
10.7	Are the lights properly protected and maintained in clean condition?	
11	**Water & ice management**	
11.1	Source of water	
11.2	Methods adopted for purification of water?	
11,3	Is there a documented water management system?	
11.4	Whether plumbing diagram of water supply system available with each water outlet identified and serially numbered?	
11.5	Whether Potability certificate produced for each source of water?	
11.6	Is the water used for ice production and cleaning purpose meets the standards stipulated in EC Directive No. 98/83/EC or IS 4251 (except radiological factors) as the case may be?	
11.7	Is there any chance for cross contamination of potable and non-potable water?	

11.8	What is the system of chlorination of water? Specify the residual level of chlorine in water	
11.9	Whether tanks are used for storage of water? If so, whether the same is protected from outside contamination and kept locked?	
11.10	Whether water tanks are properly cleaned on a laid down frequency and records maintained?	
11.11	If water is brought from outside source, whether water tankers are cleaned & disinfected regularly?	
11.12	Whether physical quality of ice of each batch is checked before dispatch?	
11.13	Whether ice is tested for microbiological parameters regularly?	
11.14	Whether unit is having an in-house lab?	
11.15	If not, specify the name of lab where own check samples are tested	
12	**GMP, SOP, SSOP Implementation**	
12.1	Has the own check system implemented properly?	
12.2	If so, has the factory own checks manual been submitted to the competent authority for approval?	
12.3	Whether SSOPs are included in the factory own checks manual?	
12.4	Whether persons responsible have been identified for the implementation of GMP, SOP & SSOP?	
12.5	Whether SSOP, SOP records are maintained properly?	
12.6	Whether breakdowns and malfunctions are recorded?	
12.7	Whether there is a provision to review and revise the manual on a laid down frequency?	
13.	**Records**	
13.1	Whether the logbook is maintained?	
13.2	Whether records of production of ice maintained?	
13.3	Whether records are maintained pertaining to the supply of ice to the approved F&FP units?	
13.4	Are the records of cleaning & sanitation maintained?	
13.5	Are the records personal hygiene maintained?	
13.6	Are the records of pest control maintained?	
14	Any other relevant information	
		Yours faithfully
	Signature :	
	Name :	

Place:	Designation :	
Date:	Seal:	
Checklist enclosures:	(1) Demand draft for Rs.12, 000/- (2) Up-date layout plan of ice plant (3) Attested/Certified copy of the legal identity of the ice plant (4) Attested/Certified copy of the lease deed, if applicable (5) Factory own checks manual (HACCP based; including GMP.SOP, SSOP) (6) Attested copy of MPEDA Registration certificate of ice plant (if already available) (7) Attested photocopy of Water & Ice test reports (As per 98/83/EC or IS 4251 as applicable) (8) Undertaking as per Annexure- 2 (9) Guarantee as per Annexure – 2	

APPENDIX I - 1

APPLICATION FOR APPROVAL / RENEWAL OF APPROVAL OF COLD STORE (INDEPENDENT / DETACHED)

From.....
.....

To,
The Officer In-charge
Export Inspection Agency -

Sir,

Please carry out the assessment of our cold storage (independent / detached) as required under Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control Inspection and Monitoring) Rules, 1995 for storage of Frozen Fishery Products of our main establishment / approved establishments meant for export to all countries including the EU & Russian Federation / Non-EU counties other than the Russia Federation.

We furnish below the information regarding the facilities existing in our cold storage.

We undertake that our cold storage meets the requirements stipulated in Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control Inspection and Monitoring) Rules, 1995 and also the other requirements specified by EIC from time to time.

Please find enclosed herewith a demand draft / pay order bearing No. …….for Rs.2,000/- …….. towards the application fee and Rs.10,000/- towards assessment fee.

1. General Information		
1.1	Name and address of the cold storage	
1.2	Name of the chief executive / partner with official address and telephone number, Fax No., & e-mail address	
1.3	Is the cold storage owned or leased?	
1.3.1	If leased, name of the owner of cold storage, with address and telephone number	
1.3.2	Details of the lease agreement entered into between the owner of cold storage and applicant establishment, if applicable (attach an attested copy of the agreement).	
1.4	Year of construction	
1.5	Year of last major alteration	
1.6	Approval requested for storing of (specify product)	Frozen Fish & Fishery Products
1.7	No. of vehicles the establishment has for transportation of finished products. (a) Refrigerated (b) Insulated	
1.8	No. of Cold Storage(s)	
1.9	Capacity of each store	
1.10	Temperature maintained in each cold storage	
2. **Surroundings**		

2.1	Whether the premises have defined curtilage?	
2.2	Are the premises clean?	
2.3	Is there any area within the premises of the establishment which is non-operative?	
2.4	Are there any swamps, stagnant water or dumps nearby?	
2.5	Are the roads in the premises concreted or tarred to prevent wind-blown dust?	
2.6	Are there signs of any rodent harborage in neighboring areas?	
2.7	Is there a documented system, including the bait map, for rodent control?	
2.8	Are the surroundings reasonably free from objectionable odors, smoke dust and other contamination?	
3. **Plant facilities**		
3.1	Are there adequate facilities for the following	
3.2	Storing disinfectants & insecticides	
3.3	Changing room for workers with necessary facilities	
3.4	Alarm system to give warning in case of power failure	
3.5	Alternate power back up system(give details)	
4. **Toilets**		
4.1	Are the toilets well lit and adequately ventilated?	
4.2	Are the doors of the toilets self-closing type and tight fitting?	
4.3	Are the toilets made fly proof?	
4.4	Are liquid soap, disinfectant, single use paper towels and foot operated waste bins provided near the wash basins with non-hand operable taps?	
4.5	Are there sign boards directing workers to sanitize their hands and feet after using toilets?	
5. **Cleaning and sanitary facility**		
5.1	Whether all facilities for cleaning & sanitation provided?	
5.2	Is the hand- washing facility located in a convenient place?	
6. Ante-room		
6.1	Is the cold storage provided with an ante-room of suitable size?	
6.2	Whether the door of the ante-room is made of non-absorbent material other than wood?	
6.3	Is there air curtain at the workers' entrance to the ante-room?	
6.4	Is the floor water proof, smooth and free from pits and crevices?	
6.5	Are the walls smooth, free from pits and crevices?	
6.6	Are the roof & walls are free from condensation of water?	
6.7	Are the walls & roof clean and free from moisture, fungus or any other contaminant?	
6.8	Is there adequate lighting?	
6.9	Are the lights sufficiently protected?	

6.10	Are the lights and protection device clean?	
6.11	Are the electric switches and other connected installations cleanable?	
6.12	Whether suitable charts are provided for recording loading/unloading of fishery products?	
6.13	Is the ante room rodent and vermin proof?	
7.	**Cold storage**	
7.1	Whether the doors are made of non-absorbent material other than wood?	
7.2	Is there air curtain or blinds at the entrance of the cold storage?	
7.3	Is the floor water proof, smooth and easy to clean and disinfect?	
7.4	Are the walls smooth, free from pits and crevices?	
7.5	Are the walls clean and free from frost and fungus or any other contaminant?	
7.6	Is there adequate lighting?	
7.7	Are the lights sufficiently protected?	
7.8	Are the lights and their protection device clean?	
7.9	Is there an alarm bell?	
7.10	Is there any frost or ice formation on the walls, floor, ceiling or stored material?	
7.11	Are the sides and floor of cold storage provided with facilities made of non-corroding and non-contaminating material for free cold air circulation?	
7.12	Is the floor of the storage water proof and easy to clean and disinfect?	
7.13	Is the cold storage provided with sufficiently powerful refrigeration system?	
7.14	Is the cold storage maintained at required temp? (-18ºC or below)?	
7.15	a) Is the cold storage provided with self-recording thermograph or data logger? b) Does the temperature recording device comply with EN 12830, EN 13485 and EN 13486, as applicable?	
7.16	Is the thermograph/data logger calibrated at laid down frequency?	
7.17	Are the thermograph records maintained properly for verification?	
7.18	Is the sensor of the thermograph/data logger located at the warmest place away from diffuser?	
7.19	Does the cold storage have proper defrosting system?	
7.20	Whether rodents, insects and other vermin are exterminated and a documented pest control system is in place?	
7.21	Whether there is documented system of cleaning and sanitation?	
7.22	Whether the required temperature of **minus 18^{o}C or below** is maintained even during defrosting?	
8.	**Loading and un-loading area**	
8.1	Whether door(s) of suitable size has been provided in the ante-room for loading/un-loading the materials?	
8.2	Whether the door(s) has been provided with proper dock and shelter?	
8.3	Is the loading point provided with air curtain, blinds or other suitable systems to prevent entry of flies and also to avoid temperature	

	fluctuation during loading operation?	
9.	**Changing Room**	
9.1	Are separate changing rooms of adequate size, proportionate to the number of workers provided?	
9.2	Is the changing room have integrated into the plant layout properly?	
9.3	Does the changing room have smooth walls, floors and wash basin with non-hand operated taps?	
9.4	Whether there is arrangements for a) Change of footwear? b) Provision for keeping street clothes separately? c) Gumboots? d) Protective clothes?	
9.5	Is the changing room provided with flush lavatories? Is it kept clean and sanitized?	
10.	**Personnel Hygiene**	
10.1	Has any person been made responsible for maintenance of personnel hygiene?	
10.2	Are the workers apparently free from any form of communicable diseases, open sores or wounds or any other source of contamination?	
10.3	Are the workers medically examined periodically and whether individual health cards are kept showing that the individuals is fit free from contagious diseases and fit to work in fish processing plant?	
10.4	Are prophylactic injections being administered to the cold storage employees and records thereof included in the individual health cards?	
10.5	Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhea of any other communicable diseases in their homes?	
10.6	Are workers medically examined after each absence due to illness from any contagious diseases?	
10.7	Are the workers provided with sufficient sets of clean work dress?	
10.8	Are sign boards exhibited prohibiting employees from smoking, spitting, eating and drinking in the storage premises?	
11.	**Maintenance, cleaning and disinfections**	
11.1	Is a maintenance schedule available?	
11.2	Is there a documented procedure for cleaning and disinfection of cold storage and equipment?	
11.3	Is the cleaning schedule exhibited prominently?	
11.4	Is any person made responsible for supervising the work?	
11.5	Whether records for cleaning maintained?	
12.	**HACCP Implementation**	
12.1	Has the own check system based on HACCP implemented?	
12.2	If so, has the HACCP manual been submitted to the competent authority?	

12.3	Whether all the SSOPs are included in the HACCP manual?	
12.4	Whether process flow charts of the storing operations are given in the HACCP manual?	
12.5	Whether persons responsible have been identified for the implementation of HACCP?	
12.6	Whether records are maintained for this purpose?	
12.7.	Whether the frequency of monitoring of critical limits at CCP is adequate as evidenced by the actual observation?	
12.8	Whether breakdowns and malfunctions are recorded?	
12.9	Whether there is a provision to review and revise the manual on a laid down frequency?	
13	**Records**	
13.1	Whether a log book maintained?	
13.2	Whether records for items stored is maintained with different exporter(s)?	
13.3	Whether incoming cargo is being checked for product temperature and physical condition before loading and records maintained therein?	
14	Any other relevant information:	
	Yours faithfully	
	Signature :	
	Name :	
Place:	: Designation :	
Date:	Seal:	

Check list for enclosures:

1. Demand draft / pay order for Rs. 2,000/- and for Rs.10, 000/-
2. Up-date layout plan of cold storage.
3. Flow chart of storing operation.(if not included in the HACCP manual)
4. Attested / Certified copy of the legal identity of the Cold Storage.
5. Attested / Certified copy of the lease deed, if applicable.
6. HACCP manual
7. MPEDA Registration certificate of cold storage (if already available).
8. Undertaking as per Annexure – 2
9. Guarantee as per Annexure – 2

ANNEXURE – 1

FEE STRUCTURE

1. All fees are in Rs. & to be paid by demand draft / pay order.
2. Testing fee at EIA labs shall be as per EIC instructions.
3. No fee for fishing harbor / landing sites / auction centers

Activity	Feed Mill	Hatchery	Aquaculture farms	Fishing vessels	Factory vessels	Freezer vessels	Pre-processing centres (independent / detached)	Ice plants (independent / detached)	Establishment	Cold storages (independent / detached)
Application fee (for fresh approval, renewal of approval, for granting approval to EU / Russian federation, additional facility).	2,000	2,000			2,000	2,000	2,000	2,000	2,000	2,000
First assessment	10,000	10,000	100 per pond	200 per vessel	10,000	10,000	10,000	10,000	10,000	10,000
Second assessment / Assessment for internal alert by APE					10,000	10,000	10,000		10,000	
Assessment for additional facility	10,000	10,000			10,000	10,000			10,000	
Application for merchant exporter					5,000				5,000	
For counter signature					200				200	
For change of name					10,000	10,000	10,000	10,000	10,000	10,000
Cost of blank CFE (per set)					50	50			50	
Issuance of health certificate									500	

Activity	Feed Mill	Hatchery	Aquaculture farms	Fishing vessels	Factory vessels	Freezer vessels	Pre-processing centres (independent / detached)	Ice plants (independent / detached)	Establishment	Cold storages (independent / detached)
Issuance of health certificate in lieu / correction in health certificate/ issuance of clarification letter									300	
HACCP compliance certificate	10,000	10,000			10,000	10,000	10,000		10,000	
Annual fee for independent facility only							20,000	20,000		20,000
Drawal of sample per man day / supervision by EIA officer per day / deputation of EIA officer per day / Inspection fee / every additional monitoring							2,000		2000	
Issuance of letter to bring back the rejected consignment									1,000	
Verification of the corrective actions by EIA under Clause 10.3					10,000	10,000	10,000		10,000	
Fee for technologist	2,000	2,000			2,000	2,000	2,000		2,000	

ANNEXURE 2

Undertaking

(*To be submitted in duplicate on company's letterhead along with application for approval of processing establishment, factory vessel, freezer vessel, pre-processing centre (Independent/Detached), Cold Store (Independent/Detached), Ice Plants (Independent/Detached)*

Ref. No. :
Date:

To
The Officer In-charge
Export Inspection Agency- ----------,
Sub: **Application for approval**

Sir,

With reference to our application under ref. No. --------- dated ----------, we hereby undertake the following in respect of the processing / storing of fishery products / ice production in our factory vessel / freezer vessel / pre- processing centre (independent / detached) / ice pant (independent / detached) / establishment / cold storage (independent / detached)

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

HACCP system has been established and implemented by us.

We do not use hyper chlorinated water or ice with level of free residual chlorine above 2 PPM to wash, dip or spray the fishery products.

We shall carry out checks on water and ice in line with EC / Russian requirements (98/83/EC) / as per IS 4251 (in case of non EU other than Russia) and the results of regular examinations are analysed for corrective action. *(Not applicable for cold storages)*.

Level of additives, where applicable, is monitored in accordance with EC Regulation 1333/2008 of 16th December 2008 or as per the requirements of the importing country and export packages will be labelled as per the requirement of GOI Notification S.O 730(E) and also those specified by the importing country. *(Applicable for factory vessels / freezer vessels / establishments).*

Yours faithfully,
Signature of Authorised Signatory
Name:
Designation:
Date:
Place:

Strikeout whichever is not applicable.

Guarantee

(*To be submitted in duplicate on company's letterhead along with application for approval of processing establishment, factory vessel, freezer vessel, pre-processing centre (Independent/Detached), Cold Store (Independent/Detached), Ice Plants (Independent/Detached)*

Ref. No. : Date:

To

The Officer In-charge

Export Inspection Agency- ----------,

Sub: Guarantee

Sir,

We hereby guarantee the following:

We will not obtain Health Certificates for our export consignments from authorities other than the Export Inspection Agency- ---------. *(Applicable to establishments, factory vessels and freezer vessels)*

We will not use raw materials, semi-processed or processed products coming from an unapproved pre-processing centers / establishments. *(Applicable to pre- processing centres / establishments)*

We shall provide to the Competent Authority and its representatives free access, at all times, to all parts of the facility and to the records pertaining to production / quality of products being processed / produced / stored / transported 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 carry out any activities other than those for which our facility has been specifically approved, without prior approval by you.

We will not store the fishery products of the other approved facilities in our premises without prior permission from the EIA concerned.

We will not misuse the CFEs issued to us and will maintain proper records of the same. *(Applicable to factory vessels / freezer vessels / establishments).*

We are aware that approval granted to our facility for processing of fishery products or undertaking the related activities, may be withdrawn by you in case any of the above guarantees are violated by us.

(Strike whichever is not applicable.)

Place		
Date		Signature of the head of production
Place		Counter-signature of Chief Executive Officer of the approved facility
Date		

ANNEXURE 3

EXPORT INSPECTION AGENCY -
(MINISTRY OF COMMERCE & INDUSTRY)
GOVERNMENT OF INDIA
Head Office / Sub office

ADEQUACY AUDIT

for scrutiny of application and HACCP based food safety management system document

(to be used for approval of factory vessels / freezer vessels / pre-processing vessels / ice plants / establishments and cold stores)

Name of the processing establishment	: M/s.
Address of the processing establishment	District: State: Country: India. Ph. Fax: E-mail:
Address of the Regd. Office	District: State: Country: India. Ph. Fax: E-mail:
Scope of assessment	Adequacy audit of document to adjudge suitability of the infrastructure and equipment facilities of the establishment for processing, handling and storage of products and HACCP based food safety management system.

Details of Adequacy audit *(HACCP document must be audited by EIA official authorised by In-charge of the Agency)*

Type of document for audit	Name and Designation of the Auditor	Authorised by	Date of audit	Remarks (satisfactory / unsatisfactory)
1) Scrutiny of application (if applicable)				
2) HACCP document				

Please find enclosed audit observations on desk audit of application and / or HACCP based FSM system.

Submitted for kind perusal and further necessary action.

Signature of Auditor

Name
Designation
Organization

Date

ADEQUACY AUDIT OBSERVATIONS SHEET

Sly No..	Area	Observations	Remarks
1	**General**		
1.1	Signature of most responsible person with date at relevant sections of the manual		
1.2	Organisational chart & responsibilities		
1.3	Lay-out plan of unit		
1.4	Plumbing diagram		
1.5	Process flow diagram (men & material movement)		
1.6	Provision for HACCP review on a laid down frequency		
1.7	Provision for internal audits on a laid down frequency		
1.8	Provision for process & equipment validation as applicable		
2	**GMP**		
2.1	Design & building		
2.2	Facilities & equipment		
2.3	Production controls & testing procedures		
2.4	Pest /rodent control		
2.5	Personal hygiene		
2.6	Maintenance schedule		
2.7	Cleaning & sanitation		
2.8	Waste management		
2.9	Traceability & re-call procedures		
2.10	Training		
2.11	Glass & jewellery policy		
3	**SSOP**		
3.1	Whether the 8 areas of SSOP addressed		
3.2	Description of existing procedures		
3.3	Monitoring procedures		
3.4	Corrective action procedures		
3.5	Record keeping		
4	**SOP (**for each product of similar process flow & hazard)		
4.1	Description of processing activities from raw material to despatch		
4.2	Process controls		
4.3	Additives & ingredients		
4.6	Packing materials		
4.7	Labelling		
4.8	Storage & transportation		
5	**Product Description**		
5.1	Product name		
5.2	Raw material (*Commercial name / Latin name)* and ingredients		
5.3	Parameters influencing safety (aw, pH, salt%, etc.)		
5.4	Processing		
5.5	Type of Packing & Packaging material used		
5.6	Storage conditions and shelf life		
5.7	Conditions during distribution		
5.8	Intended use and consumer		
5.9	Labelling instructions		
6	**Flow diagram** (for each product having similar flow & hazard)		
6.1	Covering all processing steps starting from raw material receipt		
6.2	Additives & ingredients		
6.3	Packing materials		
7	**Hazard Analysis work sheet** (For each product having similar flow & hazards)		
7.1	Proper analysis of hazards at each step		
7.2	Proper identification of CCPs (if no CCP, whether sufficient justification given)		
7.3	Addressing adequate controls at each CCP as required		
8	**HACCP Plan**		
8.1	Establishing critical limits		
8.2	Establishing proper monitoring procedures		
8.3	Establishing proper corrective action procedures		

8.4	Establishing proper verification procedures		
8.5	Establishing proper record keeping procedures		

Recommendations of the auditor:

Signature of Auditor
Name
Designation
Organization
Date

Note:

1. In the observation column, mention “satisfactory or unsatisfactory”/ “yes or no” as the case may be. If ‘unsatisfactory’, mention the reason for the same in the remark column.

2. Defects observed in the HACCP/ application shall be communicated to the unit concerned through section In-charge/sub office In-charge at the earliest.

ANNEXURE 4

EXPORT INSPECTION AGENCY – CHENNAI / DELHI /KOCHI / KOLKATA / MUMBAI
(MINISTRY OF COMMERCE & INDUSTRY)
GOVERTNMENT OF INDIA
ASSESSMENT REPORT OF FEED MILL
(For approval / renewal of approval)

Date:

Type of visit: Assessment Panel of Experts (APE)

Composition of Assessment Panel

Sl. No.	**Name of the Expert**	**Designation**	**Organization**
1			
2			
3			
4.			

1.	**General Information**	
1.1.	Name and address of the aqua feed mill seeking approval with phone number, fax no. & e-mail address:	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address:	
1.3.	Name of the Chief Executive (MD/Mg. Partner / Proprietor) with phone no, fax no. & e-mail address	
1.4.	Is the feed mill owned or leased by the applicant	Owned/leased
1.5.	If leased, name of the plant owner, plant name and address: (attach the attested copy of lease agreement)	
1.6.	Year of Construction:	
1.7.	Year of last major alteration:	
1.8.	Scope of approval applied for (give details of products processed)	To produce compound feed / feed additives / medicated feeding stuff / pre-mixtures / feed supplements for feeding aquaculture animals meant for export.
1.9	Average quantity of aqua feed produced per month:	
1.10	Whether feed is produced for the use other than aquaculture production? If so, specify.	
1.11.	Additional activities, if any:	
1.12.	Whether the production is seasonal or throughout the year?	
1.13	No. of working hours per day:	
1.14	No. of working days per week:	
1.15	Mode of transportation of incoming ingredients and final products? Give details vehicles owned or hired by the factory	
2.	**Information on infrastructure**	
2.1.	Whether premises have defined curtilage and kept clean?	
2.2	Are the roads in the premises concreted / tarred or turfed to prevent wind-blown dust?	
2.3	Whether the building is of permanent nature, affording sufficient protection from the environment and has sufficient size for the work to be carried out under hygienic conditions?	
2.4	Whether the layout is designed to preclude contamination?	
2.5	Are different sections designed to facilitate smooth and orderly flow of work and to prevent possible cross contamination and backtracking?	
2.6	Whether adequate lighting and ventilation are provided at all sections?	

2.7	Are the light fixtures protected with proper covering?	
2.8.	Are ventilators covered with fly proofing nets?	
2.9.	Whether all the entry points into the building have suitable air curtains or other suitable arrangements to prevent the entry of flies?	
2.10.	Whether washing facilities provided for workers at entry points?	
2.11	Whether change room(s) of adequate size provided for workers?	
2.12.	Whether the floor, walls and roof at all sections are light coloured, smooth and easily cleanable?	
2.13.	Are the utensils, machineries, conveyors, mills, aspirators, mixers, extruders and other feed contact surfaces smooth, clean and maintained in good hygienic condition to avoid contamination of products?	
2.14.	Are the sieves, screens, filters, separators and mixers regularly checked for damages, cleanliness and their effective operation?	
2.15.	Whether metal detectors and/or magnets are installed in processing line at suitable locations and regularly checked for their effective operations and records maintained?	
2.16	Give details of machineries installed including name and year of manufacture, capacity etc.?	
2.17	Specify the instruments / equipment used for inspection, measuring, testing etc.	
2.18	Are they calibrated?	
2.19	If so, give details	
2.20	Whether the feed mill has an in-house lab?	
2.21	If so, specify the parameters tested and instruments / equipment used.	
2.22	Is the in-house lab accredited?	
2.23	If the feed mill does not have an in-house lab, give details of the lab where own check samples are tested	
3.	**Information about personnel**	
3.1.	No. of technologists available in the feed mill	
3.2.	Name and qualification of the technologist(s) supervising own check system	
3.3.	Name and qualification of the technologist(s) conducting inspection	
3.4	Are the technologist(s) approved by EIA?	
3.5	If not, whether application for approval of technologist is submitted to EIA?	
3.6.	Name and designation of person(s) responsible for production	
3.7	Name and designation of person(s) responsible for storage and handling of additives, pre-mixtures, medicated feeding stuff etc.	
3.8	No. of male workers	
3.9	No. of female workers	
3.10	No. of shifts per day	
4.	**Raw ingredients**	
4.1	Give details of all raw ingredients used for processing	
4.2	Specify the source of each ingredient used	
4.3	Whether specifications have been laid down for each incoming ingredient including physical and analytical factors and whether the same is strictly complied with?	
4.4	If deviation is allowed, specify up to what extent:	
4.5	Whether all incoming ingredients are inspected for physical and organoleptic factors such as colour, odour, foreign matter, insect infestation, mould,	

	granulation, density, moisture, weight, temperature, tags / labels etc. as applicable and records maintained?	
4.6.	Whether all incoming ingredients are inspected for labelling, purchasing specification, lot number / date, regulatory compliance (especially for medicated feeds) etc. as applicable and records maintained?	
4.7.	Whether incoming ingredients are inspected source wise for chemical and microbiological factors at a laid down frequency as applicable and records maintained?	
4.8	Whether each batch of accepted incoming ingredient is traceable and stored in dry and hygienic condition?	
4.9	Are proper records of accepted / rejected incoming ingredients including storage details maintained?	
5.	**Storage facilities**	
5.1.	Whether separate storage facilities provided for storing incoming materials, finished products and also packing materials hygienically?	
5.2.	Are the storage areas hygienically maintained and free from moisture, dust, vermin and birds etc.?	
5.3.	Whether medicated feeding stuff, premix and additives stored in suitable, separate and secured rooms or hermetic containers on a first in - first out basis with proper labelling and traceability records?	
5.4.	Is it mandatory that only authorized person can handle medicated feeding stuff, premix and additives during storage and use?	
5.5.	Whether storage areas checked for cleanliness, moisture, entry of pest etc. on a regular frequency?	
6.	**Implementation of HAACP and own check system**	
6.1.	Whether the Feed mill has implemented HACCP and prerequisite programme including GMP, SSOP etc.?	
6.2.	Whether proper hazard analysis has been conducted and Critical Control Points (CCP) identified?	
6.3.	Whether Critical Limits have been specified for each identified CCP and the same is monitored as per the laid down procedure?	
6.4.	Whether corrective action and verification procedures are in place?	
6.5.	Is the HACCP reviewed at least once in a year or as and when required?	
6.6.	Whether internal audits conducted at least once in a year or as and when required?	
7.	**Processing Operations**	
7.1	Are there qualified and experienced persons responsible for production process?	
7.2	Whether processing is done as per the written procedure at each stage?	
7.3.	Is the production schedule established to reduce human / animal health issues in relation to carry-over?	
7.4.	Whether additives incorporated in the feed are as per legal requirements?	
7.5.	Whether additives and pre-mixtures are added by hand?	
7.6.	If so, whether it is ensured that they are added correctly in accordance with the product specification?	
7.7.	If silos are used for dosage, whether equipment for adequate dosing and locking provided?	
7.8.	Whether inclusion rate of pre-mixture into compound feed is predefined on the basis of the assessment of the efficiency of each production line, taking into account the specification of manufacture, the accuracy of calibration and	

	results of homogeneity tests?	
7.9.	Whether the locking or warning system is in order while incorporating feed additives into pre-mixtures to ensure that targeted feed additives are included into the targeted pre-mixture at the suitable dose?	
7.10.	Is the weighing procedure accurate to ensure that the right products are weighed within predefined tolerance?	
7.11.	Are the mixers operating for a pre-set time, to ensure appropriate mixing of feeding stuff / feed additives?	
7.12	Whether the accuracy and efficiency of mixing process are checked at least once in six months to ensure that feed additives are evenly dispersed throughout the mix?	
7.13	Whether proper monitoring of time-temperature control is established to ensure product safety and legality?	
7.14	Whether air used for conveying or cooling is checked for microbial contamination on a laid down frequency?	
7.15	Whether the condition for pelleting / extrusion is assessed properly to ensure stability of the incorporated feed additives?	
7.16	Are metal detectors / magnets provided in the processing line wherever necessary?	
7.17	Whether metal detectors / magnets are checked for their effective operation on a laid down frequency?	
7.18	Whether suitable method of measurement of carry-over is established and implemented at least once in a year?	
8.	**Cleaning and sanitation**	
8.1.	Whether cleaning and sanitation is done at all sections as per written schedule to avoid cross contamination?	
8.2.	Whether effectiveness of cleaning & sanitation is checked at regular intervals?	
8.3	Whether equipment / machineries are cleaned and / or flushed so as to avoid contamination between batches?	
9.	**Personal Hygiene**	
9.1.	Are the employees adhering to good hygienic practices and wear clean working dress?	
10.	**Waste management**	
10.1.	Whether waste is collected promptly and / or stored in dedicated waste containers away from incoming raw material and finished product storage areas and whether the same is disposed of legally?	
10.2.	Whether control of carry-over is implemented effectively to reduce its level in the factory?	
10.3	Whether flushing is collected in marked containers and dealt in accordance with written procedure?	
11.	**Pest and dust control.**	
11.1.	Is the pest management system adequate to control pests / insects / rodents at all sections of the factory?	
11.2.	Whether proper control system implemented to avoid accumulation of dust at all sections?	
12.	**Maintenance**	
12.1	Whether proper maintenance is done to all equipment, machineries, building etc. on a laid down frequency to ensure its effective working?	
13.	**Specification**	
13.1	Whether specifications of incoming materials, feed additives, pre-mixtures, finished products etc. are developed and strictly implemented?	
14.	**Water**	
14.1.	Whether water used as ingredient and / or for washing feed / ingredient contact surfaces is of	

	potable quality?	
14.2.	Whether water is tested for all parameters (other than radiological factors) as per IS 4251 at EIA lab or EIC approved lab?	
15.	**Traceability & recall procedure**	
15.1.	Whether traceability of incoming materials and finished products is established from the source?	
15.2.	Whether recall procedures are developed to address customer complaints?	
16.	**Inspection & testing**	
16.1.	Whether incoming materials, process materials and finished products are tested for microbiological and chemical parameters as specified in the HACCP Manual in the in-house laboratory, EIA lab or EIC approved labs?	
16.2.	Are raw ingredients and finished products inspected batch wise for all quality parameters specified in the HACCP Manual by a qualified person?	
16.3.	Whether effective quality control of all ingredients and final products established to ensure the wholesomeness and safety of feed produced?	
16.4.	Whether homogeneity tests are conducted on a laid down frequency to check the dispersion of feed additives and veterinary medicinal products in feed?	
17.	**Effluent Treatment**	
17.1	Is the unit having an efficient effluent treatment system and obtained certificate from Pollution Control Board?	
17.2	Does the effluent cause any problem to neighborhood?	
18	**Any other relevant information**	

Recommendations of the Assessment Panel of Experts (APE)	
Name of the Feed Mill	
Location	
Processor Code No. (If already allotted by EIA)	
Nature of activities of the unit	1. To produce feed / feeding stuff for feeding aquaculture animals meant for export. 2. Any other Item (pl. specify)
The above Feed Mill **may not be approved / approval may not be renewed** to process feed / feeding stuff for feeding aquaculture animals meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet.	
Or	
The above Feed Mill **may be approved / approval may be renewed** to process feed / feeding stuff for feeding aquaculture animals meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995	
Products allowed to be processed in the above Feed Mill	Pre-mixtures Compound Feed Medicated feeding stuff Others (Specify) ……..
Production capacity of the feed mill	
Other remarks, if any:	

Signature …… …… ……

Name …… …… ……

Designation …… …… ……

Organization …… …… ……

Date …… …… ……

ANNEXURE – 5

EXPORT INSPECTION AGENCY – CHENNAI / DELHI / KOCHI / KOLKATA / MUMBAI
(MINISTRY OF COMMERCE & INDUSTRY)
GOVERTNMENT OF INDIA
ASSESSMENT REPORT OF HATCHERY
(For approval / renewal of approval)

Date:

Type of visit: Assessment Panel of Experts (APE)

Composition of Assessment Panel

Sl. No.	**Name of the Expert**	**Designation**	**Organization**
1			
2			
3			
4			

1.	**General Information**	
1.1.	Name and address of the hatchery seeking approval with phone number, fax no & e-mail address	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address	
1.3.	Name of the Chief Executive (MD / Mg. Partner / Proprietor) with phone no., fax no. & e-mail	
1.4.	Is the hatchery owned or leased by the applicant	Owned/leased
1.5.	If leased, name of the hatchery owner, with name of the organization and address. (attach the attested copy of agreement)	
1.6.	Year of Construction	
1.7.	Year of last major alteration	
1.8.	Scope of approval applied for	For breeding / hatching / rearing of finfish / shellfish for supply to the approved aquaculture farms.
1.9	Type of hatchery depending upon the size	Small / medium / large scale
1.10	Give details of targeted species	
1.11	Additional activities, if any	
1.12	Whether all year / seasonal production?	
1.13	If seasonal, specify the periods of operation of hatchery	
1.14	Production capacity of the hatchery / year	
1.15	Area / extend of hatchery	
1.16	Total tank capacity	
1.17	Does the hatchery have vehicles for transportation of post larvae / fingerlings? If so. give details	
2.	**Information on locality**	
2.1.	Whether hatchery is located in ideal location away from polluted environment??	
2.2.	Are climatic conditions ideal for hatchery operation	
2.3.	Whether adequate supply of good quality, clean sea water is available throughout the year**?**	
2.4	Whether uninterrupted power supply, fresh water supply, healthy spawners, good roads/ transportation facilities etc. are available?	
3	**Design, construction, and components**	
3.1.	Is the hatchery designed based on the target species and production target giving ample space for breeding / hatching / rearing and for other supporting activities needed for the operation?	.
3.2	Whether the hatchery have the basic components like, maturation tanks, spawning tanks, larval rearing tanks, live food culture tanks, water storage and filtration tank etc. as applicable?.	
3.3	Are the tanks have suitable size, shape or depth, and made up of materials which will not cause harm or injury to the animal reared?	
3.4.	Whether provision for sufficient aeration given in the tanks at low pressure to maintain adequate level of dissolved oxygen in water, through suitable mechanism such as roots blower, rotary blower, air compressor etc. having methods to adjust air pressure?	

3.5.	Whether It is ensured that air from the blower is free from oil?	
3.6.	Is generator of suitable power provided for alternate power supply to ensure continuous aeration, in case of power failure?	
4	**Water management**	
4.1.	Whether continuous supply of clean, good quality sea water in sufficient quantity is ensured?	
4.2.	Whether sea water is pumped directly from the sea or from sump pit or tube well into the overhead filter tank?	
4.3.	Is the sea water filtered through suitable filter bed before use?	
4.4.	Give details of sea water collection and filtration method adopted	
4.5	Whether sufficient quantity of fresh water is also be available for salinity adjustment or for other purposes?	
4.6	Is the quality of water monitored for physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen etc. at regular intervals?	
4.7	Whether water is tested for microbial and chemical contaminants on a laid down frequency?	
4.8	Is fresh water tested as per IS 4251 (except radiological factors)?	
5	**Information about personnel**	
5.1.	No. of technologists available in the hatchery with name and qualification	
5.2	Are the technologist(s) approved by EIA?	
5.3.	If not, whether application for approval of technologist(s) is submitted to EIA?	
5.4	Name and designation of other person(s) responsible for hatchery operation?	
5.5.	No. of male workers	
5.6	No. of female workers	
6	**Hatchery operation**	
6.1	Are the spawners available in sufficient quantity?	
6.2	Are they caught from wild during spawning seasons?	
6.3	Specify the source of spawners and mode of procurement and transportation	
6.4	Whether brood stock is collected from wild or from hatchery pond?	
6.5	Whether care is being taken to ensure that spawners / brood stock selected for spawning / induced breeding are healthy, matured and do not show any sign of distress or disease?	
6.6.	Whether care is taken while collection of spawners / brood stock and also during conditioning and storage to avoid injury or stress to the animal?	
6.7	After spawning, are the eggs made to hatch in controlled condition of temperature and salinity and whether care is taken to avoid contamination of hatched nauplii?	
6.8	Whether care is taken, while rearing the larvae at different stages of development, to maintain optimum temperature, salinity, pH, dissolved oxygen etc. as per the requirement of concerned species and stage of development?	
6.9.	Whether adequate quantity of good quality feed of the required type is given at the appropriate stage of development of the larvae?	
6.10	Is the density of stocking of larvae in each tank pre-determined to avoid overcrowding?	
7	**Feed Management**	
7.1.	Specify the type of feed used at each stage of hatchery operation and specify the source of feed / ingredients	
7.2.	Are the ingredients/ chemicals used for preparation of culture media or other purpose is tested for purity to ensure that no banned chemicals are used in the feed?	
7.3.	Whether adequate quantities of good quality feed are given at each stage?	
7.4	Whether feed is checked for its quality and for contaminants at regular intervals?	
8	**Good hatchery practices**	
8.1.	Whether continuous monitoring of physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen level etc. is conducted at regular intervals?	
8.2.	Specify the monitoring procedure and frequency of monitoring of each parameter.	
8.3.	Whether maximum care is taken to avoid microbial and chemical contamination of the animal at each stage?	
8.4.	Whether health aspects of the aquatic animals at each stage are ensured through continuous monitoring?	
8.5.	Whether medical treatments are given to the aquatic animals to control microbial/viral diseases?	
8.6.	If so, specify the chemicals / pharmacologically active substances used	

	with dosage.	
8.7	Whether the usage of such chemicals is done with the advice of the veterinary medical practitioner?	
8.8.	Whether withdrawal period followed?	
8.9.	Whether it is ensured that banned chemicals or pharmacologically active substances are not used at any stage during hatchery operation?	
8.10.	Whether good hygienic practices are followed at all stages of hatchery operation to avoid microbial contamination?	
8.11	Are pest control and good personal hygiene practices followed strictly to avoid contamination?	
8.12	Is water management system adequate to control contamination?	
8.13	Whether proper training is imparted to the employees for cleaning and sanitation, hygienic handling, and also for good hatchery practices?	
9	**Cleaning and sanitation**	
9.1.	Are cleaning and sanitation strictly followed to avoid contamination?	
9.2.	Is it mandatory that newly constructed tanks are used only after conditioning and disinfecting it with suitable methods depending upon the material of the tank so that pH of water in the tank is stabilized?	
9.3.	Are the tanks which are in operation cleaned regularly with clean fresh water, dried in sun and disinfected with 12% sodium hypo chlorite solution at 200 PPM level for 24 hrs.?	
9.4.	Whether verification of the effectiveness of cleaning is done regularly?	
9.5.	Whether records of cleaning & sanitation maintained?	
10	**Personal hygiene**	
10.1	Are the employees adhering to good hygienic practices and wear clean working dress?	
11	**Harvest and transportation**	
11.1	Specify method of harvest and transportation of post larvae / fingerlings	
11.2	Whether harvesting and transportation are done in such a way to avoid stress or damage to the animal harvested?	
11.3	Whether post larvae/fingerlings are tested for Chloramphenicol and metabolites of Nitrofuran at designated lab prior to harvest and the test results are made available to the approved farms during the supply of larvae/fingerlings?	
11.4	Whether details of harvest and supply of post larvae/fingerlings to approved farms are recorded and made available for verification?	
12	**Any other relevant information**	

Recommendations of the Assessment Panel of Experts (APE)	
Name of the Hatchery	
Location	
Approval No. (If already allotted by EIA)	
Nature of activities of the hatchery	For breeding / hatching / rearing of finfish / shellfish for supply to the approved aquaculture farms.
The above hatchery **may not be approved / approval may not be renewed** for breeding / hatching / rearing of finfish / shellfish for supply to the approved aquaculture farms meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet.	
Or	
The above hatchery **may be approved / approval may be renewed** for breeding / hatching / rearing of finfish / shellfish for supply to the approved aquaculture farms meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995	
Aquaculture animals permitted for breeding, hatching and /or rearing (specify species/ type)	Shrimps Fishes Others (Specify) ……..
Production capacity of the hatchery	
Other remarks, if any:	

Signature …… …… ……
……

Name …… ……

Designation …… …… ……

Organization …… …… ……

Date …… …… ……

ANNEXURE 6

EXPORT INSPECTION AGENCY – CHENNAI / DELHI / KOCHI / KOLKATA / MUMBAI
(MINISTRY OF COMMERCE & INDUSTRY)
GOVERTNMENT OF INDIA
ASSESSMENT REPORT OF AQUACULTURE FARM
(For approval / renewal of approval)

Date:

Type of visit: Assessment Panel of Experts (APE)

Composition of Assessment Panel

Sl. No.	Name of the Expert	Designation	Organization
1			
2			
3			
4			

1.	**General Information**	
1.1.	Name and address of the aquaculture farm seeking approval with phone number, fax no & e-mail address	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address	
1.3.	Name of the Chief Executive (MD / Mg. Partner / Proprietor) with phone no., fax no. & e-mail address	
1.4.	Is the aquaculture farm owned or leased by the applicant	Owned / leased
1.5.	If leased, give the name of the farm owner, with name of the organization and address.	
1.6.	Year of Construction	
1.7.	Year of last major alteration	
1.8.	Scope of approval applied for	For rearing of juveniles of finfish / shellfish for supply to the approved establishment meant for export
1.9	Water used for farming	Freshwater / brackish water / seawater
1.10	Give details of targeted species	
1.11.	Whether intensive farming or semi intensive farming?	
1.12.	Whether all year / seasonal production?	
1.13	If seasonal, specify the periods of operation of farm	
1.14	Production capacity of the farm / year	
1.15	Number of harvests/ year	
1.16	Number of ponds with area and stocking capacity	
1.17	Does the farm have vehicles for transportation of aquatic animals / feed etc.? If so. give details	
2.	**Information on locality**	
2.1.	Whether the farm is situated in an ideal location away from polluted environment?	
2.2	Are climatic conditions ideal for farming operation?	
2.3	Whether the construction of the farm will disturb the ecosystem and natural habitats of that locality?	
2.4	Whether the undesirable pollutants / chemicals from nearby areas contaminate the farm?	
2.5	Percolation rate or porosity of soil of the pond is low enough to hold the pond water satisfactorily?	
3	**Farm input management**	
3.1.	Whether the farm receives inputs based on the legal requirements and maintain proper stock / utilization register of all inputs received?	.
3.2	Whether a suitable person is entrusted to receive, check the quality, store and distribute the inputs? Is it mandatory that quality of inputs is known before receiving?	
3.3	Are the inputs stored in an orderly manner, hygienically and properly labelled?	
3.4.	Whether the condition of storage area satisfactory?	
3.6	Is it mandatory that only the post larvae / fingerlings supplied by EIA approved hatcheries accompanied by Pre Harvest Test Report to be accepted?	
3.7	Is it mandatory not to receive and use banned chemicals /	

	pharmacologically active substance in the farm?	
4	**Water management**	
4.1.	Whether continuous supply of clean, good quality water in sufficient quantity is ensured?	
4.2.	Specify the type, source and method of collection of water	
4.3.	Is the water filtered through suitable filter bed before use?	
4.4	Give details of purification system	
4.5	Whether the water meets the requirements?	
4.6	Is the quality of water monitored for physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen etc. at regular intervals?	
4.7	What is the frequency of monitoring?	
4.8	Whether water is tested for microbial and chemical contaminants on a laid down frequency?	
4.9	Whether aeration is provided in the ponds in large volume at law pressure to maintain sufficient dissolved oxygen level in water, through suitable mechanism?	
4.10	Whether It is ensured that air from the blower is free from oil?	
4.11	Is generator provided to ensure continuous aeration, in case of power failure?	
5	**Information about personnel**	
5.1.	Name & designation of qualified person(s) responsible for farming operation.	
5.2	Name & designation of qualified person(s) responsible for input management	
5.4	No. of male workers	
5.5.	No. of female workers	
6	**Feed management**	
6.1	Is it mandatory that feed shall be obtained only from EIA approved Feed Mills and are stored in well ventilated, dry store, preferably for not more than 30 days to avoid vitamin reduction and mould infestation?	
6.2	Give name and approval number of feed mill(s) from where feed is obtained with test reports of antibiotic residue and also the type and quantity of feed used	
6.3	Whether it is ensured that pellet feed has minimum amount of “fines” or feed dust?	
6.4	Whether feeding of appropriate quantity of right type of feed is done at appropriate time? Specify the method of feeding and frequency of feeding.	
6.5	Whether feeding is monitored regularly to ensure the wastage, feeding habits etc.?	
7	**Usage of fertilizers and other chemicals**	
7.1	Specify the type of fertilizers and other chemicals used indicating the purpose of use and quantity	
7.2.	Whether the rate and mode of application of fertilizers is planned to maximize utilization and prevent over application?	
7.3.	Is it ensured that usage of fertilizers or chemicals will not contaminate the aquaculture animals?	
8	**Pond preparation and stocking**	
8.1.	Whether proper sediment management is done to avoid contamination?	
8.2.	Are the sediments removed before pond preparation?	
8.3.	Are the ponds fully dried and disinfected at least once in a year before preparation.	
8.4.	Are stone meals, probiotics used?	
8.5	Whether proper slope is given to the ponds for drainage?	
8.6	Specify the length and breadth of the pond with depth difference.	
8.7	Is the density of fry / fingerlings stocked optimum in each pond?	
8.8	Specify the method of stocking	
9	**Monitoring**	
9.1.	Whether continuous monitoring of physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen level etc. is conducted at regular intervals?	
9.2.	Specify the monitoring procedure and frequency of monitoring of each parameter.	
9.3.	Do feeding habits, change of colour of water, health condition and size of animal, signs of stress etc. are monitored at regular intervals.	
9.4	Specify action taken by the farm in case of change of colour of water, sign of stress etc.	
9.5	Is the withdrawal period followed?	

10	**Personal hygiene**	
10.1	Are the employees adhering to good hygienic practices and wear clean working dress?	
11	**Cleaning & sanitation**	
11.1	Whether cleaning & sanitation is done as per the laid down procedure at all areas, including machineries/equipment to avoid contamination?	
12	**Pest control**	
12.1	Whether pest control adequate?	
13	**Waste and effluent management**	
13.1	Whether the wastes are actively disposed of in a suitable manner to avoid cross contamination?	
13.2	Whether chemical wastes and non- biodegradable wastes are disposed of as per legal requirement?	
13.3	Is the waste water treated suitably before discharge?	
13.4	Is the effluent water monitored for pH, suspended solids, soluble phosphorus, ammonia nitrogen, BOD etc. at a laid down frequency and records maintained?	
14	**Usage of drug for therapeutic purpose**	
14.1	Whether it is mandatory that only permitted chemicals / pharmacologically active substance are used under the advice of veterinary medical practitioner for treatment of aquaculture animals?	
14.2	Are records of treatment maintained?	
!5	**Harvest and transportation**	
!5.1	Whether proper care is taken while harvesting to avoid damage to the aquatic animals?	
!5.2	Are harvested animals hygienically handled and properly iced before dispatch to approved establishment(s) to avoid deterioration and microbial contamination	
15.3	Whether sample of 250 gm. of aquatic animals are tested for Chloramphenicol and metabolites of Nitrofuran at designated lab prior to harvest and the test results are made available to the approved establishment(s) during the supply of aquatic animals.	
15.4	Is the traceability record maintained?	
16	**Any other relevant information**	

Recommendations of the Assessment Panel of Experts (APE)	
Name of the Aquaculture Farm	
Location	
Approval No.(If already allotted by EIA)	
Nature of activities of the Farm	For rearing of finfish / shellfish for supply to the approved establishment(s) meant for export.
The above aquaculture farm **may not be approved / approval may not be renewed** for rearing of finfish / shellfish for supply to the approved establishments(s) meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet.	
Or	
The above aquaculture farm **may be approved / approval may be renewed** for rearing of finfish / shellfish for supply to the approved establishment(s) meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995	
Aquaculture animals permitted for rearing in the farm for export (specify species/ type)	Shrimps Fishes Others (Specify) ……..
Total farming area	
Total number of ponds	
Number of crops	
Production capacity of the farm	
Other remarks, if any:	

Signature …… …… ……

Name …… …… ……

Designation …… …… ……

Organization …… …… ……

Date …… …… ……

ANNEXURE – 7

EXPORT INSPECTION AGENCY – CHENNAI / DELHI /KOCHI / KOLKATA / MUMBAI
(MINISTRY OF COMMERCE & INDUSTRY)
GOVERTNMENT OF INDIA
ASSESSMENT REPORT OF LANDING CENETRS / FISHING HARBOURS
(For approval / renewal of approval)

Date:

Type of visit: Assessment Panel of Experts (APE)

Composition of Assessment Panel

Sl. No.	**Name of the Expert**	**Designation**	**Organization**
1			
2			
3			

1.	**General Information**	
1.1.	Name and address of the landing site/ fishing harbour seeking approval with phone number, fax no. & e-mail address	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address	
1.3.	Name of the most responsible person, with designation, phone no., fax no. & e-mail address:	
1.4.	Is the landing centre/ fishing harbour owned or leased by the applicant	Owned / leased
1.5.	If leased, give the name of the landing centre / fishing harbour owner, with name of the organization and address. (attach the attested copy of agreement)	
1.6.	Year of Commissioning:	
1.7.	Year of last major alteration:	
1.8.	Scope of approval applied for	To handle, display and / or auction wild caught fishery products meant for export
1.9	Type of landing site / fishing harbour (Major = landing facilities for more than 500 fishing vessels, Medium= landing facilities for 100- 500 fishing vessels , Minor= landing facilities for less than 100 fishing vessels)	Major / Medium / Minor
1.10	Capacity (number of boats) and total area of landing site :	
1.11.	Types of boats landed (trawlers/gill netters/small size mechanized boats)	
1.12.	Number of boats landed during peak season:	
1.13	Number of fishing days:	
1.14	Major types of fishery products and average quantity landed per day:	
1.15	Provide annual landing details	
1.16	Name and qualification of Hygiene Inspector(s) appointed to supervise hygiene and sanitation:	
1.17	Number of workers	
2.	**Premises**	
2.1.	Whether the landing centre/ fishing harbour is located away from polluted environment and is free from undesirable smoke, dust, other pollutants and stagnant water?	
2.2.	Are the premises kept clean?	
2.3.	Whether entry of unauthorised person(s) into the premises is restricted?	
3	**Infrastructure facilities**	
3.1.	Whether adequate working space is provided for hygienic handling of fishery products?	.
3.2	Whether suitable covering is provided for the landing centre / fishing harbour to protect fishery products from environmental hazards such as sun light, rain, wind blown dust etc.?	

3.3	Are the floor and walls smooth and easy to clean and disinfect? Whether the floor has sufficient slope for proper drainage and to avoid stagnation of water?	
3.4.	Whether drainage lines of adequate size and slope are provided to remove waste water, the out let of which is not open to the sea near the landing berth?	
3.5.	Are sufficient artificial lights provided with suitable protective coverings?	
3.6	Whether sanitary facilities are provided at appropriate places for hand washing with sufficient number of washbasins, soap, disinfectants and single use hand towels?	
3.7	Whether appropriate number of flush lavatories provided outside the landing sites /auction centers?	
3.8	Are the utensils and equipment used to handle fish and fishery products smooth and made of corrosion free material which are easy to clean and disinfect and are kept in a good state of repair and cleanliness?	
3.9	Whether the landing site constructed in such a way to avoid entry of exhaust fumes from vehicles?	
3.10	Whether suitable mechanism adopted to prevent entry of birds/ other pests inside the landing platform, auction areas and other storage areas?	
4	**Water & Ice management**	
4.1.	What is the source of water used for washing fishery products and fish contact surfaces?	
4.2.	Whether adequate quantity of potable water or clean sea water is available in the landing sites for cleaning and sanitation?	
4.3.	What is the source of ice used for chilling fishery products meant for export?	
4.4.	Whether provision for hygienic handling and storing of sufficient quantity of good quality ice is available?	
4.5	Is there ice plant(s) attached to the fishing harbour? If so, is it approved by EIA?	
4.6	a) Whether ice crusher is available? b) If so, whether the crusher is maintained hygienically and is free from corrosion?	
5	**Auction Hall**	
5.1.	a) Whether separate auction hall(s) is provided for display and sale of fishery products?	
5.2	If so, whether it is well protected from entry of pests / insects?	
5.3	Whether the auction hall has adequate light and ventilation?	
5.2	Whether raised platforms which are smooth, easy to clean and disinfect are provided for display of fishery products?	
5.3	If not, specify the provision given to ensure that fishery products will not come in contact with the floor directly?	
6	**Good hygienic practices**	
6.1	a) Is the landing site/fishing harbour maintained hygienically? b) Whether cleaning and sanitation is implemented at all areas of the landing site on a laid down frequency to avoid cross contamination?	
6.2	Whether hygiene inspector is deputed to supervise cleaning & sanitation and also monitor quality of fishery products?	
6.3	Are the floors, walls, partitions, ceilings, utensils, instruments and other food contact surfaces kept in a satisfactory state of cleanliness and repair?	
6.4	a) Whether all the surfaces coming in contact with fishery products are cleaned before and after each sale? b) Whether the crates/utensils cleaned and rinsed inside and outside with potable water or clean sea water and disinfected before use?	
6.5	Are detergents/disinfectants stored in a suitable place away from fish handling area?	
6.7	Are sign boards prohibiting smoking, spitting, eating, drinking etc. inside the landing sites exhibited at prominent positions?	
6.8	a) Are fishery products properly iced using good quality ice made up of potable water so as to maintain the core temperature of fishery products below 4ºC? b) Whether refrigerated room of adequate size for storing fishery products provided as applicable?	
6.9	Whether proper waste management system is adopted to remove solid and liquid wastes immediately after its formation so as to avoid cross contamination?	
6.10	Whether separate area is earmarked for storage of fishery products unfit for human consumption?	
6.11	Is the pest management adequate?	
6.12	Are the toxic chemicals stored in lockable cupboards?	
6.13	Whether the workers engaged in handling fishery products maintain highest degree of cleanliness?	

6.13	Do they wash hands properly before and after handling fishery products, ice and food contact surfaces?	
6.14	Whether workers adopt good personal hygiene practices to avoid contamination of fishery products?	
6.15	Whether the hygiene inspector is responsible to monitor personal hygiene practices of the employees strictly?	
7	**Inspection and testing**	
7.1	Whether hygiene inspector conducts random checking of fishery products meant for export for organoleptic factors, including the core temperature to ensure chilling of fishery products below 4ºC and maintains records?	
7.2.	Whether sea water used for cleaning of fishery products/ food contact surfaces is tested for TPC, Coliforms, V. cholerae in EIA lab/ EIC approved lab on a laid down frequency?	
7.3	Whether fresh water and ice are tested for all factors as per IS 4251 (except radiological factors)?	
7.4	Whether swabs taken from food contact surfaces tested on a laid down frequency for TPC and Coliforms?	
8	**Records**	
8.1.	Are records of fishing vessels landed and variety wise details of fishery products supplied by each vessel to the approved establishments maintained?	
8.2.	Whether the hygiene inspector is monitoring the fishing vessels during berthing on a laid down frequency to assess the hygienic condition/ infrastructure of the vessel, quality/ quantity of ice used etc. and maintaining records?	
9	**Any other relevant information**	

Recommendations of the Assessment Panel of Experts (APE)	
Name of the Landing site/Fishing harbor	
Location	
Approval No.(if already allotted by EIA)	
Nature of activities of the Landing site / Fishing harbor	To handle, display and / or auction wild caught fishery products meant for export
The above landing centre / fishing harbour **may not be approved / approval may not be renewed** to handle, display and / or auction wild caught fishery products meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet.	
Or	
The above landing site/ fishing harbour **may be approved/ approval may be renewed** to handle, display and/or auction wild caught fishery products meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995	
Wild caught fishery products permitted be to handled, displayed and/or auctioned for export	Crustaceans Fishes Cephalopods Others (Specify) ……..
Number of boats permitted for landing	
Type of boats permitted for landing	
Average quantity of fishery products landed per day	
Other remarks, if any:	

Signature …… …… ……

Name …… …… ……

Designation …… …… ……

Organization …… …… ……

Date …… …… ……

ANNEXURE 8

EXPORT INSPECTION AGENCY – CHENNAI / DELHI / KOCHI / KOLKATA / MUMBAI
(MINISTRY OF COMMERCE & INDUSTRY)
GOVERTNMENT OF INDIA
ASSESSMENT REPORT OF FISHING VESSEL
(For approval / renewal of approval)

Date:

Type of visit: Assessment Panel of Experts (APE)

Composition of Assessment Panel

Sl. No.	**Name of the Expert**	**Designation**	**Organization**
1			
2			
3			
4.			

1.	**General Information**	
1.1	Name and address of the organisation/ person seeking approval of Fishing Vessel with phone no., Fax No & e-mail address	:
1.2.	Name and address of most responsible person with designation, phone no, fax no. And e-mail address	:
1.3	Registration Number allotted to the vessel by the authority concerned:	:
1.4.	Is the fishing vessel owned or leased?	:
1.5	If leased, name & address of the owner of the vessel	:
1.6.	Address for communication / address of registered office.	:
1.7.	Area of operation of the vessel (pelagic /deep sea etc.)	:
1.8.	Type of fishing vessel, length of the vessel and power of the engine:	:
1.9.	Nature of fishing activities (Trawling/Gillnetting/line fishing etc.)	:
1.10.	Is the vessel designed for fishing a) Less than 24 hours? b) More than 24 hours?	:
1.11	Whether fish detection equipment installed? If so specify the type.	:
1.12	Whether chilling unit installed? If so, what is the capacity?	:
1.13	Specify the fishing gear used	:
1.14	What is the capacity of the hold?	:
1.15	Whether hold is separated from engine room properly?	
1.16	No. of personnel employed in the vessel	:
2.	**General hygienic conditions**	
2.1	Whether fish is handled hygienically taking maximum care to avoid damage to the fish?	:
2.2	a) Whether spiked instruments are used for handling fishes? b) If so, whether such instrument damages the flesh of the fishery product?	
2.3	Whether hold(s) / containers of sufficient size provided to store fishery products at a temperature approaching that of melting ice?	:
2.4	Is it ensured that while storing fishery products melt water does not remain in contact with fishery products?	:
2.5	Whether the storage section is protected from possible contamination with fuel used in the vessel or with bilge water?	:
2.6	Are containers used for the storage of products designed to ensure their preservation under satisfactory conditions of hygiene and in particular, allow drainage of melt water?	
2.7	Whether the fishery products are dumped directly on the deck after procurement? If not, specify the procedure adopted	:
2.8	Whether fish receiving deck is smooth, clean and free from engine oil , grease, diesel etc.?	

2.9	Are artificial lights provided on the deck and in the hold with protective covers?	
2.10	Whether there is provision made to protect the material on board from sun?	:
2.11	What is the source of water used for washing the fish and fish contact surfaces?	:
2.12	Whether the quality of water used is ensured?	:
2.13	What is the source of ice used for chilling fishery products?	
2.14	Whether ice is procured from EIA approved ice plants or establishments?	
2.15	Whether ice and water are handled and stored hygienically to avoid contamination?	
2.16	a) Is there a system of chilling fishery product in cooled sea water? b) If so, specify the chilling capacity, temperature achieved and chilling rate.	:
2.17	Whether there is documented schedule for cleaning containers, equipment and storage section of vessels which are in direct contact with fishes?	:
2.18.	Whether the containers and the equipment in contact with fishery product are made of non-corrodible materials which are water proof, resistant to decay, smooth and easy to clean and disinfect?	:
2.19	Whether the staff assigned to handle fishery product are apparently free from communicable diseases?	:
2.20.	Do the workers follow good personal hygiene practices?	:
2.21	Whether the workers are provided with clean working clothes?	:
2.22	Whether hand washing and toilet facilities provided?	
2.23.	Is the pest control adequate?	:
2.24.	Are there lockable cup-boards/premises for storing cleaning agents and disinfectants?	:
2.25	Whether details of fish caught and supplied to approved establishment are given to hygiene inspector of landing site?	:
2.26	Whether Catch certificate details are maintained by the vessel?	
3	**Any other matter**	
	Recommendations of the Assessment Panel of Experts	
	Name of the Fishing Vessel and registration number	
	Location	
	Approval No., if already allotted by EIA	
	Nature of activities of fishing vessel	To catch, chill, handle and supply wild fish & fishery products for export purpose.
	The above fishing vessel may not be approved / approval may not be renewed to procure and handle wild caught fishery products meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet.	
	Or	
	The above fishing vessel may be approved / approval may be renewed to procure and handle wild caught fishery products meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995	

Name			
Signature			
Organisation			
Date			

ANNEXURE - 9

EXPORT INSPECTION AGENCY –KOCHI / MUMBAI / CHENNAI / KOLKATA
(MINISTRY OF COMMERCE & INDUSTRY)
GOVERTNMENT OF INDIA

ASSESSMENT REPORT – 1
(FACTORY VESSEL / PRE PROCESSING CENTRE (INDEPENDENT / DETACHED) / ESTABLISHMENT)

Date :

Type of visit : Assessment Panel of Experts (APE)

Composition of APE

Sl. No.	Name of the Expert	Designation	Organisation
1			
2			
3			

1.	**General Information**	
1.1.	Name and address of the factory vessel / pre-processing centre (independent / detached) / establishment , seeking approval with phone number, fax no & e-mail address	
1.2.	Name and address of the registered office with phone number, fax no & e-mail address	
1.3.	Name of the Chief Executive, with telephone, fax & e-mail (MD/Mg. Partner/Proprietor)	
1.4.	Is the facility owned or leased by the applicant	Owned / leased
1.5.	If leased, name of the plant owner, plant name and address. (attach the attested copy of agreement)	
1.6.	Year of Construction	
1.7.	Year of last major alteration	
1.8.	a) Approval requested to process F&FP for export to (Countries) b) to pre-process F&FP for supply to approved establishment for export to (Countries)	a. All countries including the European Union & Russian Federation b. Countries other than EU & Russia
1.9.	Scope of approval applied for a. Fresh / Chilled F&FP b. Raw Frozen F&FP (IQF/Block Frozen/ IF) c. Blanched/Cooked & Frozen F&FP d. Freeze dried fishery products e. Vacuum packed/ /Flexible pouch packed/ canned F&FP f. Acidified Fishery products g. Dried/ salted & dried FFP h. Dried fish maws i. Pre-processing of F & FP to supply pre-processed material to main establishment / approved establishments for further processing and exports j. Any other Item (pl. specify)	
1.10.	Additional activities, if any	
1.11.	Whether all year / seasonal production / activity?	

1.12	No. of working hours per day	
1.13	No. of working days per week	
1.14	In case of factory vessels provide the registration number allotted by MMD/Department of Fisheries / Port Trust Authority / other authority (Provide the copy of the registration certificate)	
1.15	Area of operation of the vessels with details of berthing	
1.16	Nature of fishing activities (Trawling / Gillnetting / line fishing etc.)	
2.	**Information on infrastructure**	
2.1.	No. of pre-processing halls	
2.2.	Whether pre-processing facilities integrated to the main establishment?	
2.2 (a)	Specify whether the PPC is independent, detached or integrated to the establishment.	
2.3.	If detached, give address (es) and distance from the main establishment	
2.4.	Whether the establishment has any other detached PPC? If so, is the same approved by EIA?	
2.5.	If not, whether application for approval has been filed?	
2.6.	Number of workers employed in PPC	
2.7.	Is it sufficient in relation to the total production capacity of the establishment/ PPC?	
2.8.	Does the factory vessel/ PPC/establishment have own ice plant	
2.9.	If so, is it integrated?	
2.10.	If separate, give address (es) and distance from the establishment	
2.11.	If separate, is it approved by EIA or application for approval has been filed? What type of ice is produced? (Block, tube, flake etc.)	
2.12.	What is the total capacity of the ice plant(s) owned by the factory vessel/ PPC/ establishment (give details)	
2.13.	Whether ice is obtained from external source?	
2.14.	If so, address (es) of the ice plant(s) from where ice is obtained?	
2.15.	Are they approved by the Competent Authority (CA)?	
2.16	Number and capacity of the chill room(s)	
2.16 a)	Number and capacity of the cold/Frozen Storage(s)	
2.17	Specify location of chill room (Pre-processing section/ processing section)	
2.18.	Is the cold storage integrated to the unit?	

2.19.	Is it sufficient in relation to the total production and frequency of shipments?	
2.20.	If not, does the establishment utilise external cold storage facility?	
2.21.	If so, the address (es) of such cold stores	
2.22.	Are such cold stores approved by the Competent Authority?	
2.23.	No. of vehicles the PPC/ establishment has for transportation of raw material, finished products, ice and water (as applicable) Number, capacity and registration number of :	<table><tr><th>Number</th><th>Capacity</th><th>Regna. No.</th></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr><tr><td></td><td></td><td></td></tr></table>
	(a) Refrigerated Vehicle	
	(b) Insulated Vehicles	
	(c) Non-insulated Vehicles	
	(d) Three wheelers	
	(e) Water Tanker	
2.24.	Does the PPC/establishment hire outside vehicles? (Give details)	
3.	**Information about personnel**	
3.1.	No. of technologists available in the factory vessels / pre-processing centres / establishments	
3.2.	Name and qualification of the technologist(s) competent personnel supervising pre-processing/ processing activities	
3.3.	Name and qualification of the technologist(s) conducting microbiological and chemical analysis	
3.4.	No. of supervisors	
3.5	No. of male workers	
3.6.	No. of female workers	
3.7.	No. of shifts per day and duration of each shift:	
4.	**Raw Material**	
4.1	Specify the type of raw materials used for processing	
4.1 a)	Source of Raw Material other than fishery products	
4.1 b)	Whether the raw material of fishery Products used are Sea caught, aquaculture or both	
4.1 c)	Particulars of the fishing vessel(s) from which raw material is procured:	
4.2.	Specify the location of the landing centre(s) from where raw material is procured:	
4.2	a) Name, address & registration No of aquaculture farm from where raw materials are received.	
	b) Are the raw materials procured, transported & stored in smooth containers so designed to prevent	

	contact with melted ice?	
4.3	Mode of transportation of raw material from source to pre-processing	
4.4.	Are the raw material maintained below 4ºC during procurement / transportation and receiving at the unit?	
4.5	a) Whether arrangements have been made to ensure that the aquaculture farms from where raw materials are being procured are not using banned antibiotics / chemicals and are free from industrial contaminants. b) Whether pre-harvest testing is done?	
4.6.	Are the raw materials being tested for bacteriological/chemical/ antibiotics contaminants at laid down frequency and the same is addressed in the HACCP manual?	
4.7.	Is there any arrangement for traceability of the raw material up to procurement source? (Give details)	
4.8	Are the records for the above maintained properly?	
5.	**Surroundings (applicable to PPC & establishment)**	
5.1.	Whether the premises have defined curtilage?	
5.2.	Are the premises clean?	
5.3.	Is there any area within the premises of the facility, which is non-operative?	
5.4.	If so, is it cordoned off effectively?	
5.5.	Are there any swamps, stagnant water or dumps nearby?	
5.6.	Whether rubbish and offal are collected and disposed of properly?	
5.7.	Are the roads in the premises concreted/tarred or turfed to prevent wind-blown dust? (not applicable to factory vessels / freezer vessels)	
5.8.	Are there signs of any rodent harborage nearby?	
5.9.	Is there a documented system, including the bait map, for rodent control?	
5.10.	Are there any animals housed nearby?	
5.11.	Are the surroundings reasonably free from objectionable odours, smoke, dust and other contamination?	
6.	**Construction and Layout**	
6.1.	Is the building construction of permanent nature?	
6.2.	Is the design and layout such as to preclude contamination?	
6.2(a)	In case of Factory vessel, whether it is designed and constructed so as to avoid contamination of the products with bilge water, sewage, smoke, fuel, oil, grease	

	or other objectionable substances?	
6.3.	Does the layout facilitate free flow of work and avoid backtracking?	
6.4.	Is the facility kept in good repair?	
6.5.	Is there proper maintenance schedule?	
6.6.	Does the building provide sufficient protection against the entry and harborage of rodent, insects, birds etc.?	
6.7.	Does the layout ensure sufficient space in different sections for machinery, equipment, personnel etc. without congestion?	
6.8.	Is there clear separation between processing and living areas?	
7.	**Plant facilities**	
	Are there adequate facilities for the following?	
7.1.	Storing inedible material, disinfectants and insecticides?	
7.2.	Storage of wet and dry items?	
7.3.	Storing packaging material?	
7.4.	Rest Room for workers?	
7.5.	Changing room for male & female workers?	
7.6.	Vehicle washing facility? (not applicable to factory vessels)	
7.7.	Water treatment plant? (not applicable to cold storages)	
7.8.	Alarm system to give warning in case of power failure?	
7.9.	Generator	
7.10.	Sufficient no. of toilets	
8.	**Raw Material Receiving Section**	
8.1.	Is there a raised platform with sides and top sufficiently protected to prevent contamination while unloading the raw material?	
8.2.	Is the raw material receiving section sufficiently separated from processing area to prevent contamination?)	
8.3	Is air curtain or any other device provided at the chute to prevent the entry of flies when the door is opened?	
8.4	Are fly killers provided?	
8.5	In the case of factory vessel, whether a reception area is provided for receiving fishery products on board which is designed and arranged into ponds or pens that are large enough to allow each successive catch to be separated. The reception area and its movable	

	parts must be easy to clean and disinfect. It must be designed in such a way as to protect the products from the sun, pest, dirt or contamination?**.**	
8.6	In the case of factory vessel, whether a suitable system for conveying fishery products from the reception area to the work area that conform with rules of hygiene is provided?	
9.	**Entry Points**	
9.1.	Is suitable washing and sanitizing facility for feet and hands provided at all the entry points?	
9.2.	Is the hand washing facility located at a convenient place?	
9.3.	Are the washbasins provided with foot-operated taps?	
9.4.	Are liquid soaps, disinfectants, nailbrush and single use towels/hand dryers provided in sufficient quantities?	
9.5.	Are waste bins provided for collecting used towels and are foot operated?	
9..6	Is hand dip facility with approved disinfectants provided near the entrance with appropriate levels of disinfectants?	
9.7	Whether signboards directing to wash & sanitise the hand & foot are exhibited.	
9.8	Whether fly killer are provided?	
9.10	Whether air curtain provided at all entry points?	
10.	**Doors (All sections)**	
10.1.	Are the doors of all sections clean and sufficiently wide, made of durable material other than wood and are kept clean?	
10.2.	Are the doors self-closing type & tight fitting without any gaps?	
11.	**Windows (All sections)**	
11.1.	Are the windows in all sections of adequate size, made of non-absorbent material other than wood and kept clean?	
11.2.	Does the window Sill, if any, sloped inwards?	
11.3.	Are the windows at least one meter above the floor and have fly proofing nets to prevent the entry of flies?	
12.	**Floor (All sections)**	
12.1	Is the floor in all sections made of hard surface, impermeable, smooth, free from pits and crevices?	
12.2.	Is the floor cleanable and having sufficient slope?	

12.3.	Is the slope of floor opposite to the flow of work or sideways?	
12.4.	Are pallets made of non-absorbent material other than wood provided on the floor for keeping containers of ice and raw/process material?	
13.	**Drainage (All sections)**	
13.1	Is drainage facility at all sections adequate?	
13.2	Is open end of the drain protected against entry of rodents?	
13.3	Is there facility for conveying waste water into the drains so as to maintain the floor dry?	
13.4.	Are the drains of adequate size, having sufficient slope and easily cleanable?	
13.5.	Is the slope of drain opposite to the flow of work/material?	
14.	**Walls (All sections)**	
14.1.	Are the floor to wall and wall-to-wall junctions properly rounded off in all sections?	
14.2.	Are the walls smooth, light colored and without crevices?	
14.3.	Are the walls washable?	
14.4.	Are the switches and other installations on the wall water-proof and cleanable?	
15.	**Washing and Cleaning**	
15.1.	Are suitable hand washing and sanitizing facilities provided inside the processing & preprocessing halls?	
15.2.	Are the washbasins provided with foot-operated taps?	
15.3.	Is all water taps having hose connection is fitted with non-return valve?	
15.4.	Are the water taps serially numbered?	
15.5.	If hoses are used as outlet for water, whether facility is provided to keep it rolled up when not in use?	
16.	**Ceiling (All sections)**	
16.1.	Is the ceiling at all sections in good repair and cleanable?	
16.2.	Do overhead rafters offer any runway for lizards, cockroaches etc.?	
16.3.	Are there beams, trusses, pipes or other structural elements and fittings suspended below the ceilings?	
16.4.	If so, whether there is protection from falling debris, dust or dripping?	

17.	**Lights (All sections)**	
17.1.	Is there adequate lighting?	
17.2.	Are the lights sufficiently protected & kept clean?	
18.	**Ventilation (All sections)**	
18.1.	Is there adequate ventilation/ air conditioner?	
18.2.	Is mechanical ventilation/exhaust fan provided in areas where air stagnation, condensation of fluids etc. are present?	
18.3.	Is opening of ventilation/exhaust fan provided with fly proofing?	
18.4.	Is such fly proofing clean?	
19.	**Utensils and Equipment**	
19.1.	Are all receptacles, trays, tanks, vats and utensils used made of non-corrodible material and have smooth surface free from cracks and crevices?	
19.2.	Are they easily cleanable & disinfect-able?	
19.3.	Is any rusted galvanized iron vessel, bamboo baskets, wire-mesh containers, enameled or painted wares used for handling the product?	
19.4.	Are weighing scales and weights certified by the designated authority?	
19.5.	Is ice crusher/flake ice machine provided?	
19.6.	Is it maintained clean and free from rust?	
20.	**Chill Room (s)**	
20.1.	Are chill room (s) provided for storing raw/process material?	
20.2.	Is it kept clean and maintained at temperature range of 0ºC to 4°C	
20.3.	Is it provided with pallets made of non-absorbent material other than wood for keeping containers of raw material and ice?	
21.	**Pre-processing Centre/Section**	
21.1.	Are there signboards directing the employees to wash and sanitize hands and feet before entering the pre-processing hall and after each absence?	
21.2	Is air curtain/fly killers provided to prevent the entry of flies when the door is opened?	
21.3	Is the pre-processing hall has sufficient lightening and ventilation?	
21.5	Whether tables are provided with running water system?	
21.6	Whether water from the tables is directly drained to the drainage?	
21.7	Are the work table tops constructed of	

	stainless steel or any other non-corroding, non-contaminating, non-reacting and non-absorbent material (specify)?	
21.8	Are the tables so constructed and installed that the top and under surface can be easily cleaned?	
21.9	Are the table tops smooth, free from corrosion, pits and crevices and can be cleaned easily?	
21.10	Are all receptacles, trays, vats and utensils used made of non-corrodible material, other than wood and have smooth surfaces free from cracks and crevices?	
21.11	Are they easily cleanable?	
22.	**Processing Section (applicable to factory vessels/establishments)**	
22.1.	Are there signboards directing the employees to wash and sanitize hands and feet before entering the processing hall and after each absence?	
22.2	Is air curtain / fly killer provided to prevent the entry of flies when the door is opened?	
22.3	Is the processing hall is so designed to have easy flow of work?	
22.4	Is the processing hall has sufficient lighting & ventilation?	
22.5	Is it having sufficient tables made of non-corrosive, non-absorbent materials?	
22.6	Whether cooking, blanching, pasteurisation etc. are being done in the factory?	
22.7	If so, are the time/temperature controls properly validated by an approved Agency?	
23.	**Flow of Work**	
23.1	Is the layout of workflow unidirectional?	
23.2	Is there any chance of cross contamination/ backtracking?	
23.3	Is the high risk area, if any, precluded from low risk area?	
23.4	Are there separate workers for low risk and high risk areas, if the processing condition warrants such arrangements?	
24.	**Water and Ice**	
24.1	Is there a documented water management system?	
24.2	Whether plumbing diagram of the water supply system available with the outlets identified and serially numbered?	
24.3.	What is the source of water?	
24.3 (a)	In case of factory vessel, specify whether potable or clean sea water used? If sea water used, whether the water intake is from non-polluted areas?	
24.4	Whether portability certificate produced for each source of water as per	

	specification?	
24.5	If more than one source of water supply is used, are they tested separately?	
24.6	Whether water used for processing meets the standards stipulated in EC Directive No. 98/83/EC or IS: 4251(except radiological factors)	
24.7	Whether relevant test records available?	
24.8	If non-potable water is used, is there any cross connection of potable and non-potable water?	
24.9	Are the water pipes of potable and non-potable water distinguished by different colour codes?	
24.10	Is the water used for processing chlorinated to the accepted levels? (Less than 2ppm)	
24.11	What is the system of chlorination?	
24.12	Whether water used for cleaning equipment, floors, etc. is of potable quality?	
24.13	Is there a water treatment plant?	
24.14	If so, is it adequate to provide sufficient quantity of water for processing?	
24.15	If hoses are used as outlet for water whether non-return values are fitted to the taps to prevent contamination through back suction?	
24.16	Is there a water storage tank and if so, whether it is protected from outside contamination?	
24.17	Is there easy access to the water tank for cleaning?	
24.18	What is the capacity of the water storage tank(s)?	
24.19	Is the water supply sufficient in relation to the maximum daily production?	
24.20	What is the frequency of cleaning & disinfestations of the water tanks?	
24.21	Whether there is a documented procedure for cleaning water tank(s)?	
24.22	Is water brought from external source in mobile water tankers?	
24.23	If so, are the water tankers cleaned and disinfected periodically; what is the frequency?	
24.24	Whether there is documented procedure for water tanker cleaning?	
24.25	Is the ice used made from potable water as per norms? (To be supported by document)	

24.26	Is there adequate facility for hygienic handling and storage of ice?	
24.27	If ice is obtained from different sources, are they tested separately and records maintained?	
25.	**Salt/Chemicals/Additives**	
25.1	Whether salt, if used in activity / processing, is it tested for the presence of coagulase positive Staphylococci and Sulphite reducing Clostridium and records maintained thereof?	
25.2	If any other additive / chemical is used in activity / processing, is it approved by the competent authority?	
25.3	Are records maintained regarding the traceability and purity of additives/chemicals used in activity / processing?	
25.4	Whether fishery products prepared at establishments are tested for heavy metals, antibiotics, pesticide residues and biotoxins and other chemicals and records maintained?	
25.5	Does the HACCP Plan suitably address these requirements?	
26	**Method of preservation**	
26.1	Specify the method used to preserve fishery products.	
26.2	If the product is pasteurized, specify the type of pasteurizer used with capacity	
26.3	If the product is vacuum packed, specify the type of vacuum packing.	
26.4	Source of cans/ trays / bags used for vacuum packing	
26.5	Are the cans coated with lacquer of good quality in adequate thickness? Whether cans/trays/bags used for vacuum packing are of food grade quality?	
26.6	If the product is dried, specify the type of drying	
26.7	If mechanical drying, specify the type and number of drier(s), with capacity & time taken for drying. Give details of validation of drier	
26.8	Specify the level of moisture of the product to be achieved after drying	
26.9	Details of calibration of equipment used for measuring temperature, moisture etc.	
26.10	Is drying method employed is appropriate to the product requirements?	
26.11	If sun/ natural drying is used, whether the area identified for drying is constructed in such a way to preclude contamination.	
26.12	Whether sufficient precaution is taken to prevent the entry of flies, dust, pest into the drying area	
26.13	Specify the procedure adopted for sun drying. Whether precaution is taken to prevent the fish from touching the floor or any other unclean surfaces during drying	
26.14	Whether proper exhaust facilities are provided in the drying area to avoid condensation/ excess humidity	
26.15	If salting is done before drying, whether the room identified for salting is sufficiently separated from other rooms	

	and provided with proper ventilation & exhaust facilities	
26.16	Whether adequate drainage system is provided so that the salt water/ oozed out water from the fish will drain directly to the drainage	
26.17	If the product is preserved by acidification, specify the method used to acidify the product including the type of additives with quantity	
26.18	Specify the type of packing used for acidified products.	
26.19	If freeing is used, specify type of freezing employed (Number & individual capacity	Tunnel freezing: Contact freezing: IQF: Any other types 9specify):
26.20	Is the freezing method employed appropriate to product requirements?	
26.21	Is the freezing capacity adequate for production requirements?	
26.22	Are the gauges and thermometers in working order and calibrated at a laid down frequency?	
26.23	Specify time taken for reducing the core temperature of the product to -18°C or below?	
26.24	Is a log book maintained for freezers?	
26.25	Are there prescribed procedures / schedule for maintenance, cleaning and disinfections of freezers?	
26.26	If chilling is used as preservation method, specify the chilling media used with quantity	
26.27	Specify the type of packing and the type of packing materials used	
26.28	Specify the core temperature of the product after chilling	
26.29	Whether core temperature is monitored to ensure uniform and adequate chilling during packing and storing	
27	**Packaging (Not applicable to PPC)**	
27.1	Is separate area provided for packing?	
27.2	Specify the type of primary/ secondary packages used	
27.3	Specify the labeling / stenciling procedure used for marking the cartons	
27.4	Whether precautions is taken to ensure that printed matter, marking ink, marker etc. do not come in contact with food or food contact surfaces	
27.5.	Does the packing room have rodent control system?	
27.6	Is there separate and suitable room for storage of packing materials?	
27.7	Is it fly, rodent and vermin proof?	
27.8	Does the documented rodent control system extend to store for packing material also?	
27.9	Are the walls clean and free from moisture and fungus?	
27.10	Are the packing materials stored away from the walls, ceiling in such a way as to allow a person to move around for	

	inspection?	
26.11	Are the packing materials stored without touching the ceiling & walls and covered properly to avoid contamination?	
27.12	Is the packing material store provided with pallets made of non-absorbent material other than wood or any other suitable arrangement to prevent packing material being placed directly on the floor?	
28	**Storages**	
28.1	If the final product is stored in ambient temperature, whether storage room identified for storing is constructed in such a way to prevent contamination	
28.2	Whether provision given in the storage room to store the materials without touching the walls & floor ?	
28.3	If the material is stored in cold store, specify the capacity of cold storage and whether same is adequate?	
28.4	Is cold storage provided with self-recording thermograph or data logger?	
28.5	If data logger is used whether same calibrated and is complying with EN 12830, EN13485 and EN 13486 standards?	
28.6	Is the thermograph calibrated at laid down frequency?	
28.7	Is the sensor of the thermograph/data logger located at the warmest place away from diffuser?	
28.9	Whether the materials are stored properly without touching the walls and maintaining proper air flow	
28.10	Is the floor of the cold storage waterproof, easy to clean and disinfect?	
28.11	Is there adequate lighting with protective covers?	
28.12	Is there any frost or ice formation on the walls, ceilings or stored material?	
28.13	Is the store provided with alarm bell?	
28.14	Whether cold storage has proper defrosting system?	
28.15	Is there air curtain or blinds at the entrance of ante-room and cold storage?	
28.16	Is an ante-room of suitable size provided and maintained properly?	
27.17	Are the cold storage workers provided with clean protective clothing?	
28.17	Does the documented rodent control system extend to cold store and ante-room also?	
28.18	Whether the dispatch area is provided with suitable facilities to prevent entry of flies, dust & pest?	
29.	**Toilet Facilities**	
29.1	Is the number of toilets provided in relation to the total number of workers?	
29.2	Are the toilets located away from the processing / activity area to prevent contamination?	
29.3	Whether the toilet rooms have walls washable, ceiling smooth and floors	

	constructed of impervious material, and easy to clean and sanitize?	
28.4	Are the toilets well lit?	
29.5	Are they provided with self-closing doors, fly-proofing and flushing arrangements?	
29.6	Are hand washing and sanitizing facilities, with wash-basins, soap, single use towels, nail brushes and adequate water supply provided near the toilets?	
29.7	Are the taps of the wash basin non hand operable?	
29.8	Is waste bin provided for collecting used towels?	
29.9	Are there sign boards directing employees to clean and sanitize their hands with soap/detergents/ disinfectants after using toilets?	
30.	**Personal Hygiene**	
30.1	Has any person been made responsible for maintenance of personal hygiene of employees?	
30.2	Are the workers apparently free from any form of communicable diseases, open sores and wounds or any other sources of contamination?	
30.3	Are the workers medically examined periodically and whether individual health cards showing that the individual is free from contiguous diseases and fit to work in fish processing plant ?	
30.4	Are prophylactic injections being administered to the plant employees and records thereof included in the individual cards?	
30.5	Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhea or any other communicable diseases in their homes?	
30.5	Are workers medically examined after each absence due to illness from any contagious disease?	
30.6	Are the workers provided with sufficient sets of clean work dress and headgears?	
30.7	Cleaning and Disinfection of plant, equipment and utensils	
30.8	Is there a documented procedure for cleaning and disinfections of plant, equipment and utensils?	
30.9	Is the cleaning schedule exhibited prominently?	
30.10	Is there an area earmarked for cleaning and disinfection of utensils and equipment?	
30.11	Are facilities of cold/hot water/steam under pressure, wherever appropriate, provided for cleaning and disinfection?	

30.12	Is any person made responsible for supervising this work?		
30.13	Is the effectiveness of cleaning verified periodically through laboratory tests?		
31.	**Changing Room**		
31.1	Are separate changing rooms of adequate size proportionate to the number of workers provided for male and female workers?		
31.2	Whether changing room is integrated into the plant layout properly?		
31.3	Does the changing room have smooth walls, floors and wash basins with liquid soap, disposable paper towels, nail brushes and non-hand operable taps?		
31.4	Whether there is arrangement for :		
	a)	Change of footwear	
	b)	Keeping street clothes separately	
	c)	Lockable cupboards	
	d)	Collection of soiled working clothes	
	e)	Gumboots	
	f)	Headgear and wherever necessary gloves/ mouth cover	
31.5	Is there suitable in-house arrangement to launder the working clothes of the workers?		
31.6	Is the changing room provided with flush lavatories? Is it kept clean and sanitized?		
31.7	Does the door of the lavatory open directly to processing area?		
32.	**Effluent Treatment (Not applicable to Factory vessel)**		
32.1	Is the unit having an efficient effluent treatment system?		
32.2	Does it comply with the statutory requirements?		
32.3	Does the effluent cause any problem to neighborhood?		
33	**Maintenance Schedule**		
33.1	Whether there is a documented maintenance procedure for different sections/equipment/ Machinery, laboratory items etc.		
33.1	Whether maintenance records are kept?		
33.2	Whether all the equipment are marked with identification number?		
34.	**HACCP**		

34.1	Has the own check system based on HACCP implemented?	
34.2	If so, has the HACCP manual been submitted to the competent authority for approval?	
34.3	Whether all the SSOPs are included in the HACCP manual?	
34.4	Whether process flow charts with products description and manufacturing details are given in the HACCP manual?	
34.5	Whether Plumbing diagram of water showing serially numbered taps is given in the HACCP manual?	
34.6	Whether persons responsible have been identified?	
34.7	Whether records are maintained for this purpose?	
34.8	Whether the frequency of monitoring of critical limits at CCP is adequate as evidenced by the actual observation?	
34.9	Whether breakdowns and malfunctions are recorded?	
34.10	Whether there is a provision to review and revise procedure and frequency?	
35.	**Rodent/Vermin Control**	
35.1	Is there any documented procedure for vermin control?	
35.2	Whether responsibility has been fixed for this work?	
35.3	Whether vermin/rodent control carried out by own arrangement or through outside agency?	
35.4	Whether bait map showing serially numbered bait stations has been provided?	
35.5	Whether chemical/rodenticides are approved by the competent authority?	
36.	**Transportation** (Not applicable to Factory Vessels)	
36.1	Is the unit having adequate facilities for transport of raw material and finished products?	
36.2	If non-insulated covered vehicles are used for transport of raw material for short distances, whether insulated boxes are provided?	
36.3	Are the vehicles insulated/refrigerated?	
36.4	Are they constructed in such a way to facilitate easy cleaning and sanitization?	
36.5	Is there separate arrangement for cleaning and sanitization of transport vehicles?	
36.6	Are the records of the above maintained?	
36.7	Whether such arrangement creates environmental problems?	
36.8	Are the vehicles cleaned and disinfected periodically?	

36.9	Whether there is a documented procedure for cleaning the vehicles?	
37.	**Inspection and Testing**	
37.1	Is the unit having in-house facilities for inspection and testing?	
37.2	Is the unit having separate qualified and competent personnel / technologist for conducting physical, chemical and microbiological tests?	
37.3	Are there separate technologists for supervision of processing and for conducting laboratory tests?	
37.5	If in-house testing facility is not available, specify the name of the lab(s) where the own check samples are proposed to be analysed?	
38.	**Any other Information**	

Recommendations of the Assessment Panel of Experts (APE)	
Name of the facility	
Location	
Processor Code No., if already allotted by EIA	
Nature of activities of the unit	1. Packing of Fresh /Chilled F&FP 2. Freezing of raw Frozen F&FP(IQF/Block / IF) 3. Freezing of blanched /Cooked F&FP 4. Freeze drying of fishery products 5. Retort pouch packing / canning of FFP 6. Packing of acidified Fishery products 7. Drying / salting & drying of FFP 8. Drying of fish maws 9. Pre-processing of F & FP to supply the pre processed material to its main establishment / approved establishments for further processing and exports 10. Any other Item (pl. specify)
The above factory vessel / pre-processing centre (independent / detached) / establishment **may not be approved** to process fishery products for export **OR** to pre-process fishery products to supply to <u>its main establishment / approved establishments</u> for further processing, and export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet (NCR).	
Or	
The above factory vessel / pre-processing centre (independent / detached) / establishment **may be approved** to process fishery products for export **OR** to pre-process fishery products to supply to <u>its main establishment / approved establishments</u> for further processing, and export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995.	
Countries to which the above facility is eligible to process fishery products or to supply pre-processed material to establishments approved for counties	1. All countries including the European Union 2. All Non EU countries 3. All non EU countries other than Russian Federation
In case of detached PPC, specify the Name & approval of No the main establishment	
Fishery Products which may be allowed to be processed in the above facility	Shrimps and other crustaceans Cephalopods Fish Others (Specify) ……..
Whether the In-house lab of the factory vessel/PPC/establishment is recommended for approval or not. (If not recommended for approval, list the deficiencies in a sheet and enclosed as NCR)	
Operational freezing capacity or production capacity of the unit	
Other remarks, if any:	

Signature			

Name			
Designation			
Organisation			
Date			

ANNEXURE 10

EXPORT INSPECTION AGENCY –KOCHI / MUMBAI / CHENNAI / KOLKATA

ASSESSMENT REPORT No. 1 OF FREEZER VESSEL

Date of Visit :

Type of Visit : Assessment Panel of Experts (APE)

Composition of APE:

Sl. No	Name of Expert	Designation	Organization
1.			
2.			
3.			
4.			

1.	General Information	
1.1	Name and address of the establishment seeking approval of Fishing / Freezer Vessel	
1.2.	Name of the fishing Vessel/Freezer Vessel	
1.3	Registration Number allotted by Department of Fisheries / other authority	
1.4.	Is the fishing / freezer vessel owned by the establishment?	
1.4.1	If not, name & address of the owner (provide copy of lease agreement)	
1.5.	Address for communication/ Address of the registered office.	
1.6.	Area of operation of the vessel with details of landing centres	
1.7.	Name and designation of the person responsible for fishing vessel	
1.8.	Nature of fishing activities (Trawling/Gillnetting/line fishing etc.)	
1.9.	Is the vessel designed for fishing (a) Less than 24 hours? (b) More than 24 hours?	
1.10	Particulars of the vessel & facilities	
1.10.1	No. of storage sections and their capacity	
1.10.2	No. of freezers and their capacity	
1.10.3	No. of cold storage and their capacity	
1.10.4	No. of personnel employed in the vessel	
1.10.5	No. of chillers and their capacity	
1.10.6	Whether a documented own check system based on HACCP has been implemented?	
2.	General hygienic conditions	
2.1	Whether the vessel is designed & constructed in such a manner to avoid contamination of fishery products from bilge water, sewage, smoke, fuel, oil, grease etc.?	

2.2	Whether the storage section is easily cleanable?	
2.3	Whether there is provision in the storage section to ensure that the melt water does not remain in contact with fishery products?	
2.4	Whether the storage section is protected from any possible source, which is likely to transmit harmful properties or abnormal characteristics to the fishery products?	
2.5	Whether the food contact surfaces are made of corrosion resistant material that is smooth, non-toxic and easy to clean & disinfect?	
2.6	Whether there is provision made to protect the material on board from sun?	
2.7	Whether the water used is fresh water or clean sea water?	
2.8.	If fresh water is used whether Potability certificate is produced?	
2.9.	Whether spiked instruments are used for handling fishes?	
2.9.1	If so, whether such instrument damages the flesh of the fishery product?	
2.10.	Whether there is a system of chilling product during the storage?	
2.11	Whether there is documented schedule for cleaning containers, equipment and storage section of vessels, which are in, direct contact with fishes?	
2.12.	Whether beheading/gutting is carried out on board the vessel?	
2.12.1	If so, whether there are facilities for washing product with potable water/clean seawater?	
2.13.	Whether the knives and other equipment used for gutting, beheading, removing skin etc. are made of non-corrodible material (specify)?	
2.14.	Whether the containers and the equipment in contact with fishery product are made of non-corrodible material, which are waterproof, resistant to decay, smooth and easy to clean and disinfect?	
2.15	Whether the staff assigned to handle fishery product are apparently free from communicable diseases?	
2.16	Whether the workers are free from cuts, or exposed wounds?	
2.17.	Whether the workers are provided with clean working clothes?	
3.	Additional requirements applicable to fishing vessels designed and equipped to preserve fishery products on board for more than 24 hours.	
3.1.	Whether the vessel is equipped with fish holds, tanks or containers for storage of refrigerated or frozen fishery products?	
3.2	Whether such storage is capable of maintaining the required temperature?	
3.3.	Whether such storage is separated from machinery and quarters reserved for crew?	
3.4	Whether the inside of the storage is constructed with waterproof material and easy to wash and disinfect?	
3.5	Is the hold designed to ensure that the melt water cannot remain in contact with fishery products?	

3.6	Are working desks, equipment, holds, tanks and containers cleaned each time with potable water/clean sea water each time they are used?	
3.7	Is there a system for disinfections, removal of insects and exterminations of rats?	
3.8	Are there lockable cup-boards/premises for storing cleaning agents and disinfectants	
3.9	Are there separate lockable cup-boards/premises for insecticides and potentially toxic substances used, if any?	
3.10	Whether the fishery products are frozen on board?	
3.10.1	What is the type of freezers and its capacity?	
3.10.2	What is the duration of reducing the temperature of the inner core of the material to -18˚C?	
3.11.	What is the capacity of the cold storage?	
3.11.1	Whether thermograph/ data logger is provided for the cold storage?	
3.11.2	Whether the sensor of temperature recorder is located in the warmest place in the cold storage?	
3.12.	Is there chilling arrangement in the fishing vessel?	
3.12.1	What is the mechanism of chilling?	(a) Chilled by ice (b) Refrigerated by mechanical means
3.12.2	Whether the chilling tanks are equipped with adequate seawater filling and drainage installations?	
3.12.3	Whether they incorporate devices for achieving uniform temperature throughout the tank?	
3.12.4	Is a thermograph provided to the chilling tank?	
3.12.5	If so, is the sensor of the thermograph positioned where temperature is the highest?	
3.12.6	Does the operation of chilling tank secure a chilling rate which ensures the mixing of fish and seawater and attains: a) -3˚C within 6 hours after loading, and b) 0˚C within 16 hours.	
3.12.7	Whether the temperature recorder of the tank has details like number of the tank and date for verification by the authorities?	:
4	Whether proper personal hygiene maintained?	
4.1	Whether adequate facilities for hand washing provided?	
4.2	Whether toilets provided away from work area?	
4.3	Are the persons handling fishery products free from any health risk?	
4.4	Whether routine medical monitoring of such persons is being carried out and records there of maintained?	
5.	Give details of inspection & testing of own check samples	
6	Any other information	

Recommendation of the Assessment Panel of Experts (APE)

Name & address of the freezer vessel (with approval No., If already allotted by EIA)			
Nature of activities of the vessel			
The above freezer vessel may **not be approved / not be granted renewal of approval** for freezing fishery products for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet (NCR).			
Or			
The above freezer vessel may be **approved / approval may be renewed** for freezing fishery products for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995.			
The freezer vessel is eligible		For export to all countries including the European Union (EU) / Russia / countries other than EU and Russia.	
Fishery Products which may be allowed for freezing in the above facility		Shrimps and other crustaceans Cephalopods Fish Others (Specify) ……..	
Other remarks, if any:			
Signature			
Name			
Designation			
Organization			
Date			

ANNEXURE – 11

EXPORT INSPECTION AGENCY – KOCHI / MUMBAI / CHENNAI / KOLKATA

ASSESSMENT REPORT OF ICE PLANT (INDEPENDENT / DETACHED)

Date of Visit :

Type of Visit : Assessment Panel of Experts (APE)

Composition of APE:

Sl. No	**Name of Expert**	**Designation**	**Organization**
1.			
2.			
3.			

1. **General Information**		
1.1	Name and address of the ice plant with approval number, if already approved	
1.2	Name of the chief executive/Mg. partner with official address and telephone number, Fax No: & e-mail address	
1.3	Is the ice plant owned or leased?	
1.3.1	If leased, name of the owner of ice plant, with address and telephone number	
1.3.2	Details of the lease agreement entered into between the ice plant and establishment, if applicable (attach an attested copy of the agreement).	
1.4	Is the ice plant independent or detached?	
1.4.1	If detached, name and address of the approved main establishment with which the ice plant is attached with, including its Approval No.	
1.5	Year of construction	
1.6	Year of last major alteration	
1.7	Approval requested for	To produce ice for supplying to a) Its main establishment b) All countries including EU and RF c) All countries excluding EU d) All countries excluding RF
1.8	No. of Insulated vehicles the ice plant have for transportation of ice (if applicable)	
1.9	Type of ice produced	Block ice / Flack ice / Tube ice :
1.10	Capacity of ice plant	
1.11	Number of workers	
2.	**Surroundings**	
2.1	Whether the premises have defined curtilage?	
2.2	Are the premises cleaned?	
2.3	Is there any area within the premises of the establishment, which is non-operative?	
2.4	Are there any swamps, stagnant water or dumps nearby?	
2.5	Are the roads in the premises concreted or tarred to prevent wind-blown dust?	
2.6	Are there signs of any rodent harbourage in neighbouring areas?	
2.7	Is there a documented system, including the bait map, for rodent control?	
2.8	Are the surroundings reasonably free from objectionable odours, smoke, dust and other contamination?	

3. Plant facilities		
3.1	Are there adequate facilities for the following	
3.1.1	Storing disinfectants & insecticides.	
3.1.2	Changing room for workers	
3.1.3	Ice crusher facility	
3.1.4	Alternate power back up system, if any	
3.15	Changing Room	
3.16	Is separate changing room of adequate size provided?	
3.17	Is the changing room integrated into the plant layout properly?	
3.18	Does the changing room have smooth walls, floors and washbasin with non-hand operated taps?	
3.19	Whether necessary facilities are provided in the change room?	
4	**Changing Room**	
4.1	Is separate changing room of adequate size provided?	
4.2	Is the changing room integrated into the plant layout properly?	
4.3	Does the changing room have smooth walls, floors and washbasin with non-hand operable taps?	
4.4	Whether necessary facilities are provided in the change room	
5. Toilets		
5.1	Are the toilets well lit adequately ventilated?	
5.2	Are the doors of the toilets self-closing type and tight fitting?	
5.3	Are the toilets made fly proof?	
5.4	Are soap, disinfectants, single use paper towels and foot operated waste bins provided near the washbasins?	
5.5	Are there sign boards directing workers to sanitize their hands and feet after using toilets?	
6. Personnel Hygiene		
6.1	Whether employees are strictly adhering to personal hygiene practices?	
6.2	Are the workers apparently free from any form of communicable diseases, open sores or wounds or any other source of contamination	
6.3	Are the workers medically examined periodically and whether individual health cards are kept showing that the individuals are free from contiguous diseases fit to work in ice plant?	
6.4	Are the workers provided with sufficient sets of clean work dress?	
6.5	Are signboards exhibited prohibiting employees from smoking, spitting, eating and drinking inside the ice plant?	
7	**Cleaning and sanitary facility**	
7.1	Are there suitable cleaning and sanitary facilities provided at the entry points for cleaning hands & feet?	
7.2	Is the hand & feet washing facility located in a convenient place?	
7.3	Are there sign boards directing employees to adhere to hygiene practices	
8	**Maintenance, cleaning and disinfections**	
8.1	Is a maintenance schedule available?	
8.2	Is there a documented procedure for cleaning and disinfecting of ice plant and equipment?	
8.3	Is any person made responsible for supervising the work?	
8.4	Whether records for cleaning maintained?	
9.	**Block ice Production Facilities**	
9.1	Whether proper protection is given to the block ice production area to prevent the entry of pests, rodent, vermin and unauthorized persons?	
9.2	Whether self-closing door is provided at the entry point?	
9.3	Whether the walls & roof of the ice production area are smooth, clean and free from dusts, cobwebs, fungal growth etc.?	

9.4	Is the floor smooth & easily washable	
9.5	Whether the wall to floor junction rounded off?	
9.6	Are the roof & walls are free from condensation of water?	
9.7	Is the lighting adequate?	
9.8	Are the lights sufficiently protected and cleaned regularly?	
9.9	Is the ventilation proper?	
9.10	Whether the windows / ventilators are provided with fly-proofing nets?	
9.11	Whether window slits are sloped properly for easy cleaning?	
9.12	Whether the machinery for refrigeration is installed away from the ice production area?	
9.13	Whether the salt and other chemicals are stored separately?	
9.14	Is the chilling media storage tank(s) made of non-corrosive materials?	
9.15	Whether the salt used is of food grade quality?	
9.16	Whether salt is tested regularly for chemical & microbiological parameters?	
9.17	Are the ice cans made of non-corrosive materials, which are easy to clean & disinfect?	
9.18	Whether non-corrosive, smooth lids are provided for ice cans?	
9.19	Whether precautions are taken to ensure that the chilling media do not come in contact with the ice?	
9.20	Whether wood is used to cover chilling media storage tanks? If so, whether the wood is properly gladded with non-corrosive material, which is smooth and easy to clean?	
9.21	Whether proper precautions are taken to prevent contamination of ice with the lubricants used for trolleys, etc.?	
9.22	Whether running potable water facility provided for defrosting ice cans?	
9.23	Is ice crusher provided?	
9.24	If so, whether the same is smooth, easy to clean and made of non-corrosive material?	
9.25	Whether the handling of ice & ice cans is done hygienically to avoid cross contamination?	
9.26	Whether the ice dispatch chute is properly protected to avoid entry of pest & dust?	
9.27	Whether ice is conveyed through surface made of stainless steel?	
9.28	Is the ice stored in clean, smooth containers made of stainless steel material?	
10	**Flake / tube ice Production Facilities**	
10.1	Whether the ice-producing machine is located away from the ice storing & handling area?	
10.2	Whether arrangements are made to prevent the falling of lubricants on the ice produced?	
10.3	Are the walls, floor and roof of the ice storing/handling area are smooth, easy to clean and disinfect?	
10.4	Is the ice stored in clean, smooth, containers made up of stainless- steel material?	
10.5	Are the shovels/utensils used to handle ice smooth, clean, without edges/ welding and made of non-corrosive materials?	
10.6	Whether the ice is being handled hygienically to avoid cross- contamination?	
10.7	Whether necessary arrangements are made to avoid condensation of water on roof & walls of the ice collection & handling area?	
10.8	Are the lights properly protected and maintained in clean condition?	
11	**Water & ice management**	
11.1	Source of water	
11.2	Methods adopted for purification of water?	
11,3	Is there a documented water management system?	
11.4	Whether plumbing diagram of water supply system available without lets identified and serially numbered?	
11.5	Whether potability certificate produced for each source of water?	

11.6	Is the water used for ice production and cleaning purpose meets the standards stipulated in EC Directive No. 98/83/EC or IS 4251 as the case may be?	
11.7	Is there any chance for cross contamination of potable and non-potable water?	
11.8	What is the system of chlorination of water? Specify the residual level of chlorine in water	
11.9	Whether tanks are used for storage of water? If so, whether the same is protected from outside contamination?	
11.10	Whether water tanks are properly cleaned on a laid down frequency and records maintained?	
11.11	If water is brought from outside source, whether water tankers are cleaned & disinfected regularly?	
11.12	Whether physical quality of ice of each batch is checked before dispatch?	
11.13	Whether ice is tested for microbiological parameters regularly?	
12	**GMP, SOP, SSOP Implementation**	
12.1	Has the own check system implemented properly?	
12.2	If so, has the factory manual been submitted to the competent authority for approval?	
12.3	Whether SSOPs are included in the factory manual?	
12.4	Whether persons responsible have been identified for the implementation of GMO,SOP & SSOP?	
12.5	Whether SSOP, SOP records are maintained properly?	
12.6	Whether breakdowns and malfunctions are recorded?	
12.7	Whether there is a provision to review and revise the manual on a laid down frequency?	
13.	**Records**	
13.1	Whether the logbook is maintained?	
13.2	Whether records of production of ice maintained?	
13.3	Whether records are maintained pertaining to the supply of ice to the approved F&FP units?	
13.4	Are the records of cleaning & sanitation maintained?	
13.5	Are the records personal hygiene maintained?	
13.6	Are the records of pest control maintained?	
14	Any other relevant information	

Recommendation of the Assessment Panel of Experts (APE)	
Name & address of the Independent / detached ice plant (with approval No., If already allotted by EIA)	
Nature of activities of the unit	Production of ice for supplying to approved F&FP establishments
The above **independent / detached** ice plant may not be **<u>approved / granted renewal of approval</u>** to produce ice for supplying the same to its main establishment / establishments approved to process F&FP for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet (NCR).	
OR	
The above **independent / detached** ice plant may be **<u>approved / granted renewal of approval</u>** to produce ice for supplying the same to its main establishment / establishments approved to process F&FP for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995.	
The ice plant is eligible to supply ice to	its main establishment / F & FP units approved for export to all countries including the European Union & Russia / countries other than EU and Russia.
If detached ice plant, the name, address and approval number of the main establishment.	
Other remarks, if any:	

Signature			
Name			
Designation			
Organization			
Date			

ANNEXURE 12

EXPORT INSPECTION AGENCY –DELHI / KOCHI / MUMBAI / CHENNAI / KOLKATA

ASSESSMENT REPORT OF COLD STORE (INDEPENDENT/DETACHED)

Date of Visit :

Type of Visit : Assessment Panel of Experts (APE)

Composition of APE:

Sl. No	**Name of Expert**	**Designation**	**Organization**
1.			
2.			
3.			

1.	**General information**	
1.1	Name and address of the cold storage	
1.2	Name of the chief executive/partner with official address and telephone number, Fax No; & e-mail address	
1.3	Is the cold storage owned or leased?	
1.3.1	If leased, name of the owner of cold storage, with address and telephone number	
1.3.2	Details of the lease agreement entered into between the applicant and cold storage owner (Attach an attested copy of the agreement).	
1.4	Year of construction	
1.5	Year of last major alteration	
1.6	Approval requested for storing of (specify product)	Frozen Fish & Fishery Products
1.7	No. of vehicles the cold store has for transportation of finished products. (a) Refrigerated (b) Insulated	
1.8	No. of Cold Storage(s)	
1.9	Capacity of each store	
1.10	Temperature maintained in each cold storage	
2.	**Surroundings**	
2.1	Whether the premises have defined curtilage?	
2.2	Are the premises cleaned?	
2.3	Is there any area within the premises of the cold store establishment which is non-operative?	
2.4	Are there any swamps, stagnant water or dumps nearby?	
2.5	Are the roads in the premises concreted or tarred to prevent wind-blown dust?	
2.6	Are there signs of any rodent harborage in neighboring areas?	
2.7	Is there a documented system, including the bait map, for rodent control?	
2.8	Are the surroundings reasonably free from objectionable odours, smoke dust and other contamination?	

3.	**Plant facilities**	
3.1	Are there adequate facilities for the following :	
3.1.1	Storing disinfectants & insecticides	
3.1.2	Changing room for workers	
3.1.3	Alarm system to give warning in case of power failure	
3.1.4	Alternate power back up system(give details)	
4.	**Toilets**	
4.1	Are the toilets well lit and adequately ventilated?	
4.2	Are the doors of the toilets self-closing type and tight fitting?	
4.3	Are the toilets made fly proof?	
4.4	Are liquid soap, disinfectants, single use paper towels and foot operated waste bins provided near the wash basins?	
4.5	Are there sign boards directing workers to sanitize their hands and feet after using toilets?	
5.	**Cleaning and sanitary facility**	
5.1	Whether all facilities for cleaning & sanitation provided?	
5.2	Is the hand- washing facility located in a convenient place?	
6.	**Ante-room**	
6.1	Is the cold storage provided with an ante-room of suitable size?	
6.2	Whether the door of the ante-room is made of non-absorbent material other than wood?	
6.3	Is there air curtain at the workers' entrance to the ante-room?	
6.4	Is the floor water proof, smooth and free from pits and crevices?	
6.5	Are the walls smooth, free from pits and crevices?	
6.6	Are the roof and walls free from condensation of water?	
6.7	Are the walls and roof clean and free from moisture and fungus?	
6.8	Is there adequate lighting?	
6.9	Are the lights sufficiently protected?	
6.10	Are the lights and protection device clean?	
6.11	Are the electric switches and other connected installations cleanable?	
6.12	Whether suitable charts are provided for recording loading/unloading of fishery products?	
6.13	Is the ante room rodent and vermin proof?	
7.	**Cold storage**	
7.1	Whether the doors are made of non-absorbent material other than wood?	
7.2	Is there air curtain and/or blinds at the entrance of the cold storage?	
7.3	Is the floor water-proof, smooth and easy to clean and disinfect?	
7.4	Are the walls smooth, free from pits and crevices?	
7.5	Are the walls clean and free from frost and fungus?	
7.6	Is there adequate lighting?	

7.7	Are the lights sufficiently protected?	
7.8	Are the lights and protection device clean?	
7.9	Is there an alarm bell?	
7.10	Is there any frost or ice formation on the walls, floor, ceiling or stored material?	
7.11	Are the sides and floor of cold storage provided with facilities made of non-corroding and non-contaminating material for free cold air circulation?	
7.12	Is the floor of the storage water proof and easy to clean and disinfect?	
7.13	Is the cold storage provided with sufficiently powerful refrigeration system?	
7.14	Is the cold storage maintained at required temperature (minus 18^0 C or below)?	
7.15	Is the cold storage provided with self-recording thermograph/device?	
7.16	Is the self-recording thermograph/device calibrated at laid down frequency?	
7.17	Are the thermograph/temperature records maintained properly for verification?	
7.18	Is the sensor of the self-recording device/thermograph located at the farthest/warmest place away from diffuser?	
7.19	Does the cold storage have proper defrosting system?	
7.20	Whether rodents, insects and other vermin are exterminated and a documented pest control system is available?	
7.21	Whether there is documented system of cleaning and sanitation?	
7.22	Whether the required temperature of minus 18^oC is maintained even during defrosting?	
8.	**Loading and un-loading area**	
8.1	Whether door(s) with suitable size has been provided in the ante-room for loading/un-loading the frozen fishery products?	
8.2	Whether the door(s) has been provided with proper dock and shelter?	
8.3	Is the loading point provided with air curtain, blinds or other suitable systems to prevent entry of flies and also to avoid temperature fluctuation during loading operation?	
9.	**Changing Room**	
9.1	Are separate changing room of adequate size, proportionate to the number of workers provided?	
9.2	Is the changing room integrated into the plant layout properly?	
9.3	Does the changing room have smooth walls, floor and wash basin with non-hand operable taps and cleaning materials?	
9.4	Whether there is arrangements for a) Change of footwear? b) Provision for keeping street clothes separately? c) Gumboots? d) Protective clothes?	
9.5	Is the changing room provided with flush lavatories? Is it kept clean and sanitized?	
10.	**Personnel Hygiene**	
10.1	Has any person been made responsible for maintenance of personnel hygiene?	

10.2	Are the workers apparently free from any form of communicable diseases, open sores or wounds or any other source of contamination?	
10.3	Are the workers medically examined periodically and whether individual health cards are kept showing that the individuals is free from contagious diseases and fit to work in fish processing plant?	
10.4	Are prophylactic injections being administered to the cold storage employees and records thereof included in the individual health cards?	
10.5	Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhea or any other communicable diseases in their homes?	
10.6	Are workers medically examined after each absence due to illness from any contagious diseases?	
10.7	Are the workers provided with sufficient sets of clean work dress?	
10.8	Are sign boards exhibited prohibiting employees from smoking, spitting, eating and drinking in the storage premises?	
11.	**Maintenance, cleaning and disinfections**	
11.1	Is a maintenance schedule available?	
11.2	Is there a documented procedure for cleaning and disinfection of cold storage and equipment?	
11.3	Is the cleaning schedule exhibited prominently?	
11.4	Is any person made responsible for supervising the work?	
11.5	Whether records for cleaning maintained?	
12	**HACCP Implementation**	
12.1	Has the own check system based on HACCP implemented?	
12.2	If so, has the HACCP manual been submitted to the competent authority?	
12.3	Whether all the SSOPs are included in the HACCP manual?	
12.4	Whether process flow charts of the storing operations are given in the HACCP manual?	
12.5	Whether persons responsible have been identified for the implementation of HACCP?	
12.6	Whether records are maintained for this purpose?	
12.7.	Whether the frequency of monitoring of critical limits at CCP is adequate as evidenced by the actual observation?	
12.8	Whether breakdowns and malfunctions are recorded?	
12.9	Whether there is a provision to review and revise the manual on a laid down frequency?	
13	**Records**	
13.1	Whether a log book maintained?	
13.2	Whether records for items stored is maintained with different exporter(s)?	
13.3	Whether incoming cargo is being checked for product temperature and physical condition before loading and records maintained therein?	
14	Any other relevant information:	

Recommendation of the Assessment Panel of Experts (APE)

Name & address of the Independent/detached cold store (with approval No., If already allotted by EIA)			
Nature of activities of the unit	Storing of frozen fishery products of the main establishment (in the case of detached cold store)/any F&FP establishments approved by the competent authority (in the case of independent cold store).		
The above independent /detached cold store may **not** be approved / granted renewal of approval to store frozen fishery products of approved F&FP establishment(s) meant for export under the Export of Fresh Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995. The deficiencies observed are given in the attached sheet (NCR).			
Or			
The above independent/detached cold store may be approved / granted renewal of approval to store frozen fishery products of approved F&FP establishment(s) meant for export under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995.			
The cold store is eligible to store Frozen F&FP of	the main establishment (in the case of detached cold store) establishments approved to export frozen fishery products to all countries including / excluding the European Union & Russia Establishments approved to export frozen fishery products to countries excluding European Union.		
If detached cold store, the name, address and approval number of the approved main establishment to which the store is attached:			
Other remarks, if any:			
Signature			
Name			
Designation			
Organization			
Date			

ANNEXURE 13

ASSESSMENT REPORT NO. 2 FOR FACTORY VESSEL / FREEZER VESSEL / PRE-PROCESSING CENTRE / ESTABLISHMENT

HACCP AUDIT REPORT

Name of the facility with approval no.	Opening Meeting Location Date:
Scope of Audit /Survey	Closing Meeting Location Date:

S.No.	Name	Designation	Organization	Opening Meeting (Sign)	Closing Meeting (Sign)
A. Auditor(s)					
B. Auditee					
Remark (if any)					

DOCUMENT REVIEW REPORT (Verify all amendments made in the HACCP manual)	
Name of the organisation with approval No.	
Address-Registered office	
Address- facility	
Documents reviewed and amended with document No / issue No	
Reviewed by	
Reviewed on	
Scope of revision	
Whether Statutory and Regulatory requirements are complied with	
Place: Date:	

CHECK LIST ON HACCP		
S.no	**Component to Assess**	**Comments & Observation**
1.	**Commitment of the Management**	
1.1	Financial Commitment	
1.2	Awareness / Conviction	
2.	**HACCP Team**	
2.1	Designation, Qualification and experience of the HACCP Team Leader	
2.2	Decision making power of the HACCP Team Leader	
2.3	Is it demonstrable that the HACCP team is equipped with sufficient expertise for the various disciplines?	
2.4	Has the function (responsibility and authority) and the specific knowledge of team members been laid down?	
3.	**Composition of the products (product description)**	
3.1	Quantitative and qualitative composition of the product(s)	
3.2	Physical, chemical and microbiological characteristics of the product(s)	
3.3	Shelf life	
3.4	Raw materials and additives used	
3.5	Method of preservation	
3.6	Treatments undergone by the product (s), if any	
3.7	Method of packing	
3.8	Application of regulatory requirements	
3.9	Conditions of storage and distribution	
3.10	Instructions for use of the product	
3.11	Microbiological and chemical criteria applied	
4.	**Intended Use**	
4.1	Specify the normal or expected use of the product by the customer	
4.2	Specify the intended consumer of the product	
4.3	Whether the product is intended for a particular segment of the population. If so, Specify	
5.	**Process flow diagram(s) and layout plan**	
5.1	Whether the flow chart (s) for each product (product group) has been prepared by the HACCP team and whether the following are addressed?	
5.2	Plant facilities and pre-requisites of HACCP	
5.3	Disposition and pertinent characteristics of the equipment(s)	
5.4	Sequence of processing operation	
5.5	Duration and delays between processing operations	
5.6	Flow of Products	
5.6	Separation of clean and dirty areas (pre-requisite)	
5.7	Technical data of cleaning and sanitation(pre-requisite)	
5.8	Hygienic environment of the facilities (pre-requisite)	
5.9	Hygienic conditions of the personnel (pre-requisite)	

5.10	Circulation flow of personnel (pre-requisite)	
5.11	Condition of product storage (pre-requisite)	
5.12	Condition of product distribution (pre-requisite)	
5.13	Whether yearly verification of the flow chart and layout has been conducted?	
5.14	Dates of verification of flow chart/ layout by the HACCP team	
6.	**Hazard Analysis.**	
6.1	Has the organization / (HACCP team made a risk analysis as per identified hazard(s)?	
6.2	Are in the risk analysis (if applicable) practical experiences, experimental data, literature etc. included?	
6.3	Whether the identification of all the potential biological, chemical and physical hazards has been conducted?	
6.4	Whether the cause of each hazard (contamination, survival, recontamination, multiplication, persistence etc.) has been identified?	
6.5	Whether the identification of control measure(s) for each hazard has been done?	
6.6	Description of technical details of the control measure(s) adopted by the unit	
7	**Critical Control Points**	
7.1	Has the organization (HACCP team) reviewed all the steps in the process to identify CCP (CCP determination)?	
7.2	Whether the HACCP team applied a logical approach (decision tree) for identifying the CCPs	
7.3	Whether the identification of CCPs is proper and adequate?	
7.4	Has the organization (HACCP team) drawn up and implemented control measures for the elimination or reduction of the risk to an acceptable level?	
8.	**Critical Limits**	
8.1	Whether the unit has established critical limits for each measure intended to control each hazard?	
8.2	Whether for each CCP the critical parameters and critical marginal values laid down?	
	Whether the following have been laid down?	
8.3	From where the standard derived?	
8.4	How are the values/limits determined?	
8.5	Is there a control system for the relevant standards and critical marginal values?	
8.6	Whether the critical limits comply with the regulations and / or recommended by appropriate codes on GMP?	
8.7	Whether the critical limits are validated regularly?	
9	**Monitoring Procedures**	
9.1	**Specify** the monitoring procedure adopted by the establishments	
9.2	Whether an efficient and effective monitoring system for guarding of the CCPs drawn up and implemented?	
9.3	What is the frequency of monitoring (sampling plan)?	
9.4	How the monitoring is implemented and records maintained?	
9.5	Who is responsible for monitoring? Whether he /she has undergone proper training frequently?	
9.6	Whether the instruments used for measurements are reliable? (Calibration/ verification)	
9.7	Are the results of monitoring recorded by the means of: ▪ Monitoring reports (dated and signed) ▪ Registration of deviation occurred (marginal values and critical marginal values) and corrective measures	
9.8	Are the validity and reliability of the monitoring procedure satisfactory?	
10	**Corrective Actions**	
10.1	Whether corrective action measures have been laid down, if the marginal value exceeds?	
10.3	Whether identification of corrective actions to implement when monitoring indicates the loss of control has been done?	
10.4	Whether responsibilities and authorities have been laid	

	down?	
10.5	Is a recall procedure laid down	
10.6	Is traceability established at all stages of production and documented	
10.7	Name the executing people responsible for corrective action	
10.8	Whether the records of corrective action maintained	
10.9	Give detailed description of corrective action by the unit.	
11.	**Verification of HACCP System**	
11.1	Is a plan laid down for the verification for maintaining the HACCP system?	
11.2	Describe the verification procedures of the establishment.	
11.3	Does the verification frequency depend on the individual process circumstances as per the location of the establishment?	
11.4	What is the frequency of the verification followed?	
11.5	Name and Designation of person(s) In charge of verification.	
11.6	Validity of the verification procedure.	
11.7	Whether the following is included in the verification procedure?	
11.8	Task and Responsibilities	
11.9	Inspection and tests	
11.10	The internal HACCP audit	
11.11	Review of the registered complaints	
11.12	Corrective measures implemented	
11.13	Statistical data	
11.14	Deviation occurred	
11.15	Conformity with the operative law and ruling	
11.16	Random sampling	
11.17	Need for education on process control and safety of products	
12.	**Record Keeping System**	
12.1	Monitoring reports/ results	
12.2	Record pertaining to deviations occurred and corrective action taken	
12.3	Audit reports (verification report)	
12.4	Records pertaining to education/training of employees dealing with HACCP	
12.5	Record pertaining to HACCP modifications	
12.6	Record pertaining to the determination of CCPs	
12.7	Traceability of raw materials until delivery	
12.8	Pre-requisite programmes	
12.9	Supplier of selection and purchase process	

CHECKLIST ON GMP, GHP AND OTHER PRE-REQUISITES OF HACCP

Sr.No.	Component of Assessment	Observations & Comments
1.0	**Raw Material**	
1.1	Type of raw materials used	
1.1(a)	Source of Raw Material of fishery products	
1.1(b)	Source of raw materials other than fishery products, if any	
1.2	Particulars of the fishing vessel(s)	
1.3.	Specify the location of the landing centre(s)	
1.4	Name and address of aquaculture farm(s) from where raw materials are received, with registration number and distance from the establishment	
1.5	Whether pre- harvest test reports maintained for aquaculture products?	
1.6	Are the raw materials procured, transported & stored in smooth containers **so designed to prevent contact with melted ice**	
1.7	Mode of transportation of raw material from source to pre-processing	
1.8	Are the raw material maintained below $4^{o}C$ during procurement / transportation and receiving at the unit	
1.9	Whether arrangements have been made to ensure that the aquaculture farms from where raw material are being procured, are not using banned antibiotics/chemicals and are free from industrial contaminants	
1.10	Are the raw materials being tested for bacteriological/chemical/antibiotic contaminants at laid down frequency and the same is addressed in the HACCP manual?	
1.11	Is there any arrangement for traceability of the raw material up to procurement area? (Give detail)	
1.12	Are the records for the above maintained properly?	
2.0	**Water & Ice**	
2.1	Whether the requirements and quality management of water and ice have been addressed in the HACCP manual at all stages of production starting from procurement of raw material	
2.2	Whether the above has been implemented properly?	
2.3	Whether the unit is having or made arrangements for sufficient quantity of **potable water** and **ice** for the production of F&FP as per operational freezing/ production capacity?	
2.4	Specify the quality management system adopted by the establishment to ensure quality of ice & water used for production.	
2.5	Is the **water supply** sufficient in relation to the maximum daily production?	
2.6	What is the frequency of cleaning & disinfection of the water tanks?	
2.7	Whether there is a documented procedure for cleaning & disinfection of water tank(s)?	
2.8	Is water brought from external source in mobile water tankers?	
2.9	If so, are the water tankers cleaned and disinfected periodically; what is the frequency?	
2.10	Whether there is documented procedure for water tanker cleaning?	
2.11	Is the ice used made from potable water as per norms? (To be supported by document)	

2.12	Is there adequate facility for hygienic handling and storage of ice?	
2.13	If ice is obtained from different sources, are they tested separately and records maintained?	
3.	**Salt/Chemicals/Additives**	
3.1	Specify the additives, preservatives, other chemicals etc. used in the establishment	
3.1(a)	Are the additives, chemicals etc. are approved by Competent Authority?	
3.2	If salt is used in processing, is it tested for the presence of Coagulase +ve Staphylococci and Sulphite reducing Clostridium and records maintained thereof?	
3.3	Are records maintained regarding the traceability and purity of additives/chemicals used in processing?	
3.4	Whether fishery products are tested for heavy metals, antibiotics, pesticide residues and bio toxins and other chemicals and records maintained?	
3.5.	Does the HACCP Plan suitably address these requirements?	
4	**Processing Methods**	
4.1	Whether the processing methods adopted by the unit are appropriate for producing wholesome fishery products?	
4.2	Are the time-temperature controls exercised at all stages of production and documented?	
4.3	Whether temperature of the product maintained below 4°C at all stages of production, storage and transportation?	
4,4	Whether cooking/blanching system, if any, adopted by the unit is adequate and validated properly?	
5	**Storage & Transportation**	
5.1	Whether the establishment has adopted good storage and transportation practices?	
5.2	Are the frozen materials stored **below -18°C** in cold storages hygienically?	
5.2(a)	Whether self-recording device (thermograph / data logger) is installed in cold storage to monitor the temperature?	
5.3	Are the packing materials stored away from the walls, ceiling in such a way as to allow a person to move around for inspection?	
5.4	Are the packing materials stored without touching the ceiling & walls and covered properly to prevent dust contamination?	
5.5	Is the packing material store provided with pallets made of non-absorbent material **other than wood** or any other suitable arrangement to prevent packing material being placed directly on the floor?	
5.6	Whether proper GMP is adopted for storing and handling of marking materials to avoid cross contamination with food or food contact surfaces?	
6	**Hygiene & Sanitation**	
6.1	Are the hygiene & sanitation practices adopted by the unit satisfactory?	
6.2	Are the walls, floor, doors, tables, utensils, machineries etc. kept clean?	
6.3	Whether a documented cleaning procedure followed?	
6.4	Are the workers apparently free from any form of communicable disease, open sores and wounds or any other source of contamination?	
6.5	Are the workers medically examined periodically and whether individual health cards showing that the individual is fit to work in fish processing plant maintained?	

6.6	Are prophylactic injections being administered to the plant employees and records thereof included in the individual cards?	
6.7	Has it been made obligatory for all employees to notify incidents of typhoid, dysentery, diarrhea or any other communicable diseases in their homes?	
6.8	Are workers medically examined after each absence due to illness from any contagious disease?	
6.9	Are the workers provided with sufficient sets of clean work dress and headgears?	
7	**In-house Laboratory**	
7.1	Whether the establishment is testing raw material/process material and finished products in their in-house laboratory as per laid down procedure?	
7.2	Whether the testing methods adopted are sufficient and effective?	
7.3	Are the approved technologists properly doing the required tests in the in-house lab?	
7.4	Are the chemicals used in the in-house lab effective?	
7.5	Are the records pertaining to testing and calibration maintained?	

AUDIT OBSERVTIONS SHEET

S.No.	Reference	Observations	Remarks

Signature			
Name			
Designation			
Organization			
Date			

Recommendations of the Assessment Panel of Experts (APE)	
Name of the factory vessel / freezer vessel/ pre-processing centre/ establishment.	
Location	
Approval No, if any	
Nature of activities of the unit	
In view of the deficiencies observed in the HACCP implementation as mentioned in the observation sheet, it is recommended that full approval to process/ pre-process F&FP for export under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 may **not** be given to the above factory vessel / freezer vessel / pre-processing centre/ establishment. However, the conditional approval given to the unit may be extended upto a maximum period of six months from the date of earlier approval so as to enable the unit rectify the defects and inform the EIA for verification by the Convenor of the APE.	
Or	
In view of the satisfactory assessment of the implementation of HACCP and other statutory requirements by the unit, it is recommended that the above factory vessel / freezer vessel / pre-processing centre / establishment may be fully approved to process / pre-process fish & fishery product for export under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995.	
Countries to which the above unit is eligible to process fishery products for export	All countries including the European Union & Russian Federation (RF) / Countries other than EU & RF.

Operational freezing / production capacity of the unit	

Signature			
Name			
Designation			
Organization			
Date			

Fully agree with the observations /recommendations of the APE Signature (representative of the unit)	
Name	
Designation	
Date	
Seal of the firm	

ANNEXURE 14

GUIDELINES FOR GRANTING APPROVAL NO.

CATEGORY	ABBREVIATIONS	EIA CHENNAI	EIA DELHI	EIA KOCHI	EIA KOLKATA	EIA MUMBAI
FEED MILLS	FM	CHE : FM - 1	DEL : FM - 1	KOC : FM - 1	KOL : FM - 1	MUM : FM - 1
HATCHERIES	HA	CHE : HA -1	DEL : HA -1	KOC : HA -1	KOL : HA -1	MUM : HA -1
AQUACULTURE FARMS	AF	CHE : AF -1	DEL : AF -1	KOC : AF -1	KOL : AF -1	MUM : AF -1
FISHING HARBOURS	FH	CHE : FH - 1	DEL : FH - 1	KOC : FH - 1	KOL : FH - 1	MUM : FH - 1
LANDING CENTRES	LC	CHE : LC - 1	DEL : LC - 1	KOC : LC - 1	KOL : LC - 1	MUM : LC - 1
FISHING VESSELS	FIV	CHE : FIV - 1	DEL : FIV - 1	KOC : FIV - 1	KOL : FIV - 1	MUM : FIV - 1
FACTORY VESSELS	FAV	CHE : FAV - 1	DEL : FAV - 1	KOC : FAV - 1	KOL : FAV - 1	MUM : FAV - 1
FREEZER VESSELS	FRV	CHE : FRV - 1	DEL : FRV - 1	KOC : FRV - 1	KOL : FRV - 1	MUM : FRV – 1
PRE PROCESSING CENTRES (INDEPENDENT / DETACHED)	PP	In case of independent preprocessing centers CHE : PP - 1. In case of detached preprocessing centers, approval	In case of independent preprocessing centers DEL : PP -1. In case of detached preprocessing centers, approval no. of the main unit	In case of independent preprocessing centers KOC : PP - 1. In case of detached preprocessing centers, approval	In case of independent preprocessing centers KOL : PP -1. In case of detached preprocessing centers, approval no. of the main unit	In case of independent preprocessing centers MUM : PP - 1. In case of detached preprocessing centers, approval

CATEGORY	ABBREVIATIONS	EIA CHENNAI	EIA DELHI	EIA KOCHI	EIA KOLKATA	EIA MUMBAI
		no. of the main unit followed by PP-1 / PP-2 (Example 731 : PP -1 / 731 : PP-2)	followed by PP-1 / PP-2 (Example 731 : PP -1 / 731 : PP-2)	no. of the main unit followed by PP-1 / PP-2 (Example 731 : PP -1 / 731 : PP-2)	followed by PP-1 / PP-2 (Example 731 : PP -1 / 731 : PP-2)	no. of the main unit followed by PP-1 / PP-2 (Example 731 : PP -1 / 731 : PP-2)
ICE PLANTS (INDEPENDENT / DETACHED)	IP	In case of independent ice plant CHE : IP -1. In case of detached ice plant, approval no. of the main unit followed by IP-1 / IP-2 (Example 731 : IP -1 / 731 : IP-2)	In case of independent ice plant DEL : IP -1. In case of detached ice plant, approval no. of the main unit followed by IP-1 / IP-2 (Example 731 : IP -1 / 731 : IP-2)	In case of independent ice plant KOC : IP -1. In case of detached ice plant, approval no. of the main unit followed by IP-1 / IP-2 (Example 731 : IP -1 / 731 : IP-2)	In case of independent ice plant KOL : IP -1. In case of detached ice plant, approval no. of the main unit followed by IP-1 / IP-2 (Example 731 : IP -1 / 731 : IP-2)	In case of independent ice plant MUM : IP -1. In case of detached ice plant, approval no. of the main unit followed by IP-1 / IP-2 (Example 731 : IP -1 / 731 : IP-2)
ESTABLISHMENTS	ES	800 TO 999. When this is exhausted then follow 1800 to 1999	2000 to 2200	500 TO 799. When this is exhausted then follow 1500 to 1799	300 TO 499. When this is exhausted then follow 1300 to 1499	101 TO 299. When this is exhausted then follow 1100 to 1299
COLD STORAGES (INDEPENDENT / DETACHED)	CS	In case of independent cold storage CHE : CS -1. In case of detached cold storages, approval no. of the main unit followed by CS-1 / CS-2 (Example 731 : CS -1 / 731 : CS-2)	In case of independent cold storage DEL : CS -1. In case of detached cold storages, approval no. of the main unit followed by CS-1 / CS-2 (Example 731 : CS -1 / 731 : CS-2)	In case of independent cold storage KOC : CS -1. In case of detached cold storages, approval no. of the main unit followed by CS-1 / CS-2 (Example 731 : CS -1 / 731 : CS-2)	In case of independent cold storage KOL : CS -1. In case of detached cold storages, approval no. of the main unit followed by CS-1 / CS-2 (Example 731 : CS -1 / 731 : CS-2)	In case of independent cold storage MUM : CS -1. In case of detached cold storages, approval no. of the main unit followed by CS-1 / CS-2 (Example 731 : CS -1 / 731 : CS-2)

ANNEXURE 15

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

No. EIA/ Date:

To,
M/s

Dear Sirs,

Sub: Approval to pre-process / process fish & fishery products for export to all countries including EU & Russian Federation / countries other than EU & Russian Federation, on conditional basis

Ref:

1. Your application dated….
2. Your undertaking and guarantee dated

Please refer to your application cited above for approval of your factory vessel / freezer vessel / pre-processing centre (independent / detached)) / establishment particulars of which are given below, for processing fish and fishery products for export / pre-processing of fish and fishery products for supplying to approved establishments for further processing for export as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995:

Name & Location of the facility	Category	Nature of Activities	In case of detached PPC, give Name & App. Number of the main unit
	FV / PP / PPa / ZV		

In exercise of the powers conferred by Rule 11 of the said Rules, the Panel of Experts visited your unit to assess the adequacy of the facilities available therein.

After due consideration of the report of the Panel of Experts, your facility mentioned at Para 1 is hereby conditionally approved under Rule 11 of the Export of Fresh, Frozen and Processed Fish and Fishery Products (QC, I & M) Rules, 1995 to process fresh / frozen fish and fishery products / to pre-process fish and fishery products for supply to approved establishments meant for export to all countries including the European Union (EU) & Russian Federation/ Non EU countries other than Russian Federation.

The conditional approval granted to your factory vessel / freezer vessel / pre-processing centre / establishment is valid only up to 3 months, which may be further extended up to a maximum period of six months.

During the conditional approval you are permitted to process / pre-process fishery products, meant for export in your facility. However, exports will be permitted only after full approval.

You are requested to inform this office as soon as your factory vessel / freezer vessel / pre-processing centre / establishment starts production of F&FP in full swing, so as to arrange the second assessment visit to assess the pre-processing / processing activities and HACCP

implementation of your facility. It shall be ensured that your unit has production of F&FP at the time of the assessment visit.

The approval number allotted to your facility is: _____. This conditional approval is valid for a period up to and including_____

Your facility shall henceforth come under the purview of monitoring under the Rules. You are advised to adopt HACCP based "Own Checks" system and ensure proper maintenance of records.

Please acknowledge receipt.

(Strikeout whichever is not applicable)

Yours faithfully,

In-charge of Agency

Copy to :

1. The Director (Insp. & Q/C) EIC, New Delhi – 110 001. – for kind information.
2. The Officer-in-charge, (concerned sub office)
3. Computer section, EIC – with a request to update the website.
4. MPEDA. Regional Office
5. Party File

ANNEXURE 16

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

No. EIA/ Date:

The Director (Insp. & Q/C)
Export Inspection Council of India
3rd Floor, NDYMCA Cultural Centre Building
1, Jai Singh Road,
New Delhi – 110 001.

Sir,

Sub: Approval of factory vessel / freezer vessel / pre-processing centre (independent / detached) / ice plant (independent / detached) / establishment / cold storage (independent / detached) to process fishery products / to pre-process fish and fishery products for supplying to approved establishments / to produce ice (block / flake) for supplying to approved facilities / to store frozen fishery products of approved establishments meant for export to the European Union (EU) / Russian Federation.(conditional /full approval)

The following unit has been adjudged by the Assessment Panel of Experts (APE) as having adequate facilities and recommended for approval to process fishery products / to pre-process fishery products / to store frozen fishery products for export to the EU / Russian Federation under the Export of Fresh, Frozen and Processed Fish and Fishery Products (QC, I & M) Rules, 1995, on conditional basis/full approval basis:

Sl. No.	Name and Address of the Unit and its Registered Office	Approval Number allotted	Nature of activities	Category	If detached PPC, ice plant, cold store, specify the name & app.no of main unit
			Pre-processing of F&FP for supply of pre-processed fishery products to its main establishment/any approved establishment Freezing of raw F&FP Storing of frozen F&FP of its main establishment/any approved establishment	PPC FV/PP/ PPa / ZV CS IP	

			Manufacture of Ice (Block/Flake) for supply to its main establishment/any approved establishment		

As the Panel of Experts has recommended approval for the above unit, it may kindly be granted approval and included in the list of facilities approved for EU &/ Russian Federation with respect to its nature of activities specified above on conditional basis / full approval basis.

A copy of the APE report(s) is enclosed.

Yours faithfully,

( )
In-charge of the
Agency

Encl: As stated

(Strikeout whichever not applicable)

1. The Director (Insp. & Q/C) EIC, New Delhi – 110 001. – for kind information.
2. The Officer-in-charge, (concerned sub office)
3. Computer section, EIC – with a request to update the website.
4. MPEDA. Regional Office
5. Party File

ANNEXURE 17 A

(Format of non-approval letter)

EXPORT INSPECTION AGENCY – _____

No. EIA / Date: ____

To

Dear Madam / Sir,

Sub: Non approval - to process fish and fishery products / to pre-process fish and fishery products / to produce ice for supplying to its main/ approved PPC and establishments / to store frozen fishery products of approved establishments meant for export - to all countries including EU / Russia / countries other than EU and Russian Federation.

Ref: Your application dated_____.

The Assessment Panel of Experts (APE) visited your facility, particulars of which are given below, for adjudging its suitability for approval under the Export of Fresh, Frozen and Processed Fish and Fishery Products (QC,I&M) Rules, 1995 for processing of fish and fishery products / pre-processing of fish & fishery products / production of ice for supplying to its main/approved PPCs and establishments / storing frozen fishery products of the approved F & FP establishments, meant for export to the European Union / Russian Federation / Non EU countries other than Russian Federation.

Name & Location of the Facility	Date of APE Visit

The APE has observed certain defects / deficiencies in your facilities, which are given in the duly signed Annexure. In view of the nature of defects / deficiencies, it is regretted that your facility cannot be approved at present. You may, however, rectify all the defects / deficiencies, ensure that your facility fully meets the requirements for approval and apply for approval afresh.

Please acknowledge receipt.

Yours faithfully,

In-charge of the Agency

Encl: Annexure

Copy to:

1. The Officer In-charge, EIA _____ Sub Office _____
2. The Director (I&Q/C), EIC, New Delhi –110 001 – for kind information
3. MPEDA Regional office
4. Party file

ANNEXURE 17 B

EXPORT INSPECTION AGENCY – _____

No. EIA / Date: ____

To

Dear Madam / Sir,

Sub: **Non approval of hatchery / feed mill / aquaculture farms / landing site / fishing vessels**

Ref: Your application dated _____.

The Assessment Panel of experts visited your facility, particulars of which are given below, for adjudging its suitability for approval under the Export of Fresh, Frozen and Processed Fish and Fishery Products (QC, I & M) Rules, 1995 to breed / rear finfish / shellfish for supply to export oriented aqua farms / to produce feed for aquaculture animals meant for export/ to rear finfish /shellfish for supply to F&FP establishments / to catch and handle F&FP meant for export/ to display and sale of wild caught F&FP meant for export:

Name & Location of hatchery / feed mill / aquaculture farm /fishing vessel / landing centre / fishing harbour	**Date of Panel Visit**

The panel of experts has observed certain defects / deficiencies in your facilities, which are given in the Annexure. In view of the nature of defects / deficiencies, it is regretted that your facility cannot be approved at present. You may, however, rectify all the defects / deficiencies and ensure that your facility fully meets the requirements for approval and apply for approval afresh.

Please acknowledge receipt.

Yours faithfully,

(Strikeout whichever is not applicable)

In-charge of the Agency

Encl: Annexure

1. The Officer In-charge, EIA _____ Sub Office _____
2. The Director (I&Q/C), EIC, New Delhi –110 001 – for kind information
3. MPEDA Regional office
4. Party file

ANNEXURE 18

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

No. EIA/ Date:

To,
M/s

Dear Sirs,

Subject : Grant of Full Approval to process fish & fishery products for export / to pre-process F&FP for further processing by its main establishment / approved establishments / to produce ice for supplying to its main establishment/approved facilities / to store frozen fishery products of its main establishment / approved establishments meant for export to all countries including EU &/ Russian Federation / countries other than EU & Russian Federation.

Ref: Your application dated …..

Please refer to your application cited above for approval of your factory vessel / freezer vessel / pre-processing centre (independent / detached)) / ice plant (independent / detached) / establishment / cold store (independent / detached)) particulars of which are given below, for processing fish and fishery products for export / for pre-processing fish and fishery products for supplying to its main establishment /approved establishments for further processing and export / for supplying ice (block / flake/tube) to its main establishment/approved facilities / for storages of frozen fishery products of its main establishment/ approved units meant for export, as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995:

Name & Location of the facility	Category	Nature of Activities	Name & App. No. of the main establishment (In the case of **Detached** PPC, Cold Store and Ice Plant)
	FV/PP/ PPa /ZV/ IP		

In exercise of the powers conferred by Rule 11 of the said Rules, the Panel of Experts visited your facility to assess the adequacy of the facilities available therein.

After due consideration of the report of the Panel of Experts, your facility mentioned at Para 1 is hereby fully approved under Rule 11 of the Export of Fresh, Frozen and Processed Fish and Fishery Products (QC, I & M) Rules, 1995 to process fresh / frozen fish and fishery products / to pre-process fish and fishery products for supply to its main establishment/ approved establishments for further processing / to produce ice for supplying to its main establishment/approved facilities/ to store frozen fishery products of its main establishment/approved units meant for export to all countries including the European Union (EU) &/ Russian Federation/ Non-EU countries other than Russian Federation.

The approval number ---------- allotted to your facility shall continue. This full approval is valid for a period up to and including …… You shall apply for renewal of approval at least 2 months (60 days) before the date of its expiry.

You are permitted to export fishery products to non-EU countries other than Russian Federation .However, the export of F&FP to EU countries / Russian Federation will be permitted only after the name of your facility has been notified by the EC / Russian Federation on the official website of EC / FSVPS, Russia. The competent authority shall also start issuing the health certificate for the

consignments meant for export to the EU / Russian Federation only after your facility's name is included in the EC / Russian Federation list.

The approval number shall be marked on the batch code slips as well as on the master cartons used for processing /packing fish and fishery products for export. The details of identification mark are given in Annexure - VII of Government of India Notification No. S.O. 730 (E) dated 21.8.1995. "Q" Mark along with approval number shall be legibly printed or stencilled on all export packages (master cartons) of fishery products as required by the Executive Instructions.

Your facility shall henceforth come under the purview of monitoring under the Rules. You are advised to adopt HACCP based "Own Checks" system and ensure proper maintenance of records. You should have a Deposit Account Pass Book System with the nearest office of the Export Inspection Agency-_____ for payment of monitoring fee and ensure that adequate balance is always maintained in the account. Pink copies of Certificate for Export (CFE) issued by you shall be submitted to the controlling local office of EIA-_____along with a fortnightly statement.

Independent pre-processing centre, independent ice plant and independent cold store shall pay a fee of Rs.20,000/- to the EIA concerned on annual basis.

Please acknowledge receipt.

(Strikeout whichever is not applicable)

Yours faithfully,

In-charge of the Agency

Copy to :

1. The Director (Insp. & Q/C) EIC, New Delhi – 110 001. – for kind information.
2. Computer Section, EIC – with a request to update the official website
3. Commissioner of Customs
4. The Officer-in-charge, (concerned sub office)
5. MPEDA. Regional Office
6. Party File

ANNEXURE 18 A

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

No. EIA/ Date

To,
M/s

Dear Sirs,

Subject: Approval to breed / rear finfish / shellfish for supply to aqua farms meant for export / to produce feed for aquaculture animals meant for export / to rear finfish /shellfish for supply to F&FP establishments / to catch and handle F&FP meant for export / to display and auction / sale wild caught F&FP meant for export

Ref: Your application dated …..

Please refer to your application cited above for approval of your hatchery / feed mill / aquaculture farm /fishing vessel / landing site / fishing harbour, particulars of which are given below, to breed / rear finfish / shellfish for supply to export oriented aqua farms / to produce feed for aquaculture animals meant for export / to rear finfish /shellfish for supply to F&FP establishments/ to catch and handle F&FP meant for export / to display and auction / sale of wild caught F&FP meant for export as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995:

Name & Location of the facility	Registration No	Nature of Activities

In exercise of the powers conferred by Rule 11 of the said Rules, the Panel of Experts visited your hatchery / feed mill / aquaculture farm / fishing vessel / landing site / fishing harbour to assess the adequacy of the facilities available therein

After due consideration of the report of the Panel of Experts, your facility mentioned at Para 1 is hereby approved under Rule 11 of the Export of Fresh, Frozen and Processed Fish and Fishery Products (QC, I & M) Rules, 1995 to breed/ rear finfish / shellfish for supply to export oriented aqua farms / to produce feed for aquaculture animals meant for export / to rear finfish /shellfish for supply to F&FP establishments / to catch and handle F&FP meant for export / to display and auction / sale wild caught F&FP meant for export.

The approval number allotted to your facility is…….. The approval is valid for a period of three years up-to and including ……. You shall apply for renewal of approval at least 2 months (60 days) before the date of expiry of the approval.

Your facility shall henceforth come under the purview of monitoring under the Rules. You are advised to adopt HACCP/SSOP/GAP/GMP based control system as applicable and ensure proper maintenance of records as specified. Unauthorised chemicals shall not be used. Testing, as specified, shall be carried out and reports shall be maintained

Please acknowledge receipt.

(Strike which ever not applicable)

Yours faithfully,

In-charge of the Agency

Copy to :

1. The Director (Insp. & Q/C) EIC, New Delhi – 110 001. – for kind information.
2. Computer Section, EIC – with a request to update the official website
3. The Officer-in-charge, (concerned sub office)
4. MPEDA. Regional Office
5. Registering Authority
6. Party File

ANNEXURE 19

EXPORT INSPECTION AGENCY-…….

Ministry of Commerce & Industry

Govt. of India

Certificate of Approval

In exercise of the powers conferred by the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 vide Notification No. S.O. 730(E) dated 21 August 1995, published in the Gazette of India, Extra Ordinary, Part II, Section 3, Sub Section (ii), dated 21.8.1995. M/s ……..(*name of the facility)* having their registered office at ……(*Address of the registered office)* is hereby granted approval / renewal of approval for a period of two / three years valid upto and including……..under Approval No……. for……*(Nature of activity of the facility),* in its facility situated at ……. *(Location of the facility)* for export to countries other than European Union and Russian Federation, subject to the conditions that the facility shall continue to meet the requirements of GOI Notifications No.S.O.730(E) dated 21.8.1995 and those specified by importing countries.

Place :	Seal of EIA	Signature :	
		Name :	
Date :		Designation :	In-charge of Agency

(Complete postal address of the Regional EIA along with Ph. No, Fax No & e-mail address)

ANNEXURE 20

EXPORT INSPECTION COUNCIL OF INDIA

Ministry of Commerce & Industry

Govt. of India

Certificate of Approval

In exercise of the powers conferred by the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 vide Notification No. S.O. 730(E) dated 21 August 1995, published in the Gazette of India, Extra Ordinary, Part II, Section 3, Sub Section (ii), dated 21.8.1995…… *(Name of the facility)* having their registered office at ……..*(Address of the registered office)* is hereby granted approval / renewal of approval for a period of two years valid upto and including……..under Approval no…….. for…… ……..*(Nature of activity of the facility)* in its facility situated at ……

(Location of the facility) for export to all countries including European Union / Russian Federation, *(name of importing country)*, subject to the conditions that the approved facility shall continue to meet the requirements of GOI Notification No.S.O.730(E) dated 21.8.1995 and Regulation (EC) No 852/2004 & 853/2004 both dated 29.04.2004 / requirements of Russian Federation.

Place :	New Delhi	Signature :	
	Seal of EIC	Name :	Dr. S.K. Saxena
Date :		Designation :	Director (Insp. & Q/C)

3rd floor, NDYMCA Cultural Centre Building, 1, Jai Singh Road, New Delhi – 110 001 Tel : + 91-11-23365540, 23748189 Fax +91-11-23748024
E mail : eic@eicindia.gov.in - Web : www.eicindia.gov.in

ANNEXURE 21

To
The Agency In-charge,
Export Inspection Agency -

Sub: Application for approval of Technologist

Madam / Sir,

As I wish to become an EIA approved technologist, I am submitting the following details for your kind information. You may kindly arrange the assessment so as to approve me as a technologist for handling fish and fishery products meant for export and to carry out HACCP based own checks in approved factory vessels, fish processing establishments, or other related facilities.

I am enclosing a Demand Draft No. . . . . .dated . . . . for Rs. *2,000/-* drawn on . . . . . .Bank, in favour of Export Inspection Agency-.....towards assessment fee for approval of technologist.

1.		Name & Address with contact number Mr./Ms./Mrs.	
2.		Educational / Professional qualifications indicating main subject of study (Only degree level & postgraduate qualifications need be shown.) (Attach attested copies of the certificates)	
3.		Date of Birth	
4.		If employed, name of employer with Approval No. of the factory vessel/ fish processing establishment/other facility, where presently posted and designation.	
5. A		Particulars of training undergone in the field of fish processing and / or quality control / microbiological testing at EIA/CIFT.(attach the certificate)	
5. B		Copy of the certificate issued by EIA for undergoing training in microbiological analysis of fishery products	
6.		Experience (in number of years) in the field of fish 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)	
Place		Signature:	
Name:		Date	

Annexure 21 A

(To be typed on the company letterhead of the employer establishment seeking approval of its technologists)

To
The Joint Director
Export Inspection Agency –

Sub: **Application for approval of Technologist(s)**

Madam/Sir,

We request that the following employees of our facility who possess the required qualification and experience prescribed at Rule 9.6.1 of the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 be assessed and approved as Technologist(s) to carry out the duties in our facility in accordance with Rule 9 of the said Rules.

We are enclosing a Demand Draft No.....dated .....for Rs..... drawn on .....Bank in favour of Export Inspection Agency - ..... towards assessment fee for approval of technologist(s)

S. No.	Name of the employee (Mr./Ms./Mrs.) with Date of Birth below the name.	Degree level & Post Graduate Qualifications Showing main subject(s) of study	Experience in the field of fish processing/Quality Control (Years)	Training, if any, in Microbiological Testing at EIA/CIFT/Food Safety/Fish Processing/ Quality Control

2. Approval number of our facility:

3. We attach herewith the attested copies of the degree certificate(s), experience certificate(s) and training certificate(s) in respect of each employee mentioned above with an understanding that the originals will be produced at the time of assessment.

Place: Signature:

Date ; Name:

Designation:

ANNEXURE 22

EXPORT INSPECTION AGENCY – _____

REPORT OF ASSESSMENT OF TECHNOLOGIST (F&FP)
(For Individual Applicants)

1.	Name of the technologist	Mr./Ms.
2..	Educational/professional qualifications	
3.	Experience in fish processing / QC	
4.	Date of Assessment	
5.	Whether the qualifications and experience are verified	Yes / No
6.	a) Is this the first approval of technologist or renewal of the approval? b) If this is a case of renewal of approval, was there any major lapse on his/her performance during the last 2 years?	First Approval/Renewal
	Factors of assessment	Panel observations
7.	Ability to supervise fish processing operations	
8.	Knowledge of sampling techniques	
9.	Knowledge of organoleptic inspection of fishery products	
10.	Knowledge of microbiological testing of fishery products	
11.	Knowledge of chemical testing of fishery products	
12.	Knowledge of sanitation & hygiene control	
13.	Knowledge of HACCP based own checks system	
14.	Knowledge of record keeping	
15.	Knowledge of FFP Notifications and Executive Instructions/ EC directives	
16.	Quality Consciousness	
17.	Knowledge of regulatory Requirements of importing countries	

REMARKS/RECOMMENDATIONS OF THE PANEL OF EXPERTS

The APE recommends / does not recommend the approval / renewal of approval of aforesaid technologist for 2 years. (Strike out whichever is not applicable)

Signature				
Name				
Designation	In-charge of Agency	Deputy Director (F&FP)	Deputy Director (lab)	
Organisation	EIA	EIA	EIA	
D a t e				

ANNEXURE 22 A

EXPORT INSPECTION AGENCY – _____

REPORT OF ASSESSMENT OF TECHNOLOGIST (F&FP)
(For Sponsored candidates whose employer is the applicant)

1.	Name & Address of the factory vessel / pre-processing centre (independent / detached) / establishment, in which the candidate is employed:	
2.	Approval No. of the facility	
3.	Name of the technologist	Mr./Ms.
4.	Educational/professional qualifications	
5.	Experience in fish processing / QC	
6.	Date of Assessment	
7.	Whether the qualifications and experience are verified	Yes / No
8.	a) Is this the first approval of technologist or renewal of the approval? b) If this is a case of renewal of approval, was there any major lapse on his/her performance during the last 2 years?	First Approval/Renewal
9.	Ability to supervise fish processing operations	
10.	Knowledge of sampling techniques	
11.	Knowledge of organoleptic inspection of fishery products	
12.	Knowledge of microbiological testing of fishery products	
13.	Knowledge of chemical testing of fishery products	
14.	Knowledge of sanitation & hygiene control	
15.	Knowledge of HACCP based own checks system	
16.	Knowledge of record keeping	
17.	Knowledge of FFP Notifications and Executive Instructions/ EC directives	
18.	Quality Consciousness	
19.	Knowledge of regulatory Requirements of importing countries	

REMARKS/RECOMMENDATIONS OF THE PANEL OF EXPERTS

The APE recommends / does not recommend the approval / renewal of aforesaid technologist for 2 years. (Strike out which is not applicable)

Signature				
Name				
Designation	In-charge of Agency	Deputy Director (Fish Scheme)	Deputy Director (lab)	
Organisation	EIA	EIA	EIA	
Date				

ANNEXURE 23

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

Certificate of Approval

In exercise of the powers conferred by the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 vide Notification No. S.O.730 (E) dated 21 August 1995, published in the Gazette of India, Extra Ordinary, Part II, Section 3, Sub Section (ii) dated 21.08.1995,

Sh./Smt./Ms. ……*(Name of the Technologist)*, holding.....*(Qualification)* and residing at .....*(Residential address)* is hereby approved as a technologist to handle Fish & Fishery Products meant for export for a period of two years valid up to and including ……..... for approval no. ....., 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 to be reassessed by the APE for granting fresh approval. You shall get yourself assessed (at-least 2 months) before the expiry of the approval.

Place		Signature	
Date		Name	
		Designation	Joint Director (I/C)

ANNEXURE 23A

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

Certificate of Approval

In exercise of the powers conferred by the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 vide Notification No. S.O.730 (E) dated 21 August 1995, published in the Gazette of India, Extra Ordinary, Part II, Section 3, Sub Section (ii) dated 21.08.1995, the following employee(s) of the establishment/facility named below is/are hereby approved as technologist(s) to handle Fish & Fishery Products meant for export for a period of two years valid up to and including ……..at the establishment/facility stated subject to the condition that the performance of the technologist(s) 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:

SL No.	Name of the employee	Qualification

Name of the employer Establishment / Facility:	M/s
Approval Number of the establishment / facility:	

If any of the above technologists shifts employment, during the currency of this approval, to another establishment, he/she or the new employer shall seek fresh approval of the technologist. Moreover, after the expiry of the validity of the approval, the technologist(s) shall to be reassessed by the EIA for granting fresh approval. The establishment shall apply for fresh assessment and approval of the above technologist(s) at least two months before the expiry of the current approval.

Place		Signature	
Date		Name	
	Seal of the Agency	Designation	Joint Director (I/C)

ANNEXURE 24

APPLICATION FOR APPROVAL
(For additional facilities/processing activities)

From
M/s……

To
The Officer In-charge
Export Inspection Agency -

Sir,

Please carry out the assessment of our factory vessel / freezer vessel / pre-processing centre / ice plant / establishment / cold store for **approval of additional facilities / activities** as required under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules 1995 and also the requirements communicated by EIC from time to time.

We furnish below the information regarding the **additional facilities/processing activities** added in our factory vessel / freezer vessel / pre-processing centre / ice plant / establishment / cold store. We undertake that our factory vessel / freezer vessel / pre-processing centre / ice plant / establishment / cold store meets the requirements stipulated in Export of Fresh, Frozen and Processed Fish and Fishery products (quality Control Inspection and Monitoring) Rules 1995 and also the other requirements specified by the importing countries.

Please find enclosed a Demand Draft /Pay Order bearing no. _____ dated ____ for Rs.12,000/- towards the application and assessment fee.

1.	**General Information**	
1.1	Name and address of factory vessel / freezer vessel / pre-processing centre / ice plant / establishment / cold store seeking approval for additional facilities/activities.	
1.2	Address of registered office	
1.3	Processor Code number, allotted by EIA	
1.4	Name of the Chief Executive (MD/Mg. Partner/Proprietor) with telephone, fax, E-mail address	
1.5	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 EU/importing country regulations?	
2.3	Whether walls, floor and roof are smooth and easily cleanable?	
2.4	Whether windows, ventilators and doors are made as per norms?	
2.5	Are the lighting and ventilation adequate?	
2.6	Whether adequate washing and sanitizing facilities provided?	
2.7	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 EC/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	Are 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	Furnish details of MPEDA registration of the new facility (If applicable)	
4.11	Whether the new facility has been incorporated in the HACCP manual suitably?	
5.	**Additional activities**	
5.1	Specify the additional activities for which approval is sought 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	Are the employees maintaining good hygienic practices?	
5.7	Whether cooking /blanching /pasteurisation etc. activities involved for the new facility?	
5.8	If so, are the time/temperature controls properly validated by an approved agency?	
5.9	Whether additional man-power is required for the new process activity?	
5.10	If so, give details of additional employees / supervisors/ technologist recruited	
5.11	Whether additional equipment, machineries required for the new process activity?	
5.12	If so, give details of equipment, machineries erected/ acquired	
5.13	Are the new gauges and thermometers calibrated?	
5.14	Whether calibrated automatic temperature recording devices have been installed where applicable?	
5.15	If additional source water and ice are required for processing new product, whether the same are tested as per 98/83/EC/IS:4251?	
6.	Any other information	
		Yours faithfully
	Signature	
	Name	
Place	Designation	
Date	Company seal	

Check List of enclosures

1. Demand Draft/Pay Order for Rs.12,000/-

2. Up-to-date layout plan of applicant's facility 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 and ice (as per the Directive 98/83/EC/IS 4251) where applicable
6. HACCP manual, where applicable
7. Attested copy of MPEDA registrations certificate of additional facilities, where applicable.

ANNEXURE 25

EXPORT INSPECTION AGENCY
MINISTRY OF COMMERCE
GOVERNMENT OF INDIA

ASSESSMENT REPORT FOR ADDITIONAL FACILITIES / PROCESSING ACTIVITIES
(

Date of visit :
Type of visit :
Composition of the Assessment Team: :

Sl. No.	Name of Expert	Designation	Organisation
i.			
ii.			
iii.			
iv.			

1.	**General Information**	
1.1	Name and address of factory vessel / freezer vessel / pre-processing centre / ice plant / establishment / cold store seeking approval for additional facilities / activities.	
1.2	Address of its registered office	
1.3	Approval number, allotted by EIA	
1.4	Name of the Chief Executive (MD/Mg.. Partner/Proprietor) with telephone, fax, E-mail address	
1.5	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 EU/importing country regulations?	
2.3	Whether walls, floor and roof are smooth and easily cleanable	
2.4	Whether windows, ventilators and doors are made as per norms?	
2.5	Are the lighting and ventilation adequate?	
2.6	Whether adequate washing and sanitizing facilities provided?	
2.7	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 detail	
4.2	Whether the additional facilities created are in line with the requirements of GOI notification and EC/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	Whether 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	Furnish details of MPEDA registration of the new facility (If applicable)	
4.11	Whether the new facility has been incorporated in the HACCP manual suitably.	
5.	**Additional activities**	
5.1	Specify the additional activities for which approval is sought, 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	Are the employees maintaining good hygienic practices?	
5.7	Whether cooking /blanching /pasteurisation etc.activities involved for the new facility?	
5.8	If so, are the time/temperature controls properly validated by an approved agency?	
5.9	Whether additional manpower is required for the new process activity?	
5.10	If so, give details of additional employees / supervisor(s)/ technologist(s) recruited	
5.11	Whether additional equipment, machineries required for the new process activity?	
5 .12	If so, give details of equipment, machineries erected/ acquired	
5.13	Are the new gauges and thermometers calibrated?	
5.14	Whether calibrated automatic temperature recording devices have been installed where applicable?	
5.15	If additional water and ice 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 Assessment Panel of Experts (APE)	
	Name of unit :	
	Location :	
	Processor code No. allotted by EIA	
	Nature of activities already approved	Packing of Chilled F&FP/Freezing of raw/cooked F&FP/Canning/Retort Pouch Packing of F&FP/Ice manufacture/Frozen storage of F&FP/Others (Specify)
	Countries to which the above unit is eligible to process	All countries including the European Union (EU) & Russian Federation Countries other than EU & RF

	Fishery products, which may be allowed to be processed in the above unit.	Shrimps and other crustaceans cephalopods Fish Other (specify)
	Additional facilities/activities requested for approval	

The above additional facilities / processing activities of the factory vessel / freezer vessel / pre-processing centre / ice plant / establishment / cold store may **not be approved** under the Export of Fresh Frozen and Processed Fish and Fishery products (Quality Control, Inspection and Monitoring) rules 1995. The deficiencies observed are given in the attached sheet duly signed by the panel.

Or

The above additional facilities / processing activities of the factory vessel / freezer vessel / pre-processing centre/ ice plant/ establishment / cold store **may be approved** under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995.

Suggestions for improvement, if any:

Signature:			
Name:			
Designation:			
Organization:			
Date :			

ANNEXURE 26

APPLICATION FOR RENEWAL OF APPROVAL
(Factory Vessel/ Pre-processing Centre/ Establishment)

(To *be submitted in duplicate TWO months before the expiry of current approval)*

From

……
……
……

To

The Officer In-charge,
Export Inspection Agency – _____

Sir,

The approval granted to our factory vessel/pre-processing centre/ establishment, particulars of which are given below, to process fishery products for export / to pre-process fish and fishery products for supply to our main establishment/approved establishments for further processing and export under the Export of Fresh, Frozen & Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 may kindly be renewed for a period of 2 years from the date of expiry of the earlier approval.

We enclose pay order / DD No. . . . . dated . . . . for `.12,000/- drawn on . . . . . Bank in favour of Export Inspection Agency- .....towards application fee and assessment fee.

1.	Name and address of the unit (factory vessel / pre-processing centre / establishment)	
2.	Approval Number allotted by EIA	
3.	Date of expiry of current approval	
4.	Address of the registered office of the establishment (If different from the one at Sl. No.1 above) with telephone no.& fax	
5.	Nature of activities for which the establishment is approved and renewal sought	Freezing of raw fishery products/Canning of F&FP/Drying of F&FP/Packing of Chilled F&FP . . . . .
6.	Approval sought to process fishery products for export to:	All countries including EU/ Russian Federation /non-EU countries other than Russia
	In case of PPC specify whether independent or detached	
	If detached, give name & Ap..no of main unit	
7.	Export during last two years (with details of volume, value, destination etc.)	
8.	Annual Production during the last two years (Verity wise/type wise)	

9.	No. of complaints received from foreign buyers/importing countries during the last two years (give year wise details)	
10.	Nature of complaints & action taken with details	
11.	Details of changes in the name & in management, of the company if any	
12.	Name of the Chief Executive Officer (CEO)(with Telephone no., Fax, etc.)	
13.	Particulars of MPEDA Certificates of Registration in respect of: (a) Pre-processing Centre (Peeling Shed) (b) Processing Plant (c) Storage Premises (d) Freezing facilities	Regna. Certificate No. Validity
14.	Pollution Control Board consent letter Number and its validity.	
15.	Test Report Number, date and name of approved laboratory in respect of water used for processing and ice manufacture.	
16.	Date of review/revision of HACCP manual	
17.	No. of technologists (approved and non-approved)	
18.	Layout changes, if any, during the last two years	
19.	Additional facilities/equipment provided, if any, during the last two years	
20	Type of raw materials used	
21.	Source of raw material of fishery products used (Sea caught or aquacultured or both)	
22.	Name & Address of the merchant exporter(s) presently catering to	
23.	Name & Address of merchant exporter(s) catered for last two years	
24.	Any other relevant information	
		Signature :
		Name :
	Place:	Designation :
	Date:	Company Seal :

(Strike which ever not applicable)

ANNEXURE 27

EXPORT INSPECTION AGENCY –

No. EIA/ Date:

To

(Name & Address of the unit)

Dear Sirs,

Sub: Renewal of Approval to process fishery products for export / to pre-process fish and fishery products for supply to its main establishment/approved establishments for further processing / to produce ice for supplying to its main establishment/ approved facilities / to store frozen fishery products of approved units / to breed / rear finfish / shellfish for supply to export oriented aqua farms / to produce feed for aquaculture animals meant for export / to rear finfish / shellfish for supply to F&FP establishments / to catch and handle F&FP meant for export / to display and auction/ Sale of wild caught F&FP meant for export

Ref: Approval No. _____; Validity of current approval: Up to _____

The approval accorded to your unit for the aforesaid activity will expire on the date shown above. If you wish to maintain the approval status beyond the date of expiry, you will have to seek renewal of approval at least 60 days before the date of expiry of current approval. A format of the application for renewal of approval is enclosed for your convenience.

Your application, in duplicate, along with relevant documents and application fee & audit fee by way of demand draft/ pay order drawn in favour of Export Inspection Agency - _____ may please be sent to this office at least 60 days before the date of expiry of the current approval.

On receipt of your application complete in all respect, arrangements will be made to get your unit assessed by the Assessment Panel of Experts for considering suitability of of your unit renewal of approval. You shall ensure that the establishment has production at the time of actual assessment.

Yours faithfully,

Deputy Director of F & FP

Encl: Format of application for renewal of approval

ANNEXURE 28

EXPORT INSPECTION AGENCY - _____
(Ministry of Commerce, Govt. of India)

ASSESSMENT REPORT OF FACTORY VESSEL / PRE-PROCESSING CENTRE (INDEPENDENT / DETACHED) / ESTABLISHMENT FOR RENEWAL OF APPROVAL

Date of Visit :

Type of Visit : Assessment Panel of Experts (APE)

Composition of APE

Sl. No.	Name of Expert	Designation	Organisation
1. 2. 3. 4.			

1.	**General Information**	
1.1	Name and address of the facility (factory vessel/PPC/ establishment) seeking renewal of approval	
1.2.	Approval Number (Processor Code)	
1.3.	Name of the Chief Executive (MD/Mg. Partner/Proprietor)	
1.4.	Is the facility owned or leased by the applicant	Owned / Leased
1.5.	If leased, name of the facility owner, facility name and address:	
1.6.	Expiry date of validity of approval	
1.7.	Nature of activities for which the establishment is approved (Strike off inapplicable ones)	Packing of Fresh /Chilled F&FP/ Freezing of raw Frozen F&FP (IQF/Block / IF) Freezing of blanched /Cooked F&FP Freeze drying of fishery products Canning/ Retort Pouch Packing of F&FP Packing of acidified Fishery products Drying / salting & drying of F&FP Drying of fish maws Any other (Specify) Pre-processing of F&FP for supplying pre-processed F&FP to its main establishment /approved units
1.8.	Approval sought to process Fish & Fishery Products for export to (countries)	1.All Countries including the EU 2. Russian Federation

		3.Countries other than EU & Russia
1.9.	Additional activities, if any	
1.10	No. of working hours per day	
1.11	No. of working days per week	
2.	**Information on Structure of the Establishment**	
2.1.	Number of pre-processing facilities/units	
2.2.	Whether the pre-processing facility is integrated to the main establishment?	
2.3.	If separate, give address (es) and distance from the establishment	
2.4.	Whether the unit has acquired any additional pre-processing facility during last two years.	
2.5.	Whether the pre-processing facility is under the control of the establishment?	
2.6.	Does the establishment have own ice plant?	
2.7.	If so, is it integrated?	
2.8.	If separate, give address(es) and distance from the establishment	
2.9.	Total capacity (Type-wise-Flake/Tube/Block etc.) of approved ice plants under the control of the establishment	
2.10	Number and capacity of the chill room(s)	
2.10 a)	Number and capacity of the Frozen Storage(s)	
2.11	Is frozen storage integrated to the unit?	:
2.12	Number of vehicles the establishment has for transportation of raw material, finished product, ice and water. **a)** Refrigerated Vehicle **b)** Insulated Vehicle **c)** Non – Insulated Vehicle **d)** Three Wheeler **e)** Water tanker	<table><tr><td>Number</td><td>Capacity</td><td>Regna. number</td></tr><tr><td></td><td></td><td></td></tr></table>
2.13.	Does the establishment hire outside vehicles?	}

<table>
<tr><td></td><td></td><td></td></tr>
<tr><td>2.14.</td><td>Whether any structural additions have been made since last approval / renewal of approval?
If so, give details:</td><td></td></tr>
<tr><td>3.</td><td colspan="2">Information about personnel</td></tr>
<tr><td>3.1.</td><td>No. of approved technologists</td><td></td></tr>
<tr><td>3.2.</td><td>Whether the No. of technologists adequate?</td><td></td></tr>
<tr><td>3.3</td><td>Technologist details</td><td>
<table>
<tr><td>Sly No.</td><td>Name of technologist</td><td>Qualification</td></tr>
<tr><td></td><td></td><td></td></tr>
<tr><td></td><td></td><td></td></tr>
</table>
</td></tr>
<tr><td>3.4.</td><td>No. of Supervisors</td><td>:
Pre-processing

Processing</td></tr>
<tr><td>3.5.</td><td>Total No. of Male Workers</td><td></td></tr>
<tr><td>3.6.</td><td>Total No. of Female Workers</td><td></td></tr>
<tr><td>3.7.

3.8</td><td>No. of work shifts per day

Duration of each shift:</td><td></td></tr>
<tr><td>4.</td><td colspan="2">Raw Material</td></tr>
<tr><td>4.1</td><td>Specify the type of raw materials other than fishery products, if any, used with source & quantity used/day</td><td></td></tr>
<tr><td>4.1(a)</td><td>Specify the ingredients/ additives used</td><td></td></tr>
<tr><td>4.1.(b)</td><td>Source of raw material of fishery products</td><td>Marine / Culture / Others (Specify)</td></tr>
<tr><td>4.2.</td><td>Mode of transport of raw material from source to pre-processing</td><td></td></tr>
<tr><td>4.3.</td><td>Is there any arrangement for traceability of raw materials?</td><td></td></tr>
<tr><td>5.</td><td colspan="2">Surroundings</td></tr>
<tr><td>5.1.</td><td>Whether the conditions of approval are still maintained satisfactorily *</td><td>Yes / No</td></tr>
<tr><td>5.2.</td><td>If not, what are the deficiencies?</td><td></td></tr>
<tr><td>6.</td><td colspan="2">Construction and Layout</td></tr>
<tr><td>6.1.</td><td>Whether the conditions of approval are still maintained satisfactorily?</td><td></td></tr>
</table>

6.2.	If not, what are the deficiencies?	
7.	**Plant facility**	
7.1	Are there adequate facilities for the following?	
7.1.(a)	Storing inedible material, disinfectants and insecticides	
7.2.	Separate storage for wet and dry items	
7.3.	Storing packaging material	
7.4.	Rest room for workers	
7.5.	Changing room for workers	
7.6.	Vehicle Washing	
7.7.	Water treatment plant	
7.8.	Alarm system to give warning when power fails	
7.9.	Generator	
7.10.	Toilets	
8.	**Raw material receiving section**	
8.1.	Whether the conditions of approval are still maintained satisfactorily? *	
8.2.	If not, what are the deficiencies?	
9.	Chill Room	
9.1.	Is chill room provided for storing raw material /pre-processed material?	
9.2.	Is it maintained as required?	
10.	**Pre-processing Section**	
10.1.	Whether the conditions of approval are still maintained satisfactorily? *	
10.2.	If not, what are the deficiencies?	
11.	**Processing Section**	
11.1.	Whether the conditions of approval are still maintained satisfactorily? *	
11.2.	If not, what are the deficiencies?	
12.	Water & Ice	
12.1.	Whether the source of water and water management system are same as at	Yes / No

	the time of approval	
12.2.	If not, what are the changes and whether these meet the requirements?	
12.3.	Whether water used for processing and ice making is tested regularly?	
12.4.	Whether the source of ice is same as at the time of approval?	
12.5.	If not, what are the changes and whether these meet the requirements?	
13.	**Salt/Chemicals/Additives**	
13.1.	Whether salt, chemicals and additives, if used, tested/approved and records maintained as required?	
13.2.	If not, what are the deficiencies?	
14.	**Freezing**	
14.1.	Whether the number and type of freezers are the same as at the time of approval?	
14.2.	If not, what are the changes?	
15.	**Packaging and Frozen Storage**	
15.1.	Whether the conditions of approval are still maintained satisfactorily?	Yes / No
15.2.	If not, what are the deficiencies?	
16	**Toilet Facilities**	
16.1.	Whether the conditions of approval are still maintained satisfactorily? *	Yes / No
16.2.	If not, what are the deficiencies?	
17.	**Personnel Hygiene**	
17.1.	Whether the conditions of approval are still maintained satisfactorily? *	Yes / N
17.2.	If not, what are the deficiencies?	
18.	**Cleaning and Disinfection of Plant, Equipment and Utensils**	
18.1.	Whether the conditions of approval are still maintained satisfactorily? *	Yes/No
18.2	If not, what are the deficiencies?	:
19	**Changing Room**	

19.1	Whether the conditions of approval are still maintained satisfactorily?	Yes/No
19.2	If not, what are the deficiencies?	
20.	**Effluent Treatment**	
20.1.	Does the unit have an efficient effluent treatment system?	
20.2.	Does it comply with the statutory requirements?	
21.	**Maintenance Schedule**	
21.1.	Whether the documented maintenance procedure is adequate and records of maintenance kept?	
21.2.	If not, what are the deficiencies?	
22.	**HACCP**	
22.1.	Whether the HACCP system is same as at the time of approval and is maintained as required?	Yes / No
22.2.	If not, what are the changes and whether these changes are as required?	:
22.3	Whether CCPs have been identified correctly and monitored properly?	
22.4	Whether the implementation of HACCP is proper and adequate	
22.5	Whether GMP & GHP is adequate to ensure the safety of the product processed?	
23.	**Rodent / Vermin Control**	
23.1.	Whether the documented rodent/vermin control system is adequate and records maintained?	
23.2.	If not, what are the deficiencies?	
24.	**Transportation**	
24.1.	Are the facilities for transport of raw materials and finished products, and for cleaning and sanitisation of transport vehicles satisfactory?	Yes / No
24.2.	If not, what are the deficiencies?	
25.	Inspection and Testing	
25.1.	Are the inspection and testing facilities adequate?	Yes / No
25.2	If not, what are the deficiencies?	
25.3	Is the unit testing all the specified parameters as per the laid down	

	frequency?	
25.4	Whether the in-house lab is recommended for approval?	

26.	**Recommendations of the APE**	
	Name of the Factory vessel/ PPC/ Establishment	
	Location	
	EIA Approval No. (Processor Code)	
	Nature of activities of the unit	Packing of Fresh /Chilled F&FP Freezing of raw Frozen F&FP (IQF/Block/ IF) Freezing of blanched /Cooked F&FP Freeze drying of fishery products Canning/Retort Pouch Packing of FFP Packing of acidified Fishery products Drying / salting & drying of FFP Drying of fish maws Any other (Specify) Pre-processing F&FP to supply to its main establishment/ approved establishments

The approval granted to the above unit under the Export of Fresh, Frozen and Processed Fish & Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 to process fishery products for export / to pre-process F&FP for further processing in approved establishment(s) for export to all countries including the European Union / Russian Federation / non-EU countries other than Russia may be renewed for a further period of 2 years from the date of expiry of the last approval.

Or

The approval granted to the above unit under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 to process fishery products for export/ to pre-process F&FP for further processing in approved establishment(s) for export to all countries including the EU / Russian Federation/non-EU countries may not be renewed for the reasons given in the enclosed sheet duly signed by the panel.

In case of detached PPC, specify name & approval number of main unit	

<u>suggestions for improvement, if any:</u>

Signature :			
Name :			
Designation :			
Organization :			
Date :			

ANNEXURE 29

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

No. EIA/ Date:

The Director (I&Q/C)
Export Inspection Council of India
3rd floor, NDYMCA Cultural Centre Building
1, Jai Singh Road
New Delhi –110 001.

Sir,

Sub: Renewal of approval of factory vessel / freezer vessel / pre-processing centre (independent / detached) / ice plant (independent / detached) / establishment / cold storage (independent / detached)

The Assessment Panel of Experts (APE), which assessed the following facility for the purpose of renewal of approval, has recommended that the approval granted to the unit to process fishery products for export/ to pre-process fishery products/ to produce ice/ to store frozen fishery products meant for export to all countries including the European Union may be renewed for a further period of two years from the date of expiry of the current approval: The HACCP audits conducted during the present approval period were found satisfactory. *(Strikeout whichever is not applicable)*

Sl.No	Name and Address of the establishment / factory vessel/freezer vessel/PPC, ice plant/ cold store with scope of approval	App. No.	Date of expiry of current approval	Date up to which the approval is recommended to be renewed	Date of visit	Category	If, detached PPC, ice plant & cold store, specify name & approval no. of main unit.

In view of the above, we enclose copies of the following documents in respect of the above facility and recommend that the approval granted to process fishery products for export/ to pre-process fish and fishery products for supplying to its main establishment/approved establishments /to produce ice (block / flake/ tube) for supplying to its main establishment/approved facilities / to store frozen fishery products of its main establishment/approved establishments meant for export to the European Union (EU)/ Russian Federation under the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 may be renewed as suggested above:

(i) Application for renewal of approval.
(ii) APE assessment report of unit for renewal of approval.
(iii) HACCP audit reports (as applicable)
(iv) In case the unit is on 'internal alert' due to RASFF Notification issued by EC / other rejection from importing country, the current status report of action taken shall also be submitted as per **Annexure 31 (Page No. XXXXX)**

It is submitted that arrangements may kindly be made to issue formal Certificate of Approval to the establishment with renewed validity period.

Yours faithfully

In-charge of Agency

Encl: As stated
Copy to: Party File: ( )

ANNEXURE 30

EXPORT INSPECTION AGENCY - _____

Statement of Performance of Unit
(for the past two years)

Name and address of the facility:

Approval No. :

Period of report : From . . . . . till date.

Monitoring Visits (MV)		Supervisory Visits (SV)		Lab. Test Reports (LR)		Complaints from importing country or importer
(a) No. of MV		(a) No. of SV		(a) No. of LR		a) No. of Complaints
(b) Overall Performance of the Unit	Satis factory /Unsatis-factory	(b) Overall Performance of the Unit	Satis-factory /Unsatis-factory	(b) Overall Performance of the Unit	Satis-factory /Unsatis-factory	(b) Details of Complaints
(c) If performance is unsatisfactory, main reasons for it:		(c) If performance is unsatisfactory, main reasons for it:		(c) If performance is unsatisfactory, main reasons for it:		

Signature of Deputy Director of the scheme :

Date : N a m e :

Place : Designation :

ANNEXURE 31

EXPORT INSPECTION AGENCY----------

Status report on F&FP Establishment, which had complaint from EU, Russia, Non-EU

As on dated……..

1.	Name and Address of the F&FP establishment	
2.	Approval No.	
3.	Details of Complaints: (a) Nature of complaint (b) RASFF Notification (c) Product (d) Health Certificate No. (e) Complaint Country (f) Whether this is the first / second / third complaint in the current calendar year (Specify category of contaminants / defects such as "residue / microbiological / Organoleptic" of repeated rejections)?	
4.	Date of placing the unit under ' "internal Alert"	
5.	Current Status and Location of the consignment in question a) Whether the consignment has been brought back to India b) If brought back, details of tests ➢ Test results by EIA (pl. mention the actual test results obtained, name of the lab. & name of the sampler) ➢ Test results by other EIC approved lab (pl. mention the actual test results obtained, name of the lab., and name of the sampler) ➢ Action taken, if any c) If not brought back, status of the consignment:	
6.	Assessment of the establishment a) Date of assessment b) Composition of assessment team c) Outcome of the Assessment 1) Whether the unit meets the requirements of S.O 730(E) and that of importing country? 2) Implementation of HACCP 3) Routine testing by the unit 4) Traceability and the source of raw material used for the consignment in question. 5) Details regarding pre harvest test report, if applicable (Pl. specify the actual test results	

	found) 6) Details of the in-house testing, if applicable (Pl. specify the actual test results found and the name of the approved technologist who tested) 7) Whether the consignment has been tested prior to shipment for the contaminant(s)_ in question (Pl. specify the actual test results found and the name of the lab. and the sampler) 8) Test result of the reference sample which was drawn for the pre export testing (specify the test result, test method, which EIA lab it was tested and if found positive then whether the lab was audited and what is the outcome that audit report) 9) Test results found by the importing country (name of the lab and actual test results) 10) Test results of samples drawn during assessment (with details like number of samples, test methods, name of the Lab etc.) 11) In case of 2nd / 3rd complaint – the outcome of lab. audit and the action taken 12) Outcome of investigation of farm, hatchery, feed mill, landing site, as applicable 13) Root cause of the contamination / rejection 14) Corrective action suggested / implemented, if any.	
7.	Current status of Sanitation/Hygiene of the unit(after placing the unit ' on alert') • No. of Monitoring Visits (MV) conducted • No. of Satisfactory MVRs including Lab reports No. of unsatisfactory reports with details of non-compliance	
8.	Details of consignment inspection/Batch Codes tested (with details of testing method, Lab etc.) (a) EU Consignments (5 Consignments/ 3 Batch codes) ▪ No. of consignments tested / 3 Batch. codes ▪ No. of consignments/ codes passed ▪ No. of consignments/codes failed ▪ Reason for failure/other remarks (b) Non EU consignent (1 in 2 consignments) ▪ No. of consignments tested ▪ No. of consignments passed ▪ No. of consignments failed(state reason) (c) In case of 2nd & 3rd rejections of same category ▪ No. of additional consignments tested	

	▪ No. of additional consignments passed ▪ No. of additional consignments failed (state reason) Present status: ▪ Change in Frequency of Monitoring (F.M.), if any ▪ Date of Revocation of 'Internal alert' ▪ Action pending, if any	

Signature
(Name & designation)

ANNEXURE 32

(To be typed on company letterhead)

To
The Joint Director-
Export Inspection Agency- _____

Sir,

Sub : Request for permission to process and pack fish & fishery products for export by merchant exporter.
Ref .: Approval Number of the unit _____

We request that permission may kindly be granted to us to process and pack fish & fishery products in our approved processing establishment for export by the following merchant exporter(s).

1) Name & Address of the merchant exporter(s) :
2) Countries to which exports are proposed to be made :
3) Production capacity of the unit as fixed by EIC/EIA :
4) MPEDA registration no. and validity of Merchant exporter

We hereby state that we, as approved processor, shall be responsible for the quality and safety of the fishery products processed and packed by us for export by the merchant exporter(s). We also undertake to comply with the directions that may be given in this regard by EIC/EIA and assure that the production capacity fixed by EIA for our establishment will not be exceeded at any time.

We also assure you that fishery products meant for export by the merchant exporter(s), for which Certificate for Exports are to be issued by us, will only be processed in our approved unit under our control and the products will not be taken out of our control or stored in unauthorised/un-approved cold storages by the merchant exporter(s).

We also undertake that we shall be responsible and liable for any act of omission or commission by the merchant exporter(s) in respect of any quality issue or in respect of any trade related issues including cheating.

Yours faithfully,

Signature :
Name :
Designation :
Company Seal :

Place :
Date :

Encl.
1. Certified true copy of the agreement entered into between the processor and the merchant exporter(s).
2. Declaration from merchant exporter(s) stating that he will abide by the rules and regulations laid down by EIC/EIA and also that of MPEDA.
3. Certified true copy of MPEDA registration given to the merchant exporter(s) concerned.

ANNEXURE 33

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

No. EIA/ Date :

Dear Sirs,

Sub: Permission to process and pack Chilled/Frozen Fishery Products for merchant exporter: M/s. (*Name and address of merchant exporter*)

Ref: Your letter dated _____

With reference to your letter cited above, you are informed that you are permitted to process and pack Fish & Fishery Products for export by merchant exporter: M/s. (*Name and address of merchant exporter*), to any country including EU/Russia/Non EU countries, subject to the following conditions:

1. The export packages must bear the name, address and approval number of the approved processing establishment and also the name and address of the merchant exporter;
2. The approved processor (M/s. (*Name and address of processor)*, with approval No. …….) shall be responsible for the quality and safety of the fishery products processed by it for export by the merchant exporter;
3. The approved processor shall ensure that the consignments of fishery products processed by it for export by the merchant exporter are not taken out of its control or stored in unauthorised/unapproved cold storages by the merchant exporter before the actual shipment for export; and
4. The approved processor shall maintain proper records showing the details of fishery products processed by it for the merchant exporter and such records shall be made available to the monitoring officials of the EIC/EIA for verification.
5. The approved processor shall ensure that the CFE issued by it in favour of the merchant exporter shall be counter signed by the EIA concerned.
6. The approved processor shall be responsible for obtaining health certificate for consignments prior to shipment.
7. *The validity of the permission granted by EIA for processing and packing F & FP in favour of merchant exporter shall be co-terminus with the validity of the approval of the establishment / validity of the agreement entered between the processor and the merchant exporter / validity of the registration as merchant exporter with MPEDA, WHICHEVER IS EARLIER.*

Please acknowledge receipt.

Yours faithfully,

In charge of Agency

Copy to:
a) The Joint Director, EIC, New Delhi-110001.
b) The Officer In-charge, EIA-_____, SO: _____.

ANNEXURE 34

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

No. EIA/ Date:

To,

Dear Sirs,

Sub: Withdrawal of permission to process and pack Chilled/Frozen Fishery Products for merchant exporter.

Ref: (1) Your letter No. dated .

(2) Our letter No. EIA/ dated: .

In pursuance of your request cited above and also the request of the Merchant Exporter, the permission given to your facility to process and pack fish & fishery products for the following merchant exporter(~~s~~) is hereby withdrawn:

Name & Address of Merchant Exporter	

Yours faithfully,

[ ]
In-charge of the Agency

Copy to:
1. Director EIC, New Delhi-110001.
2. The officer in charge Export Inspection agency ……S.O. ……..

ANNEXURE 35

PARAMETERS OF WATER TO BE TESTED ONCE IN SIX MONTHS (98/83/EC)

S.No.	Parameters
1	Aluminium (Note No.1)
2.	Ammonium
3.	Colour
4.	Conductivity
5.	Clostridium perfringens (including spores) (Note-2)
6.	Escherichia, Coli (E.Coli)
7.	Hydrogen Ion concentration
8.	Iron (Note-1)
9.	Nitrite(Note-3)
10.	Odour
11.	Pseudomonas aeruginosa (Note-4)
12.	Taste
13.	Colony count 22°C and 37°C (Note-4)
14.	Coliform bacteria
15.	Turbidity

Note No.1	Necessary only when used as flocculent *
Note No.2	Necessary only if the water originate from or is influenced by surface water (*)
Note No.3	Necessary only when chlorination is used as a disinfectant (*)
Note No.4	Necessary only in the case of water offered for sale in bottles or containers
*	In all other cases, the parameters are in the list for audit monitoring

ANNEXURE 36

LIST OF RECORDS TO BE MAINTAINED BY THE FACILITY

Types of records	Feed Mills	Hatchery	Aquaculture farms	Fishing vessels	Fishing harbours / Landing centers	Factory vessels	Freezer vessels	PPC	Ice Plant	Establishment	Cold Storages
Traceability records pertaining to raw material, preservative, chemical and frozen products (as applicable)	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Raw material receiving and evaluation records	Yes	Yes	Yes		Yes	Yes	Yes	Yes		Yes	
Temperature records					Yes	Yes	Yes	Yes		Yes	Yes
CDPR (Consolidated daily production register)						Yes	Yes	Yes	Yes	Yes	
Freezing & packing records						Yes	Yes			Yes	
Organoleptic evaluation records / Physical checking - condition of cargo						Yes	Yes	Yes		Yes	Yes
Microbiological / Chemical reports						Yes	Yes	Yes	Yes	Yes	
CCP monitoring records (if identified)	Yes	Yes				Yes	Yes	Yes	Yes	Yes	Yes
Corrective action and verification records	Yes	Yes				Yes	Yes	Yes	Yes	Yes	
Cleaning and sanitation records covering all areas	Yes					Yes	Yes	Yes	Yes	Yes	
Pest control records	Yes	Yes				Yes	Yes	Yes	Yes	Yes	Yes
Calibration records						Yes	Yes	Yes	Yes	Yes	Yes
Maintenance records						Yes	Yes	Yes	Yes	Yes	Yes
Training records	Yes	Yes				Yes	Yes	Yes	Yes	Yes	
Internal audit records	Yes	Yes				Yes	Yes	Yes	Yes	Yes	
HACCP review records	Yes	Yes				Yes	Yes	Yes	Yes	Yes	Yes
Personal Hygiene records	Yes	Yes				Yes	Yes	Yes	Yes	Yes	Yes
Health cards	Yes					Yes	Yes	Yes	Yes	Yes	
Incoming and outgoing of frozen products											Yes
Supply of preprocessing products to approved establishments								Yes			
All Input and output records	Yes	Yes	Yes	Yes							

Types of records	Feed Mills	Hatchery	Aquaculture farms	Fishing vessels	Fishing harbours / Landing centers	Factory vessels	Freezer vessels	PPC	Ice Plant	Establishment	Cold Storages
Traceability records pertaining to raw material, preservative, chemical and frozen products (as applicable)	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes	Yes
Raw material receiving and evaluation records	Yes	Yes	Yes		Yes	Yes	Yes	Yes		Yes	
Temperature records					Yes	Yes	Yes	Yes		Yes	Yes
CDPR (Consolidated daily production register)						Yes	Yes	Yes	Yes	Yes	
Freezing & packing records						Yes	Yes			Yes	
Organoleptic evaluation records / Physical checking - condition of cargo						Yes	Yes	Yes		Yes	Yes
Microbiological / Chemical reports						Yes	Yes	Yes	Yes	Yes	
CCP monitoring records (if identified)	Yes	Yes				Yes	Yes	Yes	Yes	Yes	Yes
Corrective action and verification records	Yes	Yes				Yes	Yes	Yes	Yes	Yes	
Cleaning and sanitation records covering all areas	Yes					Yes	Yes	Yes	Yes	Yes	
Pest control records	Yes	Yes				Yes	Yes	Yes	Yes	Yes	Yes
Supply of raw material to approved establishments			Yes	Yes	Yes						
Supply of ice to approved facility									Yes		
Dispatch register							Yes			Yes	

ANNEXURE 37

EXPORT INSPECTION AGENCY – .....
SUB OFFICE: .....
FREQUENCY OF MONITORING

REVIEW NO.....

1	Name of the approved facility	
2	Address of the approved facility	
3	Approval Number	
4	Date of Approval	
5	Current frequency of monitoring & Date of fixation	
6	Period under report	From To
7	Performance of the unit during the period under report based on Monitoring Reports and Lab Test Reports	Satisfactory / Non Satisfactory
8	Details of complaints/rejections, if any, during the period under report from EU/other importing countries including rejections on account of residues.	
9	Frequency of monitoring proposed for the unit	
10	Date Signature of the Officer –In charge Name of OIC: Designation: Date:	
11	For use of Head Office Review by In-charge of EIA at Head Office and recommended frequency of monitoring Signature of EIA In- charge Name: Designation: Date:	

Submitted for kind perusal and approval to:

In charge of Agency

ANNEXURE 38

EXOPORT INSPECTION AGENCY - _____

PARTICULARS OF INTRA LABORATORY CALIBRATION TESTS IN RESPECT OF THE LABORATORY OF SUB OFFICE: _____ FOR THE QUARTER

A. Intra Laboratory Calibration Tests (Frequency: Once in 3 months)

Name of the laboratory involved :
Date of sampling/completion of test :
Next due date :
Whether analysed by same person or by different analysts :

Particulars of sample	Parameters Tested	Test Results obtained		Percentage of variation in Results	Remarks (including action taken in case of variation)
		Sample (i)	Sample (ii)		

Signature of the Analyst(s)

Signature

In-charge of the Lab.

ANNEXURE 39

MONITORING REPORT

Date of Visit
Name of Feed Mill:
Approval Number:
Scope of approval
Product being processed at the time of visit
Name of technologist(s) present at the time of visit

Sl.		**Observations/suggestions**
(1)	(2)	(3)
General		
1.	Name & Designation of monitoring official last visited & date of visit	
2.	Whether the mill had rectified earlier non-Conformities (NCs)?	
3.	Mention NCs that are not rectified	
4.	What is the time frame given for rectification?	
5.	Results of samples tested in earlier visit	
6.	Action taken in case of failure of test results	
Facility & Hygiene Checks		
1.	Premises	
2.	Raw ingredients receiving area	
3.	Workers entry points	
4.	Change rooms & toilets	
5	Storage areas	
6	Milling section	
7.	Mixing section	
8.	Pelleting / extrusion section	
9.	Packing section	
10.	Machineries/equipment	
11	Tables and utensils	
12	Lights & ventilations	
13.	Floor, walls and roof	
14.	Packing material store	
HACCP Implementation		
1	Specify the CCPs identified by the Mill for different steps and products	
2	Whether monitoring of CCP is done properly?	
3	Whether any deviation in critical limit? If so whether corrective action taken?	
4	Whether the critical limits are validated regularly?	
5	What is the frequency of monitoring (sampling plan)?	
6	Who is responsible for monitoring? Whether he/she has undergone proper training frequently?	
7	Whether the instruments used for measurement are calibrated?	
11	Describe the verification procedures of the establishment	
12	What is the frequency of verification?	
13	Name & designation of person(s) responsible for verification	
14	Whether prerequisite programmes are in place?	
15	Whether SSOP & GMP are implemented properly?	
Own Check system (give observations on the following controls exercised by unit)		
1.	Raw ingredient control (purchase & storage control)	

2.	Process control	
3.	Product control	
4.	Time/Temp control	
5.	Control on additives /pre-mixtures	
6.	Control on contaminants	
7	Control on carry-over	
8	Control on waste	
9	Control on medicated feeding stuff	
10.	Calibrations & validations	
11	Pest control	
12	Personal hygiene	
13.	Maintenance	
Testing and inspection		
1.	Whether inspection & testing of own check samples are satisfactory?	
2	Whether samples are tested in house lab/ EIA lab/EIC approved lab?	
3	Number of approved technologists	
Check on Processing operations		
1	Number of supervisors responsible for production	
2	Name & designation of the person responsible for storing/handling additives/ pre-mixtures/ medicated products	
3	Whether processing done as per the written procedure at each stage?	
4	Whether the specifications laid down by the company for incoming materials & finished products are being implemented strictly?	
5	Whether waste disposal & control on carry-over satisfactory?	
6	Whether measurement of carry-over done at least once in a year	
7	Whether incorporation of feed additives & pre-mixtures is done as per procedure & legal requirements?	
8	Whether storage, handling & use of medicated feeding stuff are done as per procedure & legal requirements?	
9	Whether banned chemicals are used in the mill?	
10	Whether homogeneity tests are conducted on a laid down frequency to check the dispersion of feed additives and veterinary medical products in feed?	
11	Whether particle reduction of ingredients is proper for use in aquaculture farms?	
Verification of records		
1.	Traceability records	
2.	Ingredients receiving records	
3.	Storage records	
4.	Inspection & testing records	
5.	Packing records	
6.	Test reports	
7	Calibrations & validation records	
8	cleaning records	
9	Personal hygiene records	
10	Production records	
11	CCP monitoring records/ verification records/ corrective action records	
12	Pest control records	
13	Dispatch record of finished products	
Details of samples drawn during official monitoring		

1.	Product sample for antibiotic residue	
2.	Water sample for microbiological factors	
3.	Sanitary samples	
Any other relevant information		
Recommendations		

- Overall Rating – Satisfactory/unsatisfactory

- Deficiencies reported to the feed mill
  (As per Non Conformity report)

Signature

Name

Designation

Date Place

Remarks of the Supervisory Officer

Signature

Name

Designation

Date

Place

ANNEXURE 40

MONITORING REPORT

Date of Visit
Name of Hatchery:
Approval Number:
Scope of approval
Name of technologist(s) present at the time of visit

Sl.		**Observations**
(1)	(2)	(3)
General		
1.	Name & Designation of monitoring official last visited & date of visit	
2.	Whether hatchery rectified earlier non-conformities (NCs)?	
3.	Mention NCs that are not rectified	
4.	What is the time frame given for rectification?	
5.	Results of samples tested in earlier visit	
6.	Action taken in case of failure of test results	
7	Type/ species of post larvae/ fingerlings handled at the time of visit	
8	Type/size of the hatchery	
9	Production capacity	
10	Number of approved technologists & number of workers	
Locality and components of hatchery		
1.	Is the location ideal for hatchery operation?	
2.	Are the premises maintained hygienically?	
3.	Give details of tanks/ ponds used in the hatchery	
4.	Whether the size, shape and the material of the tank are suitable? Whether tanks are hygienically maintained?	
5	What is type of aeration provided?	
6	Whether quality of air pumped is ensured? Whether oil free operation is achieved? Is air filters provided at the inlet and outlet pipe lines?	
7.	Is the aeration adequate?	
8	Whether generator is provided to ensure continuous aeration, in case of power failure?	
9.	What is the source of sea water and fresh water?	
10.	Whether the quality and quantity of sea water / fresh water adequate?	
11.	Specify water purification system adopted	
12	Whether water is tested for microbial/ chemical contaminants?	
13	Is the quality of water monitored for physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen etc. at regular intervals?	
13.	What are the feed used in the hatchery?	
14.	What is the source of ingredients used in the feed?	
15	Whether quality and quantity of feed adequate?	
16	Whether feed additives are tested for purity and for chemical contaminants?	
Good Hatchery practices		
1.	Whether control measures adopted by the hatchery are adequate to achieve optimal environmental conditions for maximum growth and survival of aquatic animals?	
2.	Specify the monitoring procedures adopted by the hatchery. Is the monitoring procedure adequate?	
3	Whether health aspects/ mortality rates of the aquatic animals at each stage are ensured through continuous monitoring?	
4.	Whether it is ensured that banned chemicals or pharmacologically active substances are not used at any stage during hatchery operation?	

5.	Whether pest control adequate?	
6.	Whether cleaning and sanitation adequate to control microbial contamination?	
7.	Whether verification of the effectiveness of cleaning is done regularly?	
8	Are the employees maintaining proper hygienic practices to avoid contamination?	
9	Whether medical treatments are given to the aquatic animals to control microbial/viral diseases?	
10	If so, specify the chemicals/ pharmacologically active substances used with dosage. Whether the usage of such chemicals is done with the advice of the veterinary medical practitioner? Whether withdrawal period followed?	
11.	Whether feed, feed additives etc. are tested for banned chemicals as applicable?	
12	Whether post larvae/ fingerlings are tested for Chloramphenicol and metabolites of Nitrofurans prior to harvest at the designated lab?	
13	Whether details of farms to which post larvae/ fingerlings are supplied maintained?	
Verification of records		
1.	Monitoring & testing records	
2.	Test reports	
3	Cleaning & sanitation records	
4	Personal hygiene records	
5	Pest control records	
6	Harvest records	
7	Dispatch record of post larvae/ fingerlings	
Details of samples drawn during official monitoring		
1.	Post larvae/ fingerling sample or water sample for antibiotic residue	
2.	Water sample for microbiological factors	
Any other relevant information		
Recommendations		

- Overall Rating – Satisfactory/unsatisfactory

- Deficiencies reported to the hatchery
  (As per Non Conformity report)

Signature
Name
Designation
Date Place

Remarks of the Supervisory Officer

Signature
Name
Designation

ANNEXURE 41

MONITORING REPORT

Date of Visit
Name of Aquaculture farm:
Approval Number:
Scope of approval
Name of responsible person(s) present at the time of visit

Sl. No.		**Observations**
(1)	(2)	(3)
General		
1.	Name & Designation of monitoring official last visited & date of visit	
2.	Whether the farm rectified earlier non-conformities (NCs)?	
3.	Mention the NCs that are not rectified	
4.	What is the time frame given for rectification?	
5.	Results of samples tested in earlier visit	
6.	Action taken in case of failure of test results	
7	Type of aquatic animals handled at the time of visit	
Locality and infrastructure		
1.	Is the location ideal for farming operation?	
2.	Are the premises maintained hygienically?	
3.	Give details of ponds used for farming with size & area	
4.	Whether the sizes, depth of the ponds are ideal? Whether the ponds are hygienically maintained?	
5	What is the type of aeration provided?	
6	Whether oil free aeration is achieved? Are air filters provided at the inlet and outlet pipe lines?	
7.	Is the aeration adequate?	
8	Whether generator is provided to ensure continuous aeration, in case of power failure?	
9.	What is the source of water and the method of its collection?	
10.	Whether the quality and quantity of water adequate?	
11.	Specify water purification system adopted by the farm	
12	Whether water is tested for microbial/ chemical contaminants?	
13	Is the quality of water monitored for physico-chemical parameters such as salinity, pH, nitrogenous compound concentration, temperature, dissolved oxygen etc. at regular intervals?	
14	Specify the parameters monitored and the frequency?	
13.	What are the feeds used in the farm?	
14.	Specify the source of feed. Are the feed tested for **banned chemicals**?	
15	Whether quality and quantity of feed adequate?	
16	What is the method of feeding and its frequency?	
Good Aquaculture practices		
1.	Whether management of farm inputs is proper?	
2.	Who is responsible for the management of farm inputs?	
3	Whether storage condition of farm input is satisfactory?	
4.	Whether records of receipt, inspection, storage and utilization farm inputs maintained?	
5.	Are the post larvae/fingerlings procured from approved hatchery? If so, give name of hatchery	
6.	Is the feed procured from approved feed mill? If so, give name of feed mill	
7.	Whether cleaning & sanitation is adequate to control contamination?	
8	Is the personal hygiene satisfactory?	
9	Whether medical treatments are given to the aquatic animals to control	

	microbial/viral diseases?	
10	If so, specify the chemicals/ pharmacologically active substances used with dosage. Whether the usage of such chemicals is done with the advice of the veterinary medical practitioner? Whether withdrawal period followed?	
11.	Whether the farm is using banned chemicals/ pharmacologically active substances?	
12	Whether aquatic animals are tested for Chloramphenicol and metabolites of Nitrofurans by the farm prior to harvest at the designated lab?	
13	Whether harvest is done properly?	
14	Whether traceability record as per requirement maintained?	
15	Whether pest control adequate?	
16	Is waste management satisfactory?	
17	Whether pond preparation and stocking done as per rule?	
Verification of records		
1.	Monitoring & testing records	
2.	Test reports	
3	Cleaning & sanitation records	
4	Personal hygiene records	
5	Pest control records	
6	Harvest records	
7	Dispatch record	
8	Traceability record	
Details of samples drawn during official monitoring		
1.	Aquaculture animal sample or water sample for antibiotic residue	
2.	Feed sample for antibiotic residue	
Any other relevant information		
Recommendations		

- Overall Rating – Satisfactory/unsatisfactory

- Deficiencies reported to the aquaculture farm
  (As per Non Conformity report)

Signature
Name
Designation
Date Place

Remarks of the Supervisory Officer

Signature
Name
Designation

ANNEXURE 42

MONITORING REPORT

Date of Visit
Name of Landing Centre/ Fishing harbour:
Approval Number:
Name of responsible person(s) present at the time of visit

Sl. No.		**Observations**
(1)	(2)	(3)
General		
1.	Name & Designation of monitoring official last visited & date of visit	
2.	Whether the landing site/ harbour rectified the earlier Non-conformities (NCs)?	
3.	Mention the NCs that are not rectified	
4.	What is the time frame given for rectification?	
5.	Results of samples tested in earlier visit	
6.	Action taken in case of failure of test results	
7	Materials landed/handled at the time of visit	
8	Number & type of boats berthed at the time of visit	
9	Capacity of fishing harbour (number of boats permitted)	
10	Name of hygiene inspector	
Locality and infrastructure		
1.	Are the premises maintained hygienically?	
2.	Is the landing center adequately covered?	
3.	Are the floor, walls, and utensils smooth and clean?	
4.	Whether the drainage is adequate?	
5	Whether sufficient artificial lights provided with suitable protective coverings?	
6	Whether exhaust fumes from vehicles are polluting the landing /auction area?	
7.	Whether separate auction hall(s) provided for display and sale of fishery products?	
8	Whether suitable mechanism adopted to prevent entry of birds/animals/ other pests inside the landing platform, auction areas and other storage areas?	
9	Whether raised platforms are provided for display of fishery products, which are smooth, easy to clean and disinfect? If not, specify the provision given to ensure that fishery products will not come in contact with the floor directly?	
Water and ice		
1	What is the source of water used for washing fishery products and fish contact surfaces?	
2.	Whether adequate quantity of potable water or clean sea water is available in the landing sites for cleaning and sanitation?	
3.	What is the source of ice used for chilling fishery products meant for export? Is the ice plant approved by EIA?	
4	Whether ice crusher is available? If so, whether the crusher is maintained hygienically and is free from corrosion?	
5	Is the ice handled/ stored hygienically?	
6	Whether sea water used for cleaning of fishery products/ food contact surfaces is tested for TPC, Coliforms, V. cholerae in EIA lab/ EIC approved lab on a laid down frequency? Whether fresh water and ice are tested for all factors as per IS 4251 as applicable?	
Fishery products		
1	Are fishery products handled hygienically on board the vessels and on the landing site?	
2	Whether care is taken to avoid injury/damage to the fishes while handling/storing?	

3	Are fishery products properly iced?	
4	Record the core temperature of available fishery products meant for export at different stages of landing/auction	
5	Evaluate and record the freshness/quality parameters of different fishery products meant for export, if available, at random (attach the evaluation sheet)	
6	Whether Hygiene Inspector is checking quality parameters of fishery products meant for export, including core temperature and records maintained?	
Hygiene and sanitation		
1.	Is the landing site/fishing harbour maintained hygienically? Whether cleaning & sanitation is implemented at all areas of the landing site on a laid down frequency to avoid cross contamination**?**	
2.	Whether Hygiene Inspector is supervising hygiene activities?	
3	Are the floors, walls, partitions, ceilings, utensils, instruments and other food contact surfaces kept in a satisfactory state of cleanliness and repair?	
4.	Whether waste management is proper? Are the fishery products which are unfit for human consumption stored separately?	
5.	Is the pest management adequate? Are the toxic chemicals stored in lockable cupboards?	
6.	Is the personal hygiene of fish handlers satisfactory?	
7.	Are the workers clean hands before and after work and follow good personal hygiene practices? Are these being monitored by hygiene inspector?	
8	Whether swabs taken from food contact surfaces tested on a laid down frequency for TPC and Coliforms?	
Verification of records		
1.	Details of landing, including number of boats berthed & quantity of fishery products landed from each boat	
2	Boat wise quantity of fishery products supplied to approved establishment meant for export.	
3	Quality and temperature evaluation record	
4.	Test reports	
5	Cleaning & sanitation records	
6	Personal hygiene records	
7	Pest control records	
8	Dispatch record	
Details of samples drawn during official monitoring		
1.	Water used for cleaning	
2.	Ice used for chilling	
3	Swabs from food contact surfaces	
4	Fishery products	
Any other relevant information		
Recommendations		
Overall Rating – Satisfactory/unsatisfactory		
Deficiencies reported to the landing centre/fishing harbour (As per Non Conformity report)		
Signature Name		
Designation Date Place		

Remarks of the Supervisory Officer

Signature
Name
Designation

ANNEXURE 43

MONITORING REPORT

Date of Visit
Name of fishing vessel:
Approval Number:
Name of landing center
Name of responsible person(s) present at the time of visit

Sl.		**Observations**
(1)	(2)	(3)
General		
1.	Name & Designation of monitoring official last visited & date of visit	
2.	Whether the fishing vessel has rectified the earlier Non-conformities (NCs)?	
3.	Mention the NCs that are not rectified	
4.	What is the time frame given for rectification?	
5.	Results of samples tested in earlier visit, if any	
6.	Action taken in case of failure of test results	
7	Materials available at the time of visit	
8	Type of fishing vessel and area of operation	
9	Average quantity of fishery products procured per day	
Infrastructure		
1.	Whether all sections of the vessel maintained hygienically and in good repair?	
2.	Whether the deck is smooth, clean and free from oil, grease, diesel etc.?	
3.	Whether hold (s)/ containers of sufficient size provided to store fishery products at a temperature approaching that of melting ice? Are they maintained hygienically?	
4.	Is it ensured that while storing fishery products melt water does not remain in contact with fishery products?	
5	Whether the storage section is protected from possible contamination with fuel used in the vessel or with bilge water?	
6	Whether the containers and the equipment in contact with fishery product are made of non-corrodible materials which are water proof, resistant to decay, smooth and easy to clean and disinfect?	
7	Whether artificial lights have protective covering?	
8	Specify the fishing gear used	
9	Whether fish detection equipment used?	
Water and ice		
1	What is the source of water used for washing fishery products and fish contact surfaces?	
2.	Whether adequate quantity of potable water or clean sea water is available in the fishing vessel for cleaning and sanitation?	
3.	What is the source of ice used for chilling fishery products meant for export? Is it procured from EIA approved ice plant/establishment?	
4	Is the ice handled/ stored hygienically?	
5	Is there a system of chilling fishery product in cooled sea water? If so, specify the chilling capacity, temperature achieved and chilling rate.	
Fishery products		
1	Are fishery products caught and handled hygienically on the board without damaging the fish?	
2	Whether spiked instruments are used for handling fishes? If so, whether such instrument damages the flesh of the fishery product?	
3	Are fishery products properly iced to maintain core temperature below 4ºC?	
4	Evaluate and record the quality parameters, including core temperature	

	of different fishery products meant for export, if available, at random (attach the evaluation sheet)	
Hygiene and sanitation		
1.	Whether cleaning and sanitation is implemented at all areas of fishing vessel on a laid down frequency to avoid cross contamination**?**	
2	Are utensils, containers, holds, fishing gears and other fish contact surfaces maintained hygienically?	
3	What is the method of cleaning fishing gears?	
4.	Whether waste management is proper?	
5.	Is the pest management adequate? Are toxic chemicals stored in lockable cupboards?	
6.	Is the personal hygiene satisfactory?	
Verification of records		
1.	Details of fishery products supplied to approved establishment(s)	
Details of samples drawn during monitoring		
1.	Water used for cleaning	
2.	Ice used for chilling	
3	Swabs from food contact surfaces	
4	Fishery products	
Any other relevant information		
Recommendations		

- Overall Rating – Satisfactory/unsatisfactory

- Deficiencies reported to the fishing vessel
  (As per Non Conformity report)

Signature
Name
Designation
Date Place

Remarks of the Supervisory Officer

Signature
Name
Designation

ANNEXURE 44

EXPORT INSPECTION AGENCY –

MONITORING REPORT

Date of Visit
Name of factory vessel/freezer vessel/ PPC/ice plant/establishment /cold store
Approval No. with validity of approval
Product being processed/ handled/ stored at the time of visit
Scope of approval
Name of technologist(s)/ qualified personnel present at the time of visit

Sl. No.		**Observations/suggestions**
(1)	(2)	(3)
General		
1.	Name and Designation of monitoring officer(s) last last visited	
2.	Whether Non-conformities (NCs) pointed out earlier have been rectified by the unit?	
3.	Mention NCs that are not rectified	
4.	Whether any time frame given for rectification	
5.	Results of samples tested in the previous visit	
6.	Action taken in case of failure of test results	
7.	Specify whether the establishment has applied 2 months before the expiry of approval, if applicable	
8.	Whether the suggestions / NCs observed by last supervisory visits are complied with?	
Facility Checks (Record observations on the maintenance of infrastructure facilities and sanitary / hygienic conditions at each section mentioned below)		
1.	Premises	
2.	Raw material receiving dock/ receiving area.	
3.	Workers entry points	
4.	Change rooms & toilets	
5.	Pre-processing section	
6.	Processing section	
7.	Cooking/ Blanching/ heat processing section	
8.	Packing section	
9.	Chill rooms / chilling tanks	
10.	Cold storages/ fish holds	
11.	Machineries/equipment	
12.	Tables and utensils	
13.	Lights & ventilations /AC	
14.	Floor, walls and roof	
15.	Drainage	
16.	Packing material store	
17.	Chemical store	
18.	Water purification system	
19.	Ice manufacturing unit	
20.	Effluent treatment plant	
HACCP Implementation of the Unit		
1	Specify the CCPs identified by the unit for different steps and products	
2	Whether monitoring of CCP is done properly?	
3	Whether any deviation in critical limit? If so whether corrective action taken?	
4	Whether the critical limits are validated regularly?	
5	What is the frequency of monitoring (sampling plan)?	

6	Who is responsible for monitoring? Whether he/she has undergone proper training frequently?	
7	Whether the instruments used for measurement are reliable (calibration/verification)?	
11	Describe the verification procedures of the establishment	
12	What is the frequency of verification?	
13	Name & designation of person(s) responsible for verification	
14	Whether prerequisite programmes are in place?	
15	Whether SSOP & GMP are implemented properly?	
Own Check system (give observations on the following controls exercised by unit)		
1.	Raw Material control	
2.	Process control	
3.	Product control	
4.	Time/Temp control	
5.	Control on additives / preservatives	
6.	Quality management of water & ice	
7.	Calibrations & validations	
8.	Pest control	
9.	Personal hygiene	
10.	Maintenance	
Testing and inspection		
1.	Whether inspection & testing of own check samples are satisfactory?	
2	Whether samples are tested in house lab/ EIA lab/EIC approved lab?	
Lab practices in the in house lab		
1.	Good laboratory practice	
2.	Reliability of testing	
3.	Lab chemicals	
4.	Equipment and utensils of lab	
5.	Calibrations of lab equipment	
6.	Proficiency testing	
Verification of records		
1.	Traceability records (farm registration No.,If applicable)	
2.	Raw Material records	
3.	Production records	
4.	Freezing records	
5.	Packing records	
6.	Frozen Storage and transportation records	
7.	Quality control & Inspection records	
8.	Test reports	
9	Calibrations & validation records	
10	Sanitation & hygiene control records	
11	Personal hygiene records	
12	Time/temperature records	
13	Water & ice test reports	
14	Chlorination records	
15	Pre-harvesting test reports, if applicable	
16	CCP monitoring records/ verification records/ corrective action records	
17	Pest control records	
18	Ice production & despatch records	
19	Frozen cargo: incoming & outgoing records	
20	Records of data logger complying with EN 12830, EN 13485 and EN 13486 Standards, as applicable, in case of EU listed cold stores & transporting vehicles.	
21	Pre-processing & despatch record	

Additional Checks (Verify and record the observations)

1.	Chlorination levels a. Water used for processing b. Water used for ice manufacture c. Hand dips d. Foot dips e. Water used for cleaning tables etc.	
2.	Temperature of the Products a. Temperature of Raw Material b. Product temperature at different processing stages c. Temperature of the product during storage d. Temperature of the product before cooking and after cooking	Product Temp.
3.	Temperature of the facilities a. Chill rooms b. Cold storages c. Cooker/blancher d. Freezer	
4.	Belt speed/time taken for cooking	
5.	Time taken for freezing (block/IQF/IF)	
6.	Time taken for chilling	
7.	Validation of cooking/blanching	
Fraud control (Specify if violations are noticed in the following area)		
1.	Misuse of CFEs	
1.1	Serial no. of the CFE used (from –to)	
1.2	Total consumption of CFE	
1.3	No. of CFE whose pink copies are submitted	
2.	Exceeding production capacity limits	
3.	Improper labelling	
4.	Manipulation of records	
5.	Storing of cargo of other establishments without permission	
6.	Processing in unauthorised places	
7	Keeping of raw materials in water for weight gain	
8	Processing and storing of un- approved products	
Details of samples drawn during monitoring		
1.	Parasite checks	
2.	Microbiological samples	
3.	Sanitation & Hygiene Control samples	
4.	TVB-N and Histamine	
5.	PSP & DSP	
6.	Sulphites and added phosphates	
7.	Salt for microbiological factors	
8.	Antibiotics and bacterial inhibitors	
9.	Heavy metals	
10.	Pesticides	
11.	Proficiency testing of in house lab	
12	Sterility test	
13	Ph, Yeast & Mould, salt content	
14	Moisture content	
15	Details of samples taken for organoleptic Checks with results pertaining to: a) Raw materials b) pre-processed material C) processed material before freezing/ packing. (Also record the results in raw material / processing registers of the processor)	
Merchant exporter details		
	Names of the Merchant Exporters approved by EIC and their validity period	
Complaints from importing countries		
1.	Number of complaints received in last two years	

2.	Their reference no. and dates	
3.	Whether assurances given by the FBO are being followed	
4.	Whether the suggestions given by APE on account of complaint, are being followed	

Details of random verification carried on export documents to assess the accuracy of FOB value (pl. Check copies of BL)
Any other relevant information
Recommendations

- Overall Rating – Satisfactory/ Unsatisfactory
- Deficiencies reported to the establishment
  (As per Non Conformity report)

Signature

Name

Designation

Date Place

Remarks of the Supervisory Officer

Signature

Name

Designation

Date

Place

ANNEXURE 45

EXPORT INSPECTION AGENCY – _____

NON-CONFORMITY REPORT (NCR)

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

1. Earlier *NCR* pending rectification:	
2. Details of non-conformities observed:	

3. Comments / Agreed action:

---

1. Acknowledgement of report copy
2. Non-conformities have been fully explained and understood by the establishment.

   Confirmation of implementation of the 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 46

EXPORT INSPECTION AGENCY – _____

SUGGESTIONS FOR IMPROVEMENT

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

Suggestions

1.
2.
3.
4.
5.

Agreed action by the processor:

Signature		Signature	
Name		Name	
Designation		Designation	
EIC/ EIA officer		Representative of the establishment	

ANNEXURE 47

EXPORT INSPECTION AGENCY – _____

SUPERVISORY VISIT REPORT

1. Date of visit :
2. Approval No.
3. Name of the facility (FBO): *(Factory Vessel/Freezer Vessel/PPC/Ice Plant/Cold Store/Establishment)*
4. Product being processed/ handles/stored at the time of visit :
5. Name of the representative of the unit present at the time of visit:

Sl. No.		Satisfactory	Details of Non-conformities, if observed/ Remarks
1.	Surroundings		
2.	Unloading/Receiving area		
3.	Pre-processing Section		
4.	Processing Section		
5.	Personal Hygiene		
6.	Change Room		
7.	Flake Ice/ Tube ice/Block ice		
8.	Chill Room		
9.	Freezing		
10	Water/Ice/Salt/Chemical/Additives		
11.	Cold Storage		
12.	Rodent/Vermin Control		
13.	Effluent Treatment		
14.	Own Checks/HACCP system		
15.	Maintenance of records		
16.	Packaging/Storage/Transportation		
17.	Inspection & Testing Facilities		
18.	Any other relevant information i) Quality of the monitoring ii) Area of focus in which detailed assessment was done		

MVs / HACCP Audit since last SV :

Sl. No.	Date	MvO / HACCP auditors	Satisfactory / Unsatisfactory	Lab. Results	Deficiencies observed	Action by Processor

20. Test results of Water / Ice :	
21. Any other factor (Specify)	

22. 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)*

Note : The copy of this report shall also be kept at the office of S.O. for records and also to be available with MVO for the follow up of the deficiencies observed

ANNEXURE 47 A

EXPORT INSPECTION AGENCY – _____

SUPERVISORY VISIT REPORT

6. Date of visit :
7. Approval No.
8. Name of the hatchery/feed mill/ aquaculture farm/fishing vessel/ landing site:
9. Activity at the time of visit *(Animal being hatched/reared/ feed being processed/fishery products handled/stored/procured/ auctioned etc.*) :
10. Name of the representative of the facility present at the time of visit:

Sl. No.	Factors (*If any factor is not applicable, please mark "N.A.")*	Satisfactory (or N.A.)	Details of non-conformities, if observed/ Remarks
1.	Surroundings		
2.	Unloading/Receiving area		
3.	Storage areas		
4.	Processing Section		
5.	Tanks/ ponds		
6.	Change Room facilities		
7.	Hand washing facilities		
8.	Aeration system		
9.	Feed management		
10	Water management/ ice management		
11	Utensils/ machineries/ containers/ hold		
12	Landing areas/ auction areas		
13	Cleaning & sanitation		
14.	Personal hygiene		
15.	Pest management		
16.	Waste and Effluent management		
17.	Own check/HACCP/GMP/GAP/SSOP		
18.	Maintenance		
19.	Packaging/Storage/Transportation		
20.	Inspection & Testing Facilities		
21	Checking of physico- chemical parameters of water		
22	Use of banned chemicals/ pharmacologically active substances		
23	Treatment of animals		
24.	Any other relevant information i) Quality of the monitoring ii) Residue control system		

25. MVs since last SV :

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

26. Test results of Water / Ice	
27. Storage and use of unauthorized substances/ illegal treatment :	
28. Use of permitted chemicals above permissible limit.	

29. Recommendations

Overall Rating – Satisfactory / Unsatisfactory	
Non Conformity Report (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 48

EXPORT INSPECTION COUNCIL
(MINISTRY OF COMMERCE & INDUSTRY)
GOVERNMENT OF INDIA

CORPORATE AUDIT REPORT

1.	AUDI TEE	
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			

8. NON-CONFORMITY REPORT (NCR)

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

. General Observations

1	

Team Leader Auditor

Proposed Corrective actions

Probable Date of Completion

Auditee

NC cleared/downgraded/statuesque

Auditor
Date: Team Leader

ANNEXURE 49

HACCP Audit (Yearly)
(Applicable for factory vessel / freezer vessel / PPC/ establishment)

Details of Opening and Closing meeting

Name and address of the factory vessel/ freezer vessel/ PPC/ establishment with approval no.	Opening Meeting Location Date:
Scope of HACCP Audit	Closing Meeting Location Date:

S.No.	Name	Designation	Organization	Opening Meeting (Sign)	Closing Meeting (Sign)
A. Auditor(s)					
B. Auditee					
Remarks (if any)					

Facility Details

Name of factory vessel/ freezer vessel/ PPC/ establishment :
Approval No **:**
Location **:**

Intervention details

Scope of audit	
Targeted areas of audit	
Targeted processing lines	

Activity of the facility

Scope of approval	
Type of Raw materials	
Ingredients/additives	
Source of raw material (sea caught/cultured)	
Traceability system	
Production Capacity	
Workers employed	*Male:* *Female*
Number of approved technologists	
Water & Ice management	

Quality Management System of the facility

Quality policy & quality objectives	
Customer focus	
Management commitment	
Internal communication	
Review of input & output	

Review of HACCP

Date of Review	
Reviewed by	
Scope of revision	
Amendments, if any	

Product realization

Type of Product processed at the time of visit	
Method of preservation	
Treatment of the product, if any	
Additives/ ingredients used.	
Details of packing	
Hazards & CCP(s) identified	
Control measures to prevent hazard(s)	
Calibration & validation	
Details of Internal audits	
Validation of Critical limits & HACCP Plan	
Fulfillment of Statutory requirements	
Testing	

HACCP AUDIT
SANITATION STANDARD OPERATING PROCEDURE

Safety of Water and Ice used in the facility

1	Date(s) of Audit:	
2	Name of Auditor(s):	
3	Name of Auditee:	
4	Scope of Audit	To establish the safety of Water & Ice

Sl.No	Particulars	Observations				Remarks
			Su*	Ad*	Ef*	
1	Source of water					
2	Source Control					
3	Cleanliness & conditions of pipelines/hoses					
4	Water purification system					
5	Back washing system					
6	Water storage tanks					
7	Water tank Cleaning					
8	Chlorination					
9	U-V treatment					
10	Controls to prevent cross contamination					
11	Colour coding of pipelines					
12	Prevention of Back suction					
13	Chances of contact with non-potable water/sewage					
14	Numbering of water taps					
15	Source of water for making ice					
16	Source control					
17	Prevention of cross contamination from machineries / equipment					
18	Cross contamination from workers					
19	Contamination during handling					
20	Contamination during storing					
21	Test reports of water & ice					
22	Monitoring results					

Major Non-Conformities	
Minor Non-Conformities	

Details of Closing of NC

Signature of Auditee

Signature of Auditor(s)

Conclusion

Signature of Auditor (s)

(* SU- Suitability, Ad- Adherence, Ef- Effectiveness)

HACCP AUDIT
STANDARD OPERATING PROCEDURE
Processing of Frozen Squid whole cleaned

1	Date(s) of Audit:	
2	Name of Auditor(s):	
3	Name of Auditee:	
4	Scope of Audit	To establish the safety of Frozen SQWC processed

Sl.No	Particulars	Observations				Remarks
			Su	Ad	Ef	
1	Source of Squid					
2	Source Control					
3	Testing of raw material					
4	Construction flow chart					
5	Identification of Hazards in each step					
6	Identification of CCP(s)					
7	Selection of Critical limits (if any)					
8	Monitoring of Critical limits					
9	Corrective action taken, in case of deviations					
10	Details of verifications.					
11	Records maintained pertaining to HACCP					
12	Time - Temperature Control at each step					
13	Control measures in each step including SSOP					
14	Implementation of SOP					
15	Safety of Water & Ice					
16	Personal Hygiene					
17	Prevention of cross contamination					
18	Contamination during handling & storing					
19	Calibration of measuring instruments					
20	Safety of Salt/ ingredients & test reports					
21	Test results of raw materials/finished products					
22	Monitoring & Record Keeping					
23	Safety of Packing materials					
24	Parasite controls					
25	Prevention of metal contamination					

Major Non-Conformities	
Minor Non-Conformities	

Details of Closing of NC

Signature of Auditee

Signature of Auditor(s)

Conclusion

Signature of Auditor (s)

(* SU- Suitability, Ad- Adherence, Ef- Effectiveness)

Validation of HACCP Plan including Critical Limit(s)
(HACCP Plan for CCP at cooking step)

Sl.No	Particulars	Observation	Remarks
1	Identification of Hazard		
2	Adequacy of control measures		
3	Identification of CCP		
4	Selection of Critical Limit(s)		
5	Is the Critical limit(s) scientifically based & measurable?		
6	Is the control measure(s) adequate to control the hazard(s)?		
7	Is Critical Limit(s) effective to control the Hazard at the step?		
8	Is the monitoring procedure adequate to control Hazard?		
9	Is monitoring implemented properly?		
10	Is the frequency of monitoring adequate?		
11	Is the Sampling scale adequate?		
12	Are the monitoring personnel properly trained?		
13	Are they performing monitoring properly?		
14	Are the instruments calibrated?		
15	Is the Cooker working properly?		
16	Whether required temperature is achieved at all parts of Cooker?		
17	Whether belt speed is adjusted to achieve desired time for cooking?		
18	Whether desired core temperature is achieved uniformly and for the thickest piece?		
19	Whether required time exposure is achieved for cooking at desired temperature?		
20	Whether deviation noticed from the Critical limit?		
21	Whether corrective action taken?		
22	Are the corrective actions are adequate?		
23	Are the records maintained properly?		
24	Are the records adequate?		
25	Are the verification procedures adequate?		
26	Whether verification is done properly?		

Conclusion

Signature of Auditor(s)

ANNEXURE 50

EXPORT INSPECTION AGENCY – .....

Report on quality checks to be conducted in in-house lab of establishments

Sl.no	Name of the establishment with App.No	Date of sampling and type of sample(s)	Parameters tested	Test results of EIA lab	Test results of in-house lab	Number of parameters showing variation above 10%	Action taken by EIA
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)

ANNEXURE 51

Monthly report of supervisory / monitoring visits to approved facilities														
EUROPEAN UNION														
	Monitoring							Supervisory						
	No. of visits planned	Number of visits actually conducted	Number of units which are satisfactory based on the visits	Number of units which are unsatisfactory based on the visits	Reasons for short fall, if any in supervisory /monitoring visits	Action taken in case of each unsatisfactory unit	Details of verification of corrective action taken by the processing units reported unsatisfactory in the earlier statements.	No. of visits planned	Number of visits actually conducted	Number of units which are satisfactory based on the visits	Number of units which are unsatisfactory based on the visits	Reasons for short fall, if any in supervisory /monitoring visits	Action taken in case of each unsatisfactory unit	Details of verification of corrective action taken by the processing units reported unsatisfactory in the earlier statements.
FACTORY VESSELS														
FREEZER VESSELS														
PRE PROCESSING CENTRES (NDEPENDENT / DETACHED)														
ICE PLANTS (INDEPENDENT / DETACHED)														
ESTABLISHMENTS														
COLD STORAGES (INDEPENDENT / DETACHED)														
	NON EUROPEAN UNION													
	Monitoring							Supervisory						
	No. of visits planned	Number of visits actually conducted	Number of units which are satisfactory based on the visits	Number of units which are unsatisfactory based on the visits	Reasons for short fall, if any in supervisory /monitoring visits	Action taken in case of each unsatisfactory unit	Details of verification of corrective action taken by the processing units reported unsatisfactory in the earlier statements.	No. of visits planned	Number of visits actually conducted	Number of units which are satisfactory based on the visits	Number of units which are unsatisfactory based on the visits	Reasons for short fall, if any in supervisory /monitoring visits	Action taken in case of each unsatisfactory unit	Details of verification of corrective action taken by the processing units reported unsatisfactory in the earlier statements.
FACTORY VESSELS														

FREEZER VESSELS														
PRE PROCESSING CENTRES (NDEPENDENT / DETACHED)														
ICE PLANTS (INDEPENDENT / DETACHED)														
ESTABLISHMENTS														
COLD STORAGES (INDEPENDENT / DETACHED)														
	PRIMARY LINKAGES													
	Monitoring							Supervisory						
	No. of visits planned	Number of visits actually conducted	Number of units which are satisfactory based on the visits	Number of units which are unsatisfactory based on the visits	Reasons for short fall, if any in supervisory /monitoring visits	Action taken in case of each unsatisfactory unit	Details of verification of corrective action taken by the processing units reported unsatisfactory in the earlier statements.	No. of visits planned	Number of visits actually conducted	Number of units which are satisfactory based on the visits	Number of units which are unsatisfactory based on the visits	Reasons for short fall, if any in supervisory /monitoring visits	Action taken in case of each unsatisfactory unit	Details of verification of corrective action taken by the processing units reported unsatisfactory in the earlier statements.
FEED MILLS														
HATCHERIES														
AQUACULTURE FARMS														
FISHING HARBOURS														
LANDING CENTRES														
FISHING VESSELS														

ANNEXURE 52

EXPORT INSPECTION AGENCY – .....

LIST OF APPROVED FACTORY VESSELS / FREEZER VESSELS / PPC / ESTABLISHMENTS / COLD STORAGES / ICE PLANTS PROCESSING / FACILITIES UNDERTAKING ALLIED ACTIVITIES FOR FISH & FISHERY PRODUCTS AS ON . ...
(SUBMISSION THROUGH ELECTRONIC MEDIA ONLY)
(SEPARATE LIST TO BE SENT FOR EU AND NON EU)

NO.	APPROVAL NO.	NAME AND CONTACT DETAILS OF THE DACILITY	SCOPE OF THE APPROVAL	DATE OF APPROVAL (DD/MM/YYYY)	DATE OF EXPIRY (DD/MM/YYYY)

ANNEXURE 53

Details of action taken as per the NRCP Report of the MPEDA

Month:

S.No.	Name of the PPC / establishment	Ap.No.	Defects Observed in the NRCP Report	Action taken by EIA
1	2	3	4	5

Give status of the action taken on the previous month cases:

Place :

Date :

Signature:

Name :

Designation:

ANNEXURE 54

FORNIGHTLY STATEMENT ON CERTIFICATES ISSUED FOR EXPORT OF FISHERY PRODUCTS

FOR THE PERIOD FROM _____TO_____

Name of the processor :

Approval Number :

A. Details of certificates issued for direct exports and on account exports

Certificate for Export No.	Date of issue	Commodity	F.O.B. Value (Rs.)	Invoice No. & Date (Enclose copy)	If on account Exports, the name & Address of the export house	Remarks

B. Details of certificates issued for exports through Merchant Exporters

Certificate for Export No.	Date of issue	Commodity	F.O.B. Value (Rs.)	Invoice No. & Date (Enclose copy)	Name & Address of Merchant Exporter	Remarks

C. Details of certificates cancelled, if any

Certificate for Export No.	Reasons for Cancellation	Remarks
		Full set of cancelled certificates are enclosed

N.B. Pink copy of the certificates numbering _____ is enclosed.

Signature :

Place : Name :

Date : Designation :

(Company seal) :

To

The Officer in-charge

Export Inspection Agency - _____

Sub Office; _____

Enclosures: Copy of the Invoices

Pink copy of the CFE

Packing lists

Full set of cancelled certificate (4 sets), if applicable.

Copies of the B/L

ANNEXURE 55

(On non-judicial stamp paper notarised by the Notary)

INDEMNITY BOND

We solemnly declare that the Certificate for Export blank with Serial No: ..... Book No : .....issued to us by Export Inspection Agency ..... has been lost/ misplaced without having been utilised for export of goods and the said certificate ,if traced later, will not be utilised for export of any consignment, but will be surrendered to the Export Inspection Agency..... for cancellation.

We further declare that we are fully liable for any action in the event of the misuse of the above certificate blank either by us or on account of us and we agree to keep the Export Inspection Agency indemnified in case of misuse or illegal use of the certificate blank.

The matter has been informed to the customs and the evidence to that effect has been enclosed.

Witnesses

1.
2.

Signature:
Place: Name & Designation
Date: Seal of the Company:

ANNEXURE 56

..

MODEL HEALTH CERTIFICATE FOR IMPORTS OF FISHERY PRODUCTS INTENDED FOR HUMAN CONSUMPTION

COUNTRY **Veterinary certificate to EU**

Part I: Details of dispatched consignment

I.1. Consignor Name Address Postal code Tel. No		I.2. Certificate reference number	I.2.a.
		I.3. Central Competent Authority	
		I.4. Local Competent Authority	
I.5. Consignee Name Address Postal code Tel. No		I.6.	
I.7. Country of origin ISO code	I.8. Region of origin Code	I.9. Country of destination ISO code	I.10.
I.11. Place of origin Name Approval number Address		I.12.	
I.13. Place of loading		I.14. Date of departure	
I.15. Means of transport Aeroplane ☐ Ship ☐ Railway wagon ☐ Road vehicle ☐ Other ☐ Identification: Documentary references:		I.16. Entry BIP in EU	
		I.17.	
I.18. Description of commodity		I.19. Commodity code (HS code)	
		I.20. Quantity	
I.21. Temperature of product Ambient ☐ Chilled ☐ Frozen ☐		I.22. Number of packages	
I.23. Identification of container/seal number		I.24. Type of packaging	
I.25. Commodities certified for Human consumption ☐			
I.26.		I.27. For import or admission into EU ☐	

I.28. Identification of the commodities

Species (Scientific name)	Nature of commodity	Approval number of establishments: Treatment type	Approval number of establishments: Manufacturing plant	Number of packages	Net weight

COUNTRY

Fishery products

Part II: Certification

II.	Health attestation	II.a. Certificate reference number	II.b.

II.1 (1) **Public health attestation**

I, the undersigned, declare that I am aware of the relevant provisions of Regulations (EC) No 178/2002, (EC) No 852/2004, (EC) No 853/2004 and (EC) No 854/2004 and certify that the fishery products described above were produced in accordance with those requirements, in particular that they:

— come from (an) establishment(s) implementing a programme based on the HACCP principles in accordance with Regulation (EC) No 852/2004;

— have been caught and handled on board vessels, landed, handled and where appropriate prepared, processed, frozen and thawed hygienically in compliance with the requirements laid down in Section VIII, Chapters I to IV of Annex III to Regulation (EC) No 853/2004;

— satisfy the health standards laid down in Section VIII, Chapter V of Annex III to Regulation (EC) No 853/2004 and the criteria laid down in Regulation (EC) No 2073/2005 on microbiological criteria for foodstuffs;

— have been packaged, stored and transported in compliance with Section VIII, Chapters VI to VIII of Annex III to Regulation (EC) No 853/2004;

— have been marked in accordance with Section I of Annex II to Regulation (EC) No 853/2004;

— the guarantees covering live animals and products thereof, if from aquaculture origin, provided by the residue plans submitted in accordance with Directive 96/23/EC, and in particular Article 29 thereof, are fulfilled; and

— have satisfactorily undergone the official controls laid down in Annex III to Regulation (EC) No 854/2004.

II.2 (2)(4)**Animal health attestation for fish and crustaceans of aquaculture origin**

II.2.1 (3)(4)**[Requirements for susceptible species to Epizootic ulcerative syndrome (EUS), Epizootic haematopoietic necrosis (EHN), Taura syndrome and Yellowhead disease**

I, the undersigned official inspector, hereby certify that the aquaculture animals or products thereof referred to in Part I of this certificate:

(5)originate from a country/territory, zone or compartment declared free from (4)[EUS] (4)[EHN (4)[Taura syndrome] (4)[Yellowhead disease] in accordance with Chapter VII of Directive 2006/88/EC or the relevant OIE Standard by the competent authority of my country,

(i) where the relevant diseases are notifiable to the competent authority and reports of suspicion of infection of the relevant disease must be immediately investigated by the official services,

(ii) all introduction of species susceptible to the relevant diseases come from an area declared free of the disease, and

(iii) species susceptible to the relevant diseases are not vaccinated against the relevant diseases]

II.2.2 (3)(4)**[Requirements for species susceptible to Viral haemorrhagic septicaemia (VHS), Infectious haematopoietic necrosis (IHN), Infectious salmon anaemia (ISA), Koi herpes virus (KHV) and White spot disease intended for a Member State, zone or compartment declared disease free or subject to a surveillance or eradication programme for the relevant disease**

I, the undersigned official inspector, hereby certify that the aquaculture animals or products thereof referred to in Part I of this certificate:

(6)originate from a country/territory, zone or compartment declared free from (4)[VHS] (4)[IHN] (4)[ISA] (4)[KHV] (4)[White spot disease] in accordance with Chapter VII of Directive 2006/88/EC or the relevant OIE Standard by the competent authority of my country,

(i) where the relevant diseases are notifiable to the competent authority and reports of suspicion of infection of the relevant disease must be immediately investigated by the competent authority,

(ii) all introduction of species susceptible to the relevant diseases come from an area declared free of the disease, and

(iii) species susceptible to the relevant diseases are not vaccinated against the relevant diseases]

II.2.3 **Transport and labelling requirements**

I, the undersigned official inspector, hereby certify that:

II.2.3.1 the aquaculture animals referred to above are placed under conditions, including with a water quality, that do not alter their health status;

II.2.3.2 the transport container or well boat prior to loading is clean and disinfected or previously unused; and

II.2.3.3 the consignment is identified by a legible label on the exterior of the container, or when transported by well boat, in the ship's manifest, with the relevant information referred to in boxes I.7 to I.11 of Part I of this certificate, and the following statement:

"(4)**[Fish]**(4)**[Crustaceans] intended for human consumption in the Community".**

COUNTRY **Fishery products**

II. Health attestation	II.a. Certificate reference number	II.b.

Notes

Part I:

— Box reference I.8: Region of origin: For frozen or processed bivalve molluscs, indicate the production area.

— Box reference I.11: Place of origin: name and address of the dispatch establishment.

— Box reference I.15: Registration number (railway wagons or container and lorries), flight number (aircraft) or name (ship). Separate information is to be provided in the event of unloading and reloading.

— Box reference I.19: use the appropriate HS codes: 03.01, 03.02, 03.03, 03.04, 03.05, 03.06, 03.07, 05.11.91, 15.04, 15.18.00, 16.03, 16.04, 16.05.

— Box reference I.23: Identification of container/Seal number: Where there is a serial number of the seal it has to be indicated.

— Box reference I.28: Nature of commodity: Specify whether aquaculture or wild origin.

Treatment type: Specify whether live, chilled, frozen or processed.

Manufacturing plant: includes factory vessel, freezer vessel, cold store, processing plant.

Part II:

(1) Part II.1 of this certificate does not apply to countries with special public health certification requirements laid down in equivalence agreements or other Community legislation.

(2) Part II.2 of this certificate does not apply to:

(a) non-viable crustaceans, which means crustaceans no longer able to survive as living animals if returned to the environment from which they were obtained,

(b) fish which are slaughtered and eviscerated before dispatch,

(c) aquaculture animals and products thereof, which are placed on the market for human consumption without further processing, provided that they are packed in retail-sale packages which comply with the provisions for such packages in Regulation (EC) No 853/2004,

(d) crustaceans destined for processing establishments authorised in accordance with Article 4(2) of Directive 2006/88/EC, or for dispatch centres, purification centres or similar businesses which are equipped with an effluent treatment system inactivating the pathogens in question, or where the effluent is subject to other types of treatment reducing the risk of transmitting diseases to the natural waters to an acceptable level,

(e) crustaceans which are intended for further processing before human consumption without temporary storage at the place of processing and packed and labelled for that purpose in accordance with Regulation (EC) No 853/2004.

(3) Parts II.2.1 and II.2.2 of this certificate only apply to species susceptible to one or more of the diseases referred to in the title. Susceptible species are listed in Annex IV to Directive 2006/88/EC.

(4) Keep as appropriate.

(5) For consignments of species susceptible to EUS, EHN, Taura syndrome and/or Yellowhead disease this statement must be kept for the consignment to be authorised into any part of the Community.

(6) To be authorised into a Member State, zone or compartment (boxes I.9 and I.10 of Part I of the certificate) declared free from VHS, IHN, ISA, KHV or Whitespot disease or with a surveillance or eradication programme established in accordance with Article 44(1) or (2) of Directive 2006/88/EC, one of these statements must be kept if the consignment contain species susceptible to the disease(s) for which disease freedom or programme(s) apply(ies). Data on the disease status of each farm and mollusc farming area in the Community are accessible at http://ec.europa.eu/food/animal/liveanimals/aquaculture/index_en.htm

— The colour of the stamp and signature must be different to that of the other particulars in the certificate.

Official inspector

Name (in capital letters): Qualification and title:

Date: Signature:'

Stamp:

ANNEXURE 57

(To be typed on the company letter head)

To
The Joint Director,
Export Inspection Agency…….

Sub: Request for issuance of Health Certificate for export of Fishery Products (Sea caught) to EU

Sir,

Please issue a Health Certificate for the consignment, the particulars of which are given below, meant for export to EU. The certification fee of `. 500/- may be debited from our deposit account held at EIA……. . Further we hereby declare that, we have not packed any aquaculture products and we have not used any Antibiotics while processing the consignment in our plant. Pink copy of the CFE and other particulars of the consignment are enclosed.

1.1	Consignor Name and Address	:	
1.5	Consignee Name and Address	:	
1.7	Country of Origin	:	
	ISO Code	:	
1.8	Region of Origin	:	
	Code	:	
1.9	Country of destination	:	
	ISO Code	:	
1.11	Place of Origin	:	
	Name	:	
	Address	:	
	Approval No.	:	
1.13	Place of loading	:	
1.14	Date of departure	:	
1.15	Means of transport	:	
	Identification	:	
	Documentary reference	:	
1.16	Entry BIP in EU	:	
1.18	Description of commodity	:	
1.19	Commodity Code (HS Code)	:	
1.20	Quantity	:	
1.21	Temperature of product	:	
1.22	Number of packages	:	
1.23	Identification of container/ Seal Number	:	
1.24	Type of packages	:	
1.25	Commodities certified for	:	
1.27	For import or admission to EU	:	
1.28	Identification of the Commodities Species (Scientific Name)	:	
	Nature of commodities	:	
	Treatment type	:	
	Approval No	:	
	Number packages	:	
	Net Weight	:	

The undersigned hereby declares that the consignment has not been shipped and that the Fishery Products described above have been handled, prepared, processed, identified, stored and transported in our approved facility under conditions at least equivalent to those laid down in Regulation (EC) 853/2004 laying down the health conditions for the production and the placing on the market of fishery products.

Place :

Yours faithfully,

Date :

Name
Designation

Seal of the
Processing
Establishment

FOR OFFICE USE

Date of receipt of the application:

Date if issue of the certificate :

Reference No. of the certificate :

Issued

ANNEXURE 57-A

(To be typed on company letter head)

To
The Joint Director
Export Inspection Agency…..

Sub: Application to issue Health Certificate for export of fishery products to Non-EU other than Russia (general)

Sir,

Please issue a Health Certificate for the consignment of fishery products meant for export to Non-EU other than Russian federation, the details of which are given below

Country of Despatch :
~~Reference Number of Health Certificate :~~

I. IDENTIFICATION OF FISHERY PRODUCTS

Products Description :
Species (Scientific Name) :
Type of packing :
Number of packages :
Net Weight (Quantity) :
Temperature required during
Storing and transport :

I. ORIGIN OF FISHERY PRODUCTS

Name, Address and Approval :
Number of processor :

II. DESTINATION OF FISHERY PRODUCTS

Place of Despatch :
Country and Place of Destination :
Means of transport :
Container :
Name & Address of Consignor :
Name & Address of Receiver :
Shipping Marks :

III. HEALTH ATTESTATION

It is hereby certified that the fishery products described above have been handled, prepared or processed, identified, stored and transported under hygienic conditions as laid down in the Export of Fresh, Frozen and Processed Fish and Fishery Products (Quality Control, Inspection and Monitoring) Rules, 1995 and that the establishment where the fishery products have been processed is approved and regularly monitored by the Export Inspection Agency ……(Competent Authority).

Place :
Date :

Signature
Name

Designation.

ANNEXURE 58

COUNTRY CODES OF MEMBER STATES OF EU

Sl.No	Countries	ISO Codes
1	Austria	AT
2	Belgium	BE
3	Bulgaria	BG
4	Czech Republic	CZ
5	Cyprus	CY
6	Denmark	DK
7	Estonia	EE
8	France	FR
9	Finland	FI
10	Germany	DE
11	Greece	EL
12	Hungary	HU
13	Ireland	IE
14	Italy	IT
15	Latvia	LV
16	Lithuania	LT
17	Luxembourg	LU
18	Malta	MT
19	Netherlands	NL
20	Poland	PL
21	Portugal	PT
22	Romania	RO
23	Spain	ES
24	Slovenia	SI
25	Slovakia	SK
26	Sweden	SE
27	United Kingdom	UK

ANNEXURE 59

Health Certificate format for export to Non-EU

EXPORT INSPECTION AGENCY -

(Ministry of commerce & Industry, Government of India)

Original

HEALTH CERTIFICATE

(for fishery and aquaculture products originating in India and intended for export)

Book No. 439 Reference No:..... Sl.No. 14

Country of despatch: **INDIA**

Competent authority : **EXPORT INSPECTION AGENCY -**

I Details identifying the fishery products

Description of fishery/aquaculture products (1):

-species (scientific name):.....

-presentation of product and type of treatment(2):.....

Code number (where available).....

Type of packaging:.....

Number of packages:.....

Net weight:.....

Requisite storage and transport temperature:.....

II Origin of products

Name (s) and official approval number (s) of establishment(s), cooling store(s) or freezing vessel(s)approved by the EIC for export.....

.....

.....

III Destination of products

The products are dispatched

from:.....

(place of dispatch)

to :.....

(country and place of destination)

---

(1) Delete where applicable.

(2) Live, refrigerated, frozen, salted, smoked, preserved etc.

By the following means of transport:.....

Name and address of despatcher:.....

.....

.....

Name of the consignee and address at place of destination:.....

.....

.....

IV Health attestation

-The official inspector hereby certifies that the fishery or aquaculture products specified above:

1. were caught and handled on board vessels in accordance with the health rules laid down in Govt. of India Order and Notification No. SO 729(E) & 730(E), both dated 21st August 1995.
2. were landed, handled and where appropriate packaged, prepared, processed, frozen, thawed and stored hygienically in compliance with the requirements laid down in Govt. of india Order and Notification No. SO 729 (E) & 730 (E),both dated 21 st August 1995.
3. have undergone health controls in accordance with Govt. of India Order and Notification No SO 729 (E) & 730 (E), both dated 21st August 1995.
4. are packaged, marked, stored and transported in accordance with Govt. of India Order and Notification No.SO 729 (E) & 730 (E), both dated 21st August 1995.
5. do not come from toxic species or species containing biotoxin;
6. have satisfactorily undergone the organoleptic, parasitological, chemical and microbiological checks laid down for certain categories of fishery products as per Govt. of India Order and Notification No. SO 729 (E) & 730 (E), both dated 21st August 1995. The undersigned official inspector hereby declares that he is aware of the provisions of Govt. of India Order and Notification No. SO 729 (E) & 730(E), both dated 21st August 1995.

Done at..... on.....
(Place) (Date)

.....
Signature of official inspector (3)

.....
(Name in capital letters, capacity and qualifications of person signing)

Official Stamp (4)

---

(3) & (4) The colour of the stamp and signature must be different from that of the other particulars in the certificate.

ANNEXURE 60

Health Certificate format for export to Australia

EXPORT INSPECTION COUNCIL OF INDIA
(Ministry of Commerce & Industry, Government of India)

Original

HEALTH CERTIFICATE

for fishery and aquaculture products originating in India and intended for export to Australia, excluding bivalve molluscs, echinoderms, tunicates and marine gastropods in whatever form

Book No. 31 Reference No..... Sl. No. 26

Country of dispatch : INDIA

Competent authority : EXPORT INSPECTION COUNCIL OF INDIA (EIC) OF MINISTRY OF COMMERCE & INDUSTRY

I. Details identifying the fishery products

Description of fishery/aquaculture products (1) :

-species (scientific name) : .....

- presentation of product and type of treatment (2) .....

Code number (where available) .....

Type of packaging : .....

Number of packages : .....

Net weight : .....

Requisite storage and transport temperature: .....

II. Origin of products

Name(s) and official approval number(s) of establishment(s), cooling store(s) or freezing vessel(s) approved by the EIC for export to the Australia .....

.....

.....

III. Destination of products

The products are dispatched

from : .....

(place of dispatch)

to : .....

(country and place of destination)

---

(1) Delete where applicable

(2) Live, refrigerated, frozen salted, smoked, preserved etc.

By the following means of transport : .....

Name and address of dispatcher: .....

.....

.....

.....

Name of the consignee and address at place of destination: .....

.....

.....

IV. Health attestation

- The official inspector hereby certifies that the fishery or aquaculture products specified above :

1. were caught and handled on board vessels in accordance with the health rules laid down in Govt. of India Order and Notification No. SO 729 (E) & 730 (E), both dated 21st August 1995.
2. were landed, handled and where appropriate packaged, prepared, processed frozen, thawed and stored hygienically in compliance with the requirements laid down in Govt. of India Order and Notification No. SO 729 (E) & 730 (E), both dated 21st August 1995.
3. have undergone health controls in accordance with Govt. of India Order and Notification No. SO 729 (E) & 730 (E), both dated 21st August 1995.
4. are packaged, marked, stored and transported in accordance with Govt. of India Order and Notification No. SO 729 (E) & 730 (E), both dated 21st August 1995.
5. do not come from toxic species or species containing biotoxin;
6. have a satisfactorily undergone the organoleptic, parasitological, chemical and microbiological checks laid down for certain categories of fishery products as per Govt. of India Order and Notification No. SO 729 (E) & 730 (E), both dated 21st August 1995.

The undersigned official inspector hereby declares that he is aware of the provisions of Govt. of India Order and Notification No. SO 729 (E) & 730 (E), both dated 21st August 1995.

Done at ..... on .....
(Place) (Date)

.....
Signature of official inspector (3)

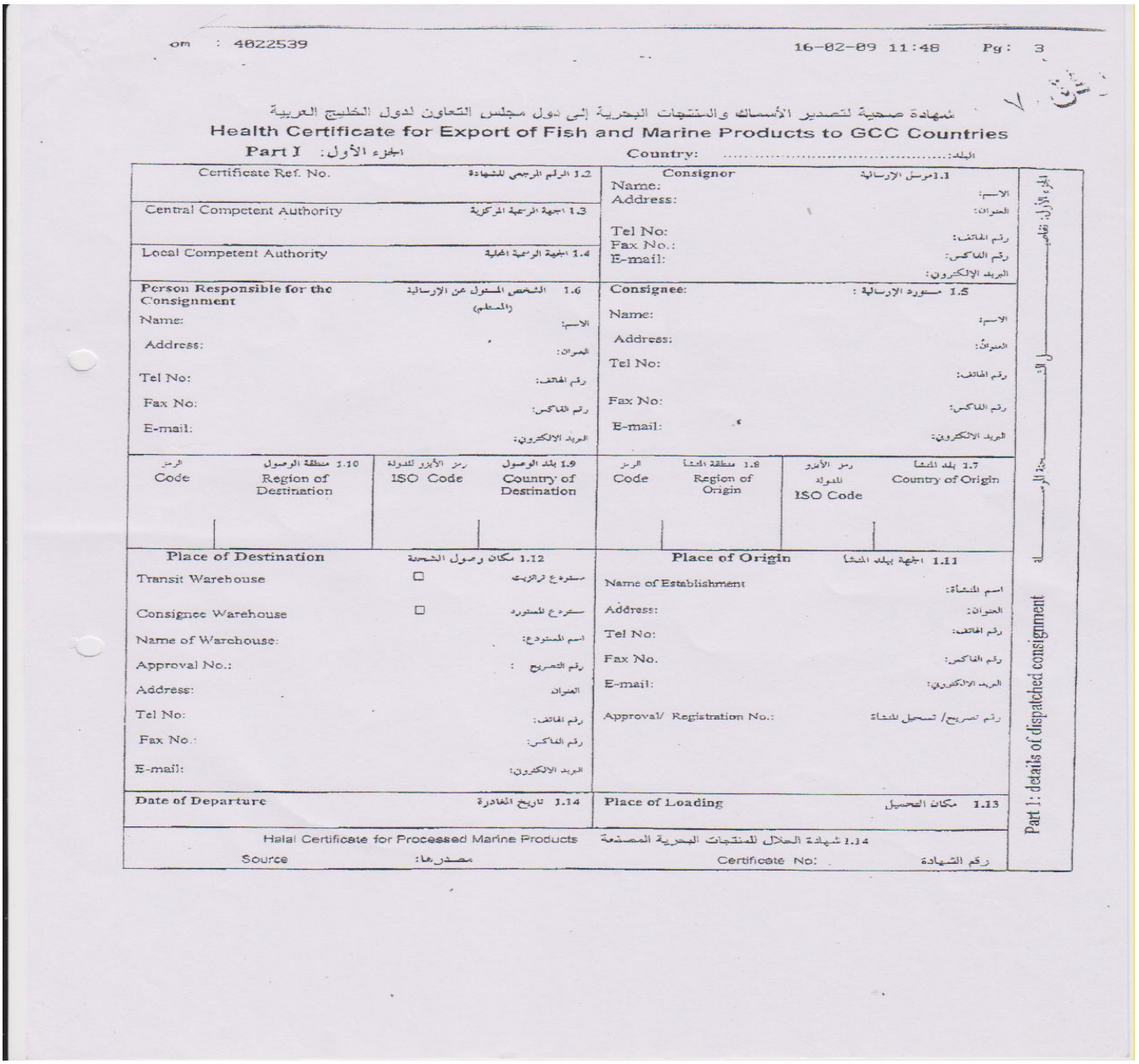
.....
(Name in capital letters, capacity and qualifications of person signing)

Official Stamp (4)

(3) & (4) The colour of the stamp and signature must be different from that of the other particulars in the certificate

ANNEXURE 61

Health certificate format for Saudi Arabia



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شهادة صحية لتصدير الأسماك والمنتجات البحرية إلى دول مجلس التعاون لدول الخليج العربية

Health Certificate for Export of Fish and Marine Products to GCC Countries

Part I الجزء الأول: Country: البلد:

Certificate Ref. No. 1.2 الرقم المرجعي للشهادة	Consignor 1.1 مرسل الإرسالية Name: الاسم: Address: العنوان: Tel No: رقم الهاتف: Fax No.: رقم الفاكس: E-mail: البريد الإلكتروني:
Central Competent Authority 1.3 الجهة الرسمية المركزية	
Local Competent Authority 1.4 الجهة الرسمية المحلية	
Person Responsible for the Consignment 1.6 الشخص المسئول عن الإرسالية (المصطم) Name: الاسم: Address: العنوان: Tel No: رقم الهاتف: Fax No: رقم الفاكس: E-mail: البريد الالكتروني:	Consignee: 1.5 مستورد الإرسالية : Name: الاسم: Address: العنوان: Tel No: رقم الهاتف: Fax No: رقم الفاكس: E-mail: البريد الالكتروني:

1.10 منطقة الوصول Region of Destination	الرمز Code	1.9 بلد الوصول Country of Destination	رمز الأيزو للدولة ISO Code	1.8 منطقة المنشأ Region of Origin	الرمز Code	1.7 بلد المنشأ Country of Origin	رمز الأيزو للدولة ISO Code

Place of Destination 1.12 مكان وصول الشحنة	Place of Origin 1.11 الجهة ببلد المنشأ
Transit Warehouse ☐ مستودع ترانزيت	Name of Establishment اسم المنشأة:
Consignee Warehouse ☐ مستودع للمستورد	Address: العنوان:
Name of Warehouse: اسم المستودع:	Tel No: رقم الهاتف:
Approval No.: رقم التصريح :	Fax No. رقم الفاكس:
Address: العنوان	E-mail: البريد الالكتروني:
Tel No: رقم الهاتف:	Approval/ Registration No.: رقم تصريح/ تسجيل المنشأة
Fax No.: رقم الفاكس:	
E-mail: البريد الالكتروني:	
Date of Departure 1.14 تاريخ المغادرة	Place of Loading 1.13 مكان التحميل
Halal Certificate for Processed Marine Products 1.14 شهادة الحلال للمنتجات البحرية المصنعة	
Source مصدرها:	Certificate No: رقم الشهادة

Part 1: details of dispatched consignment الجزء الأول: تفاصيل الإرسالية

: 4822539

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Expected Border Entry: 1.17 المنفذ الحدودي المتوقع	Means of Transportation 1.16 وسيلة النقل Railway Wagon ☐ عربة قطار Other ☐ أخرى Airplane ☐ طائرة Ship ☐ سفينة Road Vehicle ☐ مركبة
Export License No.: 1.18 رقم رخصة التصدير:	
No. of Container: 1.19 رقم الحاوية :	Identification هوية وسيلة النقل:
No of Seal of the Container: رقم الختم على الحاوية :	Documentary References: رقم مرجعي للوثائق:

Quantity 1.22 الكمية	Commodity Code (HS code) 1.21 الرمز الجمركي للبضاعة	Description of Commodity 1.20 وصف البضاعة (نوعية الإرسالية)
-1	-1	-1
-2	-2	-2
-3	-3	-3

Temperature of Product: 1.23 درجة حرارة حفظ المنتج :

Frozen ☐ مجمدة محددة — Chilled ☐ مبردة — Ambient ☐ درجة حرارة الغرفة (٢٥ م°)

Type of Packaging 1.25 نوع العبوات	Number of Packages 1.24 عدد العبوات

Commodities Certified for: 1.26 تم ترخيص البضائع لاستخدامها في:

Other ☐ أخرى — Human Consumption الاستهلاك الآدمي: Directly ☐ مباشرة — After Further Process ☐ بعد معالجة إضافية

Identification of the Commodities 1.27 تعريف البضائع

الرقم No.	١- صنف المنتج البحري Species of Products (Scientific Name)	٢- العلامة التجارية Trade Mark	٣- طريقة التصنيع State or type of Processing	٤- رقم التشغيلة Batch No	٥- رقم الدفعة Lot No.	٦- الوزن الصافي Net Weight	٧- تاريخ الإنتاج Date of Production	٨- تاريخ الانتهاء Date of Expiration
-1								
-2								
-3								

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From : 4822539

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شهادة صحية لتصدير الأسماك والمنتجات البحرية إلى دول مجلس التعاون لدول الخليج العربية

Health Certificate for Export of Fish and Marine Products to GCC Countries

Part II الجزء الثاني

Country: البلد:

Health Info. المعلومات الصحية

certificate Ref. No. الرقم المرجعي للشهادة:

HEALTH ATTESTATION إفـــــادة صحيـــــة

أ) إن الأسماك والمنتجات البحرية تم صيدها وتداولها على سفن الصيد وفقاً للوائح الفنية (المواصفات القياسية الإلزامية) الخليجية المعتمدة وفي حالة عدم توفرها تطبق اللوائح الفنية الدولية.

ب) أن هذه المنتجات البحرية واردة من منطقة أو مؤسسة خالية من أمراض الأسماك الوبائية.

ج) بمعاينة هذه المنتجات البحرية أوضحت أنها ليست من أنواع سامة أو تحتوي على سموم حيوية وأنها ذات صفات حسية طبيعية وصالحة للاستهلاك الآدمي ومطابقة للوائح الفنية (المواصفات القياسية الإلزامية) المعتمدة الخليجية المعتمدة وفي حالة عدم توفرها تطبق اللوائح الفنية الدولية .

د) تم تصنيع المنتجات البحرية في منشأة مرخصة وخاضعة للإشراف الصحي وتطبق لنظام تحليل المخاطر والتحكم بالنقاط الحرجة (HACCP) (أو أي نظام لسلامة الغذاء مكافئ له) .

هـ) بناءً على برنامج متابعة وطني لمراقبة الأغذية، فإن هذه المنتجات البحرية مستوفية للوائح الفنية (المواصفات القياسية الإلزامية) الخليجية المعتمدة (وفي حالة عدم توفرها تطبق اللوائح الفنية الدولية). فيما يتعلق ببقايا الملوثات الكيميائية والبيولوجية.

الجزء الثاني: الإفادة الصحية: Part II: Health Attestation

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شهادة صحية لتصدير الأسماك والمنتجات البحرية إلى دول مجلس التعاون لدول الخليج العربية

Health Certificate for Export of Fish and marine products to GCC Countries

Part II الجزء الثاني Country: البلد: .....

Health Info. المعلومات الصحية

certificate Ref. No. الرقم المرجعي للشهادة:

HEALTH ATTESTATION إفـــــادة صحيـــــة

a) These fish and sea products were caught and handled in accordance with official GCC techinecal regulations, (In case GCC techinecal regulations are not available international techinecal regulations are applied).

b) These sea products were derived from a zone / establishment free from fish epidemic diseases.

c) The sea products were not come from toxic species or species containing biotoxin and have normal organoleptic characteristics, fit for human consumption and comply with the GCC techinecal regulations, (In case GCC techinecal regulations are not available international techinecal regulations are applied).

d) The sea products have been processed in an approved establishment under official health supervision, and implementing the Hazard Analysis and Critical Control Point System (HACCP) (or any equivalent food safety system).

e) On basis of a national follow –up control scheme, the Sea products comply with GCC techinecal regulations (In case GCC techinecal regulations are not available international techinecal regulations are applied) regarding residues of chemical or biological contaminants.

Part II: Health Attestation الجزء الثاني: الإفادة الصحية

أنا الموقع أدناه المسئول المختص أفيد بأن البضاعة الواردة أوصافها أعلاه تستوفي جميع الشروط الصحية الواردة في هذه الشهادة.

I the undersigned, authorized person, certify that the good described above meets all the requirements mentioned in this certificate .

(Place) .....: المكان (Date) : ...../...../..... التاريخ

Responsible Body : الجهة المسؤولة:

Name & Signature of Local Official Inspector : اسم وتوقيع المسئول الرسمي المختص:

Qualification and Title: المسمى الوظيفي والتخصص:

الختم الرسمي

Official Stamp

30

Health Certificate format for export to China **ANNEXURE 62**

印度向中国出口水产品
检验检疫证书
HEALTH CERTIFICATE
for fishery products originating in India and intended for export to the People's Republic of China

发送国: 印度 主管当局 : 印度食品检验署
Country of dispatch: INDIA Competent Authority: EXPORT INSPECTION AGENCY (EIA)

I. 水产品识别细节/ Details identifying the fishery products

品名 Commodity Name	物种(学名) Species (Scientific Name)	加工方法 Processing Method	包装箱数 Number of Packages	净重 Net Weight

储藏和运输的温度要求：
Requisite storage and transport temperature:

编号/生产日期:
Code Number/ Production Date:

II. 水产品来源 / Origin of the fishery products

捕捞区域 / Fishing Region .....

印度食品检验署注册的向中国出口产品的企业，工厂船只，冷藏或冷冻船只的名称及注册号.
Name(s) and approval number(s) of establishment(s), factory vessel(s), or cold store(s) or freezer vessel(s) approved by the EIA for export to the People's Republic of China.

III. 水产品出口目的地 / Destination of the fishery products

产品发运 / The products are dispatched
从 / from_____
(发货地 / Place of dispatch)

_____
(发货人名称和地址 / Name & Address of the consignor)

至 / to_____
(目的地国家和地点 / Country & place of destination)

_____
(目的地收货人名称和地址 / Name of consignee & address of place of destination)

运输方式如下：
by the following means of transport_____

IV. 检验检疫证明 / Health Attestation

官方检验人员兹证明：
The official inspector hereby certifies that the fishery products specified above :

1. 上述水产品来自印度食品检验署注册的企业
The aquatic products come from the establishments that have been approved by the Export Inspection Agency:

2. 该产品是在卫生条件下生产，包装，储藏和运输，置于主管当局监督之下：
The products were produced, packed, stored and transported under sanitary conditions and under the supervision of competent authority.

3. 该产品经主管当局检验检疫，未发现印度政府规定的有害病菌，有毒有害物质和异物.
The products were inspected and quarantined by the competent authority and have no pathogenic bacteria, harmful substances or foreign substances in accordance to the export of Fresh, Frozen and processed Fish and Fishery Products (Quality Control, Inspection and Monitoring)Rules 1995 notified by the Government of India.

4. 该产品符合兽医和卫生要求，适合人类食用.
The products meet veterinary and sanitary requirements and are fit for human consumption.

颁发
Done at_____ on_____
(地点 / Place) (日期 / Date)

官方印象 Official Seal

官方检验人员签名 / Signature of official inspector

签字人大写姓名，身份和资格 / Name in capitals, capacity and qualifications of person signing

ANNEXURE 63

Health Certificate Format for export to Hong Kong

Annex

SANITARY CERTIFICATE
COVERING AQUATIC ANIMALS AND AQUATIC PRODUCTS

(LETTERHEAD or LOGO) **Identification number:** _____

Country of Dispatch: Competent Authority: Certifying Body:

I. Details identifying the aquatic animals and aquatic products

Description of animal /product	Species (scientific name)	State or type of processing	Type of packaging	Lot Identifier/ date code	Number of packages	Net weight
				Sum :		

Identification number of the seal of container (if appropriate)
_____

Temperature required during storage and transport: _____ °C

II. Provenance of the aquatic animals and aquatic products

Address(es) and/or the Registration number(s) of aquaculture farm(s), production area(s) or production establishment(s) authorized for exports by competent authority:
_____

Name and address of consignor: _____

_____

III. Destination of the aquatic animals and aquatic products

The aquatic animals / aquatic products are to be dispatched from: _____
(Place of dispatch)

to: _____
(Country and place of destination)

by the following means of transport: _____

Name of consignee and address at place of destination: _____

IV. Attestation

The undersigned certifying officer hereby certifies that:

1) The aquatic animals or products described above originate from (an) approved farm(s) or establishment(s) that has been approved by, or otherwise determined to be in good regulatory standing with the competent authority in the exporting country;
2) The aquatic animals have been produced, packed, stored, and transported under sanitary condition, which were under the supervision of competent authority and in accordance with the requirements laid down in Codex Code of Practice for Fish and Fishery Products;
3) The aquatic products have been handled, prepared or processed, identified, stored and transported under a competent sanitary programme consistently implemented and in accordance with the requirements laid down in Codex Code of Practice for Fish and Fishery Products;
4) The aquatic animals or products have been inspected and quarantined by the competent authority and do not found harmful levels of microorganisms, harmful substances and foreign substances regulated in the exporting country and Hong Kong;
5) The aquatic animals or products meet veterinary sanitary requirements and are fit for human consumption.

Done at _____ (Place) on _____ (Date)

(*SEAL*)

_____ (Signature of certifying officer)

_____ (Name and official position)

Tel:
Fax:
E-mail: (optional)

ANNEXURE 64

(Name & Address of Lab)

Certificate No:

Date of Issue:

CERTIFICATE OF ANALSYSIS

1.	Name of Processor	6	Product/ Simple Name:
2.	Name of exporter		
3.	Name of importer	7	Sample description
4.	Type of packing	8	Date of receipt
5.	Quantity/Weight	9	Analyses started
6.	Production code	10	Analysis completed

Sl.No.	Parameters Tested	Results	Detection Limit	Test Method
1. Nitrofurans by HPLC				
a)	Nitorfurazone			
b)	Nitrofurantoin			
c)	Furazolidone			
d)	Furaltadone			
2. Nitrofuran metabolites by LC MS MS				
a)	AOZ			
b)	3-Amino-5-morpholinomethyl-2 Oxazolidinone (AMOZ)			
c)	1-aminohydantone (ADH)			
d)	Semicarbazide (SEM)			

Authorised Signatory

ANNEXURE 65

Health Certificate for export to Russian Federation

ORIGINAL / *ОРИГИНАЛ* ☐ COPY / *КОПИЯ* ☑ Total number of copies issued / *Количество выданных копий* ☐

1.1 Name and address of consignor / Название и адрес грузоотправителя:	1.5 Certificate / *Сертификат №* RU/EIA/ 00001
	Veterinary certificate for fish and seafood (fishery products) and products of their processing intended for human consumption, exported from the Republic of India into the Russian Federation ***Ветеринарный сертификат на экспортируемые из Республики Индия в Российскую Федерацию пищевую рыбу, морепродукты, готовые изделия из них.***
1.2 Name and address of consignee / *Название и адрес грузополучателя*	
1.3 Means of transport / Транспорт: *(the number of the railway carriage, truck, container; flight-number; name of the ship / № вагона, автомашины, контейнера, рейс самолета, название судна.)*	1.6 Competent authority in the Republic of India/ *Компетентное ведомство Республики Индия*
	1.7 Organisation in the Republic of India, issuing this certificate / *Учреждение Республик Индия, выдавшее сертификат*
1.4 Country of transit / Страна транзита:	1.8 Point of crossing the border of the Russian Federation / *Пункт пересечения границы Российской Федерации*

2. Identification of products / Идентификация продукции:

2.1 Name of the product / *Наименование продукции* _____

_____

2.2 Date of production / *Дата выработки продукции* _____

2.3 Type of package / *Упаковка* _____

2.4 Number of packages / *Количество мест* _____

2.5 Net weight (kg)/ *Вес нетто* (кг) _____

2.6 Number of seal / Номер пломбы: _____

2.7 Identification marks / Маркировка: _____

2.8 Conditions of storage and transport / Условия хранения и перевозки: _____

3. Origin of the products / Происхождение продукции:

3.1 Name (No) and address of establishment, approved by the Competent Veterinary Service in the Republic of India:

Название (No) и адрес предприятия, зарегистрированного компетентной ветеринарной службой Республики Индия для экспорта:

_____

_____

_____

- factory vessel / плавбазы _____

_____

_____

- cold store / *холодильника* _____

_____

3.2 Administrative-territorial unit / Административно-территориальная единица:

_____

_____

_____

4. Certificate on suitability of products in food / Свидетельство о пригодности продукции в пищу

4.1 I, the undersigned State/Official Veterinarian hereby certify that:
The certificate is issued on the bases of the following pre-export certificates (the list is attached in case there are more than two pre-export certificates)
Я, нижеподписавшийся государственный /официальный ветеринарный врач, настоящим удостоверяю следующее·
Live, chilled and frozen fish, seafood and products of their processing, destined for human consumption and exported to the Russian Federation, were produced in establishments, approved by the Competent Veterinary Service of the Republic of India to export their production and acting under its constant supervision.
Экспортируемые в Российскую Федерацию живая, охлажденная и мороженая рыба, морепродукты и готовые изделия из них, предназначенные в пищу человеку, произведены на предприятиях, имеющих разрешение компетентной ветеринарной службы Республики Индия о поставке продукции на экспорт и находящихся под ее постоянным контролем.

4.2 Fish and seafood originate from the establishments which have not been under restrictions concerning animal health.
Рыба и морепродукты происходят с предприятий, на которые не были наложены ограничения по здоровью животных.

4.3 Fish, fishery products and seafood were tested and officially certified by the State / Official Veterinary Service of the exporting country to be free from bacteriological and virus infections, included into list of diseases, recommended by OIE for this kind of products according to the Aquatic Animal Health Code
Рыба, рыбо- и морепродукты происследованы и официально признаны государственной /официальной ветеринарной службой страны-экспортера свободными от бактериальных и вирусных инфекций, внесенных в список МЭБ для данного вида продукции согласно Санитарному кодексу водных животных.

4.4 Fish, fishery products and seafood were tested by State/Official Veterinary Service of the exporting country for the presence of helminths. If there are some helminthes in acceptable limits the fish is inactivated by the current methods
Рыба, рыбо- и морепродукты были исследованы государственной /официальной ветеринарной службой страны-экспортера на наличие гельминтов. При наличии гельминтов в пределах, допустимых нормами, рыба обезврежена существующими методами.

4.5 The temperature of muscle thickness of frozen fish and seafood exported to the Russian Federation doesn't exceed 18 degrees below 0 Celsius, they are not contaminated with salmonella or other bacterial infectious agents, do not have any alterations typical for infectious diseases or poor organoleptic quality, have not been defrosted during the storage period, have not been treated with coloring and odorous substances, ionizing and ultra-violet rays.
Экспортируемые мороженая рыба и морепродукты имеют температуру в толще продукта не выше минус 18 градусов Цельсия, не обсеменены сальмонеллами или возбудителями других бактериальных инфекций, не имеют изменений, характерных для заразных болезней, недоброкачественных органолептических показателей, не подвергались дефростации в период хранения, не обрабатывались красящими и пахучими веществами, ионизирующим облучением или ультрафиолетовыми лучами.

4.6 In the result of veterinary-sanitary inspection sea and fresh-water fish, seafood and products of their processing are considered fit for human consumption. They do not contain natural or synthetic estrogenic and hormonal substances, thyreostatics, antibiotics, pesticides and other pharmacons.
При проведении ветеринарно-санитарной экспертизы морская и пресноводная рыба, морепродукты и готовые изделия из них признаны пригодными для употребления в пищу человеку. Они не содержат натуральные или синтетические эстрогенные, гормональные вещества, тиреостатические препараты, антибиотики, пестициды, а также лекарственные средства.

4.7 Microbiological, chemical, toxicological and radiological characteristics of fish, seafood and products of their processing corresponds to current veterinary and sanitary standards and requirements of the Russian Federation.
Микробиологические, химико-токсикологические и радиологические показатели рыбы, морепродуктов и готовые изделия из них соответствуют действующим в Российской Федерации ветеринарным и санитарным правилам и требованиям.

4.8 Fish and sea-food (fishery products) is recognized fit for human consumption.
Рыба и морепродукты признаны пригодными для употребления в пищу людям.

4.9 The sealing of the master carton is done with the quality label of Export Inspection Council and the label of the enterprise in a manner ensuring the opening of the consignment is impossible without damaging the label.
Упаковка пломбирована знаком качества Совета по инспекции экспорта и маркировочной этикеткой предприятия таким образом, чтобы вскрытие груза было невозможным без нарушения целостности маркировочной этикетки.

4.10 Containers and packing material are nonreturnable and correspond to hygienic requirements.
Тара и упаковочный материал одноразовые и соответствуют гигиеническим требованиям.

4.11 Transport means are treated and prepared according to the standards approved within the territory of the Republic of India.
Транспортные средства обработаны и подготовлены в соответствии с принятыми в Республике Индия правилами.

Place _____ Date _____ Official stamp :
Место *Дата* *Печать*

Signature of state/official veterinarian
Подпись государственного/официального ветеринарного врача

Name and position in capital letters
Ф.И.О. и должность

Signature and stamp must be in a different colour to that in the printed certificate / Подпись и печать должны отличаться цветом от бланка

ANNEXURE 66

EXPORT INSPECTION AGENCY-…….

Ministry of Commerce & Industry

Govt. of India

HACCP Compliance Certificate

This is to certify that M/s……. *(Name of the facility)* located at ……..... (address of the facility) is an approved fish processing establishment having approval number……..and scope of the approval is …….

The unit has implemented HACCP at all stages of production in their establishment. The HACCP compliance of the unit is being monitored by this office on a laid down frequency.

Place :	Seal of EIA	Signature :	
		Name :	
Date :		Designation :	Joint Director (I/C)

(Address of the Regional EIA along with Ph. No, Fax No & e.mail address)

ANNEXURE 67

ORGANOLEPTIC CRITERIA FOR ACCEPTANCE OF FISH AND FISHERY PRODUCTS

For acceptance of the finished product as export worthy the following organoleptic criteria shall be applied.

A. Frozen Shrimps and Frozen Lobsters

A.1 The percentage by count of the defects shall be converted into scores, using the following table:

Factor		Rate of Score deduction	Maximum tolerance for score	Maximum tolerance Limit
General appearance and odour	Good/ /Satisfactory/Poor	---	---	Satisfactory
Dehydration	Nil	0		
	Upto 5% by count	1		
	Above 5% upto 20 % for each addl. 5% or part thereof by count	2	7	20%
	Above 20% for each addl. 5% or part thereof by count	4		
Discoloration of Shell and Meat	Nil	0		
	Upto 2% by count	2	10	20%
	Above 2% upto 5% by count	4		
	Above 5% for each addl. 5% of part thereof by count	2		
Deterioration	Nil	0		
	Upto 2% by count	2	6	5%
	Above 2% upto 5% by count	6		
	Above 5% by count	21		
Black spot on Shell & Meat	Nil	0 peeled	2	5%
	Each 5% or part thereof by count	2 HL	4	10%

Broken and Damage Pieces	Nil	0		
	Each 5% or part thereof by count	2	10	10%
Legs, Bits of Veins, Antennae, Loose Shells, Soft Shells and Hanging meat	Upto 2% by count Above 2% for each addl. 2% or part thereof by count	0	8	10%
Foreign vegetable matter	One piece	1		
	Two pieces	2		
	Three to 10 pieces	5		
	Over 10 pieces for each addl. 4 pieces	2		
Uniformity of size	Non uniform pieces nil	0		
	Each 2% of part thereof by count	1	5	10 %
Texture	Slight toughness	2		
	Moderate toughness	4	4	
	Excessive toughness	11		
Objectionable foreign matter shall not be present				

A2. Each sample shall be rated for overall quality as follows :

Total score upto 10 A
Total score 11 to 20 B
Total score 21 to 25 C
Total score above 25 D

A3. A sample shall be considered as of reject quality if the total score deduction exceeds 25 or if the individual tolerance exceeds the percentage prescribed as per Para A-1 above.

B. Definitions of defects:

a) Objectionable foreign matter	– Fly, other insects, hair, sand, saw dust, metallic pieces, glass pieces etc.
b) Broken pieces (Shrimps)	- Pieces having less than four segments in the case of PD, PUD, CP, PC, PDC -

c) Hanging meat	- If any portion of Cephalothorax (head) is attached.
d) Non-uniformity	- If the variation between the net weight of the individual pieces and the average weight of the pieces is upto 25% it can be considered as uniform If the variation is above 25% such pieces shall be considered as non-uniform. However pieces having weight outside the range of relevant grade should not be permitted.

In case of Under count (like U/8, U/10 etc.) on inspection, the actual count should be less than limit prescribed. However in case of U/8 count if number of pieces exceeds 7 and is less than 8 the grade shall be accepted as within the limit prescribed. The observation shall be recorded as <8 (less than 8) to indicate that the count is within limit. The same method shall be followed for all "under count" grades.

C. All types of Fishes

Factors	Tolerance in a sample	Aggregate in a sample
General appearance in odour	Satisfactory	
Dehydration	10%	
Discolouration	10%	
Deterioration	5%	25%
Bruised pieces	10%	
Non –uniform pieces	10%	
Texture	Firm and consistent	
Objectionable foreign matter	Nil	

Each sample shall be treated for overall quality as follows :
Aggregate percentage unto 10 A
Aggregate percentage 11 to 20 B
Aggregate percentage 21 to 25 C
Aggregate percentage above 25 D

D. Frozen Cuttlefish, Squids and other Cephalopods (including tentacles, fins, wings etc.)

Factors	Tolerance in a sample	Aggregate in a sample
General appearance in odour	Satisfactory	
Dehydration	5%	
Discolouration	10%	
Deterioration	5%	
Bruised pieces	10%	15%
Non –uniform pieces	10%	
Texture	Firm and consistent	
Objectionable foreign matter	Nil	

C1. Each sample shall be treated for overall quality as follows :

Aggregate percentage unto 5 A
Aggregate percentage 6 to 10 B
Aggregate percentage 11 to 15 C
Aggregate percentage above 25 D

Note : General appearance and odour of the samples shall be graded as good, satisfactory, poor

E. Sampling scale:

No. of package in the lot	No. of packages to be selected
upto 12	2
13 to 24	3
25 to 40	4
41 to 80	5
81 to 120	6
121 to 180	7
181 to 250	8
251 to 350	10
351 to 500	12
501 to 750	14
751 to 1000	18
1001 to 1300	22
1301 to 1600	25
1601 to 2000	30
2001 and above	40

ANNEXURE 68

LIST OF APPROVED TECHNOLOGIST

EXPORT INSPECTION AGENCY – MUMBAI / KOLKATA / KOCHI / CHENNAI / DELHI

Sly No.	Name of the approved technologist	Qualification	Validity of approval of the technologist	Name of the establishment to who the technologist is attached	Approval no. of the establishment