Voluntary Certification Scheme

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1. INTRODUCTION

The Export Inspection Council (EIC) was set up by Government of India under Section 3 of the Export (Quality Control and Inspection) Act, 1963 (22 of 1963), in order to ensure sound development of export trade of India through Quality Control and Inspection and for matters connected thereof.

In order to facilitate the smooth export trade from India and to ensure compliance to the requirements of importing regulatory authorities/ buyer, commodities which are not notified under The Export (Quality Control & Inspection) Act, 1963, are certified for their export worthiness under Voluntary Certification Scheme on the request of exporter. The scheme allows for two systems of inspection & certification, namely i) Consignment Wise Inspection (CWI) System and ii) In Process Quality Control (IPQC System).

2. SCOPE

The scheme covers all those commodities which are not notified under The Export (Quality Control & Inspection) Act, 1963.

3. CONSIGNMENT WISE INSPECTION (CWI) SYSTEM

3.1 General

Under the Consignment Wise Inspection (CWI) system, the export consignments are inspected at a frequency of any one in fifty consignment, by Export Inspection Agencies (EIA) prior to shipment. However, frequency of inspection may be decreased with the approval of Competent Authority depending upon the risk associated with the commodity, any import alert received from importing country or inputs during surveillance control visits to establishments. Under this system, representative samples are drawn and tested for verifying the conformity of the consignment to the standards of the importing country or Codex standards or standards required by the buyer, subject to these being not lower than that of the National Standards. In case none of these standards exist, testing can be done as per the relevant National standards. Tests will be carried out in EIC approved laboratory. The Health Certificate will be issued by Export Inspection Agencies only after the consignment is found in Compliance to regulatory requirements of Importing Country/Buyer‘s Specification /National Standards. The cost of testing shall be borne by the exporter/processor.

3.2 Procedure to be followed

3.2.1 Issuance of health certificate

An exporter is required to submit online application to the concerned EIA on EIC website. To avail the said e-certification facility, the exporter has to obtain one time Username and Password through online weblink at EIC website.

Further, as and when the health certificate is required, exporter shall fill up an application form online (by login their User Name and Password), upload copies of

the invoice, packing list, test reports, other supporting documents, as applicable, and then make online payment to the concerned EIA office.

To process the incoming applications, EIA officials who are authorized by EIC, shalllog in with their respective User Name and Password allotted to them & issue the health certificate. Any random consignment may be physically inspected from fifty consignments.

3.2.2 Place of inspection

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

3.2.3 Procedure of inspection

3.2.3.1 On receipt of the online application for issuance of health certificate, EIAs may issue it on the same day provided all the documents are in order. If required, inspection and sampling may be done at a frequency as stated at clause 3.1. The officer deputed for inspection shall verify the consignment physically to ensure the export worthiness of the same and assess the adequacy or otherwise of the sanitary and hygienic condition of storage.

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

3.2.3.3 The samples drawn from bags selected as per 3.2.3.2 above will be mixed homogenously which will be divided into three parts and filled in sample bags. Sample bags will be sealed using paper seal bearing EIC monogram as a mark of identification of the sampled bags and one sample may transported to the laboratory in proper refrigerated / suitable condition, as may be required. Out of remaining twosamples one shall be kept at concerned EIA as ¯reference sample‖ and other sample is given to exporter as ¯exporter‘s sample‘. In case of dispute(s), if any, over the test results, retesting can be allowed using the _reference sample‘, for which the exporter shall submit a written request and also pay the requisite testing charges to the concerned EIA.

3.2.3.4 If the lot, after analysis of sample, does not conform to the specifications given in the standards applicable, it will be rejected and a rejection letter as given at Annex I, willbe issued with clear mention of the reasons for rejection The exporter/processor may

at his discretion further reprocess the lot and resubmit application for Inspection under the CWI System, along with the required inspection fee.

3.2.4 Testing of samples in the laboratory

The samples received in the laboratory will be analysed for different parameters mentioned in the in laboratory intimation format, which shall be based on standards of the importing country or Codex standards or standards required by a buyer subject to these being not lower than those of the importing country/ National Standard.

In case none of the standards exist, testing can be done as per the relevant National standards. Lab report will be submitted to EIA.Laboratory testing charges will have to be borne by the applicant (exporter/processor).

3.2.5 Issuance of Health Certificate & Attestation

The EIA shall issue health certificates based on lab reports (given below) of the consignments tested, in the format given at Annex-II or any other format certifying additional condition, if any, based on importing country's requirement. Health Certificate may be issued on conformity of satisfactory results of

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

In case of rejection/ violation/ complaint received against the exporter for the consignments exported, from the importing country, next 3 consecutive consignments shall be tested in EIA labs prior to issuance of health certificate. The cost of the testing shall be borne by the exporter/ processor.

4 In Process Quality Control System (IPQC)

4.1 Criteria for conformity/ basis of certification

- Implementing GHP/GMP/HACCP (If Applicable).
- Product conforming to importing country's requirement/Codex requirement/ buyer's requirement if not less than those of the importing country or relevant National standard (FSSAI), as applicable.

4.2 Scope of approval

Approval of processing units under In Process Quality Control System (IPQC) System may be granted for the specific products, if requested for by applicant (see Annex III.)

4.3 Procedure for application for approval under IPQC system

4.3.1 The processor seeking approval shall submit an application in the format given at Annex V, along with necessary documents to the concerned EIA.

4.3.2 The prescribed fee as stated in clause 5 for approval shall also be paid online by the applicant.

4.3.3 The application shall be accompanied by the following documents, whichever applicable

a) Brief description of the product as well as detail of processing.
b) Operation manual / HACCP manual, including Sanitary Standard Operating Procedures (GMP/GHP broadly as per Codex guidelines), if applicable, and an organisational chart.
c) Layout plan of the establishment
d) Process flow chart
e) Testing facilities in plant
f) Certified copies of documents proving legal identity of the applicant's plant and scope of their operations
g) Certified copy of lease agreement for the premises and building, where necessary.
h) Bio-data of the technologist(s)/ chemists working in the plant.

4.3.4 Processing of composite products (having animal origin ingredients) intended for export to EU

4.3.4.1 The establishment intending to process composite products (having animal origin ingredients) for export to EU shall submit the application for approval in the prescribed format placed at Annex V, along with the necessary documents (as per clause 4.3.3) to the nearest office of EIA under whose jurisdiction the establishment is situated.

4.3.4.2 The establishment shall import animal origin ingredients of composite products from member state or third countries included in the list of third countries with an approved control plan for pharmacologically active substances.

4.3.4.3 The establishment importing animal origin raw material for further processing and export of final product shall address the processing of the imported raw material in their HACCP plan and maintain proper records including traceability.

4.3.4.4 The establishment shall maintain all details of imported raw material including quantity, types of product, type of pack, country of origin, Veterinary Certificate, Health Certificate, test report(s) if any, Certificate of Origin issued by the importing country, copy of BL and bill of entry.

4.4. Processing the application for approval

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

4.4.2 The application, complete in all respects, shall be forwarded to the Convenor of the Assessment Panel for arranging assessment of the unit. Convenor AP shall be nominated by EIA Incharge.

4.4.3 The Convener- Assessment Panel shall ensure that assessment of applicant's plant by Assessment Panel is carried out within 15 days of receipt of their application complete in all respect.

4.4.4 Applicant unit will bear travel, boarding and lodging expenses of all AP members.

4.4.5 The Assessment Panel shall consist of at least two members to include representatives of EIC, Government Department or any suitable technical expert having sound expertise on the product. The composition and size of the AP shall however depend on the size of the unit to be assessed. While constituting the AP, the EIAs shall keep in view that there is no conflict of interests with any member having direct or indirect dealings with the applicant's unit.

4.4.6 The Assessment Panel shall submit its report as per the format given at Annex - IVto the EIA Head, within 3 days of completion of visit to the applicant's unit. The recommendations of the AP shall clearly state whether the plant is to be approved or not.

4.4.7 In case the plant is recommended for approval by the Assessment Panel and its recommendation is accepted, the EIA- Head shall arrange to take the following actions:

a) Allot an approval number to the unit.

The approval number shall be unique for each unit based on the following numbering system:

Sr no	Agency	Approval no.
1	EIA-Mumbai	VCS - 1 - No. / year of approval
2	EIA-Kolkata	VCS - 2 - No. / year of approval
3	EIA-Cochin	VCS - 3 - No. / year of approval
4	EIA-Delhi	VCS - 4 - No. / year of approval
5.	EIA-Chennai	VCS - 5 - No. / year of approval

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

a) Issue a letter of approval to the unit as per format at Annex-V with a copy to EIC with necessary information to issue Certificate of Approval as per Annex-VI.

b) Open a file for each of the approved plants in 3 parts as follows.

Part A - Application for approval/renewal in original & related correspondence (Records shall be maintained upto last approval/renewal.

Part B -- Monitoring file containing monitoring reports of unit & test report (Records shall be maintained up to last approval/renewal).

Part C - CFE/ Health certificate file (Records shall be maintained for last one year).

Part D–Complaints from Importing Country (Records shall be maintained permanently).

This file will bear number VCS -- followed by EIA No. and the approval number of the plant (for example VCS -1-- 001 (part A) and year of approval (4 digits).

4.4.8 In case, the Assessment Panel does not recommend for approval, EIA-Head, shall intimate the rejection including the reasons for which applicant plant was not considered fit for approval through a letter as per Annex-VII to the applicant, within 7 days of the receipt of the Assessment Panel's report.

4.5 Procedure to be followed in case the approved processing plant that temporarily suspends its production for Export

4.5.1 When an approved plant decides to suspend its processing activities for export temporarily for a period exceeding 30 days for reasons such as:

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

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

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

4.6 Validity of approval

The validity of Approval shall be for a period of three years which may be increased upto five years depending upon the risk associated with the product, absence of import alert and satisfactory performance of establishment during surveillance visits. Any change in validity of approval shall be done with the approval of EIC. EIAs shall review the performance of approved establishments at the time of renewal and submit the report to EIC for review in validity of approval. The report shall be accompanied with justification for retaining the same validity or any increase or decrease in validity of approval as per annexure XVII.

4.7 Renewal of approval of approved plants

4.7.1 The application received shall be processed as per the procedure given from Clause 4.1 to 4.4 for renewal of approval of the approved unit and the Assessment Panel's report shall be submitted in the format given at Annex VIII.

4.8 Change in name of Company

4.8.1 In case there is a change in the name of the company, the establishment shall furnish the Certified legal documents relating to the change to the controlling local office of the EIA under whose jurisdiction the establishment is situated:

In the case of request for transfer of approval under a Wet Lease Agreement (an agreement wherein the approved establishment is leased out to another party with all approved facilities including personnel without any change except that the party which has taken the approved establishment 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 4.8.1 to the EIA.

In addition, the party taking the approved establishment on wet lease or purchase shall also request for transfer of the approval in its name without change of approval number and submit the undertaking and guarantee required to be given by all approved processors, along with other legal documents relating to taking over the establishment on wet lease/sale deed.

On receipt of the above documents EIA In-charge shall examine the validity of such documents and on being satisfied shall approve the change of name/transfer of approval and inform the establishment with intimation to EIC.

Note:

(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 (If Applicable) will continue to be the same.

In case there is change in the ownership with change in the premises, manpower or process etc., a fresh approval as per the prescribed norms will be required.

4.9 Procedure for Approval of Additional facilities/Activities in ApprovedEstablishment

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

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

4.9.3 Applications complete in all respect shall be forwarded to the Head office of EIA. The In-

charge of the Agency shall grant approval of additional facility/ activity based on the documents submitted by establishment and same may be verified during next surveillance visit. However, in case of major deviation in the process flow involving new manpower and new machinery, then Agency Incharge may plan for physical visit of AP/ EIA officer for assessment of additional facility/ activity. However, proper justification for conducting physical visit shall be recorded in the report.

4.9.4 The Convener-AP/In-charge shall ensure that assessment of the additional facility/activity of applicant establishment is carried out within ten working days of receipt of their application complete in all respect, if required. The prescribed Assessment Report Format placed at Annexure X shall be used for reporting the observations. The In-charge of the EIA concerned shall examine the assessment report of the AP/In-charge.

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

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

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

4.10 Permission to process and pack approved products for export by merchant exporter

4.10.1 Approved establishments shall be permitted to process and pack products for export by one or more merchant exporter(s), depending upon their production capacity. A maximum of three merchant exports are permitted. However, the number of approved merchant exporters may be increased, with the approval of CA based on the production capacity and volume of export.

4.10.2 Approved establishments and the merchant exporter(s) shall also be permitted to export ―on account‖ of Export Houses, Trading Houses, Star Trading Houses or Super Start Trading Houses only. However, it may be ensured while issuing Certificates for Export (CFE) for such ―on account‖ export, the column no.1 of the certificate should contain the details of the exporter as well as the ― on account‖ exporter.

4.10.3 Establishments intending to process and pack approved products on behalf of merchant exporter(s) should submit their application to the EIA concerned as per the format given at **Annexure XI,** along with a fee as prescribed in clause 5 and also the documents specified therein. 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 exporter(s)

4.10.4 Approval to process/handle approved products meant for export by the merchant exporter(s) is given by the EIA concerned as per the format given at **Annexure XII.**

4.10.5 Certificate for Export (CFE) issued by the approved establishment meant for exportfor the merchant exporter/ Export House is to be got counter signed by the EIA concerned, for which a fee as prescribed in clause 5 has to be paid for each certificate by the processor to the EIA concerned. The EIA may collect the monitoring fee directly from the merchant exporter on request from the approved establishment.

When an approved processor requests EIA for cancellation of permission given to process and pack milk products for any merchant exporter, the permission shall be withdrawn using format given at Annexure XIII.

4.11 Monitoring and control

4.11.1 Monitoring by establishment/processor

4.11.1.1 It is the primary responsibility of the processor to ensure compliance to the requirements and to ensure safety and wholesomeness of the product based on HACCP principles (if applicable) of Good Manufacturing Practices (GMP) & Good Hygienic Practices (GHP).

4.11.1.2 The processor shall exercise all controls required as per requirements and maintain consumer records thereof in respect of the following broad areas.

- Hygienic requirements relating to the premises
- Structure and layout.
- Pest control (Prevention, extermination, use of chemicals).
- Maintenance
- Cleaning and sanitation
- Personnel hygienic
- Rest rooms
- Water management
- Chemicals
- Lighting and ventilation
- Waste disposal including effluent treatment
- Good Manufacturing Practices (GMP)
- Packing
- Record of imported raw material
- Traceability records

4.11.1.3 The processor shall ensure compliance of the product as per the standards of the importing country or Codex standards or standards required by a buyer subject to these being not lower than those of the national standard. In case none of the standards exist, testing can be done as per the relevant National standards, as applicable.

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

4.11.1.5 The processor shall exercise suitable control on quality of the incoming raw material in their premises. In addition the processor shall take care of the quality of packing material used, equipment and general sanitary and hygienic conditions in the plant.

4.11.1.6 Q mark‖ on the packages- The processor may use Q Mark on packages as per the following pattern given below together with approval number (in centre).

4.11.2. Monitoring by EIAs

4.11.2.1 EIAs shall carry out risk based monitoring by deputing an officer at a frequency of minimum once in six months. The monitoring officials shall verify the own checks system adopted by the unit at all stages of production starting from raw material reception to final despatch of the consignment, depending upon the risk associated with the processing activity.

Verifications may include:

- Verification of records
- Verification of process control, sanitation and hygienic practices
- Verification, of parameters as specified in Importing Country/Codex/National requirements or/and Buyer's specifications.
- Drawl of samples from processing line / finished products for ensuring safety and wholesomeness of the product
- Verification of the results of testing conducted in approved lab with that of the processing unit

Frequency of monitoring may be reduced to once in a year based on satisfactory performance over a period of one year. Satisfactory performance would mean all monitoring reports satisfactory, all samples tested are passing & no complaints or rejections have been received. If no export has been done in past six months monitoring visits may be discontinued. EIAs shall review the monitoring frequency of approved plants at least once in a year.

4.11.2.2 The monitoring shall broadly cover all the points listed under the Appendix A and be reported in the monitoring visit report as given at **Annex-XIV** by the inspecting officer.

4.11.2.3 Applicant unit will bear travel, boarding and lodging expenses of the monitoring officer.

4.11.2.4 During the routine surveillance visit, the monitoring officer shall verify the complete traceability of the composite products from import of raw materials to processing/manufacturing, storage and export of composite product to EU and shall fill the details under the clause VI (Processing of Composite Products) of ANNEX -XIV.

4.11.3 Suspension & withdrawal of approval

All deficiencies observed during the assessment visit to the processor's establishment shall be conveyed to the processor through the Discrepancy/Corrective Action Report (CAR) as per **Annex XV**. In case of minor deficiencies the corrective action taken shall be verified by the officer conducting the next visit and duly reflected in his report.

In case of any major deficiency, processor may be advised to suspend production and export until rectification is done and the same is verified by an officer.

Both suspension and revocation of suspension shall be done with the approval of Director (I&QC).

4.11.4 Responsibilities of approved establishments

4.11.4.1 As the sole responsibility in maintaining the quality and safety of the products processed in the establishment lies with the approved establishment, it shall maintain GHP, GMP and HACCP based own check system (if required). The establishment shall exercise proper controls at all stages of production starting from raw material procurement to the final despatch of the cargo and maintain records thereof. The establishment shall comply with all the regulatory requirements as applicable.

4.11.4.2 Approved establishments shall ensure that CFE blanks supplied to them are not misplaced or misused. They shall also ensure that the monitoring fees and other fees are paid to the EIA concerned and shall submit copies of CFEs used, on fortnightly basis.

4.11.4.3 Establishments shall test the raw material, additives, water, finished products, etc. as per the laid down norms or have test reports arranged by suppliers, where necessary.

4.11.4.4 Training shall be imparted to the employees at a laid down frequency.

4.12 Issuance of Certificate for Export

The approved units shall issue ¯Certificate of Export‖ for the export consignment only for the product (s) , as per approval granted by EIAs. Blank Certificates books may be obtained from the concerned Export Inspection Agency as per fees prescribed in clause 5. EIAs will issue blank certificate forms (format attached at **Annex-XVI**) to the approved units on demand.

4.13 Validity of certificate for Export

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

4.14 Issuance of Health certificate & Attestation

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

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

- Laboratory test reports for the additional parameters to be included in the health certificate clearly indicating the compliance of the consignment as per the requirement(s) of importing country/codex.
- During issuance of health certificate for export of composite products to EU, the certifying officer shall verify that the imported animal origin ingredients of composite products are from member state or third countries included in the list of third countries with an approved control plan for pharmacologically active substances.

5 CERTIFICATION FEE

5.1 Certification fee shall be paid by the applicant to the EIA at following rates:

Activity	Fee (Rs.)	
Application for approval / renewal of approval of establishment	Rs 5000/- + GST as applicable	
Application for approval of additional activity / facility	Rs.5000/- + GST as applicable	
Sale of Blank Certificate for Export	Rs.20/- per certificate + GST as applicable	
Monitoring fee under IPQC	@ 0.2% of FOB value + GST as applicable(Minimum Rs. 1000) **OR** Rs.8000 + GST as applicable (whichever is less)	
Countersigning of Certificate for Export (CFE) for Merchant Exporter	Rs.100/- as Service charge + GST as applicable	
Consignment-wise Inspection	FOB value (Rs.)	Fees+ GST as applicable
	Up to 5 lakh 1500	Rs. 1500
	Above 5 lakh and upto 10 lakh	Rs. 2500
	Above 10 lakh and upto 25 lakh	Rs. 5500
	Above 25 and below 40 lakh	Rs. 7500
	Above 40 lakh	Rs. 8000
Issuance of corrigendum or addendum or clarification to Health Certificate	Rs. 500/- + GST as applicable	
Issuance of Health Certificate in Foreign Language other than English	Rs. 500/- + GST + other actual expenses	
Issuance of Health certificate under IPQC	Rs.500+ GST applicable	
Approval of merchant exporter	Rs. 5000/- + GST applicable	
Approval of Additional facility/activities	Rs.5000+ GST as applicable	
Annual approval charges to be paid by an approved plant(to be adjusted against the monitoring fees)	Rs. 25000+ GST as applicable	

5.2 Mode of payment

Mode of payment shall be online through the link provided on the EIC website.

6 APPEAL

Any applicant aggrieved by the decision of the Export Inspection Agency either under CWI or IPQC, may, within 10 days of the receipt of the communication of such refusal prefer an appeal which will be referred by the Agency to the Director (I&QC). The appeal will be disposed of within fifteen days from its receipt. The decision of the Director (I&QC) in such an appeal will be final.

ANNEX-I

REJECTION LETTER

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

No: EIA/

To

M/s.....

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

Reference: Your intimation No. ..... Dated.....

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

Reason (s) for rejection1)

2)

3)

4)

Yours faithfully

Joint Director

ANNEX – II

HEALTH CERTIFICATE

Book No..... Sl. No._____

(Gener-l - Applicable for all items other than those where specific formats are prescribed)

Country of despatch: India
Competent Authority: Export Inspection Council, 3rd Floor, NDYMCA Cultural Center Building,
1-Jai Singh Road,New Delhi-110001,Tele: 011-23748189 / 23478188 / 23365540, E-mail: eic@eicindia.gov.in

1. Details identifying the products

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

2. Provenance of products

Address (es) and number(s) of preparation or processing plant(s) authorised for exports by the competent authority
Approval No. of the plant(s)

3. Destination of the products
a. The products are to be despatched
From..... (Place of despatch)
To..... (Country and place of destination)
By the following means of transport
.....
Name of address of consignor
Name of consignee and address at place of destination
LC Details

4. Health Attestation

It is hereby certified that the product described above has been handled ,processed, stored and transported under hygienic conditions as laid down in the ..... standards and found confirming to the laid down standards and fit for human consumption/This product is not meant for human consumption and fit for animal Consumption/ This product is not hazardous to Human health and the establishment where the product has been approved and regularly monitored by Export Inspection Agency.....

OR

It is hereby certified that the products described above have been processed as per i) importing country Specifications ii) Buyer's Specifications, iii) National Standards stored and
Transported under hygienic conditions and found confirming to laid down standards. This product is fit for human consumption/This product is not meant for human consumption and fit for animal Consumption/ This product is not hazardous to Human health.

Validity of Certificate:
Place of issue: Signature of authorised officer
Date of issue Name:
Seal Designation:

ANNEX – III

APPLICATION FOR APPROVAL

From
………….........................
......…………….................
..................……………......
....
To
The Joint Director,
EIA- Chennai/ Delhi/Kolkata/Kochi/Mumbai

Sir,

We are producers of.......................... and intend to export the same to.................. which requires compliance to .... (if any). Accordingly, we wish to seek approval under EIC's Voluntary Certification Scheme to enable us to export..

1	General Information	
1.1	Name and address of the plant seeking approval with contact no. and E-mail address	
1.2	Name of the Chief Executive(MD/Mg. Partner/Proprietor)	
1.3	Approval requested for export/ processing of product(s).	
1.4	Approval requested for country(s).	
1.5	Annual production during the previous year Others related items (Specify)	
1.6	Total export in the previous year (a) Name (s) of countries to which export made	
1.7	Details of licenses/certificate issued by any Competent authority.	
2	Details of Water Management System	
3	Information about personnel	
3.1	No. of technologists available in the establishment	
3.2	Total work strength	
4	Source of Raw Material	
4.1	Are there any arrangements for traceability of the raw material (including imported raw material), if so, details of the same?	
4.2	Are the records for the above maintained	
5	Surroundings	
5.1	Surroundings are free from any contamination	
6	Construction and Layout	
6.1	Is the design and layout as per scientificNorms?	
7	Is there change room, toilets, space to collect waste facilities are available:	

8.	Raw Material receiving section	
8.1	Are there adequate facilities available in raw Material receiving section?	
9	Drainage	
9.1	Are the drains of adequate size having sufficient slope and easily clearable and Sufficient enough as per hygienic conditions?	
10	Lights and ventilation	
11	Utensils and Equipment	
11.1	Are the utensils made of food grade material?	
12	Packaging	
13	Are the packing facilities adequate ?	
13.1	Are the labels are as per standard?	
14	Storage	
14.1	Are the storage conditions safe and designed scientifically, considering food safety norms?	
15	Personal Hygiene	
15.1	Whether staffs have been given enough training in thisregard?	
15.2	Is personal hygiene is being maintained?	
16	Effluent Treatment	
16.1	Is the unit having an efficient effluent treatment system?	
16.2	Does it comply with the statutory requirements	
17	Maintenance Schedule	
18	HACCP	
18.1	Whether unit is HACCP certified, if yes by whom?	
19	Rodent / Vermin Control	
19.1	Whether adequate rodent and pest control facilities are maintained	
20	Inspection and testing	
20.1	Is the unit having in-house facilities for inspection andtesting	
20.2	Whether test of finished products are done as per standard?	

Kindly carry out an assessment of our plant. We enclosed herewith details of online Fees transfer for Rs.....

Yours faithfully,

Place: Signature

Date: Name

Check list of enclosures. Designation

Company Seal

ANNEX-IV

ASSESSMENT REPORT BY ASSESSMENT PANEL (A P) FOR

APPROVAL & RENEWAL

Assessment Panel (AP) has assessed the unit to verify the declarations given by applicant unit in Annex I, conforming to importing country or Codex standards or standards required by the buyer or as per the relevant National standards.
Following observations/discrepancies in different areas, are listed:

Date and Day of AP Visit: .....

Name & Designation of AP Members:

1).....
2).....

All the information given under following heads are correct as per Annex I, and in accordance with the standards of the importing country or Codex standards or standards required by the buyer or as per the relevant National standards. If not Observation /Discrepancies are as:

1	**General Information**	
1.1	Name and address of the plant seeking approval with Faxno. and E-mail address	
1.2	Name of the Chief Executive(MD/Mg. Partner/Proprietor)	
1.3	Is the processing plant owned or leased by theapplicant	
1.4	If leased, name of the plant owner, plant name and address	
1.5	Year of Construction	
1.6	Year of Last major alteration	
1.7	Approval requested for export/ processing of product(s).	
1.8	Approval requested for country(s).	
1.9	Annual production during the previous year	
1.10	Total export in the previous year (a) Name (s) of countriesto which export made	
1.11	Whether all year production or seasonal	
1.12	Details of licenses/certificate issued by any Competent authority.	
2	WATER	
2.1	Is there a documented water managementSystem?	
2.2	Whether it is safe for processing and human Consumption?	

2.3	Is any scientific quality assurance is existing for water management?	
3	**Information about personnel**	
3.1	No. of technologists available in theestablishment	
3.2	Name and qualification of the technologist(s) supervising the processing and related operations (Attach separate as Annex)	
3.3	Total work strength	
4	**Raw Material**	
4.1	Source of Raw Material (including imported raw material)	
4.2	Are there any arrangements for traceability of the raw material, if so, details of the same?	
4.3	Are the records for the above maintained	
5	**Surroundings**	
5.1	Are the surrounding neat & clean and safe for Processing?	
5.2	Surroundings are free from any contamination	
6	**Construction and Layout**	
6.1	Is the building construction of permanentNature?	
6.2	Is the design and layout as per scientificNorms?	
7	**Plant facilities**	
7.1	Is there following facilities are available:	
	• Vehicle washing facility? • Water treatment plant? • Alarm system to give warning in case of emergency • Generator • Transportation • Lockable Room for Technicians • Change Room • Toilets • Space to collect waste	
8.	**Raw Material receiving section**	
8.1	Are there adequate facilities available in raw Material receiving section?	
9	Washing, cleaning and Sanitizing facility	
9.1	Whether washing, cleaning and sanitizing Facilities are adequate to support safe processing?	
10	**Doors/Window/Floor/Ceiling/Walls**	
10.1	Are they clean and sufficiently wide, made of durable material which is safe for processing Plant facilities?	
11	**Drainage**	
11.1	Are the drains of adequate size having sufficient slope and easily clearable and Sufficient enough as per hygienic conditions?	
12	**Lights and ventilation**	
12.1	Are these adequate and as per the requirements of standards.	
13	Utensils and Equipment	

13.1	Are all receptacles, trays, tanks, cutting equipment and utensils used made of non-corrodible material, other than wood and have smooth surface free from cracks and crevices	
13.2	Are the utensils made of food grade material?	
14	Packaging	
14.1	Are the packing facilities adequate?	
14.2	Are the labels are as per standard?	
15	15 Storage	
15.1	Are the storage conditions safe and designed scientifically, considering food safety norms?	
16	16 Personal Hygiene	
16.1	Whether staffs have been given enough training in this regard?	
16.2	Is personal hygiene being maintained?	
17	**Effluent Treatment**	
17.1	Is the unit having an efficient effluent treatment system?	
17.2	Does it comply with the statutory requirements	
18	Maintenance Schedule	
18.1	Is there a documented maintenance procedure for different sections / equipment / machinery, Laboratory items etc. Give documents no.	
18.2	Whether maintenance records are kept?	
19	**HACCP**	
19.1	Whether unit is HACCP certified, if yes by whom?	
20	Rodent / Vermin Control	
20.1	Whether adequate rodent and pest control facilities are maintained	
21	**Inspection and testing**	
21.1	Is the unit having in-house facilities for inspection and testing	
21.2	Test of finished products are done as per National/Buyer/Codex.	
21.3	Does unit have enough equipment‘s required for testing as per Importing Country/Codex/Buyer/National	

Recommendations of the Assessment Panel (AP) members:

Approval may be granted to above establishment under the EIC's Voluntary Certification Scheme to process .....for export to.....

Or

Approval may be granted to above establishment under the EIC's Voluntary Certification Scheme to process .....for export to..... subject to verification of rectification of non-conformities within a period of 1/2/3 months.

Or

Approval may not be granted to above establishment under the EIC's Voluntary Certification Scheme to process .....for export to .....

Or

Renewal of Approval May be granted/may not be granted to above establishment under the EIC's Voluntary Certification Scheme to process .....for export to .....

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

Suggestions for improvement, if any:

Signatures of Assessment Panel (AP) Members			
Name with Designation			
Organization			
Date:			

List of enclosures

ANNEX-V

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

Letter No. Dated

To
M/s

Sub: Approval/renewal of approval to process .....for export.

Ref.: Your application dated.....

Sir,

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

1. Name & Address of the establishment:
   a) Address of the establishment
   b) Address of the Regd. Office

2. Approval No.

3. Scope of approval (Items covered including country)

The approval number allotted to your establishments is VCS -..... - .....--..... This approval number shall be legibly printed on all export packages of ..... for which approval is granted. Besides, you will also affix ¯Q‖mark as per design enclosed. The establishment shall, henceforth, come under the purview of monitoring by EIA, as per the EIC's Voluntary Certification Scheme.

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

The validity of Certificate for Export issued by the establishment shall be 45 days

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

Please acknowledge receipt.

Yours faithfully,

Joint Director, EIC

CC:
1)
2)

ANNEX – VI

EXPORT INSPECTION COUNCIL
Ministry of Commerce & Industry, Govt. of India

Certificate of Approval

.... (Name of the establishment) having their registered office at .....
..... (Address of the registered office) is hereby granted approval/renewal of approval for a period of two years valid upto and including.....under approval No VCS/..... for processing of .....(products) to .....Country..... ....in its plant situated at.....(Location of the establishment) for export.

Subject to the conditions that the processing plant should continue meet the requirements of EIC voluntary Certification Scheme.

Place: New Delhi
Date:

Signature:
Name:
Designation: Director (I&Q/C)

2nd Floor, B- Plate, Block-I Commercial Complex, East Kidwai Nagar, New Delhi - 110023
Phone No.011- 20815386/87/88
E - mail: eic@eicindia.gov.in

ANNEX – VII

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

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

No. : EIA/ Date:

To
M/s

Dear Sir,

Sub: Non approval/renewal to process .....for export.

Ref.: Your application dated.....

The Assessment Panel (AP) of experts visited your processing establishments, particularly of which are given below, for adjudging its suitability for approval under EIC's Voluntary Certification Scheme on ..... for export to .....(country name).

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

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

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

Please acknowledge receipt.

Yours faithfully

Joint Director

Encl : As stated.

Copy to

ANNEX –VIII

FORMAT FOR APPLICATION FOR RENEWAL OF APPROVAL OF PLANT

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

Sir,

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

2. Approval no.
3. Volume of Export during the last three years
4. Annual production during the last three years
5. Fee paid to EIA during the last three years:
6. No. of complaints from importing country during last three years
    - If yes, attach details.
7. Recognition during past three years from any Government bodies.
8. Details of change in management, if any
9. Name of Head of the Organization
10. Water portability certificate no. (Attach copy)
11. Copy of HACCP manual if applicable and revised
12. Layout changes in past one year
13. Sectional facilities/equipment added in past one year
    - Raw materials procurement facilities
    - Processing
    - Packaging
    - Storage

14. Any other relevant information

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

Thanking you

Yours faithfully

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

Place:
Date:

Annexure IX

(APPLICATION FOR APPROVAL OF ADDITIONAL FACILITIES/PROCESSING ACTIVITIES)

From

To

Sir,

Please carry out the assessment of our establishment for additional facilities/ activities as required under the EIC Voluntary Certification Scheme 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 establishment.

We undertake that our establishment meets the requirements stipulated In Voluntary Certification Scheme and also the other requirements specified by the importing countries.

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

1. General Information

1	Processor Code number, allotted by EIA	
1.1	Name of the Chief Executive (MD/MG. Partner/Proprietor) with telephone, , E-mail address, if changed.	
1.2	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	Are the lighting and ventilation adequate?	
2.3	Whether adequate washing and sanitizing facilities provided?	
2.4	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 EIC voluntary Scheme/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 the new facility has been incorporated in the HACCP manual suitably (if Applicable).	
5.	**Additional activities**	
5.1	Specify the additional activities requested for approval with details	
5.2	Whether the additional activities have been properly addressed in the HACCP manual and submitted to the EIA for verification?(If Applicable)	
5.3	Whether proper raw material, process and product controls are laid down to ensure the safety and quality of the product?	
5.4	Are the employees maintaining good hygienic practices?	
5.5	Whether Freezing /Spray drying /pasteurisation etc. activities involved for the new facility?	
5.6	If so, are the time/temperature controls properly validated by an approved agency?	
5.7	Whether additional equipments, machineries required for the new process activity?	
5.8	If so, give details of equipments, machineries erected/ acquired	

6. Any other information.

Yours faithfully,

Signature :

Name :

Designation :

Company seal :

Place:

Date:

Check List of enclosures

1. Authorisation to charge fee applicable from our deposit account maintained at EIA.
2. Up-to-date layout plan of establishment showing alterations made if any.
3. Flow chart of processing operation where applicable.
4. HACCP manual, where applicable

Annexure X

EXPORT INSPECTION AGENCY-_____
MINISTRY OF COMMERCE GOVERNMENT OF INDIA

ASSESSMENT REPORT FOR ADDITIONAL FACILITIES/ PROCESSING ACTIVITIES OF THE ESTABLISHMENT

Name of the processing establishment	: M/s.	
Approval number of the establishment		
Current scope of approval (Name of the products and countries for export)		
Additional scope of approval requested for		
Address of the processing establishment	Address: District: State: Country: India. Ph. Fax: Email:	
Address of the Regd. Office	Address: District: State: Country: India. Ph. Fax: Email:	
Scope of assessment	Approval of additional facilitiy/activity under In Process Quality Control System (IPQC) System may be granted for the specific products and country(s), if requested for by applicant	
Date(s) of assessment	:	
Name of AP Members	Designation	Organization
Name of Representative(s) of the establishment	Designation	Organization

1.	**General Information**	
1.1	Name and address of establishment seeking approval for additional facilities/activities.	
1.2	Processor Code number, allotted by EIA	
1.3	Name of the Chief Executive (MD/MG. Partner/Proprietor) with telephone, fax, E-mail address, if changed.	
1.4	Details of additional facility/activity requested for approval	
2.	**Construction and layout**	
2.1	Whether any alteration made in the building and layout? (give details)	
2.2	If so, whether it satisfies the requirements EIC voluntary Certification Scheme and 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	Whether the installation of the new facility increases the	

	production capacity of the unit	
4.8	If so what is the expected new production capacity?	
4.9	Calibrated temperature recording devices installed where applicable?	
4.10	Whether the new facility has been incorporated in the HACCP manual suitably, where applicable	
5.	**Additional activities**	
5.1	Specify the additional activities requested for approval with details	
5.2	Whether the additional activities have been properly addressed in the HACCP manual and submitted to the EIA for verification? where applicable	
5.3	Whether HACCP is in place? where applicable	
5.4	Whether CCPs have been identified and monitored properly? where applicable	
5.5	Whether proper raw material, process and product controls are laid down to ensure the safety and quality of the product? where applicable	
5.6	Are the employees maintaining good hygienic practices?	
5.9	Whether additional man power is required for the new process activity?	
5.10	If so, give details of number of 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? where applicable	
5.14	Whether calibrated automatic temperature recording devices have been installed where applicable?	
5.15	If additional water are required for processing new product, whether the same are tested as per 98/83/EC/IS: 4251?	

6. Any other information.

Recommendations of the Inter-Departmental Panel (IDP)

Name of establishment and Address	
Approval Number allotted by EIA	
Nature of activities already approved	

Countries to which the above unit is eligible to process	
Products, which may be allowed to be processed in the above unit.	
Additional facilities/ activities requested for approval	

The above additional facilities/processing activities of the establishment may not be approved under the EIC Voluntary Certification Scheme. The deficiencies observed are given in the attached sheet.

Or

The above additional facilities/processing activities of the establishment may be approved under the EIC Voluntary Certification Scheme

Reasons:

Suggestions for improvement, if any:

Signature			
Name & Qualification			
Designation			
Organisation			
Place			
Date			

Annexure – XI

(To be typed on company letterhead)

To,

The Joint Director-

Export Inspection Agency- _____

Sir,

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

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

1) Name and 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

We hereby state that we, as approved processor, shall be responsible for the quality and safety of the 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 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 places 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:

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.

Annexure XII

(Letter of permission to process and pack Products for merchant exporter)

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

No. EIA/ Date:

Dear Sir,

Sub: Permission to process and pack 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 Products for export by merchant exporter: M/s. (Name and address of merchant exporter), to any country including EU/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 approved processor), with processor Code No.) shall be responsible for the quality and safety of the products processed by it for export by the merchant exporter;
3. The approved processor shall ensure that the consignments of products processed by it for export by the merchant exporter are not taken out of its control or stored in unauthorised/unapproved premises by the merchant exporter before the actual shipment for export; and
4. The approved processor shall maintain proper records showing the details of 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 validity of the permission granted by EIA for processing and packing products 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, WHICHEVER IS EARLIER.

Please acknowledge receipt.

Yours faithfully,

[Agency In-Charge]

Copy to

(1) The Joint Director, EIC, New Delhi-110001.
(2) The Officer In-charge, EIA-_____, SO:_____.

Annexure-XIII

(Letter of Withdrawal of permission to process and pack Products for export by merchant exporter)

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

No. EIA/ Date:

To,

Dear Sir,

Sub: Withdrawal of permission to process and pack Products for export by merchant exporter.

Ref: (1) Your letter No. dated . (2) Our letter No. EIA/ dated:

In pursuance of your request cited above, the permission given to you to process and pack products for the following merchant exporter(s) is hereby withdrawn:

Name and Address of Merchant Exporter } } } } } }

Yours faithfully,

[ ]
Agency In-Charge

Copy to

(3) The Joint Director, EIC, New Delhi-110001.
(4) The Officer In-charge, EIA-_____, SO:_____.

ANNEX –XIV

MONITORING VISIT REPORT PROFORMA

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

1. Date of the Monitoring Visit

2. Name of the Processing Plant

3. Approval Number

4. Scope of the approval (Products Name)

5. Product being Processed at the time of Visit

6. Name and Designation of the monitoring Officer(s) last visited

S. No.	Details to be verified	Conforming / not conforming	Remarks
I	**FACILITY & SANITATION**		
	Pest Control		
1.1	Whether area is free from harborage and pest		
1.2	Whether pest control measures are effective in Unit		
1.3	Whether area within the processing plant is safe for processing		
1.4	Whether area surrounding the processing plant is safe enough to prevent entry of external pests		
2.	**Structure and Lay Out.**		
2.1	Whether ground condition safe to prevent contamination to enter the facility		
2.2	Whether facility is properly designed and Maintained		
2.3	Design, lay out or material used cannot be readily cleaned or sanitized; does not preclude contamination.		
2.4	Insufficient space which may cause adulterated or contaminated.		

2.5	Equipment and utensils design, construction, location or materials can be readily cleaned or sanitized; does not preclude product contamination.		
3			
3.1	**Maintainence** Condition of roof,ceilings,walls,floors or Lighting, maintained;lights are protected.		
3.2	Others		
3.3	Lighting is sufficient.		
3.4	Equipment and utensils not maintained in proper repair or removed when necessary.		
3.5	Product contact surfaces are safe for food handling.		
3.6	Others		
4.	**Cleaning and Sanitizing**		
4.1	Product contact surfaces cleaned and sanitized before use.		
4.2	Non-product contact surfaces cleaned before use.		
4.3	Housekeeping is adequate.		
5.	**Personnel**		
5.1	Processing or food handling personnel maintain a high degree of personal cleanliness.		
5.2	Processing or food handling personnel take Necessary precautions to prevent contamination of food.		
5.3			
5.4	Controls Facility management have effective measures to restrict people with known disease from contaminating the product.		
5.5	Hand washing and hand sanitizing stations are present or conveniently located.		
6.	**Restrooms**		
6.1	Number of functional toilets are sufficient.		
6.2	Adequate supplies of water soap etc.		
7	**Water supply**		
7.1			

	Safe water supply for processing.		
7.2	Protection against backflow, back-siphon age, or other sources of contamination.		
7.3	Whether supply of hot water or cold water is adequate		
8.	**Processing**		
8.1	Product is manufactured as per National/Buyer/Codex.		
9.	**Chemical**		
9.1	Chemical(s) improperly used or handled		
9.2	Chemical(s) improperly labelled		
9.3	Chemical(s) improperly stored.		
10.	**Ventilation**		
10.1	Processing area is properly ventilated		
10.2	Areas directly affecting product or packaging material are properly ventilated		
10.3	Other.		
10.4	Adequate air exchanger exists.		
11	**Waste Disposal**		
11.1	Adequate arrangements are made for disposal of waste water		
11.2	Sewage		
11.3	Processing Waste.		
II	**COMPLIANCE TO GMP / GHP / HACCP PLAN**		
1	**Records**		
1.1	Records are up to		
1.2	dateRecords are		
1.3	accurate		
1.4	Records are available during monitoring		

	Any documents or records not conforming torequirements		
2.	**Procedure**		
2.1	Preventive measures are followed		
2	Monitoring procedures are followed		
2.3	Corrective action taken against to fault.		
3	**Other**		
3.1	Any modification made in GMP/GHP/HACCP Plan		
3.2	Procedure is maintained by trained personnel		
3.3	Any other modification		
III	**TESTING STATUS**		
1.	**Raw Material Testing**		
	Raw Material Control is Proper		
	Parameters are tested as per standards.		
2.			
	Finished Product testing.		
3.	Whether finished product is tested for parameters defined as per standards		
3.1	**In-house Lab**		
3.2	Whether in house testing facility is available in the plant.		
IV	Whether testing is according to standards.		
V	Testing of sample during visit, if facilitiesavailable.		
	Details of samples drawn during testing andlabs to which sent Details of sample drawn during		

VI	**Processing of Composite Products:** 1. Approved composite product (s) for processing: 2. Ingredient (s) of composite product of animal origin: 3. Source (country) from where animal origin ingredient imported: 4. Is country from where animal origin ingredient imported is EU member state or third countries included in the list of third countries (set out in Annex-I of Regulation (EU) 2021/405) with an approved control plan for pharmacologically active substances. 5. Whether the processing of the imported raw material is addressed in their HACCP plan. 6. Whether the FBO has system in place for ensuring the traceability of composite products at all stages from import of raw material to final export.		

Details of sample drawn during Visit(If Any):

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

Any other relevant information

Recommendations

- Overall Rating - Satisfactory/unsatisfactory

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

Date

Signature:_____
Name _____
Designation:_____

Place

Remarks of EIA :

Signature:

Name:

Designation:

Date:

Place

ANNEX-XV

CORRECTIVE ACTION REPORT (CAR)

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

Name of the processing establishment.

Products handled:

Approval No.

Nature of Inspection
Routine monitoring/
Any other:
Date of Visit:

Name and Designation/Department of the AP/EIAs

Name of the Representative of the Establishment

.....

i. Details of discrepancy / variation observed

.....

ii. Comments / Agreed action

.....

1. Acknowledgement of report copy.
2. Discrepancies have been fully explained and understood by the processing establishment.
3. Confirmation of agreed or proposed corrective actions to be made to EIA within 15/30/45 days.

Signature .....
Name .....
Designation .....
(EIA Representative)

Signature .....
Name .....
Designation .....
(Representative of the establishment)

Note: it is advised that a copy of this report be pasted by the processing establishment on the test record register for necessary follow up actions and future reference.

ANNEX – XVI

CERTIFICATE FOR EXPORT

<table>
<tr><td colspan="2">1.Name and address of the exporter</td><td colspan="2">4. Buyer's order no. & date</td><td>5. Valid for Custom</td></tr>
<tr><td colspan="2">2. Name and address of the approved processing unit</td><td colspan="2">6. Invoice no. & date</td><td>7. Country of destination</td></tr>
<tr><td colspan="2">3. Details of stamp on export packages
 

Approval no.....</td><td colspan="3">8. Certificate no.:

Valid upto and including
.....</td></tr>
<tr><td colspan="5">9. Specification reference</td></tr>
<tr><td>10. Shipping marks</td><td>11. No. and Kind of Pkgs</td><td>12. Description of goods</td><td>13. Quantity (MT)</td><td>14. FOB value (Rs.)</td></tr>
<tr><td></td><td></td><td></td><td></td><td></td></tr>
<tr><td colspan="5">15. DECLARATION

The undersigned hereby declares
(i) That the above consignment has been processed in our establishment which has valid approval and is under continuous monitoring by Export Inspection Agency - as per the EIC voluntary certification scheme.

(ii) That the consignment is export worthy.

.....

(Signature)

.....

(Name)

.....

(Designation)

Seal of the processing unit

Place..... Date.....</td></tr>
</table>

Annexure XVII

EXPORT INSPECTION AGENCY - _____

Recommendation format for increase in Validity of Approval

Name and address of the establishment

Approval No.
Scope of approval:

Sl No.	Particulars	Details	Remarks
(a)	Monitoring Visits(MV)		
(b)	Foreign Complaints		
(c)	Non Compliances during Official Control		

Details of complaints from importing country or importer

Number & Nature of complaints received	Countries from where complaints

Recommendation of Agency In charge: The approval/ renewal may be granted to establishment for a period of .....
Reason for maintaining the same validity:
Reason for change in the validity of approval of establishment:

Signature of Officer In charge:

Date: Name :

Place: Designation :